



SUPERVISOR DISCIPLINE CHECKLIST

STEPS TO CONSIDER PRIOR TO ISSUING FORMAL USPS DISCIPLINE

Disclaimer: This is a general checklist for supervisors to utilize when considering appropriate discipline. Please note that it is not all-inclusive. Each case is unique, and all facts must be carefully considered and must be secured in order to discuss next steps with your local HRBC leader.

1. Have you checked the **employment status** of the employee (USPS) who has violated a university regulation or policy? This is a crucial step in deciding how to best move forward in addressing the misconduct.
 - a. NOTE: The [USPS Disciplinary Regulation 3.0191](#) applies to USPS employees with regular status. This does not apply to USPS probationary employees.
2. Prior to the incident of misconduct, did you communicate to the employee the work rules and procedures for the unit? For example, have you instructed the employee(s) on the appropriate departmental procedures for reporting an unscheduled absence (i.e., sick leave)? If you instructed the employee on the appropriate work procedures, please indicate those procedures in the reprimand document.
3. Consider which [University regulation](#) or [University policy](#) was violated. If so, what specific regulation or policy? You can implement discipline against an employee for “cause” with the intent of improving the misconduct. You do not formally reprimand employees because you **BELIEVE** they have engaged in misconduct.
4. Have you secured the necessary **EVIDENCE** that will be referenced in supporting formal discipline? For example, if there are witnesses to the incident, have you secured their written statements or interviewed them? Will witnesses be willing to support their statement? Have you interviewed the employee alleged of misconduct and received a response from them:
 - a. NOTE: Written statements should include the date/time the incident occurred, details of what they witnessed (who, what, where, when), date the statement was prepared as well as the witness’ signature.
5. To assess the appropriateness of the discipline, here are some things to consider:
 - a. Prepare a chronology of events.
 - b. Has documented counseling (i.e., memo of counsel) or formal discipline been issued to the employee?
 - c. Does the employee have a prior disciplinary record?
 - d. Based on the above, is discipline being considered at the appropriate level based on the severity and sanctions outlined in the disciplinary regulation?
 - e. NOTE: Please do not reference outdated discipline. For example, a USPS oral reprimand can be referenced if not older than one year; a written reprimand can be referenced if not older than two years.
6. Have you reviewed the employee’s act of misconduct with your leadership and your HR Business Center leader? It is recommended that you collaborate with your HR Business Center leader as this will allow you to secure clarification on questions you may have regarding the university regulations and policies associated with the conduct and the employee’s pay plan.
 - a. NOTE: When considering potential A&P (non-unit) discipline, please refer to [A&P Disciplinary Regulation 3.0124](#). Faculty concerns are overseen by the Office of Faculty Excellence who will triage the concern and provide you with the appropriate contact to assist.