

Suggested Checklist for Documenting Employees

Managers can use this checklist to document positive and negative actions and/or infractions by employees, regardless of the severity of the issue. Examples include when an employee's adverse action and/or infraction needs to be brought to their attention (i.e. violation of policy or procedure), has become repetitive, is serious enough to disrupt operations, and/or requires discipline or counseling. Using this checklist, managers can draft disciplinary documents, monitor concerns that may lead to or warrant progressive discipline, and maintain records that may aid in writing PDPs. At the same time, this checklist can be used to note exceptional performance by employees for recognition and/or inclusion in the PDP.

Important Dates

- _____ Current date
- _____ Date management gained knowledge of action/incident
- _____ Incident date and time
- _____ Date(s) discussed with employee
- _____ Date(s) management spoke with witness(s)
- _____ Date(s) of relevant disciplinary actions

Key Information

- _____ Employee Name (Title/Start Date/Status)
- _____ Witness name(s)
- _____ Summary & location of incident, include infraction and/or violation (policy/procedures, etc.)
- _____ Who and how incident reported
- _____ Employee's statement/reason for what occurred (if verbal, summarize; if written, attach)
- _____ Witness(s) statement/accounts of what occurred
- _____ Related disciplinary actions
- _____ Performance evaluations
- _____ Notes, follow-up emails addressing performance concerns
- _____ Effect/impact of employee's action(s) on business operations

Action Taken (all related documents should be saved in the supervisor's working file)

- _____ None
- _____ Performance Action Plan/PIP
- _____ Verbal Counseling
- _____ Written Counseling *
- _____ Verbal Reprimand **
- _____ Written Reprimand **
- _____ Suspension **
- _____ Loss of Leave **
- _____ Termination **
- _____ Submitted for recognition (Employee of the Month, etc.) *
- _____ Written action(s) signed by recipient employee, retained and originals forwarded to HRS

Maintaining Documentation

_____ Create unofficial/working file for each employee for copies of positive and negative documentation. Include customer service emails, notes, etc. and samples of the employee's work. Use the file to aid in the PDP.

*Items marked with asterisks must be signed in acknowledgment by the employee and should be forwarded to HRS, with copies retained in the employee's department.

**HRS should be consulted on disciplinary actions including verbal reprimands, written reprimands, loss of leave, suspensions, and terminations.

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