WSU POLICY APPROVAL COVER PAGE

DATE POLICY REQUEST TO PET:	[INSERT DATE]				
IS THIS A NEW POLICY OR CHANGE TO AN EXISTING POLICY?	**NEW**		**EXISTING**	**X**	
CURRENT POLICY TITLE:	3.48 / Coaching and Corrective Action				
REVISED POLICY TITLE:	N/A				
LAST REVISED DATE OF POLICY:	Effective February 23, 2018				
INITIATING AUTHORITY:	Human Resources				

SUMMARY OF POLICY OR POLICY CHANGE:

This policy is being revised to:

- Update to current standard format and clarify the progressive coaching and corrective steps.
- Add separate paragraph to the procedures section to clarify the application of the coaching and corrective action steps.
- Clarify that matters of dismissal and low performance for tenured faculty will be addressed under Policy 4.34.
- Update definitions to: coaching plan, employee, separation, leadership, and controlled affiliated organizations.
- Remove separate sections on Employee and Leadership responsibilities.

REASON OR NEED FOR POLICY / SUMMARY OF CHANGES MADE TO EXISTING POLICY:

This policy was revised to provide clarity on coaching and corrective action.

APPLICABLE LAWS OR REGULATORY OR POLICY AUTHORITY: N/A

OTHER RELEVANT WSU POLICIES:

- WSU Policy 3.15 / Internal Dispute Resolution Process
- WSU Policy 3.41 / Separation of Employment
- WSU Policy 4.04 / Resolution of Internal Disputes for Faculty
- WSU Policy 4.34 / Dismissal For Cause

THE FOLLOWING UNIVERSITY STAKEHOLDERS WERE INCLUDED IN THE REVIEW AND APPROVAL OF THIS POLICY DRAFT / REVISION:

	Office of the General Counsel – Stacia Boden
	The revisions were initiated by a committee formed to review Policies 3.48, Policy 4.06, and Policy 4.34. The committee was comprised of Leadership representing General Counsel, CTAC, AA AVP, representatives for Deans, representatives for Associate Dean, representatives for chairs, Faculty Senate President, and Human Resources.
	Human Resources – HRBP team and HR Leadership Team

	Faculty Senate – Jolynn Dowling [PENDING]		
	Staff Senate – Kennedy Rogers [PENDING]		
OTHER NOTES FOR CONSIDERATION: N/A			
OWNER OF POLICY REQUEST FOR QUESTIONS:			Rebecca Reiling

3.48 / COACHING AND CORRECTIVE ACTION

I. INITIATING AUTHORITY

A. Human Resources ("HR") serves as the initiating authority for this policy.

II. PURPOSE

A. The purpose of this policy is to establish University expectations and guidance for addressing unmet Employment Expectations for all University Employees. Nothing in this policy shall be construed as changing the Employment at Will status of any Employee at the University and it is not intended to limit the University's ability to take any level of corrective action, up to and including Separation from employment.

III. POLICY

A. **When Coaching or Corrective Action May Be Administered.** The University is committed to providing an environment that encourages and assists Employees in meeting Employment Expectations. Employees should seek direction and assistance from Leadership as necessary to ensure Employment Expectations are met. Failure by an Employee to meet Employment Expectations may result in Coaching and/or Corrective Action up to and including Separation from employment that is initiated by Leadership. All Coaching and Corrective Action decisions shall be unbiased, non-retaliatory, and non-discriminatory.

B. **Types of Coaching and Corrective Actions.** Coaching and/or Corrective Action can be a supportive measure, or a corrective measure, intended to focus on identifying and correcting the underlying cause of the issue. The determination of whether a supportive or corrective measure is used is made on a case-by-case basis, taking into consideration the nature and severity of the incident(s), previous performance, previous Coaching and/or Corrective Action, and other relevant factors, and may involve any, or a combination of the following:

1. **Verbal Coaching (supportive measure).** A verbal coaching is a conversation with an Employee to address minor or initial unmet Employment Expectations. Leadership should keep a record of verbal coaching, including the date and the concerns communicated. Examples of a record might include a follow-up e-mail or notes of the conversation.

2. **Coaching Plan (supportive measure).** A coaching plan is a documented plan between Leadership and the Employee to address and correct minor or initial unmet performance-related Employment Expectations. Coaching plans may include training or other measures to support Employees in

developing skills, enhancing productivity, or overcoming a performance-related concern. Coaching plans are not typically suitable for behavior-related concerns. A Coaching Plan form is available via the HR Forms Index.

3. **Written Corrective Action (corrective measure).** A written corrective action is a written document provided to the Employee to address repeated failures of an Employee to meet Employment Expectations, or an initial incident of unmet Employment Expectations of a more serious nature. A Corrective Action Memo shall be used to issue a written corrective action and should be reviewed by HR prior to delivery. The Corrective Action Memo is available via the HR Forms Index.

4. **Final Corrective Action (corrective measure).** A final corrective action is a written document provided to the Employee to address repeated failures of an Employee to meet Employment Expectations after the imposition of prior Coaching and/or Corrective Action, or for initial unmet Employment Expectations that involve unacceptable behavior and/or misconduct of a more severe nature. Final corrective action should be regarded as the final opportunity to meet Employment Expectations and should be reviewed by HR prior to delivery. A Corrective Action Memo shall be used to issue a final corrective action and is available via the HR Forms Index.

5. **Separation Initiated by Leadership.** Separation initiated by Leadership may be used when an Employee fails to meet Employment Expectations after the imposition of prior Coaching and/or Corrective Action, or for initial unmet Employment Expectations that involve unacceptable behavior and/or misconduct of a severe or pervasive nature. A Separation should be reviewed by HR prior to taking action, and must be taken in accordance with the procedures in Policy 3.41 / Separation of Employment. A Separation of Employment Notice form is available via the HR Forms Index.

C. **Confidentiality of Records.** Leadership must ensure all records relating to any supportive or corrective measures are maintained in a confidential manner and are not accessible to unauthorized individuals.

D. **Applicability of Other Policies**

1. **Tenured Faculty and Dismissal for Cause.** For Tenured Faculty, low performance as documented in annual evaluations and Separation initiated by Leadership shall be addressed in accordance with Policy 4.34 / Dismissal For Cause, but only to the extent such matters are specifically addressed

therein. Failure to meet Employment Expectations documented pursuant to this policy may serve as a basis for decisions made under Policy 4.34.

2. **Conduct Prohibited in Other Policies.** To the extent that conduct is prohibited by a more specific University Policy, such University Policy must also be consulted prior to imposing Coaching and/or Corrective Action pursuant to this policy.

3. **Dispute Resolution**. Employees should discuss concerns with Leadership to resolve issues. The University has an informal resolution process that can be found here. Eligible Employees (as identified by Policies 3.15 and 4.04) may use the Internal Dispute Resolution Process if the concern is unable to be resolved through informal means.

IV. DEFINITIONS

A. For the purpose of this policy only, the following definitions shall apply:

1. **Coaching and/or Corrective Action:** Any type of Coaching or Corrective Action identified in this policy, including verbal coaching, coaching plan, written corrective action, final corrective action, or Separation initiated by Leadership.

2. **Controlled Affiliated Organizations**: Wichita State University Intercollegiate Athletic Association, Inc., Wichita State University Union Corporation, Wichita State University Innovation Alliance, Inc., WSIA Investments Corporation.

3. **Employee:** An individual who provides services to the University on a regular basis in exchange for compensation and receives a W-2 for such services. This includes temporary and part-time Employees.

4. **Employment at Will:** An employment relationship that continues at the discretion of both the University and the Employee whereby the University can separate an Employee for any reason at any time, and likewise, an Employee can voluntarily separate employment for any reason at any time. Employment at Will does not preclude compliance with any state or federal law or other University policies.

5. **Employment Expectations:** The competent, satisfactory, and acceptable performance of duties and functions of the job while exhibiting professional behaviors consistent with the University's values, policy, procedures, and applicable laws. Unmet Employment Expectations may include but are not limited to unacceptable performance, unacceptable behavior, violation of University Policy or law, and/or misconduct.

6. **Leadership:** University Department Chairs, Directors, Deans or any other individual designated by the University with authority to supervise an Employee.

7. **Separation:** Separation initiated by Leadership or by the Employee to end the employment relationship with the University, or when an Employee is absent from work for three (3) consecutive workdays and fails to properly notify Leadership.

8. **Tenured Faculty:** An Employee who is classified within the eclass or egroup of Tenured Faculty in the WSU system of record "Banner."

9. **University:** Wichita State University and any Controlled Affiliated Organization that adopts this policy in writing.

10. **University Policy:** Any written guidelines of the University or the Kansas Board of Regents as found in, but not limited to, the Kansas Board of Regents Policy Manual and the WSU Policies and Procedures Manual.

V. ADMINISTRATIVE PROCEDURE

A. Leadership is encouraged to schedule periodic review sessions with the Employee to assist the Employee with meeting Employment Expectations by clearly defining goals and objectives.

B. When an unmet Employment Expectation(s) is identified, Leadership shall make every effort to review the concerns with the Employee in a timely manner, document the concern, and apply the appropriate Coaching and/or Corrective Action.

C. Leadership shall make every effort to engage in a face-to-face conversation with the Employee regarding any concern of unmet Employment Expectations or in the administration of a Coaching and/or Corrective Action. If a face-to-face conversation cannot occur for any reason, including reasons resulting from a remote work or alternative work arrangement, a virtual platform, or phone conversation with the Employee may take place.

D. Leadership shall complete the Coaching and/or Corrective Action documentation and review the expectations with the Employee.

E. The Coaching and/or Corrective Action document, excluding a Verbal Coaching, shall be signed by both the Employee and Leadership to acknowledge review and receipt of the information. Signature confirms receipt of the document. Refusal to sign does not void the Coaching and/or Corrective Action.

F. If an Employee refuses to sign a Coaching and/or Corrective Action form, Leadership should write "Employee Chose not to Sign" on Employee's signature line and the date the form was delivered.

G. Leadership shall send the original Coaching and/or Corrective Action document to HR for the Employee's Personnel File and send a copy to the Employee. Leadership may choose to retain a copy as well.

H. An Employee who has received any type of Coaching and/or Corrective Action, other than Separation initiated by Leadership, may provide written comments to Leadership, in response to the Coaching and/or Corrective Action within a timely manner. This should generally occur within three (3) University business days of receipt of the Coaching and/or Corrective Action. Employee comments shall be attached to the Coaching and/or Corrective Action Memo for filing in the Employee's personnel file and provided to Leadership, if the Employee comments were not sent to HR by Leadership.

VI. APPLICABLE LAWS AND ADDITIONAL RESOURCES

A. WSU Policy 3.15 / Internal Dispute Resolution Process

B. WSU Policy 3.41 / Separation of Employment

C. WSU Policy 4.04 / Resolution of Internal Disputes for Faculty

D. WSU Policy 4.34 / Dismissal For Cause

VII. REVISION DATES

A. [INSERT PET APROVED DATE]