

PERFORMANCE

H O S P I T A L I T Y

We deliver. Bottom line.

Leading the CASE

Documenting
Disciplinary Issues



Agenda

- Identify the principles surrounding effective discipline.
- Determine when and how to discipline associates.
- Identify discipline policies and practices.
- Use the five principles of effective discipline to develop appropriate documentation of disciplinary concerns.



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Principals Surrounding Discipline

- Corrective
- Fair
- Consistent
- Timely



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Discipline Associates When...

There are recurring issues such as absenteeism or tardiness.

There are problems adhering to or following management instructions despite additional training, coaching or counseling.

As close to the infraction as possible but not in the heat of the moment.



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Documentation “Do’s”

- Investigate each incident regardless of how it first appears.
- Select an appropriate time & place to meet privately with the associate.
- Document.
- Allow the associate to explain his/her understanding of the incident.
- LISTEN.
- Confer with HR for their recommendations on how to proceed.
- Have a witness to the conversation.

Documentation “Don’ts”

- Yell, scream or curse.
- Base disciplinary actions on rumors.
- Discuss an associates performance or conduct issues with the associates co-workers.
- Hand write the document.



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Don't Discipline

- Associates in public places.
- Associates in the presence of others.
- Associates in the heat of the moment.



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Before Disciplining Consider...

- The facts surrounding the incident.
- The seriousness of the infraction.
- Whether the associate was informed of the work rules in advance of the infraction.
- Whether the associate was previously advised, coached or warned about the issue.



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Before Disciplining Consider...

- The degree to which the associates' conduct hampers the organization's mission or day-to-day operation.
- Documentation of previous conduct or performance problems within the past 3-6 months or less.



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Before Disciplining

- Was the associate provoked?
- How thoroughly have we examined the issue or infraction?
- How have other associates who were in similar situations disciplined?



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The Goal of Documentation

- To inform the associate.
- To establish an official record of the disciplinary action.



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The 5 W's of Documentation

- Who
- What
- Where
- When
- Why



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Who?

Was/is involved?

And their position within the organization.

Has first hand knowledge?

Are there known or potential witnesses?



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What?

- Describe the incident or recurring issue.
- Describe the specific behavior or actions.
- Use verbs.
- Do not add your comments, insights or interpretations.



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Where?

- Describe the location of the incident.
- Was it on the workplace or workplace property?



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When?

- Did the incident occur during regular work hours?
- “Off-duty” time?



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Why?

- Don't guess or speculate.
- Investigate and gather information.
- Include knowledge or information to support your findings/conclusions.
- Allow associates to present their version of events/infraction.



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The Documentation

- Date at the top of the letter/memo.
- Inform the associate that a copy will be placed in his/her personnel file.
- Ensure that the associates full name is used.



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The Document

- An opening statement about the purpose of the documentation.
- Proceed with statements describing and defining the infraction and supporting information. Be sure to include dates, times and specific details.
- Do not include the names of witnesses or complaining parties.



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The Document

- Stating and describing the disciplinary action you are recommending.
- Stating and describing reasons why you are recommending the disciplinary action.
- Reference your organizational personnel policies, handbook, or code of conduct.



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The Document

- Include a statement about the associates rights to...
- Share their version of events and place a copy in their personnel file if they choose.



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The Document

- Remind the associate that another incident may result in additional discipline.
- Remind the associate that correcting their behavior is expected and that correction needs to be sustained over time.
- Including a statement that the associate has a right to present their version of events to you within a certain time frame.



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DISCIPLINE: VERBAL AND WRITTEN WARNINGS

Name:	
Phone number and/or E-mail:	Job title:
Department/Location:	Supervisor:

- ☐ VERBAL WARNING ☐ WRITTEN NOTICE: ☐ SUSPENSION (PENDING TERMINATION)
☐ FIRST WARNING ☐ SECOND WARNING ☐ TERMINATION

The purpose of this is to bring to your attention your unacceptable conduct and/or performance. The intent is to define for you the significance of the actions so that you may take necessary corrective action immediately. This written warning will be placed in your personnel file

--

Corrective action necessary

--

This meeting is confidential and should only be discussed with your manager and/or Human Resources. Please understand the infraction noted above must be corrected and any future violation(s) can result in further disciplinary action, up to including termination.

If you are being placed suspension, you are encouraged to submit your written statement directly to the Human Resources Department whom will contact you upon the conclusion of the investigation. Please do not communicate with any other Associate about this incident. You are not permitted to return to your work location until contacted by the Human Resources Department.

Associate Comments

--

Your signature below is not an admission of guilt. It serves as an acknowledgement that you have read, discussed and have been encouraged to respond in writing.

Associate Signature/ Date: _____ Witness Signature / Date _____

Supervisor Signature/ Date: _____ HR Signature / Date _____

This form must be forwarded to the Human Resources Department.

RECORD OF CONVERSATION

Name: _____

Phone number and/or E-mail: _____

Job title: _____

Department/Location: _____

Supervisor: _____

The purpose of this document is to bring to your attention the following:

ENTER TEXT HERE

The above has been discussed with me by my supervisor. I understand the contents and acknowledge and understand the corrective action required. I also acknowledge and understand the potential consequences of non-compliance.

Employee Signature: _____

Date: _____

Supervisor Signature: _____

Date: _____

Witness Signature: _____

Date: _____

HR Signature: _____

Date: _____

ATTENDANCE ACTION TEMPLATE

Effective Date -				
Associate:	Job Title:	Department:	Property:	Supervisor Completing Document:

Type of Action As an at-will employer, the company has discretion to decide on the appropriate corrective action depending on the nature of the offense. There is no requirement of or expectation that progressive disciplinary steps be followed.

- ☐ NOTIFICATION FOR TRACKING PURPOSES ONLY
 ☐ DOCUMENT VERBAL WARNING
☐ WRITTEN WARNING
 ☐ FINAL WARNING
☐ SUSPENSION PENDING TERMINATION (PRIOR HR DISCUSSION REQUIRED)

Details Regarding This Notice:

Based upon the Attendance Policy, as of _____ you have incurred _____ occurrences within the last 90 days.
Occurrence Type:

- ☐ ABSENCE (1 OCCURRENCE)
 ☐ CALL OUT (1 OCCURRENCE)
☐ EARLY OUT/LATE ARRIVAL (1 OCCURRENCE)
 ☐ IMPROPER CALL (1 OCCURRENCE)
☐ TARDY/LATE (1 OCCURRENCE)
 ☐ NO CALL/NO SHOW (3 OCCURRENCES)
☐ JOB ABANDONMENT (6 OCCURRENCES/SUSPENSION)

Describe Corrective Action Required: List specific goals, objective and standards that are required to rectify the situation. Include consequences for repeated violation(s).

Further Occurrences May Result In:

- ☐ Further disciplinary action, up to and including separation/termination
☐ Suspension Pending Termination

This meeting is confidential and should only be discussed with your manager and/or Human Resources. Please understand the infraction noted above must be corrected and any future violation(s) can result in further disciplinary action, up to including termination.

If you are being placed suspension, you are encouraged to submit your written statement directly to the Human Resources Department whom will contact you upon the conclusion of the investigation. Please do not communicate with any other Associate about this incident. You are not permitted to return to your work location until contacted by the Human Resources Department.

Associate's Comments:

Your signature below is not an admission of guilt. It serves as an acknowledgement that you have read, discussed and have been encouraged to respond in writing.

Associate Signature/Date:	Supervisor Signature/Date:	Witness (if applicable) Signature/Date:

This form must be forwarded to the Human Resources Department.

Example

☐ Job Abandonment (6 occurrences/suspension)

Describe Corrective Action Required: List specific goals, objective and standards that are required to rectify the situation. Include consequences for repeated violation(s)

Sally needs to work on her guest service. She is often rude to guests and unprofessional. Sally needs to realize that we must conduct ourselves professionally at all times.

Further Occurrences May Result In:

☒ Further disciplinary action, up to and including separation/termination

☐ Separation Pending Termination

~~This meeting is confidential and should only be discussed with your manager and/or Human Resources. Please understand the infraction noted~~



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Example

ESOP Attachment (to Occurrences/Suspension)

Describe Corrective Action Required: List specific goals, objective and standards that are required to rectify the situation. Include consequences for repeated violation(s)

On March 14, 2017, Sally failed to deliver guest service. Sally rolled her eyes when speaking with a guest. She also displayed poor body language. She turned her back to the guest and did not follow through with the guests request for additional towels to be delivered.

Further Occurrences May Result In:

- ☒ Further disciplinary action, up to and including separation/termination
- ☐ Separation Pending Termination



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Example

Details Regarding This Notice:

Based upon the Attendance Policy, as of **August 24, 2017** you have incurred 5 occurrences within the last 90 days.
Occurrence Type:

- ☐ Absence (1 occurrence)
- ☐ Call out (1 occurrence)
- ☐ Early Out/Late Arrival (1 occurrence)
- ☐ Improper call (1 occurrence)
- ☒ Tardy/Late (1 occurrence)
- ☒ No Call/No Show (3 occurrences)
- ☐ Job Abandonment (6 occurrences/suspension)

Describe Corrective Action Required: List specific goals, objective and standards that are required to rectify the situation. Include consequences for repeated violation(s)

Mike has to work on his tardiness. He should also work on his communication with department heads.

Further Occurrences May Result In:

Example

Describe Corrective Action Required: List specific goals, objective and standards that are required to rectify the situation. Include consequences for repeated violation(s)

Mike has had excessive tardiness. Specific dates of infractions are as follows:

- 5/7/17 scheduled at 7:00 p.m. and clocked in at 7:46 p.m. (46 minutes past in time)
- 5/14/17 scheduled at 3:00p.m. and clocked in at 3:58 p.m. (58 minutes and did not call a manager to advise)
- 6/16/17 scheduled at 3:00 p.m. and clocked in at 8:11 p.m. (over 5 hours late) management tried getting a hold of Mike and did not get a response until 5:45 p.m. at which point he stated he would arrive in an hour but did not arrive until 8:11 p.m.

Mike must make a concerted effort to communicate better with management. Excessive absenteeism or frequent tardiness puts an unnecessary strain on your colleagues and can have a negative impact on the success of the restaurant and the hotel. Associate must adhere to the company's Attendance policy, ensure that he reviews his scheduled shifts and report to work on time. He must notify his manager or supervisor as far ahead of time as possible and no later than two (2) hours before the start of the work day or shift for which he will be absent or tardy, unless impossible to do so. Future occurrences of this nature will lead to further disciplinary action up to and including separation of employment.



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Example

☐ Job Abandonment (6 occurrences/suspension)

Describe Corrective Action Required: List specific goals, objective and standards that are required to rectify the situation. Include consequences for repeated violation(s)

Betsy and her coworker Bill got into an altercation on April 23rd in the associate breakroom. Betsy was witnessed using inappropriate language towards Bill. This behavior is unacceptable and unprofessional.

Further Occurrences May Result In:



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Example

□ Job Abandonment (6 occurrences/suspension)

Describe Corrective Action Required: List specific goals, objective and standards that are required to rectify the situation. Include consequences for repeated violation(s)

On April 23, 2017, Betsy used offensive language toward a coworker. This is a direct violation of the Performance Hospitality Associate Handbook. We are committed to the highest standards of conduct and we depend upon the professional and personal integrity and dedication of all our associates to uphold these standards.



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Conclusion

- Supervisors/managers should ensure that they have applied the five principles of effective discipline (corrective, fair, & consistent), before disciplining associates.
- Use the five W's of documentation (who, what, where, when and why) and the five principles of discipline to document performance or conduct transgressions.
- Documentation should clarify the nature of the infraction, its negative impact and proposed management and associate action.



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We deliver
important,
consistent, relevant
and inspiring
information to all
associates across all
properties

In 2017 We Make a
CASE

PERFORMANCE

HOSPITALITY

We deliver. Bottom line.

Leading the
CASE

