CRM *learning*

POSITIVE DISCIPLINE

PARTICIPANT'S WORKBOOK

Leadership is the art of getting someone else to do what you want done because they want to do it.

— Dwight D. Eisenhower

CONTENTS

Worksheet A

Workshop Purpose

Instead of using punishment to deal with performance issues, the Positive Discipline approach involves a problem-solving discussion that encourages employees to take personal responsibility for their behavior and for making needed improvements.

Workshop Objectives

After completing this workshop, participants will be able to:

• Show how a punishment approach to disciplinary problems is counterproductive.

• Explore and practice the steps in using Positive Discipline.

• Use the proven strategy of Positive Discipline to intervene, solve, and prevent disciplinary problems in their own departments.

• Encourage employees to take personal responsibility for their behavior.

About Positive Discipline

Positive Discipline is a performance improvement strategy that utilizes a time-tested, five-step process:

1. Identify the problem – the gap between actual and desired performance.

2. Analyze the severity of the problem

3. Discuss the problem

4. Document the discussion

5. Follow up to monitor results

Worksheet B

Video Presentation

Who's Who?

Situation	Supervisor	Employee
Health Care	Sylvia	Marie
Office	Elizabeth	Mike
Shop Floor	Ricardo	Terry

An outline of the video is on the back of this worksheet. Use this outline to take additional notes as you watch the video.

As you view the video, look for answers to the following questions.

How have you handled problems similar to the ones in the video?	
Have you lost valuable employees because they reacted negatively to a disciplinary action they viewed as punitive or a problem they viewed as minor? How could you have handled the situation differently?	
What are the recurring themes to the disciplinary problems you face on a day-to-day basis?	

Video Notes:

1. Identify the Problem – the gap between expected and actual behavior

2. Analyze the Severity of the Problem

   • Determine the impact

   • Determine the consequences

   • Check past practices

   • Decide what type of discussion is appropriate

3. Discuss the Problem with the Employee

   • Start with a non-accusatory opening

   • Describe the gap between actual and desired performance
     – Ask for an explanation
     – Ask for an agreement

   • If no agreement is reached, describe impact
     – Ask for an agreement

   • If no agreement is reached, describe consequences
     – Ask for an agreement

   • After gaining agreement, ask:
     – What specifically will you do?
     – Can you think of anything that would prevent you from doing what you've agreed to?
     – Will you do it?

   • Thank the employee and end on a positive note

4. Document the Discussion

   • Take notes, type them up

   • Distribute a copy of your notes/clear agreement to the employee and to any other appropriate team members

5. Follow up to monitor results

   • If behavior has improved, thank and praise the employee

   • If behavior hasn't improved:
     – Meet with the employee to find out why
     – Remind them of their commitment and agree on an alternative solution
     – Take further action as required

Worksheet C

Step 1: Identify the Problem

1. Use the space below to describe a recent disciplinary problem.

2. What is the performance gap?

What behavior do you expect from employee?	What is the employee actually doing?

3. Is the employee aware that they are under-performing? If not, what can you do to make them aware?

Worksheet C *(Continued)*

Step 2: Analyze the Severity of the Problem
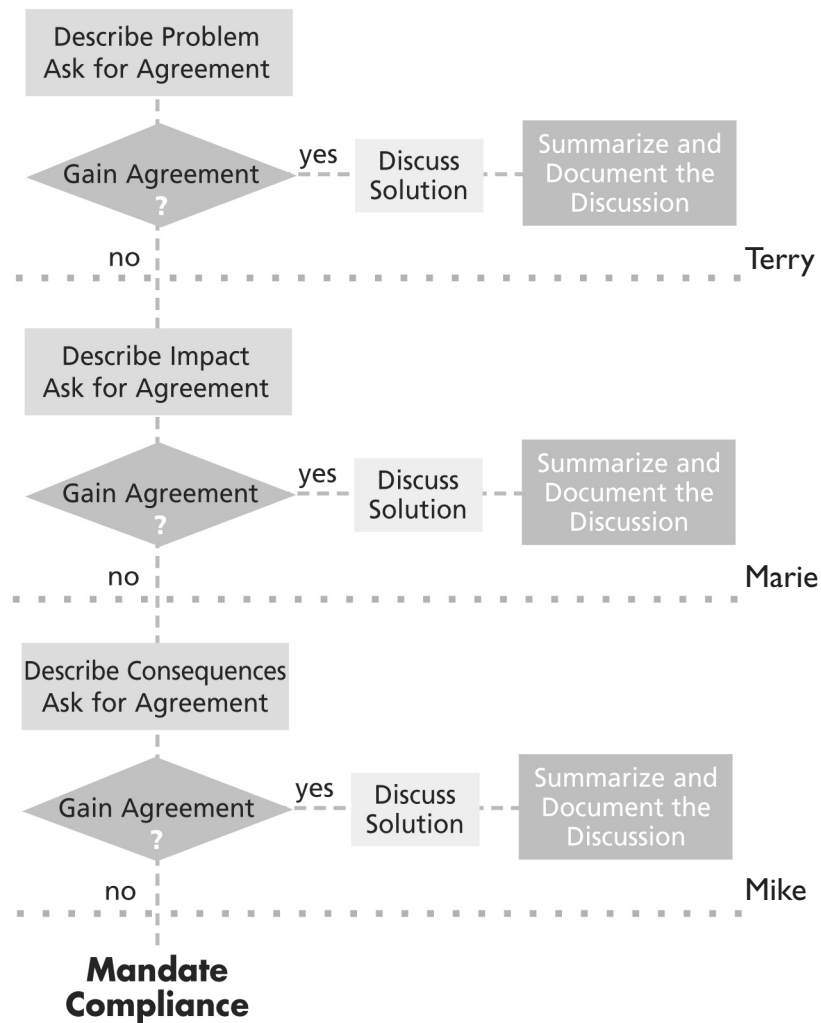
4. Analyzing the severity
a. Describe the impact of the problem on the work team or organization.
b. What are the consequences for the employee if the problem is not resolved?
c. What guidelines can past practices (or the experience of others) provide for a solution?
d. What level of discussion is appropriate – coaching or a more formal discussion?

Worksheet D

Gaining Agreement

Follow these steps to gain agreement with your employee on how to solve the disciplinary problem.

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        ┌──────────────────────┐
        │   Describe Problem    │
        │  Ask for Agreement    │
        └──────────┬───────────┘
                   │
          ◇ Gain Agreement ◇    yes   ┌──────────┐       ┌──────────────┐
          │       ?        │─ ─ ─ ─ ─ │ Discuss  │─ ─ ─ ─│ Summarize and│
          ◇────────────────◇          │ Solution │       │ Document the │
                   │                   └──────────┘       │  Discussion  │
                  no                                      └──────────────┘
        · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · ·  Terry

        ┌──────────────────────┐
        │   Describe Impact     │
        │  Ask for Agreement    │
        └──────────┬───────────┘
                   │
          ◇ Gain Agreement ◇    yes   ┌──────────┐       ┌──────────────┐
          │       ?        │─ ─ ─ ─ ─ │ Discuss  │─ ─ ─ ─│ Summarize and│
          ◇────────────────◇          │ Solution │       │ Document the │
                   │                   └──────────┘       │  Discussion  │
                  no                                      └──────────────┘
        · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · ·  Marie

        ┌──────────────────────┐
        │ Describe Consequences │
        │  Ask for Agreement    │
        └──────────┬───────────┘
                   │
          ◇ Gain Agreement ◇    yes   ┌──────────┐       ┌──────────────┐
          │       ?        │─ ─ ─ ─ ─ │ Discuss  │─ ─ ─ ─│ Summarize and│
          ◇────────────────◇          │ Solution │       │ Document the │
                   │                   └──────────┘       │  Discussion  │
                  no                                      └──────────────┘
        · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · ·  Mike
             Mandate
            Compliance
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Worksheet E

Step 3: Discuss the Problem

Fill out the following form to conduct your role play. Use a copy of this form (in the back of this Workbook on page 13) to plan future employee performance discussions.

Describe the performance problem (Use the problem described on Worksheet C, or choose a new one).	
1. What is your positive opening?	
2. What is the performance gap you will describe to the employee?	
3. Ask for an explanation from the employee, then for their agreement to solve the problem. If the employee is struggling to come up with a solution, what ideas do YOU have for solving the problem?	If you gain agreement at this point, ask: What specifically will you do differently? What obstacles might prevent you from doing what you've agreed to do? Will you do it?
If agreement is reached, exit at this point.	

4. What is the impact of the problem on the team or organization?	**If you gain agreement at this point, ask:**
	What specifically will you do differently?
If the employee is struggling to come up with a solution, what ideas do YOU have for solving the problem?	What obstacles might prevent you from doing what you've agreed to do?
	Will you do it?

If agreement is reached, exit at this point.

5. What are the consequences for the employee if the problem continues?	**If you gain agreement at this point, ask:**
	What specifically will you do differently?
If the employee is struggling to come up with a solution, what ideas do YOU have for solving the problem?	What obstacles might prevent you from doing what you've agreed to do?
	Will you do it?

If agreement is reached, exit at this point.

| 6. How will you follow up to check on the employee's progress? By when? Be sure to inform the employee of this timeline for following up. | |

| 7. If you must mandate compliance, what are your next steps? | |

Worksheet E *(Continued)*

Observing the Role Plays

Use this space for notes on the role play you observe (body language, types of statements made by both parties).

When did the supervisor and employee reach agreement?

What was the agreement?

What follow-up was agreed to?

Which parts of the discussion were uncomfortable?

Which parts seemed effective?

Worksheet F

Step 4: Document the Discussion

Use this form to plan your documentation memo.

The Problem	What are the facts of the problem (no opinions or generalities)?
	What is the desired performance?
	What is the actual performance?
	What is the impact of this problem on others and the organization?
	What are the consequences to the employee if the problem continues?
The History	How long has the problem existed?
	Have there been previous discussions about the problem? If so, has any prior disciplinary action been taken?
	Has the employee failed to live up to agreements made in prior discussions?
The Discussion	Date, time, and location of the conversation:
	Specific explanatory comments and statements made by the employee:
	All actions the employee said he or she would take to correct the problem:
	If you were unable to gain an agreement, what did you tell the employee when mandating compliance?

Worksheet G

Documentation Sample

TO: M. Ployee
FROM: D. Manager
DATE: Today's Date
SUBJECT: WORK PERFORMANCE DISCUSSION

This memo summarizes our discussion today, at 9:00 AM in the conference room, regarding a work performance issue. Each team member is expected to complete and submit all daily reports before leaving at the end of the day. However, on Tuesday of this week, you left work without turning in your report. We talked about this before, on January 4, at which time you agreed you would turn in your reports as expected.

Today, you said that you didn't see why this was "such a big deal." I replied by explaining the impact of the problem – that when all daily reports are not completed and submitted on time:

1. Department statistics will be incomplete and inaccurate;

2. Management may make bad decisions based on incomplete data;

3. It causes scheduling problems and creates more work for others;

4. Customer orders or services may be delayed;

5. Additional management time and paperwork is required to correct resulting problems.

You then said that you have many other priorities you feel are more important than the daily reports. Although you do have other responsibilities, I re-emphasized that the reports must be completed because of their importance to our overall operation. I also informed you of the potential negative consequences you could expect – if the problem continues – up to, and including, formal disciplinary action.

You told me that you now understand the importance of this expectation and agreed to have all reports completed and turned in as required. You said that you will set aside a time period in the last 30 minutes of each workday to complete and submit your reports, and you will contact me for clarification of priorities if you have a conflict.

I believe that putting your solution into practice will resolve this issue. I will be monitoring your reports and will follow up with you at the end of next week. Thank you for your commitment to keep on track with our department's standards.

Worksheet H

Step 5: Follow-Up

If the problem has been resolved:

- Thank the employee for living up to the commitment.
- Use positive reinforcement and recognition as the best ways to build and maintain superior performance.
  - Positive follow-up builds trust in you and your problem-solving abilities.
  - Positive follow-up demonstrates that working together to solve problems is in everyone's best interest.

If the problem has not been corrected:

- Meet with the employee to find out why.
- Remind the employee of their commitment and try to find an alternative solution that can be agreed to by the employee.
- Take further action as required.

My Next Action Steps:
Discussion Planner

1. Describe the performance problem	
2. What is your positive opening?	
3. What is the performance gap you will describe to the employee?	
4. Ask for an explanation from the employee, then for their agreement to solve the problem. If the employee is struggling to come up with a solution, what ideas do YOU have for solving the problem?	If you gain agreement at this point, ask: What specifically will you do differently?
	What obstacles might prevent you from doing what you've agreed to do?
	Will you do it?
If agreement is reached, exit at this point.	

5. What is the impact of the problem on the team or organization?	**If you gain agreement at this point, ask:** What specifically will you do differently?
If the employee is struggling to come up with a solution, what ideas do YOU have for solving the problem?	What obstacles might prevent you from doing what you've agreed to do?
	Will you do it?

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6. What are the consequences for the employee if the problem continues?	**If you gain agreement at this point, ask:** What specifically will you do differently?
If the employee is struggling to come up with a solution, what ideas do YOU have for solving the problem?	What obstacles might prevent you from doing what you've agreed to do?
	Will you do it?

If agreement is reached, exit at this point.

7. How will you follow up to check on the employee's progress? By when? Be sure to inform the employee of this timeline for following up.

8. If you must mandate compliance, what are your next steps?

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