Douglas Factor Evaluation Checklist

Douglas Factor 1 - Seriousness of Offense
a. How does the charged conduct affect the agency's operations and/or mission?
b. Was the action intentional/deliberate or inadvertent? Explain.
c. Was it an isolated incident or was conduct repeated? Explain.
d. Did the employee gain anything from the conduct? What?

Douglas Factor 2 - Job Level and Type of Employment
a. Is the employee a supervisor/manager?
b. Does the person occupy a position of trust? How does the employee's charged conduct relate to his/her position of trust?
c. Does the employee occupy a position of prominence? Explain.

Douglas Factor 3 - Prior Misconduct
a. Does the employee have a prior disciplinary record? What for? When?
b. Is the prior discipline for similar conduct as the current charge(s)? Explain.
c. Is the discipline a matter of record?
d. Is it time-barred, i.e. reprimand over 1 year, contract article?
e. Is the prior discipline still being challenged? Explain.

Douglas Factor 4 - Employee’s Past Work Record
a. Length of service?
b. Prior work record? What do appraisals say?
c. Ability to get along with others?
d. Dependability?

Douglas Factor 5 - Erosion of Supervisory Confidence
a. Is there a loss of trust and confidence? Explain without vague conclusions.
b. How do job duties relate to a loss of trust and confidence?

Douglas Factor 6 - Consistency of Penalty
Is the penalty consistent with that imposed for other employees for similar charges? If not, why?

Douglas Factor 7 - Notoriety
b. Any complaints, concerns registered by customers, public, etc.?

Douglas Factor 8 - Notice of warning about conduct
a. Any counseling documented? Copies given to employee?
b. Any training involving charged violation?
c. Any general Standards of Conduct briefings? When?
d. Any letter of expectations provided to the employee about conduct?

Douglas Factor 9 - Potential for Rehabilitation
a. Early truthful admission?
b. Remorsefulness/contrition?
c. Getting assistance with the problem?
d. Reporting of Misconduct before investigation?

Douglas Factor 10 - Mitigating Circumstances
a. Personal Problems?
b. Emotional distress?
c. Medical condition?
d. Unusual Job tensions?
e. Malice or provocation by others?

Douglas Factor 11 - Effectiveness of a lesser sanction
a. If removal, why not lesser sanction?
b. Did you consider other alternative sanctions? If not, why? If so, why did you not mitigate?

I hereby certify that I have considered the eleven (11) factors as indicated above (with my initial next to each factor) in making my penalty determination.

Signature                                                                 Date