

## **PURPOSE:**

Chatham Area Transit Authority (CAT) has adopted a progressive discipline policy to identify and address employee and employment related problems where appropriate. This policy applies to all employee conduct that CAT, in its sole discretion, determines must be addressed by discipline. No discipline policy can be expected to address each and every situation requiring corrective action that may arise in the workplace. Therefore, CAT takes a comprehensive approach regarding discipline and will attempt to consider all relevant factors before making decisions regarding discipline. CAT need not administer progressive discipline as sequentially listed below but may take whatever action it deems necessary to address the issue at hand. This may mean that more severe disciplinary actions are imposed immediately in a given situation depending on the issue at hand.

The purpose of this policy is to assist managers by providing tools to address misconduct and to assist employees by providing a clear understanding of the available progress disciplinary measures. It is important that discipline is applied in a fair and consistent manner.

## **DEFINITIONS:**

***Performance Improvement Plan (PIP):*** A tool to identify and create an action plan for employees when there are deficiencies present in their performance.

## **SPECIFICS:**

The Progressive Discipline Policy does not apply to complaints covered under the Harassment, Discrimination and Retaliation (HDR) Prevention Policy. Such complaints should be reported to the EEO Officer, Ethics and Compliance Hotline, Human Resources Department or Compliance Department and handled under the procedures outlined in the HDR Prevention Policy.

Corrective action calls for any of five measures, the use of which will depend on the severity of the infraction and the number of times the particular employee has committed the offense. The method or action chosen should be the one most likely to accomplish the overall purpose of correcting the employee's actions in the particular situation. CAT reserves the right to immediately demote, suspend or discharge an employee rather than follow the corrective action steps as outlined below:

## **PROCEDURE:**

### **1. Progressive Disciple Process**

- **Verbal Reprimand**

The supervisor informs the employee of the problem and the necessary actions for its resolution is discussed. The discussion shall be documented by the supervisor.

- **Written Reprimand**

The supervisor outlines the deficiencies or infractions and the expected corrective action on paper and meets with the employee to discuss the reprimand. The employee will sign the reprimand indicating that he/she has received it. A copy of the reprimand will be placed in the employee's personnel file.

- **Suspensions**

CAT may suspend an employee with or without pay. A written notice of the suspension will be provided to the employee. A copy of the notice will be placed in the employee's personnel file. Once the appropriate suspension document is prepared and signed, the supervisor/manager should meet with the employee to attempt to:

- Explain why the incident requires discipline, especially how the conduct is not in accordance with acceptable standards;
- Review prior disciplinary actions relating to this new discipline;
- Indicate the length of the suspension without pay; and
- Document that termination for any additional misconduct is the next step in progressive discipline. Suspension documents are to be maintained in an employee's personnel file.

The EEO Officer must review any suspension.

- **Termination**

CAT, through the head of Human Resources may terminate an employee with or without cause.

The EEO Officer must review any termination.

- **Performance Improvement Plan (PIP)**

Any employee whose performance does not meet expectations may be placed on a Performance Improvement Plan for a specified period of time. Failure to satisfactorily improve performance, in accordance with said plan, may result in dismissal.

## ***2. Employee Response(s) to Corrective Action***

As a result of an ongoing employee relations issue, an employee has the right to review his/her personnel file and to place in this file any response that the employee wishes with respect to a written reprimand, suspension, termination, or Performance Improvement Plan.

### **REFERENCES:**

CAT Code of Business Conduct and Ethics.

**APPLIES TO:**

All non-union employees of Chatham Area Transit Authority.

**ATTACHMENTS:**

- A. Disciplinary Action Form
- B. Performance Improvement Plan (PIP)



### Disciplinary Action Form

CAT Policy References: Code of Conduct, EEO, Due Process, Progressive Discipline; Attendance; Sick Leave

<b>Employee Name:</b>	
<b>Manager Name:</b>	
<b>Employee Number:</b>	<b>Department:</b>

<b>Violation Date/Time:</b>
<b>Violation Type:</b>
<b>Code/Policy /Regulation Violated:</b>

Verbal Warning (no employee signature needed)

<b>Manager Statement:</b>
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\_\_\_\_\_  
Manager Signature  
(First Page Only for Verbal Warning]

\_\_\_\_\_  
Date

WRITTEN NOTICE (Employee Signature Required)

VIOLATED CODE/POLICY/REGULATION ATTACHED

**Manager Statement**

Background

Issue:

Warning:

^ is reminded of the No Retaliation provision on page 3 of CAT's Code of Business Conduct. No retaliation, in any manner or form, against ^ will be tolerated. Any retaliation against ^ will result in immediate termination.

**Employee Remarks**

**Disciplinary Action Recommended:**

- Termination
- Suspension without pay for a period of: \_\_\_\_\_
- Performance Improvement Plan (PIP) (Attached)
- Other: \_\_\_\_\_

**Reason for Proposed Action:**



## Disciplinary Action Form

CAT Policy References: Code of Conduct, EEO, Due Process, Progressive Discipline; Attendance; Sick Leave

PIP:  - 30 days;  - 60 days;  - 90 days.

**Expectations:**

**Timeline and Check-Ins:**

**Performance Measurements/Requirements:**

**I have read this document; understand it and I have received an employee copy.**

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Manager Signature

\_\_\_\_\_  
Date



**Performance Improvement Plan (PIP)**  
Confidential

**TO:**  
**FROM:**  
**DATE:**  
**RE: Performance Improvement Plan (PIP)**

The purpose of this Performance Improvement Plan (PIP) is to define serious areas of concern, gaps in your work performance, reiterate **DEPARTMENT** expectations, and allow you the opportunity to demonstrate improvement and commitment.

<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>
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**Observations, Previous Discussions or Counseling:**

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**Step 1: Improvement Goals:** These are the goals related to areas of concern to be improved and addressed:

1.	
2.	
3.	
4.	

**Step 2: Activity Goals:** Listed below are activities that will help you reach each goal:

Goal #	Activity	How to Accomplish	Start Date	Projected Completion Date



**Step 3: Resources:** Listed below are resources available to you to complete your Improvement activities.

1.	
2.	
3.	
4.	
5.	

**Step 4: Expectations:** The following performance standards must be accomplished to demonstrate progress towards achievement of each Improvement goal:

1.	
2.	
3.	
4.	
5.	

**Step 5 Progress Checkpoints:** The following schedule will be used to evaluate your progress in meeting your Improvement activities.

Goal #	Activity	Checkpoint Date	Type of Follow-up (memo/call/meeting)	Progress Expected	Notes

**Follow-up Updates:** You will receive feedback on your progress according to the following schedule:

Date Scheduled	Activity	Conducted By	Completion Date
	30-day Update Memo		
	60-day Update Memo		
	60-day Status Memo		





**Timeline for Improvement, Consequences & Expectations:**

Effective immediately, you are placed on a 90-day PIP. During this time you will be expected to make regular progress on the plan outlined above. Failure to meet or exceed these expectations, or any display of gross misconduct will result in further disciplinary action, up to and including termination. In addition, if there is no significant improvement to indicate that the expectations and goals will be met within the timeline indicated in this PIP, your employment may be terminated prior to 90 days. Furthermore, failure to maintain performance expectations after the completion of the PIP may result in additional disciplinary action up to and including termination.

The PIP does not alter the employment-at-will relationship. Additionally, the contents of this PIP are to remain confidential. Should you have questions or concerns regarding the content, you will be expected to follow up directly with me.

We will meet again on as noted above to discuss your Performance Improvement Plan. Please schedule accordingly.



**Signatures:**

Print Employee Name: \_\_\_\_\_

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

Date: \_\_\_\_\_

Print Supervisor Name: \_\_\_\_\_

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

Date: \_\_\_\_\_

Print Supervisor Name: \_\_\_\_\_

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

Date: \_\_\_\_\_