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## Employee & Labor Relations

New Mexico State University

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**Supervisor’s Disciplinary Action Checklist**

This checklist is designed to help you remain objective in analyzing and administering progressive disciplinary action that is consistent with “just cause.” Prior to taking disciplinary action for a policy violation or for deficiencies in work performance, review the following checklist. “No” answers may indicate that more information, further analysis or non disciplinary action is required before moving to the next step in the disciplinary process. You should answer all questions before deciding on a plan of action; then consult Employee & Labor Relations in the Human Resource Services department.

**Policy or Procedure Violations**

1. Has the violated policy, procedure or rule been published?  yes  no
2. Does the employee have access to and know where to find the written

instructions regarding the policy, procedure or rule?  yes  no

1. Does the employee understand the policy, procedure or rule?  yes  no
2. Is the employee aware that violation of this policy, procedure or rule

is cause for disciplinary action?  yes  no

1. Is the rule or policy which has been violated reasonably related to the

orderly, efficient or safe operation of the department?  yes  no

1. Has the violation resulted in danger to self or others?  yes  no
2. Has the violation resulted in cost to NMSU?  yes  no
3. Has the employee received disciplinary action for this violation

in the past?  yes  no

**Performance Deficiencies**

1. Is the employee adequately performing the work assigned?  yes  no
2. Does the employee understand your expectations?  yes  no
   1. What to do?  yes  no
   2. How to do it?  yes  no
   3. Why to do it?  yes no
   4. When to do it?  yes  no
3. Based on experience or education, is it a skill the employee

should possess?  yes  no

1. Is it a skill the employee can be taught?  yes  no
2. Has the employee ever demonstrated the skill?  yes  no
3. Could the employee perform the skill if he/she wanted to?  yes  no
4. Have you provided adequate training to help the employee improve?  yes  no
5. Is the work expectation reasonable?  yes  no
6. Has the job changed?  yes  no
7. Has the employee displayed a pattern of this behavior/action?  yes  no
8. Have all employees in this area been held to the same standard?  yes  no
9. Has the performance deficiency been discussed with the employee

to clarify what is expected for the standard to be met?  yes  no

1. Was a performance improvement plan given to the employee?  yes  no

**Supervisors Responsibility**

1. Have I established clear expectations/standards and policies/procedures?  yes  no
2. Have I provided adequate training and resources to the employee?  yes  no
3. Have I given the employee an opportunity to fully tell his/her side

of the story?  yes  no

1. Have I investigated all other witnesses or sources of information?  yes  no
2. Have I made every possible effort to verify the information?  yes  no
3. Is the intended disciplinary action consistent with the principles

of progressive disciplinary action?  yes  no

1. Is the intended disciplinary action consistent with disciplinary action

previously taken against other employees for similar performance

deficiencies or violations of policy/procedure?  yes  no

1. Has each prior step in the progressive disciplinary process been

properly documented with factual, written records showing the steps

already taken to correct the employees conduct?  yes  no

1. Does the factual written record include names of witnesses, dates, time

and other facts related to past violations as well as the one in question?  yes  no

1. Is the degree of intended discipline reasonably related to the seriousness

of the offense and the employee’s prior record?  yes  no

***Employee & Labor Relations should be consulted prior to administering any disciplinary action beyond coaching/counseling or a verbal warning. Please contact them at (575) 646-2449 to schedule an appointment.***