

PRIOR TO DISCIPLINARY ACTION
(CHECK LIST)

ASK YOURSELF -

- Do I have all the facts? Was there a thorough investigation of the incident?
- Do I have direct evidence (facts) or am I basically dealing with others' opinions?
- What other people are involved, directly or indirectly? Are there eyewitnesses?
- Am I certain I have the complete picture of what happened?
- Have I talked to the employee in private?
- Did I give the employee a fair chance to present his/her side of the situation?
- What is the employee's overall record - Is there a record of previous infractions of a similar nature? Record of steps, or actions taken?
- Are similar records or files kept and similar steps taken to correct the behavior or improper actions of all employees on a consistent basis?
- To what extent was the employee familiar with the rules and regulations? Should the employee have been expected to know? Was the rule posted, published or otherwise made available to the employee?
- Did the employee have fair warning of the possible consequences of the action?
- Are there any unusual circumstances that must be considered in this case?
- To what extent has this rule been enforced in the past?
- Is the action I am considering consistent with that applied in prior situations?
- Is the action appropriate?
- What impact might the action have?
- Am I handling this in a fair and impartial way?
- Am I prepared to explain what my action is necessary?
- Will the action prevent a recurrence of the employee's behavior in the future?

DOCUMENTATION

GENERAL GUIDELINES FOR EMPLOYEE FILES

1. Do not wait for problems to develop. Documentation should be an on-going practice.
2. Document the performance of all employees. Do not keep records on just women and minorities.
3. Avoid "building a file" in order to terminate/discipline an employee.
4. Documentation should be objective, factual, specific and behavioral.
5. Avoid references to an employee's character, personal values, appearance, personal taste or attitude.
6. Avoid including your own "opinion" in the documentation.
7. Documentation should accurately reflect the events being documented.
8. Document both good and bad performance and/or work related behavior.
9. Support all documentation with specific examples or samples of work.
10. Documentation should be consistent.
11. Document occurrences in a timely manner.
12. Make file accessible, but confidential (accessible to only the employee and possibly your supervisor).
13. Review entire file or record prior to taking disciplinary action.
14. Remember, the real purpose of documentation is to provide back-up information to support your personnel actions.

(A sample copy of an "Employee File Notes" form, which is recommended for informal documentation purposes, follows this page.)

EMPLOYEE FILE NOTES

(COUNSELING - INCIDENT - PERFORMANCE NOTES)

Supervisor's Name

Employee's Name

Describe the Activity Observed and/or Discussed:

Date:

Supervisor's Signature

Employee's Signature*

* Employee's signature signifies discussion and knowledge of content only.
(Employee files should be maintained on ALL employees.)