



SAP 32.02.02.99.01 Performance Management Process

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Summary

TEEX values its employees and believes that employees come to work to do a good job. The Performance Management Process promotes a culture of respect, responsibility, and accountability for supervisors and employees. This program in no way compromises at-will employment of employees; however, it does promote an environment of open communication between supervisors and employees.

Definitions

Decision Making Leave - is a one-day suspension with pay that is approved if reassignment or demotion of a job title takes place.

Dismissal - an employee may be dismissed from system employment in accordance with Section 5 of this regulation. The expiration of a wage position, for reasons other than disciplinary action, is not a dismissal for purposes of this regulation.

First Level Reminder - is typically an email sent to employees after informal counseling fails to bring about desired results. The email provides specific expectations for acceptable job performance.

Informal Coaching - the intent of coaching is to influence the employee to change the behavior, accept responsibility and return to a fully acceptable level of performance.

Performance Improvement Plan (PIP) - defines areas of concern, gaps in work performance, reiteration of expectations, and allows the employee the opportunity to demonstrate improvement.

Performance Management - looks at the present and future goals of the employee and what can be done to help their performance meet current and future goals.

Second Level Reminder- is part of the formal disciplinary process. It is a written memorandum issued for more serious incidences or if first level reminder does not achieve the desired result. A reprimand may contain directives and other action items.

Suspension Without Pay - is the temporary removal of an employee from duties without pay or temporary placement in a non-paid status. Any suspension without pay for more than five workdays must be submitted to the agency director or designee for approval.

Transfer, Demotion and/or Reduction in Salary - actions include the realignment of an employee's assigned duties, title and/or salary for disciplinary reasons.

Requirements

Managing performance and disciplinary action are two different things. Performance Management looks at what can be done to help employee performance meet current and future goals. It is an essential tool that helps managers get the most out of their people and should be the first step in any performance management process. Disciplinary action up to dismissal happens when the supervisor has done everything they can to manage an employee's performance to success but has been unsuccessful or the event is so egregious that immediate dismissal is warranted. Depending upon the seriousness of the action, progressive disciplinary steps do not need to be followed in a specific order if immediate action is warranted.

The application of each depends upon the seriousness of the event that causes the discussion.

Minor problems are those that do not involve honesty or trust issues, do not by themselves constitute a threat to the operation or business and pose no threat to the safety or well-being of the individual or other employees. An example might be excessive tardiness. There are some offenses so serious that dismissal is warranted for the first offense. So, it is important to determine if the event is minor, serious or major.

Serious problems are those that constitute a threat to the operation of the business or to the safety of the employee or other individuals. Examples might include showing up to work in an unfit condition, falsely reporting an absence, or being absent without notification.

Major violations are acts that threaten the operation of the business or the safety of individuals, or demonstrate, in and of themselves, that the offender has so little personal integrity that their continued presence can no longer be tolerated. Examples might include deliberate falsification of records, theft and fraud, assaulting a supervisor, co-worker or student. It is important to note that minor issues may escalate and become serious or major over a given period of time.

Before taking any of the following actions, the supervisor or deemed supervisor shall meet with the employee to discuss the issue. This step allows the employee to share information before determining what actions, if any, should be taken.

1. Informal discussions / Managing Performance

Informal coaching is the first action of any performance management program. This step is to communicate expectations to the employee through a review of their position description and the supervisor's expected outcomes. It should be made clear that the employee is ultimately responsible for meeting those expectations. Most employee problems arise at the level of seriousness low enough to allow the supervisor to seek a solution through coaching and training. The informal coaching process gives the supervisor an opportunity to clarify and reiterate expectations. Supervisors shall document the conversation with a simple email to the employee that restates the outcome of the conversation. The supervisor shall retain a copy of the email in the event it is needed at a later time. A good supervisory practice is to keep notes that can be used as the supervisor's working reference file to assist in tracking significant communication with an employee about their job performance.

No prior approval is needed for this level. It is not necessary that the employee sign or acknowledge receipt. There is not a limit to the number of times informal coaching can occur.

1.1. First Level Reminder occurs when informal coaching fails to bring about the desired results. The supervisor shall meet with the employee to discuss the issue, review expectations or job standards and remind the employee of what is expected. Before the meeting ends the supervisor should gain full commitment from the employee. Following the meeting, the supervisor shall send the employee an email confirming the discussion and expectations and notifies the employee that the memorandum will be kept in the supervisor's file unless further action is needed. If further action is needed, the first level reminder would be submitted to HR along with the next level of performance management and would become a part of the employee's permanent file.

No prior approval is needed for this level. It is not necessary that the employee sign or acknowledge receipt.

1.2. Performance Improvement Plan (PIP) is the next step if the first level reminder did not obtain the results required for the job, or if the situation requires stronger level of performance management. The supervisor shall:

- Obtain approval from next level supervisor and the division director/department head to move forward with PIP.
- Contact the HRO to discuss the use of the PIP as a tool to help the employee succeed. If the need for a PIP is established, the supervisor will create a draft of the plan for HR to review.
- Meet with the employee to discuss the issue, the reason for this step and expectations of the PIP. Before the meeting ends the supervisor shall obtain a full commitment from the employee.
- Following the meeting, the supervisor shall send the employee a memorandum (can be email) confirming the discussion and expectations and notify the employee that the memorandum will be kept in the supervisor's file unless further action is needed. If further action is needed,

the first level reminder would be submitted to the HRO along with the PIP and would become a part of the employee's permanent file.

Prior HR review is needed for placement of a PIP. The employee is required to sign/acknowledge receipt of the PIP. Failure to sign/acknowledge receipt will not prevent the supervisor from moving forward with the PIP.

2. Formal Discussions/ Disciplinary Actions

2.1. Second Level Reminder is considered the first step in the disciplinary process. It occurs if the first level reminder did not obtain the results required for the job, or if the situation requires stronger level of performance management. In this situation, the supervisor shall:

- Meet with the employee to discuss the issue and obtain the employee's information about the situation.
- Tell the employee that they will consider the information provided and move forward with a decision on appropriate action. In addition, the supervisor shall communicate to the employee that they will reconvene to follow-up.
- Prior to following up with the employee, supervisor shall obtain division director/department head or designee approval to move forward with second level reminder
- Once approval has been obtained, the supervisor should prepare a memorandum that provides a short summary of events leading up to the decision to issue a second level reminder. The memorandum should also include copies of supporting documentation.
- Division director/department head or designee shall obtain approval from HRO by forwarding the memorandum along with supporting documentation.
- If HR determines that second level reminder is warranted, the supervisor will finalize the memorandum. The previous PIP will be extended as part of this reminder to provide the employee with a final opportunity for success.
- Once all approvals are obtained, the supervisor shall schedule a meeting with the employee to provide and discuss the memorandum and PIP.

During the meeting with the employee, the supervisor should emphasize the seriousness of the situation, expected job performance, and gain the employee's commitment to correcting the problem. The supervisor will forward a copy of the memorandum to HR for filing in the employee's permanent personnel file.

The employee must sustain acceptable performance for the following twelve months or the last step in the disciplinary process may be initiated. The second level reminder automatically becomes a part of an employee's permanent file and impacts an employee's eligibility for a merit raise or promotion for twelve months. A signed copy is placed in the employee's personnel file in HR.

2.2. Decision Making Leave or Dismissal occurs when all applicable disciplinary steps have not brought about the desired results and it is determined that the employee is unable to improve or if their performance worsens. The supervisor must decide if possible reassignment, demotion or termination should be considered, based on the specific circumstances. If reassignment or demotion is possible, decision making leave is approved. This allows the employee to decide if they are willing to accept the terms of reassignment/demotion and make a commitment to acceptable performance in all areas of their job moving forward or they may choose to find more suitable employment elsewhere. It puts the responsibility on the employee to choose one or the other. The employee is not eligible for merit raise or promotion for twelve months. Before decision-making leave is approved, the supervisor shall:

- Meet with the employee to discuss the situation to inform the employee they are considering further action.
- Meet with the division director/designee to discuss the employee situation and determine if decision making leave or dismissal is warranted.
- Division director/designee will contact HRO to discuss whether the action is warranted. If the action is warranted, HRO must obtain approval from the Office of General Counsel.
- Once approval is obtained from Office of General Counsel, HR will provide supervisor with memorandum to meet with employee.

If decision making leave is not an option, the supervisor should move forward with dismissal. Before dismissal is approved, the supervisor shall:

- Meet with the employee to discuss the situation to inform the employee they are considering further action.
- Meet with the division director/designee to discuss the employee situation and determine if decision making leave or dismissal is warranted.
- Division director/designee will contact HRO to discuss whether the action is warranted. If the action is warranted, HRO must obtain approval from the Office of General Counsel.
- Once approval is obtained from Office of General Counsel, HR will provide supervisor with memorandum to meet with employee.

Performance Management Chart

Informal Discussions

	Supervisor Responsible	Prior Approval	Management Witness	Documentation Required	Max #allowed	Length or Active Time	Eligible to Request Transfer	Eligible for Compensation Change
Disciplinary Actions								
Second Level Reminder (with PIP)	Yes	DD/DH & HR	Yes	Yes	2	12 months	No	No
Decision Making Leave	Yes	DD/DH & HR & OGC	Yes	Yes	1	18 months	No	No
Managing Performance								
Establish Expectations	Yes	No	No	Encouraged	unlimited	n/a	Yes	Yes
Informal Coaching	Yes	No	No	Manager's Notes Recommend	unlimited	n/a	Yes	Yes
First Level Reminder	Yes	No	No	Yes	3	6 months	Yes	Yes
Performance Improvement Plan	Yes	DD/DH/HR	No	Yes	2	6 months (max)	Yes	Yes

Formal Discussions

Quality Assurance Measures

Human Resources will continuously monitor, with support from OGC, the implementation of this SAP.

Related Statutes, Policies, or Requirements

TAMUS Regulation, [32.02.02 Discipline and Dismissal of Nonfaculty Employees](#)

TAMUS Policy, [32.02 Discipline and Dismissal of Employees](#)

Appendix

Manager Notes Template

First Level Email Template

Second Level Reminder Template

PIP Template

Office of Responsibility

TEEX Human Resources (979) 458-6801