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?