

Hawkeye Area Community Action Program, Inc.	Policy # 502
	Page 1 of 6
Disciplinary Action	Effective: August 28, 1983
	Revised: May 25, 2023
APPROVED BY: HACAP Board of Directors	

Policy Statement

The primary purpose of discipline under HACAP policy is to correct unproductive or inappropriate activity. It is the policy of HACAP to administer fair and reasonable methods of disciplinary action for those employees whose job performance or behavior does not meet the standards of HACAP.

Standard Operating Process

The disciplinary action process is to be administered fairly and consistently to all employees at all times and in a manner consistent with the policy, rules, and regulations to assure equal treatment to all employees.

Actions requiring a disciplinary response can be divided into two categories:

1. Those of a serious nature, which may justify termination without prior warnings or attempts at corrective action. These include (but are not limited to) dishonesty, stealing, forgery, falsification of documents, violation of confidentiality, illegal activity, prohibited political activity, insubordination, abusive language or behavior exhibited toward employees or clients, destruction of property, acceptance of gratuities from vendors or clients, actions detrimental to the agency.
2. Those of serious nature which result in corrective action via reprimand, warning, probation or suspension and which may result in more serious action if the behavior is continued by the employee. These include (but are not limited to) repeated tardiness or unscheduled absence, unexcused absence, careless job performance, negligence, disregard of safety procedures, and infractions of agency and/or unit work rules.

The seriousness of the action being disciplined will determine at which step the disciplinary process is started. A supervisor may suspend a staff member up to ten days without pay pending an investigation. Program managers and the CEO may take additional disciplinary action. The employer will advise employees of their right to have representation when dispensing a disciplinary action.

Bargaining Unit personnel will use union representatives. Non-bargaining unit personnel may have a non-attorney representative of their choice.

Employees shall be given the opportunity to sign any disciplinary action prior to it going in their file. Employees shall be afforded the opportunity to place a written response within seven (7) calendar days to any disciplinary action placed in their personnel file. Management will not put any disciplinary action into an employee's file without the knowledge of the employee.

Hawkeye Area Community Action Program, Inc.	Policy # 502
	Page 2 of 6
Disciplinary Action	Effective: August 28, 1983
	Revised: May 25, 2023
APPROVED BY: HACAP Board of Directors	

Employees shall, upon request, be given a copy of all documents in their file, pursuant to Policy #226.

It is the policy of HACAP that all employees shall have the right to administrative review of any disciplinary action taken. Procedures for initiating an administrative review are contained in Policy #231 or can be obtained from Human Resources.

Definitions of Disciplinary Levels

- Verbal Reprimand – Level 1: Issued for minor disciplinary problems. Considered to be a notice to the employee that the job performance or work behavior does not meet standards of employment. The verbal reprimand will become part of the employee's file. It will be removed after 1 year if job performance or work behavior problem is not repeated.
- Written Warning – Level 2: Issued for serious disciplinary problems or considered to be a further notice to the employee of continued undesirable work behavior or unacceptable job performance or a more serious problem. This is submitted in writing, and placed in the personnel file for permanent record.
- Probation / Corrective Work Plan – Level 3(a) must be developed to outline serious work performance deficiencies related to the essential duties and responsibilities of the position's job description. This work plan will outline specific goals that must be met during the (3) three-month period. This document is placed in the personnel file for permanent record. If work performance is not corrected during this (3) three-month period the employee will be terminated. If benchmarks set during this (3) three-month period are not met, as determined, the termination process will occur immediately.
- Suspension Without Pay – Level 3(b): Considered to be the final notice to the employee that a serious work behavior must be corrected immediately or the termination process will occur.
- Discharge – Level 4: Issued for major behavioral and work performance deficiencies and is considered to be the most extreme form of disciplinary action and final step in this process. This will occur when all appropriate levels have been followed or in the event that the action is in violation of a HACAP policy that requires immediate termination.

Hawkeye Area Community Action Program, Inc.	Policy # 502
	Page 3 of 6
Disciplinary Action	Effective: August 28, 1983
	Revised: May 25, 2023
APPROVED BY: HACAP Board of Directors	

Disciplinary Meetings

1) Pre-disciplinary Interview / Meeting

A pre-disciplinary interview/meeting is defined as an information gathering session with the intent to clarify facts that may lead to disciplinary action. The Human Resources Department will assist you in proper notification to employees.

- A "Meeting Notice", which defines location, date and time of the meeting will be sent to the employee at minimum 1 business day in advance.

2) Formal Disciplinary Meeting

Formal disciplinary meetings are to inform an employee when based on the judgment of the supervisor and the Human Resources Department the employee's work performance or work behavior does not meet HACAP standards.

- A "Meeting Notice", which defines the location, date and time of the meeting, will be sent to the employee at minimum 1 business day in advance.
- The disciplinary meeting is non-negotiable or not a counseling session; it is a time for the supervisor or the Human Resources Department to present the employee with a written description of the unacceptable performance or behavior and to notify the employee of their rights to make a written response or to seek an administrative review of the action on the following grounds: 1) dispute the facts, 2) mitigating circumstances to facts, or 3) inconsistent disciplinary action for infraction.
- Once the meeting is concluded the employee and Union Representative or the employee advocate may spend additional private time without the supervisor or the Human Resources Department present to determine what action the employee would like to pursue.

Employees shall be informed of their status throughout the disciplinary action process of the following items:

- What HACAP policy, programming rule or licensing violation or work performance deficiency related to the essential duties and responsibilities of the position's job description occurred;
- the specific behavior or work performance deficiency, which leads to disciplinary action;
- what level of discipline he/she can expect to occur if the problem is not corrected;
- what specifically, is necessary for the employee to meet standards for continued employment;
- the time period the corrective action needs to occur.

Hawkeye Area Community Action Program, Inc.	Policy # 502
	Page 4 of 6
Disciplinary Action	Effective: August 28, 1983
	Revised: May 25, 2023
APPROVED BY: HACAP Board of Directors	

Verbal Reprimand Level 1:

- The employee is given the opportunity to sign this document not as admission of guilt, but to acknowledge that the meeting did occur.
- A copy of this document will be given to the employee.
- The document is placed in the employee's personnel file regardless of signature.

Please see Disciplinary Action Guide for examples of infractions that warrant a Verbal Reprimand

Written Warning – Level 2:

- The employee is given the opportunity to sign this document not as admission of guilt, but to acknowledge that the meeting did occur.
- A copy of this document will be given to the employee.
- The document is placed in the employee's personnel file as a part of the permanent employment record regardless of signature.
- If this is a repeat infraction, the previous verbal reprimand or written warning will be attached to the written warning.

Please see Disciplinary Action Guide for examples of infractions that warrant a Written Warning

Probation / Corrective Work Plan – Level 3(a)

- Covers a 3 month period.
- Will outline specific goals and benchmarks that must be met throughout the 3-month period.
- The employee and supervisor will meet on regular intervals to evaluate progress towards the goals outlined in the corrective work plan.
- The Supervisor/Manager and employee will both sign this document. Failure to sign the form must be documented on the Corrective Work Plan document.
- A copy of this document will be given to the employee.
- The document is placed in the employee's personnel file as a part of the permanent employment record regardless of signature.
- Ongoing assessment of the benchmarks will be used to evaluate progress throughout the duration of the work plan.
- If the benchmarks are not met the employee will be terminated
- If work performance is not corrected during this three (3) month period the employee will be terminated.
- Any disciplinary action issued to an employee while on a corrective work plan will result in immediate termination.

Hawkeye Area Community Action Program, Inc.	Policy # 502
	Page 5 of 6
Disciplinary Action	Effective: August 28, 1983
	Revised: May 25, 2023
APPROVED BY: HACAP Board of Directors	

Please see Disciplinary Action Guide for examples of infractions that warrant a Probation / Corrective Work Plan

Suspension Without Pay – Level 3(b):

- The employee is given the opportunity to sign this document not as admission of guilt, but to acknowledge that the meeting did occur.
- A copy of this document will be given to the employee.
- This document is placed in the employee's personnel file as a part of the permanent employment record.
- The employee will not be allowed to return to work until the suspension period has expired.

Please see Disciplinary Action Guide for examples of infractions that warrant Suspension Without Pay

Discharge – Level 4:

- When the decision is made to enter into this step of the process, it has been fully determined through previous steps that the employee does not intend to correct the undesirable work behavior or unacceptable work performance and thus fails to meet those standards required for continued employment.
- The action is documented as a "Disciplinary Action Letter" requiring the signature of the supervisor and the employee.
- This document is placed in the employee's personnel file as a part of the permanent employment record.

Please see Disciplinary Action Guide for examples of infractions that warrant a Discharge

Process Manager

This policy was written by the Human Resource Department for use by all HACAP operations. Questions regarding this policy should be directed to the Human Resources Department at 319-393-7811.

Hawkeye Area Community Action Program, Inc.	Policy # 502
	Page 6 of 6
Disciplinary Action	Effective: August 28, 1983
	Revised: May 25, 2023
APPROVED BY: HACAP Board of Directors	

Disciplinary Action Guide

Behavioral	Work Performance
Minor Problems – Verbal Reprimand <ul style="list-style-type: none"> • Unapproved absence • Tardiness • Chronic absence • Poor hygiene • Poor attitude 	Minor Problems – Verbal Reprimand <ul style="list-style-type: none"> • Routine minor errors • Sloppy work • Improper use of supplies and/or equipment
Serious Problems – Written Warning <ul style="list-style-type: none"> • Repeat of minor problems • Repeat after receiving a warning within the year • Violation of confidentiality • Loud disruptive outbursts • Oblique insubordination 	Serious Problems – Written Warning <ul style="list-style-type: none"> • Repeat of written warning in the last year • Failure to meet timeline • Return or redoing of work
Very serious Problems – Suspension without Pay <ul style="list-style-type: none"> • Direct insubordination • Conflict of interest without personal gain • 2 written reprimands in the last 3 years • Abusive threatening verbal attacks in workplace 	Very Serious Problem – Corrective Work Plan <ul style="list-style-type: none"> • Poor job performance in multiple areas as documented on evaluation • Repeat of written reprimand issues • Hiding work issues from Supervisor
Major Problems - Termination <ul style="list-style-type: none"> • Illegal acts in the workplace, which may result in loss of <ul style="list-style-type: none"> ◦ Licenses required to perform duties ◦ Agency insurance coverage ◦ Compliance with agency contracts • Gross insubordination resulting in damage to the agency • Sabotage to agency equipment or systems • Interference in agency contracts • Conflict of interest for personal gain • Any violation within one year of suspension 	Major Problems - Termination <ul style="list-style-type: none"> • Gross errors resulting in cost to the agency • Gross error resulting in loss of contracts • Gross error resulting in fines or financial penalties • Any discipline within one year of Corrective Work Plan • Failure to complete Corrective Work Plan

****Before any action is carried out Managers/Supervisors must notify Human Resources****