

Policies & Management Programs

Disciplinary Policy

SAMPLE DISCIPLINARY POLICY

[COMPANY NAME] wants its employees to work in a positive, productive atmosphere. However, employees who violate safety rules must be disciplined in order to protect their own safety and the safety of their coworkers. Depending on the severity and frequency of a safety violation, an employee may be:

- immediately discharged
- suspended or
- given a verbal and/or a written warning

The following disciplinary guidelines classify violations according to their seriousness (Groups A, B, and C), for which certain penalties are suggested. Unsafe conduct by an employee may violate several provisions of the different groups. This list is intended to suggest examples of inappropriate behavior. It is not a comprehensive list of all safety violations for which an employee may be disciplined or discharged.

The following disciplinary policies do not in any way bind [COMPANY NAME] to follow a particular course of conduct. The Company in its sole discretion may change these policies at any time. In addition, nothing in the policies changes the at-will nature of employment with [COMPANY NAME]. An employee may still be terminated with or without cause, with or without notice, at the option of either [COMPANY NAME] or the employee, except as otherwise provided by law.

GROUP A

1. Deliberate violation of any security or safety rules
2. Being intoxicated or under the influence of any controlled substances while at work
3. Deliberate or reckless misconduct that endangers the life or safety of others
4. Possession of alcohol or illegal drugs on [COMPANY NAME] premises
5. Deliberate destruction or damage to [COMPANY NAME] property
6. Deliberate falsification of any documents related to safety or employment matters
7. Fighting or deliberate harmful contact with co-workers

GROUP B

1. Negligence that damages [COMPANY NAME] property
2. Negligence that endangers the safety of others
3. Unintentional safety violations that endanger the safety or health of others
4. Failure to report conditions that one believes to be unsafe
5. Smoking or eating in unauthorized area
6. Speeding or unsafe operation of a forklift or any other [COMPANY NAME] vehicle
7. Driving a forklift or any other machinery without required approval
8. Failure to properly record safety information for which one is responsible
9. Improper refusal to obey a supervisor's safety instructions
10. Any belligerent or antagonistic conduct toward co-workers, supervisors, or customers

GROUP C

1. Violation of personal protective equipment policy that does not result in injury to oneself or others
2. Poor housekeeping
3. Failure to participate in group safety meetings
4. Failure to properly and immediately report any accident or injury
5. Failure to properly or immediately report any accident involving [COMPANY NAME] equipment
6. Failure to perform inspections of tools or machinery
7. Failure to report machine or tool deficiencies
8. Failure to learn Company safety rules and regulations

SAMPLE DISCIPLINARY PENALTIES

The following list provides a general guide for disciplinary actions for the above violations.

Group	1st Offense	2nd Offense	3rd Offense
Group A	Immediate discharge		
Group B	Warning or suspension	Discharge	
Group C	Warning	Warning or suspension	Discharge

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WRITTEN WARNINGS

When given, written warnings may help employees know where they stand and improve their performance. [COMPANY NAME] attempts to issue written warnings that include the reasons for the supervisor's dissatisfaction. Warnings usually include a statement of the actions you need to take or results that need to be achieved to avoid further problems. However, the written warnings do not legally obligate or bind the employer or alter the at-will nature of the employee's employment with [COMPANY NAME]. An employee who has received a warning may still be terminated with or without cause and with or without notice, at any time, except as otherwise provided by law. Any employee who receives a written warning must immediately acknowledge receipt by signing the warning. An employee who disagrees with the written warning may discuss his or her reasons for doing so with the supervisor. It is generally best to inform the supervisor of any error at the time the warning is issued. In fact, there is a place on the form for the employee to do so. An employee who believes that the supervisor has not responded fairly to the employee's comments may contact the following people

SAMPLE DISCIPLINARY NOTICE TO EMPLOYEE

COMPANY NAME: _____ DATE: _____
EMPLOYEE NAME: _____ FIRST NOTICE: _____
DEPARTMENT: _____ SECOND NOTICE: _____
DAYS SUSPENDED: _____

We believe that an employee wants to know if he or she is violating [COMPANY NAME]'s policy or failing to follow Company rules. This disciplinary notice provides you notice of a violation of Company policy. However, [COMPANY NAME] is not obligated to provide any warnings or to retain an employee once a warning has been given. All employees are employed at will. "At will" employment means that an employee can be terminated with or without cause, with or without notice, at any time, at the option of either the [COMPANY NAME] or the employee.

Your conduct is not in keeping with the [COMPANY NAME]'s standards or policies for the following reasons: (indicate specific standards and policies with which the employee has failed to comply.)

Suggestions for improvement:

Employee comments: (Note: An employee should state his or her disagreements with the warning in writing.)

EMPLOYEE SIGNATURE: _____ DATE: _____

SUPERVISOR SIGNATURE: _____ DATE: _____

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DISCIPLINARY ACTION RECORD KEEPING FORM

Employee Name		Department/Area/Job Title	
Supervisor Name		Today's Date	
Circle Type of Action			
Verbal Warning	Written Warning	Suspension Effective Date	Termination Effective Date
Date of Incident		Time of Incident	
Description of Incident			
Correction Action Plan			
Next Action Step if Problem Continues			

I acknowledge receipt of this disciplinary action and that its contents have been discussed with me.
 I understand that my signature does not necessarily indicate agreement.

EMPLOYEE SIGNATURE: _____ DATE: _____

SUPERVISOR SIGNATURE: _____ DATE: _____

HUMAN RESOURCES: _____ DATE: _____