



UnityPoint Health

Methodist – Proctor - Pekin

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Section: A

Policy #: A-4.4

Approved by: Joy Ledbetter

Date: 1/1/2018

Review by: 1/1/2021

GENERAL ADMINISTRATION

Supersedes: 5/2013, 12/20/2012, 07/28/2016

Date Revised: 1/1/2018

Primary Responsible Parties: W. Hess

Secondary Responsible Parties: L. Plantamura

Joint Commission Standard: HR

SUBJECT: **CORRECTIVE ACTION**

I. POLICY

UnityPoint Health provides guidelines for the administration of corrective action **utilizing a fair and just culture.**

II. PURPOSE AND STANDARD

Corrective Action provides a structured means to address behavior, performance and/or policy issues while complying with regulatory standards and guidelines.

III. POLICY SCOPE

This Policy applies to all Methodist Health Services Corporation affiliates. UnityPoint Health-Methodist, UnityPoint Health-Proctor, UnityPoint Health-Pekin.

IV. GENERAL INFORMATION

UnityPoint Health commits to holding team members accountable for their own performance in accordance with their job responsibilities and the FOCUS values. However, UnityPoint Health recognizes that competent professionals will make mistakes and team members should not carry the burden for system flaws over which they have not control.

UnityPoint Health has zero tolerance for reckless or willful violation of well-defined national patient safety goals, policies/procedures and negligent behavior.

UnityPoint Health commits to:

- Giving constructive feedback and critical analysis in skillful ways
- Doing assessment after careful collection of facts
- Having respect for the complexity of the situation
- Providing fair minded treatment
- Having productive conversations
- Creating effective structures that help team members reveal their errors and helps the organization learn from them

- Recognizing that competent professionals make mistakes and acknowledges that even competent professionals can develop unhealthy norms (shortcuts, routine rule violations) but has zero tolerance for reckless behavior

A Fair and Just Culture does not mean:

- Non-accountable
- Avoidance of critique or assessment of competence

Corrective action is determined on a case-by-case basis, considering all relevant facts. UnityPoint Health reserves the right in any particular situation impose any level of corrective action, up to and including termination. Team members who are in a leadership role are considered role models and may be held to a higher level of accountability. Please reference the steps of discipline outlined in policies A-4.1 and 1.HR.04 for attendance and HIPAA related corrective action.

Certain misconduct, poor performance problems, and HIPAA violations are of such a serious nature as to warrant immediate final written warning or termination as appropriate at the discretion of UnityPoint Health. The following offenses are examples of conduct regarded as so serious that **no specific warning or prior action need precede a final written warning or termination**:

- Abuse, gross neglect, or inconsiderate treatment of patients
- Failure or refusal to follow FOCUS values after attending Service Always class
- Falsification of a timecard or any record (patient, insurance, employment, accident report, etc).
- Fighting with, threatening, intimidating, coercing, physically abusing or interfering with other team members, patients, visitors, or persons doing business with UnityPoint Health
- Violation of HIPAA (See 1.HR.04)
- Identification as an excluded individual pursuant to the policy on Individuals and Entities Excluded from Participation in Federal Health Care Programs
- Illinois background check or conviction of any other illegal act, which is detrimental to the organization
- Job Abandonment
- Possession of weapons
- Practicing or promoting discrimination against or harassment of another team member or group of team members
- Theft/Fraud
- Release of confidential information (including but not limited to patient, insurance, employment, etc.)
- Violation of the Reasonable Suspicion/Fit for Duty policy
- Willful destruction of property
- Any other conduct similarly detrimental to UnityPoint Health or its patients, physicians, team members or visitors.

Directors/Managers are encouraged to use corrective action for misconduct and performance problems of a less serious nature. While it is difficult to set forth all of the rules of misconduct which **will result in corrective action**, the following list of improper actions will serve as a guide:

- Insubordination or failure to carry out instructions and job assignments issued by leadership
- Sleeping on duty
- Violation of computer security procedures or standards
- Unauthorized solicitation or distribution
- Violation of the Parking policy
- Failure to report employee accidents or other unsafe work practices or refusing to assist in an accident or safety investigation

- Disruptive behavior or behavior that interfere with the performance of other team members
- Absenteeism/tardiness (see A-4.1) or abuse of leave of absence
- Incompetence-demonstrated or documented inability to perform work assignments
- Failure to follow FOCUS values
- Failure to maintain confidentiality of patient, hospital, or team member information (See 1.HR.04)
- Any other conduct or performance of similar severity

Corrective Action for FOCUS Values and Standards of Behaviors

Support of the FOCUS values and Standards of Behavior should be reflected within the corrective action process by utilizing the Goal Setting Worksheet and the Tool for Performance Management. This tool reflects the DESK coaching model as well as incorporates behavior descriptions that can be used to provide a solid foundation and examples when completing the corrective action form. Final Written Warnings related to behavior based conduct requires attendance at a Service Always class.

The corrective action options listed below are meant to serve as guidelines. The action selected will depend on the nature of the misconduct, performance problem or HIPAA violation and the employee's previous history of performance. Any proposed action of a Final Written Warning or Termination must be reviewed with the HR Business Partner prior to the action being implemented. Corrective action may include the following and is at the discretion of UnityPoint Health:

A. Coaching/Counseling

Nothing in this policy is meant to preclude and/or prohibit normal day-to-day communications and/or coaching and counseling sessions between the Director/Manager and the team members working with them. Any conversation with a team member should be documented to support coaching/counseling. Often, problems can be solved on an informal basis prior to corrective action. While not part of the formal process, coaching and counseling sessions may, in certain cases, be appropriate. During a coaching and counseling session follow the DESK model as outlined in the Tool for Performance Management.

B. Verbal Warning

The Director/Manager should explain why the conduct or performance is unacceptable and why it is important to correct job performance issues and/or policy violations. The Director/Manager should specifically outline what will happen if this situation is not corrected or further policy violations occur. As part of the discussion, the team member may be required to complete an action plan of how he/she intends to correct the situation. The discussion must be documented on the Corrective Action form. This documentation becomes a part of the team member's file in Human Resources.

C. Written Warning

There may be job performance issues and/or policy violations, which negatively impact patient care or are in direct violation of the values/mission of the organization. The Director/Manager may elect to issue a written warning to the team member. As part of the discussion, the team member may be required to complete an action plan of how he/she intends to correct the situation. The discussion must be documented on the Corrective Action form. This documentation becomes a part of the team member's file in Human Resources and may be considered by UnityPoint Health when appraising the team member for promotion or transfer.

D. Final Written Warning

There may be job performance issues and/or policy violations, which negatively impact patient care or are in direct violation of the values/mission of the organization and are so detrimental to the organization, significant action will result. The Director/Manager may elect to issue a final written warning to the team member. The Director/Manager may elect to issue a non-paid suspension or EAP referral in conjunction with a final written warning based on the nature of the issue. Suspension of salaried team members may be

with pay. Final Written Warnings related to behavior based conduct requires attendance at a Service Always class. As part of the discussion, the team member will be required to complete an action plan of how he/she intends to correct the situation. The discussion must be documented on the Corrective Action form. This documentation becomes a part of the team member's file in Human Resources and may be considered by UnityPoint Health when appraising the team member for promotion or transfer.

E. Administrative Leave

Directors/Managers may be faced with instances where final written warning or termination may result. When further investigation is contemplated or necessary the team member may be placed on Administrative Leave. If possible, consult with the HR Business Partner prior to placing a team member on administrative leave or immediately thereafter as appropriate. The administrative leave may be with or without pay at the discretion of UnityPoint Health.

Any exception or modification of this policy must be approved by the Vice President of Human Resources.

CORRECTIVE ACTION

Date:		<input type="checkbox"/> Verbal Warning <input type="checkbox"/> Written Warning <input type="checkbox"/> Final Written Warning <input type="checkbox"/> Administrative Leave For Investigating An Issue <input type="checkbox"/> Termination <i>Not all steps are required in the corrective action process.</i>
Employee Name:		
Employee ID #:		
Dept Name:		
Manager Name:		

Your corrective action is being issued for the following reasons: <input type="checkbox"/> Policy violation <input type="checkbox"/> Job performance <input type="checkbox"/> Safety <input type="checkbox"/> FOCUS Values/Standards of Behaviors ***** <input type="checkbox"/> Review Just Culture Matrix with employee		
Date of the occurrence:		
Describe the Performance/Behavior Deficiency		
Performance Expectation		
Action Items for Success	Manager Support (things that I as a leader will do to show support of this plan)	Employee Support (things that I will do as an employee to show support of this plan)
Consequences of Continued Performance/Behavior Deficiency		
Has the employee been warned previously for a similar occurrence?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If YES, when did it occur?

NEXT STEPS (if any):

Days Suspended:		Dates Suspended:			
Date to Report to Work:		Time to Report to Work:			
Service Always class		Date/Time:		Location:	
Employee Assistance Program 1-800-433-7916		Date Recommended:			
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EMPLOYEE COMMENTS (if any):					

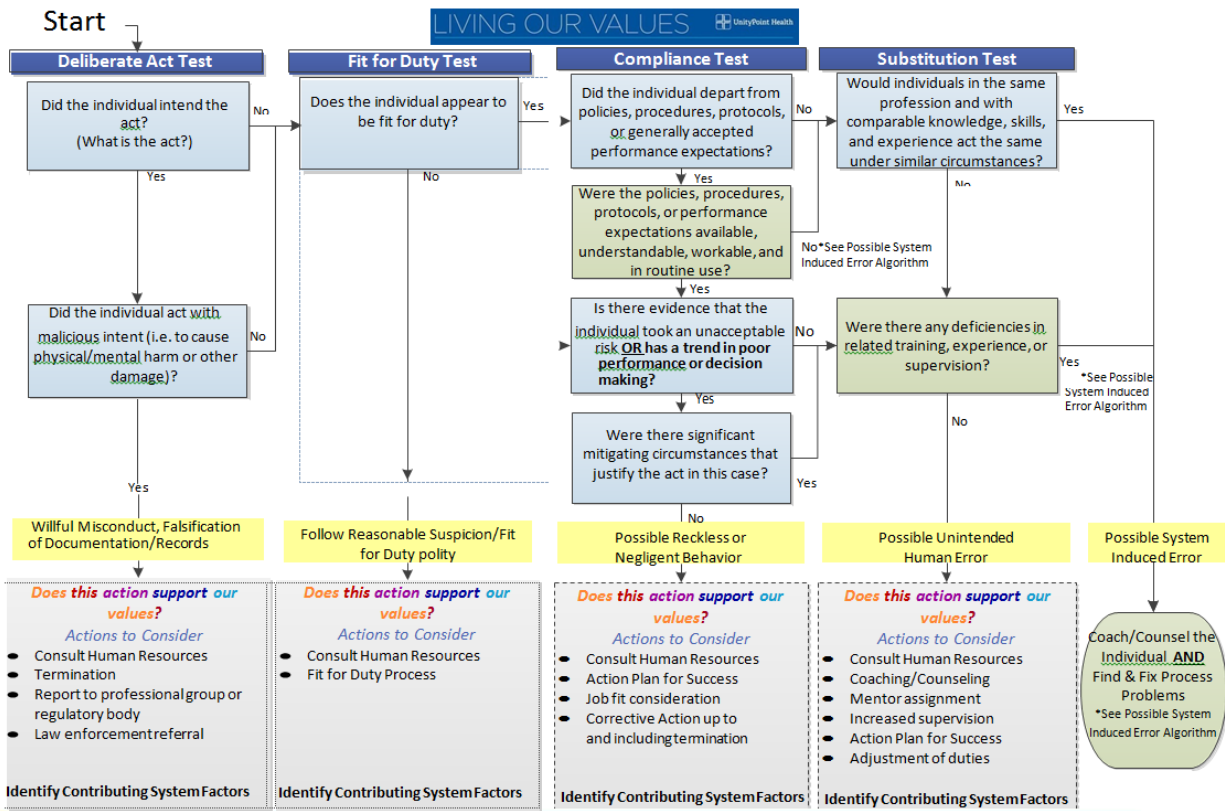
Further problems of any nature may result in corrective action up to and including termination

- One copy of document to HR Business Partner, one copy to the employee and one copy maintained in department file.
- If you disagree with this corrective action (written warning or higher) you may be eligible to file a grievance within five calendar days. Pay is not a grievable issue.
- Any potential merit increase may be impacted by this corrective action during the performance review period.

Employee Signature:		ID #:		Date:	
Manager Signature:		ID #:		Date:	
Director Signature:		ID #:		Date:	

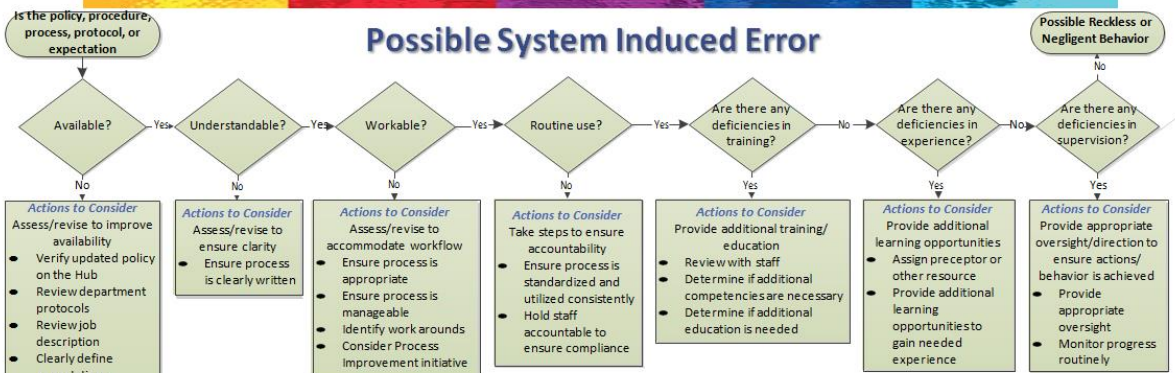
Employee signature means employee received copy of the document
Your Vice President must be notified prior to the issuance of a final written warning or termination.

Just Culture Matrix



FOCUS

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Adapted from James Reason's Decision Tree for Determining the Culpability of Unsafe Acts and the Incident Decision Tree of the National Patient Safety Agency (United Kingdom National Health Service)



F FOSTER UNITY

- Use the skills and abilities of each person to enable great teams.
- Collaborate across departments, facilities, business units and regions.
- Seek to understand and are open to diverse thoughts and perspectives.

HOW WE DO IT:

- Listen first in order to understand.
- Work as one team.
- Celebrate each other.
- Collaborate with others and use AIDET.

C CHAMPION EXCELLENCE

- Commit to the best outcomes and highest quality.
- Have a relentless focus on exceeding expectations.
- Believe in sharing our results, learning from our mistakes and celebrating our successes.

HOW WE DO IT:

- Learn from others.
- Be aware of your tone and energy.
- Maintain an excuses free culture.
- Share stories and celebrate accomplishments.

O OWN THE MOMENT

- Connect with each person treating them with courtesy, compassion, empathy and respect.
- Enthusiastically engage in our work.
- Accountable for our individual actions and our team performance.
- Take responsibility for solving problems, regardless of origin.

HOW WE DO IT:

- Make moments matter.
- Be accessible and welcoming.
- Take ownership and manage each other up.
- Take pride in our environment.
- Escort guests to their destinations.

LIVING OUR VALUES 

FOCUS

UNITYPOINT HEALTH

S SEIZE OPPORTUNITIES

- Embrace and promote innovation and transformation.
- Create partnerships that improve care delivery in our communities.
- Have the courage to challenge the status quo.

HOW WE DO IT:

- Pursue greatness.
- Anticipate the needs of guests, patients and co-workers.
- Build open and sincere relationships.
- Embrace and promote change.
- Identify opportunities where we can be better.