Baptist Health South Florida

**POLICY NO.: BHSF-5300**
**TYPE: Administrative**

**POLICY TITLE:** Corrective Action

**Responsible Department:** Human Resources

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**SUBMITTED BY (AUTHOR):** Hilde Zamora de Aguero
**Title:** Director of Human Resources

**APPROVED BY:** Olesea Azevedo
**Title:** Assistant Vice President, HR Leadership and Employee Communication

**APPROVED BY:** Adriene McCoy
**Title:** Corporate Vice President and Chief HR Officer

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**SUMMARY & PURPOSE:**
To establish guidelines for correcting deficiencies in non-leadership employee performance and conduct.

**POLICY:**
Self-discipline is the best form of discipline, and is expected in our organization. Baptist Health South Florida expects its employees to commit themselves to perform well and responsibly, and exhibit positive self-discipline in their work. Employees whose performance and/or conduct is unacceptable will be counseled in a manner that will lead them to either accept responsibility for their own actions and make positive changes to their performance and/or conduct, or to leave Baptist Health.

Leaders will meet with employees whose performance and/or conduct is deficient to discuss the performance and/or conduct issues. These discussions will provide an opportunity for problem identification, corrective strategies and employee commitment to change and improve.

Poor performance may be attributable to one or more of the following:

- Lack of appropriate experience
- Inadequate skills to do the job
- Lack of engagement/values inconsistent with those of the organization
- Carelessness in the completion of job functions
- Failure to function as a team member
- Failure to respond appropriately to customer needs

Corrective action is intended to provide the employee with insight into his/her performance and/or conduct deficiencies as well as the expectations of Baptist Health with regard to the employee's future performance and conduct, not punishment for past failures. The employee needs to take personal responsibility for his/her performance and/or conduct, "What can I do to make sure this will not happen again?" The goal of such discussions is not only the resolution of deficiencies in performance and/or conduct but in the development of increased employee accountability and self-discipline.

Generally, corrective action is a four step process: 1) Informal Discussion and Agreement; 2) Discussion and Formal Written Agreement; 3) Decision Making Leave; and 4) Termination. If an employee corrects his/her performance after issuance of an Informal Discussion and Agreement, but shortly thereafter returns to an unacceptable level of performance and/or conduct, the leader should re-institute the corrective action process at the next higher level (Step 2- Formal Written). If an employee has no further deficiencies in a six month period since the last corrective action step, but subsequently returns to an unacceptable level of performance and/or conduct, the process will repeat the last step. (For example, an employee on a Step 3 Decision Making leave who has no further deficiencies in a six month period since the Decision Making Leave was issued, but subsequently returns to an unacceptable level of performance or conduct, would receive a Step 3 Decision Making Leave).

Baptist Health reserves the right to skip one or more of the corrective action steps, and depending upon the circumstances, an employee may be subject to termination. (Refer to Human Resources Policy 5250 Employee Conduct). In addition, with prior approval by Human Resources and depending upon the circumstances, Baptist Health may skip the first 3 steps of the Corrective Action process and issue to the employee a First and Final Warning.

**SCOPE/APPLICABILITY:**
The policy applies to all Baptist Health South Florida non-leadership level employees.

**PROCEDURES TO ENSURE COMPLIANCE:**
Once a Leader becomes aware and confirms that an employee's work performance, conduct, or attendance/tardiness becomes deficient, the employee's leader will initiate the Corrective Action Steps as soon as practicable. Leaders should use the Documentation of Corrective Action Form to document the corrective action steps. Depending upon the circumstances of the performance and/or conduct deficiency, the leader may skip one or more steps of the following four-step Corrective Action process. Human Resources will review all corrective action documentation for a Step 2, Discussion and Formal Written Agreement and above prior to being issued and/or discussed with the employee.

1. Informal Discussion and Agreement:
   During this step the leader:
   a. Seeks agreement or acknowledgement from the employee that a problem related to the employee's performance and/or conduct exists.
   b. Gives the employee an opportunity to provide his/her view of the problem and possible actions that could be taken to correct it.
   c. Determines the actions to be taken and by whom, and establishes a time-line for the performance and/or conduct to improve.
   d. Documents the substance of the conversation and the time-line for the expected improvement in performance and/or conduct. The conversation will be documented in writing on the Documentation of Corrective Action Form and will be signed by the leader and the employee.
   e. The employee will be given a copy of the signed document and a copy will be placed in the employee's department file. NOTE: If an employee refuses to sign the Documentation of Corrective Action, after reviewing it with the leader, the refusal to sign will be noted by the leader in place of the employee signature.
   f. Reviews progress during (if appropriate) and at the conclusion of the agreed-upon timeframe for correction and improvement. If the employee has not improved and continues to have performance and/or conduct issues, the leader will need to initiate the next step in the process.

2. Discussion and Formal Written Agreement:
   This step is initiated if the employee's performance and/or conduct continue after the Informal Discussion and Agreement (Step 1) has been executed or if the deficiency warrants skipping Step 1 of the Corrective Action process, the leader:

a. Meets with the employee and reviews the specific area(s) where improvement is needed.
b. Discusses and comes to agreement on the actions both the leader and employee will take to correct the issue, and the time-line allowed for correction and improvement.
c. Documents the meeting on the Documentation of Corrective Action Form describing the work standards, the performance history, and the actions agreed upon. This document will be signed by the leader and the employee. The employee will be given a copy of the signed document. NOTE: if an employee refuses to sign the Documentation of Corrective Action, after reviewing it with the Leader, the refusal to sign will be noted by the leader in place of the employee signature.
d. Forwards the original documentation to Human Resources to be placed in the employee file.
e. Reviews progress during (if appropriate) and at the conclusion of the agreed-upon timeframe for correction and improvement. If the employee has not improved and continues to have performance and/or conduct issues, the leader will need to initiate the next step in the process.

3. Decision Making Leave:

This step is initiated when unacceptable performance and/or conduct continues after steps 1 and 2 have been executed. If unacceptable performance and/or conduct is egregious enough to warrant skipping steps 1 and 2 of the corrective action process, Human Resources will authorize the immediate use of step 3. The Decision Making Leave consists of a one day suspension from work, with pay, as further described below. The leader will:

a. Meet with the employee to review the performance and/or conduct deficiency and any prior agreements for improvement. A Human Resources representative may attend the meeting at the request of either party.
b. Advise the employee of the standard(s) of performance, conduct and/or attendance that is expected of the employee if the employee is to continue employment with Baptist Health. All deficiencies will be reviewed with the employee and the employee will be informed that failure to meet these standards/expectations may result in termination.
c. Give the employee full opportunity to explain his/her understanding of the standards and expected performance outcomes.
d. Document this discussion, including required performance outcomes, in writing on the Documentation of Corrective Action Form. This document will be signed by the leader and the employee. The employee will be given a copy of the signed document. NOTE: if an employee refuses to sign the Documentation of Corrective Action Form, after reviewing it with the Leader, the refusal to sign will be noted by the leader in place of the employee signature.
e. The leader shall advise the employee that he/she is being provided with a paid day off and is expected to make a serious decision whether to truly commit to the job requirements and improve his/her performance, conduct and/or attendance/tardiness. The leader will provide the employee the Action Plan form and the employee will be informed that he/she is required to use this form to create a written action plan setting forth the employee's plan to make specific improvements in the areas outlined in the Documentation of Corrective Action provided to him/her by the leader. An acceptable action plan will set forth, in detail, the steps the employee will take to improve his/her performance, conduct and/or attendance/tardiness. An action plan which does not include the specific steps to be taken by the employee to improve his/her performance/conduct is unacceptable. If the discussion is held early in the employee's shift the leave may be given for the remainder of that work day. Otherwise, the leave should be for the next scheduled work-day.
f. Upon return from the Decision Making Leave Day, the employee must present the written action plan to his/her leader outlining the steps that will be taken by the employee to achieve the improved performance, conduct and/or attendance/tardiness outcomes referenced above. The employee has the option to return from their leave with either an action plan or resignation letter.
g. Employees who provide an acceptable action plan will return to work and will be expected to fulfill all aspects of the action plan. If the leader deems the action plan to be unacceptable, Human Resources should be contacted immediately to review the submitted action plan. Employees who provide unacceptable action plans may be terminated, with approval from the area Vice President and Human Resources.

h. Will forward the original documentation, including the action plan as soon as possible to Human Resources to be placed in the employee file.
i. Reviews progress during (if appropriate) and at the conclusion of the agreed-upon timeframe for correction and improvement. If the employee has not improved and continues to have performance, conduct and/or attendance/tardiness issues, the leader will need to initiate the next step in the process.

4. Termination:

Employees may be subject to termination, with Human Resources approval, at any point in the corrective action process. All requests for termination require Human Resources Director review prior to terminating the employee.

**First and Final**

The First and Final Warning is a separate action outside the normal progression of the Corrective Action Steps. It is used when unacceptable conduct is egregious enough to warrant skipping the first 3 steps of the corrective action process or when policy states the first occurrence is grounds for corrective action the second occurrence, of the same type of infraction, may be grounds for termination. Human Resources will authorize the immediate use of the First and Final Warning with the understanding that any other violations could result in termination.

**SUPPORTING/REFERENCE DOCUMENTATION:**
N/A

**RELATED POLICIES, PROCEDURES, AND ASSOCIATED FORMS:**

- BHSF Administrative Policy 5250 Employee Conduct – Human Resources
- MS Word Template: Documentation of Corrective Action and Action Plan
- MS Word Template: Action Plan

**ENFORCEMENT & SANCTIONS:**
Violations of this policy may lead to revocation of system privileges and/or disciplinary action including termination. Anyone willfully violating this policy will be subject to disciplinary action up to and including termination.