



Sikich HR Advisor

Performance Management Checklist – Employee Discipline

The following 21 questions can help you gauge the effectiveness of another aspect of your Performance Management practices, discipline. The few moments you spend will help you highlight potential areas of concern and help you put together a sound and defensible disciplinary process.

The disciplinary process in any organization is critical to developing and retaining high performing employees. While that may sound strange given the fact that disciplinary actions are targeted to those employees who are not performing up to standard, what you do related to discipline is tied into your process of goal-setting, feedback and follow-up. In order to be a top performing employee, the individual needs to understand the basics of their position (training). They need to understand their key deliverables (goal-setting). Lastly, they need to get good communication about their performance on a day-to-day, week-to-week basis (feedback). A good disciplinary process is founded on these basic questions:

- Does the individual have the training he/she needs to do his/her job correctly?
- Does the individual have a good, documented understanding of the key outputs of his/her job and ultimately, does the individual understand what a good job looks like?
- Lastly, in addition to the above which allow the employee to self-manage his/her performance, does the individual get regular coaching and feedback about how closely he/she is meeting the requirements of the position?

Use the following questions to evaluate your disciplinary processes.

Name: _____ Organization: _____

Date you prepared this questionnaire: _____

Following are some things that you will want to look at as you examine the effectiveness of your performance appraisal process:

1. Do you have a disciplinary action form that is used consistently for any type of disciplinary write-up from a warning to a termination? Y ☐ N ☐
2. Have all supervisors received training on how to prepare and deliver an effective disciplinary review? Y ☐ N ☐
3. Does the supervisor examine the reasons for poor performance including poor recruiting resulting in a lack of basic skills, poor job definition, lack of tools, inconsistent or conflicting direction, poor processes, etc? Y ☐ N ☐
4. Has the supervisor communicated the performance expectations of the job to the employee? Y ☐ N ☐
5. Has the supervisor provided regular feedback around those expectations to the employee? Y ☐ N ☐

6. Is the supervisor required to discuss the reasons for poor performance with his/her supervisor and seek other possible solutions prior to any disciplinary action? Y ☐ N ☐
7. Is the supervisor required to discuss the potential disciplinary action with his/her supervisor prior to a warning/write-up/termination interview? Y ☐ N ☐
8. Is the supervisor required to provide specific examples that support the write-up including dates and a summary of the incident(s) when completing the disciplinary action form? Y ☐ N ☐
9. Is the supervisor required to provide a performance improvement plan with specific performance improvement recommendations on the disciplinary write-up? Y ☐ N ☐
10. Is the supervisor required to specifically list the consequences of continued non-performance on the disciplinary action form including the potential for termination if the behavior or actions continue? Y ☐ N ☐
11. Does the supervisor discuss the completed disciplinary action form with his/her supervisor prior to discussion with the employee? Y ☐ N ☐
12. Is the supervisor required to consult with HR prior to the disciplinary action taking place? Y ☐ N ☐
13. Does Human Resources do an internal analysis of the consistency of the actions to be taken, comparing those to similar situations within the organization? Y ☐ N ☐
14. Does the supervisor go through the entire disciplinary action form with the employee, including the specific examples of where performance is not meeting the expectations of the position? Y ☐ N ☐
15. Does the employee have an opportunity to provide additional information or a rebuttal of the disciplinary action? Y ☐ N ☐
16. Can the employee make written comments on the disciplinary action form? Y ☐ N ☐
17. Are both the supervisor and employee required to sign and date the form? Y ☐ N ☐
18. If the employee does not wish to sign the form, how is this situation handled?

19. Who is responsible for monitoring the performance improvement plan?

20. Is a copy of the disciplinary action form provided to the employee? Y ☐ N ☐
21. Is the original of the disciplinary action form retained in the employee file for future reference? Y ☐ N ☐

Additional Notes/Questions: _____

As mentioned in the introduction, a sound disciplinary process is necessary to protect your organization. The questions above will help you begin to measure the success of your specific process and perhaps point up areas that you need to consider for the future.

For further detail or help with these questions, please contact your subscription project manager or for other questions, contact Joyce Grenis at jgrenis@sikich.com Jennifer Lollino at jlollino@sikich.com or Julie Strahl at jstrahl@sikich.com

This form can be filled out and saved and emailed back as an attachment. Or you can fax a copy to 630.829.2808