

CPEhr

Management Training

presents

PROGRESSIVE DISCIPLINE



copyright© 2010 CPE HR, Inc. All rights reserved

Goals

- **Understand the purpose of progressive discipline**
- **Define the four steps involved in progressive discipline**
- **Learn to write an effective warning**
- **Know why you need to create a thorough paper trail**

Which Approach Is Best?

- **Counseling**
- **Coaching**
- **Disciplinary Action**

Always document ALL job performance related conversations even if they are informal

Why Progressive Discipline?

- Provides a formal method to identify and modify behavior
- Allows a manager to give a “mini” performance appraisal
- Reduces high cost of turnover
- Protects employers and employees
 - Not for retaliation!

4 Basic Steps

- 1. Oral (verbal) warning**
 - 1. Informal**
 - 2. Formal**
- 2. Written warning**
- 3. Final written warning**
- 4. Discharge**

Verbal Warnings

- **Informal**
 - Always documented
 - Is not considered a “formal” part of an employee’s record
- **Formal**
 - Becomes the first formal step in the progressive discipline system

Written Warnings

- Considered the 2nd step in the progressive discipline system



Final Written Warning

- **May suspend:**
 - not generally recommended
- **Apply policy evenly**

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
<small>S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31</small>	<small>S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31</small>	1	2	3	4	5
6	7	8	9	10	11	12
<i>EMPLOYEE SUSPENSION</i> →						
13	14	15	16	17	18	19
<i>EMPLOYEE SUSPENSION</i> →						
20	21	22	23	24	25	26
27	28	29	30	31		

Termination

- **Last resort**
- **Serious violations/immediate termination**
 - **Possession or use of drugs/alcohol while on property**
 - **No call/no show attendance**
 - **Sexual or unlawful harassment**
 - **Destruction of company property**
 - **Insubordination**

Investigations

- **Review the incident/infraction(s)**
- **Get the facts**
- **Document all information**
- **Ensure that the action you take is consistent:**
 - **With prior warnings**
 - **With company policy**

copyright© 2010 CPE HR, Inc. All rights reserved



How To Write A Warning

- **Names, department, date of warning**
- **Type of violation**
- **Details (dates, times, witnesses)**
- **Photocopy of any evidence**

How To Write A Warning

- Define the type of behavior that is expected in the future.
- Disciplinary action to be taken
- Future consequences
- Employee comments
- Signatures/witnesses

Remember, this is a legal document!

Employee:		Dept:
Supervisor:		Date:
Type of Violation:		
Violation of Policy or Procedure	Insubordination	Willful Damage to Property
Violation of Safety Rules	Absenteeism / Tardiness	Interfering With the Work of Others
Unsatisfactory Performance	Carelessness	Other: _____ _____
Failure to Follow Instructions	Unsatisfactory Customer Service	

Remember...

Use details to support facts:

Example:

“Talked to Ed about tardiness”

What details do you need?

“On Friday, July 13, 2007 I verbally counseled Ed about tardiness.

He clocked into work at 7:42 a.m. for a 7:30 shift.

He had also clocked in at 7:38 a.m.

on Tuesday, July 10, 2007 and

Thursday, July 5, 2007 at 7:40 a.m. for his 7:30 shift.”

5 Most Common Questions

- **Did the employee clearly understand the rule or policy that was violated?**
- **Did the employee know in advance that such conduct would be subject to disciplinary action?**

copyright© 2009 CPE HR, Inc. All rights reserved

Common Questions

- **Was the rule that was violated related to the safe, efficient and orderly operation of the organization?**
- **Is there substantial evidence that the employee did actually violate the rule?**

Common Questions

- **Is the planned disciplinary action reasonably related to:**
 - **The seriousness of the offense?**
 - **The employee's record with the organization?**
 - **Disciplinary action taken with other employees who have committed similar offenses?**

**How can you prove
this information?**

Documentation

copyright© 201009 CPE HR, Inc. All rights reserved

Documentation: The Paper Trail

- **Formal versus informal**
- **Clarity about rule violation**
- **Protects employee as well as employer**
 - **Consistent application of policy**
 - **Accurate employee records**



Drawbacks

- Accuracy of forms
- “Bad Apples”

copyright© 2010 CPE HR, Inc. All rights reserved

Feedback

- **NEGATIVE**

“Jack, you’ve been out three days this month and this morning you were late again! Do you know what a pain this is? Frankly, your attendance stinks. If things don’t change, you’re in big trouble!”

- **POSITIVE**

“You know Jack, you’re a natural leader, and the quality of your work is really great. If it weren’t for your attendance, I might think about giving you more responsibility”

The Art of Effective Criticism

- Do it in private
- Begin with a positive statement
- Identify the issue
- Criticize the work, NOT the employee
- Be clear about your expectations

Conferences

- **Prepare yourself**
- **Present and discuss situation**
- ***Listen* to employee**
- **Do NOT interrogate**
- **Stay focused, calm, specific at all times**
- **Focus on the performance, not on the individual**

Conferences

- **Guide the employee to offer/commit to change and cooperation**
- **Ask for commitment**
- **Issue the warning**
- **Set up a follow up date, if appropriate**
- **End on a positive note**

Purpose of Discipline

The purpose of discipline is to **put the responsibility** for resolving the problem **into the employee's hands**, while emphasizing the seriousness of the violation and providing proof of this effort through documentation

The Role of Management

- **Clearly define what is expected of an employee from the first day**
 - **Orientation**
 - **Handbook review**
 - **Acknowledgement of receipt of policies and procedures**
 - **Ongoing observation, and coaching**
 - **Disciplinary action when required**

Summary

- **There are four basic steps in progressive discipline**
- **Don't rely on hearsay. Always get the facts**
- **Document, document, document!**
- **Encourage the employee to provide the solutions and commit to those solutions**
- **Understand it is a powerfully positive tool for a manager if properly used**

Today's Presenter:



Linda Robinson, PHR

Training Manager

310-270-9806

lrobinson@cpehr.com