
Disciplinary Action Procedure

1.0 Policy Objective & Scope

The objective of this policy is to establish a standardized, progressive, and legally defensible procedure for addressing employee misconduct, performance deficiencies, and policy violations within the cabinet and millwork manufacturing facility. This procedure ensures consistency, fairness, and documentation across all departments, including Production, Assembly, Finishing, Engineering, and Administration.

This policy applies to all employees, including full-time, part-time, and temporary staff, regardless of tenure or position. It does not apply to contractors or subcontractors, who are managed under separate service agreements. All disciplinary actions must follow the steps outlined herein to mitigate legal risk and maintain a respectful workplace.

2.0 Roles & Responsibilities

- **Human Resources Manager:** Oversees the entire disciplinary process, ensures legal compliance, maintains confidential employee files, and provides coaching to supervisors.
- **Direct Supervisor / Department Lead:** Identifies the issue, conducts initial investigation, delivers verbal and written warnings, and recommends further action to HR.
- **Production Manager:** Reviews and approves all disciplinary recommendations for production staff before escalation to HR.
- **Engineering Manager:** Reviews and approves disciplinary actions for engineering and drafting personnel.
- **Employee:** Has the right to respond to allegations, provide evidence, and appeal decisions through the designated appeal process.
- **Witness (if applicable):** Provides factual accounts during investigations; confidentiality is required.

3.0 Core Rules & Guidelines

- All disciplinary actions must follow a progressive discipline model: Verbal Warning, Written Warning, Final Written Warning, Suspension, Termination.
- Serious misconduct (theft, violence, harassment, safety violations) may result in immediate suspension pending investigation and possible termination without prior warnings.
- All verbal warnings must be documented in the employee's file within 24 hours of delivery.
- Written warnings must be signed by the employee, supervisor, and HR manager. Refusal to sign does not invalidate the warning; note the refusal on the document.
- No disciplinary action may be taken without a fair investigation, including giving the employee an opportunity to respond.
- All documentation must be stored in the employee's confidential HR file, not in departmental folders.

- Retaliation against any employee for reporting misconduct or participating in an investigation is strictly prohibited and will result in immediate termination.

4.0 Step-by-Step Workflow

- 1. Incident Identification:** The supervisor or manager identifies an issue (performance, behavior, policy violation) through direct observation, report from another employee, or automated system flag (e.g., time clock abuse).
- 2. Initial Documentation:** The supervisor completes an Incident Report Form in ShopDocs, detailing the date, time, location, nature of the issue, and any immediate corrective action taken.
- 3. Investigation:** The supervisor, with HR guidance, conducts a prompt and impartial investigation. This includes interviewing the employee, any witnesses, and reviewing relevant records (e.g., CCTV, production logs, timecards).
- 4. Determine Severity:** Based on the investigation findings, HR and the supervisor classify the issue as minor (first offense, low impact) or serious (safety risk, theft, harassment, repeated violations).
- 5. Verbal Warning (if applicable):** For minor first offenses, the supervisor delivers a private verbal warning, clearly explaining the issue, expected improvement, and consequences of recurrence. The supervisor documents the conversation in the employee file.
- 6. Written Warning:** If the issue persists or is more serious, the supervisor drafts a Written Warning using the standard template in ShopDocs. The document includes the specific violation, previous warnings, expected corrective actions, and a deadline for improvement.
- 7. Meeting with Employee:** The supervisor and HR manager meet with the employee to review the Written Warning. The employee is given the opportunity to respond and provide additional information. The employee signs the document; refusal is noted.
- 8. Final Written Warning:** If behavior does not improve after a Written Warning, or for a second serious offense, a Final Written Warning is issued. This document clearly states that any further violation will result in suspension or termination.
- 9. Suspension:** For severe misconduct or repeated violations, the employee may be suspended with or without pay pending a final decision. The suspension is documented and communicated in writing. HR conducts a final review.
- 10. Termination Decision:** HR and the relevant manager review all documentation, investigation findings, and prior warnings. If termination is warranted, HR prepares a Termination Letter and conducts the termination meeting with the employee.
- 11. Appeal Process:** The employee has 5 business days to submit a written appeal to the HR Manager. The appeal is reviewed by a panel consisting of the HR Manager, a senior manager from a different department, and a neutral third party if necessary.
- 12. Final Closure:** The appeal decision is communicated in writing within 10 business days. All documentation is finalized and stored in the employee's confidential HR file. The case is closed in ShopDocs.

5.0 Documentation & Compliance

- All disciplinary records must be stored in the employee's confidential HR file within the company's HRIS or secure digital filing system. Physical copies are kept in a locked filing cabinet accessible only to HR.
- Incident Reports, Warning Letters, Suspension Notices, and Termination Letters must be uploaded to ShopDocs under the employee's profile for centralized access by authorized personnel.

- A quarterly audit of all disciplinary actions taken in the previous quarter must be conducted by the HR Manager to ensure compliance with this procedure and identify any patterns requiring training or policy updates.
- All documentation must be retained for a minimum of 7 years after the employee's termination date, in accordance with Canadian employment standards and privacy regulations.
- Compliance with this procedure is mandatory. Failure by supervisors to follow the steps may result in disciplinary action against the supervisor.

Regulatory Disclaimer: This document is a generic policy and workflow template. The end-user assumes all liability for validating all procedures, roles, and administrative guidelines against actual organizational structures before formal implementation.