UAP Purpose

The purpose of this University Administrative Procedure (UAP) is to ensure that an effective organizational accountability structure for human resources operations is in place to improve compliance with applicable federal and state laws, System Policies and Regulations, and University Rules and Administrative Procedures. This UAP will define the responsibilities for reporting exceptions to senior management for their review and appropriate action for non-compliance. This UAP also includes a list of defined violations that will be monitored by the Office of Human Resources (OHR) for non-compliance.

Official Procedures and Responsibilities

1. TRAINING

1.1 The OHR will develop and present training modules which focus on compliance with appropriate System Policies and Regulations, and University Rules and Administrative Procedures specific to the following operations:

1.1.1 Staff Hiring

1.1.1.1 UAP 33.99.01.P0.01 Employment Practices; and,

1.1.1.2 System Regulation 33.99.01 Employment Practices

1.1.2 Termination and Clearance

1.1.2.1 UAP 33.99.99.P0.01 Employee Clearance from the University

1.1.3 Performance Evaluations

1.1.3.1 System Regulation 33.99.03 Performance Evaluations for Non-faculty Employees

1.1.4 Employee Grievance Process

1.1.4.1 System Policy 32.01 Employee Complaint and Appeal Procedures; and,

1.1.4.2 System Regulation 32.01.02 Complaint and Appeal Process for Non-faculty Employees
1.1.5 **Employee Required Training**

1.1.5.1 *System Policy 33.05 Employee Training*; and,

1.1.5.2 *System Regulation 33.05.02 Required Employee Training*

1.2 After completion of training for employees responsible for the specific operations, listed in Section 1.1, departments will then be monitored for compliance.

2. **MONITORING AND REPORTING**

2.1 The OHR will monitor for compliance with the System Policies and Regulations, and University Rules and Administrative Procedures listed in Section 1.

2.2 The OHR will provide the Senior Vice President for Business Affairs with a periodic report of individuals, departments and/or colleges found to be non-compliant with the specific requirements of System Policies, System Regulations, University Rules and/or University Procedures in the operations listed in Section 1.

2.3 The Senior Vice President for Business Affairs will then notify the President and his executive council of these non-compliance issues.

2.4 Upon receipt of notification of specific violation(s), the area vice president will be responsible for ensuring that corrective action is taken.

2.4.1 The corrective action may range from requiring the employee to take additional training, to a verbal reprimand, to a written reprimand, to removal from position dependent on the frequency of the violation(s).

2.5 All documentation relative to the corrective action taken against an employee found to be non-compliant with the System Policies, System Regulations, University Rules and/or University Procedures in the operations listed in Section 1, will be placed in the employee’s official personnel file.

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**Related Statutes, Policies, Regulations and Rules**

- *System Policy 32.01 Employee Complaint and Appeal Procedures*
- *System Regulation 32.01.02 Complaint and Appeal Process for Non-faculty Employees*
- *System Policy 33.05 Employee Training*
- *System Regulation 33.05.02 Required Employee Training*
- *System Regulation 33.99.01 Employment Practices*
- *System Regulation 33.99.03 Performance Evaluations for Non-faculty Employees*
- *UAP 33.99.01.P0.01 Employment Practices*
UAP 33.99.99.P0.01 Employee Clearance from the University

Appendix

Violations of Human Resources Non-compliance Table

Contact Office

Office of Human Resources    936-261-1730