



# *A Supervisors Guide to Communicating Expectations and Understanding When to Use Positive Corrective Action*

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HONORING 99 GREAT WORKPLACES  
FOR TOP TALENT IN NORTHEAST OHIO



# Learning Objectives

- **Providing meaningful feedback**
  - Keys to Employee Engagement
  - Communicating with a Purpose
  - Addressing Deficiencies
- **What is Positive Corrective Action?**
  - Considerations before Administering Positive Corrective Action
  - Administering the Program
  - Meeting with the Employee
- **Knowing when to Use a Performance Improvement Plan**

# Providing Meaningful Feedback

- **How often should you provide feedback**
  - Weekly scheduled meetings (employee's meeting)
  - Employee prepares agenda
  - Supervisor provides guidance / feedback
- **What are the benefits of maintaining open communication?**

# Providing Meaningful Feedback

- What if I supervise too many employees to hold individual weekly meetings?
  - Rounding
  - Create constructive feedback opportunities
  - Recognition
  - Self-fulfilling Prophecy

*“I am not who I think I am . . . I am not who you think I am . . . I am who I think you think I am.”*



# Providing Meaningful Feedback

	<u>Attendance</u>	<u>Performance</u>	<u>Behavior</u>
<b>Top Performers</b> (Recognition)			
<b>Good Performers</b> (Opportunities)			
<b>Poor Performers</b> (Action Plan)	<u>Who's Sinking Your Boat?</u>		

# Providing Meaningful Feedback

Three Critical States that make Work Satisfying

1. **Meaningfulness of Work** – degree to which how work tasks are viewed
2. **Responsibility for Outcomes** – degree to which employees feel they are key drives for the quality of the unit's work.
3. **Knowledge of Results** – extent to which employees know how well (or poorly) they are doing.

# Providing Meaningful Feedback

## *Questions for discussion*

- How do you recognize your top performers?
- What opportunities are you providing to stretch your good performers?
- How are you holding your poor performers accountable?
- Are you interviewing to identify characteristics of your top performers?
- Are your employees surprised by their annual performance evaluations?

# Keys to Employee Engagement

## The Gallup Q-12 Index

### *Managers – Engagement Driver*

- Survey designed to measure employee engagement
- Research found 12 key expectations that, when satisfied, form the foundation of strong engagement
- Over 87,000 work units and 1.5 million employees participated in the Q-12 instrument to date
- Gallup administers this survey as a semi-annual employee engagement index



# Keys to Employee Engagement

## The Gallup Q-12 Index

*Managers – Engagement Drivers*

- In the Q-12 Engagement Survey, Managers Impact 8 out of 12 Engagement Drivers

**Q4: In the past seven days, have you received recognition or praise for doing good work?**

- ✓ Positive support, encouragement and praise
- ✓ Lead with Carroll Star . . . and your team will follow



# Keys to Employee Engagement

## The Gallup Q-12 Index

### *Managers –Engagement Drivers*

1. **Do you know what is expected of you at work?**
2. Do you have the materials and equipment to do your work right?
3. At work, do you have the opportunity to do what you do best every day?
4. In the last seven days, have you received recognition or praise for doing good work?
5. Does your supervisor, or someone at work, seem to care about you as a person?
6. Is there someone at work who encourages your development?

# Keys to Employee Engagement

## The Gallup Q-12 Index

### *Managers –Engagement Drivers*

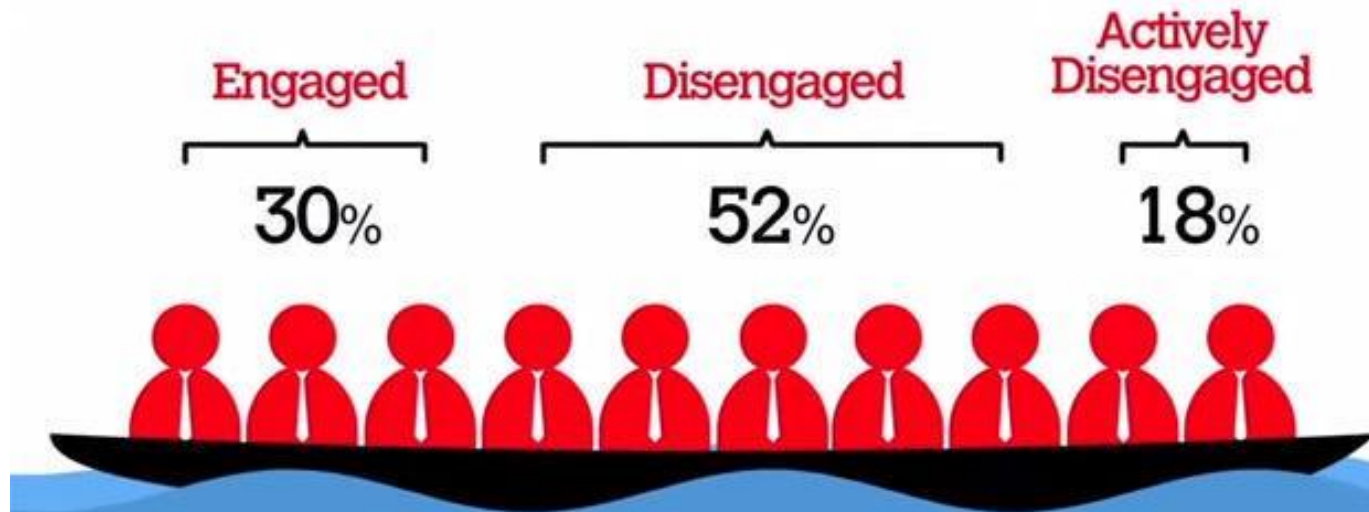
7. At work, do your opinions seem to count?
8. Does the mission/purpose of your organization make you feel your job is important?
9. Are your associates (fellow employees) committed to doing quality work?
10. Do you have a best friend at work?
11. In the last six months, has someone at work talked to you about your progress?
12. In the last year, have you had opportunities to learn and grow?

# Keys to Employee Engagement

## The Gallup Q-12 Index

*Managers –Engagement Drivers*

- Results of latest engagement index*



This is the typical US Company today



# Keys to Employee Engagement

## *Successful Recognition*

➤ To impact engagement, recognition must be:

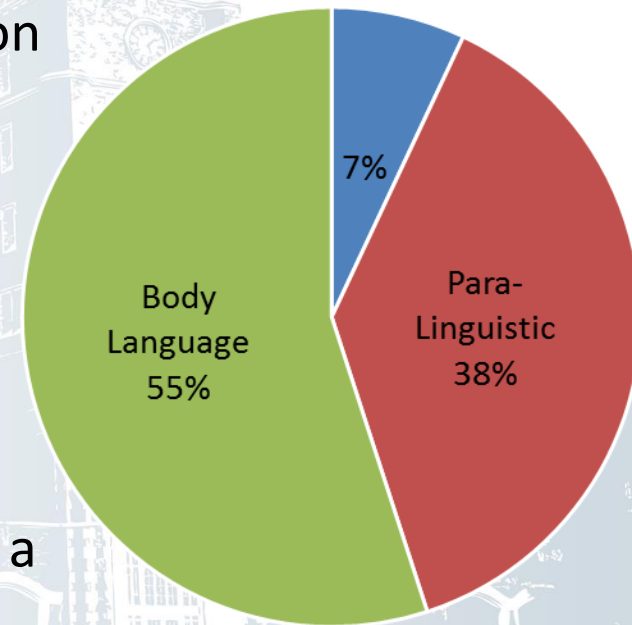
- Genuine
- Timely
- Personalized
- Specific
- Frequent
- Appropriate



# Communicating with a Purpose

## *The Art of Communicating*

- **7% Words**
  - Words are only labels
  - listeners formulate their own interpretation of the speakers words
- **38% Paralinguistic**
  - The way in which something is said
  - accent, tone and voice variation
- **55% Body Language**
  - What a speaker looks like while delivering a message
  - affects the listener's understanding most



# Communicating with a Purpose

*Body Language – 55%*

**P**ostures & Gestures: How do you use hand gestures? Stance?

**E**ye Contact: How's your "Lighthouse"?

**O**rientation: How do you position yourself?

**P**resentation: How do you deliver your message?

**L**ooks: Are your looks, appearance, dress important?

**E**xpressions of Emotions: Are you using facial expressions to express emotion?

# Communicating with a Purpose

*Paralinguistics – 38%*

- Responding instead of reacting
  - Say “Oh”
    - Mad
    - Stepped in mud
    - In love
- Communicating via email



# Communicating with a Purpose

*Words— 7%*

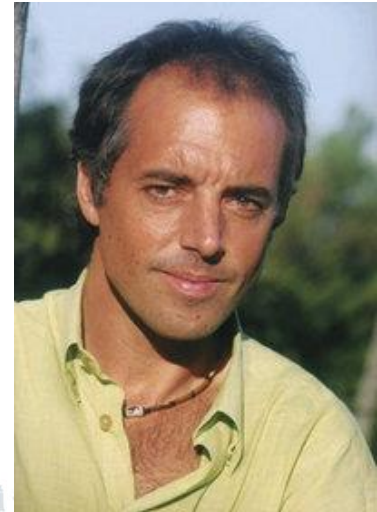
- Actively Listening
  - What I learned from Ray
- Recognition
  - Self-fulfilling Prophecy



# Communicating with a Purpose

## *Lessons Learned*

- According to writer and researcher Dan Buettner, “**social interaction** leads to employee satisfaction.” The happiest people in America **socialize** about seven hours a day.”
- **Factor:** [Social engagement](#) – people of all ages are socially active and integrated into their communities.
  - (2011). *Thrive. Finding happiness the Blue Zones way.* National Geographic Books.
  - (2008). *The Blue Zone: Lessons for Living Longer From the People Who've Lived the Longest.* National Geographic Books.
- **Blue Zones** is a concept used to identify a demographic and/or geographic area of the world where people live measurably longer lives.



Dan Buettner, founder  
of Quest Network, Inc.

# Communicating with a Purpose

## *Lessons Learned*

- **Engage** your employees
- Recognize achievements
- Provide opportunities
- Confront deficiencies
- Focus on the problem, not the person
- Be open-minded and non-defensive
- Actively listen by asking questions
- Treat others with dignity and respect



# Addressing Deficiencies

## *Signs of Employee Dysfunction*

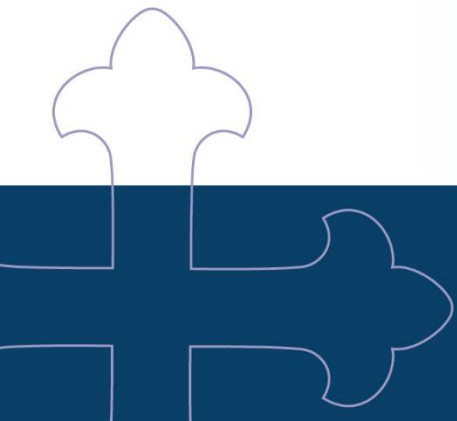
- decline in employee's job performance
- employee is apathetic / withdrawn
- employee consistently complaining
- lack of solid working relationship
- interpersonal problems with others
- resents constructive criticism
- behavior negatively affecting others
- attendance problems develop / increase



# Addressing Deficiencies

*How would you confront?*

<https://youtu.be/uctPla6ugro>



# Addressing Deficiencies

## *Coaching vs. Positive Corrective Action*

- **Coaching**
  - A serious & planned discussion with employee
  - Not an informal conversation
- **Corrective Action**
  - Addressing a continuing or serious deficiency
  - The goal of corrective action is to correct the deficiency
- **What are your responsibilities as a Supervisor?**
  - Communicate reasonable expectation
  - Recognize top performance
  - Confront deficiencies
  - Provide employee an opportunity to correct deficiencies

# Addressing Deficiencies

## *Why Supervisors Avoid Addressing Issues?*

- Creates more problems than it solves
- maybe the situation will go away
- Don't like conflict
- Nobody's perfect syndrome
- It takes too much time to administer
- Adverse side effects (anger, resentment, apathy, absenteeism, etc.)
- Self conscious-concerns about reputation
- Subject to bad public relations if handled incorrectly

# What is Positive Corrective Action?

- Positive Corrective Action is the process of professionally addressing attendance, performance and/or behavioral issues in a **dignified** and **respectful** manner with the goal of helping the employee correct the deficiency.
- Must be administered in “good faith”



# What is Positive Corrective Action?

## Three Categories . . .

- **Attendance**
- **Performance** – deficiency in knowledge
- **Behavior** – deficiency in conduct

# What Is Positive Corrective Action

## *A New Model for Employee Engagement*

	<b>Traditional Punishment Model</b>	<b>Positive Corrective Action</b>
<b>Goal</b>	Obedience	Gain Employee's agreement to change. <i>improve /solve problem</i>
<b>Focus</b>	On employee	On Problem
<b>Responsibility</b>	Supervisor	Employee
<b>Time Frame</b>	Past	Future
<b>Communication</b>	One-Way	Two-Way
<b>Climate</b>	Authoritarian	Collaborative
<b>Effects</b>	Avoidance / (Further) damages relationship	Engagement / chance for improvement

# Considerations before Administering Positive Corrective Action

1. Previous (Current) Corrective Action
2. Previous Performance Evaluations
3. Seriousness of Violation
4. Uninterrupted length of service with University
5. How similar situations / employees (with similar length of service) were treated.

# Considerations before Administering Positive Corrective Action

## *Definitions and Tests for “Just Cause”*

**7 Questions to ask yourself before issuing or recommending disciplinary action.** *(Based on 7 Step Test from Whirlpool Corporation Case)*

1. Was the employee aware of the possible or probable consequences of his / her conduct?
2. Is the work rule (policy) reasonably related
  - (a) the orderly, efficient and safe operation of the organization's business and
  - (b) the performance that the organization might properly expect from the employee?



# Considerations before Administering Positive Corrective Action

## *Definitions and Tests for “Just Cause”*

3. Before administering corrective action, did you investigate to determine whether or not the employee did in fact violate or disobey a rule or order of management?
4. Was your investigation conducted in a fair and objective manner?
5. Is there substantial and compelling evidence or proof?

# Considerations before Administering Positive Corrective Action

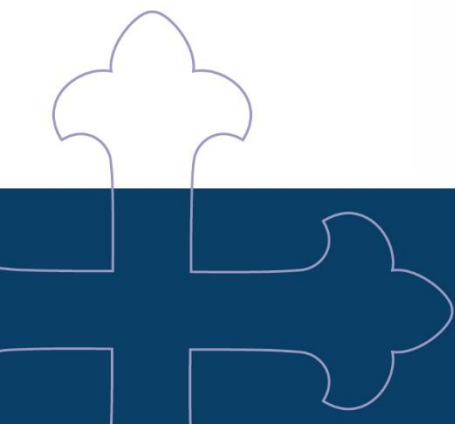
## *Definitions and Tests for “Just Cause”*

6. Did you apply the rule, order or penalty evenhandedly without discrimination given the employees record of service?
7. Was the level administered reasonable given
  - (a) the seriousness of the employee’s proven offense *and*
  - (b) the record of the employee in his / her service with the university?

# Considerations before Administering Positive Corrective Action

*A Supervisors "Duty to Act"*

- Consequences of not addressing issues
- Benefits of addressing issues immediately, when they arise



# Administering The Program

## *Keys to Success*

- **Immediacy**
  - Confront issue as soon as possible after incident
  - Employee is typically aware
- **Professionalism**
  - Treating others with dignity
  - Supervisor will gain respect
- **Consistency**
  - Take into consideration how employees were treated in similar situations



# Administering The Program

## *Keys to Success*

- **Gaining the employee's agreement to change?**
  - The odds increase that the employee will live up to the agreement;
  - If problem continues, the subsequent conversation will focus on “not living up to agreement.”

# Administering The Program

## *Keys to Success*

- **HOW** do you gain the employee's agreement to change?
  - Provide sound business reasons why the problem must be solved

# Administering The Program

## *The Process*

- **IDENTIFY:**
  - Determine the appropriate **category**
  - Desired vs. Actual Performance using **S.A.M.**
  - Focus on the **Specifics**
- **ANALYZE:**
  - Determine the **Impact** to the organization
  - Determine **Consequences** for employee's action / inaction
- **DISCUSS:**
  - **Why** the problem needs to be solved
  - Gain employee's **Agreement to Change**
  - **Discuss Consequences** for not changing / improving
- **FOLLOW-UP:**
  - **Determine** if problem has been solved –if not, take action
  - Reinforce improvement

# Administering The Program

## *The Process*

- **Identifiable discrepancy:** a gap between reasonable expectations and actual performance / behavior
- Setting expectations (SAM):
  - Specific
  - Attainable
  - Measurable
- state minimum expectations in terms of quality, quantity, timeliness, or cost
- Include the consequences to the employee of future occurrences



# Administering The Program

## *The Process*

### **Document the BASICS:**

- Date of meetings and who was present

### **Document the FACTS:**

- Problem, history and relevant discussions
- Efforts to help the employee to be successful
- Policy violation or performance standard not met

### **Document EXPECTATIONS:**

- . . . to comply with the rule or meet the performance standard using S.A.M.

# Administering The Program

## *The Process*

### Corrective Action Form

- Focus on problem / not employee
- Ease of use
- Consistency

# Administering The Program

## *Progressive Levels*

1. Disciplinary action is normally progressive in nature:
  - Verbal Warning
  - Written Warning
  - Final Written Warning
  - Suspension\*
  - Termination\*
2. Some actions, because of their seriousness, may warrant bypassing one or all steps
3. when in doubt, consult with Human Resources

# Administering The Program

## *Progressive Levels*

- **Verbal or Written Warnings:** Documented discussion with employee:
  - State unsatisfactory behavior or performance;
  - Clarify the minimum expectations;
  - Explain consequences for not correcting the problem;
  - Reference previous warning(s) and/or counseling sessions



# Administering The Program

## *Progressive Levels*

- **Suspension or Termination**
  - Conduct investigation
  - Review the incident(s) with the employee
  - Prepare a written summary
  - Requests must be reviewed and approved by Human Resources
  - Employee receives an opportunity to be heard

# Administering the Program

## *Benefits of Positive Corrective Action*

- Increases probability of solving the problem
- Renews employees commitment to change
- improves departmental morale
- Establishes an environment of understanding
- Over time, reduces the number of corrective actions
- Helps build self-confident employees

# Meeting with the Employee

## *Before the Meeting*

- Understand your management style
- Obtain knowledge of problem
- Review your notes and supporting documents
  - i.e. copies of previous Corrective Action Reports
- Prepare a draft of the corrective action
- Anticipate employee's questions
- Arrange to meet in private
  - When employee is least likely to be confronted by co-workers

# Meeting with the Employee

## *During the Meeting*

- Avoid interruptions
- Maintain eye contact
- Be confident
- Listen
- Respond instead of reacting
  - Be mindful of your tone of voice
- Meeting should be brief and focused



# Meeting with the Employee

## *During the Meeting*

- **State the specific problem (desired vs. actual)**
  - Get right to the point
  - Give the employee a chance to respond / explain
- **Review previous coaching sessions or corrective action**
  - Any previous “agreement(s) to change.”

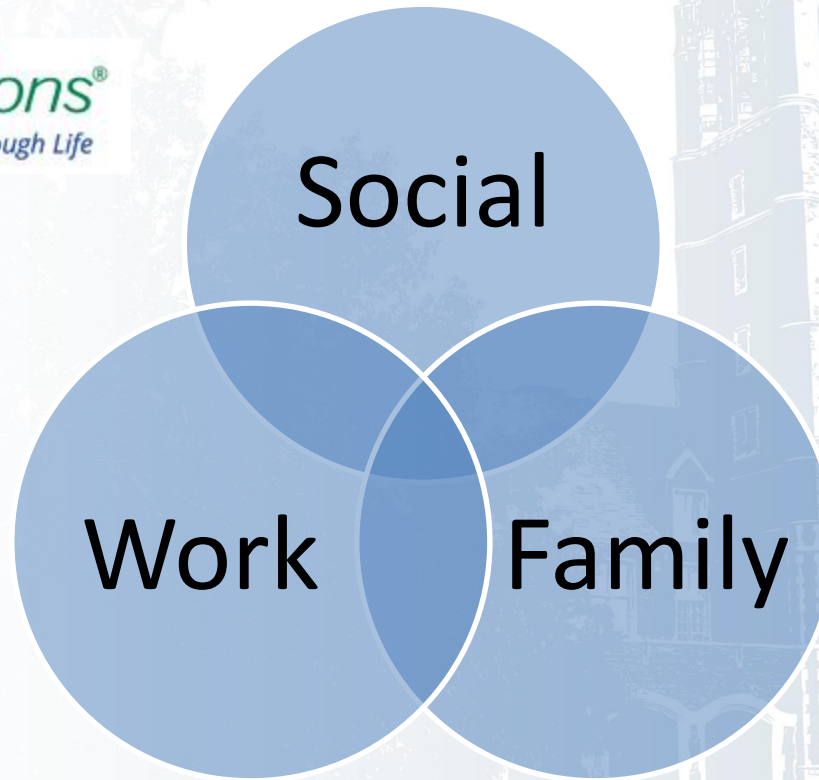
# Meeting with the Employee

## *During the Meeting*

- **Describe the specific change you expect and why it must be corrected**
  - Ask employee to confirm his/her understanding of your expectations
  - Gain employees agreement to change
  - Communicate your “positive” expectations
- **Discuss the consequences if expectations are not met**
- **Refer to the Employee Assistance Program, if appropriate**
- **Provide a copy of the signed corrective action to the employee**
  - Employee not compelled to sign

# Meeting with the Employee

*During the Meeting - EAP*



# Meeting with the Employee:

## *After the Meeting*

- Briefly summarize the meeting in writing
  - state the facts
  - document employee's response
- Send the original corrective action to HR
- Monitor the employee's performance
  - maintain open communications
  - reinforce improvement
  - determine if the problem has been solved



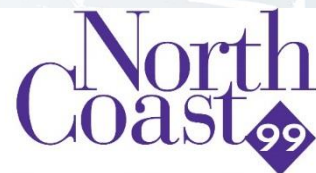
# Positive Corrective Action

*When to use a Performance Improvement Plan*

- The purpose of the "Performance Improvement Plan" is to help supervisors address and resolve performance issues in unique situations.
  - Probationary employee
  - Long-term employee

# Questions

Thank you



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FOR TOP TALENT IN NORTHEAST OHIO

