DISCIPLINE & TERMINATION

Non-Academic Discipline & Termination Best Practices with Tools, Templates and Job Aids

as of 9/14/15

Supervising
@ WAYNE STATE

WAYNE STATE
Division of Human Resources

Disclaimer

This guides provides supervisors and managers of non-academic, non-represented staff with key concepts and best practices associated with corrective action.

For training purposes only, does not create rights for union employees.

In the event text within this document appears to be in conflict with WSU Polices & Procedures; Collective Bargaining Agreements; or Federal, State, or Local Legislation, the legal document **ALWAYS** takes precedence over this user guide.

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Non-Academic Discipline & Termination Guide

DISCIPLINE & TERMINATION BEST PRACTICES WITH TOOLS, TEMPLATES AND JOB AIDS

Introduction

This guide shares an overview of key concepts and best practices associated with corrective action and termination. It emphasizes a proactive approach to resolving concerns about employee performance and/or conduct and facilitating the separation process.

While an overview of WSU procedure is shared, it is critical that supervisors work directly with their **HR Consultant** (for non-represented staff) and/or **Labor Relations** (for represented, non-academic staff) **prior to** beginning discipline or termination. This guide is not a substitute for the necessary advice provided by these partners.

Purpose

Discipline and/or termination is never an easy thing to do, but with the proper guidance, the situation can be much more manageable. This guide is designed to support WSU Supervisors, Managers and Directors as part of the ***Discipline & Termination @ Wayne*** course and will prepare participants to:

- Define the general steps of progressive discipline or performance improvement at WSU
- Distinguish between employee performance and behavioral/conduct concerns and understand how each could potentially impact next steps
- Properly document employee conversations
- Prepare for and hold challenging employee conversations
- Respond appropriately to the typical emotional responses that may arise in a discipline or termination meeting
- Classify the different types of terminations under each category: Voluntary vs Involuntary
- Identify key factors to consider to ensure a legally-compliant, fair, and dignified termination meeting
- List important follow up items that need to be handled and by whom as part of the separation process at WSU
- Know the do's and don'ts for acting in accordance with contract, policy, procedure and law on discipline and separation at WSU and proactively leverage University partners and resources, such as the Employee Assistance Program

Additional Resources

Resource Portal

Provides key WSU links and referrals for performance management procedures, contracts and policies. To access it:

1. Open Blackboard at http://blackboard.wayne.edu using your AccessID and password.
2. Refer to "My Organizations Plus" in the top right corner.
3. Click on "Resource Portal".

Accelerate

Accelerate
Employee Development Tools

Offers a robust catalog of eResources to support supervisors, managers and directors - including eCourses, job aids, books and simulations. To access it:

1. Logon to Academica at www.wayne.academia.edu
2. Click Employee Resources, Other Resources
3. Click the Accelerate – Employee Development Tools

For WSU-specific discipline or termination support, contact your HR Consultant (HRC) for non-represented, non-academic staff or Labor Relations for represented, non-academic staff.

At-Will Employment

Non-Academic, Non-Represented

Employment-at-will is a legal doctrine that states that an employment relationship may be terminated by the employer or the employee at any time and for any or no reason as long as the reason is not discriminatory or retaliatory. Wayne State University (WSU) is an at-will employer.

In an at-will workplace, a decision to coach an employee toward improved performance or conduct is essentially a decision *not to* terminate at that time. If the employee does not improve during the coaching process, the decision to discipline is a decision *not to* terminate at that time. Neither one of these decisions supersedes the at-will doctrine.

On the face of it, at-will employment looks rather easy, you just terminate the non-represented employee for no reason—you certainly do not need documentation to prove no reason.

So why then does it take so much effort at WSU to terminate the non-represented employee? Terminating the employee for no reason is not the problem—proving you did not do it for discriminatory or retaliatory reasons is.

When a Termination Is Challenged

Non-Represented Employees

In the event a termination is challenged by a non-represented employee, to prove you acted based upon fair criteria or "at-will", you may be required to prove you DID NOT terminate the employee for discriminatory or retaliatory reasons.

So the question is: How will you prove you did not discriminate or retaliate against the employee? *By producing consistent, accurate documentation of every step you have taken throughout the process.*

Your consistent, accurate documentation does not begin with the first step of progressive discipline—it begins with your decision to coach the employee to improve his or her performance rather than terminate him/her "at-will".

Represented Employees

Represented employees are not impacted by the at-will doctrine. However, the notes above regarding documentation of poor performance remain applicable for represented employees.

Working with Non-Academic, Non-Represented Staff?

Reference the Non-Rep Manual

Section 1, Employment Practices for a listing of positions covered under this manual

1.3 Policy Regarding Employment Relationships

This does not apply during a represented employee's **probationary period** (as defined within his/her collective bargaining agreement).

Overview of Federal Laws & Definitions

When seeking an interpretation of the At-Will Doctrine or an understanding of how the federal and state laws apply to your employment situation, consult with your HR Consultant or contact the Office of Equal Opportunity (OEO) or Office of General Counsel (OGC) directly.

This is an important foundation to ensuring coaching, discipline & termination conversations and documentation adequately represent the non-discriminatory reasons for any employment decisions.

See attached for OEO's Laws and Definitions and Frequently Asked Questions.

Office of Equal Opportunity

Contact WSU's **Office of Equal Opportunity** (OEO) (313) 577-2280 for assistance with University Non-Discrimination and Affirmative Action and Compliance with Federal and State Equal Opportunity Laws

Contact the **Office of General Counsel** (313) 577-2268 for assistance with Legal Advice to Foster Sound Decision-Making in All Areas Affecting Employment Decisions and Legal Counsel and Representation to WSU on all Legal Matters Involving Litigation or Claims Involving Current or Former Employees

Performance vs. Behavior/Conduct

Dealing with problems could stem from performance concerns or behavior/conduct concerns. Performance refers to the result or output of the work that an employee performs. Although poor behavior/conduct can be related to an employee's poor performance, behavior as used here can be the sole focus. It is important to distinguish between the two because it will play a definite role in determining the stage at which you begin progressive discipline.

For a non-represented, non-academic employee who has not improved his/her performance with your coaching support, your next step could be several options ranging from an oral warning, suspension, or termination. Each situation is reviewed on a case-by-case basis to ensure the consequence matches the infraction. *It is critical that you partner with your **HR Consultant** (when working with non-represented employees) or **Labor Relations** (when working with represented employees) to assess together the best next step based upon your unique situation.*

The following lists of performance and behavior descriptions have been provided to share some examples of what constitutes poor performance and poor behavior/ conduct. The lists are by no means all inclusive.

Examples of Work Performance Problems

Quantity of work (untimely/incomplete work product)

- Poor prioritizing, timing, scheduling
- Lost time such as excessive visiting, phone use, break time, use of the Internet
- Slow response to work requests, untimely completion of assignments

Quality of work (failure to meet work product standards)

- Inaccuracies, errors
- Failure to meet expectations for defined product quality, cost or service
- Customer/client dissatisfaction

Performance/Conduct Concerns?

Reference the employee's job description as an initial starting point of stated job expectations as well as their performance management goals (if appropriate).

Working with a new employee?

Reference the Probationary Performance Review Guide and Review Form

Conduct Concern?

Reference the University Policy and the collective bargaining agreement (if appropriate) as well as set initial expectations (see non-rep template or work with Labor Relations for rep resources)

Examples of Behavior/Conduct Concerns

Inappropriate behaviors

- Negativism, lack of cooperation, hostility
- Unwillingness to perform requested task
- Unwillingness to take personal responsibility for actions

Resistance to change

- Unwillingness, refusal or inability to stay current in professional skills
- Resistance to policy, procedure, work method changes
- Lack of flexibility in response to problems

Inappropriate interpersonal relations

- Inappropriate communication style
- Impatient, inconsiderate, argumentative
- Destructive humor, sarcasm, horseplay
- Conflict with others: customers, coworkers, supervisors

Inappropriate physical behavior

- Sleeping on the job
- Alcohol or drug use
- Problems with personal hygiene

What's in it for me?

Distinguishing between performance and behavior/conduct is an important first step in determining an appropriate managerial response to an employee concern – and being proactive can help you to save time!

> "U.S. Managers spend an average 34 days per year dealing with under-performance."
>
> Karsh, President of SHL Americas
> "The Hidden Costs of Poor People Management", 2004

Using the Performance vs. Behavior/Conduct Tools

Troubleshooting Performance vs. Behavior/Conduct Next Steps

Not sure what next steps might be most appropriate for an employee issue? Contact your HR Consultant (non-academic, non-represented) or Labor Relations (non-academic, represented).

Performance and Workplace Expectations Memo

Partner with your HR Consultant to explore customization opportunities for non-academic, non-represented employees. For non-academic, represented employees, consult with Labor Relations.

Probationary, Provisional and Job Qualifying Period Performance Review Guide and Review Form

for Non-Academic, Non-Represented Employees, Staff Association and P&A members

Newly hired employees fall under the probationary time periods listed in the Review Guide. Complete the Review Form to set initial performance expectations with new employees and to support the evaluations referenced in the Review Guide.

Non-Academic Performance Evaluation Processes

for Employees Who Have Successfully Completed a Probationary Employment Period

There are various performance evaluation processes that take place across the University. Some will be completed electronically in WaynePM while others take place in a paper/pencil format. This matrix shares the type of process and form as well as the planning time frame. Please note this is a snapshot in time, current as of May, 2014. It will be important to check the collective bargaining agreement for non-academic represented employees to verify if any changes have occurred since the development of this document.

Key University Policies

Reference these key policies when setting expectations with employees regarding behavior/conduct expectations.

Troubleshooting Performance vs. Behavior/Conduct Next Steps

Non-Academic, Non-Represented

Always partner with your HR Consultant (when working with non-academic, non-represented employees) to determine next steps based upon your unique situation. The below guide is a general framework for considering next steps.

	Performance Issue		Behavior/Conduct Issue	
	Infrequent	Frequent	Infrequent	Frequent
Not Serious/ Low Impact	Informal Coaching	Formal Coaching	Informal Coaching	Formal Coaching
Serious/ High Impact	Formal Coaching	Contact HR Consultant or Labor Relations	Contact HR Consultant or Labor Relations	Contact HR Consultant or Labor Relations

Performance and Workplace Expectations Memo

Non-Academic, Non-Represented

Partner with your **HR Consultant** to ensure this memo is customized to meet your needs for any new/transferred non-represented, non-academic role. S/he can share an electronic copy of this document.

Note: The Sample Workplace Expectations on the following page can help create a targeted list of behavior/conduct requirements to be included in your memo.

WAYNE STATE UNIVERSITY

DATE:

TO: (Non-Academic, Non-Represented) Employee

FROM: Manager

SUBJECT: Department Workplace Expectations

The purpose of this memo is to provide you with a road map to success in the ______ department. It includes areas in which we'll rely upon you to help us achieve our goals as well as basic workplace expectations that we each will adhere to as enablers for achieving our goals.

Below are some critical areas where your position as a/an __Job Title__, plays a critical role to the success of __Department__.

- Insert highlights of position requirements as it contributes to department goals

It may be helpful to review your job description (attached) as well as our department goals, vision, mission and values (if applicable):

- Insert department goals

To help you get off to a great start, below are workplace expectations to keep in mind. The list below is by no means all inclusive, and only represents a few key areas that require your focus and attention. Further areas may be identified and will be communicated to you as needed.

Customize below list of sample expectations

Sample Workplace Expectations

Sample Workplace Expectations for Inclusion in the Performance and Workplace Expectations Memo

Non-Academic, Non-Represented

Use the list of options below to determine the expectations that best suit the needs of your unit and position and include them in your performance and workplace expectations memo for non-rep, non-academic employees.

<table>
<tr><td>Schedule

Work Hours, Overtime Guidelines, Lunch & Break Times</td><td>

To meet the needs of those we serve, I expect you to be at your desk and ready to work (computer booted up, etc.) at the designated start time.
Department hours are ______ to ______ with a one-hour lunch and two 15-minute breaks.
Hourly employees are responsible for accurately reporting work time in Web Time Entry; salaried employees are responsible for accurately reporting time-off in Web Time Entry.
If your position is non-exempt, approval in advance is needed for any overtime.
The primary consideration in determining work schedules for individual employees will be to assure the department’s service needs are met for students, faculty and staff.
All non-academic employees need to establish regular work schedules with start and stop times and lunch breaks. Schedules must be approved by your supervisor and communicated to team members.
(Optional) During specified times, the service our department must be uninterrupted (i.e. first week of class in January or August; fiscal year close or other “busy” time). In this timeframe, all employees are expected to be at work every day and on time to cover the increased need in services. Care should be taken to minimize absences during this time.
Refer to and share the WSU Flextime Guidelines.

Refer to the non-rep manual or appropriate collective bargaining agreement for additional support.</td></tr>
<tr><td>Absence Reporting

Refer to WSU policy: 3.0.11 Attendance Standards for Non-Academic Employees and Non-Represented Academic Employees</td><td>

Attendance consistent with your work schedule is essential to our department’s ability to be successful and to help those we serve to reach their goals.
Our department’s call-in procedure is (customize as needed):

Absences must be reported a minimum of __ hours before the start of your schedule via (phone, email or voice mail) to your supervisor (and, if applicable, administrative assistant).
Provide the reason for your absence and your expected return to work date.
Address any outstanding work needs that may need to be

</td></tr>
</table>

	handled in your absence. • When an employee is sick, they must code their time off in Web Time Entry as illness ("IL" for the first day and "IC" or illness continuation for any subsequent days). If an employee does not have sick time available the time off should be coded as _______. • Employees who are unable to adhere to their work schedule for any reason must call their immediate supervisor as soon as possible. This contact must be made either prior to or within ___ minutes of their scheduled start time or end time in the event of an inability to return to work on time following a lunch or break. In the event the supervisor can't be reached, a message to the supervisor's voice mail along with an email to the administrative assistant and/or team members is needed. • In the case of tardiness, employees must send a text or email to their supervisor (and, if applicable, administrative assistant) when they arrive at their work stating the time they arrived. **Note**: Sick time is intended to protect employees from loss of income during periods of illness and may not be used for any other purpose. An employee may be required to provide medical certification to confirm illness/absence. *Note: Personal time is not to be used routinely to come in late or leave early from work.*

Time Off Eligibility and Requests	• Refer to the collective bargaining agreement or non-rep manual for holidays and leave eligibility.
	• Vacation requests must be submitted via ____ a minimum of ____ (days or weeks) prior to requested time off. When doing so, please share:
	  ○ Day you are leaving and day you will be returning.
	  ○ Pending tasks during this time frame and recommendation for how they will be handled.
	• Vacation requests received for "peak times" (during ____) may not be approved if the department is unable to provide uninterrupted service.

Technology Use Refer to WSU policy: **Acceptable Use of Information Technology Resources**	• Abide by the policy requirements. • Keep personal cell phone and internet usage to a minimum (during breaks unless emergency situation that should be discussed with your supervisor).
Attire and Casual Day (if applicable)	• Our department is at all times a client-facing unit, whether the client is internal or external. As a result, it is the responsibility of department members to dress appropriately. This includes _____. • Attire that is not acceptable includes that which is ill-fitting or shows skin

	at cleavage, midriff or backside or is in need of repair (i.e. holes). • Our department does or doesn't support casual Fridays.
Performance Management	As a new or transferred employee, you will be on a probationary or provisional status. During this time, we will meet more frequently to set established expectations and review progress. Review the **Probationary, Provisional and Qualifying Period Performance Review Guide** and **Forms**.
Climate of Safety and Respect	• Three key University policies are important to review as we all work together to ensure a climate of collegiality and respect: ○ **99-3 Workplace Violence** ○ **APPM 3.0.4 Sexual Harassment** ○ **APPM 3.0.2 Non-Discrimination/Affirmative Action**
Customer Service	• Create a professional environment for those we serve by adopting a positive and approachable attitude, being willing to help each other, communicating respectfully, being aware of non-verbal messages and being open to interruptions. • Answer phone calls and emails within ___ hours. • If there is no deadline given for an assignment, ask. • When there are problems or questions, go to the source for resolution first and assume a positive intent.
Workplace Expectation Violation	• Employees in violation of a workplace expectation may be subject to the disciplinary process.

Probationary, Provisional and Qualifying Period Performance Review Guide and Review Form

Performance Evaluation Due Date from Employee's Date of Hire/Transfer/Promotion

This document is not meant to replace the Collective Bargaining Agreements. Consult individual contracts or contact your HR Consultant for details. For specific nonacademic union contract interpretation, contact Labor Relations

Bargaining Unit	New Hires (Probationary) May be terminated, for cause, at any time during probation.	Transfers/Lateral (Provisional)	Promotions (Provisional)	Reduction in Force (Qualifying Period)	Promotions Between Staff and P&A (Provisional)
Staff Association	First evaluation usually due after employee works 90 days. Second evaluation due up to, but no later than 180 days	First evaluation due at midpoint (usually 30 calendar days). Second evaluation can be completed anytime between the 31st and 60th calendar day	Evaluation due at midpoint of 225 hours worked (usually approx. 30 days). Second evaluation due prior to the end of 225 hours worked.	First evaluation due at midpoint (usually 30 calendar days). Second evaluation must be completed prior to the expiration of the 60 day qualifying period.	First evaluation due after employee works 90 days. Second evaluation due up to, but no later than 180 days
P&A	First evaluation usually due at midpoint (usually after employee works 90 days). Second evaluation due up to, but no later than 180 days	First evaluation due at 45 calendar days. Second evaluation should be completed on the 90th calendar day or the closest scheduled work day prior to it.	First evaluation due at 45 calendar days. Second evaluation should be completed on the 90th calendar day or the closest scheduled work day prior to it.	First evaluation due at midpoint (usually 45 calendar days). Second evaluation must be completed prior to the expiration of the 90 day qualifying period.	First evaluation due after employee works 90 days. Second evaluation due up to, but no later than 180 days
Non-Represented	First evaluation usually due after employee works 90 days. Second evaluation due up to, but no later than 180 days	First evaluation due at 45 calendar days. Second evaluation due at 90 calendar days	First evaluation due at 45 calendar days. Second evaluation can be completed anytime between the 46th and 90th calendar day	N/A	N/A

WAYNE STATE UNIVERSITY

Performance Planning and Development

Probationary/ Provisional Review Form

Employee Name	Banner ID #	Classification
School/College/Division		**Department**

P&A	Staff Association	Special Evaluations
☐ 3-Month Probationary (midway)	☐ 3-Month Probationary (midway)	☐
☐ 6-Month Probationary	☐ 6-Month Probationary	☐
☐ 45-Day Provisional (midway)	☐ 30-Day Provisional (for transfers)	
☐ 90-Day Provisional	☐ 60-Day Provisional (for transfers)	
	☐ 112 hrs. Worked-Provisional (for Staff promotions) (midway)	
	☐ 225 hrs. Worked-Provisional (for Staff promotions)	
Date Due:		

ACCOMPLISHMENTS OF POSITON DUTIES, TASKS, AND RESPONSIBILITIES

LIST DUTIES AND RESPONSIBILITIES IN PRIORITY ORDER. DOCUMENT EVALUATIONS BY PROVIDING COMMENTS ON PERFORMANCE WHICH BRIEFLY DESCRIBE THE ACCOMPLISHMENTS AND JUSTIFY THE LEVEL OF EVALUATION.

MAJOR DUTIES AND RESPONSIBILITIES (To be completed by employee) This list should not be considered a complete description of all employee's duties and responsibilities.	**LEVEL OF PERFORMANCE** (To be completed by supervisor) Indicate one of these ratings for each duty and responsibility: **U LS FS E O** (defined on last page)	**COMMENTS ON PERFORMANCE** (To be completed by supervisor) Should consist of a statement indicating results achieved; also may consist of comments indicating the employee's proficiency with job related skills
OTHER CONTRIBUTIONS List contributions made by the employee or assets possessed by the employee in addition to those described above.		

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WAYNE STATE UNIVERSITY

Performance Planning and Development
Probationary/ Provisional Review Form

This is a Microsoft forced-field form. Use the tab key to move the cursor to gray areas and tables will automatically expand as information is entered. To access this form electronically, go to: http://www.hr.wayne.edu/employment/appraisals.

Some of the following factors may not apply to all positions. When that is the case, check N/A. **If N/A is not provided, the factor MUST be evaluated**. For each defined element of job performance, place a mark within the appropriate appraisal rating box. The appraisal of each element of job performance should be followed by comments explaining the rating and recommending specific areas of improvement or development if necessary.

JOB/ORGANIZATIONAL KNOWLEDGE: Application of appropriate technical and procedural knowledge; understanding of facts and information related to or assignments, including department and University policies; degree of technical competence and demonstration of appropriate level of knowledge in specific field or discipline.

Unsatisfactory	Less than Satisfactory	Fully Satisfactory	Excellent	Outstanding
☐	☐	☐	☐	☐
Insufficient for most tasks	Unable to handle some job tasks	Satisfactory knowledge of job functions	Handles new tasks with ease.	Able to adapt knowledge to complex problems

Supervisor's comments:

PLANNING AND ORGANIZING: Setting objectives; establishing priorities; developing plans; arranging work schedules; meeting deadlines; anticipating problems; adapting to changes and using resources effectively; plan long and short range objectives; define goals and procedures; delegate work; follow-up to ensure work is completed.

Unsatisfactory	Less than Satisfactory	Fully Satisfactory	Excellent	Outstanding
☐	☐	☐	☐	☐
Insufficient for most tasks	Can plan routine tasks only	Plans/prioritizes full range of required tasks	Plans/prioritizes with an emphasis on flexibility	Planning shows anticipation of potential problems

Supervisor's comments:

PROBLEM ANALYSIS AND DECISION MAKING (Analytical abilities and judgment): Understanding factors and developing sound, practical and workable solutions; recognizing when a decision is necessary; asking for input; making decisions and providing information and feedback in a timely manner; accepting responsibility; facilitate problem resolution; willingness to make necessary and immediate decisions given incomplete information.

Unsatisfactory	Less than Satisfactory	Fully Satisfactory	Excellent	Outstanding
☐	☐	☐	☐	☐
Insufficient for most tasks	Decisions reflect basic analytical skills only	Decisions reflect full understanding of unit needs	Recognizes need for and performs additional investigation to solve problems	Decisions show in-depth analysis and understanding

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Performance Planning and Development

Probationary/ Provisional Review Form

Supervisor's comments:

HUMAN RELATIONS: Interacts effectively and maintains positive relationships with peers, subordinates, and customers; builds teamwork; motivates and inspires others; cooperates with persons outside of the department; willingly accepts instructions and assignments; assists others to accomplish work group objectives; develops confidence; uses positive reinforcement; treats people with respect.

Unsatisfactory ☐	Less than Satisfactory ☐	Fully Satisfactory ☐	Excellent ☐	Outstanding ☐
Consistently rude to others. Frequent complaints from customers, co-workers, external clients, etc.	Fails to respond to needs of customers, employees, external clients, etc. An uncooperative working partner or team member. Makes little or no effort to provide good service	Provides prompt and effective service to customers and/or employees, external clients, etc. Cooperative, polite, and congenial at all times	Frequently goes beyond performance standards to provide service and maintain relationships	Consistently exceeds requirements to anticipate the needs of customers and/or employees. Works harmoniously with others and is an example to all

Supervisor's comments:

COMMUNICATION SKILLS: Display of oral and/or written communication skills required by job; ability to listen and understand information; present information in a clear and concise manner.

Unsatisfactory ☐	Less than Satisfactory ☐	Fully Satisfactory ☐	Excellent ☐	Outstanding ☐
Information and ideas are consistently poorly organized and difficult to follow. Poor communication has created serious misunderstandings	Oral and written communications are frequently unclear and disorganized and/or contain grammatical and structural errors. May fail to communicate information on a timely basis	Can summarize data and/or ideas into understandable thoughts in oral and written form to meet position requirements. Actively listens when communicating with others. Usually uses appropriate sentence structure, grammar, spelling, and punctuation. Writes effective complete documentation	Communications are effective, well organized, clear, and concise. Orally presents information in an articulate and convincing manner. Grammar, spelling, punctuation, and vocabulary are consistently correct.	Communications are exceptionally effective, timely, well organized, articulate, concise, and appropriate. Meetings and/or presentations are well organized, professionally executed, and highly effective

Supervisor's comments:

QUALITY OF WORK: Accuracy, thoroughness, and efficiency of work regardless of volume; ability to meet standards of quality.

Unsatisfactory ☐	Less than Satisfactory ☐	Fully Satisfactory ☐	Excellent ☐	Outstanding ☐
Insufficient for most tasks	Performs only minimally acceptable work	Assignments are complete and thorough	Work shows high quality and expertise	Consistently thorough and documented beyond what is required

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Performance Planning and Development

Probationary/ Provisional Review Form

Supervisor's comments:

PRODUCTIVITY/ACCOMPLISHMENT: Accuracy, thoroughness, and general effectiveness of regularly produced work; may include speed and consistency of output and volume of acceptable work.

Unsatisfactory	Less than Satisfactory	Fully Satisfactory	Excellent	Outstanding
☐ Insufficient for most situations	☐ Does less than is expected; work is not thorough or well thought out	☐ Work is complete; work is regularly produced at an acceptable level	☐ Consistently produces work which more than meets normal job requirements	☐ Generates thorough and well documented work; work far exceeds established requirements

Supervisor's comments:

DEPENDABILITY: Attendance (disregarding FMLA protected absence) and punctuality; reliability; meets established schedules and deadlines, including assigned work hours; demonstrates commitment to department and University goals; attends to detail; follows-up on progress of work; follows instructions and appropriate procedures; fulfills responsibilities; maintains confidentiality as appropriate.

Unsatisfactory	Less than Satisfactory	Fully Satisfactory	Excellent	Outstanding
☐ Insufficient for most tasks	☐ Sometimes unreliable; does not respond in a timely manner to requests; requires more than normal supervision	☐ Reliable; responds quickly to requests; fulfills responsibility; needs only expected levels of supervision	☐ Very reliable; typically makes sound decisions; very resourceful; acts independently; requires little supervision	☐ Extremely reliable; consistently makes sound decisions; makes creative contributions; justifies utmost confidence; works independently

Supervisor's comments:

PROFESSIONAL DEVELOPMENT: Learns appropriate new work-related skills and procedures; works to develop professionally, growing in professional skills and knowledge.

Unsatisfactory	Less than Satisfactory	Fully Satisfactory	Excellent	Outstanding
☐ Does not develop professionally	☐ Works toward professional development to some degree	☐ Works to develop professionally; continues to learn and grow	☐ Works to develop professionally to a considerable degree; typically seeks out new opportunities to learn appropriate new work–related skills and procedures	☐ Works to develop professionally to a very high degree; continually challenging self to advance professional skills and knowledge; researches new learning sources and tools

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Supervisor's comments:

☐N/A **SUPERVISION AND DEVELOPMENT OF EMPLOYEES:** Trains, guides, and assists employees; appraises and reviews performance of supervised employees in a timely, fair, and appropriate manner; motivates employees to perform effectively; recognizes and encourages employee development; maintains appropriate standards of performance; resolves personnel-related problems and issues in a timely and effective manner.

Unsatisfactory ☐	Less than Satisfactory ☐	Fully Satisfactory ☐	Excellent ☐	Outstanding ☐
Fails to counsel and praise staff relative to performance; fails to follow-up and correct staff errors	Involved with staff only when necessary; may fail to follow-up and document employee performance; provides sporadic and ineffective training and counseling of staff	Actions show interest in subordinates; ensures training and appropriate cross training of staff; follows-up and document employee performance; provides praise and critical feedback; schedules assignments according to staff abilities and time constraints	Motivates staff; develops specific procedures and formalized training methods including regular follow-up training; has developed performance standards; provides timely coaching and counseling with supportive documentation; adjusts staff schedules when needs and priorities change to effectively utilize resources	Successful with staff development and team building; develops the skills of all staff on a timely basis; effective coaching and counseling has led to performance improvements; provides effective, innovative training methods; consistently redistributes work and keeps staff functioning smoothly at peak performance levels

Supervisor's comments:

☐N/A **FISCAL MANAGEMENT:** Prepare and/or maintain and operate within budget by controlling costs and keeping within prescribed limits; budgeting exhibits planning, flexibility, and responsibility given budgetary constraints. Record, analyze, monitor, develop, correct, and/or approve transactions, budgets and proposals in compliance with established policy and procedure.

Unsatisfactory ☐	Less than Satisfactory ☐	Fully Satisfactory ☐	Excellent ☐	Outstanding ☐
Insufficient for most tasks	Fails to consistently operate within budgetary constraints; record, analyze, monitor, develop, correct, and/or approve transactions, budgets and proposals in compliance with established policy and procedure	Consistently operates within budgetary constraints; records, proposals and transactions are current and in compliance with policy and procedure	Budgets for new projects and basic operation in a cost effective and consistent manner; analysis and evaluation reflect complete understanding and command of the process including the non-routine	Budgeting shows exceptional planning, flexibility, and responsibility; actions are effective, accurate and indicate anticipation of future trends and difficulties

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Performance Planning and Development

Probationary/ Provisional Review Form

Supervisor's comments:

☐N/A **INITIATIVE AND CREATIVITY:** Resourceful to deviate from the routine; self-starter; develops and implements new methods, procedures, solutions, concepts, designs and/or applications of existing designs or procedures; accepts additional challenges and willingly assists others; self-reliant; demonstrates imagination, originality, and self-motivation; makes innovative and/or productive contributions; responds to changing requirements and meeting changing technical business needs; flexibility and adaptability.

Unsatisfactory ☐	Less than Satisfactory ☐	Fully Satisfactory ☐	Excellent ☐	Outstanding ☐
Insufficient for most tasks and situations	Needs detailed instructions to handle tasks; makes some effort to change if directed	Assists in generating new approaches; responds well to change	Self-starter in developing new ideas; resourceful in improving work methods	Ideas display innovation, resourcefulness and imagination in improving work methods

Supervisor's comments:

☐N/A **AFFIRMATIVE ACTION AND EEO COMPLIANCE:** Meets affirmative action responsibilities by monitoring unit employment practices to support the University efforts in meeting its diversity goals and ensure compliance with the law and University policy; supports, enforces and adheres to the University's policies for non-discrimination and a harassment free workplace.

Unsatisfactory ☐	Less than Satisfactory ☐	Fully Satisfactory ☐	Excellent ☐	Outstanding ☐
Consistently fails to meet responsibilities; repeated non-compliance with University policy	Unable to fully meet responsibilities; requires frequent assistance and direction in meeting goals and observing University policy	Meets responsibilities; participates in goals setting; willingly and consistently in compliance with University policy	Actively organizes, plans and develops goals; knows and correctly applies University policy; consistently seeks additional information and knowledge	Takes initiative in setting and meeting goals; develops new approaches, and generates new ideas in meeting goals and observing University policy; consistently recognizes and responds to situations that affect goal attainment

Supervisor's comments:

4128B (12/11)

WAYNE STATE UNIVERSITY

Performance Planning and Development

Probationary/ Provisional Review Form

OVERALL PERFORMANCE RATING

Evaluate the employee's overall level of performance in the accomplishment of major duties and responsibilities, other contributions, quality of service, and other job related performance factors. **An overall performance rating of Unsatisfactory or Outstanding MUST be supported with a written attached justification.**

Unsatisfactory	Less than Satisfactory	Fully Satisfactory	Excellent	Outstanding
☐	☐	☐	☐	☐
Employee has had a reasonable period of time (initiated by a documented evaluation of Less than Satisfactory) to improve performance. Employee continues to fail to accomplish assigned position duties and/or continues to use job-related skills in an inadequate manner. Upon consultation with appropriate Human Resources or labor Relations representative, the employee will either be demoted or terminated.	Overall performance indicates the employee fails to accomplish assigned position duties and/or uses job-related skills in an inadequate manner; requires an inordinate amount of direct supervision in order to produce work of acceptable quality and quantity. The employee may possess the talent to earn a higher rating if special training and coaching is given or if the employee is transferred to another more suitable position	Overall performance is characterized by acceptable quality and quantity of work in accomplishment of position duties; uses job related skills in an acceptable manner; requires a degree of supervision that is typical for the position	Overall performance is characterized by high quality and quantity of work in the accomplishment of position duties; uses job-related skills in more than acceptable manner; requires a degree of supervision that is somewhat less than typical for the position.	Overall performance is characterized by exceptionally high quality and quantity of work in accomplishment of position duties; assumes responsibilities which are beyond the position requirements; uses job-related skills in an exceptional manner; requires substantially less supervision than typical for the position.

Supervisor's comments:

☐ I do Recommend this employee for Continued Service	☐ I do not recommend this employee for Continued Service

4128B (12/11)

WAYNE STATE UNIVERSITY

Performance Planning and Development

Probationary/ Provisional Review Form

Employee Development Plan Form

Employee Development Plan: Identify and schedule appropriate classes and/or professional associations, conferences, on the job training, work experience and other developmental resources.

Professional and Personal Development (Complete at Beginning of Performance Year)	**Actual Progress** (Complete Throughout Performance Year)

Employee Signature: ______________________________ **Date:** ________________
(Copy given to employee)

Supervisor Signature: ______________________________ **Date:** ________________
(Copy given to supervisor)

4128B (12/11)

WAYNE STATE UNIVERSITY

Performance Planning and Development

Probationary/ Provisional Review Form

SIGNATURES:

Completed by Immediate Supervisor ____________________ Date ____________________

1st Level Reviewer ____________________ Date ____________________

Employee comments (optional – may include discussion of professional development plans and objectives):

Employee's Signature ____________________ Date ____________________

Your signature does not necessarily mean that you agree with this review; it is only to acknowledge that your supervisor has met and reviewed it with you.

☐ **I WISH TO REVIEW MY OVERALL RATING FURTHER**

Check box if employee significantly disagrees (feels there is a one level or greater rating discrepancy) with the overall rating. If box is checked, employee must complete comments section and include additional supporting documentation. The review materials will be forwarded to the 1st Level Reviewer for rating consideration. 1st Level Reviewer may take actions to arrange to resolve rating discrepancy and respond back to employee.

Employee Signature ____________________ Date ____________________

1st Level Reviewer should check the appropriate box and sign to acknowledge that the performance appraisal document was received for further rating consideration. Reviewed document is to be returned to employee and immediate supervisor.

☐ **Reviewed and Re-affirmed**

☐ **Further Action Necessary**

1st Level Reviewer Signature ____________________ Date ____________________

4128B (12/11)

Non-Academic Performance Evaluation Processes

For Non-Academic Employees Who Have Successfully Completed a Probationary Employment Period

There are various performance evaluation processes that take place across the University. Some will be completed electronically in WaynePM while others take place in a paper/pencil format. The matrix on the following page shares the type of process and form as well as the planning time frame. Please note this is a snapshot in time, current as of May, 2014. It will be important to check the collective bargaining agreements for non-academic represented employees to verify if any changes have occurred since the development of this document.

	Employee Group	Performance Year	Process Start/End	Performance Appraisal Form/Process
1	• Executives (Non-rep) – e-Class EX (also see row #4)* • Managers (Non-Rep) – e-Class MA • Professionals Exempt & Non Exempt (Non-Rep) – e-Classes NE & NN • Clericals (Non-Rep) – e-Class NC • Research Assistants – e-Classes R2 & R9 (also see row #4)**	January 1st – December 31st	• Assessment opens on 12/1 and closes on 2/28 • Planning opens on 1/1 and closes on 3/31 *Research Assistants evaluated via Narrative Form have no separate Planning Process*	***EMPLOYEE PLANNING & ASSESSMENT FORM*** **Facilitated in WaynePM** Completed evaluations indexed and stored in Employee's Personnel File
	• Division of Athletics - (Non-Rep Employees w/same e-Classes as row #1)	July 1st – June 30th (Athletic Year)	• Assessment opens on 6/1 and closes on 8/30 • Planning opens on 7/1 and closes on 9/30	
	• Division of Development & Alumni Affairs – (Non-Rep Employees w/same e-Classes as row #1)	October 1st – September 30th	• Assessment opens on 9/1 and closes on 11/31 • Planning opens on 10/1 and closes on 12/30	
2	• Professional Exempt & Non-Exempt (P&A Local 1979) – e-Classes PE & PN • Clerical (Staff Association Local 2071) – e-Class SA	May 1st - April 30th	• Assessment opens 4/1 and closes on 6/30 • Planning opens on 5/1 and closes on 7/30.	***ANNUAL REVIEW FORM*** **Facilitated in WaynePM** Completed evaluations indexed and stored in Employee's Personnel File
	• Custodial/Grounds Supervisors (SEIU Local 517M) – e-Class 7M	February 1st – January 31st	• Assessment opens 1/1 and closes on 3/31 *No Planning Process*	
3	Academic Administrators (Non-Rep) – e-Classes D2, D9, C2, C9	January 1st – December 31st	• Assessment occurs between 12/1 and 2/28 *No Planning Process*	**PERFORMANCE REVIEW FORM** **Academic Administrators** ***Outside of WaynePM*** Completed narrative evaluations indexed and stored in Employee's Personnel File
4	Executives (Non-rep)* Research Assistants (Non-rep)** General Counsel Directors (Non-rep) (all with same e-Classes as row #1)	January 1st – December 31st	• Assessment occurs between 12/1 and 2/28 *No Planning Process*	**PERFORMANCE REVIEW FORM** ***Outside of WaynePM*** Completed narrative evaluations indexed and stored in Employee's Personnel File
5	• Operating Engineers (Local 324) • AFSCME (Local 1497) • Janitors (UNITE HERE Local 24) • Housekeepers (UNITE HERE Local 24) • Building Trades (Michigan Building and Construction Trades Council) • Graduate Assistants (GEOC)	N/A	N/A	**No Performance Appraisal Identified**

Key University Policies

WAYNE STATE UNIVERSITY

Administrative Policy and Procedure Manual

3.0.11 Attendance Standards for Non-Academic Employees and Non-Represented Academic Employees (REVISED AS OF 11/12/12)

POLICY

The purpose of this policy is to outline the Wayne State University attendance standards.

Each employee is an important contributor to the university's mission and each employee is needed at work to assist in accomplishment of the university's goals and objectives. Absenteeism and tardiness negatively impact services provided to students and the university community. Absenteeism also lowers the morale of other employees who have to perform the work of the absent employee.

To ensure effective and efficient operations of the university and provide the best possible work environment to employees, the university expects employees to adhere to the attendance standards as outlined in this policy.

TERM(S)/DEFINITIONS(S)

Excessive Absenteeism	For the purposes of this policy, excessive absenteeism is defined as: (#1) more than 6 occasions of unscheduled absence in a twelve (12) month rolling year, <u>or</u> (#2) unscheduled absence in excess of forty-five (45) hours, involving four (4) or more occasions (in excess of forty-eight (48) hours for employees scheduled to work eight (8) hours/day): pro-rated for fractional time in a twelve (12) month rolling year.
Excessive Tardiness	For the purposes of this policy, excessive tardiness is defined as incurring more than six (6) incidents of unscheduled tardiness in a twelve (12) month rolling year (upon committing the 7th incident of tardiness).
Unusual Attendance	For the purposes of this policy, unusual attendance includes but is not limited to: 1. A pattern of missing certain days of the week. 2. Calling in sick on day(s) for which a time-off request was previously denied. 3. Taking sick days adjacent to holidays, vacation, personal days, or other time off.
Automatic Resignation	For the purposes of this policy, an employee who is absent without previous permission or without notifying his/her supervisor, for three (3) consecutive working days, such action is deemed to be an Automatic Resignation.
Occasion	For the purposes of this policy, an occasion is defined as an absence of 3.8 hours or more for an employee working a 7.5 hour day, and four (4.0) hours or more for an employee working an eight (8.0) hour day.

SUPERVISOR NOTIFICATION

The supervisor is to be notified by an employee of any anticipated reasons that might cause the employee to vary from their assigned work schedule. An employee is expected to call in to the department or unit and speak with his/her supervisor (or his/her designee). An employee is required to notify his/her supervisor in advance when he/she expects to be absent. When this is not possible, as in the case of sudden illness, an employee is required to call his/her supervisor or the supervisor's designee as soon as possible and explain why he/she is going to be absent and when he/she expects to return. Situations where such notice would be impossible are very rare and will be closely scrutinized.

It is expected that the employee will call in to the department or unit and speak with his/her supervisor or his/her designee each and every day of absence unless specifically directed to do otherwise by their supervisor. It is usually not acceptable to leave such messages in a voicemail or an electronic communication (e.g. text, email, etc.) unless specifically authorized, as instructions may need to be provided regarding verification issues.

MEDICAL VERIFICATION/DISCIPLINARY ACTION REVIEW

An employee who has excessive absences may be subject to ongoing medical verification. Placing an employee on medical verification, and/or initiating disciplinary action can be expected after the sixth (6th) occasion of unscheduled absence in a twelve (12) month rolling year. Or, such action may also be initiated on a case-by-case basis upon exceeding forty-five (45) hours of absence involving four (4) or more occasions of absence and forty-eight (48) hours for an employee scheduled to work day eight (8) hours and pro-rated for fractional time.

In reviewing the appropriateness of medical verification or disciplinary action for absences in excess of forty-five (45) hours involving four (4) or more occasions and in excess of forty-eight (48) hours for employees scheduled to work eight (8) hours and pro-rated for fractional time in a twelve (12) month rolling year, supervisors shall consider such factors as the prior twelve (12) months' attendance history, the past attendance disciplinary history and unusual patterns of sick leave such as those set forth in the Term(s)/Definition(s) section of this policy.

The purpose of the review is to avoid premature discipline of an employee who has been conscientious about attendance in the past, but may encounter a rare, bad year of attendance difficulties beyond his/her control.

However, the university retains the right to require medical verification, and/or to counsel or assess discipline, earlier than or after the sixth (6th) occasion, depending on the circumstances (Refer to Discipline Section of this policy).

An employee placed on medical verification must provide a physician's statement or that of another appropriate health care provider as defined in the Family Medical Leave Act and Wayne State University FMLA policy, to the supervisor or other designated person for occasions of absence during the period when verification is required. The failure to provide medical verification or adequately supplement an inadequate verification, after being required to do so, could result in loss of pay, and/or disciplinary action.

An employee with excessive and/or unusual attendance may also be subject to medical verification and discipline.

Employee medical notes or records should **not** be retained at the department level due to HIPAA regulations. All employee medical information should be sent immediately to the Employment Service Center (ESC).

DISCIPLINE

An employee who is absent excessively is subject to discipline. After appropriate counseling and discipline, an employee with excessive absences may be subject to termination.

Termination is a very serious matter for both the university and the employee. Terminations for tardiness or absence will be handled on a case-by-case basis and will be carefully reviewed. Progressive discipline will be taken, as appropriate, against an employee who violates attendance standards, or commits other unacceptable attendance infractions. Disciplinary action for poor attendance should be well documented.

For an exempt employee, progressive discipline excludes suspensions for less than a full workweek for any week in which work is performed.

The falsification of medical verifications or time reporting controls, such as time sheets, Web Time Entry (WTE), sign-in sheets and time clocks, is regarded as major misconduct and may subject violators to discharge. Counseling by supervisors or management is strongly encouraged prior to formal discipline for minor offenses.

3.0.11.1 Tardiness

It is reasonable to expect employees to be promptly at their places of work and ready to work during all of his/her scheduled work hours. Tardiness can lead to docking of pay (for non-exempt employees) and progressive discipline, as appropriate.

The supervisor is to be notified by an employee of any anticipated reasons that might cause the employee to arrive to work late the following day. Employees are to call in if they anticipate arriving late, including returning late from a scheduled break or lunch. After arriving late, the supervisor is notified and an explanation given. Employees who are frequently tardy, absent, or who leave work early, may be subject to disciplinary action.

An employee incurring more than six (6) incidents of unscheduled tardiness in a twelve (12) month rolling year is considered to be excessively tardy. An employee who has excessive incidents of tardiness may be subject to disciplinary action. For the purposes of this policy, such action can be expected after the sixth (6th) incident of unscheduled tardiness in a twelve (12) month rolling year (upon committing the seventh incident of tardiness).

3.0.11.2 Absenteeism

Regular attendance is expected for all employees. Collective Bargaining Agreements (CBA's) and university policies recognize that an employee will be occasionally absent due to illness, injury or other reasons specifically identified in Collective Bargaining Agreements and/or university policies. An employee will use his/her illness bank for absence from work due to illness. An illness bank is intended to be used only under those circumstances and it is not an entitlement. (Refer to the Supervisor Notification section of this policy for notification procedures).

Employees who are frequently absent may be subject to disciplinary action, up to and including discharge. An employee absent without previous permission or without notifying his/her supervisor, for three (3) consecutive working days is deemed to be an automatic resignation.

Supervisors should approve and report lost time in increments of 3.8 or 4.0 hours (1/2 day) or 7.5 or 8.0 hours (1 day). Emergency time off may be reported in increments of .5 hours.

When a Floating Holiday has been approved, the time off should be reported as a full day (7.5 or 8.0 hours).

PROCEDURE

Responsibility	**Action**
Department Supervisor	1. Submit accurate Web Time Entry (WTE) or Time Exception Reports on all employees. 2. Review bi-weekly, the Attendance Tracking System (ATS) Occasions Report (HR018A) for employees nearing non-compliance with this policy (**Supervisors should consult with their department's business office for assistance in accessing attendance related reports, as needed**). 3. Counsel employees nearing non-compliance with this policy. 4. Consult with the Employment Service Center (ESC) **before** initiating disciplinary action for a non-academic non-represented employee. 5. Consult with Labor Relations **before** initiating disciplinary action for a non-academic represented employee. 6. Administer discipline to a non-academic non-represented employee in non-compliance **after** appropriate consultation with the ESC. 7. Administer discipline to a non-academic represented employee in non-compliance **after** appropriate consultation with the Labor Relations department.
Employment Service Center (ESC) and Labor Relations	1. Advise departments as to consistent application of discipline for non-compliance: 1. Employment Service Center-Non-Academic non-represented employees. 2. Labor Relations- Non-academic represented (Unionized) employees.

SCOPE

This policy covers all employee groups except the following:

- Academic Represented
- Graduate Assistant
- Part-time Faculty
- Student Assistant (including College Work Study)
- Temporary

Policies and Procedures

9.6 Workplace Violence

DESCRIPTION

Incidents of violence in the American workplace have come under increasing public attention in recent years. While such incidents have been rare at Wayne State University, the university wishes to do everything possible to anticipate and prevent such problems from arising. It is the goal of the Wayne State University Workplace Violence Policy to eliminate threats and acts of violence and to communicate the university's commitment to a policy of "zero tolerance" for threats or acts of violence by anyone on university property or at university-sponsored activities. Violation of this policy may lead to disciplinary action up to and including dismissal in the case of employees, expulsion in the case of students, and/or other appropriate action including denial of access to the university and university resources in the case of others.

Faculty, staff and students are accountable both to civil authorities and to the university for acts which constitute violations of both law and this policy. In such instances, disciplinary action at the university will normally proceed while civil or criminal charges involving the same incident are pending. Disciplinary action taken under this policy will not be subject to challenge on the grounds that civil or criminal charges involving the same incident have been invoked, dismissed, or are pending.

POLICY

Wayne State University is committed to providing a work and educational environment which is free from threats, assaults or acts of violence. No person will be allowed to harass or assault any other person by exhibiting violent behavior including, but not limited to, the following:

> Verbal Harassment: Verbal threats to engage in violence against persons or property.
>
> Physical Harassment or Assault: Physical or sexual assault by any means with or without a weapon, including hitting, pushing, kicking, holding, or unlawfully impeding or blocking the movement of another person, or nonverbal threats of violence against persons or property.

In support of this policy, the university will not tolerate any threat, direct or implied, of physical harm to persons or property, or which harasses, disrupts or interferes with another's work performance, or which creates an intimidating, offensive or hostile work or educational environment.

The university prohibits certain items from being brought onto university property. Those prohibited items include: all types of firearms, switchblade knives, knives with a blade length of more than 3 inches, explosives and any other object carried for the purpose of injuring or intimidating.

University personnel are expected to notify appropriate management personnel of any threats of violence, which they have witnessed or received. Personnel should also report any behavior they have witnessed which they regard as threatening or violent, when that behavior is work-related or is carried out on university property or is connected to university employment.

Any individual who has obtained a personal protection or restraining order which identifies the workplace as being a protected area should provide that information to the Department of Public Safety.

Disciplinary action for violation of this policy shall be taken pursuant to existing policies and procedures applicable to the individual who has engaged in the alleged violation. Violation of this policy shall be a separate ground for disciplinary action under such policies and procedures. In the event of such disciplinary action, violation of this policy shall be deemed to be a major violation, subject to the imposition of any sanction authorized under such policies and procedures, and not requiring that the University engage in progressive discipline prior to the imposition of such sanction.

Nothing in this policy shall be deemed to preclude disciplinary action for other actions which interfere with the effective functioning of the workplace or which otherwise create an intimidating, offensive or hostile work or educational environment.

PROCEDURE

In the event of serious incidents, the following procedure should be immediately implemented:

Responsibility	Action
Employee	1. Notify Public Safety and supervisor or next in charge of any threat, assault or acts of violence. 2. Notify Emergency Medical Service if needed.
Supervisor	1. Instruct all persons to evacuate area or take cover but remain available to participate in investigation. 2. Notify Public Safety and inform them to notify Emergency Medical Services, if needed. 3. Secure area and maintain crowd and traffic control until Public Safety personnel arrive. Consider additional security measures.
Public Safety	1. Detain, restrain and/or escort suspect from the scene. 2. Administer first aid and triage medical assistance, as needed. 3. Secure area and preserve evidence. 4. Conduct investigations. 5. Notify President, Sr. Vice President for Finance and Administration and Chief of Staff.
Chief of Staff	1. Inform Marketing and Communications. 2. Convene the Crisis Management Team as defined in the Crisis Communications Management Manual.
Marketing and Communications	1. Prepare news releases and answer media concerns. 2. Begin appropriate communications with other employees.
Human Resources/ Employee Assistance Program	1. Arrange for critical incident debriefing. 2. Advise employees of Employee Assistance Program services/benefits. 3. Provide crisis counseling, as needed. 4. Perform post incident review with Crisis Management Team.

In all cases not requiring immediate crisis intervention, the following procedure should be followed:

Responsibility	Action
Employee	1. Advise supervisor of threat or incident immediately
Supervisor	1. Review complaint. 2. Immediately investigate complaint by gathering information and supporting documentation from all appropriate university personnel. Obtain timely written statements from all parties and witnesses to incident. 3. Notify Vice President, Dean or Director through the appropriate organizational channels of the incident. 4. Notify Public Safety to report findings immediately. 5. Notify and provide copy of written statements to Labor Relations for represented, non-academic personnel; Employment Services for non-represented personnel, and Academic Affairs for represented faculty and academic staff personnel. 6. In circumstances where a manager has a reason to believe that it is in the best interest to have a public safety officer on hand, he manager may make advance arrangements with Public Safety to have an officer on site.

Public Safety	1. Respond and take appropriate actions, which may include some or all of the following:
	    1. Assess risk
	    2. Contain ongoing situation
	    3. Diffuse - Restore order
	    4. Isolate the parties involved
	    5. Control the scene for evidence collector
	    6. Negotiations
	    7. De-escalation
	    8. Physical intervention
	    9. Custody arrest
	    10. Crisis Center commitment
	    11. Transportation - escort from the scene
	2. Notify Marketing and Communications personnel as appropriate.
	3. In non-criminal incidents, assist in providing the proper environment in which supervisors and managers may deal with the personnel related issues involved in the incident. Public Safety personnel will not investigate disciplinary matters, only criminal incidents.
	4. In criminal incidents investigate for the purpose of preparing for prosecution of the case in court. (Note: Line management must conduct a separate investigation for employment related purposes and should not expect access to the police investigation).
	5. Public Safety will provide assistance, if determined appropriate, should a manager believe their assistance may be needed.

Labor Relations	1. For represented, non-academic personnel advise and counsel department relative to conduct of investigation (including possibility of medical/psychiatric examinations) and appropriate discipline.
Employment Services	1. For non-represented personnel advise and counsel department relative to conduct of investigation (including possibility of medical/psychiatric examinations) and appropriate discipline.
Faculty Relations	1. For represented faculty and academic staff advise and counsel department relative to conduct of investigation (including possibility of medical/psychiatric examinations) and appropriate discipline

Policies and Procedures

3.0.2 Non-Discrimination Affirmative Action

DESCRIPTION

Wayne State University is committed to a policy of non-discrimination and equal opportunity in all of its operations, employment opportunities, educational programs, and related activities (reference University Statute 2.28.01).

TERM(S)/DEFINITION(S)

Complaint	A statement alleging sexual harassment or illegal discrimination due to a basis protected by university policy.
Complainant	The individual who makes the discrimination complaint.
Executive Officer	The Vice President or Senior Officer of the division involved in the matter.
Respondent	The person or unit who is accused of violation of the university policies prohibiting discrimination/harassment.

POLICY

This policy embraces all persons regardless of race, color, sex (including gender identity), national origin, religion, age, sexual orientation, familial status, marital status, height, weight, disability, or veteran status and expressly forbids sexual harassment and discrimination in hiring, terms of employment, tenure, promotion, placement and discharge of employees, admission, training and treatment of students, extracurricular activities, the use of university services, facilities, and the awarding of contracts. This policy also forbids retaliation and/or any form of harassment against an individual as a result of filing a complaint of discrimination or harassment, or participating in an investigation of a complaint of discrimination or harassment. It shall not preclude the university from implementing those affirmative action measures which are designed to achieve full equity for minorities and women.

The university, as an equal opportunity/affirmative action employer, complies with all applicable federal and state laws regarding non-discrimination and affirmative action. In furtherance of this policy, the university is also committed to institutional diversity to achieve full equity in all areas of university life and service and in those private clubs and accommodations that are used by university personnel. No off-campus activities sponsored by or on behalf of Wayne State University shall be held in private club facilities or accommodations which operate from an established policy barring membership or participation on the basis of race, color, sex (including gender identity), national origin, religion, age, sexual orientation, familial status, marital status, height, weight, disability, or veteran status. Affirmative action procedures, measures, and programs may be used to the extent permitted by law to establish, monitor and implement affirmative action plans for all budgetary units and the University as a whole.

The affirmative action plans and programs of the university may include the participation of minority- and female-owned businesses, institutions and firms in the awarding of contracts for consulting, management, construction projects, maintenance, and vendor services.

Implementation of the university's non-discrimination/ affirmative action policy shall include, but is not limited to, the following:

a. Review by the President or his/her designee of all proposed academic and non-academic appointments for compliance with this statute;
b. Review by the President or his/her designee of all proposed contractual commitments by the university with external construction contractors, vendors, consulting, and professional service firms and organizations, for compliance with this statute;
c. Maintenance of University Affirmative Action plans consistent with existing law and this statute;
d. The posting of job openings as provided by University Policy 99-5;
e. Procedures for the investigation and timely resolution of complaints alleging sexual harassment or discrimination due to race, color, sex (including gender identity), national origin, religion, age, sexual orientation, familial status, marital status, height, weight, disability, or veteran status;
f. Development of recruitment programs, designed to attract minority and female job applicants and students;
g. Annual reports to the Board of Governors describing the status of minorities and women, areas of non-compliance or weak performance, and the university's progress in achieving established goals.

Overall responsibility for implementation of the non- discrimination/affirmative action policy, as declared herein, and university compliance with all applicable federal, state and local laws and regulations rests with the President. Day-to-day administrative responsibility shall be carried by other executive officers as assigned by the President. Such officers shall provide periodic reports to the Board of Governors on the status of the University's Affirmative Action Program, and its record of compliance under this policy.

PROCEDURE

Responsibility	Action
Complainant	Contact the Office of Equal Opportunity
Office of Equal Opportunity	Receive, investigate and achieve timely closure of discrimination complaints. The complaint process beings with an inquiry. In an inquiry, the Office of Equal Opportunity will review the concerns raised and obtain information from appropriate university personnel or other individuals. If the Office of Equal Opportunity determines that the allegations, if sustained, would be reasonably likely to result in the need for prompt remedial measures potentially involving disciplinary action, a formal complaint will be initiated. (Refer to APPM 3.0.2.1.2 Formal Complaints).

SCOPE

This policy applies to all Wayne State University employees.

Administrative Policy and Procedure Manual

3.0.4 Sexual Harassment

(Ref: Board of Governors Statute 2.28.06)

POLICY

It is the policy of Wayne State University that no member of the university community may sexually harass another. Any employee or student will be subject to disciplinary action for violation of this policy.

The law of the State of Michigan prohibits discrimination in employment and in education and provides that:

Discrimination because of sex includes sexual harassment which means unwelcome sexual advances, request for sexual favors, and other verbal or physical conduct or communication of a sexual nature when:

1. Submission to such conduct or communication is made a term or condition either explicitly or implicitly to obtain employment, public accommodations or public services, education, or housing.
2. Submission to or rejection of such conduct or communication by an individual is used as a factor in decisions affecting such individual's employment, public accommodations or public services, education, or housing.
3. Such conduct or communication has the purpose or effect of substantially interfering with an individual's employment, public accommodations or public services, education, or housing, or creating an intimidating, hostile or offensive employment, public accommodations, public services, educational or housing environment. MCLA 37.2103(h).

In the area of speech, what the law and this policy prohibit is speech as action; that is, sexual communication which is either directly coercive as demanding favors, or indirectly coercive, as rising to that level of offensiveness which interferes substantially with the victim's education or employment. The determination of what level of offensiveness is actually coercive, and therefore unlawful and prohibited by this policy, will in some cases be difficult. A significant element in the determination is provided by the fact that an unequal power relationship underlies sexual harassment. The more unequal the relationship, the more the risk of substantial interference with the victim's education or employment.

In the area of physical contact, physical contact which is unwelcome is so gravely offensive that it always has the effect of substantially interfering with the victim's employment or educational environment. Employees and students should not take for granted that they are welcome to touch other employees or students, since if their contact is in fact unwelcome, they will be in violation of the law and of this policy.

Deans, directors and department heads are directed to take appropriate steps to disseminate this policy statement and to inform students and employees of complaint procedures.

WAYNE STATE UNIVERSITY

Wayne State University Policies

00-1 Acceptable Use of Information Technology Resources

1.0 Purpose

This policy is designed to guide students, faculty and staff in the acceptable use of computer systems, networks, and other information technology resources at Wayne State University.

2.0 Guiding Principles

2.1 The University community is encouraged to make innovative and creative use of information technologies in support of educational, scholarly, and administrative purposes. Wayne State University supports access to information representing a multitude of views for the interest, information and enlightenment of students, faculty and staff. Consistent with this policy, Wayne State University supports the use of information technology resources in a manner that recognizes both the rights and the obligations of academic freedom.

2.2 Wayne State University recognizes the importance of copyright and other protections afforded to the creators of intellectual property. Users are responsible for making use of software and other information technology resources in accordance with copyright and licensing restrictions and applicable University policies. Using information technology resources in a manner violating these protections, or furthering the unauthorized use or sale of protected intellectual property, is prohibited.

2.3 Wayne State University cannot protect individuals against the receipt of potentially offensive material. Those who use electronic communications occasionally may receive material that they might find offensive. Those who make personal information available about themselves through the Internet or other electronic media may expose themselves to potential invasions of privacy. Invasions of privacy.

2.4 Information technology resources are provided to support the University's scholarly, educational, and administrative activities. Information technology resources are limited, and should be used wisely and with consideration for the rights and needs of others.

3.0 User Responsibilities

3.1 Users are expected to use computer and network resources in a responsible manner. Users should take appropriate precautions to ensure the security of their passwords and prevent others from obtaining access to their computer resources. Convenience of file or printer sharing is not a sufficient reason for sharing computer accounts.

3.2 Users may not encroach on others' use of computer resources. Such actions include, but are not limited to, tying up computer resources with trivial applications or excessive game playing, sending frivolous or excessive messages, including chain letters, junk mail, and other similar types of broadcast messages, or using excessive amounts of storage.

3.3 The following behaviors are prohibited while using University information technology resources, including computers and networks owned or operated by Wayne State University, or to which Wayne State University is connected:

- Modifying system or network facilities, or attempting to crash systems or networks;
- Using, duplicating or transmitting copyrighted material without first obtaining the owner's permission, in any way that may reasonably be expected to constitute an infringement, or that exceeds the scope of a license, or violates other contracts;
- Tampering with software protections or restrictions placed on computer applications or files;
- Using University information technology resources for personal for-profit purposes;
- Sending messages that are malicious or that a reasonable person would find to be harassing;
- Subverting restrictions associated with computer accounts;
- Using information technology resources to obtain unauthorized access to records, data, and other forms of information owned, used, possessed by, or pertaining to the University or individuals;
- Accessing another person's computer account without permission. Users may not supply false or misleading data, or improperly obtain another's password to gain access to computers or network systems, data or information. Obtaining access to an account name or password through the negligence or naivete of another is considered to be a specifically prohibited use;
- Intentionally introducing computer viruses, worms, Trojan Horses, or other rogue programs into information technology resources that belong to, are licensed to, or are leased by Wayne State University or others;
- Physically damaging information technology resources;
- Using, or encouraging others to use, information technology resources in any manner that would violate this or other University policies or any applicable state or federal law; and
- Falsely reporting or accusing another of conduct that violates this policy, without a good faith basis for such an accusation.

3.4 Users should remember that information distributed through the University's information technology resources may be considered a form of publication. Although Wayne State University does not take responsibility for material issued by individuals, users must recognize that third parties may perceive anything generated at Wayne State University as in some manner having been produced under Wayne State University auspices. Accordingly, users are reminded to exercise appropriate language, behavior, and style in their use of information technology resources.

4.0 Policy Administration

4.1 The University encourages all members of its community to use electronic resources in a manner that is respectful of others. While respecting users' privacy to the fullest extent possible, the University reserves the right to examine any computer files. The University reserves this right for bona fide purposes, including, but not limited to:

- enforcing polices against harassment and threats to the safety of individuals;
- protecting against or limiting damage to University information technology resources;
- complying with a court order, subpoena or other legally enforceable discovery request;
- investigating and preventing the posting of proprietary software or electronic copies of texts, data, media or images in disregard of copyright, licenses, or other contractual or legal obligations or in violation of law;
- safeguarding the integrity of computers, networks, software and data;
- preserving information and data;
- upgrading or maintaining information technology resources;

- protecting the University or its employees and representatives against liability or other potentially adverse consequences.

No action under this section may be taken by university officers without the approval of the President or his/her designee.

4.2 The University may restrict the use of its computers and network systems when presented with evidence of violation of University policies, or federal or state laws, or when it is necessary to do so to protect the University against potential legal liability. The University reserves the right to limit access to its information technology resources, and to remove or limit access to material stored on University information technology resources.

4.3 All users are expected to conduct themselves consistent with these responsibilities. Abuse of computing privileges may subject the user to disciplinary action as established by applicable University policies.

- Students who violate this policy may be subject to discipline pursuant to the Student Due Process Policy, Wayne State University Code Annotated.
- Represented employees may be subject to discipline in accordance with the applicable collective bargaining agreement.
- Non-represented employees may be subject to discipline in accordance with the Handbook for Non-represented Employees.

4.4 The University and users must recognize that all members of the University community are bound by federal and state laws pertaining to civil rights, harassment, copyright, security and other statutes governing use of electronic media. This policy does not preclude enforcement under such laws.

4.5 This policy is for all units of the University. Schools, colleges, and divisions may adopt policies governing the Acceptable Use of Information Technology Resources that incorporate the University Policy. School, college and division policies must be approved by the Vice President for Information Technology.

5.0 Reporting Violations

5.1 Allegations of conduct that is believed to violate this Acceptable Use policy should be reported in writing to the Computing and Information Technology Information Security Office. To ensure the fairness of any proceedings that may follow a reported violation, the individual filing the report should not discuss or provide copies of the allegations to others.

5.2 Nothing in the section shall be interpreted to prohibit an individual from pursuing such other administrative or legal rights as he or she may have. While the University's primary responsibility to investigate violations of this policy rests with Computing and Information Technology. Exceptional cases should be reported to the President or h is/her designee.

6.0 Duration

This University Policy is revocable by the President at any time and without notice.

7.0 Effective Date

7.1 This University Policy is effective upon issuance.

7.2 Executive Order 97-1 is revoked-immediately.

Signed by President Irvin D. Reid May 12, 2000

Documenting Coaching Discussions

Non-Academic, Non-Represented

Documenting coaching and disciplinary actions is an important part of your role as a WSU manager and serves to:

- Establish a record of employment actions taken and the reasons for the actions. Memories fail, managers move on and other circumstances change thus requiring this record to fall back on.
- Inform employees of what is expected of them and the consequences of not meeting those expectations.
- Provide a written record of performance that can guide both the manager and the employee's future behavior.
- Foster a sense of fairness and equity, when done consistently.

The goal of good documentation is to create an ongoing record of employment, including objective facts of performance or conduct incidents and any key discussion or decisions made and communicated to the employee pertaining to topics such as performance or conduct expectations and feedback, requests for leaves or accommodations, work/life balance matters, training and career development.

Best Practices

When documenting **coaching discussions**, follow these guidelines:

- **Start early**. Make it a habit to discuss performance of all employees on a regular basis and document both positive and negative feedback.
- Don't wait to document hoping issues will improve.
- Document only what you **observe** and what you hear. Include only facts, not suppositions or interpretations. Ensure your notes are unbiased and without generalities.
- Start by referencing the stated **expectation**. Ensure documentation is consistent with University policy or collective bargaining agreements.
- Be specific with **dates, times, spoken words, and actions**. Good documentation answers these questions: who, what, where, and when (but not *why*, unless the employee gives their own explanation).

Ask Your HR Consultant

Not sure what should or shouldn't be documented?

Ask your **HR Consultant**

Looking for one place to keep all of your notes for non-represented, non-academic staff?

~

Consider **WaynePM.**
It allows for informal coaching documentation to be captured year-long, in addition to the annual appraisal & mid-year evaluation.

- Be **concise** yet thorough. Ask yourself, if someone read your documentation from outside of WSU, would they understand the situation, the degree to which it complies with policy or agreed upon performance expectations and the impact of the employee's action on others? Include specific examples of the performance or conduct being referenced. Avoid the use of acronyms and any WSU-specific jargon.
- Include what was discussed with the employee and his/her **response** as well as **agreed upon next steps** and a date for a follow up meeting.
- Include specific corrective actions discussed with the employee and consequences of not achieving improvement.
- If the information was obtained from a second party, your notes should include who said it and when it was said
- Verify there is no language in the document that could be mistaken for a personal attack on the employee's character.
- Write clearly and legibly if providing handwritten notes.

Note: **Disciplinary documentation** varies somewhat from coaching documentation in that it must contain specific content. Remember, in the event of a wrongful termination law suit, you may be called upon to provide documentation to prove you did not discriminate against the employee.

Disciplinary documentation must include:

1. The employee was aware of the performance, behavior, or rules violation.
2. The employee knew what improvement was expected of him or her.
3. The employee was given a reasonable time to improve. (Reasonable is interpreted as what a reasonable person could expect.)
4. The consequences of a failure to improve.

What's in it for me?

Consider what can happen if you don't have a record of what transpired or what was discussed with an employee… it can actually *keep you from taking action* in the face of an employee's poor performance or behavior. Hesitancy to take action causes two distinct problems:

1. The poor performing employee is unaware that he or she is not performing satisfactorily or worse yet, the employee is aware that he or she is performing poorly or behaving inappropriately but can continue this behavior because you will not take action.
2. Simultaneously, your other employees are observing the poor performance, and they can clearly see you will not take action for poor performance or inappropriate behavior.

Helpful Hint

Never attempt to document or discuss an issue when you're upset or angry. Take time to distance yourself from it to ensure that you can approach it with a positive, constructive attitude.

Documentation of an employee's ***pattern*** of poor performance, behavior and/or discipline can also establish that an employee's termination was not the result of discrimination based on race, sex, age, religion, disability, national origin, or protected status but rather the unsuccessful attempt to help the employee return to satisfactory performance levels. Without documentation, you may have a much more difficult time proving you did not discriminate.

> "More cases are won or lost due to documentation than any other factor."
>
> *Anne H. Williams, Attorney (2002)*

Additionally, your documentation must be ***consistent*** across your workgroup. Unfortunately, when a termination is challenged, you may also have to provide documentation of other employees with similar infractions. If your documentation is inconsistent, it could add to the evidence of discrimination.

Using the Documentation Support Tools

When to Document Checklist

Not sure what situations call for documentation and which may not? This checklist shares specific managerial actions that require formal notes. Other situations may also be helpful to informally capture in writing, but consider this checklist for the activities in which at a minimum documentation should be kept for each employee.

These conversations you document will continue the coaching process. An overview of this process is shared as a reference as well as a troubleshooting guide to diagnose performance gaps.

Discussion & Documentation Templates

While there is no one template/format required for WSU manager documentation, two templates are provided to help guide a discussion and capture a summary in your notes:

- Performance Expectations/Current Observations/Gaps
- Facts, Objectives, Solutions & Actions (FOSA)

Document Storage Options

Creating a systematic process for keeping all documentation in one easily accessible location is one of the best methods for staying organized and proactive – and for retrieving information when and if a lawsuit requires it.

When to Document Checklist

SPECIFIC ACTIONS FOR WHICH DOCUMENTATION SHOULD BE COMPLETED INCLUDE:

- ☐ Setting and revising annual performance goals and objectives (if applicable based upon collective bargaining agreement)
- ☐ Mid-year and annual performance reviews (if applicable based upon collective bargaining agreement)
- ☐ Conversations about work assignments
- ☐ Informal feedback
- ☐ Attendance discussions
- ☐ Poor performance
- ☐ Demotions
- ☐ Promotions
- ☐ Change in job duties (Consult with your HR Consultant if these changes are significant. S/he may also partner with Total Compensation and Wellness.)
- ☐ Training needs and accomplishments
- ☐ Compliments received by others as well your own acknowledgement of positive contributions
- ☐ Customer complaints
- ☐ Bonus and merit increase decisions

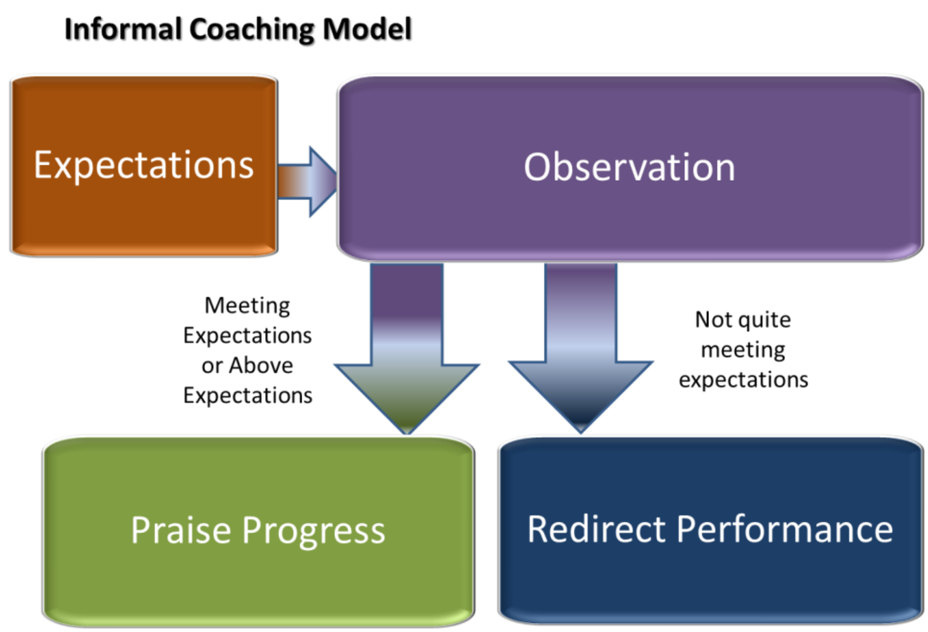
Note: Partner with the appropriate WSU unit prior to documenting discussions or decisions pertaining to accommodation requests (Office of Equal Opportunity); harassment or violence claims, egregious policy violations or workplace code of conduct concerns <u>*and*</u> *at the start of any discipline process (HR Consultant for non-academic, non-represented employees and Labor Relations for non-academic, represented employees).*

Document the Informal Coaching Conversation

A CONTINUATION OF THE COACHING PROCESS

Non-Academic, Non-Represented

Documenting the informal coaching conversations should stem from the expectations you set. These expectations may come from specific performance standards and objectives expectations set or University policies governing required behavior/conduct/performance.



If you find that the performance did not meet your expectations, you'll want to share specific re-directive feedback and document it.

Two tools may be helpful:

1. Performance Expectations/Current Observations/Gaps Discussion & Documentation Template
2. Facts, Objectives, Solutions & Actions (FOSA) Discussion & Documentation Template

Complete the template best suited for your needs and use it to guide a conversation with the employee. You may find it helpful to summarize the main elements of your discussion and include it as a written follow up with the employee. If so, this document should be scanned and uploaded into WaynePM (if applicable) or saved in your hard copy personnel file for the employee. If you choose not to share a summary with the employee, your own notes to recap the conversation and next steps should be saved.

Preparing to Document

Before sitting down to write your documentation, a little preparation will make your task a lot easier and certainly more accurate.

Problem Identification

Determine if an employee's conduct or performance is satisfactory. If unsatisfactory, clearly identify the specific act or omission that is not acceptable. Fully understand the nature and extent of a problem. What is the exact nature of the unsatisfactory conduct or performance?

- Did the employee understand the standards of conduct?
- Was the employee capable of doing what was expected?
- Did the employee receive the necessary job training?
- Did the employee receive timely feedback on current performance?
- For non-academic, non-represented employees, under what conditions did the unsatisfactory conduct or performance occur?
- Were there any obstacles that prevented the employee's compliance?
- Were other individuals involved? Who are they?
- Does the employee have previous history of similar incidents or infractions? How were they handled?
- For non-academic, non-represented employees, has the employee been notified throughout the process through proper documentation?

FACT GATHERING

Gather all the pertinent facts prior to contacting HR or Labor Relations. Keep a written and/or electronic record of all information gathered.

- Check for any written record pertaining to the current misconduct or performance problems.
- Gather evidence that will show the employee was aware of the applicable standards of conduct or performance including signed copies of documents received.
- Interview supervisors, witnesses, and other employees with knowledge of the misconduct or performance problem and/or have them provide a signed written statement of what occurred.
- Examine relevant records or evidence for any information that may have a bearing on the case.
- Review the employee's official personnel file for evidence of prior misconduct or performance problems.
- Review performance-rating forms including Performance Appraisal Summaries (if performance issue).
- Review time sheets and attendance records (if attendance-related).
- For non-academic, non-represented employees, determine whether salary range changes or merit salary adjustments were approved or denied as evidence of satisfactory or unsatisfactory performance.

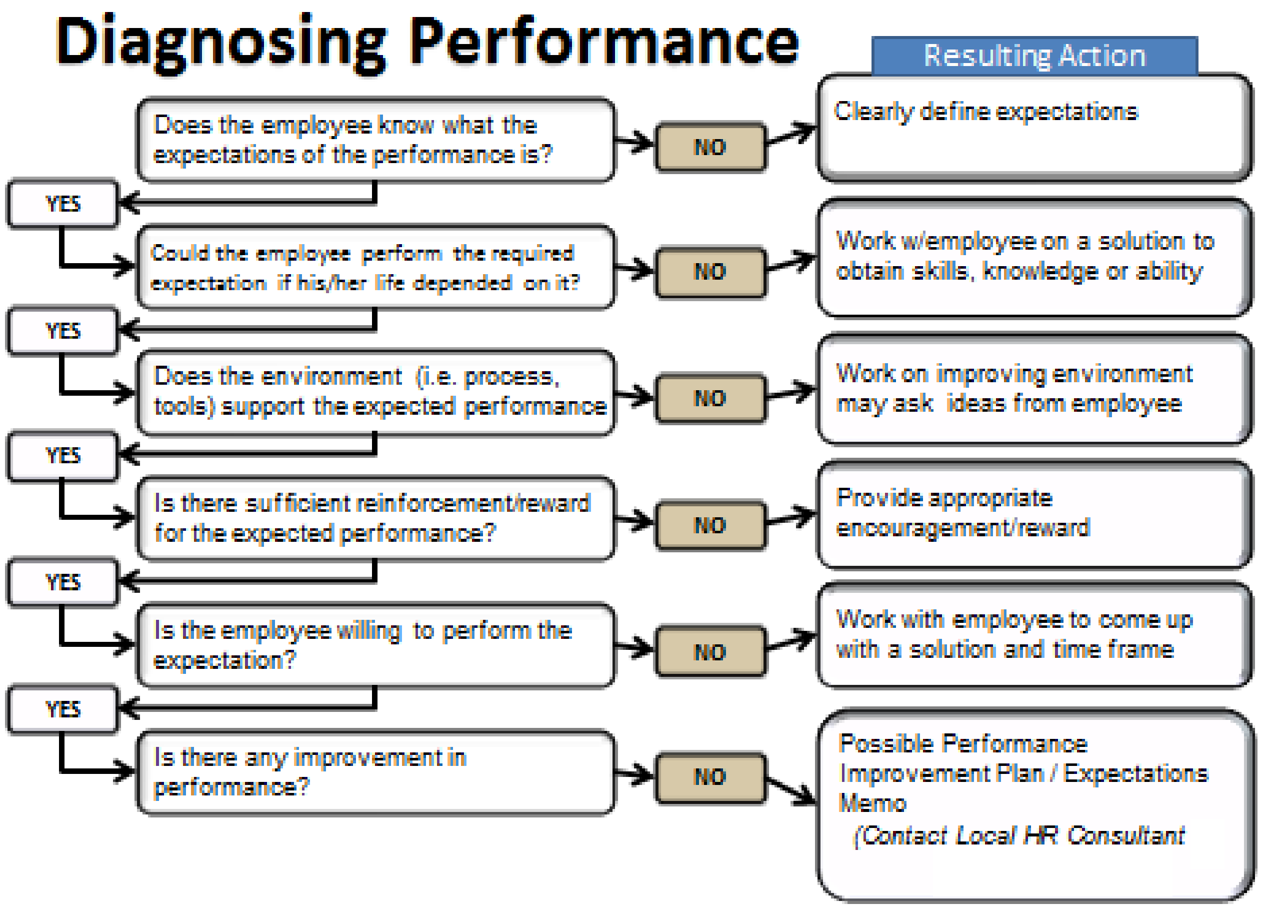
- For non-academic, non-represented employees, review any charts or other documents comparing the employee's work to published or established performance standards. If poor production is the problem, production records must show the employee's performance in comparison to the performance of other employees performing similar tasks during the same time period.
- For non-academic, non-represented employees, review training records demonstrating whether or not the employee received training in relevant areas, or was offered training but declined to participate.

Troubleshooting Performance Gaps

NOT SURE WHAT MIGHT BE DRIVING AN EMPLOYEE'S PERFORMANCE DEFICIENCY?

Non-Academic, Non-Represented

Employees may not be performing at the desired level for a variety of reasons. Use the troubleshooting guide below to diagnose the potential cause and recommended resulting action.



Adapted from Mager & Pipe's Analyzing Performance Problems (1984)

Performance Expectations/Observations/Gaps

DISCUSSION & DOCUMENTATION TEMPLATE

Non-Academic, Non-Represented

When you notice a deviation between a performance expectation and an employee's current performance, it may be helpful to discuss it with the employee first to gain his/her perspective on contributing factors and potential solutions. Complete the first and second column of the below template, then after the discussion with the employee, capture highlights of your discussion in the third column.

Summarize next steps with the employee in writing and save this document in the employee's file or upload to WaynePM (if applicable).

Position Title:	
Employee Name:	
Date:	

List performance expectations for position *(to be completed by Manager)*	List performance observations relative to employee's performance *(to be completed by Manager)*	List below what factors may be contributing to gap in performance; state what is needed to close gaps (i.e., training, tools, etc.) *(to be completed by Employee)*

Sample Informal Coaching Documentation Template

USING THE FACTS, OBJECTIVES, SOLUTIONS & ACTIONS (FOSA) APPROACH

Non-Academic, Non-Represented

While there is no specific WSU template or format that should be used to capture manager notes for informal coaching conversations (those not included as part of formal discipline process), it may be helpful to utilize the **Facts, Objectives, Solutions, Actions (FOSA) approach** as a best practice to ensure documentation contains:

Employee Name

Your Name

Date

Facts

Keep in mind the 5-W's can help to detail the facts about a situation (what happened, when it happened, where it happened, who was involved and if the employee provides it, why it happened.) These will come from your observations or those that others share with you about an employee's performance or conduct. Include:

- Specific behavior/performance that occurred
- Impact of behavior/performance on others, e.g. co-workers, students, clients
- Violated behavior/performance expectation, e.g. as initially shared in University policy, collective bargaining agreement, job expectations memo, performance management goals, department/unit values, etc.

Example:

Facts Documentation Do:	Facts Documentation Don't:
Your report was due on January 11. On January 10 you assured me you were on track to meet the deadline. I received it on January 14. When I asked why it was late, you said "I've been busy." Upon reading the report, seven misspelled words were found. It did not include an executive summary or financial analysis as we discussed on December 5 (see attached email summarizing discussion). This delay will prohibit our team from meeting our project deadline by at least one month as we will now need to wait until February to present the findings to senior leadership.	Your report was late. It was the worst report I've read in years. It left out all the important information.

Objectives

In order to help the employee to improve, it's not enough to share what not to do. In this section, document what s/he must do to correct or prevent future occurrences of the behavior/performance. Include:

- Specific behavior or performance desired
- Reinforcement of University policy, collective bargaining agreement or performance expectation

Example:

Objectives Documentation Do:	Objectives Documentation Don't:
You must proofread your work and ensure that it contains all the required elements as discussed when the project was assigned well in advance of the stated deadline to enable time for corrections. Final reports must be submitted on or before the deadline, free of grammatical errors and complete. Notify me two days in writing before any deadline if you anticipate it will not be possible to meet it.	It would be helpful if you would check your work before submitting it to me and manage your time better.

Solutions

Requesting input from an employee on how you can support him/her to achieve the agreed-upon objectives shows your concern and desire to help the employee improve. Some options s/he might share could include:

- Training (See attached Accelerate brochure to learn more about eLearning options.)
- Mentoring
- Other Resources

Example:

Solutions Documentation Do:	Solutions Documentation Don't:
(Employee name) requested help in learning how to use to Excel pivot tables to perform financial analysis and has agreed to review Accelerate options within the next 30 days.	Improve Excel knowledge

Actions

Depending upon the frequency and seriousness of the issue, you may need to share:

- The specific action you are taking now (e.g. an oral warning to precede the start of a formal discipline. Consult with your HR Consultant or Labor Relations prior to discipline.)

- The consequences of not improving behavior/performance

Example:

Actions Documentation Do:	**Actions Documentation Don’t:**
I will follow up in the next 2 weeks to see if you’re applying the Accelerate training on Excel pivot tables. This is an oral warning. If you do not meet the performance objectives as we’ve discussed, you will be subject to disciplinary action.	Complete training

Employee Signature ____ Date ___________________

Manager Signature ____ Date ___________________

What If the employee declines to sign a disciplinary memo?

Non-Academic, Non-Represented

Every manager knows the importance of disciplinary documentation. Ideally, the information is accurate and descriptive, with all the "I's dotted and T's crossed." But what happens if an employee refuses to sign his disciplinary memo? Your carefully prepared documentation still stands, regardless. The question is how to deal with the employee.

Make sure the employee understands what signing the document means. Explain that his/her signature simply acknowledges that he received and reviewed the disciplinary document; it does not indicate an admission of guilt or his/her agreement with the contents. Consider adding this explanation above the employee signature line on disciplinary forms.

Make sure the employee understands what **not** signing the document means. Explain that he/she declines to sign that it does not in any way change your ability to enforce the disciplinary measure and his responsibility to abide by it.

Add a "declined to sign" line. A simple sentence declaring the employee declined to sign the memo will offer the University extra protection. Make sure you and another manager (or HR) initial it.

Tip: Get the employee's oral agreement. He/she should be able to answer "yes" regarding whether the document has been discussed with him and whether he understands it. If there is any confusion (not disagreement), then review the applicable parts until he/she agrees that they understand. If the employee still refuses to sign, you can indicate the employee's oral acknowledgment of receipt and understanding, and his/her refusal to sign.

Give a copy to the employee. S/he may still later try to claim that the document was never received, but at least the employee won't have a valid point.

Allow the employee to include a rebuttal, if they ask. The rebuttal gives the employee a chance to be heard; employees who feel they have no voice in the workplace are more likely to want to be heard in court. And it serves as proof that the employee reviewed the document. Just be sure to reiterate that the employee's disagreement doesn't change the content or consequence of the warning.

Warning: Don't allow the employee to mark up the original document. By doing so, you'd make it easy for him to claim in court that you were in full agreement with all the changes he had made. Have him write his rebuttal on a separate sheet.

If the rebuttal reveals a legitimate issue, investigate the matter and re-evaluate the disciplinary decision if necessary.

Documentation Storage Options

Non-Academic, Non-Represented

Many lawsuits are lost simply because a manager couldn't find all of his/her documentation. Creating a system and sticking with it is the key to knowing you could find necessary and relevant information whenever you need it.

One format for keeping records about each employee is to create an **Incidents Journal**.

This can be kept in:

- Your calendar for non-academic, non-represented employees
- A computer file
- An employee's personnel file with hard-copy materials stored in a locked file cabinet
- An email folder created for each employee to store email or voice mail correspondence to/from the employee.

These storage areas can hold a variety of items. The key is making sure that these items tell a balanced story. Be sure to include positive notes as well as those for corrective action.

Any of the below may serve as documentation:

- Handwritten notes of informal discussions
- Memos
- Emails
- Typed notes summarizing formal meetings
- Voice mail messages
- Photos
- Video

The purpose of documentation is to help an employee improve.

Whenever you take the time to make an entry for an employee, make sure you also take the time to discuss it with him/her. It is also helpful to follow up with an email or memo to summarize the discussion key points. And, if doing so, be sure to keep a copy of this summary in the employee's file.

WSU document storage options:

- **WaynePM** - For those supervisors who evaluate employees in WaynePM, the Manager Notes feature is an excellent tool to use for documentation (see job aid). Notes can be added for each employee and at the manager's discretion, shared with the employee or just kept in the supervisor's Feedback Tab for later reference
- **AppXtender** - Store formal discipline documentation. Your Client Services team can upload this document. Monitor the timeframes for which this documentation can be stored by reviewing the applicable collective bargaining agreement.

Using Manager Notes in WaynePM

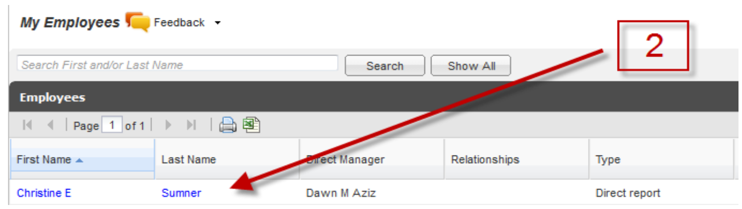
TO ADD MANAGER NOTES

Non-Academic, Non-Represented

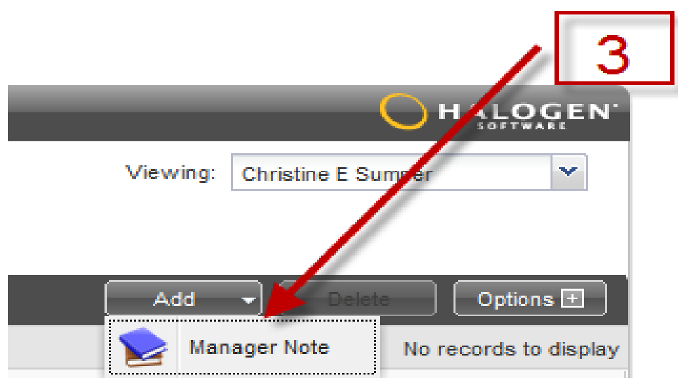
Logon to Academica, click on WaynePM under My Frequent Links

1. Click on **My Employees**

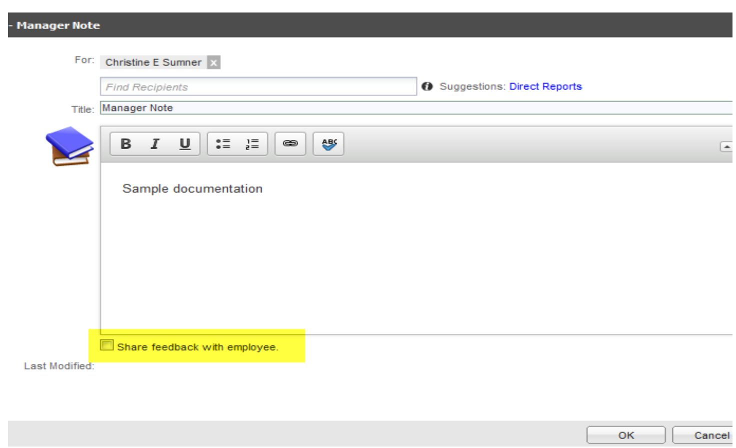
2. Select the **Employee** for which you'll be documenting feedback



3. Click the drop down menu for **Add**, to select **Manager Note**



4. Type notes. If you wish for the employee to be able view these notes, select the checkbox highlighted below. Otherwise, select OK.



Preparing for Progressive Discipline Conversations

Non-Academic, Non-Represented

Generally, progressive discipline immediately follows an unsuccessful attempt to improve an employee's sub-standard performance or behavior through the coaching process. Where the coaching process may be viewed as more informal corrective approach, progressive discipline formalizes the need for the employee to correct performance or behavioral discrepancies. The actual steps you will take vary based on the answers to the following questions:

- Is the employee represented or non-represented?
- If the employee is represented, which union is he/she a member of?

Elements of progressive discipline or performance improvement for each of these employee groups are listed on the following pages. But first, let's review best practices for determining when to take this path.

Deciding to Begin Progressive Discipline

One of the most difficult decisions a supervisor must make is when to move an employee from coaching to progressive discipline. The Performance Analysis Quadrant model was developed by Delta Airlines (1993) to provide their managers with a tool to help manage employee performance. It uses two continuums: knowledge/skill and motivation. With a slight modification in interpretation, the model can be used by supervisors to assist them in making this difficult decision—when to start disciplinary action.

Assume one of your employees has had an ongoing performance problem. ***As long as the employee demonstrates a willingness* to improve and some improvement is observed, coaching is still appropriate.*** However, when an employee demonstrates an unwillingness to improve or improvement is not observed after a reasonable amount of time, you should start disciplinary action with the employee to emphasize the need for improvement.

Performance Analysis Quadrant

The X axis is used to assess an employee's **motivation** (willingness) to satisfactorily perform the job. The Y axis is used to assess an

Is the employee willing to improve?

If an employee **is willing** to perform **but unable**, consider asking for ways in which you can share support.

A skill development option includes: **Accelerate**, our eLearning library

Always consult with your **HR Consultant** prior to instituting disciplinary action with non-represented employees.

employee's **competence** (skill and knowledge) for satisfactorily performing the job. The intersection of the X and Y axis places the employee with a quadrant. Using the Performance Analysis Quadrant explanations, a supervisor can gain some insight into employee performance issues.

Performance Analysis Quadrant (PAQ)
Non-Academic, Non-Represented Employees

Does the employee have adequate job **knowledge/skill level?**

HIGH 10 9 8 7 6	A Motivation (High Skill/Low Motivation)	B Resources or Environment (High Skill/High Motivation)
5 4 3 2 1 **LOW**	C Selection (Low Skill/Low Motivation)	D Training (Low Skill/High Motivation)
	1 2 3 4 5	6 7 8 9 10 **HIGH**

Does the employee have the **proper attitude (willingness)** to perform the job?

At any time during formal coaching the employee exhibits an unwillingness to improve performance or behavior, you should begin progressive steps of discipline.

* Hersey and Blanchard (Management of Organizational Behavior, 1984), use the terms *motivation* and *willingness* interchangeably

Best Practices

- Conduct the action in a **private** place to avoid embarrassment
- Maintain a professional and **calm demeanor** while remaining firm
- Locate a **witness** for later verification of a work rule infraction, if possible
- Follow established policy and procedure. Work with your **HR Consultant** and **Labor Relations** (for represented, non-academic staff) *prior* to beginning any discipline process or for investigation support.
- Ensure that you have **documentation** to prove that the employee knew the expected behavior and, if situation warrants, that subsequent coaching discussion took place.
- Administer policies **consistently**. Don't discipline one individual but not another for the same issue.

- Be aware that a represented, non-academic employee may choose to exercise his/her **Weingarten rights** – enabling employees covered under a collective bargaining agreement the right to have a union representative present at a meeting with a supervisor if the employee believes that disciplinary action may result. This does not apply to non-represented employees and an employer is not legally required to advise the employee of this right.

What's in it for me?

Likely if you're hoping things will get better

on their own – you're setting yourself up for a situation that will only get worse.

Working with your HR Consultant and Labor Relations (for represented, non-academic staff) to address employee performance or conduct issues

> **"Unmanaged employee conflict is responsible for 65% of work performance problems."**
>
> *Dana, 2001*

will save you time and can prevent future problems with not only the employee in question

but also your entire team.

Using the Difficult Conversation Tools to Prepare for a Discipline Conversation

Tips for Handling Crucial Conversations

Sometimes the hardest part of preparing for the discipline discussion is knowing how to get started. Review these tips for general guidelines.

Framework for Crucial Conversations

An overall flow for the main elements of challenging conversations is shared. This may be modified during preparations with your HR Consultant or Labor Relations pending the seriousness of the issue.

Crucial Conversation Discussion Planner

Not sure what you should say & how to say it? This planner is a working document to help you prepare. Of particular interest might be how you'll open the conversation, specific evidence you'll want to be sure to share and any questions you feel might be relevant to prevent further occurrences. Work with your HR Consultant or Labor Relations to be sure to know what you can and cannot say – and to clarify the consequences you'll be sharing with the employee as well as next steps in the process.

Sidestepping Crucial Conversation Sidetracks

Staff member reactions can run the gamut when having a discipline conversation. Several common reactions are featured in this tool along with suggestions for re-directing the discussion back to the purpose at hand.

Guidelines for Conducting Investigations

Partner with your HR Consultant prior to beginning an investigation and reference these guidelines as a framework for preparing and holding discussions with others to investigate incidents that may lead to discipline.

Tips for Handling Crucial Conversations

Non-Academic, Non-Represented

Holding difficult conversations requires skill and empathy – but ultimately it requires the courage to just go ahead and do it. Not sure how to approach a crucial conversation? Consider these planning tips:

☐ **Be Clear About the Issue**

To prepare for the conversation define:

- What exactly is the behavior causing the problem?
- What is the impact of this behavior – on you, your team, your student/client or WSU?

Knowing these answers will help you to remain focused during the conversation.

☐ **Know Your Objective & Start with the End in Mind**

What will a successful outcome look like for this conversation? Once you have determined this, plan for how you will close the conversation. End with expressed actions for next steps. What will the employee need to do? What support are you committed to providing? What obstacles might be encountered? What could both you and the employee commit to overcome them? Schedule a follow up to evaluate progress.

☐ **Adopt a Mindset of Inquiry**

Spend a little time to reflect on your attitude toward the situation and the individual? Your mindset will predetermine your reaction and interpretations of the other person's response, so it pays to approach the conversation with an openness that will allow the employee to have a say. Even if the evidence is so clear that there is no need to beat around the bush, we still owe it to the person to let them tell their story. The outcome might surprise you.

☐ **Manage Emotions**

While we may seek to keep our own emotions in check, it is possible that we may also need to deal with an employee's strong emotional reaction. Seek to preserve the employee's dignity and treat them with respect.

See ***"Sidestepping Conversation Sidetracks"***.

☐ **Be Comfortable With Silence**

There will be moments in the conversation where a silence occurs. Don't rush to fill it with words. Pauses help to allow the message to sink in. They also have been found to have a calming effect and can help us to connect better. Knowing our own tendencies when it comes to being an introvert or extrovert can be helpful with this. If you're an extrovert, you're likely uncomfortable with silence as you're used to thinking while speaking. This can be perceived as steamrolling or overbearing –

especially if the other person is an introvert. Introverts want time to think before they speak. Stop talking and allow them their moment – it will lead to a better outcome.

☐ **Preserve the Relationship**

A manager with high emotional intelligence is always mindful to limit any collateral damage to any relationship. It takes years to build bridges with people and only minutes to blow them up. Think about how the conversation can fix the situation, without erecting an irreparable wall between you and the individual. Remember, the goal of discipline is improve the performance or conduct.

☐ **Be Consistent**

Ensure that your objective is fair and that you are using a consistent approach. For example, if an individual thinks you have one set of rules with one person than you do for another, you'll be perceived as showing favoritism. Nothing erodes a relationship faster than perceived inequity. Employees have long-term memories of how you handled situations in the past. Aim for consistency in your management approach. This builds trust because individuals will know where you stand on important issues, such as acceptable work conduct/behaviors.

☐ **Develop Conflict Resolution Skills & Sidestep Conversation Sidetracks**

Conflict is a natural part of human interaction – and has even been found to improve innovation and decision making when managed appropriately. If you suspect that the discipline process will require you to navigate some tricky conversations, be prepared. Know what you want to say and consider having a few proven phrases in your back pocket just in case the individual tries to take the conversation off-course. Some phrases may include:

- *"I understand your point of view, but I see it differently."* After listening to the employee's viewpoint, it is acceptable now to firmly disagree and outline reasons for your opinion as the leader.
- If the individual is emotional and unable to focus and move forward, consider saying, *"Let's see what can be done to make sure it doesn't happen again"*. You can accept that the initial outcome was not satisfactory and shift the discussion to explore how this won't happen again. A similar phrase may be, *"What can I do so that this doesn't happen again?"* This focuses on the conversation on the process and not the people, which helps to reduce feelings of threat.
- If the individual is stubbornly unresponsive, consider saying, *"I don't know how to interpret your silence"*. Acknowledging the observed behavior can be disarming.
- *"I want to listen to your point of view, but I can't do it when you're yelling at me."* This helps to set ground rules and prevents the situation from getting out of control.

See ***"Sidestepping Conversation Sidetracks"*** for additional phrases.

☐ **Choose the Right Place to Have the Conversation**

In some cases you may choose to have the meeting in your office and in others it may be best to hold the discussion in a neutral location. When you need to reinforce your authority, hold it in your office. This might be best, for example, when working with an employee who is exhibiting serious behavior/conduct problems. Sitting in your own turf, behind your desk, shifts the balance of power to your side.

Calling people into your office may not be the best strategy in situations such as a minor employee performance issue, an involuntary termination such as a reduction-in-force or if you worry about a highly charged employee response. Consider holding the meeting in a neutral place such as a meeting room where you can sit adjacent to each other without the desk as a barrier. Be sure that there is nothing blocking the employee's exit, such as another individual sitting between him/her and the door.

For minor performance issues, consider your body language. Even simple body language, such as leaning toward the person can carry a subtle message of "we're in this together. Let's problem solve so that we can have a better workplace."

☐ **Know How to Begin**

Some people put off having the conversation simply because they don't know where to start. The best way to begin is with a direct approach, i.e. *"John, I'd like to talk to with you about what happened at the meeting this morning when Bob asked about the missed deadline."* or *"Linda, I want to go over some of the issues with XYZ project and some concerns that I have."*

Being upfront is the authentic and respectful approach. You don't want to ambush people by surprising them about the nature of a "chat".

Adapted from Bruna Martinuzzi, *12 Tips for Handling Difficult Conversations*

A Framework for CRUCIAL Conversations

ADAPTED FROM FIERCE CONVERSATIONS (SCOTT, 2004)

Non-Academic, Non-Represented

- **Name the issue:** *"I want to talk with you about…."*
- **Select a specific example:** *"I heard…"*
- **Describe your emotions/concerns:** *"I am concerned about this."*
- **Clarify why it matters (reference policy/stated performance expectation and impact):** *"This is important because…"*
- **Invite the individual to respond:** *"Help me understand your point of view. Tell me…."*
- **Move into resolution by paraphrasing:** *"Yes, and…".*
- **Identify next steps.**
- **Check back at the designated follow up time.**

Crucial Conversation Discussion Planner

Non-Academic, Non-Represented

There are **three critical stages to preparing for a crucial conversation**. These include what is done before the conversation, how to prepare to manage the conversation itself and how to develop a structure of follow-up and follow-through after the discussion. Below is a framework that highlights each of these areas:

Before
- Own this – these conversations are a part of your managerial role
- Take charge of your emotions
- Acknowledge the efforts you spearheaded to improve the situation and the employee's role and response
- Stay grounded in the meeting purpose

During
- Describe the problem in a way that sets the right tone
- Provide data and state next steps
- Navigate attempts to get side-tracked
- Summarize what will occur now

After
- Provide follow up documentation as deemed appropriate by your HR Consultant or Labor Relations
- Create action plan, if appropriate, and schedule next steps

The template below offers a planning document for moving through these three stages.

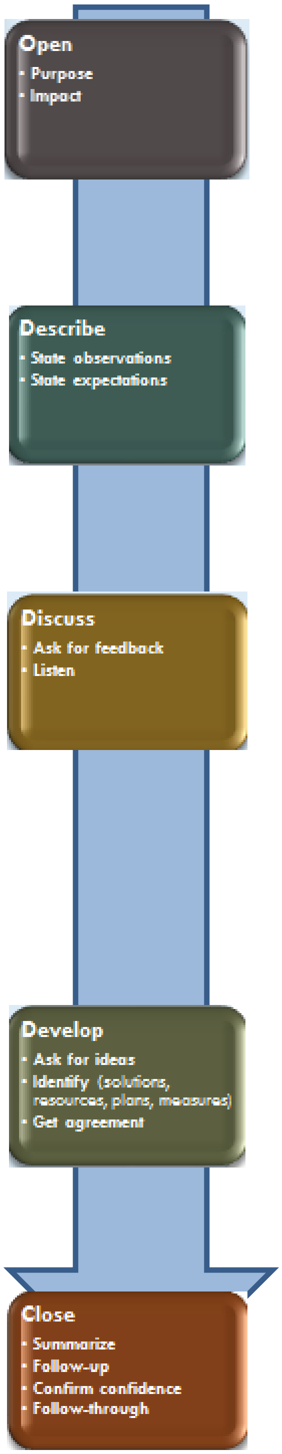
Employee Name: ______________________ Discussion Date: ___________ Your Name: _____________

Prior to holding a discussion, consult with your **HR Consultant** (for non-represented, non-academic employees) or **Labor Relations** (for represented, non-academic employees). Be prepared to answer these questions verbally with your HR Consultant or Labor Relations:

1. What Happened (Observed Behavior/Conduct)?
2. What Should Have Happened (Expectation)?
3. What was the Impact?
4. How Was This Expectation Initially Communicated & Reinforced?
5. Brief Recap of Policy, Performance Expectation and Your Efforts, including Documented Conversations, Employee Response, Agreed-Upon Next Steps
6. Does Employee Have a Relevant History of Previous Discipline Related to this Issue?
7. Clarify Next Steps

Discussion Planner Sample Script

Non-Academic, Non-Represented



Example: "I have noticed [behavior/performance] that I would like to discuss with you. I'd like to explain my thinking on what I observed and then invite you to give me your point of view."

____

____

Example: "The [behavior/performance] I'm seeing is…."
"The [behavior/performance that I expected to see was…"

____

____

Example: "While I am interested in hearing your thoughts, I must move forward with the [performance improvement/progressive discipline] in terms of ____ (next steps as provided by Labor Relations for non-academic, represented employees or by your HR Consultant for non-academic, non-represented employees). (Depending upon the seriousness of the issue, you might say: "The goal of this process is to prevent this from happening again. What do you feel is causing this?")

____

____

Example: "What could you do differently to prevent this in the future?" (Depending upon the seriousness of the issue, you might say: "What can I do to support you?")

____

____

Example: "Our next steps are… I'll follow up on ____." (If appropriate, express confidence in individual as it relates to plan).

____

____

Sidestepping Crucial Conversation Sidetracks

MANAGING FIVE POSSIBLE EMPLOYEE REACTIONS

Non-Academic, Non-Represented

1. The Victim

Description	Example Script
This is a "woe is me… I am not worthy" staff member response. It can easily derail a conversation and is particularly difficult when you truly like the employee.	**Manager**: *"Tim, I found two receiving errors"* **Employee**: *"Oh man, I'm sorry. I know I don't deserve another chance. It's just that I have so much on my mind. The divorce. The kids. Did I tell you that now she's fighting me on the kids?"*

The easiest way to get back on track is to use the words "right now" and repeat the problem behavior. For example:

- "I want to hear about that later. Right now, we need to talk about the two receiving errors found."

2. The Blammer

Description	Example Script
This sidetrack pushes attention off the problem and the employee and onto something else. It's a defense mechanism that enables employees to avoid taking responsibility.	**Manager**: *"Jack, this is the second time this week you've been late."* **Employee**: *"I know. I'm sorry. But it wasn't my fault this time. Andy changed the schedule Friday and didn't tell me my shift had changed."*

The easiest way to get back on track is to use the words "right now" to transition back to the topic. For example:

- "Right now we're talking about you, not Andy. This is the second time this week you've been late and it is impacting our ability to serve students."
- Another option is to jot down the excuses offered and ask an open ended question such as: "I'm not sure I understand. What does Andy have to do with your regular practice of checking for schedule changes?"

3. The Staller

Description	Example Script
This sidetrack sounds like agreement, but actually enables the staff member to avoid committing to specific actions that will be taken.	**Manager**: *"Sally, the XYZ report is one-week late. When they're late it puts our department in a negative light with senior leadership."* **Employee**: *"OK. I'll work on it." or "You're right. I'll keep that in mind next time." or "Sorry. It won't happen again."*

The easiest way to get back on track is to push to obtain agreement to a specific action. For example:

"Do you agree that this is a problem? What specifically are you going to do make sure this doesn't happen again?"

Another option is to share the **consequences** for not taking action such as:

"I'm pleased that you plan to make a change. If the next report is late, we'll need to move forward with our corrective action process. Please consider this a verbal warning."

4. The Guilt Tripper

Description	Example Script
This sidetrack is all about making you feel bad. To get attention off the staff member, s/he will try to turn the issue back on to the manager, causing you to feel defensive.	**Manager**: *"I've noticed that some of the rooms in XYZ building haven't been cleaned yet."* **Employee**: *"I always try so hard but it's never good enough for you. You never notice what I do right. Only how I could have done something better. What about all the rooms I did finish?"*

The easiest way to get back on track is to calm your emotions and restate the problem, adding specifics if possible. For example:

"Right now, we're talking about the classrooms in XYZ building that aren't ready for afternoon classes even though it's 4:00pm."

Another option, if you're feeling attacked, is to give some cooling off time before continuing the conversation.

5. The Attacker

Description	Example Script
This sidetrack shows the staff member's anger as s/he verbally lashes at you or your management style – bordering on or demonstrating insubordination. When this occurs, managers may feel a desire to lash back. But it's important to not take this personally and keep the focus on the employee.	**Manager**: *"Mike, I don't have your report yet."* **Employee**: *"Well, maybe if you came out of your office once in a while, you have known how far behind I was. You would know that I still don't have the figures from Jan to complete part 5."*

The easiest way to get back on track is to take a deep breath, remain calm, and focus back on the employee/issue. For example:

- "Right now, we're talking about you. The report was due yesterday and it was your responsibility."

Guidelines for Conducting Investigations

Non-Academic, Non-Represented

When an incident occurs that might require an investigation prior to disciplinary action, check with your HR Consultant for non-academic, non-represented employees or Labor Relations for non-academic, represented employees. Aspects that are important to keep in mind include the need for an investigator to keep an open mind regarding the outcome and ensure impartiality, fairness and confidentiality as much as possible throughout the process:

Planning

- Prepare the open-ended questions you'll want to ask. These should always begin with a variation of **"Tell me what's going on?"** and continue with probing questions based upon the individual's response.
- Schedule interview in a location that provides appropriate privacy and allows the discussion to take place without interruption.
- Ask a second person to join you during the interviews to take notes while you ask questions. This helps you to stay focused on asking the right questions and really listening to responses – and also provides the opportunity of having a second perspective.
- Make a plan for keeping the employee of focus out of the mix. If you suspect s/he will taint the process by speaking with key witnesses and seeking to influence their responses or may destroy evidence, work with your HR Consultant to explore options such as sending the individual home on a suspension with pay or temporarily housing them in another location on Campus.

Interviews

- Open the interview by sharing:
  - An explanation of who you are as well as any others in the room. Clarify what your role is – to establish what happened without judgment.
  - Indicate that notes will be taken and the interviewee will have an opportunity to confirm note accuracy.
  - Share your expectation that the individual be honest and candid. Provide your own goal of maintaining their confidentiality of their responses as much as possible.
  - Be sure that there are no obstacles that would prevent the interviewee from leaving the room (i.e. an individual seated between the interviewee and the door).
- Ask open-ended questions:
  - Ask the interviewee to tell you what happened in his/her own words.
  - Let the individual speak even if they are not describing things in order.

- **Focus questions on the allegation** of the incident and facts related to it.
- Only explore issues in more detail that are relevant to the incident.
- Do not make assumptions or interpretations – repeat/paraphrase/summarize what the individual said to confirm understanding and ask follow up questions as needed.

- Determine the following based upon hearing the details of the complaint:
  - What evidence is necessary to establish the facts surrounding the incident?
  - Which individuals should be interviewed? This list may evolve once you begin the process. For instance, a great question to ask a witness being interviewed is, "Who else would you recommend I speak with. Why?"
  - What are the priorities for gathering information? Start with the evidence you suspect is more likely to be destroyed or removed.
- Wrap up:
  - Summarize the facts shared to ensure your understanding.
  - Ask if there is anything else relevant that the individual might wish to add.
  - Ask if the individual can recommend any additional witnesses s you should speak with and if there is any other relevant documentation that should be considered.
  - Explain next steps.

Witnesses

- Be sure you have spoken with **everyone** who may have seen or heard the incident. Continually explore if you've reached the right individuals throughout this process.
- Try to see people as quickly as reasonably possible before their recollection of the events fade.
- Although you may indicate that you'll strive to maintain the confidentiality of the witness as much as possible, it isn't possible to promise this. In certain cases, the information shared must be communicated by law.
- Should a witness decline to participate, ask questions about the concerns s/he has and try to address them. Participation should never be mandatory.

Documentation

- Take notes of the interviewee's responses. It's not necessary for these to be a verbatim record of the interview, but they should contain:
  - Key points reflecting the interviewee's words
  - Date, names/titles of individuals in both the interviewee role and the interviewer role
  - Signature of the interviewee to acknowledge the accuracy

- Meetings are **not to be recorded electronically**. If an employee wishes to have a record of the discussion, suggest that s/he takes notes.
- Confer with your HR Consultant to determine who may need to copy of the findings and recommendations for next steps.

Non-Represented, Non-Academic Employees

CORRECTIVE ACTION ELEMENTS

While there is no formal progressive discipline process for non-academic, non-represented employees, the following elements are part of a best practices approach to this topic:

- Verbal Warning
- Written Warning
- Suspension
- Termination

ALWAYS contact your HR consultant prior to taking any disciplinary action and at each step of the progressive discipline process.

Note: It is not always necessary to begin progressive corrective action with an oral warning. Where you begin is based on the performance or behavior in question and the severity of the impact to the workplace. As an example, you might go directly to suspension for an insubordinate employee. The critical point with progressive corrective action is consistency. Have you treated employees within your workgroup with similar issues consistently?

Employee's Request for Third Party Presence

If a non-represented employee requests to have a third party (e.g. a co-worker) present at any stage of progressive corrective action, you may allow it even though the University is not obligated to do so.

However, if the third party is not a co-worker (e.g. a lawyer or family member), terminate the meeting and contact your HR Consultant.

Non-Represented VERBAL Warning Best Practices

The oral warning usually, but not necessarily, comes before the written warning. It is a precursor to the disciplinary process.

- Have a conversation and follow up with a summary in writing to the employee. An oral warning implies that it is spoken and it is. However, it is insufficient to just tell the employee that their performance or behavior is unacceptable. You must document that you gave the employee an oral warning. It should include:
    - Description of the poor performance and the negative impact that resulted from the employee's actions or non-actions.
    - Description of the expected satisfactory improvement.
    - Provision of a reasonable time to improve.
    - Stated consequences of non-improvement (written warning up to and including

termination).

    - The employee’s response to show that you listened to the employee’s side of the story before taking disciplinary action.
    - Your willingness to help the employee to improve.

- Demonstrate the seriousness of this oral warning.
    - Adopt a serious tone. Sit up straight against the table. Do not send a mixed message by taking a relaxed posture.
    - Do not deviate from the context of the oral warning by praising another aspect of the employee's work.
    - Hold the meeting in private.
    - Explain the problem, your expectations, and the consequences of non-improvement.
    - Ask the employee for their side of the story.
    - Keep accurate notes.
    - State a reasonable time for the improvement to take place.
    - State the consequences of non-improvement.
    - Set a date and time to revisit his or her progress.
    - Document the outcome of the discussion and send employee an email as a summary.

Non-Represented Written Warning Best Practices

- Be sure your written warning includes:
    - Description of the poor performance and the negative impact that resulted from the employee’s actions or non-actions.
    - Description of the expected satisfactory improvement.
    - A reasonable time to improve.
    - Stated consequences of non-improvement (written warning up to and including termination).
    - The employee’s response to show that you listened to the employee’s side of the story before taking disciplinary action.
    - Your willingness to help the employee to improve.
- When delivering the warning, give the employee a copy of the written warning and discuss all that it contains.
- Ask the employee to sign the document to acknowledge the discussion took place and be sure to sign it yourself. If the employee refuses to sign:

- Reinforce that the signature does not signify agreement – merely acknowledgement
- Ask the employee to remain in the meeting location.
- Find another manager or HR person and ask him/her to be a witness.
- Restate your request for the employee to sign the written warning. If the employee still refuses to sign the written warning, note that the employee declined to sign the document and have the witness sign and date that they observed the employee declining to sign the written warning.

Non-Represented Suspension Best Practices

Suspension is typically the result of an employee not improving the performance that had been identified in a written warning. However, suspension can also be used as the first step of discipline to remove an employee from the workplace while you conduct your investigate of the infraction.

Partner with your HR Consultant prior to instituting suspension, particularly when working with exempt employees. Exempt employees cannot be suspended for increments of less than one work week (5 working days) EXCEPT where there is a clearly defined policy regarding the reason for discipline. For things like workplace violence, improper technology use, etc., a suspension must be less than a week. However, progressive discipline that is due to performance would require a suspension lasting either 5 or 10 days. Who is an exempt employee? Any employee who is exempt from overtime as stipulated by the Fair Labor Standards Act (FLSA).

- Document the suspension and give the employee a copy. The suspension letter should include:
    - A description of the poor performance that had not been improved.
    - The duration of the suspension
    - A description of the expected satisfactory improvement.
    - A reference to the written warning that explained the consequences of non-improvement.
    - A description of the consequences of non-improvement (suspension up to and including termination).
- Discuss the contents of the suspension letter with the employee.
- You and the employee should sign the document stating that the suspension letter was reviewed with the employee. If the employee is reluctant, tell them their signature does not indicate they agree with the written warning only that you gave them a copy and discussed it with them.
- If the employee refuses to sign the document:
    - Ask the employee to stay.
    - Find another manager or HR person and ask them to be a witness.
    - Restate your request for the employee to sign the letter. If the employee still refuses to sign the letter, note that the employee declined to sign the document and have the witness sign and date that they observed the employee declining to sign the letter of suspension.

Using the Non-Represented, Non-Academic Performance Improvement Tools

Sample Verbal Warning Memo

Two sample templates for summarizing a verbal warning are attached. Partner with your HR Consultant for assistance in customizing it to the unique needs of your situation.

Sample Written Warning Memo

Two "best practice" sample templates for summarizing a verbal warning are attached. Partner with your HR Consultant for assistance in customizing it to the unique needs of your situation.

Performance Improvement Plan Template

Work with your HR Consultant prior to completing and sharing this performance-focused plan with the employee. It is often used in either coaching or progressive corrective action discussions with non-rep employees. Consult with Labor Relations to determine how it may be used for represented employees.

Verbal Warning Memo – Example One

Non-Academic, Non-Represented

Partner with your HR Consultant for assistance in summarizing a verbal warning for non-represented, non-academic employees.

WAYNE STATE UNIVERSITY

To: Banner ID

Subject: **Disciplinary Action: Verbal Warning**

Your job performance is unsatisfactory for the reason(s) set forth below. Your failure to improve and avoid a recurrence of this situation and/or any job performance related behavior will result in further disciplinary action up to and including termination.

Details:

Agreed-upon improvement plan for this activity:

Date of next meeting for follow-up:

A copy of this verbal warning will be placed in your personnel file.

____
Supervisor

____
Date

I have received and read this verbal warning notice. I have been informed that a copy of this notice will be placed in my personnel file in Human Resources.

____
Employee

____
Date

Cc: Personnel File

Verbal Warning Memo – Example Two

Non-Academic, Non-Represented

This is a best-practice sample for reference. Partner with your HR Consultant for assistance in summarizing a verbal warning for non-represented, non-academic employees.

	To: (EMPLOYEE'S NAME) (EMPLOYEE'S CLASSIFICATION)
	From: (SUPERVISOR'S NAME) (SUPERVISOR'S TITLE)
	Date: (DATE)
	Re: (LEVEL OF DISCIPLINE)
(THE PROBLEM)	This letter serves as an official verbal warning for excessive tardiness. On December 6, 2002, I spoke with you about you arriving late to work and the impact it has on the department. At that time you assured me that you would take steps to ensure you would arrive to work on time. Yet my records show that you were late on the following dates: December 9, 2002 15 minutes late December 10, 2002 10 minutes late December 11, 2002 20 minutes late
(IMPACT ON UNIT)	It's important that you are here on time so that I can issue instructions to the entire crew at the same time at the start of the shift. Your tardiness also makes it very difficult to assign work because I'm not sure if I need to request a floater or have the rest of the crew fill in for you until your arrival. When you are late it causes a disruption in the operation of the department.
(STATEMENT OF EXPECTATIONS AND ANY FOLLOW-UP)	Your work schedule is 8:00 to 4:30, Monday through Friday. You are expected to be at work on time according to the established schedule. In order to assess your progress in resolving this issue, we will meet each month to review your attendance record. Our first meeting is scheduled for January 13, 2003.
(CONSEQUENCE OF FUTURE BEHAVIOR)	Failure to report to work on time in the future will result in further disciplinary action up to and including suspension without pay and/or discharge from the University.
(ACKNOWLEDGEMENT OF RECEIPT)	A copy of this letter will be placed in your permanent personnel file in Human Resource Services. Please sign in the space provided below to acknowledge that you received a copy. ____________________________ Employee Date ____________________________ Supervisor Date
(COPY THE APPROPRIATE INDIVIDUALS)	Cc: Personnel file

Written Warning Memo – Example One

Non-Academic, Non-Represented

This is a best-practice sample for reference. Partner with your HR Consultant for assistance in summarizing a verbal warning for non-represented, non-academic employees.

Date:

Name:

Title:

RE: Written Warning

In accordance with (relevant policy or collective bargaining agreement article) you are receiving this Written Warning because of … (describe the unsatisfactory behavior/performance and explain the consequences for the department, tying to relevant policies or directives where possible.)

You were counseled regarding ___________ on date(s). To date, there has been no marked improvement in these areas. To the contrary… provide example(s)/incident(s), including date(s), of the poor performance and/or attendance and/or the inappropriate behavior that has occurred since the time of the informal discussion(s).

Effective immediately, you are expected to…..(describe what is required to improve and/or correct the unsatisfactory performance and/or attendance and/or behavior.)

Failure to demonstrate immediate and sustained improvement in these areas may result in further corrective action, up to and including dismissal.

You have the right to request a review of this action under (relevant policy or collective bargaining agreement)

cc: Department Head

Labor Relations

Written Warning Memo – Example Two

Non-Academic, Non-Represented

This is a best-practice sample for reference. Partner with your HR Consultant for assistance in summarizing a verbal warning for non-represented, non-academic employees.

To: (EMPLOYEE'S NAME)
(EMPLOYEE'S CLASSIFICATION)

From: (SUPERVISOR'S NAME)
(SUPERVISOR'S TITLE)

Date: (DATE)

Subject: Written Warning for Poor Work Performance

(THE PROBLEM)

Since the time of your oral warning last month, I have not seen sufficient improvement in any of the areas that were cited as needing improvement. Your work performance continues at an unsatisfactory level. Based on our discussion yesterday, the following is a summary of the problems that have been noted within the past two weeks:

1. A report given to you as a "high priority item" was not completed for over one week. Also, the first and second drafts contained numerous typing errors, many of which were of a totally unacceptable nature given your experience and job level.
2. In looking through your "to do" file, there were numerous items which I had given to you to send to other people that were more than one week old and not yet processed.
3. You either double scheduled or failed to indicate that you had scheduled meetings for me upon three occasions causing me to miss meetings.

Your explanation for points 1, 2, and 3 was that you have been very busy the last couple of weeks. For point 4, you indicated that you have asked family and friends not to call you at work, but that they still do. These explanations are not acceptable. We discussed the level of performance that is acceptable.

(IMPACT ON UNIT)

(STATEMENT OF EXPECTATIONS AND ANY FOLLOW-UP)

CONSEQUENCE OF FUTURE BEHAVIOR)

This memo is to notify you that, unless your work performance improves to an acceptable level immediately, further disciplinary action will follow. If you achieve an acceptable level of work performance, you are expected to maintain that level of performance on a continuous basis. Your performance will be reviewed on a weekly basis, and problems will be brought to your attention. Any questions regarding this memorandum should be addressed to me.

(ACKNOWLEDGEMENT OF RECEIPT)

A copy of this memo will be placed in your permanent personnel file in Human Resource Services. Please sign in the space provided below to acknowledge that you received a copy.

____
Employee Date

____
Supervisor Date

(COPY THE APPROPRIATE INDIVIDUALS)

Cc: Personnel File

Performance Improvement Plan

WAYNE STATE UNIVERSITY

Performance Planning and Development
Performance Improvement Plan

Employee Name:	Banner ID:
Classification:	S/C/D:
Department:	Performance Planning Date:

1. Performance Deficiencies	2. Behavior or Results Desired by Management	3. Action Management will Take to Help Employee Correct Deficiencies	4. Action Employee will Take to Correct Deficiencies	Outcomes & Completion Date

Signatures:

Immediate Supervisor: ______________________________ Date: __________ Employee: ______________________________ Date: __________

1st Level Review: ______________________________ Date: __________ HR Consultant: ______________________________ Date: __________

Represented, Non-Academic Employees

ALWAYS contact Labor Relations prior to taking any disciplinary action and before each step of progressive discipline when working with represented, non-academic employees.

Where specific documentation is required, Labor Relations has templates that you will use to create your disciplinary documentation.

Labor Relations

Contact Labor Relations at 577-2081 for guidance and the most current templates.

Always refer to the collective bargaining agreement.

Use of Employee Assistance as Part of an Improvement Plan

Occasionally during the disciplinary process, the employee may disclose to you that the cause of their poor performance or behavior comes from outside the work environment. Do not allow this admission to deter you from continuing with the disciplinary action. Remember: it is the employee's responsibility to improve his/her performance.

Best Practices

- Consider using the "**Sometime Speech**" for offering employee assistance:

  "Sometimes, WSU's Employee Assistance Program (EAP) can be a helpful option in situations such as this. It's free, it's confidential, and it's helped people with all kinds of problems. Here is the phone number. It's up to you should you wish to call."

- Not sure what our EAP can help with? They specialize in helping employees with issues inside and outside the workplace (such as those listed below), and are available 24 hours a day, 365 days a year.
  1. Marital and family problems
  2. Child or adult care issues
  3. Alcohol and/or drug abuse
  4. Balancing work and family
  5. Depression and anxiety
  6. Work-related concerns
  7. Financial or legal problems
  8. Career transition issues
- Be prepared to share EAP information. See the attached brochure. Additional copies are available by contacting WSU's HR Employee Resource Center.

What's in it for me?

As a supervisor, the Employee Assistance Program (EAP) broadens the number of solutions you can offer to employees. Since as a manager,

Employee Assistance Program

Contact WSU's HR Employee Resource Center with Questions about WSU's **Employee Assistance Program** (EAP) at 313-577-3000

Our Third Party EAP Provider is **Ulliance**:

800-448-8326

Note: employee usage of EAP is *never* mandatory you can only offer assistance related to what you control within the work environment, without the EAP there wouldn’t be much support you could offer for issues happening outside of WSU. It is a free benefit for employees and eligible family members and may help an employee obtain the needed resources to get back on track.

Terminations

Typically supervisors associate termination with the end result of disciplinary action, e.g. progressive discipline, policy violation or misconduct. However, terminations fall within two categories: voluntary and involuntary.

Remember, when terminating a non-represented employee, contact your HR Consultant; when terminating represented employees, contact Labor Relations.

Types of Terminations

Voluntary terminations occur when an employee:

- Resigns from University employment
- Retires from University employment
- Is deceased while an active University employee

Involuntary terminations occur (but are not limited to) when an employee is:

- Terminated for University policy infraction or misconduct
- Terminated as a final consequence of performance or behavior non-
  improvement
- Terminated for acts that constitute threat to life, person or property, or
  gross insubordination, or offenses of a comparable magnitude

Voluntary Termination Best Practices

If an employee resigns, it is customary to request a letter of resignation. In the event the former employee later decides to file a wrongful termination suit, a letter of resignation is proof that he or she voluntarily terminated employment with WSU.

- Ask for a letter of resignation if the employee does not offer one.
- Forward the letter of resignation to your HR Consultant or HR Client Services Region along with a completed EPAF. If the position is a non-academic, represented role, please also let Labor Relations know as soon as possible.

Termination Resources

Partner with Your HR Consultant for non-academic, non-represented employees and Labor Relations for non-academic, represented employees prior to any employee termination.

WSU Termination Resources available on HR's website:

- Separation Checklist
- Exit Interview Questionnaire *(for voluntary separations)*
- Knowledge Transfer Questionnaire

- The HR Client Services Region will complete the termination of University employment personnel transaction.
- Contact Total Compensation & Wellness in the event of an active employee death.

Involuntary Termination Best Practices

Non-Academic, Non-Represented

When the decision to terminate an employee has been made, the supervisor will:

- **Prepare** for the termination meeting.
    - Solicit guidance from your HR Consultant for non-academic, non-represented employees or Labor Relations for non-academic, represented employees. Work with your HR Consultant for logistical details surrounding final paycheck, vacation/sick time payouts, health insurance continuation and if applicable unemployment insurance. Determine if/how the position may be later posted.
    - Review the employee documentation relating to this termination meeting.
    - Write down the key points of what you will say. This will ensure that you provide all the information the employee needs. It may be helpful to review the attached sample script. Note that the conversation should short and concise.
    - Draft the termination letter with your HR Consultant for non-academic, non-represented employees and with Labor Relations for non-academic, represented employees.
    - Set a time and date for the termination meeting. Schedule the meeting in a private location to ensure that you won't be interrupted and at a time that is either at the start or end of the workday. This can minimize the employee's potential embarrassment when later retrieving personal belongings from his/her work area as fewer colleagues will be present to witness it. Keep the meeting brief – approximately 15-20 minutes.
    - For non-academic, non-represented roles, always seek to perform the termination discussion in person.
    - Inform the individual who will act as your witness at the termination meeting. This may be an HR representative or another member of management.
    - Prepare with the needs of the employee in mind. For example:
        - Ensure tissue is available
        - If departing employee will be leaving WSU immediately, arrange for boxes to hold personal items
- **Inform** the employee of the date and time of the meeting.
- **Develop** a specific transition plan for the departing employee, indicating duties and expectations.
- **Develop** a plan for making an announcement to the affected employee's colleagues.

- **Conduct** the termination meeting. Terminating an employee should never become easy. However, if you have adequately informed the employee of job performance standards and expectations, coached the employee to achieve performance improvement, applied the steps of progressive discipline when the employee failed to improve performance, consistently documented the coaching and disciplinary processes, you can take solace in knowing you did everything in your power to help the employee succeed.

Termination Meeting Tips

Non-Academic, Non-Represented

- Inform him/her of the decision to terminate his or her employment at the start of the conversation.
- Be courteous and professional. Remain compassionate but do not "side with" the employee. Also resist any temptation to "lighten the mood" such as making small talk or telling a joke. Be empathetic without apologetic.
- Be honest about the basis for the termination decision. State the facts as you have documented them.
- Listen politely to the employee's response but do not get into a debate with the employee.
- Inform the employee that the decision is final.
- Discuss what will be expected of the employee before the official end date and the plan for announcing the decision with others, if appropriate.
- Share next steps, including date of final paycheck and need for return of University property.
- Offer support as appropriate, such as the timeframe for Employee Assistance Program availability. You may also suggest boxing up the individual's belongings and shipping it to his/her home to make the departure easier.
- After the meeting, allow the employee a brief time to compose him/herself.

After The Termination Meeting

Non-Academic, Non-Represented

- Give the employee adequate time to retrieve his or her personal belongs. A witness should observe this process to ensure no University property is taken. This should be done in a manner that allows the departing employee as much dignity as possible.
- If necessary, have the employee escorted from the University premises.
- Forward the termination letter to your HR Consultant or HR Client Services Region.

Non-Academic, Non-Represented continued

- The HR Client Services Region will complete the termination of University employment personnel transaction.
- Document the termination.
- Complete the separation checklist.
- Act as a liaison with General Counsel. In the event of a wrongful termination suit, you may have to provide General Counsel with all documentation regarding the termination of the employee or others in your department. You may also be called upon to provide additional terminated employee documentation to prove consistency in your application of coaching and progressive discipline. If the wrongful termination suit goes to trial, you may be called upon as a University witness.
- Communicate the departure as quickly as possible to the rest of your team to avoid the spread of damaging rumors. Share a balanced message – one that is honest and empathetic, yet spares unnecessary detail to show respect for the terminated employee.
- Remain available for further discussion with remaining team members as needed. Some employees may have longer processing times than others. It can be reassuring to the team to focus upon the impact on the team and ways to mitigate it. This is also an opportunity to reinforce your department's desired culture, performance and values.

What's in it for me?

While it is more likely that an employee will choose to leave WSU rather than be asked to leave according to the Bureau of Labor Statistics, which indicates that 1.8% of employee separations were related to employees who quit their job vs. 1.1% who were laid-off or discharged for other reasons (2014), it is important that a manager is prepared for both scenarios.

Knowing what you'll say, who you can count on for support and the overall process is an important part of easing your preparation during what may be a stressful time.

> "Preparation is the number one way a manager can ease the separation process."

Using the Termination Tools:

Tips for Delivering Difficult News

Refer to these general guidelines when preparing for an employee termination meeting.

Voluntary Employee Termination Off-Boarding Process

This overview shares the key roles and responsibilities for supervisors, HR Consultants and Business Affairs Officers during the separation process.

Separation Checklist & Verification of Completion

A three-part checklist identifies the key activities for supervisors, HR Consultants and Business Affairs Officers at the time of an employee separation.

Exit Interview Questionnaire

During voluntary terminations, this questionnaire helps supervisors and HR work together to create a proactive employee retention strategy.

Knowledge Transfer Questionnaire

Capturing a departing employee's knowledge relevant to his/her role is a key challenge. This questionnaire was designed to ease the process and speed-up the process of transitioning responsibilities to others.

Tips for Delivering Difficult News

Non-Academic, Non-Represented

1. Be clear and straightforward in your discussion with the employee. Quickly state the reason for the meeting and explain the reason for the termination.
   - Don't sugarcoat or downplay the message
   - Don't over-react emotionally
   - Don't apologize for the decision
2. State the decision is final. Don't make future promises about things that may not happen.
3. Be compassionate but not apologetic
4. Ensure your non-verbal communication matches your verbal message. How you appear as you deliver the news will impact how the employee absorbs, accepts and adjusts to it
5. Describe resources available, such as the Employee Assistance Program
6. Outline the next steps. Share specifically what will happen now and expectations that you have of the employee.
   - Transition of responsibilities
   - Last day of work
   - Final paycheck, severance arrangements if applicable
   - Return of University property and packing up personal belongings
7. Follow up in writing

Voluntary Employee Termination Off-Boarding Process

A standard operating procedure devised to retract the employee's WSU identity and ensure the transition process is complete by specifying responsibilities of the supervisor, HR team and Business Affairs Officer.

Procedure

Direct Supervisor

Once notified of a voluntary employee separation:

1. Obtain a written "Letter of Resignation" notification from the employee and upload into AppXtender (work with your HR Client Services team as needed for AppXtender support).
2. Inform your Business Affairs Officer (BAO) and your HR Consultant of the notification within **24hrs**.
3. Instruct each of them to complete their sections of the Voluntary Transition/Separation Checklist by the 10 day deadline (see attached).
4. **Note:** In the case of an **involuntary termination**, the supervisor must notify the BAO and HR Consultant immediately and provide instructions specific to processing time frame.
5. Complete the supervisor's section of the Voluntary Transition/Separation Checklist.
6. **Note:** It is the responsibility of the direct Supervisor to ensure all responsible parties (BAO & HR Consultant) have completed their sections of the Voluntary Transfer/Separation Checklist. These processes should be completed within **ten (10) business days** of separation notification. In the event that less than ten (10) days notification is given, please notify your BAO and HR Consultant **immediately** to coordinate expediting these processes.
7. Complete the Checklist Verification Form and place in AppXtender once you have received notification of completion of the BAO and HR Consultant sections of the Voluntary Transition/Separation Checklist.
    a. This form should be verified and signed by the direct supervisor up to the last day of work.
    b. Upload into AppXtender.
8. Schedule a meeting with the employee within **3 days** of voluntary employee separation notification and request them to complete the following:
    a. Employee Off-Boarding Checklist (see attached)
    b. Knowledge Transfer Questionnaire (see attached)
    c. Obtain the completed copies of the **Employee Off-Boarding Checklist** and **Knowledge Transfer Questionnaire** forms prior to the last day of work.
    d. Upload into AppXtender.

HR Consultant

Once notified of voluntary employee separation:

1. Complete the HR Consultant section of the Voluntary Transition/Separation Checklist as requested by the employee's direct supervisor (link here).

2. Return your completed section to the direct supervisor by the 10 day deadline or as requested.
3. Communicate with the employee **within 2 days** of voluntary employee separation notification and request that he/she participate in our exit interview program.
4. Offer the three available methods of completing the exit interview: Electronic ***www.surveymonkey.com/s/WSUExitSurvey,*** Face to Face or Telephone.
5. Face to Face and Telephone survey results will be manually entered into Survey Monkey by the HR Consultant.
6. Follow-up with employee as follows:
7. Per request by employee, based on completed survey
8. If employee **has not** responded within 3 days
9. Collect and review exit interview survey results.
10. Extract Division results and share aggregate data with AVP at a minimum of once per quarter (more frequently, if requested).

Business Affairs Officer

Once notified of voluntary employee separation:

1. Complete the BAO section of the Voluntary Transition/Separation Checklist as requested by the employee's direct supervisor (link here).
2. Return your completed section to the direct supervisor by the 10 day deadline or as requested.

Talent Management Consultant

1. Extract exit interview survey results (by S/C/D) and create an aggregate summary to be shared with leadership by the 2nd Friday of the month for the previous month.

Roles & Responsibilities

DIRECT SUPERVISOR:	Initiate communication amongst all parties responsible for completing the off-boarding and transition processes as outlined above.
BUSINESS AFFAIRS OFFICER:	Complete the checklist as outlined above.
HR CONSULTANT:	Responsible for initiating and maintaining contact with the employee; facilitate the Exit Interview Questionnaire process, collect and deliver data as outlined above.
TALENT MANAGEMENT CONSULTANT:	Create Exit Interview aggregate summary as outlined above.

Separation Checklist

A link to this "fillable" document will be available on the Human Resources website. A sample is below for general reference. Note there are three distinct sections, each to be completed by either the supervisor, HR Consultant or Business Affairs Officer.

Transfer/Separation Checklist

Instructions:

This section of the Voluntary Transfer/Separation Checklist is to be completed by the direct **Supervisor**. It is the responsibility of the direct Supervisor to ensure all responsible parties (BAO & HR Consultant) have completed their sections of the Voluntary Transfer/Separation Checklist.

This checklist must be completed prior to the employee's last day of work. Once completed, upload the checklist verification form in *AppXtender* as a part of the official termination documentation.

****NOTE** Please refer to the Off-Boarding – Voluntary Employee Transition Process Standard Operating Procedure (SOP) for Involuntary Termination instructions (link here).**

Employee Name: Click here to enter text.	Banner ID: Click here to enter text.
Supervisor Name: Click here to enter text.	Banner ID: Click here to enter text.
School/College/Division: Click here to enter text.	Position Title: Click here to enter text.
Reason for Separation: Click here to enter text.	Separation Date: Click here to enter a date.

Supervisor of Employee

INITIATE COMMUNICATIONS WITH EMPLOYEE (with 24-48 hours of notice of resignation)

☐Obtain employees letter of resignation. *Send to HR Consultant and BAO ASAP.*

- *HR Client Service Contact List: http://hr.wayne.edu/clientservices/about/contact.php*
- *BAO Contact List: http://bao.wayne.edu/communication.php*

☐Please indicate the employees termination date Click here to enter a date.

☐Meet with employee to ensure completion of the Knowledge Transfer form.

☐Request employee to remove all personal property prior to departure.

☐Provide employee with off-boarding checklist link (*see attached*).

☐If the employee is a student or alumni notify C&IT (This identifies blackboard/pipeline access they may need to retain).

LOGISTICS: Prior to Last Day

☐Remove mail box slot in S/C/D.

☐Notify employee's customers and/or contacts of employee departure.

☐Change/disable passwords for any department or university subscriptions.

RETRIEVE UNIVERSITY PROPERTY

☐Obtain One Card from employee and destroy. If a current student, employee will need to get another One Card. Instructions are on the "off-boarding checklist." *Please note: you do not need to collect the parking hang tag.*

☐Obtain Procurement card and return to BAO.

☐Collect Credit Cards from employee and return to BAO.

☐Obtain all technology and return to C&IT (Computer, Cell Phone, etc.).

- http://computing.wayne.edu/desktechsupport

☐Collect Uniforms/gears/tools/instruments/job accessories.

EMPLOYEE LAST DAY

☐Please indicate the ***last physical day* of work** (excluding banked days) Click here to enter a date.

☐Submit "Last day of work/Pay Notice" form (if leaving WSU) to payroll.

☐Obtain keys: office building, classrooms, storeroom, desk, file cabinets, storage, lockers, vehicle(s).

☐ Verify that you have collected all University property.

☐One Card ☐Credit Cards ☐Petty Cash ☐Library Materials (books, periodicals, cd, etc)

☐Computer/printers ☐Cameras ☐Cellular Phones

☐Uniforms/gear/tools/instruments/job accessories

OTHER

☐Notify the division Pro Card Coordinator to review/reconcile any outstanding travel expenses.

☐Notify Marketing/IT to update S/C/D Website (Pipeline Directory is automatically updated at termination)

☐Notify the division Super-User to submit the employee's last timesheet (*If necessary, which may occur* most often with involuntary terminations)

****NOTE** De-provisioning of the employees Travel Profile and changes from employee to student or alumni status (if necessary) is an automated process by C&IT at the time the EPAF is processed.**

SPECIAL CIRCUMSTANCES (Disability, long term absence, Death)

☐Contact employee or employee's family to retrieve personal belongings and University property.

Business Affairs Officer

☐Terminate Procurement Card.

☐Cancel/change memberships & subscriptions the employee has through WSU.

☐ Submit EPAF Data Summary worksheet (Term-E or Term-J) and resignation (other relevant scanned documentation) to your Human Resource Mail box.

- http://hr.wayne.edu/clientservices/management-services/epaf-management.php *(To add verbiage to EPAF Summary regarding use unused/accrued vacation and/or overtime payout or dockings).*

☐Remove employee from Web Time Entry Approval que (NTRRQUE) assign new approver to avoid deactivation of timesheets.

☐Obtain petty cash fund and provide notification of new custodian to the Cashier's office.

☐Terminate access to on-line ordering systems (Office Max OSDOS, UPS Campus Ship, etc).

☐Cancel Signature Authority (If Necessary).

☐Contact Public Safety to deactivate access to building.

Human Resource Consultant (communicate with employee within 3 days)

☐Conducted exit interview as requested *www.surveymonkey.com/s/WSUExitSurvey*.
Click here to enter a date. (Request can be from the manager or employee).

☐Met with exiting employee and answered questions regarding off-boarding procedure.
Click here to enter a date.

☐Met with manager to answer off-boarding questions and to begin planning how to fill position or re-organize work. Click here to enter a date.

☐Notified HR Solutions to de-activate OHS Systems Access and I-9 Express. Click here to enter a date.

Click Here to Enter Text

Direct Supervisor Name Click here to enter a date.

Verification of Completion – Separation Checklist

A link to this "fillable" document will be available on the Human Resources website. A sample is below for general reference. Note that the supervisor is responsible for ensuring that the HR Consultant and Business Affairs Officer have completed their sections.

Voluntary Transfer/Separation Checklist

Verification Form

This form is to certify that all responsible parties have completed and submitted to the direct Supervisor their sections of the Voluntary Transfer/Separation Checklist. Please complete as required and upload to AppXtender.

Employee Name: Click here to enter text.	Banner ID: Click here to enter text.
School/College/Division: Click here to enter text.	Position Title: Click here to enter text.
Reason for Separation: Click here to enter text.	Separation Date: Click here to enter a date.

Direct Supervisor Name: Click here to enter text. Banner ID: Click here to enter text.

Voluntary Transfer/Separation Checklist Completed: YES ☐ NO ☐

Date Completed: Click here to enter a date.

Business Affairs Officer Name: Click here to enter text. Banner ID: Click here to enter text.

Voluntary Transfer/Separation Checklist Completed: YES ☐ NO ☐

Date Completed: Click here to enter a date.

Human Resource Consultant Name: Click here to enter text. Banner ID: Click here to enter text.

Voluntary Transfer/Separation Checklist Completed: YES ☐ NO ☐

Date Completed: Click here to enter a date.

______________________________________ __________________________

Supervisor Signature Date

Exit Interview Questionnaire

A link to this document will be available on the Human Resources website. A sample is below for reference.

DATE__________________

WAYNE STATE UNIVERSITY

Exit Interview Survey Questionnaire

Transfer

NAME___________________________ CURRENT SCHOOL/COLLEGE/DIVISION(S/C/D)________________________

HUMAN RESOURCE CONSULTANT________________________TRANSFERRING TO S/C/D______________________

JOB TITLE____

SUPERVISOR_____________________________ DEPARTMENT________________________________

REPRESENTED_______NON-REPRESENTED_______BARGAINING UNIT______________________________

HOW LONG IN CURRENT POSITION__________________________SEPARATION DATE________________________

TOTAL LENGTH OF SERVICE_________YRS________MONTHS

Your responses will be used for statistical purposes and overall organizational improvements.

Please indicate your PRIMARY reason(s) for transferring out of your S/C/D.

PRIMARY

____ Pay	____ Organizational (*Culture, Management*)
____ Benefits	____ Promotional opportunities
____ Commute/Relocation	____ Employee recognition
____ Work Hours	____ Professional development
____ Personal Conflicts	____ Type of Work
Other ______________________________	____ Retirement

To what degree did the aspects of the POSITION influence your decision to leave?

POSITION

If you selected number 3, please share your comments below.	1 Did Not Influence My Decision	2 Somewhat Influenced My Decision	3 Heavily Influenced My Decision
	Please place an "X" in the corresponding box		
Work assignments			
Workload			
Job tools, equipment and resources			
Job related training			
Physical working conditions (environment, space, comfort)			
OTHER/COMMENTS			

SUPERVISION	To what degree did the aspects of SUPERVISION influence your decision to leave?			
		Please place an "X" in the corresponding box		
	If you selected number 3, please share your comments below.	1 Did Not Influence My Decision	2 Somewhat Influenced My Decision	3 Heavily Influenced My Decision
	Teamwork			
	Communication of expectations			
	Performance feedback			
	Handling of issues and concerns			
	Recognition			
	Leadership			
	Facilitating change			
	Professional development			
	Fairness			
	Respectful			
	Receptive to ideas and input			
	OTHER/COMMENTS			

ADDITIONAL COMMENTS	Please use the space below to provide us with any ADDITIONAL COMMENTS.
	Would you recommend a family or friend for work within your S/C/D? Yes No Would you consider returning to your S/C/D in the future? Yes No
	I would like to discuss this survey questionnaire further Yes No

Thank you for your participation

Knowledge Transfer Questionnaire

A link to this document will be available on the Human Resources website. A sample is below for reference.

Knowledge Transfer Questionnaire

Name: **Date**: Click here to enter a date.

Title:

Unit:

Department:

Location:

This information will be used to assist in identifying job related functions that may or may not be outlined in the job description. Accurately identifying these functions will help us in our recruiting efforts.

1. What are the open projects that you are currently working on that are critical and/or time sensitive? Please describe.
   Click here to enter text.

2. Who are the any key contacts (internal/external) that we should be aware of? Please provide their name(s) and contact information.
   Click here to enter text.

3. What are the critical job functions that you perform on a regular basis that are NOT a part of your job description? Please describe.
   Click here to enter text.

4. What passwords, user ID's or other sign-on information, etc. for any external or third party vendor systems do you have access to? Please list.
   Click here to enter text.

5. Is there any additional information you would like to provide to help us in our recruiting efforts?
   Click here to enter text.

Employee Offboarding Checklist

A link to this document will be available on the Human Resources website. A sample is below for reference.

EMPLOYEE OFF-BOARDING CHECK LIST

Date: Click to enter date

Dear Employee Name Here,

Thank you for your service and commitment to WSU. Our goal is to make the off-boarding process as seamless as possible for both you and the university. For your convenience, we have listed a series of steps and/or processes that are necessary for you to complete to ensure a smooth transition. Please complete the following steps within 10 days of your last day of scheduled work.

Please use this document as a guide to track your completion of each step. Upon completion, please provide a signed copy of this document to your Supervisor/Manager on your last day.

☐ Submit an official "Letter of Resignation" to your Supervisor/Manager (*if you have already done so, please check*).

☐ Complete the attached "Knowledge Transfer" worksheet and submit it to your manager/supervisor within 3 days of resignation notification.

☐ You may be contacted by your HR Consultant to complete the Exit Interview Survey which can be accessed electronically at *www.surveymonkey.com/s/WSUExitSurvey*. However, if you would like to have a face to face meeting or complete the interview via the telephone, please contact your HR Consultant:

Enter HRC Name & Contact Information Here

NOTE**:** *Your participation is strictly voluntary and your responses will aid us in making overall organizational improvements.*

☐ Notify Parking & Transportation Services – One Card/Parking Services Center to coordinate the refund of any prorated parking fees and/or One Card balances (http://onecard.wayne.edu/refund.php). You can contact parking at:

Welcome Center, Suite 257
42 W. Warren
Detroit, MI 48201
Phone: 313-576-PARK (7275)
Email: parking@wayne.edu

☐ If you have banked days including unused vacation days and you intend to use them, what do you anticipate will be your last day of physical work: Click here to enter a date.

☐ If you are a current WSU Student/ Alumni/ Retiree, please request a "new" One Card.

☐ Please turn in all university property including, e.g. keys, cellular phones, laptops, uniforms, tools, etc.

☐ Contact the Mort Harris Fitness Center to cancel your membership. You can contact them at:

Mort Harris Fitness Center
5210 Gullen Mall
Detroit, MI 48202
Phone: (313) 577-2348
Fax: (313) 577-5843
campusrec@wayne.edu

☐ Please clear your computer hard drive of all personal files and documents. If you need assistance, please contact C&IT. You can contact them at:

Computing Services Center
5925 Woodward
Detroit, MI 48202
Phone: 313-577-4778
Fax: 313-577-5500
helpdesk@wayne.edu
Main Contact: dx0297@wayne.edu

☐ Please change your voicemail greeting to a standard greeting and delete all messages.

☐ Contact your HR Consultant to discuss the impact of how your current benefits will be impacted or visit: *http://hr.wayne.edu/tcw/health-welfare/cobra-benefits.php* for more information.
Enter HRC Name & Contact Information Here

☐ Please confirm that your address and/or contact information is current and up to date. To update your information visit: *http://hr.wayne.edu/clientservices/employee-services/change-name-address.php*

☐ To obtain your "Final Paystub" please contact payroll at:

5700 Cass AvenueSuite 3800
Detroit, MI 48202
Phone: (313) 577-2138
Email: Payroll@wayne.edu

☐ Retiree's **ONLY**, contact Total Compensation & Wellness to schedule an appointment to discuss your benefits. You can contact them at:
5700 Cass Avenue, Suite 3638 A/AB
Detroit, MI 48202
Phone: (313) 577-3717
Email: benefits@wayne.edu

☐ Please ensure your workspace/office/laboratory is free from all personal items

Please Sign: ____ Date: __________

Accelerate e-Resources for Discipline & Termination

Non-Academic, Non-Represented

Accelerate
Employee Development Tools

For a general overview of absence management eResources, consider the following items from WSUs eLearning library, Accelerate!

eBooks

- 101 Tough Conversations to Have with Employees: A Manager's Guide to Addressing Performance, Conduct and Discipline Challenges, *Chapter 6: Excessive Absenteeism and Tardiness* by Paul Falcone (2009)
- 101 Sample Write-Ups for Documenting Employee Performance Problems: A Guide to Progressive Discipline and Termination, Second Edition by Paul Falcone (2010)
- Discipline Without Punishment: The Proven Strategy that Turns Problem Employees Into Superior Performers, Second Edition by Dick Grote (2006)
- The Manager's Pocket Guide to Documenting Employee Performance by Terry Fitzwater (1998)

eCourses

- Addressing Problem Performance
- Using Progressive Discipline to Correct Problem Performance
- Preparing to Dismiss an Employee

Job Aids

- Verbal and Written Warnings
- Handling the Suspension of an Employee
- When and How to Terminate an Employee