

**GUIDELINES FOR RESOLUTION OF COMPENSATION AND PERSONNEL  
ISSUES RESULTING FROM THE FINDINGS OF AUDITS AND  
MANAGEMENT REVIEWS**

Unless otherwise specifically addressed and resolved by The Regents in a matter relating to a named individual and circumstance, the following Guidelines shall be applied to curative actions resulting from the three audit reports, internal management reviews and related disclosures.

**A. CURRENT EMPLOYEES**

1. UNINTENTIONAL ERRORS

Unintentional administrative errors (i.e., overpayments, payroll coding errors, misclassifications, etc.) will be corrected as soon as reasonably possible including agreements for repayments to the University if appropriate. Such repayment, where feasible and appropriate to do so, may be accomplished by offsetting from amounts due the employee from future payments.

2. WRITTEN AGREEMENTS MADE AT TIME OF HIRING

All payments due employees in accordance with written "Offer Letters and/or Hiring Agreements" which contain elements which are not consistent with University, Senior Management and/or Academic Personnel policies (or where no policy addresses the matter) will be submitted to The Regents for action.

Generally, the recommendation would be to honor the written agreements unless those items are specifically modified or eliminated by way of a written agreement between the University and the employee, or there were a violation of state or federal law involved in which case immediate appropriate actions would be taken to remedy the situation.

3. NO WRITTEN AGREEMENT

In instances where there was no written agreement and the elements that required Regental approval were appropriate and reasonable and in all likelihood would have been approved, the recommendation would be to submit the elements for approval by The Regents. In evaluating these cases, consideration will be given to recommending continuation of the compensation payment if the employee was made a commitment by a University employee, and the employee had no knowledge or reasonable ability to determine that such a commitment required Regental action.

4. PAYMENTS MADE THAT ARE INCONSISTENT WITH AGREEMENTS MADE AT THE TIME OF HIRING AND ARE NOT IN ACCORDANCE WITH POLICY

In instances where payments were made that were not in accordance with policy and were inconsistent with the terms of the agreements made at the time of hiring or were not a part of the employment offer, each case will be analyzed and will be referred to the Office of General Counsel to determine the legal implications. Appropriate action will be submitted to The Regents. Whenever appropriate and legally feasible, payments will be suspended on an interim basis until Regental action. In evaluating these cases, consideration will be given to recommending continuation of the compensation payment if the employee was made a commitment by a University employee, and the employee had no knowledge or reasonable ability to determine that such a commitment required Regental action.

**B. FORMER EMPLOYEES**

Elements of any former employee's employment arrangement which are not consistent with University, Senior Management and/or Academic Personnel policies generally will not be acted upon if the employee is not returning to the University (such as from an administrative sabbatical to teach), but in all cases the situation will be noted in the former employee's personnel file. If the employee is returning, the matter will be handled in accordance with the guidelines for Current Employees above.

**C. CORRECTIVE ACTION FOR ADMINISTRATORS**

1. A review shall be undertaken to determine what corrective action shall be taken for any administrator who acted beyond his/her authority and/or approved elements of compensation in violation of University, Senior Management and/or Academic Personnel policies. Remedies may include, but are not limited to, issuance of a letter to be placed in the administrator's personnel file, consideration in the performance review and related salary actions for the administrator, reassignment of the administrator to another position, or removal/termination, depending upon the severity of the case.
2. Such violations and corrective action shall be reported to The Regents. In such instance where the position reports to The Regents, a recommendation shall be made to The Regents for action.

**D. APPLICATION OF GUIDELINES**

All cases being reviewed under these Guidelines must be evaluated for consistency in both application of the Guidelines and treatment among similarly situated employees throughout the University.