

Attachment I

CHECKLIST FOR SUPERVISORS INVESTIGATING A GRIEVANCE/COMPLAINT OR  
CONTEMPLATING A DISCIPLINARY ACTION

Have you thoroughly reviewed this UPPS? Yes\_\_\_ No\_\_\_

Have you considered addressing the problem through Mediation Services? Yes\_\_\_ No\_\_\_

If no, why not?

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If yes, what was the outcome?

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Do you really know what happened? Do you have the facts? Have the facts been corroborated? Yes\_\_\_ No\_\_\_

Did you talk with everyone who has first hand information? Yes\_\_\_ No\_\_\_

Did you provide the employee with a chance to tell his or her side of the story? Yes\_\_\_ No\_\_\_

Did the employee's version of events differ from your own? Yes\_\_\_ No\_\_\_

If yes, how?

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If yes, what did you do to resolve the difference?

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Has the violation been adequately documented? Yes\_\_\_ No\_\_\_

Are you handling the incident as privately and confidentially as possible? Yes\_\_\_ No\_\_\_

Does the employee understand all the rules? Does the employee understand what you expect? Yes\_\_\_ No\_\_\_

Does the employee thoroughly understand the areas in which the employee is deficient? Yes\_\_\_ No\_\_\_

Is the violated rule published in writing? Yes\_\_\_ No\_\_\_

Did the employee have a copy? Yes\_\_\_ No\_\_\_

Was the rule stated clearly? Was it easy to understand? Yes\_\_\_ No\_\_\_

How long has the rule been in effect? \_\_\_\_\_

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How consistently has the rule been enforced?

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What has been done in similar cases?

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When others violated the rule, do you take the same action?

Yes\_\_\_ No\_\_\_

If no, why not?

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Is the employee being singled out?

Yes\_\_\_ No\_\_\_

Did the employee have a previous warning?

Yes\_\_\_ No\_\_\_

If yes, verbal or written?

Verbal\_\_\_ Written\_\_\_

If yes, when and what happened?

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What previous corrective action was taken with this employee?

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What is the employee's past record?

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What is the appropriate and justifiable discipline?

- \_\_\_\_\_ Oral reprimand
- \_\_\_\_\_ Written reprimand
- \_\_\_\_\_ Disciplinary Suspension Without Pay
- \_\_\_\_\_ Reduction in pay
- \_\_\_\_\_ Demotion
- \_\_\_\_\_ Discharge

Does the punishment fit the offense?

Yes\_\_\_ No\_\_\_

Will the measure taken encourage better performance?

Yes\_\_\_ No\_\_\_

If yes, what is the expected performance?

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If not, what can you do to encourage better performance?

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What effect will the measure have on the individual?

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What effect will the measure have on co-workers ?

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What problems could result if this type of violation continued?

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Can you explain to the employee why the discipline is appropriate? Yes\_\_\_ No\_\_\_

Have you discussed your contemplated action with:

Your supervisor?	Yes___ No___
Director of Human Resources?	Yes___ No___
Other appropriate individuals?	Yes___ No___

AT THIS POINT YOU SHOULD TAKE APPROPRIATE ACTION

See Sections 05 and 06 of this policy.

FOLLOW-UP ACTION

Have all actions been properly recorded? Yes\_\_\_ No\_\_\_

Has the measure had the desired effect? Yes\_\_\_ No\_\_\_

Is further disciplinary action necessary? Yes\_\_\_ No\_\_\_