

SUPERVISOR'S CHECKLIST

This checklist should be helpful in analyzing an employee problem and determining what corrective action might be appropriate. It is intended to help you remain objective in analyzing and administering corrective action. "No" answers may indicate that more information, further analysis, or non-disciplinary action may be required before you move to the next progressive step. You should answer all of the questions before you decide on a plan of action. Then consult your supervisor and/or Human Resources Administration.

I. Work Performance Problem

Yes No

- 1. Is the employee adequately performing the work assigned?
- 2. Does the employee understand your expectations:
 - A. What to do?
 - B. How to do it?
 - C. Why to do it?
 - D. When to do it?
- 3. Does the employee have access to and know where to find written instructions/procedures?
- 4. Has the employee ever demonstrated the skill?
- 5. Is it a skill the employee can be taught?
- 6. Based on experience/education, is it a skill the employee should possess?
- 7. Could the employee perform the skill if he or she wanted to?
- 8. Is the work expected reasonable?
- 9. Has the job changed?

II. Behavior Problem

Yes No

- 1. Is the employee's behavior appropriate/acceptable?
- 2. Does the employee understand acceptable behavior?
- 3. Has the behavior been acceptable in the past?

III. The Investigation

Yes No

- 1. Have you discussed this problem with the employee to get an explanation?
- 2. Do you understand the employee's explanation?
- 3. Have you conducted an objective investigation by approaching the problem from all angles?
- 4. Have you questioned the people involved including those mentioned by the employee?
- 5. Have you examined the physical evidence (e.g. time cards, vouchers, daily logs, equipment location)?
- 6. Do you know the basic facts (e.g. dates, times, places, people involved)?
- 7. Have you separated the disputed facts from the undisputed facts?
- 8. Have you checked university and departmental policy?
- 9. Have you consulted HRA?
- 10. Is there a past history of enforcing discipline for the same/similar offense?
- 11. Is the rule that has been violated a reasonable one?
- 12. Did the inappropriate performance/behavior result in cost to others?
- 13. Did the inappropriate performance/behavior result in danger to others?
- 14. Above all, have you documented your investigation in writing?

IV. Supervisor's Responsibility

The university depends on supervisors to communicate university policies and practices. Since you determine job tasks/duties, you must communicate job performance expectations and departmental work rules.

Yes No

- 1. Have you provided adequate training?
- 2. Can the employee function within the work group without using the deficient skill?
- 3. Do you reinforce acceptable behavior?
- 4. Has acceptable behavior been communicated with understanding to the employee?
- 5. Have you conducted a full and fair investigation as outlined in Section III?

V. The Employee

Before administering corrective action steps, be familiar with the answers to the following questions.

Yes No

- 1. Has the employee been employed a long time?
- 2. Is the employee's work record below the rest of the work group?
- 3. Did the employee know or should have known the rule or policy?
- 4. Should the employee have known your work expectations?
- 5. Is the employee personally guilty?
- 6. Has the employee been warned previously for violation of this rule?
- 7. If previously warned, did you communicate the consequences if the employee did not correct the problem?
- 8. Has it been less than a year since the most recent disciplinary action?

VI. Appropriate Corrective Action

Yes No

- 1. Have you defined the objective of the corrective action?
- 2. Have you checked university and departmental policy?
- 3. Have you imposed corrective action to fit the employee's past record?
- 4. Have you imposed corrective action that is progressive in nature and that fits the incident?
- 5. Have you considered any mitigating or aggravating circumstances which may affect the level of discipline?
- 6. Have you set a date to follow up with the employee?