

Pre-Discipline Checklist

This document should be certified by you prior to considering disciplinary action. When your [Human Resources Consultant](#) receives your request for disciplinary action, these are items they will confirm. Knowing the answers to these questions will assist us in providing timely assistance for a defensible document.

- The employee was provided with clear job expectations.** (e.g. Go over job description, training, and goal setting)
- The issue was addressed with the employee at that time it occurred. The employee was advised of the possible consequences of further disciplinary action if the issue(s) continued.** If there has been a pattern of the same issues prior to the last performance review, were they noted on that document?
- A fully and fairly conducted fact finding into the circumstances regarding whether the employee violated the policy or rule was completed. I can substantiate that the investigation was fair and objective.** (e.g. I have written witness statements and have I discussed the statement with them. I have evidence to substantiate the findings. There is more than one complaint against the individual or an established pattern of issues with that person which have been previously addressed. If it is a "he said/she said" situation, I have identified why one witness is more credible over another.)
- There is a clear violation of a University or Department policy or rule and it was reasonably related to the orderly, efficient, and safe operation of the establishment.** Click or tap here to enter text. (List policy numbers and names and attach copies.)
- I have applied the policy or rule and the penalties even handedly to all employees. Ensure that the degree of discipline being proposed is reasonably related to the violation.** Your HR Consultant will also consider the level of discipline taken across the University for similar types of infractions.
- The employee has received prior lower level discipline and was given sufficient time to make improvements. If not, I've identified that the infraction was so egregious that disciplinary steps should be skipped.** If a disciplinary step was skipped, please articulate why. (e.g. safety issues, etc. Ultimately, ask yourself "Is the degree of discipline I am proposing reasonably related to the violation?")
- Advise your Human Resources Consultant about anything else he/she needs to know about.** (Did this employee recently make a complaint to management or file a claim e.g. whistleblower, EEOC complaint etc. Are there potential issues with the witness?)

Employee Name: _____ Employee ID: _____

I certify that the items above have been addressed and reviewed.

Signature (Supervisor/Manager)

Printed Name

Date

Recommendation by HR Consultant