

DHHS POLICIES AND PROCEDURES

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| Section V-(a): | Human Resources |
| Title: | Division of Health Benefits, Corrective Action Policy |
| Current Effective Date: | 04/01/19 |
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Purpose

The Division of Health Benefit's (DHB) corrective action policy and procedures are designed to provide a structured corrective action process to improve and prevent a recurrence of undesirable employee behavior and/or performance issues. All personnel decisions are made without regard to political affiliation, in accordance with 5 CFR 900.603(e) and (f).

Outlined below is DHB's corrective action policy and procedures. Depending on the nature of the offense, DHB management and HR reserves the right to combine and/or omit steps or immediately issue a separation. Examples include just cause, unsatisfactory job performance, conduct, unacceptable personal conduct, false and misleading information on employment application, failure to maintain required credentials, internal investigation/refusal to cooperate, or other criminal behavior, arrest, sexual harassment and other discriminatory behavior, physical violence or threats against other employees.

This policy applies to all current DHB employees.

Policy

It is the policy of DHB to recognize the dignity and value of the individual employee, to address workplace conduct and performance problems in accordance with existing law and state personnel policy; and to use best management practices in dealing with employee disciplinary issues

Implementation

Step 1: Counseling and Verbal Discussion

Step 1 creates an opportunity for the immediate supervisor to conduct a meeting with an employee to bring attention to the existing performance, conduct, attendance or other concern. The supervisor should discuss with the employee the nature of the problem or the violation of division policies and procedures. The supervisor is expected to clearly describe expectations and steps the employee must take to improve performance or resolve the problem.

Step 2: Written Notice

Although DHB hopes that the employee will promptly correct any performance, conduct attendance issues or other concern that were identified in Step 1, DHB recognizes that this

may not always occur. The Step 2 written notice involves more formal documentation of the performance, conduct or attendance issues and their consequences.

During Step 2, the immediate supervisor will meet with the employee to review any additional incidents or information about the performance, conduct, attendance issues or other concern as well as any prior relevant corrective action plans. Management will outline the consequences for the employee of his or her continued failure to meet performance or conduct expectations and will provide necessary corrective action plans to human resources to be placed in the employees personnel file. Such documentation will stay in an employee's personnel file and remain active for 12 months.

Step 3: Final Written Notice

If performance does not improve, a final written notice will be delivered. The final written notice will contain copies of previous notices, indicating specific areas in which the employee must improve and specify the time period within which the worker's behavior or performance must be corrected.

Repetition of an offense for which an employee has received a written notice may result in a final written notice, which, if not heeded, will result in discharge. Written notices and final written notices will stay active for 12 months.

Step 4: Discharge/Separation

The last and most serious step in the progressive corrective action process is a recommendation to separate employment. DHB will exercise the progressive nature of this policy by first providing warnings, a final written notice or suspension from the workplace before proceeding to a recommendation to separate employment. However, DHB reserves the right to combine and skip steps depending on the circumstances of each situation and the nature of the offense.

Management's recommendation to separate employment must receive prior approval from the DHB Human Resources Manager.

Performance and Conduct Issues Not Subject to Progressive Discipline

Some actions and behaviors are not subject to corrective action process and may be grounds for immediate separation. Examples include just cause, unsatisfactory job performance, conduct, unacceptable personal conduct, false and misleading information on employment application, failure to maintain required credentials, internal investigation/refusal to cooperate, or other criminal behavior, arrest, sexual harassment and other discriminatory behavior, physical violence or threats against other employees.

Documentation

The employee will be provided copies of all corrective action documentation, including written notices. The employee will be asked to sign copies of this documentation attesting to his or her receipt and understanding of the corrective action outlined in these documents.

Copies of these documents will be placed in the employee's official personnel file and will remain active for 12 months.

*For questions or clarification on any of the information contained in this policy, please contact the DHB Human Resources Manager. For general questions about department-wide policies and procedures, contact the **DHHS Policy Coordinator**.*