Corrective Action Worksheet

# Understanding Employee Discipline

An effective discipline program is beneficial to both the employer and employee. It helps employees correct any shortcomings with the goal of becoming a valuable, contributing member of the workforce. Documentation created as a result of the discipline process can also help protect an employer in the event that a termination or other adverse employment decision becomes necessary. It is useful to view the matter of discipline as having several components: issues that must be addressed before administering discipline; methods of disciplining, including progressive discipline; how to provide employees with an opportunity to respond to discipline, such as a grievance program; and laws relevant to termination.

# Step 1: Define the Problem

## To-Do’s

### Manager

* Track and document the issue and verbal discussions. This account will substantiate the claim and prove it is reoccurring
* Prepare a “Record of Discussion” document that defines the problem, expectations, and timeline for resolution.

### HR Department

* Review the “Record of Discussion” form
* Have the form reviewed by HRinDemand professionals
* Schedule a meeting with the employee, the manager, and a witness
* Deliver the documented issue to the employee
* Give the employee the opportunity to respond to the complaint
* Have the employee sign the form acknowledging the complaint and resolution 2-4 weeks out
* Schedule a follow up meeting according to the resolution date
* Address the employee’s response with the manager if applicable

# Step 2: Monitor and Follow Up

## To-Do’s

### Manager

* Track performance according to the expectations and resolution date documented on the Record of Discussion
* Determine if the employee improves
* If the employee improves and no further incidents occur, manager meets with the employee to discuss the improvement and informs HR

### HR Department

* Resolves and closes the case
* Documents recorded in employee file

# Step 3: Final Warning and Termination

## To-Do’s

### Manager

* If the employee does not improve and further incidents occur, manager prepares additional Record of Discussion documentation and begins the process again
* Depending on extent of issues, repeat steps one and two and consider processing the complaint with a final written warning
* No improvement after the final written warning results in termination
* Manager gets HR approval to terminate

### HR Department

* Prepare for termination
* Schedule termination meeting

Corrective Action plan

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| --- | --- |
| **Employee Name:** | **Date:** |
| **Job Title/ Dept.:** | **Supervisor:** |
| **Level of Corrective Action*** Verbal Warning/ Counseling
* Written Warning *(Previous Corrective Actions: )*
* Termination
 |
| **Problem/ Issue:** *(Please state the issue in which the employee is being given a corrective action for, address the section in the handbook in which the employee is violating)* |
| **Facts:** *(Please describe the specific incident in which the employee is being given a corrective action)* |
| **Objective:** *(Please describe the performance change you are expecting the employee to have by receiving this corrective action)* |
| **Comments:** *(This is where the employee may make comments in regard to this corrective action plan)* |
| **Re-Evaluation meeting scheduled for** |  |
| *Signing this statement does not necessarily mean that I agree, it simply indicates acknowledgement that this document was reviewed with me. I understand that acknowledging this discipline does not constitute a contract and does not change my employee-at-will status. The company reserves its right to skip progressive discipline steps and go directly to termination at its discretion.****I understand that either failure to improve my performance/behavior or additional incidence/s of any unsatisfactory performance or behavior may result in further corrective action up to and including termination.*** |
| **Employee Signature:** | **Date:** |
| **Supervisors Signature:** | **Date:** |
| **Human Resources Signature:** | **Date:** |
| *A copy of this corrective action will be placed in your personnel file for reference.* |