



DIRECTV POLICY
Corrective Action – Home Services
Workforce Management

Corrective Action – Home Services

Scope	3
Definitions	3
Responsibilities	4
Employees	4
Supervisors	4
Human Resources	4
Corrective Action Categories	4
Corrective Action Options	5
Corrective Action Documentation and Approvals	7
Performance Improvement Plans	8
Referenced Policies and Procedures	11

Scope

Punctuality and regular attendance are essential to the successful and efficient operation of Home Services. The cost of an employee being late or absent is measured not only in dollars, but also in additional burden put on their fellow employees and our customers. This can translate into lower levels of service and, eventually, a less competitive and profitable company.

Regular attendance plays a key role in employees overall performance. However, we acknowledge, that employees, despite their best intentions may have situations which make them unable to report to work as scheduled. We also know that despite every effort some employees may not be able or choose to meet attendance guidelines.

Attendance will be considered along with all other aspects of an employee's performance when determining appropriate action. Corrective action and/or termination may result if inappropriate patterns are detected and/or the attendance guidelines are abused.

Definitions

Coaching – Coaching is described as ongoing communication between employees and their immediate supervisors on all issues affecting the employee's performance. This communication can be done formally (e.g., during regularly scheduled performance feedback sessions) and informal (e.g., a supervisor observing an employee's work and providing comments on-the-spot).

Problem Solving – When coaching has failed to address a performance problem, then a more serious discussion should take place. Generally, these discussions should include why performance has failed to meet expectations, clearly describe what's expected of the employee in order to improve performance, and provide a timeline for when employees should show sustained improvement. A record of these discussions should be kept in the employee's local personnel file.

Written Warning – Corrective Action in the form of a Written Warning should be used in situations where an employee has violated a DIRECTV policy, procedure, rule, guideline, Employee Handbook provision, or ethical standard. The overall purpose of the written warning is to assist employees in changing behaviors that are negatively affecting their environment and/or their performance. We do this by:

- Formally notifying employees of the problem;
- Clearly describing what policy or procedure has been violated;
- Thoroughly outlining the changes required for them to improve and correct the situation;
- Providing a timeline when employees should correct the situation and show sustained improvement; and
- Identifying the consequences for not meeting the expectations provided to them.

A written warning is usually given after all other attempts, such as coaching, have failed to correct the situation.

Performance Improvement Plan – If all attempts at coaching have failed to address a performance problem, it may be appropriate to initiate corrective action in the form of a formal Performance Improvement Plan (PIP). A PIP should be used in situations where an employee's performance is not what is expected. The PIP should clearly indicate what the expectations are, where the employee is not meeting the expectations and time to complete and continue each expectation set forth. In a PIP, the immediate supervisor outlines the areas requiring improvement and creates a schedule to meet with the employee to review progress under the plan. The PIP provides specific objectives and direction for correcting the problem, and outlines future action (further corrective action, up to and including termination) if

performance fails to improve. More information on Performance Improvement Plans is provided later in this document.

Supervisor – For purposes of this procedure, supervisors are considered the first level of leader managing the employee's on-the-job performance.

Management – For purposes of this document, management is a supervisor's supervisor, or some other higher level of managerial oversight if the situation warrants escalation of an issue.

Responsibilities

Employee

Employees have responsibility for all aspects of their performance which includes following DIRECTV policies, procedures, rules, guidelines, Employee Handbook provisions, and ethical standards. This includes understanding the expectations of and working with their immediate supervisor to clarify any uncertainty they may have regarding these expectations. When performance needs improvement, employees are responsible for working with their supervisor to correct the issue.

Supervisor

Supervisors have responsibility for providing ongoing coaching and feedback and for tracking the performance of their direct reports. Additionally, they have the responsibility of taking prompt and appropriate corrective action should performance, conduct and/or attendance become a problem. Corrective action could include creating and following through on a Performance Improvement Plan or delivery of a written warning.

Management

Management has the responsibility for providing ongoing coaching and feedback to supervisors on their team. This includes reviewing and approving certain corrective actions related to performance, conduct or attendance. In addition, management will approve all Performance Improvement Plans and Written Warnings created by a supervisor on their team.

Human Resources

Employees in the HR department are available as a resource for any questions relative to provisions in the Corrective Action procedure, the Attendance procedure, benefit programs, or any other DIRECTV policy, procedure, rule, guideline, Employee Handbook provision, or ethical standard. At the discretion of a supervisor or management, HR may be consulted in order to provide recommendations on certain corrective actions. In situations where a supervisor or management is seeking a Final Written Warning and/or termination, HR must be consulted prior to such corrective actions being taken. HR should be included in any discussions with employees where such corrective actions are given. Additionally, the supervisor or management should provide their HR representative with copies of any written corrective measures taken (including Documented Verbal Warnings, Written Warnings and Performance Action Plans) to maintain in the employee personnel file.

Corrective Action Categories

Performance Issues

In general performance-related issues include failure to meet job objectives or to perform to a required standard (e.g. failure to meet QC or safety standards), and are deemed to be issues

that could be addressed via coaching or performance improvement steps (a formal Performance Improvement Plan). Examples of performance issues may include:

- Failure to meet the expectations communicated to you during new hire training and/or (especially for support staff) your supervisor.
- Failure to meet the on-the-job expectations outlined in the DIRECTV Home Services employee handbook.
- Failure to meet the responsibilities outlined in the position job

description. Note that this list is not all-inclusive of all performance examples that may occur.

Conduct Issues

In general conduct-related issues include behaviors generally related to not following company policies, procedures and rules. Conduct also includes similar unacceptable behaviors that require immediate disciplinary action, and are thus better addressed through direct disciplinary steps such as a written warning or termination. Some examples of conduct-related issues may include violations of the following policies contained in the DIRECTV Home Services employee handbook:

- Policy on Ethics and Business Conduct
- Antidiscrimination/Harassment Policy
- Disruption of Business, Outside Employment (without prior approval) and Working off the Clock
- Workplace Violence / Zero Tolerance Policy
- Working under the influence of alcohol or drugs, and the use, possession, or distribution of illegal drugs or the unauthorized use of alcoholic beverages on company premises.
- Use of company resources, such a company-owned vehicles, computer equipment and tools. *Note that this list is not all-inclusive of all conduct examples that may occur.*

Attendance Issues

Please refer to the Attendance procedure for rules related to attendance and tardiness.

Corrective Action Options

When coaching has failed to correct a performance problem, the next step is to take a more formal approach, outlining the performance problems by addressing these concerns in writing. Prior to utilizing these options, depending on the severity of the issue,, supervisors should have addressed these concerns verbally (coaching or problem-solving discussions) and documented those conversations. DIRECTV reserves the right to discipline or discharge employees in connection with any unacceptable performance or conduct that it deems detrimental to the interests of DIRECTV.

Documented Verbal Warning

If coaching has failed to correct the problem, the next step is to deliver a Documented Verbal Warning. This written documentation formally puts the employee on notice that a problem continues to exist and improvement is required. This also notifies the employee that failure to improve could result in further corrective action.

Written Warning and Performance Improvement Plans

A Written Warning or Performance Improvement Plan (PIP) is usually issued when all other corrective action attempts (coaching, documented verbal warning) have failed to assist the employee in improving conduct and/or performance. Written warnings should be used to address conduct problems –violation of company policy,

inappropriate behavior such as insubordination, etc. – which do not always warrant immediate termination but which do require a more serious warning other than coaching or a documented verbal warning. PIPs should be used for performance-related issues only. Written warnings and PIPs should include accurate documentation of any past coaching efforts, any documented verbal warnings and any training provided to educate the employee about company policies, performance or behavioral expectations.

Suspension

A Suspension may be considered when addressing issues related to conduct. Generally, the suspension allows the company to conduct an investigation while at the same time removing the employee from the work site. Employees may or may not be paid while on suspension, as determined by the appropriate management and HR. Supervisors and management, who must consult with Human Resources to determine the need for a suspension, will ultimately make the decision on whether suspension is warranted.

Termination

Termination from employment may occur if performance deficiencies or violations persist in spite of corrective action, or if conduct, including poor attitude or insubordination, is severe enough to warrant immediate discharge from employment.

The following are Corrective Action Options:

- The supervisor will review issues as they arise. In determining the appropriate corrective action option, they should consider the following:
 - Whether the issue involves conduct or performance
 - The seriousness of the current issue which have given rise to the need for Corrective Action
 - The time interval and employee's response to prior disciplinary action(s)
 - The employee's overall work history and performance
 - Any other corrective measures that the employee has been given
- For performance or conduct issues, supervisors should:
 - Involve their management and HR in the decision-making process if they recommend a documented verbal warning, written warning, suspension or termination.
 - Work with Human Resources when a decision is made to proceed with a written warning, suspension or termination prior to implementation.
 - Make decisions regarding corrective action, whenever possible, within a timely manner of the incident occurring.
- Once the supervisor has determined the appropriate level of corrective action, all required forms and supporting documentation must be gathered and prepared by the supervisor and submitted to HR for review.
- Once the documentation has been prepared, it should be submitted to the supervisor's management (e.g., site manager or, for support staff employees, the supervisor's supervisor) for approval as quickly as possible from the date of the incident. Management and Human Resources must be consulted when a decision is made to proceed with a suspension, final written warning or termination prior to the implementation of the suspension, final written warning or termination. Where management and HR determine that the threat posed by an employee is imminent, the employee may be informed verbally of the investigatory suspension.

Corrective Action Documentation and Approvals

- **Documented Verbal Warning**
 - If a supervisor determines that a documented verbal warning should be delivered to the employee, the supervisor will prepare the Corrective Action/Documented Verbal Warning form (see below). The supervisor should gather any supporting documentation necessary to support the documented verbal warning including documentation to support prior coaching or problem-solving discussions.
 - For performance and conduct issues, the supervisor's supervisor must review and approve the warning prior to delivering it to the employee. Once approved, the supervisor will meet with the employee and both will identify actions that will help the employee achieve success to correct problems. The supervisor will note (in the documented verbal warning) the actions discussed in the meeting.
 - The supervisor then obtains the employee signature. The signed original should be sent to the Human Resources Generalist to insure inclusion in the employee's master file, and a copy should be kept in the employee's local personnel file.

- **Written Warning**
 - When a decision has been made that a written warning is necessary, the supervisor will prepare the documentation using the form called Corrective Action/ Written Warning (located on the DIRECTV Home Services' extranet) and gather all supporting documentation.
 - For performance and conduct issues, the written warning must be approved by a manager or next level of supervision and HR should review the written warning to assess risk prior to meeting with the employee. All supporting documentation should be included with the warning, including prior corrective measures such as coaching, and/or documented verbal warnings.
 - Written warnings for performance will include a Performance Improvement Plan written by the supervisor and approved by a manager. Human Resources should also review the PIP prior to meeting with the employee.
 - Once the written warning and, if necessary, the PIP, have been approved, the supervisor meets with the employee to discuss the corrective action and/or the [PIP](#). HR should be present in person or by phone in the delivery of any final written warnings.
 - The supervisor and employee will identify actions that will help the employee achieve success and correct the problem. The supervisor obtains the employee signature on the corrective action document and/or PIP.
 - The original documents should be forwarded to the Human Resources Generalist to insure inclusion in the employee's master file.
 - All support staff corrective action should be reviewed by Human Resources management.

Suspension

- When an employee suspension is being considered, the supervisor, manager and Human Resources representative will work together to review the situation. No further actions should take place until a determination is made at the conclusion of an investigation.

<p>Attendance for Technicians</p> <p>See Attendance Policy for specific guidelines.</p>	<p>Performance</p> <ul style="list-style-type: none"> Overall performance reflected in specific weekly productivity reports 	<p>Conduct</p> <p>See Conduct examples listed above. May escalate directly to Written warning or termination depending on severity of issue</p>
<p>Documented Verbal Warning</p> <ul style="list-style-type: none"> Supervisor prepares and approves. After delivery to employee, hard copy signed and sent to HR. HR Generalist ensures inclusion in employee master file Update coaching log. 	<p>Documented Verbal Warning</p> <ul style="list-style-type: none"> Supervisor prepares; approves. After delivery to employee, copy signed and sent to HR Generalist. Update coaching log. 	<p>Documented Verbal Warning</p> <ul style="list-style-type: none"> Supervisor prepares; approves. After delivery to employee, hard copy signed and sent to HR Generalist. HR Generalist ensures inclusion in employee master file
<p>Written Warning</p> <ul style="list-style-type: none"> Approved by Manager. After delivery hard copy signed and sent to HR Generalist. HR Generalist ensures inclusion in employee master file Update coaching log 	<p>Written Warning</p> <ul style="list-style-type: none"> Approved by Manager & reviewed by HR prior to delivery. Hard copy signed and sent to HR Generalist after delivery. HR Generalist ensures inclusion in employee master file Include Performance Action Plan for performance issues. Update coaching log after delivery 	<p>Written Warning</p> <ul style="list-style-type: none"> Approved by Manager; reviewed by HR prior to delivery. Hard copy signed and sent to HR Generalist after delivery. HR Generalist ensures inclusion in employee master file. Update coaching log after delivery.

Depending on the severity of the performance or misconduct issue, progressive discipline may not be appropriate and more severe discipline, including immediate termination may be implemented.

Performance Improvement Plans

The PIP is intended to help an employee work through performance gaps in a focused manner, and to formally notify an employee of performance concerns; they are particularly useful when multiple performance issues need to be addressed. A PIP should include accurate documentation of any past coaching efforts (or corrective action measures such as verbal warning and/or documented verbal warning), training provided to educate the employee about company policies or performance expectations. It should be administered in a manner that is respectful to the privacy of the employee. A copy of the PIP should be presented to the

employee at the meeting, and the employee should be asked to sign the document. Employees should be given the opportunity to provide comments on the PIP.

The following attachment is the PIP template.

**DIRECTV HOME SERVICES
PERFORMANCE IMPROVEMENT PLAN**

Employee Name:

Employee Number: _____

Hire Date:

Date:

Subject: Performance Improvement Plan

The following described performance issues are tied to the key expectations and job standards for the [insert employee’s title] position. A review of the performance requirements of your position indicates that your performance is below expected levels. In order to help you raise your performance to at least a satisfactory level, you will be involved in a Performance Improvement Plan aimed at providing you very specific guidelines and objectives required to improve your performance within a specified period of time.

This Performance Improvement Plan will be in effect for days *(insert number of days - typically 30)* extended as necessary and terminated immediately if progress is not made or if other circumstances arise. It is expected that you show a positive attitude toward this Plan to improve your performance.

Your performance will be carefully evaluated on a weekly basis and at the conclusion of the day period, your performance will be evaluated. If your performance has improved to a satisfactory level upon completion of the plan, you will be removed from the plan. Should you at any point during this plan NOT demonstrate significant and sustained improvement in your performance, you may be subject to further corrective action, up to and including termination of employment. Additionally, while you are focusing on improving your performance according to this Performance Improvement Plan, your performance and conduct in all other areas of your job must remain at an acceptable level.

Identified goals and suggested improvements are as follows:

AREA OF PERFORMANCE (KPI's or Business Skills)	PERFORMANCE EXPECTATIONS/ IMPROVEMENT NEEDED	COMMENTS/SUGGESTIONS FOR IMPROVEMENT

As your supervisor, I agree to the following based on our discussion and areas identified for improvement in an effort to assist in your success:

Examples could include: training or meeting more often to assist employees

It is management’s belief that this program will help you to become a more productive and successful employee. It should be emphasized that, as your supervisor, I am willing to help you accomplish the objectives as set forth. It should be clearly understood that this program is intended to raise your performance to a satisfactory level. If you have questions regarding these expectations, you need to inform me of those or the person making the request of you so you can be provided further guidance. If you are unclear about my expectations or need further guidance, it will be your responsibility to follow up with me.

We will be taking a hard look during the time this Plan is in effect and at the end of the _ days to determine if noticeable progress has been made and will continue to monitor your performance on a regular basis after this time. Failure to make progress under this Plan, to sustain performance, or failure to comply with any Company policies or procedures will lead to further disciplinary action, up to and

including termination of your employment, even prior to the ____ days.

In addition, nothing in this document is intended to, nor should be construed to alter your relationship with DIRECTV in any way. You remain an "at will" employee and may be terminated at any time, even during the period of this or any other plan.

Please sign below to indicate that you have reviewed and fully understand the performance plan as presented.

Supervisor _____ Signature _____ Date _____
 (Please print)

Manager _____ Signature _____ Date _____
 (Please print)

Employee _____ Signature _____ Date _____

(Please print)

HR

Signature

Date

(Please print)

Referenced Policies & Procedures

This policy correlates to related company policies, procedures and guidelines including but not limited to:

- Ethics & Business Conduct
- Workforce Management
- Use of Company Resources
- Protecting Company Information and Individual Privacy