

Employee Discipline
Maximizing Associate Performance (MAP) Process

The purpose of this presentation is to review the Maximizing Associate Performance (MAP) Process

At the conclusion of this training, you will understand:

1. How to positively discipline employees to encourage rehabilitation instead of dismissal
2. The three stages of the MAP process
3. When to use each stage
4. When and how to bypass stages
5. Where to go for help and assistance

The Maximizing Associate Performance (MAP) process is a positive discipline methodology designed to encourage due process and rehabilitation of negative behavior and policy violations

MAP Process consists of 3 Stages:

1. Verbal counseling
2. Performance Action Notice (PAN)
3. Career Advisory Day

Discipline of any kind should not occur until an investigation has been conducted

- Conduct the investigation as quickly as possible so that action is not unduly delayed
- Be as discreet as possible, remembering that the associate is “innocent until proven guilty”
- When it is necessary to obtain information from witnesses, get it in writing
- Keep accurate and unbiased notes on all aspects of the issue. The notes are to be confidential and kept in a secure location
- Contact IHR for egregious offenses and help with the associated investigation
- Review the discipline toolkit for helpful tips on employee investigations

The following questions are to be answered as the investigation proceeds:

- What happened?
 - Who was involved?
 - When did it happen?
 - Why did it happen?
 - Are there any mitigating circumstances?
 - Is the offense governed in any manner by Company Policy?
 - Was the incident a malicious act, the result of negligence or accidental?
 - How serious is the violation or performance problem?
-
- If you can't answer these questions then you should not be disciplining the employee

Leave is sometimes necessary to remove the employee while an investigation is conducted

- Dishonesty or a criminal offense violations are strong candidates for administrative leave.
- Review the administrative leave checklist prior to placing employees on leave
- Not sure what to do? Call Inflection HR for guidance

First stage in MAP process is to verbally counsel the employee about the incorrect action or behavior

This is a three step process:

1. When you become aware of a problem, investigate the issue
2. Once the investigation is concluded, promptly speak to the employee, taking particular care to specify the deficiencies you wish to see corrected and how corrective action is to be undertaken
3. Note the discussion on the Performance Discussion Record

Examples of employee actions that warrant verbal warnings:

- There are recurring issues such as absenteeism or tardiness
- Bad attitude, not getting along with co workers
- Mistakes with quality of work, sub par quantity of work
- There are continuing problems adhering to or following management instructions

How to administer verbal counseling

1. Verbal counsel should be given in a 1-1 setting, do not perform in front of other employee (another supervisor is OK).
2. Verbal counsel should be given as close to the occurrence of the bad behavior or violation of policy as possible
3. Explain your interpretation of the action or violation of policy
4. Explain the ramifications of the violation or behavior on the company
5. Connect the behavior or violation to company policy or company mission and vision
6. Ask what you can do to help ensure continued behavior and violations do not occur
7. Inform the employee that you will be noting this in his/her file and expect that the behavior will not continue
8. Document your supervisor log

Recording the verbal discussion on your supervisor log

- Ensure that the actions concerning the employee's performance is documented on this log
 - Date of Incident/action
 - Subject or Incident Discussed
 - Discussion Details/Action Taken/ Other Remarks
 - Supervisor's name
 - date of discussion/action
 - Any corrective action required

- Keep the Log in a secure place

It's OK to bypass verbal counseling when:

- The employee's conduct hampers the organization's mission or day-to-day operation
- Continuous violation of policy
- Action is egregious:
 - Intoxicated
 - Theft
 - Insubordination
- Some matters warrant immediate dismissal (always check with your supervisor)

Second Stage in MAP process is to document the behavior or violation with a Performance Action Notice (PAN Notice)

This is a three step process:

1. Investigate behavior or violation
2. Prepare a Performance Action Notice to formally document the violation (This form can be found under the Managers Guide of the IHR Workforce Portal -> Employee Disciplinary Toolkit)
3. Meet with the employee to review the PAN

PAN Notice should be issued when:

- After a reasonable period of time, there is no improvement, or insufficient improvement in behavior
- Prior verbal's on same or similar behavior have been ignored
- Behavior is willful violation or negligence of duty
- Continuing problems adhering to or following management instructions despite additional training, coaching and/or counseling

PAN Notice should NOT be issued when:

- First Violation of non mission critical policy
- Policy or Procedure does not exist to reference
- You have not investigated and confirmed alleged violation of policy

Sample PAN Notice

PAN Notices are available on IHR Workforce Portal → Managers Guide



Performance Action Notice

This form is to be used to by supervisors to help employees understand where improved performance is expected and to provide a written record of a counseling session.

This should only be used once you have verified the employee is violating personnel, clinical, operational policy. You must document the specific policy violated.

This is form fill - able document, complete details on your computer, then print for signatures

Company Name:	ABC Company
Employee Name:	John Doe
Position:	Front Desk
Policy Violated	Attendance and Punctuality A-1
Date of Violation	1/1/2010

Description of Violation	Describe below the specific nature of the problem, issues, occurrences, dates, times. Be sure to be specific and relate details what policy was violated and the specific reason(s) why the person is being counseled
--------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Employee was counseled on 11/2/2009 (Verbal Warning), 12/3/2009 (Verbal Warning) and 12/29/2009 (Verbal Warning). These discussions are documented on the Record of Discussion Log. Employee was given multiple discussions regarding the importance of the attendance and punctuality policy and how this impacts the department and operation. Failure to improve has led to a formal written warning, Performance Action Notice (PAN).

Improvement Required	What steps or specific action must the employee take to correct the situation or remedy the violation
----------------------	-------------------------------------------------------------------------------------------------------

Employee must improve immediately in order to eliminate any further disciplinary action. Employee will review policy by 01/15/2010 with supervisor. Additionally, employee must be on time for all future scheduled shifts...

How will improvement be measured?	List specific goals and/or objectives, or performance and measurement standards that you and the employee have agreed to in what time frame. Be sure to include dates for follow up.
-----------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Employee will be measured according to start times of all scheduled shifts.
Employee time clock records will be reviewed each pay period for future violations.

FAILURE TO COMPLY WITH THE ABOVE WITHIN THE SPECIFIED PERIOD OR FURTHER VIOLATIONS OF COMPANY POLICIES AND PROCEDURES WILL RESULT IN FURTHER DISCIPLINARY ACTION UP TO AND INCLUDING TERMINATION.

Employee Comments	Employee's may comment below. Additionally, they can provide a written response that will be added to this record as long as it is done so within 2 business days.
-------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------

Date presented to Employee:	
Manager Signature:	
Witness Signature:	
Employee Signature:	By signing below I acknowledge that I have read this notice and are clear on the contents

Components of PAN Notice

– Identification Section

- Company Name, Employee Name, Position
- Policy Violated (THIS IS VERY IMPORTANT)
- Date of Violation (include time if known)

– Description of Violation

- Describe below the specific nature of the problem, issues, occurrences, dates, times
- Be sure to be specific and relate details what policy was violated and the specific reason(s) why the person is being counseled

– Improvement Required

- What must the employee do to avoid further discipline?
- Be specific

Components of PAN Notice (Continued)

- **How will improvement be measured**
 - What will you use to measure the improvement?
 - How long will the employee be measured?
 - Be very specific and detailed
- **Employee comments**
 - Employee does not have to agree with discipline, can note their side here
 - Employee may write whatever they wish on the form
 - They can provide a written response that will be added to this record as long as it is done so within 2 business days
- **Signatures**
 - Date presented to employee
 - Manager Signature
 - Witness Signature
 - Employee Signature
 - Employee must sign form

Should I PAN or issue Verbal Warning?

1. Employee is tardy on a Monday morning
2. Employee who has been warned once is tardy again within the same week
3. Employee who has been warned twice is tardy again
4. Employee is a no call no show for a shift
5. Employee is rude or offensive to another employee
6. Employee is rude or offensive to customer
7. Employee violates dress code policy
8. Employee is suspected of theft of company property

How to Conduct a PAN Meeting

1. Schedule time to meet with employee, include a witness of same or higher authority
2. Prepare for Meeting, create PAN before hand, be prepared with copies of violated policies
3. Meet with the employee:
 - Take the lead, introduce the participants and purpose for meeting (e.g. to discuss recent violation of Policy A 1)
 - Confirm structure of the meeting and ask that the employee hold their comments until you ask for them
 - Review the PAN Notice, clearly explain each section, Ask for the employees response to the PAN, Invite them to comment on the PAN notice
 - Get signatures, Adjourn the meeting

It's OK to bypass PAN when:

- The employee's conduct is contrary to your companies primary business objective
- Action is egregious:
 - Intoxicated
 - Theft
 - Insubordination
- Some matters warrant immediate dismissal (always check with your supervisor)

Third stage in MAP process is the Career Advisory Day

- The purpose of this day is to allow the employee to reflect upon their performance
- Upon return they are asked to formally commit to improving their performance and abide by policies and procedures
- Two possible outcomes, employee commits to improvement or resigns from employment

A Career Advisory Day should be used when:

- Recurring issues such as continuous absenteeism or tardiness concerns that have been addressed through first and second advisory levels
- Continuing problems adhering to or following management instructions despite additional training, coaching or counseling that have been addressed through first and second advisory levels
- Egregious violations or behavior

This stage consists of 3 steps:

1. Meet with the employee to notify them of career advisory day
2. Collect company property
3. Ensure receipt of commitment letter

OR

Accept Resignation

How to Conduct a Career Advisory Day Meeting

1. Schedule time to meet with employee, include a witness of same or higher authority

2. Prepare for Meeting:

- Go to IHR Workforce Portal → Managers guide to get required forms
- Prepare Career Advisory Day Notice
- Print copies of sample commitment letter

3. Meet with the employee:

- Take the lead, introduce the participants and state purpose for meeting
- Instruct employee they will be taking a career advisory day off of work
 - Inform the employee that the purpose of this day is to allow them to reflect on their employment and violations/behavior issues so they can commit to better performance OR resign their position
 - Explain that if they commit to improvement and violations continue, they will be terminated
- Review the Career Advisory Form and Commitment Letter with employee, give copy of the Commitment Letter to employee
- Allow employee to comment and sign the Career Advisory Form
- Collect all company property
- Adjourn the meeting (see next slide)

Adjourn the Meeting

- Ensure employee leaves with copies of the commitment letter
- Reiterate to the employee that if they fail to report back by the date given (generally next scheduled shift), they will be considered a voluntary quit
- Gather company property
- Escort employee out of the building, Instruct employee to report to you at the beginning of next scheduled shift with decision
- Contact IT to have emails and VPN access canceled or re routed (suggested step)
- Contact IHR to have supervisor access suspended (if applicable)

Career Advisory Day



Final Advisory Notice – Career Advisory Day

This form is to be used to by supervisors as a final notice when continued behavior is no longer acceptable. This final notice step includes a Career Advisory Day. The purpose of this day off is to allow the employee to reflect upon their performance and determine if they are willing to formally commit to improving their performance and abiding by worksite policies and procedures.

This is form fill - able document, complete details on your computer, then print for signatures.

Company Name:	ABC Company
Employee Name:	John Doe
Position:	Front Desk
Date & Time of Meeting:	4/1/2009 12:30pm
Witness:	Tom Bee

Documentation of Meeting:	Document the career advisory day meeting. Indicate what was discussed and any required items the employee must return.
---------------------------	------------------------------------------------------------------------------------------------------------------------

Employee has been placed on the MAP Process and given the opportunity to improve the unacceptable behavior. Failed to improve and end of the MAP Process. Employee is on Final Notice which includes a Career Advisory Day (CAD). Employee is sent home and is given the option to return a commitment letter or resignation upon return of the next shift, 4/5/2009. Property taken and gave employee commitment letter.

FAILURE TO COMPLY WITH THE ABOVE REQUIREMENTS, COMMITMENT TO THE COMPANY, OR FURTHER VIOLATIONS OF COMPANY POLICIES AND PROCEDURES WILL RESULT IN FURTHER IMMEDIATE TERMINATION. FAILURE TO SUBMIT A SIGNED COMMITMENT LETTER, OR FAILURE TO RETURN FROM THE CAREER ADVISORY DAY WILL BE CONSIDERED A VOLUNTARY RESIGNATION.

Employee Comments	Employees may comment below.

All signatures are required. If employee refuses to sign, the manager must acknowledge this.

Employee Signature:	
Manager Signature:	
Witness Signature:	
Date Meeting Held:	

Career Advisory Day

Date of return to work

Dear Company Name:

The purpose of this letter is to express my sincere commitment to abide by the employment policies and procedures.

I understand that I have been verbally counseled and warned regarding my Policy Violation & Number on the following dates:

- Insert Dates and times
- Insert Dates and times

Additionally, I understand that because of the violation that occurred incident date, I have violated the terms of my performance action plan and because of this violation I was given a career advisory day (a day off from work) to reflect upon my employment.

After reflecting on my employment, I am ready to commit to abide by my worksite policies on a go forward basis. I understand that failure to correct this behavior or not abide by the polices and procedures of my worksite will lead to termination of my employment.

Sincerely,

Employee Name

The employees 1st day back:

- Employee returns commitment letter
 - Save and upload to personnel file
 - OR, forward to Inflection HR for upload to file
 - Note receipt of letter in supervisor log
- Employee returns resignation letter
 - Save and upload to personnel file
 - OR, forward to Inflection HR for upload to file
 - Note receipt of letter in supervisor log
 - Inform supervisor and IHR of employees decision
- Employee does not return to next scheduled shift
 - Note failure in supervisor log
 - Inform supervisor and IHR of employees decision to voluntarily surrender employment

- **The Maximizing Associate Performance (MAP) process is a positive discipline methodology assigned to encourage due process and rehabilitation in an employee**
- **The MAP Process has three primary stages:**
 - Verbal counsel
 - Performance Action Notice (PAN)
 - Career Advisory Day
- **The MAP Process is not progressive, stages can be bypassed**

- **Always investigate prior to taking any disciplinary action**
- **You should check with your supervisor if unclear or feel strongly that a stage should be bypassed**
- **Always consult with Inflection HR prior to skipping stages that result in termination**
- **Inflection HR is available to review PAN notices, and provide advice and support for this process**

1. The IHR Workforce Portal → Managers Guide

→ Discipline Assistance Link

- Form fill able copies of all forms
- Sample PAN Notices
- Checklists
- Copies of this presentation

2. Your Supervisor

- Your supervisor understands this process and will be able to assist you with next step
- They can obtain authority to bypass stages

3. Inflection HR

- HR Team is ready to assist with guidance and support
- Be prepared for your phone call or email, download the discipline support checklist