

Policy: Corrective Action and Work Expectations	Policy No: I-6.6
Policy Owner(s): Human Resources	Original Date: 1/1/2003
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- I. **POLICY:** This policy is to set out expectations for staff employees intended to promote the mission of John Carroll University (JCU) while providing employees with a positive corrective action process that includes notice and an opportunity to improve, when appropriate, regarding unacceptable attendance, performance and/or behavior.
- II. **PURPOSE:** To encourage employee’s employment and professional success by setting reasonable expectations regarding attendance, performance and behavior while establishing a process for the consistent treatment of all employees through the corrective action process.
- III. **SCOPE:** All staff employees of John Carroll University.
- IV. **RESPONSIBLE PARTIES:**
 - A. **Employees:**
 - a. It is the duty and the responsibility of every University employee to be aware of and to abide by existing University policies and work rules.
 - b. It also is the responsibility of employees to perform their duties to the best of their ability and consistent with the standards set forth in their job descriptions or as otherwise established by their supervisor and/or department. Employees are encouraged to take advantage of appropriate and approved job-related instruction, training and learning opportunities available and to request additional instruction when needed.
 - B. **Supervisors:**
 - a. A supervisor of an employee has the authority, in the interest of the University, to assign employees work duties, direct an employee in the performance of tasks, and correct employees among other leadership responsibilities. University supervisors

may have a variety of titles, including manager, chair, director, or vice president.

- b. The immediate supervisor should approach corrective measures in an objective manner.
 - c. If the employee's performance of assigned task is the issue, the supervisor should confirm that proper instructions, appropriate orientation and adequate training have been provided and that the employee is aware of job expectations. Supervisors should identify both single incidents and patterns of poor performance.
 - d. If misconduct is the issue, the supervisor should take steps to ensure that the employee is aware of the University's policies and expectations regarding employee conduct.
 - e. If, in either case, appropriate instruction or information was not communicated to the employee, the supervisor should promptly develop a plan for delivering such instruction or information and should review the content with the employee.
- C. In general, the University attempts to address misconduct or unsatisfactory performance on the part of employee through progressive discipline, up to and including termination of employment, depending on the circumstances of any particular case.
- D. The University reserves the right to take more serious corrective action including termination without going through prior corrective action whenever circumstances warrant. The decision to use or not to use any one of the corrective action levels is solely within the discretion of the University.
- E. Nothing in this policy is intended to modify the at-will nature of employment as described in the University's At-Will Employment policy.
- F. The University may place an employee on administrative leave, with or without pay, pending an investigation into potential misconduct or unsatisfactory performance.
- G. Recommendations for administrative leave, suspension, final written warning, and termination must be reviewed and approved by Human Resources prior to administering.
- H. Corrective action is not necessarily a consecutive process, and corrective actions can be imposed at any level without prior lesser corrective action. In determining the appropriate corrective action, the

University will consider the nature and seriousness of the behavior or performance, the circumstances of the situation, any prior corrective action, and other appropriate factors. The University may apply one or more of the following levels of correction actions, at its discretion.

1. Documented verbal warning: A verbal warning occurs when a supervisor verbally counsels an employee about an issue of concern. A written record of the discussion is created by the supervisor, typically noting the date of the conversation, the facts of the performance concern, the expectations of job performance and improvement that was discussed with the employee. The verbal warning documentation is placed in the employee's personnel file for future reference.
2. Written warning: A written warning is issued when behavior or performance does not meet expectations or is a violation of policy, or if a documented verbal warning has been issued and has not helped improve unsatisfactory behavior or performance. Normally this is communicated through the supervisor filling out a corrective action form and delivering it to the employee.
3. Final written warning: A written warning is issued when behavior or performance occurs that a supervisor and/or the University considers more serious in nature or is significant violation of policy, or when a previous written warning has not helped improve unsatisfactory behavior or performance. The final written warning indicates to the employee that immediate improvement is required to avoid more serious employment actions such as termination. Normally this is communicated through the supervisor filling out a corrective action form and delivering it to the employee.
4. Suspension: A suspension is issued when behavior or performance occurs that a supervisor and/or the University considers more serious in nature or is a significant violation of policy, or when a previous written warning has not helped improve unsatisfactory behavior or performance, and a suspension from employment is deemed an appropriate in light of the behavior or performance concern. Suspensions typically are without pay and are only issued in limited circumstances. Recommendations for suspension must be reviewed and approved by Human Resources prior to administering.
5. Termination: Termination occurs when behavior or performance concerns support the need for ending the employment relationship with the University. Recommendations for termination must be reviewed and approved by Human Resources prior to administering.

- I. Any corrective action for a verbal or written warning which occurs less than one year after a previous corrective action will generally be progressive in nature (i.e. the next step of corrective action), but the specific discipline issued in any case will depend upon the totality of the facts and circumstances, including the severity of the performance issue or violation of University policy.
- J. Corrective actions that occurred more than two years prior will not be considered in matters relating to the employee's standing with the University and eligibility for promotion or transfer.
- K. Records of corrective actions will be maintained in the employee's file and are considered as part of an employment history.
- L. Employees who feel that the corrective action issued to them is unjustified, not consistent with University policy or practice, or in which all facts have not been considered, can seek an appeal as provided in the Appeals (name TBD) policy.

V. WORK EXPECTATIONS, PERFORMANCE AND BEHAVIOR:

- A. While it is impossible to identify every possible type of misconduct that may result in corrective action, this section sets out examples of work expectations that, if violated, would constitute unacceptable or unsatisfactory attendance, performance and behavior.
- B. The University may impose corrective action for other unacceptable performance or behavioral issues. These include, but are not limited to, behavior that is harmful to students, visitors and employees or is otherwise detrimental to the mission and effective operations of John Carroll University.
- C. In addition to the expectations listed below, the University has established policies that set conduct and procedural expectations. Employees are expected to comply with these policies. In addition, the following work expectations are expected of all John Carroll employees:
 - 1. Attendance: Report to work as scheduled and on time. Provide advance notice and receive appropriate approvals from your supervisor should you need to leave early or arrive late. Follow established and expected call off procedures. Record electronic time sheets or leave reports accurately and timely. Work scheduled overtime when scheduled or when required.
 - 2. Follow supervisory instructions and perform job duties or tasks properly, completely or within established deadlines.

3. Utilize your work time appropriately to complete your duties and responsibilities and conduct personal business outside of your work time.
4. Follow expected health and safety measures and do not engage in conduct that results in harm, damage, endangering, or destruction to life or property.
5. Follow the provisions of the Tobacco Free Campus Policy.
6. Act professionally and use appropriate language, and avoid using obscenities or making verbal or written statements of a defamatory nature in the work setting or that is offensive to or demeaning of members of the University community or visitors.
7. Maintain the highest integrity and ethical standards consistent with the University's Code of Ethics, and be truthful and accurate on University documents, information technology/computer records, employment applications, authorizations, records, or reports, including time records.
8. Do not misrepresent or misuse authority.
9. Safeguard University property, purchasing credit cards, or money by following appropriate control procedures and not misappropriating University property or funds. (Actual or attempted theft, embezzlement, fraud, or dishonesty, including unauthorized use of University funds will be managed in collaboration with University police and will likely result in termination.)
10. University computing resources are for work purposes and University computing rules and policies must be followed to protect data and systems of the University.
11. Disclose conflicts of interest and comply with University requirements for management of a conflict of interest, consistent with applicable University policies.
12. Follow all University and departmental policies or rules.
13. Comply with the procedures and expectations of the non-discrimination and non-harassment and bias-related incident policies and the workplace violence policies, including completing duties as a mandatory reporter.

14. Safeguard and disclose only in appropriate instances confidential information, including student, employee or University confidential information and secure sensitive data.
15. In both University work and off-work behavior, protect the reputation, operations, and security of the University. Do not engage in indecent, disorderly or disruptive conduct or immoral behavior that would impact University operations or reputation while identified as a University employee.
16. Maintain professional interpersonal relationships with co-workers, supervisors, students, or any member of the University community and follow reporting expectations and management plans of the Consensual Relationships policy in cases of authorized romantic or intimate relationships.
17. Follow the expectations of the University Drug and Alcohol Abuse Prevention Policy and do not report to or engage in University-related work while intoxicated from alcohol or under the influence illegal drugs, or when consumption of alcohol or illegal drugs on campus or in a University-sponsored event could jeopardize the well-being or reputation of the University. The possession or sale of illegal drugs on University property is strictly prohibited and will likely result in termination.
18. Comply with the University Firearms and Other Weapons Policy. Possession of a firearm (including a concealed handgun), weapon, ammunition, or any instrument, device or substance designed, intended, or used to inflict harm upon persons or property, on property owned or leased by the University, or at University-sponsored activities or events is prohibited and will likely result in termination, except for the limited required exceptions applicable to universities under state firearms laws. These exceptions include but are not limited to:
 - 1). Proper storage of a handgun in a locked motor vehicle by a concealed carry holder under applicable law; or
 - 2). Possession of a firearm by law enforcement officers in the course of their duties or approved by the John Carroll University Chief of Police.
19. Do not engage in conduct which reason, morals, or common sense indicates to be wrong and not in the best interests of the University.

VI. CROSS REFERENCE:

- A. At-Will Employment Policy
- B. Code of Ethical Behavior Policy
- C. Conflict of Interest Policy
- D. Drug-Free Workplace Policy
- E. Hiring Policy
- F. Substance Abuse Policy
- G. Workplace Harassment Policy
- H. Firearms and other Weapons

VII. ATTACHMENTS

- A. Corrective Action Report
- B. Instructions for using Corrective Action Report