

Applies to: Operations & Facilities Management Department (OFMD) employees

**GUIDELINES:**

Issued: April 26, 2018

**PURPOSE:**

To establish guidelines for managing performance through conversations and documentation with the goal of developing performance and behavior that is aligned with the mission and core values of the department. The supervisor's approach to the conversations with the employees should always be professional and empathetic.

**DEFINITIONS:**

**Insolence** refers to derisive, abusive or contemptuous language, generally directed at a superior.

**Insubordination** refers to the intentional refusal to obey an employer's lawful and reasonable orders.

**PROCESS:**

This process provides a guideline for non-performance or behavior issues. Performance and behavior guidelines are available to assist the supervisor in clarifying expectations. Guidelines and templates can be found on the OFMD website under the guidelines section at <https://facilities.med.wustl.edu/about/facilities-management-guidelines/>.

- 1) Professional Conduct Guidelines
- 2) E-Mail Etiquette Guidelines
- 3) Professional Image Guidelines
- 4) Employee Meeting Summary
- 5) Drug and Alcohol Policy <https://hr.wustl.edu/items/drug-and-alcohol-policy/>
- 6) Performance Development Plan (PDP)
- 7) Performance improvement plan (PIP)

**Coaching throughout all stages of performance management**

1. If an employee has behavior issues or is not performing, the supervisor should have a conversation with employee in private.
2. The conversation should try to get to the root cause of the issue and then the supervisor should give adequate, clear direction to improve the employee's performance or behavior.
3. The supervisor should document the coaching event in his/her notes.

**Verbal warning**

If there is a reoccurrence of the non-performance or a behavior issue that was previously coached on or if a performance or behavior (examples given below) issue justifies, a verbal warning should be given by the supervisor to the employee.

- 1) Examples of non-performance or behavior issues appropriate to move to verbal warning could include but are not limited to:

- Unauthorized breaks
  - Playing video games
  - Tardiness
  - Insubordination
- 2) Employee meeting summary development
    - a) The supervisor should provide the facts to his/her supervisor for review.
    - b) Any relevant coaching conversation within the last 6 months should be included in the discussion.
    - c) If directed, the supervisor should draft employee meeting summary documents to include previous and current coaching conversations. A meeting summary template should be used and can be found on OFMD's website at <https://facilities.med.wustl.edu/about/facilities-management-guidelines/>.
    - d) The supervisor should review the draft with his/her supervisor before presenting it to the employee.
    - e) The employee portion of the conversation should also be included in the document.
  - 3) Employee meeting summary presentation
    - a) The supervisor should set up a meeting with him/her and the employee to present the document.
    - b) The supervisor should remind the employee of the previous coaching conversation.
  - 4) Meeting documentation
    - a) The supervisor should update the document with any relevant information provided by the employee.
    - b) The supervisor should scan the document and sends it to his/her supervisor and Human Resources employee relations.

#### **Written warning**

If there are additional reoccurrences of the non-performance or a behavior issue from a verbal warning or if a performance or behavior issue justifies, a written warning could be warranted. At this time, the supervisor should notify the employee if a performance improvement plan will be developed and presented at a future time.

- 1) Examples of non-performance or behavior issues appropriate to move to written warning include but are not limited to:
  - Outburst to customer or supervisor
  - Repeated tardiness
  - Failure to follow direction
- 2) Performance improvement plan development
  - a) The supervisor provides the facts to his/her supervisor for review.
  - b) If directed, the supervisor drafts a performance improvement plan (PIP).
  - c) The supervisor reviews the draft with his/her supervisor before presenting it to the employee.
  - d) Any relevant conversation within the last 6 months should also be included in the document as previous observations/facts.
- 3) PIP presentation
  - a) The supervisor should set up a meeting with him/her, the supervisor and the employee to present the PIP.
  - b) The supervisor will present the document to the employee. The supervisor witnesses the meeting.
- 4) Meeting documentation
  - a) The supervisor should update the document with any relevant information provided by the employee.
  - b) After presenting the document to the employee, the supervisor scans the document and sends it to his/her supervisor and Human Resources employee relations.

**Final written warning**

If there is an additional reoccurrence of the non-performance or behavior issue from a previous PIP or if a performance or behavior (examples given below) issue justifies, a final written warning is warranted. The employee should be notified that a performance improvement plan will be developed and presented at a future time.

- 1) Final performance improvement plan development
  - a) The supervisor provides the facts to his/her supervisor for review.
  - b) The supervisor drafts a final performance improvement plan (PIP).
  - c) The supervisor reviews the draft with his/her supervisor before presenting it to the employee.
- 2) Final PIP presentation
  - a) A meeting is set up with the supervisor, his/her supervisor and the employee to present the PIP.
  - b) The supervisor will present the document to the employee.
- 4) Meeting documentation
  - a) The supervisor should update the document with any relevant information provided by the employee.
  - b) After presenting the document to the employee, the supervisor scans the document and sends it to his/her supervisor and Human Resources employee relations.

**Termination from previous performance or behavior issues**

If there is a reoccurrence of the non-performance of behavior from a final PIP, termination should be considered.

- 1) Termination letter development
  - a) The supervisor provides the facts and previous documentation to his/her supervisor for review.
  - b) The supervisor provides the facts and previous documentation to his/her administration, up to and including the Assistant Vice Chancellor, Assistant Dean (AVC/AD) of Operations and Facilities Management for review and direction.
  - c) If directed, the supervisor and the supervisor contact Human Resources for review and direction.
  - d) If termination is justified, Human Resources drafts the termination letter.
  - e) The supervisor and his/her supervisor finalize the document and seek approval from the (AVC/AD)
  - f) No non-performance terminations should occur without AVC/AD approval.
- 2) Termination presentation
  - a) If the issue warrants notifying Protective Services for assistance, the supervisor contacts protective services 314-362-4357 to assist with the termination meeting.
  - b) The supervisor should schedule a meeting is set up with the supervisor, his/her supervisor, Protective Services (if warranted) and the employee to present the termination letter.
  - c) The supervisor will present the document to the employee.
- 4) Meeting documentation
  - a) After presenting the document to the employee, the supervisor should scan the document and send it to their supervisor and Human Resources employee relations.

**Warranted immediate termination**

Unfortunately some behavior/actions warrant immediate termination (examples given below). No matter how egregious the behavior or action, the supervisor should never terminate an employee on the spot.

- 1) Examples of non-performance or behavior issues appropriate to move to termination
  - Left campus during normal working hours without clocking out and notifying supervisor

- Theft
  - Substance abuse
  - Violence
- 2) Initial response
    - b) The supervisor should contact his/her supervisor and Protective Services for assistance.
    - c) If the supervisor cannot contact his/her supervisor, he/she should escalate to another supervisor up to and including the Assistant Vice Chancellor, Assistant Dean of Operations and Facilities Management.
    - d) The supervisor and Protective Services should gather pertinent facts and present to his/her supervisor for review.
    - e) If the situation warrants, the employee may be sent to Barnes Care and the supervisor should follow the substance abuse policy.
    - f) If the situation warrants, the supervisor should instruct the employee to clock out and leave the premises, and state the University will follow up with the employee on next steps.
  - 3) Termination letter development
    - a) The supervisor provides the facts and previous documentation to his/her supervisor, up to and including the Assistant Vice Chancellor, Assistant Dean of Operations and Facilities Management for review and direction.
    - b) If directed, the supervisor and the supervisor should contact Human Resources for their review and direction.
    - c) If termination is justified, Human Resources drafts the termination letter.
    - d) The supervisor and his/her supervisor should finalize the document and seek approval from the Assistant Vice Chancellor, Assistant Dean of Operations and Facilities Management.
  - 4) Termination presentation
    - a) If the issue warrants notifying Protective Services for assistance, the supervisor should contact Protective Services at 314-362-4357 to assist with the termination meeting.
    - b) The supervisor should set up a meeting with the supervisor, his/her supervisor, Protective Services (if warranted), and the employee to present the termination letter.
    - c) The supervisor will present the document to the employee.
  - 5) Meeting documentation

After presenting the document to the employee, the supervisor should scan the document and sends it to his/her supervisor and Human Resources employee relations.