



**NOTICE OF CORRECTIVE ACTION  
EMPLOYEE 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**

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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 \_\_\_\_\_ HRM-E/LR \_\_\_\_\_

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 when and how these problems can be corrected, and to agree 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 is to be used for all biweekly, union, and selected non-biweekly employees to document Step One through Step Four of the progressive discipline process.

Supervisors initiating corrective action should consult the following:

- His/her own immediate supervisor or divisional Human Resources Representative;
- UHRM, Office of Employee/Labor Relations for general guidance or advice;
- University Personnel Policy Guidelines (Policy #703); and
- relevant provisions of the appropriate labor contract, if applicable.

During the Step One meeting, the supervisor should make it clear 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 UHRM.

Approval from UHRM-Employee/Labor Relations is required prior to the termination of any employee or prior to the indefinite suspension of an employee, pending an investigation. If termination or suspension is warranted during evening, night or weekend shifts, UHRM should be notified of such action on the next available business day.

In cases of serious offense, UHRM-Employee/Labor Relations should be consulted prior to taking corrective action, unless the safety of the employee, other staff or the public is threatened by the employee's actions, or if the action poses a potential and immediate threat to equipment/systems, or is disruptive to the purpose and use of the worksite.

## 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:

- UHRM, Office of Employee/Labor Relations – for the employee's personnel file;
- given or mailed to the employee;
- mailed to the Union office; if applicable, a copy should be given to the Union Representative or Steward; and
- retained for departmental file.