



Corrective Action Guidelines

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Our Mission

We deliver quality, affordable transit services that link people, jobs, and communities.

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Different violations may be counted in combination to determine the appropriate corrective action. Rule violations and other infractions including requests of management that are not specifically listed are subject to corrective action.

The corrective action will be determined based on:

- A twelve (12) month period for all non-safety violations, and
- A twenty-four (24) month period for all safety violations prior to the date of the most recent violation unless otherwise stated in the guidelines.

Probationary Period

All new employees of the Authority will be on probationary status for a specified length of time, as follows:

- Employees who are represented by Locals 241 and 308, Amalgamated Transit Union, are on a probationary status for their first five (5) calendar months (20 weeks) of employment with the Chicago Transit Authority.
- Employees who are represented by unions other than the Amalgamated Transit Union are on a probationary status for their first ninety (90) working days of employment with the Chicago Transit Authority.

During the probationary period, CTA management will consider whether or not continued employment with the Authority is beneficial to the employee and the CTA.

Employees will be evaluated on their compliance with the Authority rules, policies and procedures, and overall job performance. Any of the following entries during the applicable probationary period will result in termination. The decision to terminate employment will be based on the employee's performance and will be made without exception and without regard to the reason for the rule violation or unexcused absence.

- Any suspension for any violation of company rules (for operating personnel, accidents will be handled on a case by case basis)
- Any three (3) instances of rule violations
- Any instance of absence without leave (A.W.O.L.)
- Any three (3) instances in combination of misses, tardies, or other unexcused absences.

Corrective Actions Defined

Caution and Instruct. The supervisor/manager discusses with the employee the rule, policy or procedure the employee allegedly violated. The supervisor/ manager states how the employee violated the rule, policy or procedure, and records the employee's explanation. The supervisor/ manager may further investigate, in light of the employee's explanation, before taking corrective action. The supervisor/manager tells the employee that any reoccurrence will result in further and more severe corrective action.

Written Warning. The supervisor/manager discusses with the employee the rule, policy or procedure the employee allegedly violated and asks the employee for his/her explanation. The supervisor/manager reinstructs the employee on pertinent rules, job duties, and responsibilities. The supervisor/manager tells the employee that another violation will result in further and more severe corrective action.

Final Written Warning. The supervisor/manager informs the employee that in spite of previously being warned and receiving any necessary instruction and/or retraining (if applicable), the employee continues to be in violation of the rule, policy or procedure and thus his or her job performance or work behavior fails to meet acceptable standards. In addition to the Final Written Warning, the supervisor/ manager gives the employee a one (1) day suspension without pay to reinforce the seriousness of the matter. The supervisor/manager tells the employee that another violation will warrant more severe corrective action.

Corrective Case Interview/Probation.

The Corrective Case Interview (CCI) is the final step before a recommendation for discharge. In the Corrective Case Interview:

1. The supervisor/manager cites the incident/rule violation(s) triggering this corrective action.
2. The supervisor/manager reviews the employee's work record for prior corrective action taken in the previous 12 months for the particular performance category (24 months for violations in the Safety performance category).
3. The employee writes his or her view of the problem and explains how he or she feels it can be corrected.
4. The supervisor/manager reviews with the employee the relevant rules, policies, job duties, and responsibilities and tells the employee that he or she must make immediate and sustained improvement to avoid a recommendation for discharge.
5. The supervisor/manager will prepare an action plan that includes placing the employee on a six (6) to twelve (12) month probationary period. The plan will contain specific, explicit terms and conditions for improved performance.

Corrective Actions Defined *(continued)*

At the time of the Corrective Case Interview, the supervisor/manager will give the employee a three (3) day suspension without pay. The suspension is intended to further underscore the seriousness of the situation. A probation period cannot be extended or repeated. The employee is subject to a recommendation for discharge should he or she violate the probation agreement, **even if** prior discipline falls off the employee's work record during the probation period.

Referral to General Manager with a Recommendation for Discharge.

The supervisor/manager will refer the employee to his or her General Manager when:

- The employee has committed an additional violation for which additional corrective action is warranted, or
- The employee has had the benefit of probation and/or violated the express terms and conditions of probation, or
- The employee is involved in an extremely serious violation or complaint warranting accelerated corrective action.

Last Chance Agreement (Optional). Except in cases where an employee is involved in certain drug/alcohol cases, the General Manager will determine whether or not to discharge the employee pursuant to the recommendation memo. The General Manager may decide mitigating or extenuating factors are present which justify corrective action other than executing the discharge.

In a case where the General Manager determines not to discharge the employee even though cause exists, the employee may enter into a "Last Chance Agreement". This agreement will state the specific violation that will result in a discharge being approved and executed and the time period for which the agreement remains in effect. If during the Last Chance Agreement, any corrective action with a time limitation is scheduled to "fall off", the corrective action will not expire. If the employee declines the Last Chance Agreement, the General Manager will proceed with the discharge recommendation.

Excessive Absenteeism

The CTA has a right to expect that employees will come to work. Corrective action is taken even if, through no fault of his or her own, the employee is frequently absent from work.

Entries for excessive absenteeism will include all unapproved or unexcused absences, except AWOL and missed assignments, such as:

- Unexcused absence
- Failure to report
- Late report
- Sick (non-FMLA)
- "SNIPES" or Unapproved early departure
- Other time off (not paid for by contract)

Absences covered by FMLA protection are not subject to disciplinary action; however, underlying rule violations may still be subject to disciplinary action.

All FMLA rules and procedures must be followed.

Step 1: *Two (2) entries*

First interview: Written Warning

Step 2: *Four (4) entries*

Second interview: Final Written Warning and One (1) Day Suspension

Step 3: *Six (6) entries*

Third interview: Corrective Case Interview and Three (3) Day Suspension/Probation

Step 4: *Seven (7) entries*

Fourth interview: Referral to General Manager with a Recommendation for Discharge

Absent Without Leave (AWOL)

An employee is considered AWOL if the employee is scheduled to work and fails to **personally contact his or her immediate supervisor/manager no later than two hours after the scheduled report time.** (Fulfillment of the requirement to contact the work location does not necessarily excuse the absence).

For **ATU 241 and 308 bargaining unit employees**, an employee is considered AWOL if the employee is scheduled to work and fails to **personally contact his or her immediate supervisor (or designee) by the end of his/her scheduled work day.** (Fulfillment of the requirement to contact the work location does not necessarily excuse the absence).

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|---------------------|--|
| 1st Offense: | Final Written Warning and Corrective Case Interview;
Three (3) Day Suspension/Probation |
| 2nd Offense: | Referral to General Manager with a Recommendation for Discharge |

Missed Assignment

Any employee who has a time sensitive schedule and fails to report at his or her starting time will be charged with a "MISS." Employees who report that they will be late, but who fail to report to work within two hours of contacting his or her immediate supervisor/manager, will be considered "AWOL."

Employees with the classifications listed below are considered to have time sensitive schedules:

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|---|--|
| • Bus Operator | • Customer Assistant/Part-Time Customer Assistant |
| • Part-Time Bus Operator | • Switchman |
| • Special Part-Time Bus Operator | • Towerman |
| • Combined Rail Operator | • Rail Janitor |
| • Motor Operator/Rapid Transit Operator | • Rail Station Clerk/Bus Station Clerk/Universal Clerk |
| • Part-Time Rail Operator (Motor Operator, Flagman, Rapid Transit Operator) | • Controller |

- | | |
|---------------------------------|---|
| 1st Incident: | Written Warning |
| 2nd Incident: | Final Written Warning and One (1) Day Suspension |
| 3rd Incident: | Corrective Case Interview/Probation and Three (3) Day Suspension/Probation |
| 4th Incident: | Referral to General Manager with a Recommendation for Discharge |

Safety Violation (24 Month Period of Review)

Violation of CTA's rules, policies and procedures related to safety are cause for discipline. Because CTA has a primary duty and responsibility for the safety of customers, employees, and the public, any safety violation may result in accelerated discipline up to and including discharge.

Employees have the responsibility to notify their supervisor/manager of any change in their medical condition that may affect their ability to perform their responsibilities in a safe and alert manner. Failure to provide said notification may result in accelerated discipline.

1st Offense:	Written Warning
2nd Offense:	Final Written Warning and One (1) Day Suspension/Probation
3rd Offense:	Corrective Case Interview/Probation and Three (3) Day Suspension
4th Offense:	Referral to General Manager with a Recommendation for Discharge

The following are examples of safety violations:

- Failure to honor persons on or near the tracks; failure to remove trip and flagging motorman over it; passing a flagman's trip or a signal set at danger; splitting a switch
- Failure to have vehicle under control; failure to remain alert; inattention to duty
- Operating violations (e.g., failure to curb, yield the right-of-way or clear intersection; improper turn; second lane operation; driving with one hand; failure to stand as required while operating; unauthorized passing a scheduled station stop; allowing unauthorized person in the motorcab; failure to observe platform; failure to hook safety chains/springs; working out of position; improper berthing of vehicle).
- Rough operation
- Operating above the allowed speed or too fast for conditions
- Operating doors while vehicle is in motion or at an unsafe location
- Improper headlight/marker lights operation
- Pulled fuel nozzle
- Unauthorized use of portable electronic audio/video/communication devices while on duty
- Unauthorized parking
- Poor work performance affecting the public or employee safety
- Giving or accepting an incorrect routing; unauthorized operation of a tower or train
- Failure to report unsafe working conditions
- Failure to notify proper authority of accidents or unsafe acts

Safety Violation *(continued)*

- Failure to report defective equipment
- Failure to use personal protective equipment
- Unsafe stop
- Violation of CTA safety rules and procedures

Note: The listing of any specific act as a safety violation does not preclude that violation being considered for accelerated discipline where warranted by the circumstances.

The following are examples of safety violations which may warrant accelerated discipline:

- Derailments
- Allowing an unauthorized person to operate train, bus or other CTA equipment
- Allowing work in an improperly setup slow zone
- Failure to follow confined space procedures
- Overrunning a flagmen's stop signal/trip
- Failure to honor hand signals
- Passing person(s) on track at excessive speed
- Failure to stop at railway crossings
- Crossing railway tracks with down gates
- Failure to stop at red light
- Failure to stop at stop signs
- Unauthorized operation of train without signal protection
- Improper backing up of a train
- Operating on R6.4 without authorization
- Unauthorized use of by-pass
- Opening side doors when doors are on opposite side of platform or on wrong side of train
- Operating a switch under a train
- Split switch
- Violating lock out/tag out procedures
- Failure to report use of over-the-counter or prescription medication that has an adverse effect on the employee's ability to perform his or her duties in an acceptable and responsible manner
- Knowingly directing or allowing employees or agents to violate CTA safety rules and procedures

Procedural/Performance Violations

Violation of CTA's rules, policies and procedures related to Procedural/Performance violations are cause for discipline.

1st Incident: Caution and Instruct

2nd Incident: Written Warning

3rd Incident: Final Written Warning and One (1) Day Suspension/Probation

4th Incident: Corrective Case Interview/Probation and Three (3) Day Suspension

5th Incident: Referral to General Manager with a Recommendation for Discharge

The following are examples of procedural/performance violations:

- CTA identification card, valid driver's license are not in employee's possession while on duty
- Failure to give correct information to customers
- Failure to close windows and doors
- Failure to maintain equipment
- Improper use of portable radio or monitor
- Unnecessary conversation while on duty
- Out of assigned work area
- Wrong destination signs displayed
- Wrong run number displayed
- Failure to submit daily reports; incomplete transfer envelopes or other required reports; incomplete daily report; not turning in daily report or transfers in person

Note: The listing of a specific act as a procedural/performance violation does not preclude that violation being considered for accelerated discipline where warranted by the circumstances.

The following are examples of procedural/performance violations that may warrant accelerated discipline:

- Failure to maintain valid certifications
- Abuse of company time
- Exchanging work assignment or duties without authorization
- Failure to maintain schedule
- Reporting to job site late
- Leaving assigned work location without proper relief or authorization
- Making a late relief
- Deliberate delay to service
- Failure to program and activate on-board systems
- Refusing to give correct information to customers
- Failure to call out stops where required

Procedural/Performance Violations *(continued)*

- Unauthorized switchback
- Poor work performance
- Passing up a disabled customer
- Failure to complete 10-43 Notification Slip (known as Rider Destination Slip-RDS)
- RTO's failure to receive (wait) for RDS
- Failure to notify Customer Assistant (CA) of impending arrival of 10-43
- C/PC's failure to notify CA of impending arrival of 10-43
- Failure to deploy the gap filler
- CA failure to deploy (or be in a position to deploy) gap filler after notification by C/PC
- Operator's failure to deploy gap filler when CA is unavailable or unnecessary delay due to same
- Failure to deploy the lift/ramp when requested
- Deploying a lift in a curb cut or in another inappropriate location
- Failure to report a broken lift
- Failure to deploy a working bus stop audio-visual display
- Failure to program and activate automatic vehicle announcing system and public information systems
- Failure to report broken automatic vehicle announcing system when person has actual knowledge that the equipment is broken
- Failure to update Elevator Status Board
- Failure to check for elevator status at alternate station when providing alternative routing
- Failure to report a broken elevator when person has actual knowledge that the elevator is broken
- Touching a customer, a customer's assistive device or service animal without the permission of the customer except in an emergency
- Failure to: follow instructions or respond to discipline list; maintain proper security for CTA equipment and property; make a put-out or lay-up; make trips as scheduled; register fares; register fares properly; supply CTA with current address or telephone number where employee can be reached; turn in lost articles
- Unauthorized use of a private vehicle while on duty
- Failure to maintain proper insurance when using privately owned vehicles on company business
- Unauthorized parking of a private vehicle on Authority property

Behavioral Violations/Gross Misconduct

Certain violations such as theft, fighting, possession of a weapon, insubordination (i.e., refusing to follow a direct order from supervisory, managerial or executive personnel) will result in referral to the General Manager with a Recommendation for Discharge.

Other behavioral-type violations such as, but not limited to, a verbal altercation with a customer or fellow employee, insolence or disrespect to management, leaving assigned work location without permission, refusing a work assignment, may also warrant accelerated discipline depending on any aggravating circumstances.

1st Offense:	Final Written Warning and One (1) Day Suspension
2nd Offense:	Corrective Case Interview/Probation and Three (3) Day Suspension/Probation
3rd Offense:	Referral to General Manager with a Recommendation for Discharge

The following are examples of behavioral violations:

- Failure to follow American Disability Act (ADA) procedures and policies
- Inattention to duty
- Disrespect to supervisory personnel, co-workers, or the public
- Insolence or disrespect to supervisory, managerial, or executive personnel
- Urinating and/or defecating on or around transit vehicles, Authority property, or in any place other than a restroom
- Unauthorized eating, drinking, or smoking
- Use of obscene or profane language on duty or on CTA property

Note: The listing of a specific act as a gross misconduct/behavioral violation does not preclude that violation being considered for accelerated discipline where warranted by the circumstances.

The following are examples of behavioral violations that may warrant accelerated discipline:

- Failure to keep driver's license status current as required
- Failure to notify CTA on restricted driver's license status
- Promoting or inducing an illegal work stoppage or work slowdown
- Exchanging work assignment or duties without authorization
- Leaving assigned work location (condition dependent)
- Making untrue, dishonest or misleading reports (falsification)
- Insubordination (failing to obey a direct order from supervisory, managerial or executive personnel)

Behavioral Violations/Gross Misconduct *(continued)*

- Failure to follow fare collection policies
- Unauthorized adjustment to or tampering with fare collection or fare registration equipment
- Allowing another person to use employee's personal pass to ride bus or train
- Damage to CTA property or that of other employees
- Unauthorized adjustment to, tampering with, or sabotage to equipment or property
- Wrongful appropriation of money, goods or other items from CTA, CTA employees or customers
- Violating CTA security policies
- Unauthorized use or possession of any type of firearm or other weapon while on duty, on Authority property, or at any other time while in uniform
- Verbal or physical altercation/fighting with a fellow employee, customer, or other person(s) on CTA property
- Harassment of fellow employees or customers
- Stealing from CTA, customers or employees
- Possession or use of intoxicating liquor, controlled substances, or narcotics when reporting for duty, while on duty or having either substance in his or her system while on duty, on CTA property, or in CTA required uniform
- Failure to submit to a breathalyzer and urinalysis test when ordered to do so by the Authority (CTA)

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