Sample Progressive Discipline Policy

Purpose. To establish rules pertaining to employee conduct, performance, and responsibilities so that all personnel can conduct themselves according to certain rules of good behavior and good conduct.

The purpose of these rules is not to restrict the rights of anyone, but rather to help people work together harmoniously according to the standards we have established for efficient and courteous service for our customers. Reasonable rules concerning personal conduct of employees are necessary if the facility is to function safely and effectively. You will be kept informed of department rules and changes to those rules by your supervisor or department head. The company believes that you want to, and will, do a good job if you know what is required to perform your job properly. Your supervisor is responsible for ensuring that you know what is expected of you in your job. Further, it is company policy that employees be given ample opportunity to improve in their job performance.

Policy. Degrees of discipline are generally progressive and are used to ensure that the employee has the opportunity to correct his or her performance. There is no set standard of how many oral warnings must be given prior to a written warning or how many written warnings must precede termination. Factors to be considered are:

- how many different offenses are involved
- the seriousness of the offense
- the time interval and employee response to prior disciplinary action(s)
- previous work history of the employee
- Disciplinary action may involve oral warnings, written warnings, suspension, probation and/or termination of employment

Exceptions. For serious offenses, such as fighting, theft, insubordination, threats of violence, the sale or possession of drugs or abuse of alcohol on company property, etc., termination may be the first and only disciplinary step taken. Any step or steps of the disciplinary process may be skipped at the discretion of [company name] after investigation and analysis of the total situation, past practice, and circumstances.

In general, oral warnings should, at the next infraction, be followed by a written warning, followed at the next infraction by discharge. This is especially true in those cases where the time interval between offenses is short and the employee demonstrates a poor desire to improve his/her performance.

Investigative suspension. An investigative suspension is a period, not to exceed three (3) working days, during which time an employee is relieved of his or her job because of alleged serious misconduct. An employee may be placed on investigative suspension when it is necessary to make a full investigation to determine the facts of the case, as in a fighting, insubordination or theft incident.

- If after the investigation discharge is warranted, the employee shall not be paid for the period of investigative suspension—the discharge shall be effective on the date of the termination interview.
- If misconduct is determined, but not of a sufficiently serious nature to warrant discharge, the employee shall receive a warning notice and forfeit pay lost as a result of the investigative suspension and may be placed on disciplinary suspension.
• If no misconduct is determined, the employee shall return to work within the prescribed period and be paid for the time lost as a result of the investigative suspension.

[Your Company's] Progressive Discipline Plan

Misconduct
[YOUR COMPANY] has a progressive discipline policy. The goal of [YOUR COMPANY]'s progressive discipline system is to give the employee an opportunity to correct employment problems that may arise, rather than to punish employees. The employee will be kept informed of [YOUR COMPANY]'s rules and the employee is expected to follow them.

Immediate Disciplinary Action
[YOUR COMPANY] believes that engaging in certain types of misconduct should subject an employee to immediate suspension or discharge, rather than allowing opportunity for correction of behavior through progressive discipline steps. The following is a list of conduct for which immediate disciplinary action will be taken: [list of offenses that will be exempt from progressive steps (e.g., violent behavior)].

Disciplinary Steps
Should there be a problem regarding the employee's adherence to [YOUR COMPANY]'s rules, the employee will be given three opportunities to change the unwanted behavior:

1. The employee will be given a verbal explanation of the errant behavior, including a reiteration of what [YOUR COMPANY]'s rule regarding that behavior is. In addition, the employee will be advised of the consequences of further infractions of the rule in question. If no further problems occur with regard to the issue raised at the verbal warning stage, no further disciplinary action will be taken.
2. If the problem persists, the employee will be given a written explanation of the errant behavior, including a reiteration of what [YOUR COMPANY]'s rule regarding that behavior is. In addition, the employee will be advised that continuation of the problem will lead to suspension without pay for a stated period of time. As before, the employee will be given an opportunity to change the unwanted behavior and, if the behavior does not recur, no further disciplinary action will be taken.
3. If verbal and written warnings fail to bring about a change in the undesired conduct, the employee will be suspended and will be informed that further occurrences of the conduct will lead to the employee's immediate discharge, without additional warnings.

[YOUR COMPANY] reserves the right to bypass the disciplinary steps and base its disciplinary action on the severity, frequency or combination of infractions when circumstances warrant immediate action.

Documentation
[YOUR COMPANY] will document a disciplinary process beginning with the first verbal warning. A report of the disciplinary action will be retained in the employee's personnel file, however, if no further disciplinary action is required after ___ years, the report will remain as part of the employee's personnel file but will no longer be considered a part of the employee's record. Should a challenge arise regarding a disciplinary action, the report may be used as history.