

## DISCIPLINARY ACTION

Disciplinary actions are for those situations that could result in termination. There are two primary situations where disciplinary actions are warranted.

- First are those where an employee consistently violates company policies regarding attendance or sick days or uniform. The first step should have been a coaching document (or more than one). If the employee failed to respond to coaching and your management, then it's time to put it in the form of this disciplinary action, with the consequence a clear understand that they may lose their job. This may be a difficult approach for many of you, but keep in mind how much an employee such as this can kill the spirit and the motivation of the rest of your folks.
- The second circumstance is when an action is so egregious (definition: conspicuously and outrageously bad or reprehensible ) that it must be dealt with immediately and forcefully – sexual harassment or intoxication or fighting on the job.

**Either way, a Disciplinary problem is serious and must be dealt with and MUST BE DOCUMENTED.**

To get to the point where you can create a Disciplinary Action, open up an Individual Employee's page. As a Super Manager, click on **VIEW EMPLOYEES** and the list of all employees will come up.

**VIEW...**

**Job Descriptions**

**Employees**

**Managers**

**Introductory Evaluations**

**Training Documents**

**Coaching Documents**

**Applause Documents**

**Disciplinary Actions**

**Periodic Evaluations**

**Annual Reviews**

**MED Supply Company**

Click on an employee to open for viewing and editing.

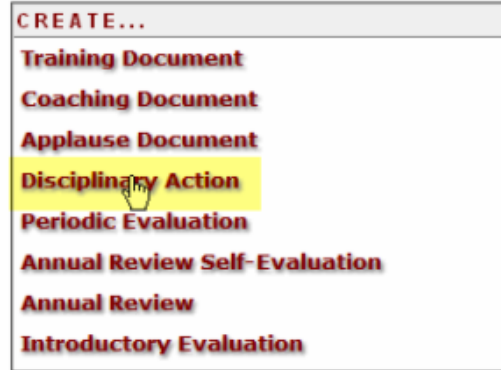
Def?	Employee Name	Employee ID	Job Description	Hire/Eval Date	Status
	<a href="#">Billy Johnson</a>	8998	<a href="#">Billing - Collections and Denials</a>	11/09/2005	Active
	<a href="#">Dolly Madison</a>	4321	<a href="#">Respiratory Therapist - Vent</a>	10/7/2005	Active
	<a href="#">Doug Doug</a>	6489	<a href="#">rehab tech 1</a>	11/17/2006	Active
	<a href="#">Gary Weems</a>	1212	<a href="#">AA HR</a>	10/02/2006	Active
	<a href="#">Glenn Close</a>	6666	<a href="#">CSR 1</a>	10/7/2005	Active
	<a href="#">Han Dee Mann</a>	9834	<a href="#">Administrative Assistant - Service</a>	10/07/2005	Active
	<a href="#">James Doe</a>	9040	<a href="#">customer service rep</a>	10/10/2006	Active
	<a href="#">Jane RT</a>	1569	<a href="#">Respiratory Therapist - Vent</a>	10/05/2006	Active
	<a href="#">Jason Wainright</a>	125	<a href="#">CSR 1</a>	1/30/2006	Active
	<a href="#">JAYCEE MOORE</a>	4506	<a href="#">RESPIRATORY SERVICE TECH 1</a>	03/17/2006	Active
	<a href="#">Jim Smith</a>	1111		10/07/2005	Active

As a Manager, simply enter your Manager's Page for a listing of all of your employees to whom you have access.

Welcome Pam Jones! What would you like to do today?

Employee Name	Employee ID	Job Description	Hire Date	Status
<a href="#">Mary Jones</a>	9236495151	<a href="#">CSR/Reimbursement Specialist</a>	11/30/2005	Active
<a href="#">Pam Tom</a>	9872	<a href="#">Billing - Collections and Denials</a>	11/20/2006	Active
<a href="#">Tony Soprano</a>	4444	<a href="#">Billing - Collections and Denials</a>	10/7/2005	Active
<a href="#">Uma Thurman</a>	976431	<a href="#">Reimbursement Specialist</a>	11/14/2006	Active
<a href="#">William Shatner</a>	676869	<a href="#">Reimbursement Specialist</a>	11/14/2006	Active

Click on the name of the employee you want to create a document for and their page comes up. Click on **CREATE DISCIPLINARY ACTION**.



**Specific Behavior & Specific Actions**

This is the first field that comes up. You could either simply put the behavior in your own words or click on **Click Here for a Pre-defined List**. EmTrak 3.1 lists the majority of disciplinary situations we have found with members' companies. However, the list is not exhaustive. In this case, let's use the Predefined List.

**Specific Behavior**

What specific behavior has this employee demonstrated which needs correction? [Click here for a predefined list.](#)

A large empty rectangular text input field with a thin blue border.

Once you've clicked on the Predefined List, this list comes up. Let's assume this employee has continued to be late to work, even though you've created a couple of coaching documents to try to deal with it (and to make certain there is documentation of your actions). Click on that item and click NEXT.

A screenshot of a selection screen. At the top, it says "Select a scenario from the list and click the Next button for a list of predefined requirements." Below this is a list of radio button options. The first option, "This employee has been late to work in excess of acceptable company standards.", is highlighted in yellow. The other options are: "This employee has been absent from work without excuse in excess of company standards.", "This employee has refused to accept reasonable additional work requests.", "This employee is not accurately and/or fully completing the paperwork required for their position.", "This employee continues to make an unacceptable percentage of errors despite our best efforts to educate them as to the proper paperwork requirements.", "This employee has made comments which violate the company's Sexual Harassment Policy.", "This employee has made comments which customers have described as insensitive or offensive, particularly in regards to a patient in our care.", "This employee has not handled telephone customers in the courteous and respectful way which is expected of our company's employees.", "This employee has not been following the company established workplace safety rules and procedures.", "This employee has not been following the company proscribed policies and procedures concerning patient information confidentiality.", and "This employee has not been following the proscribed policies and procedures concerning the".

The screen below pops up with a suggestion for action with that employee (sort of like the coaching documents). Currently, there is only one option for most situations – as EmTrak 3.1 develops, I will add other suggestions and options (that's why the heading suggests "Select a disciplinary action requirement from the list – eventually there will be a list!). Click on [Insert Into Document](#).

Select a disciplinary action requirement from the list, then click the Insert Into Document button at the bottom of page to insert text into underlying form.

Within the time frame designated by the follow-up date, this employee cannot be late to work without prior management approval. Further violation of company policies and requirements may/will result in further disciplinary action, up to and including termination.


**Insert Into Document**      **Close Window**

### Comments, Follow-up Date and Status


The final piece is to add your comments regarding this employee and then put in the follow-up date. Keeping in mind that this is a disciplinary action, you probably want the follow-up on a short time frame. Seven days before the follow-up date, you will get a reminder that you created a Disciplinary Action for this employee and that you need to follow up. Leave the Disciplinary Action at OPEN. There is still significant work to do to follow-up.

**Specific Behavior**  
*What specific behavior has this employee demonstrated which needs correction? [Click here for a predefined list.](#)*

This employee has been late to work in excess of acceptable company standards.


**Specific Actions**   
*What specific actions must this employee take to correct this behavior?*

Within the time frame designated by the follow-up date, this employee cannot be late to work without prior management approval. Further violation of company policies and requirements may/will result in further disciplinary action, up to and including termination.


**Comments**   
*Enter any comments in the space provided.*

We have created two prior Coaching Documents to deal with this issue. This is William's final opportunity to correct this problem.


**Follow-up Date**  
*When would you like to follow up on this disciplinary action?*

12/29/2006  Today is 11/29/2006

**Disciplinary Action Status**  
*What is the status of this disciplinary action?*

Open 

If any of these goals involved MED U courses, then click on EMAIL MED UNIVERSITY. That link will automatically bring up your email mechanism on your computer.

<b>Specific Actions</b>	
<i>What specific actions must this employee take to correct this behavior?</i>	
Within the time frame designated by the follow-up date, this employee cannot be late to work without prior management approval. Further violation of company policies and requirements may/will result in further disciplinary action, up to and including termination.	

Simply copy and paste these goals into the body of that email, email to us in the address provided, and we will follow through immediately with your employee. In this case, there are no MED U courses involved, no need to email. However, if you were to email, it would look like this.

<b>Gary Schwantz/MED Group</b> 12/05/2006 01:56 PM	To: medu@medgroup.com
	cc:
	bcc:
	Subject: MEDU Notification from EmTrak 3.1 - From Pam Jones of MED Supply Company

MEDU Admin, please sign up William Shatner (wshatner@medgroup.com) for the following courses:

\*\* Target: Effective collection of all required documents  
Take the MED U course REM 102 - Reimbursement and Documentation and after completion, review the proper procedures with management. Get the processes down on paper in an easily understandable format, define needed improvements with manager, then follow through before next review.

Pam Jones  
MED Supply Company  
—

### Completing the Disciplinary Action

You get the email that it's time to follow up. The next step will be to see if this employee has completed what was required. In this example, it was simply not to be late again. In other cases, it may be to complete a MED U course, provide a report to a supervisor, any number of actions. Now it's time to **complete** or **renew** this disciplinary action.

Complete means it's done – the employee either did what he was requested or failed to do so. Either way, you want to document what occurred (**documentation is especially critical in disciplinary actions!**) In this example, let's say this employee did what was requested. Open the Disciplinary Action (you can either open it on the employee log or click on View Disciplinary Actions).

View/Print Full Employee Log

Del?	Date	Log Entry (first 80 characters)
	<a href="#">11/29/2006</a>	William was 2 hours late today - 2nd day this week
	<a href="#">11/29/2006</a>	SIGNED JOB DESCRIPTION ATTACHED
	<a href="#">11/01/2006</a>	Annual Review created by Pam Jones on 11/01/2006
	<a href="#">10/29/2006</a>	Coaching Document created by Pam Jones on 10/29/2006
	<a href="#">09/29/2006</a>	Applause Document created by Pam Jones on 09/29/2006
	<a href="#">09/15/2006</a>	Disciplinary Action created by Pam Jones on 09/15/2006
	<a href="#">09/15/2006</a>	Introductory Evaluation created by Pam Jones on 09/15/2006
	<a href="#">06/26/2006</a>	Training Document Action created by Pam Jones on 06/26/2006

VIEW ...

- Training Documents
- Coaching Documents
- Applause Documents
- Disciplinary Actions
- Periodic Evaluations
- Annual Reviews
- Introductory Evaluation
- Job Description

Log Entry:

Enter comments in the space provided.

Disciplinary Action created by Pam Jones on 9/15/2006

Original Document:

Click on the icon below to open the original document.

Open the document and click on Edit Disciplinary Action on the upper left-hand side.

When you do that, then you can edit and add comments to the document. In this case, let's add the comment that Williams successfully completed this action. Click on the pencil icon next to Comments.

Edit Disciplinary Action
Return to Menu

<b>Employee Name</b> William Shatner	<b>Job Title</b> Reimbursement Specialist
<b>Department</b> Billing	<b>Manager</b> Pam Jones
<b>Employee ID</b> 676869	<b>Date</b> 11/29/2006

Specific Behavior

What specific behavior has this employee demonstrated which needs correction?  
This employee has been late to work in excess of acceptable company standards.

Specific Actions

What specific actions must this employee take to correct this behavior?  
Within the time frame designated by the follow-up date, this employee cannot be late to work without prior management approval. Further violation of company policies and requirements may/will result in further disciplinary action, up to and including termination.

Comments

Enter any comments in the space provided.  
We have created two prior Coaching Documents to deal with this issue. This is William's final opportunity to correct this problem.

Follow-up Date

When would you like to follow up on this disciplinary action?

Comments

Enter any comments in the space provided.

We have created two prior Coaching Documents to deal with this issue. This is William's final opportunity to correct this problem.

Follow-Up Date

**Disciplinary Action Status**  
*What is the status of this disciplinary action?*

Open  
 Open  
 Complete  
 Sealed

Signature: \_\_\_\_\_

**Reviewer Signature:** \_\_\_\_\_

**Review Date:** \_\_\_\_\_

The program will automatically put in the date for you. Now, add your comments, change the Disciplinary Action Status to either COMPLETE or SEALED.


OPEN means the document hasn't been touched or there is still significant work to do. If a document is OPEN, then you will get email reminders about that document. COMPLETE means that you are done, but that the document can still be edited. Perhaps there is something in the document that needs additional follow-up. Once you know a document is complete, then you may choose to select SEALED. Once the document is SEALED, it cannot be edited. This offers security to your staff member that final documents are the final document.

**What if I wanted this Disciplinary Action to continue?**

Here's my recommended approach. Come into the document on the follow-up date. Click on the pencil icon next to Comments, but this time we will note that we plan on continuing this action for two more months.

"William has been successful this month, but we are going to continue a two month action where he will not be late to work without prior approval."


Change the Follow-up Date for an additional two months (to 2/28/2007) and keep the Disciplinary Action Status as Open. You will get a reminder on February 21<sup>st</sup> that you need to follow up.

**Comments** 

*Enter any comments in the space provided.*

We have created two prior Coaching Documents to deal with this issue. This is William's final opportunity to correct this problem.  
 12/29/2006 9:48 A.M.  
 William has been successful this month, but we are going to continue a two month action where he will not be late to work without prior approval.

**Follow-Up Date**  
*When would you like to follow up on this disciplinary action?*

02/28/2007  Today is 11/30/2006

**Disciplinary Action Status**  
*What is the status of this disciplinary action?*

Open  
 Open  
 Complete  
 Sealed

Signature: \_\_\_\_\_

**Reviewer Signature:** \_\_\_\_\_