



## PERFORMANCE MANAGEMENT DOCUMENTATION AND COACHING

For UTMB to fulfill its mission of patient care, education, research, and community service, the organization as a whole needs to recruit and retain qualified employees. It is very important that all employees are aware of their organization's commitment to follow the laws and regulations as well as the importance of meeting performance standards. More traditional progressive discipline approaches have been proven ineffective in addressing behavioral issues and poor performance. Traditional approaches tend to be more punitive and confrontational and less effective in gaining employee commitment in meeting expectations.

UTMB utilizes a performance management program called "Positive Response for Employee Performance" (PREP) which is based on the book Discipline Without Punishment by Dick Grote. The concepts of this program incorporate key strategies in addressing everyday problems of absenteeism, bad attitudes, and poor performance, which include following:

- Setting a foundation of communicating expectations during the hiring process and addressing issues before potential problems arise.
- Employees be made aware of all performance deficiencies and be given an opportunity to correct the problem(s).
- Employees taking personal responsibility for their actions and making decisions about their performance. (There must be a system that empowers employees to make choices about their performance and be accountable for the consequences of their choices.)
- At an early stage, coaching a potentially good employee who has gotten off track.
- Having a more proactive approach to avoid confrontational situations that can damage supervisor-employee relationships and potentially impact the work flow.

### **DIFFERENCE BETWEEN TRADITIONAL APPROACH AND POSITIVE RESPONSE FOR EMPLOYEE PERFORMANCE**

<b>Traditional Approach</b>	<b>Positive Response for Employee Performance</b>
Based on punishment – short term effects on behavior	Based on reinforcement – long term effects on behavior
"Crime must be followed by punishment mentality". The goal is more often to "get rid" of the employee rather than change problem behavior.	Employees are reminded of performance expectations and of their responsibility within the organization. Emphasis is on behavior change.
Unpaid suspension punishes employee and does not correct problems.	Paid leave demonstrates the organization's confidence in the employee to correct the problem.

4 step process – Verbal warning, written warning, suspension, termination	4 step process – Verbal reminder, written reminder, decision making leave, and termination.
Supervisors become dispensers of punishment.	“Coaching instead of counseling”
Employees are punished into compliance and not into commitment.	Employees make the decision about compliance.

### **COACHING**

Coaching is an open discussion between the supervisor and employee aimed at gaining the employee’s agreement to improve performance. This discussion must take place before implementing any formal disciplinary action. During the coaching process, the supervisor should identify the area(s) of deficiency or performance gaps, compare what is expected to the actual performance, identify to the employee the consequences of their actions, establish and agree on a course of action.

The supervisor should encourage the employee to provide input and ask the employee to develop a performance improvement or action plan. The action plan (to follow) should specify specific goals for the employee to achieve, timetable and set target date, and the measure that will be taken to improve performance.

**POSITIVE RESPONSE TO EMPLOYEE PERFORMANCE  
COACHING DOCUMENTATION**

Name \_\_\_\_\_ Employee # \_\_\_\_\_  
 Today's Date \_\_\_\_\_ Date of Occurrence(s) \_\_\_\_\_  
 Situation/Task \_\_\_\_\_  
 \_\_\_\_\_

Actual Performance	Expected Performance
<b>Action</b>	<b>Action</b>
<b>Result</b>	<b>Result</b>

**Employee Improvement Plan** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Employee Comments** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Employee's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Supervisor's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

#### **4 STEPS IN POSITIVE RESPONSE FOR EMPLOYEE PERFORMANCE:**

If there is no improvement after the employee has been coached on their performance and given an opportunity to improve, formal corrective action may be necessary. Before taking disciplinary action, supervisors should consider the following:

- Has coaching occurred and have expectations been clearly communicated?
- Is there evidence that the employee violated a policy or performance standard?
- Does the discipline match the seriousness of the offense?
- Did anything prevent the employee from achieving expected performance?
- Does the employee have the skill-sets to meet performance expectations?

*When formal corrective action is necessary, the following steps are to be used:*

#### **LEVELS OF ACTION**

##### **1) VERBAL REMINDER**

A verbal reminder is normally used for minor violations of UTMB policies and for failure to achieve competencies

##### **2) WRITTEN REMINDER**

A written reminder is issued for:

- a second minor violation within a six month period
- chronic minor violations, regardless of timeframe
- first-time occurrences of more serious violations
- continued failure to achieve competencies

**3) DEPENDING ON THE CIRCUMSTANCES** of the violation and management's assessment of what may be most effective in changing behavior, one of the following forms of corrective action may result:

**a) Final Written Reminder** clearly indicating that the next step is discharge if behavior is not rectified or:

##### **b) A Decision Making Day (DMD)**

Consisting of one day away from work site with pay. On this day, the employee must;

- meet with Employee Assistance Program (EAP) staff if necessary
- consider the issues and problems which have resulted in this action
- decide whether he/she is committed to meeting UTMB's expectations and performance standards

- complete a written action plan which outlines the steps the employee will take in order to achieve the expected standards of performance

**c) A Corrective Suspension** in which the employee is sent home without pay for one or more days. (May only be used with HR approval for serious misconduct.)

#### 4) TERMINATION

Employees may be terminated who:

- do not correct their behavior or fail to achieve competencies at anytime within the six month period following a Final Written Reminder
- refuse to commit to UTMB's standards

#### UTMB Performance Management Matrix-Employee

Supervisor Action	Documentation Required	Signature Required	Notification Required	HR Involvement	Time Active	Eligible for Transfer while active?	Appeal/ Grievance Possible?
Routine Performance Coaching	Performance Review or routine coaching worksheet	None	None	Advisory if requested	N/A	N/A	N/A
Coaching Poor Performance	f/u Memo or email	None	None	Advisory if requested	N/A	N/A	N/A
<b>DISCIPLINARY ACTION BEGINS HERE</b>							
Oral Reminder	Summary memo after meeting with action plan if necessary	Supervisor	Verbal or email to next level manager	Recommended review	one year	Yes	Grievance possible
Written Reminder	Written memo with action plan	Supervisor & employee	Next level manager	Recommended review	one year	No	Grievance possible
Decision Making Day	Written memo with action plan	Supervisor & employee	Next level manager	Required review	one year	No	Grievance possible
Suspension (misconduct only)	Intent to suspend letter and suspension letter	Supervisor & employee	Next level mgr and dept head	Required review	one year	No	Appeal possible
Termination	Intent to terminate letter and termination letter	Supervisor & employee	Next level mgr and dept head	Required review	N/A	N/A	Appeal possible

### **Guidelines to Consider:**

- All phases of the process are intended to assist employee in meeting performance standards.
- Coaching must precede formal disciplinary action except in cases of gross misconduct.
- Suspension or Final Written Warning may only be used in cases of misconduct and must have HR approval.
- Decision making day will not exceed one day and employee will be assigned the “work” of returning the next morning with a decision about performance.
- Steps in process may be omitted only when severity of performance justifies. HR must review any situations in which steps are omitted.
- Employees retain the right to grieve or appeal as provided by applicable Regent’s Rules and state law.
- Verbal reminders are retained in department file for one year.
- Written reminders go to Employee Records with relevant verbal reminders attached. If no further performance issues arise in one year, a letter is sent to file indicating performance has improved and employee is no longer considered under disciplinary action.