## CORRECTIVE ACTION CHECKLIST

The following checklist establishes a process for corrective action for employees within [Organization Name]. Please note: not all improper conduct and behaviour is of the same severity. The discipline must suit the circumstance and the severity of the circumstance is subject to the discretion of the employer. Certain actions, in isolation, will not warrant formal discipline. However, the culmination of similar actions may in fact result in discipline as per the terms of the Corrective Action Policy. For example, an employee who is late one or two times over the course of a few months may not warrant discipline. If the same employee was warned regarding their tardiness and was late a few more times over the next month, the employee may be subject to discipline.

On the other hand, a specific action may be considered relatively more severe than other improper actions worthy of discipline. In these cases, the employer reserves the right to issue a more severe discipline, as per the steps in the policy, or may terminate the employee. For example, an employee is involved in an altercation with another employee and behaves violently or commits physical violence. The employer is obligated to respond accordingly as per company policy and legislation which means providing an appropriate level of discipline. The employee may be disciplined at Steps 2, 3 or 4 of the process for this single incident, even though no formal discipline existed prior.

Supervisors and managers should consult with human resources before determining and issuing discipline to ensure the discipline provided suits the circumstances. Moreover, it is important to ensure consistency and equity in the issuance of discipline from one employee to another.

PROCEDURE

If it becomes known that an employee has violated the terms of a policy in the workplace, management has a responsibility to investigate and initiate the corrective action process as soon as reasonably practicable. Corrective action must be undertaken in a timely manner and must be proportionate to the infraction.

* Is the manager aware of an infraction of a policy and can definitively say that the employee in question was the one who committed the infraction?
  + If the answer is no, then a fact finding needs to happen prior to proceeding
* If it is confirmed that it was the employee who committed the infraction, was the employee aware of the policy (e.g., did they undergo training or sign off on a policy manual, etc.)?
* Have any other employees who have done the same or similar actions been disciplined for those actions?
  + Have the levels of corrective action that were previously accorded been taken into account?
* Have you investigated whether the employee has previous corrective action warnings on file (within the last year) for the same types of infractions?
* Has the employee been asked to explain their actions?
* Have all extenuating circumstances been taken into account?

If all of the above have been answered as “yes”, the manager may proceed with the corrective action process.

Corrective Action Checklist

[Organization Name] reserves the right to move to any level of discipline as deemed necessary by management based on the severity of the offence.

**Verbal Warning Meeting**

* When an employee’s behaviour or work is unacceptable, it should be discussed with the employee at a meeting attended by the employee, the manager, and/or a member(s) of the Human Resources Committee.
* It will be clearly identified to the employee that the meeting is a verbal warning and if correction of the behaviour or work is not made, further and more serious discipline may result up to and including possible termination.
* The employee will be made aware that recorded notes of the meeting are for [Organization Name] records and they will not form part of the employee’s personnel record. The notes should include the date and signatures of the manager and/or member(s) of the Human Resources Committee.
* When a verbal warning is issued, management will provide the employee with an explanation of the inappropriate conduct or performance issue, why the verbal warning was issued, and what the expectations are of the employee moving forward.
* Management will document the conversation that has taken place and add the documentation to the employee’s file.
* The employee must be told that if there are further infractions of a similar nature, the next step will be a first written warning.

**First Written Warning Meeting**

* Where warranted, an employee will be given a written warning regarding undesirable workplace behaviour or misconduct. This warning could be about performance that was previously discussed in a verbal warning that has not been rectified, or a behaviour or action that was considerably severe in nature and requires more than a verbal warning.
* The employee will be provided with a written letter that outlines the situation being discussed, what the concerns are, and what is expected of the employee within a specific timeframe for rectification.
* The employee and manager will both signoff on the document and one copy will be provided to the employee and a second copy will be placed in the employee file for reference.
* The manager will be reviewing terms of the written warning at the end of the timeframe for rectification and deciding what, if any further action is necessary.
* The employee must be told that if there are further infractions of a similar nature, the next step will be a second written warning.

**2nd Written Warning Meeting**

* If the employee does not rectify their behaviour after a written warning has been issued, Management may provide a subsequent written warning.
* The employee will be provided with a letter that outlines the situation being discussed, what the concerns are, and what is expected of the employee within a specific timeframe for rectification.
* The employee and manager will both signoff on the document and one copy will be provided to the employee and a second copy will be placed in the employee file.
* The manager will be reviewing terms of the written warning at the end of the timeframe for rectification and deciding what, if any further action is necessary.
* The employee must be told that if there are further infractions of a similar nature, the next step will be a final written warning.

**Final Written Warning Meeting**

* If the employee does not rectify their behaviour after two written warnings have been issued, Management may provide a final written warning.
* The employee will be provided with a letter that outlines the situation and/or behaviour being discussed, what the concerns are, and what is expected of the employee within a specific timeframe for rectification.
* The employee and manager will both signoff on the document and one copy will be provided to the employee and a second copy will be placed in the employee file.
* The manager will be reviewing terms of the written warning at the end of the timeframe for rectification and deciding what, if any further action is necessary.
* The employee must be told that if there are further infractions of a similar nature, the next step will be termination of employment.

**Termination of Employment**

* An employee will be provided with written documentation regarding their termination outlining why the termination is being completed, any actions or disciplinary measures previously taken to rectify the situation that were not met, and the justification for the for-cause termination as outlined in the Termination Policy and in compliance with any relevant legislation.   
    
  Note: In severe instances, management may choose to move directly to the termination of employment when warranted.

Responsibilities

**Managers must:**

* Ensure employees are aware of all workplace expectations for conduct and performance
* Manage employees effectively, providing ongoing and constructive feedback on work performance and workplace conduct
* Ensure employees are aware of and consistently enforce workplace policies and procedures
* Follow and enforce the Corrective Action Procedure with respect to employee performance and workplace concerns
* Maintain appropriate documentation for disciplinary actions

**Appeals:**

Where an employee feels they have been unfairly disciplined under the corrective action framework, they are able to appeal the decision within 30 days of the disciplinary meeting. Employees must provide facts and evidence of the unfair disciplinary measures enacted or provide proof that the concern being disciplined for did not occur as described.

Management has the responsibility of reviewing all appeals within a timely manner and providing the employee with a written response to the appeal, including the outcome of the appeal.

**Employee Files:**

All written documentation in relation to corrective action must be maintained within the employee files. Disciplinary documentation will remain active within an employee file for [insert time period] from the date the document was signed or as otherwise specified in writing.