
Supervisor's Guide to Performance Management: Coaching & Corrective Action

What is Performance Management?

Performance management focuses on the supervisor's basic responsibility of encouraging results through the efforts of other individuals and is the foundation of performance excellence. Effective performance management is an on-going process which involves the position description, performance evaluations, corrective action, and rewards and recognition through a coaching model.



What is Coaching?

Coaching is an ongoing process of helping employees identify and overcome obstacles hindering them from excelling at their jobs. A key role of every supervisor is to coach each member of your team to achieve his or her best job performance. In essence, opportunities for coaching your team will occur daily, both formally and informally. By practicing this approach, you can create an environment of teamwork and collaboration, recognize effort and celebrate success, and enhance your team's overall performance.

Employee coaching requires interactive conversations. Respectful interactions are generally conducted in a face-to-face meeting. While there may be some coaching opportunities and communication that can be conducted via email, supervisors should handle any communication of a serious nature in person.

Employee coaching begins with planning, organizing, and leading the work unit. This responsibility requires the supervisor to:

A. Establish Expectations

- Create/modify position descriptions
- Set office expectations
- Develop standard office procedures

B. Communicate Clearly

- Purposely take time to meet with each employee
- Communicate standards of work performance clearly and frequently
- Listen to employees and answer questions
- Solicit feedback
- Identify tools and resources to support employees
- Maintain a current and accurate position description with each employee and on file with HR

C. Hold Employees Accountable

- Give periodic feedback on quality & quantity of work
- Make sure the employee understands the evaluation criteria
- Work together on goals and training to attain those goals
- Give feedback and conduct evaluations as appropriate

What is Employee Corrective Action?

When an employee continuously fails to meet established organizational standards and expectations in job performance, the supervisor should utilize a corrective action approach. Corrective actions should give the employee a reasonable opportunity to correct deficiencies and improve overall work performance. *The supervisor should maintain confidentiality throughout the corrective action process, but may share information with appropriate personnel who have a business need to know.*

If it is determined that corrective action is necessary, the supervisor should begin with fact finding by discussing the issue and concerns with the team member in question and any parties involved as necessary. Once the facts have been collected and reviewed, the supervisor should consider additional variables of the specific situation before deciding the form of corrective action taken. These variables may include:

- Behavior
- Severity
- Business impact
- Patterns (employment history & previous actions taken by the department)

Supervisors are encouraged to contact Human Resources, Talent Management to discuss challenges and possible solutions before taking corrective action.

There are several tools of corrective action available. Each has varying degrees of severity, as well as varying options and requirements for documentation. Please see the *Matrix of Coaching & Corrective Action Tools* (pg. 5) for a complete list of tools and guidance regarding the use of each tool.

Documentation for any written or administrative action is required, even if just notations from a verbal counseling. However, formal documentation is required for a Warning and a Final Warning. The supervisor may choose to use the Corrective Action Notice Form **or** a memo to the employee printed on department letterhead. All corrective actions must contain the following information:

- Employee's name, R#, job title, department and supervisor's name
- Type of corrective action currently being taken
- Any related corrective action taken, including the date and reason for corrective action the description of the incident (*what did or didn't the employee do or say?*) leading to corrective action being taken, including the date of the incident, manager's review of findings (*avoid speculation, assumptions, or hearsay*) and policy violated
- Exactly what you expect of the employee going forward and when you expect compliance
- How and when you and the employee will follow-up regarding these expectations
- Employee and supervisor's signature and date of signature
- Additional approval signatures, if applicable

These documents must be signed and dated by the supervisor and the employee. If the employee refuses to sign the document, the supervisor should write "declined to sign" on the employee signature line.

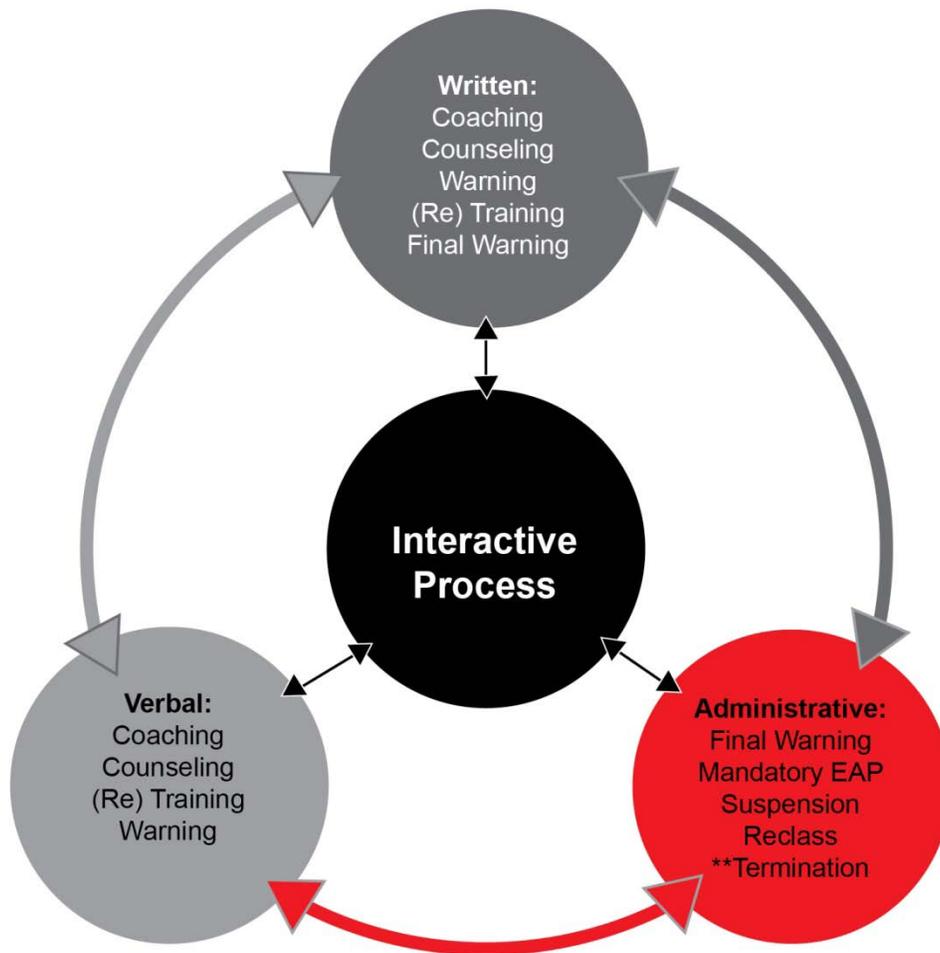
What are Coaching & Corrective Action Tools?

Interactive Process describes any communications where a supervisor identifies means to help an employee perform the essential functions of their job. During any corrective action discussion, the supervisor should:

- Review previously established expectations
- Inform the employee of the deficiency
- Engage the employee in an interactive discussion regarding the deficiency
- Identify steps necessary to correct the deficiency
- Communicate with the employee regarding their progress by following-up regularly

The Coaching & Corrective Action Tools provided are methods a manager may use to strengthen or enhance work performance, or correct deficiencies if needed. It is imperative that managers keep in mind the business need and severity of behavior when selecting the appropriate tools.

Coaching & Corrective Action Tools



Matrix of Coaching & Corrective Action Tools

Verbal	Written	Admin	<u>Coaching & Corrective Action Tools:</u>	<u>Selection Criteria:</u> <i>(Coaching happens every day; other decisions are based on behavior, severity, business impact and patterns)</i>
X	X		Coaching	Train and guide Improve or enhance performance Prepare for advancement Develop for greater responsibility Build confidence & esteem
X	X		Counseling	Inappropriate behavior Violation of work rules Poor job performance Repeated violations or failures to improve
X	X		Training	To gain knowledge To enhance skills To learn new skills
X	X		Retraining	When changes in process are established When specific business practices are not known Failure to perform job functions
X	X		Warning	Inappropriate behavior Repeated violations or failures to improve Disruptions to business functions
		X	Suspension	Serious violations of work rules Harsh or serious violations of policy
		X	Final Warning	Pattern of failure to meet stated expectations Significant disruptions to business functions
		X	Mandatory EAP	Substance abuse (impacting job performance) Behavioral concerns (impacting job performance) Violence Issues (impacting job performance) (EAP is a free optional service for benefits eligible employees, but may be mandated under specific instances)
		X	Reclassification	Failure or inability to perform functions of job Business needs of the University Desire of employee to work in another available capacity
		X	**Termination	Pattern or failure to meet stated expectations Repeated violations of rules, policy or expectations Poor decisions gravely impacting business functions

*The above tools do **not** indicate procedural steps that must be utilized before proceeding to termination.*

Levels of Corrective Action:

A **verbal** corrective action is any informal discussion a supervisor may have with an employee regarding improvements in job performance or conduct. It is good practice to make notes of discussions with the employee. **(Human Resources consult available, but not required)**

A **written** corrective action is any formal, documented discussion between a supervisor and an employee regarding job performance or conduct. These discussions must be formally documented, as well as the action expected from the employee going forward. **(Human Resource consultation recommended)**

An **administrative** action is a written corrective action of a serious nature and requires approval from Human Resources before it is presented to the employee. **(Requires Human Resource Approval)**

The university will make a judgment in the best interest of the institution and will consider all relevant factors when making decisions including: **behavior, severity, business impact, and patterns.**

****Should an employee's behavior be so severe or significantly impact a business function, the supervisor should contact Texas Tech Police and/or send the employee home as appropriate. Immediate follow-up with Human Resources is required.**

Keys to Writing Strong Corrective Actions:

- Take timely action and implement as quickly as possible
- Be consistent (document mitigating factors)
- Be respectful / check emotions at the door
- Be objective, clear and detailed
- Accountability / Clear consequences
- Involve employee in developing solution (when appropriate)
- Gain agreement (when possible)
- Follow with formal and informal discussions

Common Mistakes to Avoid:

- Using names other than the employee being counseled
- "See attached"
- White out mistakes or changes
- Typing signature date (apply date at same time as signed)
- Reason for absences (red flags – medical, FMLA, ADA)
- Listing sick or vacation leave pay used
- General conclusions such as:
 - "Bad attitude"
 - "Poor performance"
- Superficially neutral descriptions that could be misinterpreted as discriminatory such as:
 - "Too emotional"
 - "Rigid and resistant to change"

**“Most claims happen not because of what we do but
because of what we don’t do”**

- Jonathan A. Segal, J.D.
Partner, Duane Morris LLP in the Employment Labor, Benefits and Immigration Practice Group

The ***Employee Corrective Action Form*** and the ***Supervisor’s Guide to Performance Management: Coaching & Corrective Action*** can be located on the TTU HR website under *Forms/Performance Management* (<http://www.depts.ttu.edu/hr/forms.php>).

Please contact Human Resources Talent Management at 742-3650 for any questions or assistance.

Corrective Action

Employee Name Ima Sample **R #** 00654321 **Date** Jan 20, 2012

Job Title Data Analyst

Department Financial Services

Supervisor Ida Boss

Action Level

Counseling Warning Suspension without Pay ____ days

Previous Corrective Action(s) (including date, action and reason):

None

Description of the incident (include date of the incident, what did the employee do or not do, the policy violated, and how did the employee know this was wrong or not appropriate?): ****Statement of facts and not opinion****

On December 23, 2011 and January 13, 2012, you turned in your monthly accounting reports after deadline. Upon discussion with you regarding these late reports, you stated that you turned the reports in on time but, due to errors that required correcting, the reports had to be resubmitted after the deadline. You were advised during our initial expectations meeting that all reports must be submitted error-free not later than their due date.

Your actions violate Texas Tech Operating Policy and Procedures 70.31: Employee Conduct, Discipline, and Terminations, paragraph 4. item (25); Failure to meet acceptable job performance standards or reasonable expectations, including productivity or quality established for the assigned position.

Expectations (include action plan for improvement):

Effective immediately, you will submit your monthly reports in an error-free condition and not later than the established due date. Additionally, you may turn your report in early for discovery of errors, but you must be sure to correct the errors and resubmit the report on or before the deadline.

Action Items: (What will the employee do in the future to correct behavior of performance?) ****Employee input recommended****

During our meeting we discussed a plan of action to ensure your future performance meets expectations. You agreed to either find and correct all errors yourself or submit your reports early for help in finding errors, while allowing yourself enough time for corrections before the deadline.

Follow-Up Plan & Timeline

We will meet to follow-up in 15 and 30 days, immediately following completion of your monthly accounting reports, to determine if you are following through on your plan of action and if your reports are meeting expectations for timeliness and accuracy.

Failure to show immediate and sustained improvement in your performance and/or other violations may result in further corrective action, up to and including termination of employment. You may respond to this corrective action in writing within 10 business days.

I acknowledge receipt of this notice and discussion of its contents.

Employee Signature

Date

Supervisor/Manager Signature

Date

R # 00123456

Original - Human Resources Copy - Employee Copy - Department File

Employee Name Ima Sample

R # 00654321

Date Jan 20, 2012

Continuation

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DEPARTMENT LETTERHEAD

MEMORANDUM

To: Ima Sample, R00654321

From: Ida Boss
Managing Director, Financial Services

Date:

Subject: Final Warning

On February 10 and February 24, 2012, you failed to turn in your monthly accounting reports. Upon discussion with you regarding these late reports, you stated your reports were late because you got behind schedule due to working on a special project for the Staff Senate. This delinquency resulted in a financial loss of \$5,000 per report; a total loss of \$10,000.

This is not the first time you have turned your monthly accounting reports in after the deadline. You were given a written counseling on January 20, 2012 for failing to submit your December 23, 2011 and January 13, 2012 reports by the deadline and in an error-free manner.

This behavior is in violation of Texas Tech University Operating Policy and Procedure 70.31: Employee Conduct, Discipline, and Terminations, Paragraph 4. Employee Conduct; Item b. A breach of trust and/or misconduct includes, but will not be limited to, the following offenses: (25); Failure to meet acceptable job performance standards or reasonable expectations, including productivity or quality established for the assigned position.

Your actions are unacceptable and contrary to Texas Tech University's charge for an effective, efficient, and orderly workforce and reflect negatively on the university. I can no longer tolerate your mismanagement of responsibilities associated with your position. Your primary responsibility is the accurate and timely accounting of financial resources assigned under your authority. Any tasks or activities not directly associated with the essential functions of your position are secondary and must not interfere with your ability to discharge your duties in accordance with established expectations.

My expectations moving forward are that effective immediately you will submit your monthly reports in an error-free condition. Additionally, you will turn your report in early for discovery of errors, but you must be sure to correct the errors and resubmit the report on or before the deadline. Finally, you will complete only the work that is associated with your position in Financial Services during regularly scheduled working hours.

We will meet to follow-up in 15 and 30 days, immediately prior to completion of your monthly accounting reports, to determine if you are following through on your plan of action and if your reports are meeting expectations for timeliness and accuracy.

Final Warning – Ima Sample, R00654321

Failure to show sustained improvement in your performance and/or other violations may result in further corrective action, up to and including termination of employment. You may respond to this corrective action in writing within 10 business days.

Signature below indicates that you have read this document, received a copy and understand the directives. It does not indicate agreement.

Ima Sample

Date

Ida Boss

Date

cc: Personnel File