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| Minnesota Urology P.A. | |
| Policy Title | Corrective Action Policy |
| Department | Human Resources |
| Departments/Individuals Affected | All Departments; All Employees |
| Date Effective / Written By | April 13, 2018/Dave Carpenter, CEO and Human Resources |
| Version Number | v.04.13.18 |

**Corrective Action Process**

All leaders are expected to provide ongoing coaching and guidance to employees, including recognition for exemplary behavior and strong performance. At times, problems may arise with employee conduct. When this occurs, it is imperative that leaders address concerns in a timely manner.

Addressing unacceptable behavior is an interactive process that should include Human Resources. Honest, timely and constructive feedback about *specific* unacceptable behavior is a critical part of the collaborative process between leaders and their direct reports. When an incident occurs, an accurate written accounting of the *specific* behavior in question should be thoroughly documented including dates, times, those involved, and a narrative of any discussions that occur. ***Issues involving any form of potential harassment, hostile environment or discrimination should be brought to human resources immediately***.

To help guide company leaders, the following table outlines the types of progressive corrective action in sequence, and the process that should be followed. While not all situations will follow the same course of action, consistency should remain a priority.

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| **Corrective Action Step** | **Description/Process** |
| Seek to Understand | Before any form of corrective action is implemented, the leader should conduct a “seek to understand” conversation with the employee. The purpose of this conversation is to gain an understanding of the employee’s perspective regarding the behavior in question. In this regard, accusatory statements or conclusions about the behavior in question should be avoided. The goal is to understand and fully document in writing the employee’s side of the story. Depending on the degree of the incident, Human Resources may be involved or may lead the discussion. In most cases, this should be a separate conversation from delivering any sort of corrective action. |
| Verbal Coaching (Verbal Warning) | If the behavior in question is deemed inappropriate, verbal coaching should occur as an initial method of corrective action. See the section below titled “Coaching Guidance” for tips on how to conduct a coaching conversation with an employee. This conversation must be thoroughly documented and stored in a confidential location with the leader. This step does not need to include Human Resources. |
| Written Warnings | If verbal coaching has not corrected a problem within the timeframe set through verbal coaching, a written warning should be completed. This form can be obtained by Human Resources and is used to escalate the corrective action process. ***The completed document must be reviewed by Human Resources before being delivered to the employee***. Human resources will review the written warning to ensure it is clear, complete, consistent with company policies/procedures, and compliant with federal/state employment law. As part of this review process, Human Resources will require any previous verbal warning and coaching documentation.  If the unacceptable behavior or conduct continues, more than one written warning may be given. Leaders should consult with HR on the timing and process of these warnings. |
| Delivering Corrective Action | When delivering a written warning, it should be read out loud to the employee. The leader should ask for and receive confirmation from the employee that he/she understands the warning content and corrective action expectations. In applicable situations, the company’s No Retaliation Policy should be reviewed with the employee. The employee should be asked to sign the written warning to acknowledge receipt. Refusal to sign should be noted on the written warning. The employee should also be given an opportunity to document on the written warning any comments they may have. |
| Recordkeeping | In instances that have progressed beyond the verbal warning stage, all:  Documentation related to the corrective action process (verbal warning/coaching, written warnings, e-mails, summaries of conversations, etc.) must be submitted to Human Resources for proper filing. |
| Suspension or Termination | There may be times when an employee’s specific action is so egregious, or a behavior has continued after exhausting all corrective action efforts, that suspension or termination is warranted. These situations are serious matters, and suspension or termination should be considered as a final option. In all potential suspension/termination situations, Human Resources and the CEO must be engaged to help guide the best course of action and minimize any potential risk to the company. |

As a general rule, the look back period for previous corrective actions given to an employee should only be 12 months. Any correction actions given prior to 12 months should not be considered as part of progressive discipline.

**Coaching Guidance:**

Coaching consists of a conversation between the leader and the employee to outline the specific unacceptable behavior, the impact it is having on others and the organization, clear expectations on how the behavior needs to change, and a realistic timeline for the change(s) to occur. If appropriate, the leader may also indicate to the employee how follow up will occur to ensure the expectations are being met. Below are some specific tips on conducting effective coaching conversations.

1. Cordially explain the purpose of the conversation in a private place where no other employees or patients can overhear.
2. Describe the undesirable behavior factually and neutrally. Give specific examples and be accurate. Explain how the behavior negatively affects the organization.
   1. Avoid opinion statement such as “bad attitude”, “moody”, etc.
   2. Stick to the specific facts such as, “you were late three times last week”, “you did not meet the deadline of that task”, or “that patient’s complaint about you included…” etc.
3. Explain the expectation by referring to a specific policy that was violated or by reviewing the job responsibility within the job description to provide clarity.
   1. Have a positive and motivating attitude and tone regarding the employee’s ability to improve to meet the expectation. Remember, “Assume positive intent”.
4. Check for understanding. Directly ask the employee if they understand or have questions.
5. Explain the realistic timeline for expected improvement and the specific consequences if the behavior continues. You should say, “If this behavior (or level of performance) continues, you may be subject to further corrective action up to and including termination”.
6. Thank the employee for their time and let them know they may reach out to you if they have any follow up questions regarding this topic.
7. Document the conversation and ensure the employee’s time record includes the time spent in the conversation so they will be paid appropriately.

Questions about this process should be directed to Human Resources.