

Corrective Action Checklist – Review Before Taking Action

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Corrective Action Checklist – Review Before Taking Action

Date _____ Employee(s) involved _____

Fact Gathering

What happened? What specifically are the facts? (Provide dates, examples, and behaviors - not opinions.)

What impact has the behavior/problem had on the employee's performance? On organizational performance?

What specifically needs to be changed or corrected?

Have you reviewed applicable Company policies, procedures, and past practices?

Have you discussed the problems with HR and/or your manager?

How have similar cases been handled?

Was there a rule, policy, or procedure violated? _____

*If yes: Was it clearly communicated?
Is it in writing?
How long has it been effective?*

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

Had the employee been warned? When?

Have there been past, similar incidents/problems involving this employee?

Any past discussions relating to this problem?

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

How would you characterize the employee's past performance appraisals?

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

How would you characterize the employee's work history?

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

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

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

Actions

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 used as a punishment?)*
- Termination
- Other: _____

Can you justify and defend your actions? _____

Will the corrective action:

Solve the problem permanently? _____

Affect the employee and prevent a recurrence? _____

Affect other employees? _____

Improve business operations? _____

Follow Up

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.)

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

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

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

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

Is the appropriate documentation complete?

Discussion With Employee

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.) _____

Have you thought about your opening statement to the employee and 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)? _____

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

As appropriate, have you (or will you) prepared a Written Warning Form? _____