

CASE FILE COVER SHEET

Important: This document contains confidential personnel information and must not be disclosed to unauthorized individuals

From: (airport point of contact) (b)(6)	Employee Relations Case No.: (b)(6)
	Airport Name: Des Moines International Airport
	Airport Code: DSM
Employee's name: (b)(6)	SSN: (b)(6)
MTSO- BDO	EOD: (b)(6)
Disciplinary Action: <input checked="" type="checkbox"/> Letter of Reprimand Suspension days <input type="checkbox"/> Reduction in Pay/Pay Band <input type="checkbox"/> Removal during trial period <input type="checkbox"/> Removal (non-trial period) Other (specify):	Date of alleged incident: 1/8/2013
	Offense Code: Process: <input checked="" type="checkbox"/> 1-Step <input type="checkbox"/> 2-Step
Please indicate below the incident or circumstances for which this disciplinary action was proposed. Also, indicate the documents enclosed supporting the proposal. Include documents such as witness statements, counseling memoranda, statements made by the employees and any law, rule, policy, regulation, or procedure that was violated.	
Reason for action: <input checked="" type="checkbox"/> Conduct (including security breach) <input type="checkbox"/> Performance <input type="checkbox"/> Medical issue <input type="checkbox"/> Other (specify): _____	Materials relied upon to support action (To be included in case file, as appropriate): <input type="checkbox"/> Chronology of events <input checked="" type="checkbox"/> Witness statements <input checked="" type="checkbox"/> Employee's statement <input type="checkbox"/> Counseling memos/prior discipline <input type="checkbox"/> Medical documentation <input type="checkbox"/> Leave records/T&L reports/SF-71s <input type="checkbox"/> Incident/police reports <input type="checkbox"/> Alcohol/drug test results <input checked="" type="checkbox"/> Douglas Factors Worksheet <input type="checkbox"/> Deciding Official's Notes for Oral Reply <input type="checkbox"/> Publicity <input checked="" type="checkbox"/> Policy, Law, Rule, Regulation Violated <input checked="" type="checkbox"/> Other (specify) _____
The employee's actions adversely affect: <input checked="" type="checkbox"/> TSA Operations: <input type="checkbox"/> Employee Morale: <input type="checkbox"/> Image of TSA:	
Documents to be included: <input type="checkbox"/> Proposal, if applicable <input type="checkbox"/> Employee's Written Reply, if any <input type="checkbox"/> Deciding Official's Notes of Oral Reply, if any	<input checked="" type="checkbox"/> Decision Letter <input checked="" type="checkbox"/> All other documents in the case file SF-52, where applicable

Within seven (7) days of the issuance of the decision, forward a copy of the complete case to TSA- Employee Relations at:

Fed-Ex Address:
TSA Headquarters
Crystal City Annex
Office of Human Resources
2800 Crystal Drive
Suite 3B30

**DISCIPLINARY AND ADVERSE ACTION PROCESSING
CASE FILE CHECKLIST**

Prior to forwarding the completed file to TSA Headquarters (ER Staff), field HR Specialists or designated representatives, must certify that the following processes have been completed. **These processes are required for every disciplinary action.**

- Yes Did you obtain a case number from Headquarters ER?
- NA Did field counsel determine the legal sufficiency of the action? (Not required for letters of reprimand).
- NA Is the case number reflected on the SF-52 (for actions requiring system processing)? **Note: Failure to include the case number on the SF-52 will delay the processing of the related action.**
- Yes Does the decision letter reflect the signature of the deciding official and the signature of the affected employee or annotation that the letter was delivered to the affected employee? **Note: A copy of the acknowledgement page must be attached to the SF-52.**
- Yes Did you send the complete case file [proposal/decision letters, proof of mailing, employee response (if any), material relied on, completed SF-52) to Headquarters ER]

Important: The SF-52 and a copy of the acknowledgement page must be forwarded to Accenture for processing, not Headquarters ER.

2/6/2013
Date

(b)(6)

Certification Signature

DISCIPLINARY PROCEDURE DUE PROCESS
QUICK CHECKLIST

[To be completed by the deciding official prior to issuing final decision]

- Yes Is there a law, rule, regulation, policy or procedure that describes appropriate/inappropriate behavior?
- Yes Was an appropriately thorough investigation/inquiry conducted?
- Yes Did you determine what the facts are?
- Yes Did the facts show that the employee violated a law, rule, regulation, policy or procedure?
- Yes If appropriate, did you apply progressive discipline?
- Yes Did the facts show that the employee knew or should have known of the law, rule, regulation, policy or procedure that the employee violated?
- Yes Does the case file reflect a case number from Headquarters ER?
- Yes Did you discuss the charges with the employee?
- Yes Did you give the employee an opportunity to answer charges?
- Yes Did you determine whether the employee is a screener or non-screener and whether the employee has completed his/her basic trial period?
- Yes Was the Guidance Workbook for Addressing Performance and Conduct Problems used to determine the appropriate procedures for the type of discipline intended?
- Yes Is the offense contained in the Interim Guide to Corrective/Disciplinary Actions? Is the penalty appropriate for the offense?
- Yes Was the decision fair, equitable and non-discriminatory;
- Yes Were aggravating and mitigating factors considered?
- Yes If removal was not required by Management Directive 1100.75-3, did you complete the Douglas Factors Worksheet?
- Yes Does the decision describe any applicable right to grieve, appeal, file an EEO complaint and, if applicable, advise of the Employee Assistance Program?
- NA For suspensions, reductions in pay/pay band or removal, did Field Counsel determine the legal sufficiency of the action?

2/5/2013
Date:

(b)(6)
Certification Signature (Deciding Official)

PROPOSAL AND DECISION LETTERS
QUICK CHECKLIST

PROPOSAL LETTER

Does your proposal letter contain the following?

- OPENING PARAGRAPH (INCLUDING PROPOSED PENALTY)
- REASONS, SPECIFICATIONS AND SUPPORTING EVIDENCE (INCLUDING LAW, RULE, REGULATION, POLICY OR PROCEDURE VIOLATED)
- DOUGLAS FACTORS (INCLUDING PAST DISCIPLINE)
- RIGHT TO REPLY WITHIN 7 DAYS PARAGRAPH (INCLUDING NAME OF DECIDING OFFICIAL AND PERSON TO CONTACT TO ARRANGE FOR ORAL REPLY)
- RIGHT TO REPRESENTATION PARAGRAPH
- MATERIAL RELIED UPON ATTACHED OR RIGHT TO REVIEW MATERIAL RELIED ON PARAGRAPH (IF TOO VOLUMINOUS)
- EAP LANGUAGE
- EMPLOYEE'S STATUS DURING NOTICE PERIOD
- NAME OF PERSON TO CONTACT FOR QUESTIONS
- SIGNATURE & ACKNOWLEDGEMENT LANGUAGE

DECISION LETTER

Does your decision letter contain the following?

- x OPENING PARAGRAPH (INCLUDING THE DECISION AND THE EFFECTIVE DATE OF ACTION)
- RESPONSE TO REPLY(IES) and, if no replies, so state. (ONLY FOR 2-STEP PROCESS)
- x A FINDING ON EACH REASON AND SPECIFICATION
- x DOUGLAS FACTORS LANGUAGE
- x APPEAL RIGHTS
- EEO RIGHTS
- x EAP LANGUAGE (EXCEPT FOR REMOVAL)
- RETURN OF TSA PROPERTY (FOR REMOVAL CASES ONLY)
- SSI LANGUAGE (FOR REMOVAL CASES ONLY)
- x SIGNATURE & ACKNOWLEDGEMENT LANGUAGE

Material Relied On (b)(5)

Letter of Reprimand

- (b)(5) Statement
- Pre-decisional discussion
- TSA Management Directive 1100.73-5 Employee Responsibilities and Conduct
- Handbook to TSA MD 1100.73-5
- TSA Management Directive 1100.75-3 Addressing Unacceptable Performance and Conduct
- Handbook to MD 1100.75-3
- Acknowledgment of reading and receipt of MD 1100.73-5 dated 11/14/2011