

Performance Management Plus

Corrective Action Chart

Action Issue	Required Review	Documentation	Employee Signature Required	Distribution	Max. Number Allowed Active	Eligible for Merit	Can apply for other University jobs	Time Before Deactivation
Informal Discussion								
Positive Contact	None	Note to file	No	Supervisor File	N/A	N/A	N/A	N/A
Coaching Sessions	None	Note to file	No	Supervisor File	N/A	N/A	N/A	N/A
Corrective Action Levels								
Level 1 Reminder	None	Memo to employee	No	Dept Personnel File & Employee	1	Yes	Yes	3 Months
Level 2 Reminder	Next Level Management	Memo to employee	No	Dept Personnel File & Employee [cc: ER]	1	No [^]	Yes	6 Months
Decision Making Day & Level 3 Reminder	Dept Head (VP-2)* & ER	Memo to employee and Perf Eval within 30 days	Yes	Dept Personnel File & Employee	1	No	No	12 Months
Termination (Non-Probationary)								
Termination	Dept Head (VP-2)* & ER	Memo to employee	No	Dept Personnel File & Employee	N/A	N/A	N/A	N/A

*** Department Head no lower than two levels under a Vice-President.**

**[^] - No merit increases unless approved by Dean/Director/AVP level manager (i.e. VP-1)
Review development plan for appropriate mandatory and remedial training at each level**

NOTE: Any level of corrective action, including termination, may be given for a single incident. Factors that may determine the appropriate level of corrective action include but are not limited to: the seriousness of the infraction, the impact of the infraction to the department, and the employment history of the employee. Progression from one Reminder Level to the next may occur any time during the active period. An employee may not have more than one active Level Reminder at any one time (e.g. two Level 1 Reminders) even if each Reminder is based on different issues. Therefore, progression from one Reminder Level to the next may be for a different issue.

Corrective Action Chart FAQ

Q: Does an employee have to go through all levels before termination can occur?

A: No. An employee can be given a Level 2 or Level 3 Reminder (or even terminated) for a single incident. Factors that may determine the appropriate level include but are not limited to: seriousness of the infraction, the impact of the infraction to the department, and the employment history of the employee.

Q: Does the employee have to stay at Level 1 for three months before a supervisor may issue a Level 2?

A: No. The *Time Before Deactivation* indicates how long the Level remains in effect. Should deficiencies continue or if other problems arise during the active period, a supervisor may pursue the next appropriate level of corrective action.

Q: If an employee has an active Level 1 for attendance and then has a work performance issue, does the supervisor issue another Level 1 for the new and different issue or does the supervisor issue a Level 2?

A: If, during the active period, an employee has any further performance problems moving to the next level may be appropriate. Levels of corrective action are based on total performance and are not subdivided into categories that are treated separately. Satisfactory performance includes all aspects of performance including attendance, conduct, and qualitative aspects of the work performed.

Q: What can happen if an employee does not sustain acceptable performance? For example, an employee may be issued a Level 1 and then maintain satisfactory performance during the three month active period but then almost immediately performance slips backwards and the employee receives another Level 1. Must the supervisor start over at Level 1 each time?

A: No. One of the aspects of defining a *Time Before Deactivation* is to recognize when an employee corrects his or her performance for a sustained period of time. When an employee maintains acceptable performance for the period of time active, the corrective action becomes deactivated. However, when it is clear that there is a repetition of a performance problem over a period of time, moving directly to a Level 2 may be appropriate.

Q: How long are the active periods for each Level?

A: A Level 1 Reminder is active for three months. A Level 2 Reminder is active for 6 months. A Level 3 Reminder is active for 12 months. If an employee successfully sustains satisfactory performance for the active period of the Reminder, the supervisor should acknowledge the improvement with a Deactivation Letter to be placed in the personnel file.

Q: Can prior actions be referred to after the active period is over?

A: Yes. As mentioned before, deactivation of the corrective action recognizes improvement or correction to the problem. However, should a pattern of performance issues appear, prior corrective actions may be referenced.

Q: Does corrective action have to be reflected in the performance evaluation?

A: The performance evaluation should reflect an employee's performance over the performance period. Corrective action that has occurred during the evaluation period should be noted in the performance evaluation, even if at the time of the evaluation the corrective action has been deactivated.