

## Employee & Labor Relations

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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.***