
Developing Your Subordinates Through Proper Documentation, Discipline, and Leadership

Michael Studenka
Jasmine Shams

SPEAKER INFORMATION



Michael Studenka

Michael.Studenka@ndlf.com

949.271.7326



Jasmine Shams

Jasmine.shams@ndlf.com

949.271.7287

GOALS & OBJECTIVES

- Why Do Want to Develop the Subordinate?
- What Is Proper Documentation?
- How Can Proper Documentation Develop Your Subordinates?
- What is Proper Discipline?
- How Does Proper Discipline Develop Your Subordinates?
- What Makes a Good Leader?

DEVELOPING THE SUBORDINATE

WHY DEVELOP THE SUBORDINATE?

First Ask: Why Not Develop Them?

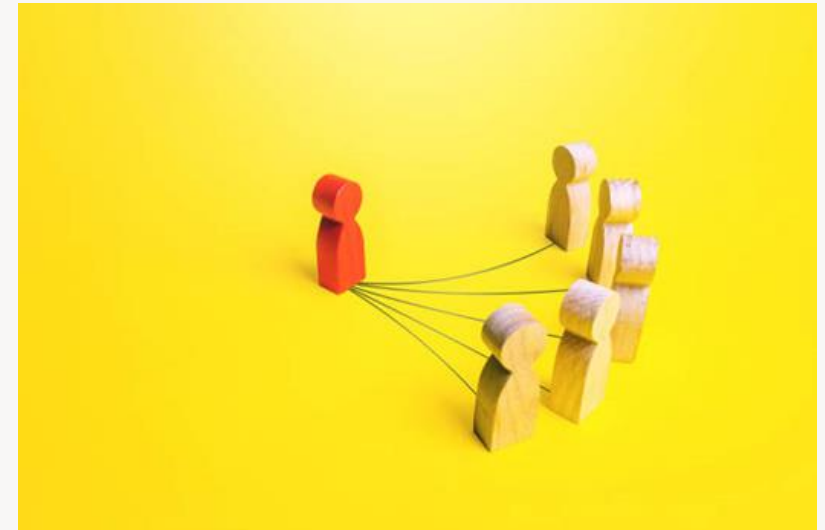
- Americans are quitting jobs at a record pace – The Great Resignation
- Lots of reasons (COVID, child care, remote work, retirement and company culture)
- Culture is something leadership can influence

So there is daylight...



WHY DEVELOP THE SUBORDINATE?

-
- Increases team's overall skill -- better performance
 - Helps ensure everyone is rowing in the same direction – efficiency
 - Facilitates promotability – retention & buy in
 - Increased operational knowledge – profitability
 - Attracts top talent – competitive edge



WHY DEVELOP THE SUBORDINATE – FARM WORKERS?

- Huge labor shortage
- Helps sets standards and goals – better performance
- Expands skills and job responsibilities – efficiency
- Develops your next leaders (foreman, supervisor, HR professional, etc.) – retention & buy in
- Promotes employee-supervisor relations – profitability
- Reputation in the community– competitive edge



USING DISCIPLINE AND DOCUMENTATION TO DEVELOP THE SUBORDINATE

HOW DOES DOCUMENTATION AND DISCIPLINE RELATE TO DEVELOPMENT?

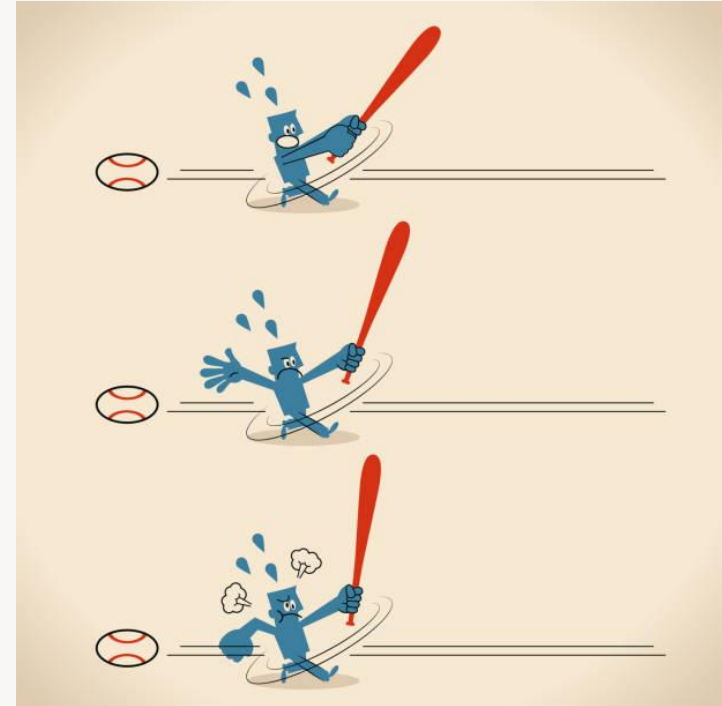
- Discipline helps identify toxic behavior in the workplace.
- Discipline helps subordinates correct shortcomings.
- Documentation helps set expectations and goals.
- Documentation is essential to avoid and defend potential claims.



DOCUMENTATION AND DISCIPLINE

The “three strikes” of discipline:

1. Condonation
2. Lack of Documentation
3. Lack of Communication



DOCUMENTATION AND DISCIPLINE

Condonation = Failure to address unwanted conduct.

Example: Glowing reviews for marginal employees.

Example: Ignoring misconduct because you are “too busy.”

Result: False expectations (short-term) and inability to accept criticism later (long-term).



DOCUMENTATION AND DISCIPLINE

Lack of Documentation:

Example: Supervisor's failure to document events of misconduct, poor performance, or counseling.

Result: Lack of documentation creates an inference of acceptable performance.

Result: Corrective action is impeded or foreclosed.

DOCUMENTATION AND DISCIPLINE

Lack of Communication:

Example: Supervisor prepares and gathers documentation, but fails to follow through with counseling.

Result: Employee does not hear message -- never delivered.

Result: Disciplinary action is impeded or foreclosed.



DOCUMENTATION AND DISCIPLINE

Solution:

- Recognize documentation and employee counseling as part of your job.
- Document incidents and counseling delivered (who, what, when, where, how.)
- Communicate with the employees; let them know where they stand, both orally and in writing.

DOCUMENTATION AND DISCIPLINE

General “Best Practices” for Supervisors:

- Use available resources; don't fly solo.
- Act in a timely manner.
- Be honest.
- Document consistently and objectively.
- Observe rules of proportionality and use progressive discipline as a guideline.
- Treat employees with dignity and respect.

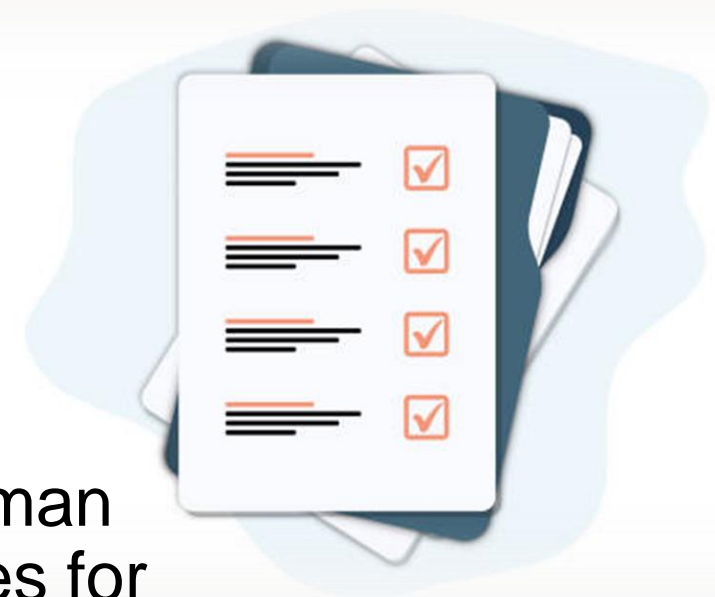
DOCUMENT PREPARATION - SOUND, LEGAL, FACTUAL BASIS

- Focus and the 5 Ws – who, what, when, where, why.
 - “Who” did it.
 - “What” did he/she do.
 - “When” did it happen.
 - “Where” did it happen.
 - “Why” it is grounds for a warning, suspension, termination, etc.



THE NEED FOR CONSISTENT DOCUMENTATION

- Essential to establish the true basis of employer actions.
- Should memorialize specific examples.
- Should be prepared contemporaneously with events.
- Should be prepared in coordination with human resources and conveyed to human resources for placement in the employees personnel file.



DUE DILIGENCE FIRST

- Prerequisite to preparing any employment documentation.
- Inaccurate documentation hurts the company
- Seek guidance from HR.
- Conduct interviews, gather documents, call in the alleged wrongdoer and get his/her side of the story.
- Verify statements and excuses.
- Be careful communicating with email; if an attorney is not involved, it will be discoverable.

TIMING

-
- Too far after the fact; warning loses its significance.
 - Too soon and without proper due diligence; warning may be inaccurate, incomplete or unfair.
 - ***You control the timing!***

DOCUMENT PREPARATION - EMPLOYEE WARNINGS

- Clearly and objectively state the circumstances, i.e., the five Ws.
- Refer to prior written or oral warnings.
- State the applicable policy.
- State the penalty.
- Discuss the change(s) required to avoid further discipline.
- Discuss of the penalty for further misconduct or unsatisfactory performance.
- Confirm of at-will status.

DOCUMENT PREPARATION - PERFORMANCE EVALUATIONS

- Gather review material throughout the year.
- Set aside the time to do a proper evaluation.
- Be fair and objective.
- Avoid hyperbole, e.g., “David is the company’s most valuable asset.”
- Avoid rumor and innuendo.
- Justify opinions with clear examples.
- Avoid “grade inflation.”
- Check for consistency.
- Set clear goals for improvement.
- Follow-up throughout the year.

DOCUMENT PREPARATION

GOOD vs. BAD DOCUMENTATION

Good Documentation	Bad Documentation
Memorializes a sound, legal, factual basis	Creates an inference of an illegal or improper motive
Grounded in objective, provable facts	Based upon subjective opinions or rumor
Clearly communicates expectations and consequences	Threatens, exaggerates, hurts morale, damages credibility

DOCUMENT PREPARATION - SOUND, LEGAL, FACTUAL BASIS

- Avoid references to a protected classification, e.g., “even though she is pregnant, Sally cannot expect to be late to work every day.”
- Focus on facts rather than rumors, hearsay or opinions, e.g., “it is well known in the field that you are taking fruit without permission.”
- Clearly communicate the level of disciplinary action and expectations going forward.

DOCUMENT PREPARATION -- OBJECTIVE, PROVABLE FACTS

Subjective Statement	Objective Statement
“Not a team player”	“Joe refused to work overtime to complete the order before the shipping date demanded by the customer.”
“Insubordinate”	“Joe refused to sweep up at the end of his shift as ordered by his supervisor.”
“Lacks calendar integrity”	“Joe has been late for work without justification five times in the past 30 days.”
“Not a good fit for his position”	“Joe’s produced defective parts 3% of the time and twice as often as his peers.”
“Lacks attention to detail”	“On ten separate occasions, Joe shipped products to the wrong address, resulting in delinquent shipments and missed deadlines.”

DOCUMENT PREPARATION - CLEARLY COMMUNICATE EXPECTATIONS AND CONSEQUENCES

Compare:

John is the worst employee in the company and should be fired immediate. He deliberately failed to follow my instructions resulting in damage to equipment. This has gone too far and management needs to take a stand and make an example out of John. I've had it with him.

With:

On Thursday, October 22, John failed to follow my specific instruction to check the oil in the truck before operating it. John did not check the oil, it was very low, and the motor ceased while John was operating the truck.

This written warning will serve as John's final warning. John's failure to follow my specific instructions again will result in further disciplinary action, up to and including termination.

LEADERSHIP: DEVELOPING YOUR SUBORDINATES

LEADERSHIP

“Leadership: the art of getting someone to do something you want done because he wants to do it.”

Dwight D. Eisenhower

“If your actions inspire others to dream more, learn more, do more and become more, you are a leader.”

John Quincy Adams

MANAGING VS. LEADING

“You Manage Things. You Lead People...”

Manage: budgets, schedules, equipment and supplies, performance review process, hiring and firing process

Lead: people, teams, crews, and groups

HABITS OF A GOOD LEADER

- Rely on a Mirror (Honest Self-Evaluations) – Often...
- Know Your People
- Put the Needs of Your Employees Ahead of Your Own
- Delegate – But Never Ask Your People to Do Something that You Cannot or Will Not Do Yourself.
- Set the Example
- Communicate
- Inspect What You Expect
- Understand that You Are Responsible for What Your Team Does or Fails to Do

WHAT NOW?

You have a group of 4 employees that seems to get along well, seemingly too well. They are all friends outside of work. At work, they joke around with each other, often making sexual jokes, gestures or comments. Although it seems that they are always laughing and no one has complained, they regularly engage in this behavior with one another at work.

QUESTIONS?

Thank You!

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