



San Manuel University

HR Essentials: Corrective Action Process




Facilitator Guide (2024-04-18)



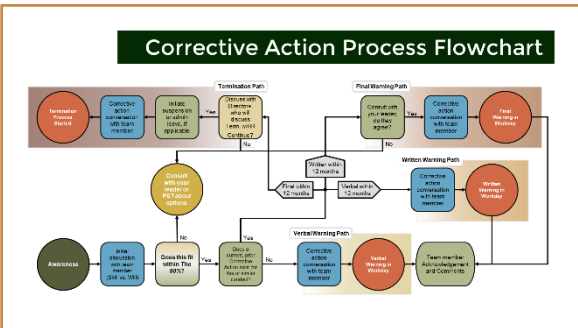
Section	Time
Welcome & Introduction	28 mins.
The Corrective Action Process	63 mins.
Break	5 mins.
Effective Documentation	10 mins.
Preparing Corrective Action	74 mins.
Break	10 mins.
Delivering Corrective Action	35 mins.
Closing & Wrap-Up	15 mins.
Total	240 mins. (4 hrs. 0 mins.)

Icebreaker Activity: Actions and Reactions (Facilitated by L&D)		
Time	Visual	Preparation and Learning Outcomes
5 mins	Show Slide #3 	Desired Learning Outcomes: <ul style="list-style-type: none"> • Peer learning around others' previous experiences giving Corrective Action • Understand the fight, flight, freeze reflex reactions and how they differ from a reasonable response • Understand "Action-to-Reaction" when responding to problematic team member behavior, including escalation
Road Markers	Instructions and Talking Points	
 Discussion	<p>Instructions:</p> <ul style="list-style-type: none"> • Start by asking for volunteers to provide stories on either the first time they gave a team member corrective action or a memorable time they gave corrective action. • Have them share their experience with the class. • Do <i>not</i> have them give instances of when they received corrective action. • Questions to guide discussion: <ul style="list-style-type: none"> ○ What made this instance so memorable? ○ Why were you giving the corrective action? ○ What type of corrective action were you giving? ○ How did the team member react to the corrective action? ○ How did you feel at that moment? <p>When thinking about corrective action, I think it's good to think of the bigger picture. Think of it as a series of Actions and Reactions. The team member performed an unacceptable behavior as an <i>Action</i> and, as their leader, you need to have an appropriate <i>Reaction</i> that holds them accountable.</p> <p>Unfortunately, confronting someone, even when it's structured and supported like corrective action, usually means we experience a level of anxiousness. Or worse, we have reflexes that we cannot control: flight, fight, or freeze.</p>	
 Discussion	<ul style="list-style-type: none"> • What would each flight, fight, or freeze look like for a leader in a situation of giving corrective action to a team member? • Are the flight, fight, or freeze reactions effective in our modern-day office situations (like giving a team member corrective action)? <p>Exactly, these reflexes are not effective in solving these types of situations effectively. Partly because it's difficult to think rationally and fix an issue when you're in that high-emotional state. Think about it: those reflexes don't represent your strength as a leader, don't improve the</p>	

The Corrective Action Process

Corrective Action Process Overview (Facilitated by PST)		
Time	Visual	Preparation and Learning Outcomes
10 mins	<p>Show Slide #7</p> 	<p>Desired Learning Outcomes:</p> <ul style="list-style-type: none"> • Participants to know the 4 options in the Corrective Action Process. • Participants to understand that they are the drivers of this process for their team members.
Road Markers	Instructions and Talking Points	
 <p>Lecture</p>  <p>Participant Guide (p. 4)</p>	<p>Instructions:</p> <p>The overall corrective action process includes four steps: Verbal Warning, Written Warning, Final Warning, and Termination. Verbal Warning will often be our starting point, and then a team member can Escalate through the others until they reach termination.</p> <p>We're going to talk about each option, but first I want to talk about feedback. A big part of leadership and corrective action is the leader's ability to give feedback. Feedback is not Corrective Action! Feedback is something leaders should always be doing. Ongoing feedback is the best and easiest way to consistently align team members with our expectations. It can prevent concerns from potentially becoming more challenging issues.</p> <p>Additionally, feedback can be used to try and get a team member to change their behavior before you begin corrective action. For example, if you notice a team member arrived at work with dirty shoes and slacks, you can give them feedback to remind them about the dress code expectation and that they might need to change. If it's the first time, the issue isn't serious, and there's no other issues, this can be a valid choice.</p> <p>That's what the box around the overall process represents: an environment where feedback is being given as needed to team members. If you're currently finding it difficult to give your team members feedback, then you'll find it even more challenging to handle corrective action when that time comes. That said, let's go through the process, starting with Step 1: Verbal Warning.</p> <ul style="list-style-type: none"> • Encourage participants to take notes on page 4 of their Participant Guide. • Step 1: Verbal Warning <ul style="list-style-type: none"> ○ The first step in the corrective action process. ○ Training should be eliminated as the reason for the behavior before you start the corrective action process (Skill vs. Will) check. ○ This formally documents the situation in Workday and reinforces expectations. • Step 2: Written Warning 	

Corrective Action Process Flowcharts (Facilitated by PST)

Time	Visual	Preparation and Learning Outcomes
25 mins	<p>Show slides #10 – 11</p>  <p>This slide has 5 steps of animation.</p>	<p>Desired Learning Outcomes:</p> <ul style="list-style-type: none"> • Participants to know how to use the flowcharts to navigate through “the 80%” of Corrective Action situations. • Participants to understand how to use Standard and Non-Standard paths and the ideal timing to complete each. • Participants to understand how flowcharts are interconnected as a part of one process.

Road Markers

Instructions and Talking Points



Participant Guide (p. 6)



Click for Animation



Click for Animation



Click for Animation

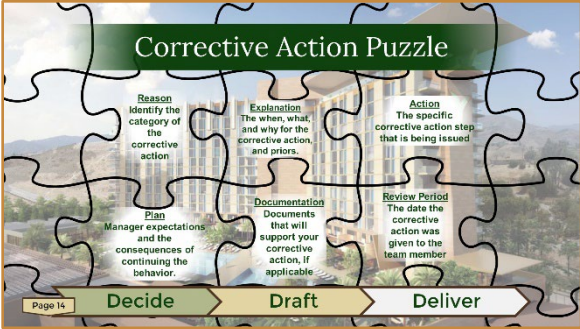



Instructions:

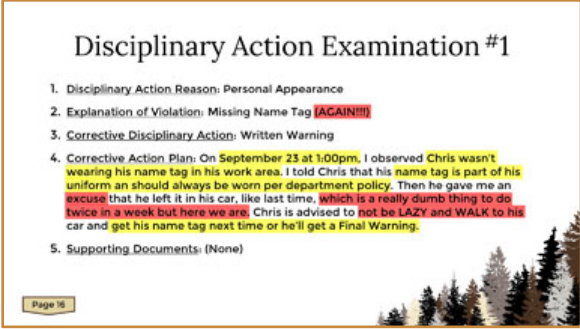




As I mentioned, we have a flowchart to help you navigate the Corrective Action Process for “the 80%” of situations. The flowcharts include all the key touchpoints for the enterprise process. The participant guide has the flowcharts starting on page 6 for you to follow along.

Let’s get started. First there’s Awareness—all Corrective Action begins when you become Aware a team member has behaved in a way that could require you to react with corrective action. This could be from your own observation or another’s observation that they brought to your attention.

- **Begin by stepping through the first animation step (first set of boxes)**
 - Explain each of the steps in that path
 - Blue squares are steps with team member interaction
 - Does the team member have a current corrective action for this? (No)
- **Step through the second animation step: Verbal Warning Path**
 - Since there are no prior corrective actions, we can see we’re proceeding down the Verbal Warning Path.
 - Continue down the path, explaining each bubble and the meaning of the Blue-color on the bubbles.
 - If the intention is to skip this step, we’re now in “The 20%” and must involve HR to choose a different starting option.
- **Step through the next animation step: Written Warning Path**
 - If there is a prior Verbal Warning for this situation or similar from the last 12 months, then proceed down the Written Warning Path.
 - Continue down the path, explaining each bubble and the meaning of the Blue-color on the bubbles.
 - Share how this path could go down to “The 20%”, and what to do in that case.
 - Note that HR is nowhere in this path (only for “The 20%”).

Drafting Corrective Action (Facilitated by PST)

Time	Visual	Preparation and Learning Outcomes
15 mins	<p>Show Slides #23 - 26</p>  <p>Slide 23 has 6 steps of animation. Slide 24 has 7 steps of animation.</p>	<p>Desired Learning Outcomes:</p> <ul style="list-style-type: none"> • Participants to know the Corrective Action Puzzle Pieces. • Participants will know best practices and guardrails what information to include in a Corrective Action.
Road Markers		Instructions and Talking Points
 <p>Participant Guide (p. 14)</p>  <p>Click for Animation</p>  <p>Lecture</p>	<p>Instructions:</p> <p>Once you've reviewed the available information, including documentation, and decided how to proceed along the corrective action process (maybe with the support of your leader and HR), you need to get the ball rolling. At this step, that means getting the Corrective Action in Workday so it can be put on the record.</p> <p>The Workday form I've been talking about is the series of prompts and questions you'll need to enter to continue with the process. It looks and works just like any other form in Workday, like your benefit selections or absence requests. And just like with anything else: <i>if you didn't enter it into Workday, then it didn't happen!</i></p> <p>Before we look at the form, let's think about it: right now, we really don't know what information we must include on the Workday Disciplinary Action form. To help us figure out what to include, I'm going to share the Corrective Action Puzzle.</p> <ul style="list-style-type: none"> • Completing the Corrective Action Puzzle <ul style="list-style-type: none"> ○ Encourage participants to take notes on page 14 of their Participant Guide. ○ Go through each puzzle piece below, using the slide as reference. Elaborate as necessary, but keep in mind participants will be taking notes. ○ Each paragraph on the slide is animated. Click to reveal the next. ○ (Animate) Reason: identify the category of the corrective action ○ (Animate) Explanation: The when, what, and why for the corrective action and reference to prior corrective action. Be objective and factual—but we'll go over more guardrails later. ○ (Animate) Action: The specific corrective action step that is being issued (Verbal Warning, Written Warning, Final Warning) ○ (Animate) Plan: Manager expectations going forward and the consequences of continuing the behavior. 	

Activity: Disciplinary Action Examination (Facilitated by L&D)		
Time	Visual	Preparation and Learning Outcomes
7 mins	<p>Show Slides #27 – 29</p>  <p>Each slide has 3 steps of animation.</p>	<p>Desired Learning Outcomes:</p> <ul style="list-style-type: none"> Participants will evaluate Workday Disciplinary Action forms for completeness (Puzzle Pieces) and professionalism (Guardrails).
Road Markers	Instructions and Talking Points	
 <p>Participant Guide (p. 16)</p>  <p>Click for Animation</p>  <p>Next Slide</p>	<p>Instructions:</p> <p>Using all the information we've taken in the last section; we're going to look at some examples of completed Workday Disciplinary Action forms. We're all going to take a moment to read it together, then we're going to 1) examine it for completeness (does it have all the Puzzle Pieces?), which will be highlighted in yellow, and then examine it for 2) "professionalism" (guardrails), which will be highlighted in red.</p> <ul style="list-style-type: none"> The examples are also on 16 of their Participant Guide. Option: Since the examples are in the Participant Guide, you can have participants do this activity in table groups instead of as a class. Show an example Disciplinary Action form. Ask participants to look for various details: When, What, Why, Expectations, and Consequences. Have them point out what's missing (no need to raise their hand). Click to Animate: show where the necessary info is, and which are missing. Then, ask participants to look for anything that makes the Disciplinary Action less professional. That is, anything written that goes against the guardrails or risk mitigation. Click to Animate: show the unprofessional / guardrail parts in red. After you've completed an example, advance the slide to move on to the next. Repeat until you've gone through all 3 examples. 	
 <p>Discussion</p>	<p>Debrief / Discussion:</p> <ul style="list-style-type: none"> Do you think that these examples have given you a little perspective on what we're looking for in our Disciplinary Action form in Workday? How? What other questions are there before we practice writing our own? 	