

Rule R5-111D: Removing a Written Warning Notice and/or Final Written Warning Notice from a Staff Employee File

Revision 0. Effective date: July 30, 2009.

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I. Purpose and Scope

A. Purpose.

This rule outlines the process by which all University of Utah departments or units may request removal of a Written Warning Notice (WWN) or a Final Written Warning Notice (FWWN) issued to a staff member (non academic).

B. Scope.

[reserved]

II. Definitions

The definitions provided in Policy 5-111 apply for this rule.

III. Rule

- A. A request to remove a WWN or a FWWN from an employee's personnel file may be submitted by the staff member's current supervisor. The request must be submitted in writing to Employee Relations (ER) no sooner than 18 months after the date of the WWN and no sooner than 30 months after the date of the FWWN.
- B. The written request must include the following:
 - 1. Name and University ID number (UNID) of the staff member.
 - 2. The reason the supervisor wishes to remove the WWN/FWWN.
 - 3. The reason the conditions that led to the WWN/FWWN no longer apply.
 - 4. Acknowledgement that the WWN/FWWN will no longer exist and, if approved, the supervisor may not reference it in the future.
- C. All requests will be reviewed on an individual basis. The ER Specialist will evaluate the request based on the following:
 - 1. Legitimacy of the reason for the request.
 - 2. Performance of the individual since the warning.
 - a. No other warnings--verbal or written, since the warning was issued.
 - b. Must have at least one employee performance review or reviews at least annually, since the warning was issued. Employee performance review(s) must reflect satisfactory performance.
 - 3. The WWN must have been dated at least 18 months prior to the request for removal.
 - 4. The FWWN must have been dated at least 30 months prior to the request for removal.
- D. The ER Specialist will send a request to remove a WWN to the ER Manager for approval. A request to remove a FWWN will be sent to the ER Manager and then to the Assoc. VP of HR for final approval.

- E. If approved, the ER Specialist will:
 - 1. Notify the supervisor of the approval.
 - 2. Maintain appropriate documentation regarding the action which must reflect the basis for the decision to remove the WWN/FWWN.
 - 3. Remove the WWN/FWWN from the personnel file.
 - 4. Remove the WWN/FWWN from PeopleSoft.
 - F. This rule does not apply to cases where departments, in consultation with Human Resources and Legal Counsel, agree to the removal of a WWN or FWWN as part of a separation or resolution agreement.
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Sections IV- VII are for user information and are not subject to the approval of the Academic Senate or the Board of Trustees. The Institutional Policy Committee, the Policy Owner, or the Policy Officer may update these sections at any time.

IV. Policies/ Rules, Procedures, Guidelines, Forms and other Related Resources

- A. Policies/ Rules.
 - 1. Policy 5-111: Corrective Action and Termination Policy for Staff Employees
 - 2. Rule R5-111C: Egregious Behavior
- B. Procedures, Guidelines, and Forms. [*reserved*]
- C. Other Related Resources. [*reserved*]

V. References

- A. Policy 5-002: Personnel File

VI. Contacts

The designated contact officials for this regulation are:

- A. Policy Owner(s) (primary contact person for questions and advice): Director of Employee Relations for Human Resources
- B. Policy Officer(s): Chief Human Resource Officer and Executive Vice President for Health Sciences

See Rule 1-001 for information about the roles and authority of policy owners and policy officers.

VII. History

Revision History.

- A. Current version. Revision 0.
 - 1. Approved by the Cabinet July 30, 2009 with effective date of July 30, 2009.
 - 2. Editorial Revisions
- B. Previous versions.
- C. Renumbering
 - 1. Not applicable