



Policies and Procedures

3.48 / COACHING AND CORRECTIVE ACTION

I. Purpose

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 ~~a consistent process for incidents of unmet employment~~University expectations, ~~unacceptable performance, behavior and/or misconduct. The processes guidance for incidents involving sexual misconduct, sexual harassment, relationship violence, stalking, 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/or discrimination are addressed in separate policies it is not intended to limit the University’s ability to take any level of disciplinary action, up to and including termination.~~

II. Policy

III. POLICY

~~B.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.

III. Definitions

~~• Employee Coaching Plan~~

~~C.B.~~ **Types of Coaching and Corrective Actions.** Coaching and/or Corrective Action is determined 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. A verbal coaching is a conversation with an Employee to address minor or initial unmet Employee Expectations. A verbal

coaching should be subsequently documented ~~verbal discussion~~ in writing by Leadership and include when they met with the employee, what the concerns were, and what Employment Expectations were communicated. This does not have to be reviewed, sent, or signed by the Employee.

2. **Coaching Plan.** A coaching plan is a documented plan between Leadership and the Employee to address ~~minor violations or incidents~~. The Employee will complete the Employee Coaching Plan form with Leadership and signifies the Employee's commitment to resolve the unmet Employment Expectation(s). An ~~Employee Coaching Plan form~~ and correct minor or initial unmet performance-related Employee 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.

● **Written Corrective Action**

3. . A written corrective action is a written document ~~used~~ provided to the employee to address repeated failures of an Employee to meet Employment Expectation(s), ~~Expectations~~, or for an initial ~~violation or incident~~ of ~~unmet Employee Expectations of~~ a more serious nature. A ~~Corrective Action Memo form~~ A Corrective Action Memo form is available via the HR Forms Index.

● **Final Corrective Action**

4. . A final corrective action is a written document ~~requiring approval by~~ provided to the appropriate HR professional, ~~used to~~ employee to address ~~more serious violations or incidents, allowing~~ repeated failures of an Employee ~~a last~~ to meet Employment Expectations after the imposition of prior Coaching and/or Corrective Action, or for initial unmet Employee 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 expectation(s)~~. Use the same ~~Corrective Action Memo form~~ Employment Expectations and should have involvement of HR to review prior to delivery. A Corrective Action Memo shall be used to issue a final corrective action and is available via the HR Forms Index.

● **Employee**

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 Employee Expectations that involve unacceptable behavior and/or misconduct of a severe or pervasive nature. A Separation should have involvement of HR to review 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. **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.
- 5.3. **Employee:** An individual who, ~~when hired,~~ provides services to the University on a regular basis in exchange for compensation, and receives a W-2, ~~and who does not provide these for such services as a~~. This includes temporary and part of an independent business-time Employees.

~~• **Employee Assistance Program (“EAP”) Leadership Referral**~~

~~A meeting mandated by Leadership that requires an Employee to meet with an EAP consultant. The referral is intended for situations in which there is a reasonable belief that internal or external circumstances are influencing an Employee's performance that may be corrected through the assistance of consulting services conducted by an outside party.~~

•—~~Employment~~ **Expectations**

~~The competent, satisfactory and acceptable performance of duties and functions of the job while exhibiting professional behaviors consistent with the University's policy, procedures, and applicable laws.~~

•—~~Employment at~~ **At Will**

~~6.4. : An employment relationship that continues at the discretion of both the University and the Employee. The 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.~~

•—~~Administrative Leave~~

~~A leave that, temporarily, removes an employee from the University when deemed to be in the best interest of the University. Examples include, but are not limited to, when an Employee is involved, as a complainant, as a respondent, other interested person, during an internal review or investigation of alleged behavior and/or action that may violate University policy, procedures, applicable laws and/or employment expectations. Typically, Administrative Leave will be paid with benefits, however, there may be situations on a case-by-case basis when the leave is unpaid. In those situations, the Employee will be informed of the reason for the determination and provided the opportunity to be heard prior to implementation.~~

•—~~Involuntary Separation~~

~~Occurs when Leadership makes a decision to end the employment relationship. Involuntary Separation requires approval by Human Resources and the appropriate Leadership. Any Employee, who is charged with and/or convicted of a felony offense may be immediately separated from University employment at the discretion of Leadership and Human Resources. An Involuntary Separation of Employment Notice form is available via the HR Forms Index.~~

•—~~Leadership~~

~~For purposes of this policy, Leadership includes individuals at the University who have Employees reporting to them, or Department Chairs/Directors.~~

IV. Procedures

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.

~~D.B.~~ When an unmet Employment Expectation(s) is identified, Leadership ~~reviews~~shall make every effort to review the concerns with the Employee in a timely manner, ~~documents~~document the concern, and ~~applies~~apply the appropriate Coaching and/or Corrective Action. ~~The level of corrective action depends on the nature and severity of the incident(s), previous performance, and other relevant factors. Each situation is considered on a case-by-case basis.~~

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

~~A.~~ Leadership ~~obtains~~shall complete the appropriate level(s) of approval before administering Coaching and ~~Corrective Action.~~

- ~~F.D. Leadership completes the Coaching and/or Corrective Action documentation and reviews the expectations with the Employee. Leadership seeks commitment for the specific expectations(s) from the Employee.~~
- ~~B. After reviewing the documentation with the Employee, Leadership provides the Employee the opportunity to add comments. The Employee must provide comments within three (3) University business days of receipt of the Coaching and Corrective Action.~~
- ~~C. The Coaching and/or Corrective Action document is, excluding a Verbal Coaching, shall be signed by both the Employee and Leadership to acknowledge review and receipt of the information.~~
- ~~G.E. In instances in which the Employee refuses to sign, Leadership documents "Employee Refused to Sign" on Employee signature line. Signature confirms receipt of the document. Refusal to sign does not void the corrective action Coaching and/or Corrective Action.~~
- ~~D. Leadership sends the original signed document to HR. A copy is maintained by Leadership and a copy is provided to the Employee.~~
- ~~E. Leadership is encouraged to schedule periodic review sessions with the Employee to assess progress and assist the Employee with meeting Employment Expectation(s).~~
- ~~F. Leadership works with EAP, as appropriate, to assist the Employee in resolving issues and meeting Employment Expectation(s).~~
- ~~F. If Employment Expectation(s) are not met, leadership continues 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.~~
- ~~H.G. Leadership shall send the original Coaching and/or Corrective Action up to, and including, Involuntary Separation 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.~~

~~V. Leadership Responsibilities~~

- ~~A. Leadership will be knowledgeable of the policy and procedures.~~
- ~~B. Assists An Employee in meeting Employment Expectation(s) by clearly defining goals and objectives.~~
- ~~C. Engages in face to face conversation with the employee regarding who has received any concern type of unmet Employee Expectations.~~
- ~~D. Obtains the appropriate level(s) of approval before administering Coaching and/or Corrective Action.~~
- ~~E. Reviews expectations and, other than Separation initiated by Leadership, may provide written comments to Leadership, in response to the Coaching and/or~~

~~Corrective Action documentation. Seeks commitment for the specific expectation(s) within a timely manner. This should generally occur within three (3) University business days of receipt of the Coaching and/or Corrective Action from the employee.~~

~~F. After reviewing the documentation with the Employee, Leadership sends the original signed document to HR. A copy is maintained by Leadership, and a copy is. 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.~~

~~I.H. In instances in which Employee refuses to sign, leadership documents "Employee Refused to Sign" on employee signature line. Signature confirms receipt of the document. Refusal to sign does comments were not void the corrective action sent to HR by Leadership.~~

VI. Employee Responsibilities

~~A. Actively participates in and commits to correcting the unmet Employment Expectation(s).~~

~~B. Seeks direction and assistance from Leadership as necessary to ensure Employment Expectation(s) are met.~~

~~VI. Discusses all performance related concerns with Leadership in an effort to resolve issues, and discusses with leadership in the chain of command if needed. Eligible Employees may use Section 3.15, APPLICABLE LAWS AND ADDITIONAL RESOURCES~~

~~C. WSU Policy 3.15 / Internal Dispute Resolution Process, should the concern remain unresolved.~~

~~A. _____~~

~~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 APPROVED DATE]~~