

CHICAGO STATE UNIVERSITY

POSITIVE CORRECTION ACTION PLAN

Prior to Corrective Action

Before proceeding with delivering corrective action to an employee be sure that the following conditions have been met.

- Advise employees of established work expectations, rules and policies.
- Distribute and make available any and all established work expectations, rule and policies

Verbal Warning

Before delivering a written warning, you should make the employee aware of the problem and give the person an opportunity to correct the deficiency. This is normally done by a verbal counseling or verbal warning. The counseling session should take place in the privacy of an office. The supervisor should clearly point out the employee's deficiencies and provide criteria and time frame for improvement. The supervisor should document this conversation in the form of a memo to be kept in the manager's desk file.

Written Warning

You must document the employee's deficiencies in writing. The documentation should specifically outline the "what, when, where and how" of the situation. You must use specific examples in your documentation. It is not sufficient to say the employee is late a lot or the employee cannot be found in his or her work area. While these reasons are valid reasons to deliver a written warning- more specific documentation must be provided to support the claim.

EXAMPLE: FAILURE TO FOLLOW DEPARTMENTAL CALL-IN POLICY

Our department's call-in policy requests that employees call-in one (1) hour prior to the start of the work shift if they will be tardy or absent. (Copy of policy attached). You failed to call in as required by the policy on the following dates:

APRIL 7, 2017- CALLED IN 10 MINUTES BEFORE START OF WORK

APRIL 23, 2017- CALLED IN 15 MINUTES AFTER THE START OF WORK

Final Written Warning

This document should list all previous verbal and written warnings delivered to the employee. There is no rule which dictates how much time you should give between a written warning and final written warning, however you must provide the employee a reasonable opportunity to show improvement. A matter of weeks may be required to support a determination that a particular performance problem or behavior has or has not been corrected. Each written warning should include all behavior and performance problems, which have occurred since the verbal warning session.

Suspension without Pay

The next step of the disciplinary process is suspension without pay.

*Process and procedures indicated are not applicable to Faculty and members of UPI 4100. Contact Union President for the appropriate guidelines.

**Progressive disciplinary steps may be accelerated based upon severity of the behavior or performance.

Termination/Discharge

Termination/Discharge is the ultimate penalty to be considered, after other attempts to correct the employee's behavior have failed or to sanction a serious offence immediately. Each employee is a member of a different classification. Each classification has specific requirements for termination or discharge. Please contact the Office of Human Resources for consultation prior to initiating any discharge or termination proceedings.

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Work Rules and Positive Corrective Action Guidelines

Work Rules	1 st Offense	2 nd Offense	3 rd Offense	4 th Offense	5 th Offense
1. Theft, destruction, abuse, gross negligence or unauthorized use of Employer or private property	NOID*				
2. Fighting, gambling, threatening conduct or language	NOID*				
3. Refusal to perform assigned duties or obey instruction, insubordination, falsifying records including time sheets	NOID*				
4. Possession of a weapon or dangerous material; violation of substance abuse policy	NOID*				
5. Leaving premises without permission; sleeping on the job	NOID*				
6. Breach of confidentiality or conflict of interest, or the appearance of impropriety	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
7. Absent 3 consecutive days without notification; failure to report following leave of absence	Voluntary Resignation				
8. Personal work during working time; solicitation during working time	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
9. Careless use of Employer or private property; conduct dangerous to others; violation of safety, smoking or sanitation rules	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
10. Repeated failure to complete time sheets; abusing washroom privileges; excessive time on breaks or unauthorized breaks	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
11. Excessive absenteeism or tardiness; failure to start work on time or stopping work early	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
12. Unauthorized notice posting or tampering with notices	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
13. Failure to maintain satisfactory interpersonal relationships with employees and others	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
14. Failure to do acceptable quality or quantity of work; poor or careless workmanship/productivity restricting output or intentional slowdown	Verbal Warning	Written Warning	Final Written Warning	Unpaid Suspension	Termination
15. Criminal conviction, lack of disclosing arrest	May result in no action or progressive discipline up to and including termination.				

Employer may escalate any positive corrective action to a higher level based upon severity of the violation(s). Employer may issue separate positive corrective action for each violation. Receipt of any combination of any three (3) offenses during one (1) year may be cause for notice of intent to discharge. Employer reserves the right to cancel or modify these rules, or issue new ones.

*NOID-Notice of Intent to Discharge-This means the University will initiate termination proceedings depending on the applicable guidelines set forth by State Universities Civil Service System, union agreement, Employee Manual or CSU Board of Trustees Regulations. Administrative employees may not receive a Notice of Intent to Discharge and may be terminated without cause.

Disciplinary Action Notice

This form is used to record the circumstances of an offense committed by an employee so as to standardize the administration of a disciplinary program and rectify misconduct in a just and constructive way.

Employee Identification

Name of employee committing offense: _____

Job Title: _____ Department: _____

Date of Offense: _____ Time of offense: _____ Location: _____

Description of Offense: (Indicate "See Attached" if applicable)

Name of Person(s) Involved: _____

Name of Witness(es): _____

Disciplinary History: (Within the past twelve months)

This is the First Second Third Fourth (written notice for this type of offense) State the other offense(s) if the employee has received written notices in the past twelve months.

Supervisor: _____ Date: _____

Department Administrator: _____ Date: _____

Recommended Action: Verbal Warning Written Warning Final Written Warning
 1-Day Suspension Termination

Employee Receipt:

You are hereby advised that this notice constitutes a grave and serious matter requiring your immediate attention. Additional offenses will result in a more severe action up to and including discharge. Your signature simply acknowledges receipt of this form and not necessarily agreement with the stated actions and/or recommendations.

Employee Signature: _____ Date: _____

Approval/Disapproval of Recommended Action: Approved Disapproved

Director of Human Resources

FOR MANAGER DESK FILE ONLY

A copy of this document should NOT be delivered to the Employee

Documentation of a Verbal Warning Regarding: **[Employee Name & CSU ID]**

Date Delivered: **MM/DD/YYYY**

Administered By: **Manager Name**

This is a record of a **VERBAL Warning** to address the specific performance below:

(Indicate “See Attached” if applicable)

Disciplinary action previously delivered: (if applicable)

Recommended Talking Points for Communicating a Verbal Warning:

- The purpose of this conversation is to address your performance.
- Your performance is not meeting expectations.
- Specifically you have not met the expectations for the dates and reasons as follows:
 - (Dates and reasons of failure to meet performance expectations listed above or attached)
- Your performance is important in our effort to provide reliable and responsive service.
- You are an essential member of our team and are expected to meet the expectations of your role.
- Is there anything impacting your ability to meet the performance expectations?
 - You are expected to demonstrate immediate and sustained improvement in the areas specifically addressed concerning your performance. Failure to do so may result in further disciplinary action up to and including termination.

Key Reminders for Managers:

- The direct manager or a member of management should be the one to have the conversation with the employee.
- Remember to avoid using probationary dates and specific timeframes unless the issue pertains to meeting a specific deadline for a project/task.
- Instead use the phrase “immediate and sustained”. Include a statement of the consequences if there is no improvement.
- Consult with Human Resources management if you believe the employee displayed inappropriate or disruptive behavior during the delivery of disciplinary action.

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Memorandum: Written/Final Written Warning

DATE:

TO: (Employee Name) UID No. _____

FROM: (Supervisor Name)

SUBJECT: Written/Final Written Warning

This memo is to confirm our discussion on **(date)** about your unacceptable behavior/Conduct resulting in your failure to maintain regular attendance at work.

As we discussed, on or about **(date)** you received a [Verbal or Written] Warning. At this time, we discussed expectations and you agreed to correct the problem. Since then, you **(list infractions leading to this written warning)**. The effect of this continued behavior/conduct on your fellow team members and your customers is so serious that you must correct the situation immediately. I expect you to make the following change in your behavior/conduct without delay:

(Identify unequivocal performance expectations)

I am confident of your ability to solve this problem and perform effectively in every area of your job since any further problems requiring disciplinary action may result in your progression to the next step of the disciplinary process.

Signed: (Supervisor) _____ Date _____

I have received a copy of this memo:

Signed: (Employee) _____ Date _____

Distribution: Copies to Employee, Supervisor, Employee's Departmental File
Original to Human Resources