



## CHECKLIST: ANALYZING DISCIPLINE PROBLEMS

- Seriousness of the Problem:** How severe is the issue or infraction?
- Time Span:** Have there been other, similar, discipline problems in the past by this employee and, if so, over how long of a time span?
- Frequency and Nature of Problems:** Is the current problem part of an emerging or continuing pattern of problematic behavior or disciplinary infractions?
- Policy/Rule Violated:** If a policy or rule was violated, was the rule (or supervisor's order) reasonably related to the employee's job and performance? Was every effort made to ensure that the employee did, in fact, violate the rule or management order?
- Employee's Work History:** How long has the employee worked for the organization without problems, and what has been the overall quality of job performance?
- Malice/Intent:** Did the employee commit the offense spontaneously as a matter of strong personal impulses, or is there evidence of premeditation?
- Extenuating Factors/Provocation:** Are there reasonable extenuating circumstances related to the problem such as provocation by another person?
- Degree of Orientation:** To what extent has management made an earlier effort to educate the problem employee about existing discipline rules or performance expectations, and the consequences for violations?
- Investigation:** Was the employer's investigation conducted fairly and objectively? Was the investigation completed fully before disciplinary action was taken and was there substantial evidence or proof of the employee's guilt?
- History of Organization's Discipline Practices:** How have similar infractions been dealt with in the past? Has there been consistency in the application of discipline procedures or are there unique conditions that would set this particular situation apart from others?

- ❑ **Implications on Other Employees:** What impact will this decision have on other employees in the work unit and/or organization - will it be seen as fair, reasonable, and just or discriminatory treatment?
- ❑ **Progressive Discipline:** Is the nature and severity of the problem appropriate to use progressive disciplinary measures as a means of trying to correct the problem? Do personnel policies require progressive discipline on all infractions.
- ❑ **Justification:** If the employee decides to take his or her case to higher management (or the courts), is there reasonable evidence (documentation) to justify the disciplinary/termination decision?

