



Human Resources and Talent Management (HRTM) Disciplinary Action Form

Instructions

The Disciplinary Action Form is a resource to guide employees and supervisors through performance and behavior conversations with a focus on continual improvement. In consultation with HRTM (Senior Human Resources Consultant), this form should be completed by the employee's supervisor or the next-level supervisor in the employee's chain of command. The form must document the circumstances that led to the disciplinary action, the specific policies, procedures, and/or general directives violated, and the expected standards of performance/behavior. The supervisor should indicate the type of discipline being administered and provide specific, reasonable, and measurable expectations in the Performance Improvement Plan. The completed form must be submitted through the chain of command for administrative review prior to being issued to the affected employee.

Disciplinary Event Outline	This area includes the employee's employment demographics (Name, F/T for Full-/Part-time, Department/Division, Title, and immediate supervisor's name).
Event	Shows the summary topic (i.e. Attendance/Tardiness or Unprofessional Communication).
Policies, Procedures, and/or General Directives Violated	Notates the Durham Tech Policy, Procedure, or Supervisory/Departmental directive that was violated by the employee's actions or inaction.
Expected Standard(s) of Performance	Reiterates the expectation of performance or behavior from the employee.
Resulting Disciplinary Action(s)	Indicates if the write-up is accompanied by a suspension, demotion, or other disciplinary action up to and including termination. The supervisor completing the form should indicate the type of discipline being delivered.
Summary Narrative	Summarizes the matter being reported. A detailed narrative should be continued by attaching additional pages, if necessary.
Performance Improvement Plan	Outlines key measurable actions that will serve to assess the employee's progress toward improving performance. This area must also include milestones and checkpoints towards a date reflective of the next steps in the disciplinary process (i.e. resolution, extension, termination.). Supervisors should also use this space to take notes during check-ins.
Progress Updates	Section is used to notate the progress of the performance improvement plan and document the regular follow-up meetings.
Employee Comments	Section can be used by the employee to provide feedback regarding the events and performance action plan.
Disciplinary Status	Section is used to provide feedback regarding the outcome of the performance improvement plan (i.e. resolution, extension, termination).
Signatures	The employee signature shows acknowledgment of receipt and does not notate agreement with the event(s) as outlined on the form. Supervisor should make a note if the employee refuses to sign the document.

Disciplinary Event Outline

Date Prepared: _____ Employee Department/Division: _____

Employee Name: _____ Full/Part-time: _____

Title: _____ Supervisor: _____

Event: _____

Policies, Procedures, and/or General Directives Violated: _____

Expected Standard(s) of Performance: _____

Resulting Disciplinary Action(s): _____

Performance Warning Disciplinary Notice Final Disciplinary Notice

In the event of future violations of policies, procedures, or general orders, the employee may be subject to additional disciplinary action including written warning, suspension, and/or termination.

Summary Narrative

Use this space to summarize the matter being reported. A detailed narrative should be continued by attaching additional pages, if necessary.

Performance Improvement Plan (effective until _____)

Use this space to outline key measurable actions that will serve to assess the employee's progress toward improving performance. This area must also include milestones and checkpoints towards a date reflective of the next steps in the disciplinary process (i.e. resolution, extension, termination.). Supervisors should also use this space to take notes during check-ins.

- 1.
- 2.
- 3.
- 4.

Progress updates: Performance will be monitored by your supervisor with regular follow-up meetings.

Date	Notes/Comments	Supervisor Initials	Employee Initials

Failure to improve and meet expectations could result in further correction action, up to and including termination.

Employee Comments

Employee - Use this space to provide feedback regarding the events and performance action plan.

Disciplinary Status

Supervisor - Use this space to provide feedback regarding the outcome of the performance improvement plan (i.e. resolution, extension, termination).

In the event of future violations of policies, procedures, or general orders, the employee may be subject to additional disciplinary action including written warning, suspension, and/or termination.

Employee Signature _____ Date _____

Required Administrative Level Review

Supervisor Signature _____ Date _____

Print Name and Title _____

Next Level Supervisor Signature/Title _____

VP, Division Head Signature/Title _____

Notice: A copy of this Disciplinary Action Notice will be placed in the employee's personnel file. Supervisors should also place a copy of this Disciplinary Action Notice in their office personnel file.