

# Department of Finance and Administration Policy

**Policy Title: Disciplinary Measures Policy**

**Policy Number: 3.3**

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## **Purpose**

To ensure that Arkansas Department of Finance and Administration (DFA) employees apply disciplinary measures as set out herein.

## **Applicability**

This policy applies to all DFA employees.

## **Disciplinary Measures**

Supervisors are responsible for determining the appropriate level of discipline for a specific violation. Discipline must be applied equally to all individuals within the work unit. Supervisors shall consider all the facts and mitigating or aggravating circumstances surrounding the violation in deciding the level of discipline and should consult with the DFA Office of Personnel Management as needed.

Discipline must be applied by supervisors immediately, consistently and impartially and be aimed at improving employee behavior, job performance, and attendance issues. The following steps are not exhaustive and may be, but are not required to be, applied in the disciplinary process:

1. Verbal warning recorded in the employee's personnel file. All verbal warnings will not be considered in any disciplinary action after two years, unless there is a written warning related to the same type of offense during the two-year period; in which case, both the verbal and written warning will remain active for three years from the time of the written warning;
  - 1a. Verbal warning recorded in the employee's personnel file for an employee's leave related discipline including unexcused tardiness. All verbal warnings related to leave will not be considered in any disciplinary action after one year, unless there is a written warning related to leave during the one-year period; in which case, both the verbal and written warning will remain active for one year from the time of the written warning.
2. Written warning recorded in the employee's personnel file. Written warnings related to leave will be effective for a one-year period. All other written warnings will not be considered in any disciplinary action after three years, unless there is a suspension related to the same type of offense during the three years; in which case, both the written warning and suspension will remain active for five years from the time of the suspension.
3. Suspension without pay and recorded in the employee's personnel file. All suspensions will remain active for five years.
4. Termination.

A supervisor is not required to apply every disciplinary step. Some violations may require implementation of more severe disciplinary action, including immediate dismissal.

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Supervisors must focus on maintaining good records and documentation, investigate the violation and circumstances surrounding the incident, equate the severity of the discipline to the violation, not the person, discipline in private and warn the employee of the consequences of repeat offenses.

Supervisors should consult with the DFA OPM as needed.

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