THE UNIVERSITY OF CHICAGO

NOTICE OF CORRECTIVE ACTION
EMPLOYEE (NON-UNION) PERSONNEL RECORD

NOTE: See instructions on Page Two.

Employee _____ I.D. # _____ Title _____

Department Name _____ Dept. # _____ Division _____

Immediate Supervisor _____ Dept. HR Representative _____

CORRECTIVE ACTION TAKEN (See routing instructions specific to the action taken):

□ Verbal counseling or warning
□ Written reprimand/warning: additional infraction will lead to further action which may include suspension or discharge
□ Suspension for ____ working days from ___/___/___ through ___/___/___*
□ Suspension, pending investigation, from ___/___/___
□ Specific warning of discharge for additional infraction
□ Discharge
* Exempt employees are suspended in full-week increments.

REASON(S) FOR CORRECTIVE ACTION

Job Related

□ Unsatisfactory Performance of Duties
□ Unsatisfactory Customer Service (mishandling of or unsatisfactory service to the public, students, patients or staff/faculty)
□ Disclosure or Misuse of Confidential Information
□ Falsification, Alteration or Improper Handling of Records (payroll, personnel, student, patient, etc.)
□ Misuse of the University's Electronic Information System

Attendance

□ Tardiness
□ Absenteeism
□ Failure to Report
□ Unauthorized Absence from Assigned Area
□ Violation of Departmental Call-in Policy
□ Job Abandonment

PERSONAL CONDUCT

□ Insubordination
□ Behavior/Language of a Threatening, Abusive or Inappropriate Nature
□ Misuse/Damage/Loss of University Property
□ Possession, Sale or Purchase of Intoxicants or Drugs Not Prescribed
□ Working Under the Influence of Intoxicants or Drugs Not Prescribed
□ Failure to Comply with University Policies and/or Procedures
□ Sleeping on the Job
□ Possession of or Concealing a Weapon
□ Theft
□ Fighting
□ Other (Specify) _____

DESCRIBE REASON(S) FOR CORRECTIVE ACTION

_____
_____
_____
_____
_____

A copy of this form was □ given to □ mailed to the above-named employee on ___/___/___.

Employee's signature indicates action was discussed, NOT necessarily that the employee agrees with its content.

Supervisor _____ Date _____ HR_____

Employee _____ Date _____ Date _____ Group Code _____

DEFINITION OF CORRECTIVE ACTION

The Progressive Corrective Action Procedure is designed to identify and correct problems that affect an employee's work performance and/or the overall performance of your department. This process provides the employee and the supervisor with an opportunity to identify and discuss specific problems, to determine how these problems may be corrected, and to set goals and expectations as well as follow-up dates.

The Progressive Corrective Action Process refers to the following steps:

Step One: Counseling and/or Verbal Warning
Step Two: Written Reprimand/Warning
Step Three: Suspension
Step Four: Discharge

The Notice of Corrective Action form may be used for biweekly and monthly employees, as appropriate, to document the corrective action process.

Supervisors initiating corrective action should consult the following:

- His/her own immediate supervisor or divisional Human Resources Representative;
- HR Point of Contact for general guidance or advice; and
- University Human Resources Policy Guidelines.

During the Step One meeting, the supervisor explains that the employee is being verbally reprimanded and warned, and should use this form to record such a meeting. The Notice of Corrective Action form which covers a Step One meeting should be retained in the department file only. The Notice of Corrective Action form which records Steps Two through Four should be forwarded to HR.

Prior to the termination or suspension of a staff employee, the Department must contact the HR point of contact to review how best to proceed. If suspension is warranted during evening, night or weekend shifts, HR should be notified of such action on the next available business day.

ROUTING

Copies of the Notice of Corrective Action should be distributed as follows:

If initiating Step One (Verbal Warning), distribute to:

- employee; and
- departmental file.

If initiating Steps Two through Four (Written, Suspension or Termination), distribute to:

- HR – for the employee's personnel file;
- the employee, in person or via mail; and
- the departmental file for retention purposes.