I. Purpose/Introduction/Rationale

It is the policy of Rollins College to employ personnel who are willing and able to perform the functions of their jobs in a satisfactory manner, to observe the rules and regulations of the College and to devote their time and attention to the business of the College during working hours. From time to time, it may become necessary to counsel or discipline employees who for one reason or another fail to observe the goals set forth above. This procedure is intended only as a guideline to the commonly accepted steps a supervisor should take in correcting employee behavior.

It should be remembered that most employees might be counted on to exercise a considerable degree of self-discipline. They may be expected to respond to positive leadership and timely communication from supervision. Disciplinary procedure should be used, whenever possible, in such a way and at such times as to reinforce in employees the desire to meet accepted standards of work and of conduct.

The responsibilities which employees are expected to assume are communicated during their orientation period by their supervisor and should be re-emphasized by supervision as required. This fosters two-way communication and should leave no question in the employee’s mind as to acceptable work standards or behavior.

This procedure is effective upon receipt and supersedes all prior issued procedures. This procedure applies to all staff of Rollins College. Each case shall be evaluated on its own set of circumstances and the College shall have the right to discipline or summarily discharge an employee.

II. Procedure

A. The following steps should be used by supervisors in correcting unsatisfactory performance. The supervisor shall review with Human Resources the nature of the problem to determine the appropriate sequence of disciplinary steps. Adherence to following each step of the disciplinary process in the sequence given will be determined by the nature and gravity of the problem.

Note: All formal disciplinary actions must be reviewed with the Human Resources Department prior to action being taken - and under no circumstances will employees be terminated without the knowledge of the Human Resources Department.

1. Fact-finding or counseling - to be used as a first step in correcting unsatisfactory performance. Supervisors may wish to follow up the counseling session with written documentation sent to the Human Resources Department. This is not filed in the employee’s personnel file.
2. Formal written warning – documented meeting between the employee and the supervisor at which time the supervisor shall review and develop the facts and if the facts warrant, shall inform the employee that the employee is failing to meet acceptable standards of performance and/or is not following College rules and regulations. More severe disciplinary measures will result if such standards are not met or rules continue to be violated. This documentation must be reviewed with the Human Resources Department prior to meeting with the employee. The written warning shall include:
   a. Extent of the problem;
   b. The violated rule, policy or procedure;
   c. Suggested courses of action;
   d. Statement of consequences in the absence of improvement; and
   e. Any follow-up action to be taken.

The employee may be placed on probation for a period of time to monitor more closely corrective action and improvements being gained. Typical probationary periods are for thirty (30), sixty (60) or ninety (90) days. Supervisors who place employees in a probationary status must meet with them during and at the end of the probationary period to provide input as to their success in achieving increased performance and/or continuing problems.

3. Suspension - an employee may be required to remain off the job in a non-pay status for a specified period of time for disciplinary purposes, following oral or written warnings and, without warning, for more serious initial offenses. Immediate suspension may be ordered when circumstances make attendance at work dangerous to the employee or others, when an investigation is needed, or when circumstances seriously impair the employee’s effectiveness on the job. The Human Resources Department must be contacted prior to action being taken. If circumstances require an immediate suspension, it may be verbally issued but written notice must follow as soon as possible.

4. Decision-Making Leave/Positive Discipline - The following Positive Disciplinary Model may be substituted for the Suspension/Probation model described above.
   a. Purpose: If after both counseling and written warnings, the employee's performance fails to improve, supervisors may make use of a one-day Decision-Making Leave as a third step in the discipline process. The purpose is to provide an employee with a specific time period to decide if he/she wants to continue employment, and if so, to make the required behavior change. Again, the emphasis is on correcting the performance problem. This is an extremely serious step, in so far as the employee will be terminated if they do not change behavior or performance.
   b. Method: Following a review of prior disciplinary steps, the supervisor meets with the employee to explain that they must now decide whether or not they wish or are able to work for the College and that they will be given one day off with pay to spend at home deciding whether they wish to continue to work or to resign. During the meeting, the supervisor shall indicate that they hope the employee will decide to continue working but that another occurrence of trouble will lead to termination. The meeting needs to end with an agreement between the supervisor and employee that they will meet at the beginning of the workday following the Decision Making Day and that the employee will give their written decision at that time.
In order for this model to be effective, the supervisor must closely monitor the employee's performance following a decision to remain at work so that any further discipline problems can be dealt with on a timely basis.

5. Discharge - This is not a step in the positive discipline procedure. It is one taken when positive measures have been used but performance has not changed; or when an employee has committed a major offense.

B. Examples of employee performance problems
1. The following are examples of the kinds of behavior that would call for disciplinary action. It is not meant to represent a comprehensive list:
   a. Refusing to accept a job assignment, insubordination or willful disobedience in carrying out reasonable requests from supervisor.
   b. Falsifying college records and/or documents including but not limited to, time sheets, applications, accounting records.
   c. Insufficiency, or negligence; that is, failing to do the amount and quality of work expected or failing to exercise proper caution in accomplishing tasks or caring for college materials, equipment, etc.
   d. Repeated tardiness and/or absenteeism.
   e. Stealing from the college or other employees or students.
   f. Failure to comply with college policies including but not limited to, alcohol and drug abuse policies, EEOC/Affirmative Action policies or other policies which may from time to time be communicated to employees.
   g. Failing to observe proper safety techniques, failing to use personal protective equipment as prescribed by supervision or working in a hazardous, risk-taking manner.
   h. Carrying or bringing to campus weapons or implements that give the appearance or may be used as weapons.
2. Each case of unsatisfactory behavior will be evaluated on its own set of circumstances.

C. General
1. Any questions concerning this procedure should be addressed to the Human Resources Department. All written disciplinary actions shall be forwarded to Human Resources for inclusion in the employee's personnel file.
2. In utilizing this progressive disciplinary approach, the employee should be made aware that the disciplinary action is a form of education that is consistent and fair for the circumstances involved. Employees may, with their supervisor's knowledge, discuss the nature of the disciplinary action with the next level of supervision or the Human Resources Department.
3. If it is suspected that an employee is encountering performance problems or violating work rules because of outside, non-job-related situations, such as poor health, family problems, or alcoholism or emotional disturbances, the supervisor is encouraged to refer the worker to the Employee Assistance Program to obtain professional help.
4. If employees feel that the discipline has violated College Policy, they can file a grievance under the Grievance Procedure.
V. Appendices/Supplemental Materials

Exhibit A: Guidelines for Preventing Disciplinary Situations

Before taking disciplinary action, ask yourself the following questions:

1. Has the situation been identified in terms of a difference between expected performance and actual performance?
2. Has the expected performance been clearly communicated to the employee?
3. Has the employee received appropriate training in all aspects of the job?
4. Have any job requirements changed since the employee was initially trained?
5. Does the employee have all the time, tools, and equipment necessary to do the job properly?
6. What would prevent the employee from doing the job correctly if he or she really wanted to?
7. Does doing the job properly or quickly result in an unpleasant or punishing consequence?
8. Has the employee been given regular short-term feedback about job performance so that he/she knows what he/she is doing?
9. Has the employee had a counseling meeting and appropriate follow-up?

Only after these approaches have failed, does the supervisor proceed with disciplinary action.

Exhibit B: Checklist for Dealing with Discipline

1. Prevent it! Sense problems before they erupt.
2. Keep accurate and complete records.
3. Be prepared with facts and figures.
4. Hear the employee out with empathy.
5. Precede formal discipline with a warning.
6. Don't drag it out! Administer discipline quickly.
7. Punish the behavior, not the person.
8. Do it in private.
9. Set goals for future performance. Set a follow-up date.

Exhibit C: Sample of Written Warning

To:______________________________ Date__________________________

Department:____________________ Job Title:_____________________

RE: Corrective Disciplinary Action - Written Warning

You are being given this written warning because your attendance does not meet established college standards. Your attendance record shows that during the last five months you were absent from work on five occasions -- three in excess of one hour and two less than one hour, for a total of 24 hours and 45 minutes of absence.

As I pointed out to you after your return following each of these absences, your failure to report to work regularly and appear on time prevents the college from maintaining the necessary number of operating employees in your department, interferers with the scheduling of work and in some instances, places an added burden upon other employees in your department.
This situation is very serious and deserves immediate correction. Unless you report regularly for work and on time, or if you fail to observe other company policies, more severe disciplinary action may result, including suspension or termination.

Issued by: __________________________________________ Supervisor's Signature

_________________________________________ Employee's Signature

Distribution:

   Employee
   Supervisor
   Human Resource Department

**Exhibit D: Sample of Suspension**

To: __________________________________________ Date_____________________________

Department:____________________________ Job Title:________________________

RE: Corrective Disciplinary Action -Suspension

You have not corrected your poor attendance after a Warning on November 25, 19__, and a Written Warning on December 20, 19__. Prior to these warnings you were counseled on two occasions concerning your attendance not meeting proper and established college standards. On January 7 & 8, 19__, you were absent again for 15 hours. Since July 6, 19__, you have been absent 64 hours and 28 minutes on eight separate occasions. As a result of not correcting your attendance problem, you are being suspended from your job without pay for a period of three days, effective January 9, 19__, through January 11, 19__.

I regret that this measure has been made necessary and it is my hope that no further disciplinary action will be called for. If, upon your return to work on January 12, 19__, you do not report regularly for work and on time, or if you fail to observe other college policies, more severe disciplinary action may result, up to and including discharge.

Issued by: __________________________________________ Supervisor's Signature

_________________________________________ Employee's Signature

Distribution:

   Employee
   Supervisor
   Human Resource Department
Exhibit E: Sample of Termination Memo

To: ___________________________________________ Date__________________________

Department: ________________________ Job Title: ________________________

RE: Corrective Disciplinary Action - Termination

Since July 6, 19__, you have been absent 80 hours and 51 minutes on eleven separate occasions, the last of which was for 23 minutes on March 16, 19__. These combined factors indicate little or no respect for your job. Because of your failure to attend regularly and meet your job responsibilities, you are hereby notified that you are discharged from your job. In hopes of correcting your failure to meet the college's attendance standards over the last nine months, you were disciplined as follows:

November 25, 19__ Verbal Warning December 20, 19__ Written Warning January 9, 19__ Three Day Suspension February 12, 19__ Two Week Suspension

Issued by: ____________________________ Supervisor's Signature

Distribution:

Employee
Supervisor
Human Resource Department

V. Related Policies or Applicable Publications
See also: Grievance Procedure

VI. Rationale for Revision

N/A