

HUMAN RESOURCES

Performance Management: Positive Discipline Process Employee Counseling or Action Summary Information

Performance Management is a cyclical process a supervisor uses to help employees succeed. Performance evaluation and progressive discipline are components of the overall process of performance management. The following guidelines and the *Employee Counseling/Action Form* are provided to assist supervisors and managers as they establish and evaluate employee performance and behavior.

Disciplinary action is considered a dimension of performance evaluation and employee development. It is a corrective process to help employees overcome work-related shortcomings, strengthen work performance and achieve success. When problems occur, they should be handled in reasonable ways that jointly support the concept of positive discipline and minimize the interruption of services.

The attached form may be used as a note to document single incidents, as a formalized notice, or as a guide from which a formal memo is written. The form is designed to assist the supervisor with describing the facts of an incident or behavior, set specific, measureable, attainable objectives, offer solutions to help the employee succeed, and describe the action that will be taken if the employee does not meet the objectives. The following points are provided as answers to frequently asked questions:

1. How should I use this form?
The attached form may be used as a note to document single incidents, as a formalized notice, or as a guide from which a formal memo is written. The form is designed to assist the manager/supervisor with describing the facts of an incident or behavior, set specific, measureable, attainable objectives, to offer solutions to help the employee succeed, and to describe the action that will be taken if the employee does not meet the objectives.

2. Who needs to approve a disciplinary action?
Terminations of employees shall be reviewed by the appropriate executive officer or his or her designated administrative officer before becoming final. Benefits eligible employee's, who have more than five years of service, personnel actions must be reviewed by Human Resources. In all other instances, follow the department's normal approval process for personnel actions.

3. Who receives a copy?
Print two copies and give one signed original to the employee and the other signed original to Human Resources.

4. What is HR's role in discipline?
HR works in the best interest of the library, the supervisor, and the employee. HR provides alternate dispute resolution and welcomes both supervisors and employees the opportunity to discuss issues in the workplace. No employee should be chastised or retaliated against for contacting HR with employee relations issues.

What is the difference in coaching or counseling and warnings?

There can be many coaching, counseling, or feedback sessions with an employee. These are documented as a note to a file, for example: *3/1/XX, met with Jane, late 3 times this week, told her to be at work and engaged by 8 AM.* The employee may or may not receive a copy of this note.

Once discipline is decided, explain the difference. For example: *you and I have had X discussions about your time and attendance. You continue to violate the policy and this action is disciplinary. This is an oral warning...* Oral warnings are usually retained in the department file. Oral warnings should be documented and signed by the employee and written warnings should be communicated in person to the employee.

Employees may receive one or many oral and written warnings. Written warnings should be considered serious and a copy should be signed by the employee and the supervisor and sent to the person's personnel file in HR.

1. Who can review my memos?

Written warnings should be reviewed by HR to assure the language states the facts, objectives, solutions and actions of the discipline.

Employee Counseling/Action Summary

Date of violation:	Employee Name:
Is the employee currently in a probationary period? <input type="checkbox"/> Yes <input type="checkbox"/> No	

Have there been previous warnings? <input type="checkbox"/> Yes <input type="checkbox"/> No		If yes, check all that apply below:
<i>Action</i>	<i>Date(s)</i>	<i>Briefly describe the nature of the inappropriate behavior or performance.</i>
<input type="checkbox"/> Coaching/Counseling		
<input type="checkbox"/> Verbal warning		
<input type="checkbox"/> Written warning		

Nature of the current violation. Provide the facts below in description of violation.			
<input type="checkbox"/> Substandard Work	<input type="checkbox"/> Time and Attendance	<input type="checkbox"/> Carelessness	<input type="checkbox"/> Harassing/Discriminatory/Bullying
<input type="checkbox"/> Insubordination	<input type="checkbox"/> Absenteeism	<input type="checkbox"/> Violence	<input type="checkbox"/> Theft
<input type="checkbox"/> Inappropriate Conduct	<input type="checkbox"/> Customer Service	<input type="checkbox"/> Dishonesty	<input type="checkbox"/> Other:
Describe the violation (who was involved, what happened, and when did it occur):			

Objectives – What performance or behavior do you expect and within what timeframe?
Solutions - What has been done to help the employee succeed?
Actions - What actions will be taken if the above objectives are not met? <i>This section normally contains the following statement: "I know you can succeed in correcting your behavior; however, future violations will result in further disciplinary action(s) up to and including termination."</i>

Employee's comments: <i>(Please address the facts of the incident only & attach additional sheet if needed)</i>	
NOTE: <i>Your signature indicates that you have received this information.</i>	
Employee's Signature:	Date:
Supervisor's Signature:	Date:
NOTE: <i>Your signature indicates the supervisor had this conversation and provided the employee a copy of the documentation:</i>	
Witness Signature:	