
Corrective Action Checklist

Review Before Taking Action



Date: _____

Employee Involved: _____

Other Person(s) Involved: _____

Fact Gathering

1. What happened? What are the specific facts? (Provide dates, examples, and behaviors – not opinions.)

2. What impact has the behavior/problem had on the employee's performance, or on organizational performance?

3. What specifically needs to be changed or corrected?

4. Have you reviewed applicable company policies, procedures and past practices?

5. Have you discussed the problem(s) with Human Resources and/or your manager?

6. How have similar cases been handled?

7. Was there a rule, policy, or procedure violated?

If yes:

Was it clearly communicated?

Is it in writing?

How long has it been effective?

8. Was the employee aware of the rule, policy, etc.?

9. Had the employee been warned? When?

10. Have there been past or similar incidents/problems involving this employee?

11. Any past discussions relating to this problem?

12. Have you reviewed the employee's file and your own notes or significant events lists?

13. Have there been other corrective actions taken with this employee? If so, when and for what?

14. How would you characterize the employee’s past performance appraisals and work history?

15. Are there any possibilities that a claim of discrimination could be made?

If so, explain:

Is the employee in a protected class?
(Involving disabilities, sex, pregnancy,
race, age, national origin, religion,
genetic status, etc.)

Could your actions be construed as
any form of retaliation for actions the
employee may have taken in the past?

Actions

1. What corrective action is appropriate, consistent and justifiable?

- Informal Oral Warning
- Formal Oral Warning (Recorded in supervisor’s notes or employee files.)
- Written Warning
- Probation (For how long? Under what circumstances?)
- Suspension (Without pay? For how long? Under what circumstances?)
- Demotion (Based on employee inability to do the job? Or as punishment?)
- Termination
- Other: _____

2. Can you justify and defend your actions?

If so, explain:

3. Will the corrective action:

Solve the problem permanently?

Affect the employee and prevent a recurrence?

Affect other employees?

Improve business operations?

Follow-up

1. How will you assist the employee in correcting the problem and monitor future performance? (If the employee will remain in your supervision after the corrective action.)

2. Have you (with the employee's input as appropriate) developed a specific action plan to correct the problems?

3. Does the employee understand what needs to be done? Does she/he understand the reasons behind the actions?

4. Do you have a timetable established? Have you set times for follow-up meetings to monitor progress?

5. Have you made clear the consequences of the employee failing to improve?

6. Is the appropriate documentation complete?

Discussion with Employee

1. Have you ensured that the discussion will take place?

In a private place?

When you are calm and have fully researched the problems?

With the appropriate managers present? (Depending upon the seriousness of the problem, you may want two managers present.)

2. Have you thought about your opening statement to the employee? And have you thought about the kind of language that you will use, so that you seem objective and fair to the employee (e.g., avoiding accusatory “you” statements that may make the employee defensive and uncooperative)?

3. Are you prepared to let the employee explain her/his viewpoint?

4. As appropriate, have you – or will you have – prepared a Written Warning Form?

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