


City of Alpharetta Department of Public Safety

DPS 01-01 Rules, Regulations and Disciplinary Process			
Distribution: All Personnel	Date Issued: July 2004	Date Revised: July 18, 2024	Date Effective: July 18, 2024
Review Date: Annually			Authorized by: 

PURPOSE: The purpose of this policy is to establish parameters for and specific guidance regarding the standards of conduct embodied in the law enforcement officer’s code of ethics and the Alpharetta Department of Public Safety’s statement of values and mission, so that all personnel have a clear understanding of agency expectations pertaining to conduct and activities while both on and off duty.

POLICY: It is the policy of the Alpharetta Department of Public Safety that all personnel shall conduct themselves, both on and off duty, with the highest standards of professionalism, integrity, and ethical practices consistent with the values and mission established by this agency and the community we serve.

PHILOSOPHY: It is the philosophy of the Alpharetta Department of Public Safety that the purpose of discipline is generally to teach, not to punish. Our goal is to do what is right in any given situation. We believe that each member of our team comes to work with good intentions and a desire to contribute to the success of our mission. This belief will be used to guide our decisions when dealing with mistakes, poor decisions, and less than optimal performance. We will be generous in our interpretations of the actions of our team members, and we will always seek to apply the lowest effective corrective measure when dealing with performance and behavior issues. We believe that the goal of discipline is to produce a specific character in our people which is in line with our values.

Effective discipline is never personal in nature. This discipline policy exists to protect our organization and its personnel from danger, to help personnel develop self-control and self-discipline, to communicate a shared sense of responsibility, and to instill the values of our agency and also our community.

In implementing discipline, the Alpharetta Department of Public Safety endeavors to balance the interests of the community in having high-performing and ethical police officers and firefighters with the interests of employees to develop in a profession that involves a high degree of judgment. Accordingly, discipline must be stern enough (in situations where it is appropriate) to protect the public’s interests, but it must also be designed to develop officers, firefighters, and other personnel in making good judgments.

DEFINITIONS: **NEOGOV** - The term NEOGOV refers to the electronic system that is utilized to store and track employee performance information.

(Definitions, cont.)

NEOGOV is a web-based software accessed via the Employee Portal at <https://unified.neogov.com/>.

Coaching Session – The term coaching session refers to group activity between a mentor/supervisor and an employee to discuss performance, opportunities, short and long term goals, career development or issues of the employee privately.

Negligence – The term negligence, as defined by legal definition, refers to:

1. Duty to Act;
2. Breach of that Duty;
3. Causation;
4. Harm/Damages.

The term negligence as it is related to patient care would encompass:

1. Treatment outside of Scope of Practice as defined by Georgia Department of Health;
2. Treatment/Actions outside Alpharetta Department of Public Safety Medical Polices/Procedures (Examples include, but not limited to:
 - a. Failure to follow appropriate Clinical Care Guideline;
 - b. Administration of wrong medication or wrong dose of correct medication.)
3. Failure to accurately document proper treatment/assessment;
4. Any violation of state or federal medical policies/procedures;
5. Abandonment of patient; or
6. Any other act that could cause a negative outcome not covered in this policy.

PowerDMS – The term PowerDMS means the electronic Document Management System that is utilized to store and disseminate department written directives, as well as provide training, testing, and surveying of employees. PowerDMS is web-based software accessed via the internet at PowerDMS.com. Employee acknowledgement of department written directives can be accessed through the software.

Written Directive – A written directive means any written document that is used to guide or affect the performance or conduct of employees. The term includes policies, procedures, rules and regulations, and memoranda.

I. GENERAL PROCEDURES (DPS 01-01-01)

- A.** It is the intent of the Alpharetta Department of Public Safety to maintain high standards by handling disciplinary concerns at the lowest supervisory level and with the minimum effective corrective measure.
- B.** Any serious misconduct or wrongdoing may result in disciplinary action, up to and including termination from employment. Disciplinary action will result from:
- 1.** A violation of law, including:
 - a.** United States law;
 - b.** Georgia law; and
 - c.** City ordinances.
 - 2.** A violation of oath(s), rules, and policies, including:
 - a.** The oath of office;
 - b.** Department written directives/policies; and
 - c.** City of Alpharetta Employee Manual & Benefits Handbook.
- C.** For the purpose of this policy, there are specific categories which shall be classified by the agency as ‘waterline’ offenses. A ‘waterline’ offense is defined as any offense where there may be a question as to the agency's liability or those violations/incidents which may result in heightened community interest.
- 1.** Negligence or high-liability mistakes within the categories are classified as ‘waterline’ offenses. These categories include, but may not be limited to:
 - a.** Improper handling or negligence involving Emotionally Disturbed/Diminished Capacity;
 - b.** Property and Evidence;
 - c.** Handling of Citizen Complaints;
 - d.** Domestic Violence (failure to report);
 - e.** Transporting Prisoners;
 - f.** Vehicle Operations/Pursuits (Emergency Responses);
 - g.** Emergency Response without Due Regard;
 - h.** Use of Force;
 - i.** Bias Based Profiling;
 - j.** Sexual Harassment;
 - k.** Negligence, including that related to Patient Care;
 - l.** Falsification of Documentation;
 - m.** Insubordination on an emergency scene;
 - n.** Freelancing detrimental to incident outcome or personnel;
 - o.** Integrity;
 - p.** Acts or crimes of moral turpitude;
 - q.** Any action that would be considered in violation of Brady/Giglio; and/or,
 - r.** Any action that would violate the First Amendment (including the right to panhandle in public places).

2. Violations occurring in any of these categories will require a disciplinary action to be submitted.
- D.** Employees shall be advised in writing whenever their performance is deemed to be unsatisfactory. Written notification shall be provided to the employee in a timely manner.
- E.** Disciplinary action and appeals are conducted pursuant to the procedures outlined in the City of Alpharetta Employee Manual & Benefits Handbook – Problem Solving Procedure.
- F.** The department encourages supervisors to utilize a coaching session(s) in instances which the employee may benefit from a conversation prompting thinking and reflection.
1. Coaching sessions can create the opportunity to see things from a fresh perspective and can help develop the employee’s capabilities, make sense of their situation and make clear choices about what to do next.
 2. Coaching sessions are not considered a form of discipline and will not be documented.
- G.** Forms of discipline available for use are listed in Section 04-03-05 and include:
1. Counseling;
 2. Written Warning;
 3. Suspension;
 4. Demotion; and/or
 5. Termination.
- H.** Forms of discipline above a counseling session will be documented using the City of Alpharetta, Human Resources Department, Disciplinary Action Form (DAF); see References) and forwarded to the Chief of Public Safety, and to the Human Resources Department.
1. The DAF may be reviewed by Human Resources prior to presenting it to the employee.
 2. These records shall be maintained in the employee’s personnel file which is retained by Human Resources.
- I.** The Douglas Factors Evaluation Checklist (see page 11 of this order) should be utilized as stated below to assist supervisors in making disciplinary decisions.
1. The checklist shall be utilized in cases involving a loss of pay (i.e. suspension, demotion, or termination).
 2. It is highly recommended that the checklist be utilized in all other cases.
- J.** All forms of discipline will be documented in the NEOGOV system. Items to be noted in NEOGOV include:

1. Date and time of counseling;
 2. Brief description of the actions of the employee that led to the counseling;
 3. Agreed upon course of action between the supervisor and employee; and
 4. Any agreed upon date to follow-up on the employee's progress.
- K.** Disciplinary actions will not prevent an employee from participating in or applying for promotional or specialized assignments, units or positions unless specifically noted within the employee's disciplinary action(s). However, any disciplinary actions may be considered as part of the promotional or transfer process.
- L.** Agency policies and procedures and the City of Alpharetta Employee Manual & Benefits Handbook shall be made available to all personnel through PowerDMS or through the City's shared drive (SharePoint). Rules set forth in these policies are not to be considered all-inclusive (see City of Alpharetta Employee Manual & Benefits Handbook, Discipline Procedure). Updates are made to policies, procedures, and the City Employee Manual as appropriate. Employees are responsible to review and acknowledge these updates as specified in department order 01-27 (PowerDMS) or as directed.
- M.** Nothing stated in this policy alters the "at-will" status of employment, creates any contractual right to or property interest in employment, or creates any expectation of continued employment.

II. DETERMINATION OF APPROPRIATE DISCIPLINE (DPS 01-01-02)

- A.** Public Safety personnel require a considerable amount of on-the-job training to become proficient in their assigned duties and responsibilities. The success of an employment relationship is dependent upon the supervisor's ability to provide reasonable and clear expectations equitably and consistently for all employees, and to be able to respond appropriately when expectations are not met. We believe that, until an employee leaves our service, his or her success is our responsibility. We must always care for our personnel, work closely with those who are experiencing professional challenges, and be respectfully straightforward in building a trusting relationship.
- B.** In order to achieve the above principles, the agency shall use the "Douglas Factors" established by The Merit Systems Protection Board, after the case of Douglas vs. Veterans Administration, 5 M.S.P.R. 280 (1981), in cases involving a loss of pay (i.e. suspension, demotion, or termination). Supervisors may also choose to consider some of these factors in lesser forms of discipline. The Douglas Factors are:
1. The nature and seriousness of the offense and its relation to the employee's duties, position, and responsibilities. This includes whether the offense was intentional or inadvertent, or was committed maliciously or for gain, or has been frequently repeated;
 2. The employee's job level and type of employment and prominence of the position;
 3. The employee's past corrective action record;

4. The employee's past work record, including length of service, performance on the job, ability to get along with fellow workers, and dependability;
 5. The effect of the offense upon the employee's ability to perform at a satisfactory level and its effect upon supervisors' confidence in the employee's work ability to perform assigned duties;
 6. The consistency of the penalty with those imposed upon other employees for the same or similar offenses;
 7. The consistency of the penalty with any applicable agency table of penalties;
 8. The notoriety of the offense or its impact upon the reputation of the agency;
 9. The awareness of the employee that they were violating a rule or regulation, or had been previously warned about the conduct in question;
 10. The potential for the employee's rehabilitation;
 11. Any mitigating circumstances surrounding the offense such as unusual job tensions, personality problems, mental impairment, harassment, or bad faith, malice or provocation on the part of others involved in the matter; and
 12. The adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the employee or others.
 13. Not all factors will be pertinent in every case, and some factors may lean in support of a particular discipline while others do not. Determination of the appropriate discipline involves balancing the relevant factors in the individual case (see the Douglas Factors Evaluation Checklist on page 11 of this order).
- C. The circumstances for every incident will not be the same nor will the performance and position of an employee involved in an incident be the same.
1. Disciplinary action decisions will not be made arbitrarily or capriciously.
 2. Each incident will be carefully evaluated on a case-by-case basis to determine what type of discipline is appropriate for that incident and employee. Supervisors shall be understanding when considering mistakes that can be attributed to a lack of training or experience.
 3. Supervisors shall be swift and firm in handling situations involving malicious intent, illegal, and/or unethical behavior.

III. AUTHORITY TO DISCIPLINE (DPS 01-01-03)

- A. All discipline actions should, at a minimum, be discussed with the next supervisor in the chain of command. Supervisors should not make discipline decisions alone.
1. If a superior officer is unavailable, all attempts should be made to discuss discipline with another supervisor for a second opinion prior to executing.

2. If another supervisor is unavailable or a delay would be imprudent, take the necessary action.

B. Command and supervisory personnel may recommend any discipline when necessary.

1. Command and supervisory personnel have the authority to execute the disciplinary actions listed below. Execution of these actions shall require notification up the chain of command to the Division Captain.

- a. Verbal counseling;
- b. Written warning; and/or
- c. Emergency suspension with pay up to or until the next business day.

2. Command and supervisory personnel may only execute the following disciplinary actions upon approval from the Chief of Public Safety:

- a. Suspension (not emergency)
- b. Demotion
- c. Termination

C. The final agency disciplinary authority and responsibility rests with the Chief of Public Safety.

1. The Chief of Public Safety has the authority to counsel, reprimand, transfer, suspend, demote, or dismiss any employee from the Alpharetta Department of Public Safety.
2. This authority extends to the Police Majors, Fire Operations Chief, and 911 Director when operating in their areas of responsibility in emergency circumstances, or as designated by the Chief of Public Safety.

IV. ROLE OF THE SUPERVISOR (DPS 01-01-04)

A. Supervisors (whether at the sergeant level or higher ranks up to the Chief) are better positioned to understand challenges and personality traits of those employees under their command.

1. A direct supervisor will have the best opportunity to observe the appearance, attendance, performance, and conduct of his or her employees and to detect those instances when disciplinary actions are warranted.
2. These factors may assist the supervisor in determining the most effective methods of coaching or discipline for the employee.
3. Nevertheless, all supervisors are responsible to address unprofessional actions or issues when observed, regardless of the employee's chain of command.
 - a. Actions or issues that require an immediate response shall be addressed by the supervisor with a notification to the employee's direct supervisor immediately following.
 - b. Actions or issues that do not require an immediate response shall be reported to

the employee's direct supervisor for handling upon the supervisor's return to duty.

- B. Supervisors should begin employee discipline with counseling, except for those instances involving a blatant or serious breach of discipline. More serious disciplinary actions are required for repeated offenses. While these procedures may involve time consuming efforts, it is important that each employee be dealt with in a respectful and equitable manner.
- C. Discipline should be primarily focused on positive, progressive, constructive measures, to correct performance or behavior. A significant factor in any discipline is the response to corrective action by the employee. Employees who own their mistakes and make necessary corrections willingly generally require lower corrective actions. Employees who do not own their mistakes and who make excuses or blame others typically require more significant corrective actions.

V. FORMS OF DISCIPLINE (DPS 01-01-05)

- A. Subject to the authority parameters described in Section III, the following forms of discipline shall be available for a supervisor to use, at his or her discretion, to correct poor performance or unacceptable behavior:

1. Counseling;
2. Written Warning;
3. Suspension;
4. Demotion; and/or
5. Termination.

B. Counseling

1. This action documents a discussion between the supervisor and employee about minor forms of misbehavior, policy violation, or failure to meet expectations. Supervisors are authorized to and responsible for counseling employees concerning lack of performance or unacceptable behavior.
2. Sometimes, an employee's background circumstances, training, skills, or experience can impact work-related performance and behaviors. Therefore, counseling may involve personal matters.
3. Counseling may include identification of unacceptable behavior or action, affirming desired performance or behavior, and recommendations as to how to improve or correct the performance and providing resources (if applicable) to achieve results. Examples include, but are not limited to:
 - a. Training, if there is a deficiency in knowledge, skills, or ability;
 - b. A probationary period for the employee, to demonstrate understanding and

- improvement;
- c. Peer-to-peer counseling within the Department; or
- d. Although not disciplinary, outside counseling services (such as the Employee Assistance Program) may be used in addition to corrective steps if appropriate.

C. Written Warning

1. A written warning is used in response to conduct that a supervisor deems to be a more serious violation or in instances where a prior counseling has not resulted in satisfactory improvement in the employee's performance.
2. This action is typically the final warning issued before a suspension is imposed.
3. A copy of the written warning will be presented to the employee, who will be afforded the opportunity to respond to the facts pertaining to the written warning.
4. A written warning is the lowest form of acceptable discipline for violations of high-liability policies.

D. Suspension

1. This action results in a specific loss of time and pay to the employee.
2. During a suspension, an employee shall not conduct any official Department or City business, other than those functions they are directed to perform by a superior officer (e.g. court appearances or meetings with department personnel).
3. Employees are prohibited from working any extra-duty or off-duty employment while on suspension. If the employee is directed to perform departmental business during his/her suspension, they will be compensated for those hours worked in accordance with the United States Fair Labor Standards Act (FLSA).
4. The employee may be required to surrender departmental credentials and equipment during the suspension.
5. Lengths of suspension will be recommended by the employee's supervisor and the final decision made by the Chief of Public Safety.
6. Suspension for disciplinary reasons may include, but are not limited to:
 - a. For an employee who does not consistently meet expectation or demonstrate necessary competence as determined by the Chief of Public Safety;
 - b. Is a safety hazard to themselves or others;
 - c. Is insubordinate, uncooperative, or acts in a manner tending to lower the professionalism, discipline, or morale within the Department; or
 - d. Acts in a manner deemed to be not in the best interest of the Department, its mission, and values.
7. Suspension for pending investigations (administrative suspension with pay) may be used when the Chief of Public Safety or his designee determines such action is necessary and in the best interest of the Department and the City and/or while the Chief

of Public Safety, or his designee, investigates the allegations.

8. Before a disciplinary suspension becomes final, the employee shall be presented with a copy of the disciplinary suspension. The employee shall also be provided with an opportunity to meet with the Chief of Public Safety in order to respond as to the facts pertaining to the suspension and explain any mitigating circumstances or other considerations that may impact the level of discipline.
9. A statement regarding any decision to render an employee ineligible for promotion or transfer to a specialized unit must be included in the discipline action.

E. Demotion

1. A demotion is the involuntary reduction of rank/job classification of an employee to a lower rank/job classification within the Department for failure to meet the City's expectations for a position and/or violations of departmental policy, procedures and/or directives.
2. An employee may be subject to demotion when he or she does not perform the duties and responsibilities of their assignment or position at an expected and acceptable level of competence as determined by their superior officer and/or the Chief of Public Safety or their designee.
3. Before a disciplinary demotion becomes final, the employee shall be presented with a copy of the disciplinary demotion. The employee shall also be provided with an opportunity to meet with the Chief of Public Safety in order to respond as to the facts pertaining to the suspension and explain any mitigating circumstances or other considerations that may impact the level of discipline.
4. Unless otherwise specified in the corrective actions portion of the documentation (i.e. probation period or performance improvement plan), the employee will not be considered under disciplinary action for promotional or specialized unit assignment or position.

F. Termination

1. The Chief of Public Safety, or his designee, has the authority to terminate an employee.
2. Termination can occur when conduct or performance has not improved to an expected satisfactory level following counseling and/or other actions, or where the circumstances and severity of the offense warrant immediate termination.
3. Before a disciplinary termination becomes final, the employee shall be presented with a copy of the disciplinary termination. The employee shall also be provided with an opportunity to meet with the Chief of Public Safety, or his designee, in order to respond as to the facts pertaining to the suspension and explain any mitigating circumstances or other considerations that may impact the level of discipline.
4. The employee will be presented with a written copy of the termination which will also be placed into the employee's personnel file. This notice shall include:

- a. A written statement citing the reason for termination; and
 - b. The effective date of termination.
5. The employee shall also be provided with a statement of the status of accrued employee benefits after termination.
 6. All equipment, clothing, identification, etc. provided to the employee by the Department or the City of Alpharetta will be collected on the same day of termination and returned to the employee's immediate supervisor.
 7. The employee may contact the City's Human Resources Department directly for questions regarding continuation of benefits.

VI. CORRECTIVE ACTION (DPS 01-01-06)

- A. Employees who perform in an unacceptable manner or display a lack of understanding in a process or procedure may be placed on a Performance Improvement Plan (PIP) and/or may receive remedial training as a form(s) of corrective action.
- B. The purpose of a Performance Improvement Plan is to address frequently recurring deficiencies in the employee's actions, understanding and/or training.
 1. The PIP may be used independently of or in conjunction with remedial training.
 2. The PIP shall be implemented in accordance with any guidelines specified by the Human Resources Department.
 3. The PIP shall articulate an action plan including timeframes by which the employee's understanding and/or performance shall be measured.
- C. When an employee performs below expectations, the supervisor should first determine the employee's actual state of training and knowledge.
 1. If a disparity in knowledge or understanding exists in which training may be used as a function of positive discipline to overcome the problem, remedial training shall be recommended.
 2. Criteria used to determine the necessity of training as opposed to other forms of discipline include, but are not limited to:
 - a. Training in a particular area to improve knowledge, skills and abilities;
 - b. Ability of the employee to respond to retraining in specific areas; and
 - c. The employee's work performance evaluation or record, to include attendance, disciplinary actions, etc.
 3. When possible, supervisors should recommend or develop remedial training to provide the employee an opportunity to correct his or her behavior(s).

VII. DISCIPLINARY MEASURES INVOLVING PROBATIONARY PERSONNEL (DPS 01-01- 07)

- A. A probationary employee is an employee who is still within the ‘trial period’ of employment with the Department. While all employment is at-will, during probation, the employer evaluates whether an employee is able to meet its standards and expectations. The probationary period provides supervisors an opportunity to evaluate an employee's attendance, performance, and conduct, and if necessary, remove the employee. A probationary period provides the employer a longer time to evaluate the performance while providing the employee time to learn and grow.
- B. Probationary employees are expected to make mistakes as they adjust to their role in the organization; however, probationary employees are expected to put forth appropriate effort to learn the job, and mistakes will be closely monitored and documented during field training. Any failure of good behavior, wrongdoing, malfeasance, or unethical behavior by probationary employees will be addressed through appropriate corrective action. Probationary employees who demonstrate poor character, poor judgment, and/or an inability to perform to established standards of performance or conduct may be terminated.
- C. Employees in a probationary status do not have appeal rights to disciplinary action.

VIII. REFERENCES (DPS 01-01-08)

- Directives: 04-01 Code of Conduct and Ethics – Police
[City of Alpharetta Employee Manual & Benefits Handbook: Discipline Procedure](#) ***While specific, this list is not intended to be all-inclusive. The document will be reviewed and amended as necessary.***
City of Alpharetta Department of Human Resources, [Disciplinary Action Form](#)
- GACPSAP: N/A
- CALEA: 26.1.4; 26.1.5; 26.1.7; 26.1.8; 35.1.6



THE DOUGLAS FACTORS

Evaluation Checklist

(DPS 01-01 Rules, Regulations, Standards of Conduct and Disciplinary Process)

Below are 12 factors to take into consideration when proposing or deciding disciplinary actions for an employee. All factors should be considered; however, they are not all applicable in every situation. The questions below each factor are questions that should be considered when addressing the factor.

REVIEWER		DATE	
RANK OR POSITION			
EMPLOYEE NAME		EMPLOYEE OFFENSE	

FACTOR ONE: Nature and Seriousness of the Offense

- How does the charged conduct affect the agency's operations and/or mission?
- Was the action intentional, deliberate or inadvertent?
- Was this an isolated incident or was conduct repeated?
- Did the employee gain anything from the conduct and, if so, what?

FACTOR TWO: Job Level and Type of Employment

- Is there anything about this employee's position that makes their actions particularly more or less serious?
- Is the position held to a higher standard? (Supervisor or Fiduciary)
- Does the position have contact with the public?
- Is it a position of prominence?

FACTOR THREE: Prior Disciplinary Records

- Consider all discipline that occurred within the last five (5) years
- Is the prior discipline for similar conduct as the current charge(s)?
- Is the prior discipline still being challenged? Explain.

FACTOR FOUR: Employee's Past Work Record

- How long has the employee worked for the organization? (Lengthy years of service is considered a significant mitigating factor.)
- What were the employee’s last three performance evaluations? (Outstanding performance is a mitigating factor.)
- How does the employee get along with co-workers?
- Is the employee dependable?

FACTOR 5: Erosion of Supervisory Confidence

- How has the conduct affected the employee’s ability to perform assigned duties?
- How has the conduct affected your confidence in the employee’s ability to perform assigned duties?

FACTOR 6: Consistency of Penalty

- Is the penalty consistent with that imposed for other employees for similar charges?
- If this penalty differs, what about this situation warrants a different penalty?

FACTOR 7: Consistency of Penalty with Table of Penalties *(if applicable)*

The organization does not utilize a table of penalties.

FACTOR 8: Notoriety of the Offense or its Impact upon the Reputation of the Organization

- Is the general public aware of the conduct?
- How would public knowledge of this conduct affect the organization’s reputation?
(If the misconduct is widely known within the Agency and affects the overall accomplishment of the Agency’s duties and responsibilities, it can be used as an aggravating factor.)

FACTOR 9: Notice of Warning about Conduct

- What guidelines regarding this conduct were given to the employee?
- Were there any briefings and/or training provided to the employee involving the violation? If so, when did this occur?
- Was the employee counseled on or disciplined for on similar conduct in the past?
(Even when an employee is not on “formal notice” that possible disciplinary action could result from misconduct, an employee’s misconduct will not be excused if their “common sense should have forewarned” them.)

FACTOR 10: Potential for Rehabilitation

- Has the employee admitted early ownership of the offense or did they report the misconduct prior to the investigation?
- Has the employee responded positively or negatively to warnings and discipline in the past?
- Has the employee expressed remorse?
- Has the employee sought assistance with the problem? (This may include treatment for any medical condition that played a part in the offense.)

FACTOR 11: Mitigating Circumstances

These would include circumstances such as unusual job tensions, personality problems, mental impairments, harassment, or bad faith, malice or provocation on the part of others involved in the matter.

- List all possible mitigating factors including medical. (If misconduct is extremely serious or egregious, mitigating is not appropriate despite any medical condition. If the employee claims stress as a mitigating factor, he/she must explain or show how the misconduct was directly related to the stress.)

FACTOR 12: Effectiveness of a Lesser Sanction

- What other sanctions have been considered (i.e., letter of reprimand, change to lower grade, reassignment, etc.)?
- Why will no sanction that is less severe be effective to deter such conduct in the future?

I hereby certify that I have considered the twelve (12) Douglas factors as indicated above in making the following discipline recommendation:

Reviewer Signature: _____ Date: _____



Employee Disciplinary Action Process Checklist

Employee Name: _____

REQUIRED DOCUMENTATION

- Supervisor Memo Completed
- Incident/Accident Report (if applicable) Completed
- Any related Disciplinary Documentation (if applicable) Completed
- Video review conducted (if applicable) Completed N/A
- Douglas Factors Utilized Completed Not Required
- City Disciplinary Action Form (DAF) Completed Not Required

PROCESS ROUTING & APPROVAL

Initiating Supervisor Concur Disagree
 Name: _____ Badge #: _____ Date: _____

2nd Line Supervisor, if applicable Concur Disagree
 Name: _____ Badge #: _____ Date: _____

Section Manager (Captain; Battalion Chief; 911 Manager) Concur Disagree
 Name: _____ Badge #: _____ Date: _____

Division Manager (Major; Operations Chief) Concur Disagree
 Name: _____ Badge #: _____ Date: _____

Chief of Public Safety Concur Disagree
 Name: _____ Badge #: _____ Date: _____

Human Resources, if applicable Concur Disagree
 Name: _____ Badge #: _____ Date: _____

Date Initiating Supervisor Notified: _____ Notification by: _____

NeoGov Documentation Completed

All original documents sent to Marilyn Frank Completed

**Sent by: _____ Badge #: _____ Date: _____