



INTEGRATED INSTITUTE OF PROFESSIONAL MANAGEMENT

Our Accreditations



Our Standards





Grievance, Discipline & Dismissal

Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Introduction



Introduction



GBS bank offers various financial products, such as saving account, checking account, and loans.

Introduction



Almost all employees of GBS
bank has access to all kinds of
customer data.

Introduction



**Confidential
Data**

All customers' data like addresses, identity information, date of birth is highly confidential data.

Introduction



Introduction



All GBS employees are offered detailed training on how they can protect such confidential data.

Introduction

Also, there is a dedicated 'Policies & Discipline' department.



Introduction



Department ensures that policies are properly communicated and followed by its employees.

Introduction



Same department handles any grievances and discipline-related guidelines that employee may require.

Introduction



Introduction



Each breach that happens should be carefully examined by the 'Policies & Discipline' department.

Introduction



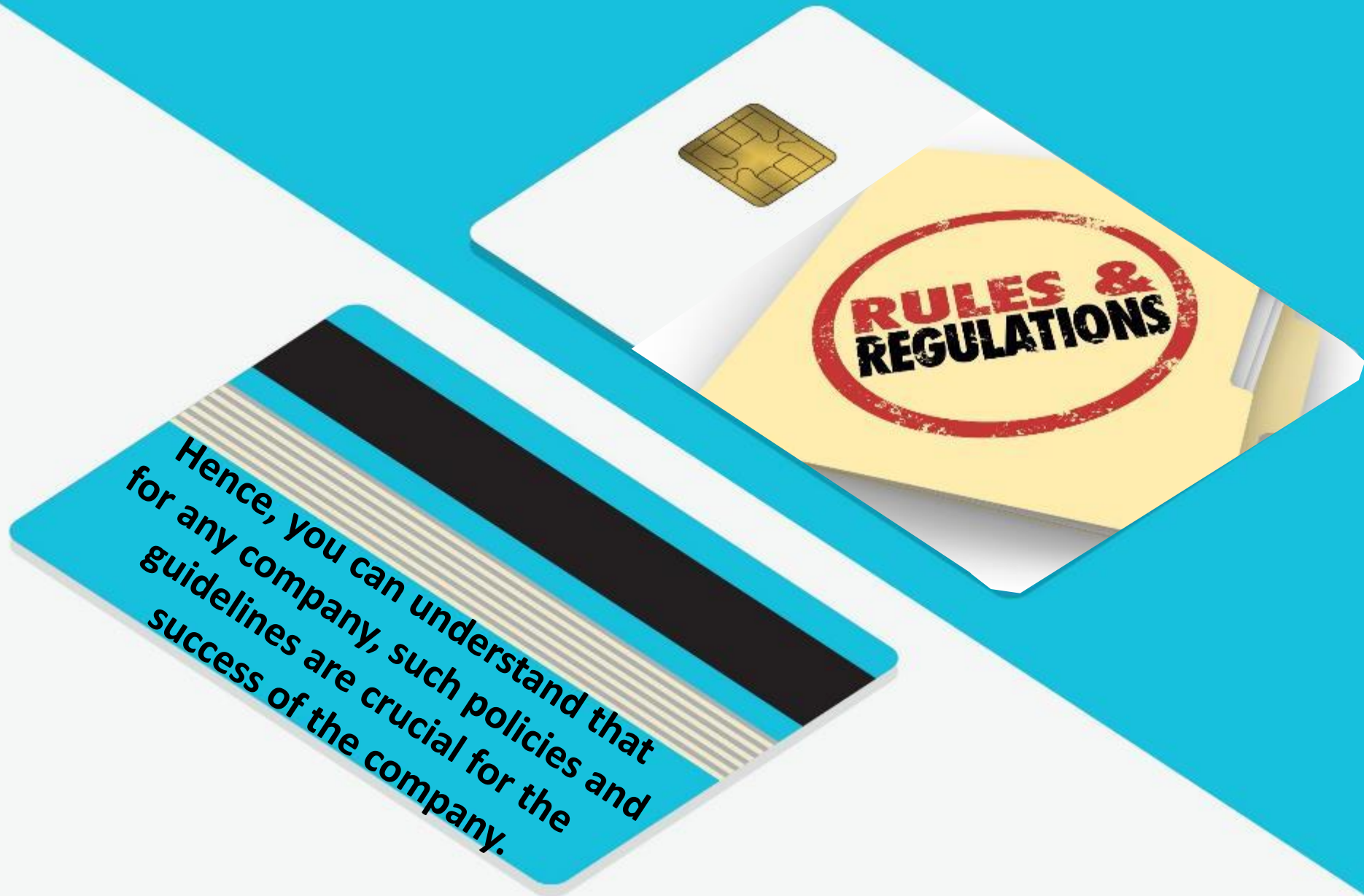
ACTION PLAN

The department then decides the next steps to be taken to dissipate the impact of the breach.

Introduction



Introduction



Introduction



Also, a dedicated department that look at the implementation of such policies is crucial.

Introduction

Let us learn about
'Grievance, Discipline & Dismissals' in further
detail.



Hence, 'Discipline, Grievance & Dismissals' are crucial for any organization.

Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

What is Discipline & Grievance Management?



- **Discipline & Grievance Management** refers to the way a corporation is governed with respect to discipline and grievances.
- It is the technique by which companies are directed and managed to drive discipline.
- It is actually conducted by the **Discipline & Grievance Management** team and the concerned committees for the company's and stakeholder's benefit.
- It is all about balancing organizational, individual and disciplinary goals.

What is Discipline & Grievance Management?



- **Discipline & Grievance Management is basically a detailed disclosure of information and an account of an organization's disciplinary and grievance situation and commitment to business ethics and values.**
- **Discipline & Grievance Management deals with determining ways to take effective strategic decisions.**
- **It gives ultimate authority and complete responsibility to the Discipline & Grievance Management to take disciplinary actions after consultation with management.**

Why Discipline & Grievance Management?

There are various purposes of Discipline & Grievance Management such as follows:

Discipline & Grievance Management is essential for efficiency as well as globalization of an organization.

Discipline & Grievance Management ensures transparency which ensures strong and balanced moral development.

It ensures that the interests of all shareholders (majority as well as minority shareholders) are safeguarded.

It ensures that all employees fully exercise their rights and that the organization fully recognizes their rights.

Discipline & Grievance Management has a broad scope which includes both social and institutional aspects.


Discipline & Grievance Management encourages a trustworthy, moral, as well as ethical environment.

Principles of Discipline & Grievance Management

The following are the principles of good discipline and grievance management:



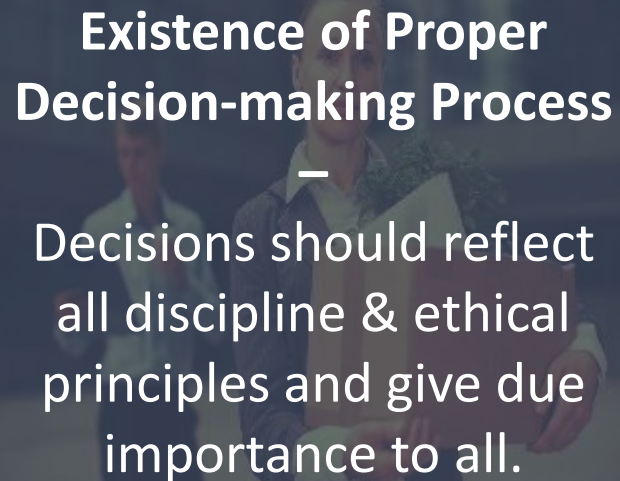
Ethical Approach -
organizational image,
culture, society




Balanced Objectives -
Agreement of goals by all
interested parties



**Equal Participation of
Each Party –**
Roles of key players such
as:
owners/directors/staff



**Existence of Proper
Decision-making Process**
—
Decisions should reflect
all discipline & ethical
principles and give due
importance to all.



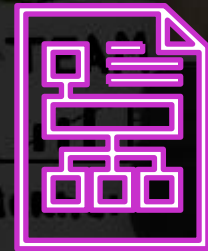
Caring for Stakeholders –
Though some have
greater importance than
others



**Accountability and
Transparency –**
to all stakeholders

Discipline & Grievance Management for Organization

- Ensures proper documentation of discipline and grievance related issues and concerns
- Provides input for training and development needs for discipline and grievance redressal
- Helps to identify organization's discipline and grievance redressal related strengths and weaknesses

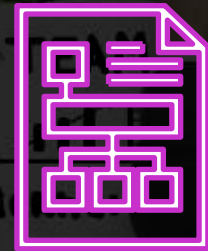


Discipline & Grievance Management for Organization

- Offers Legal protection from discipline and compliance-related misconducts



- Feedback clarifies management's expectations of employees in terms of moral conduct



- To take measures for employee improvement pertaining to discipline and compliance

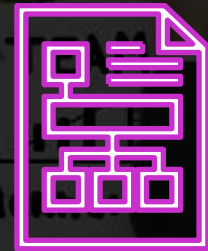


Discipline & Grievance Management for Organization

- Creates a defined system for redressal of grievances between employees



- Input to validation of discipline and dismissal procedures



- Assessment of workforce discipline and moral conduct level

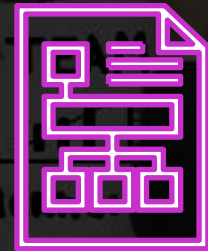


Discipline & Grievance Management for Organization

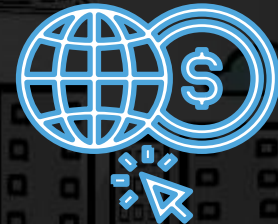
- **Input to human resource planning for conducting training related to discipline and grievance reporting**



- **Develop positive relations and reduce grievance**



- **Maintain organizational control over misconducts and keep business legally sound at all times**



Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Purpose of Discipline & Grievance Management

Provides feedback about employees grievances

Provides inputs for discipline improvement

Offers direction for a more disciplined workforce

01



02



03



Purpose of Discipline & Grievance Management

Offers motivation for future level of effort and direction for handling grievances

Helps in development of grievance-free environment

Clarifies discipline perception of the employee

01



02



03



Purpose of Discipline & Grievance Management

Provides coaching, counselling, and discipline training of employees

Helps to identify organization's discipline-related weaknesses

Helps to drive cohesiveness among employees

01



02



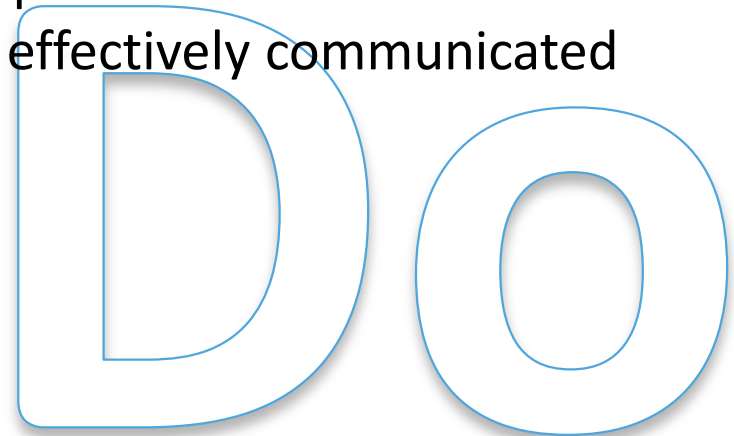
03



Do's of Discipline & Grievance Management System

An effective Discipline & Grievance Management System should:

- Collaborate with leaders
- Participate in management of the business from a disciplinary perspective
- Influence the organizations agenda with regards to disciplinary misconduct implications
- Provide disciplinary consulting and advisory services
- Provide input to organization to create innovative disciplinary solutions and actions
- Work with senior management and HR operations to ensure new disciplinary programs and processes are effectively communicated and implemented within the business



Do's of Discipline & Grievance Management System

- Provide feedback to senior management about effectiveness of disciplinary policies, programs, and processes
- Coach and counsel senior leaders on issues of personal effectiveness, leadership, and team cohesion with respect to discipline and grievances
- Support culture change initiatives and establish key communication strategies for events that impact people to handle grievances
- Advise senior leaders and managers on serious employee relation issues and manage risk effectively

Do

Don'ts of Discipline & Grievance Management System

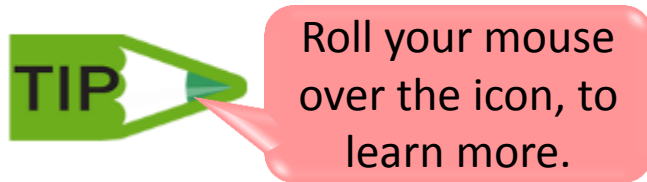
An effective Discipline & Grievance Management System should not:

- Manage misconduct-related transactions either for employees or on behalf of managers
- Manage confidential data, other than to view and/or generate reports for disciplinary analysis purposes
- Involve themselves in more routine employee relation issues especially related to operations

Don't

Don'ts of Discipline & Grievance Management System

- Answer routine inquiries from employees or managers about policies, programs, benefits, or processes not related to discipline or grievance
- Facilitate training or facilitate new or revised program implementations that are not related to discipline or grievance



Don't

Tip!



- **Disciplined Leaders should always try to instil discipline and ethics and moral values in their team members by telling a compelling and morally rich story.**
- **However, it is equally important that they must also personify that disciplinary and moral story by living the story.**

Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Disciplinary & Grievance Management Process

The following are the major elements of Discipline & Grievance Management Process:

Assess

Design

Propose

Implement

Measure

Let us look at each in detail.

Disciplinary & Grievance Management Process

Assess:

- Ask great questions
- Don't accept a quick answer as to what's wrong
- Collect and use data to understand
- Get at root cause



Assess

Disciplinary & Grievance Management Process

Design:

- Look at alternative solutions and leading practices
- Break the solution down into manageable components
- Consider all the implications
- Architect a solution and a rationale

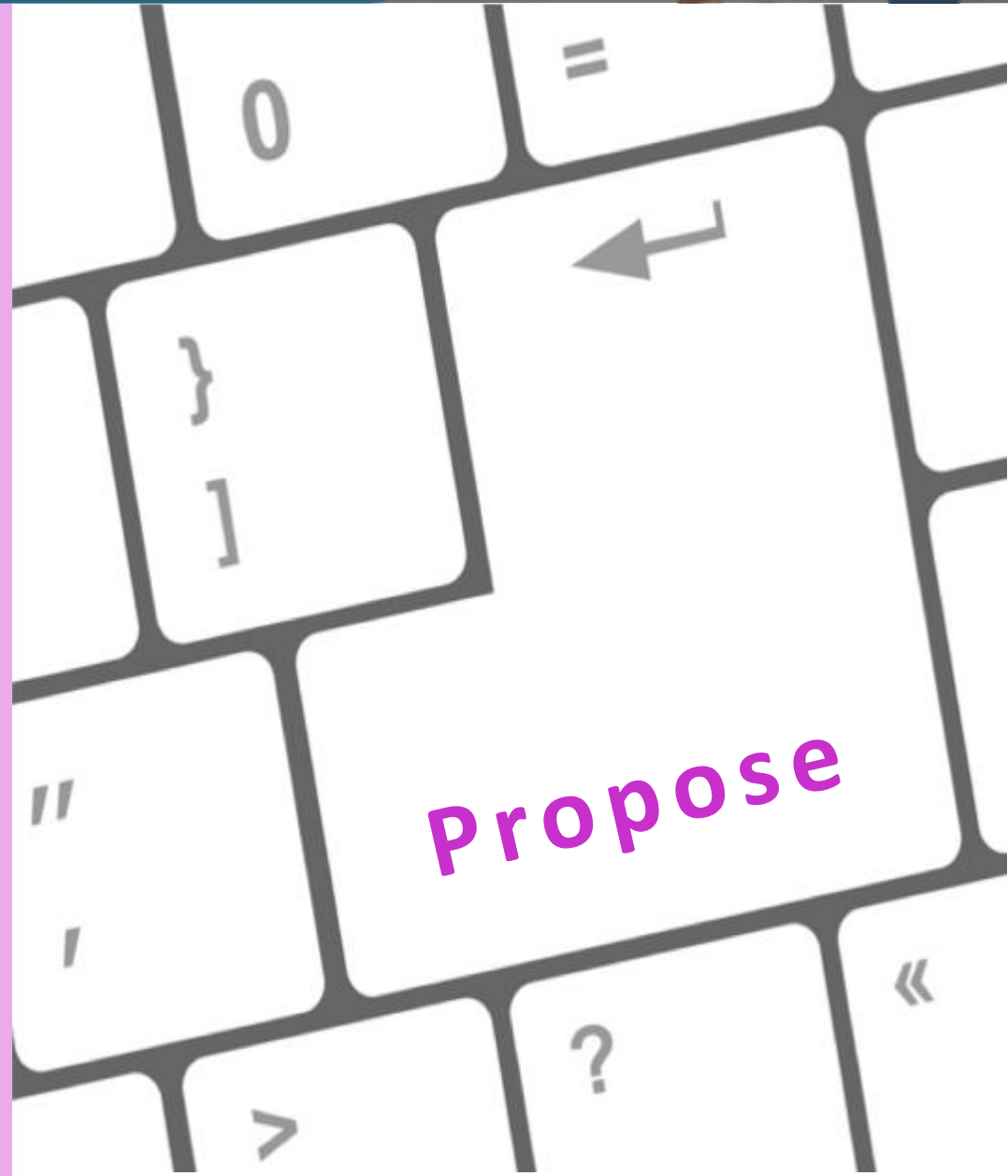


Design

Disciplinary & Grievance Management Process

Propose:

- Create the compelling story as to why this will work
- Define what the organization can expect to see
- Be clear on pros/cons and how you evaluated them



Disciplinary & Grievance Management Process

Implement:

- Test or pilot first, if possible
- Plan well, execute flawlessly
- Listen, look at processes and seek feedback



Implement

Disciplinary & Grievance Management Process

Gather Data on Impacts:

- Don't be afraid of failure; tweak the process
- Share the results; institutionalize the learning



Gather
Data on
Impacts

MCQ



Q. Which of the following is not usually covered under any disciplinary rule?

- ☐ Internet, email & telephone usage
- ☐ Workplace Safety
- ☐ Timekeeping and Absence
- ☐ Food and Beverages

Click on the radio button to select the correct answer!



MCQ

Good! That's Right!



Correct Answer:

Food and Beverages is not usually covered under any disciplinary rule.

- ☐ Timekeeping and Absence
- ☐ Food and Beverages

Click here to
continue!

ERASER

MCQ



Which of the following is not
That's Not Quite Right!



**Food and Beverages is not usually covered
under any disciplinary rule.**

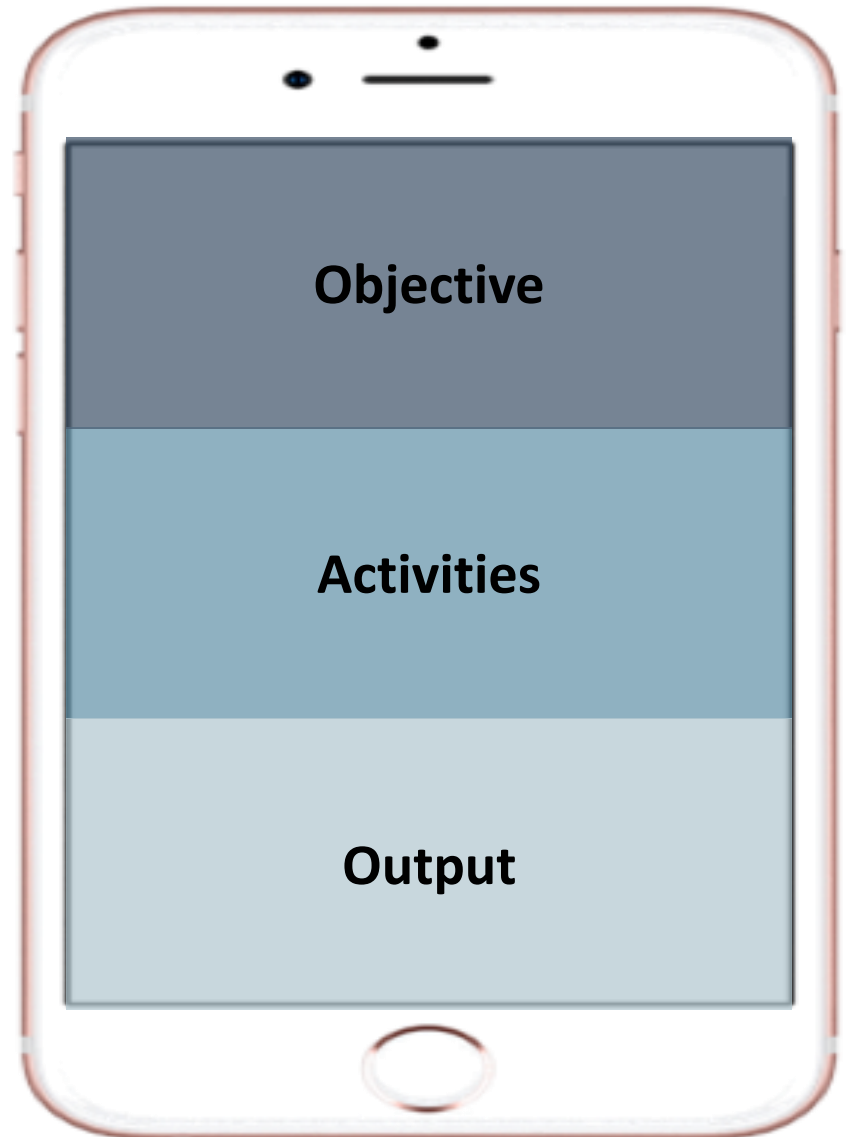
☐ Food and Beverages

Click here to
continue!



Evaluation of Disciplinary & Grievance System

You can evaluate the Discipline & Grievance Management System, as follows:



Let us now look at each in detail.

Evaluation of Disciplinary & Grievance System

Objective

Objective:

- The main objective of the evaluation stage is to ensure that all factors related to the system are considered prior to measuring success or failure.
- This stage determines whether the system uses the correct level of investigation, fact gathering and unbiased approach to analyze a disciplinary or grievance-related situation.



Evaluation

Evaluation of Disciplinary & Grievance System

Activities

Activities:

- High level investigation techniques
- Situational fact finding and analysis
- Approach development
- Situation assessment



Evaluation

Evaluation of Disciplinary & Grievance System

Output

Output:

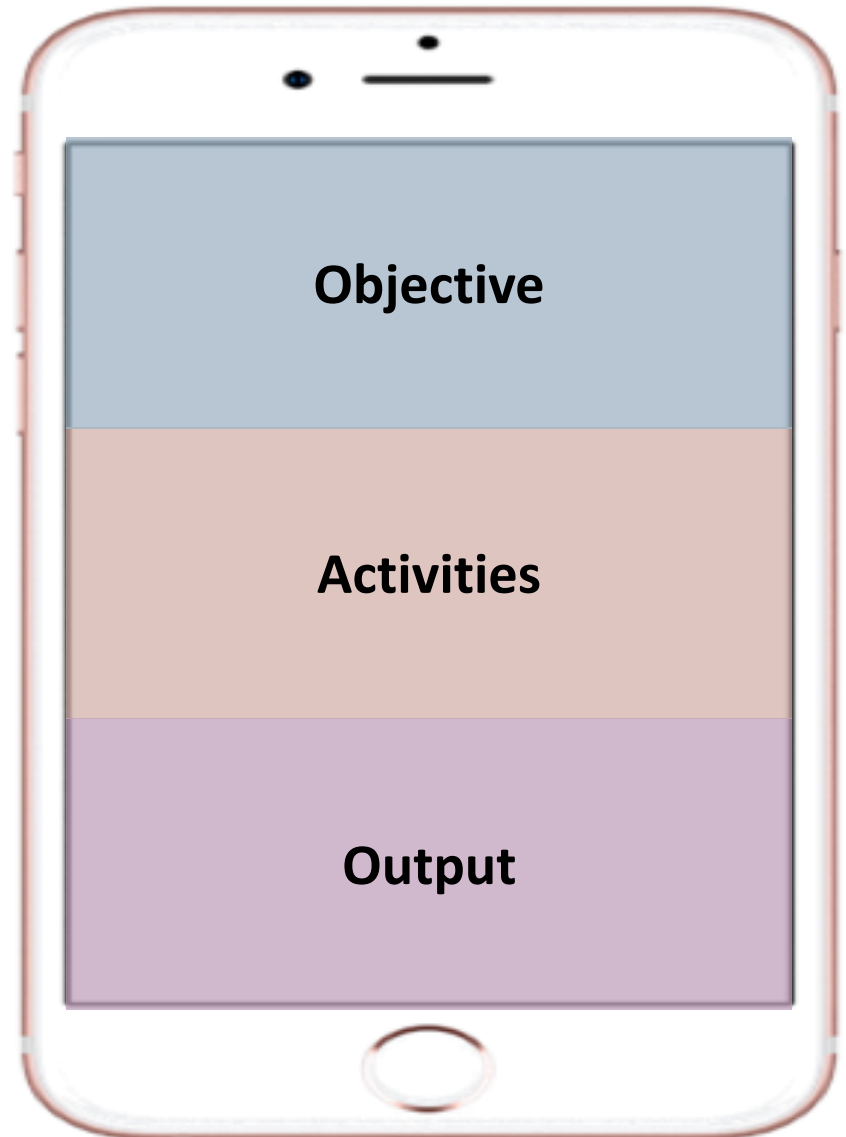
- An approach to the potential solution/action
- Individual identification
- Scope & level of misconduct/grievance
- Solution, action plan outline
- Potential risks
- Critical risks
- Basis of appeal terms



Evaluation

Culture of Commitment towards Discipline

It is crucial for an organization to develop a culture of commitment towards discipline through the following:



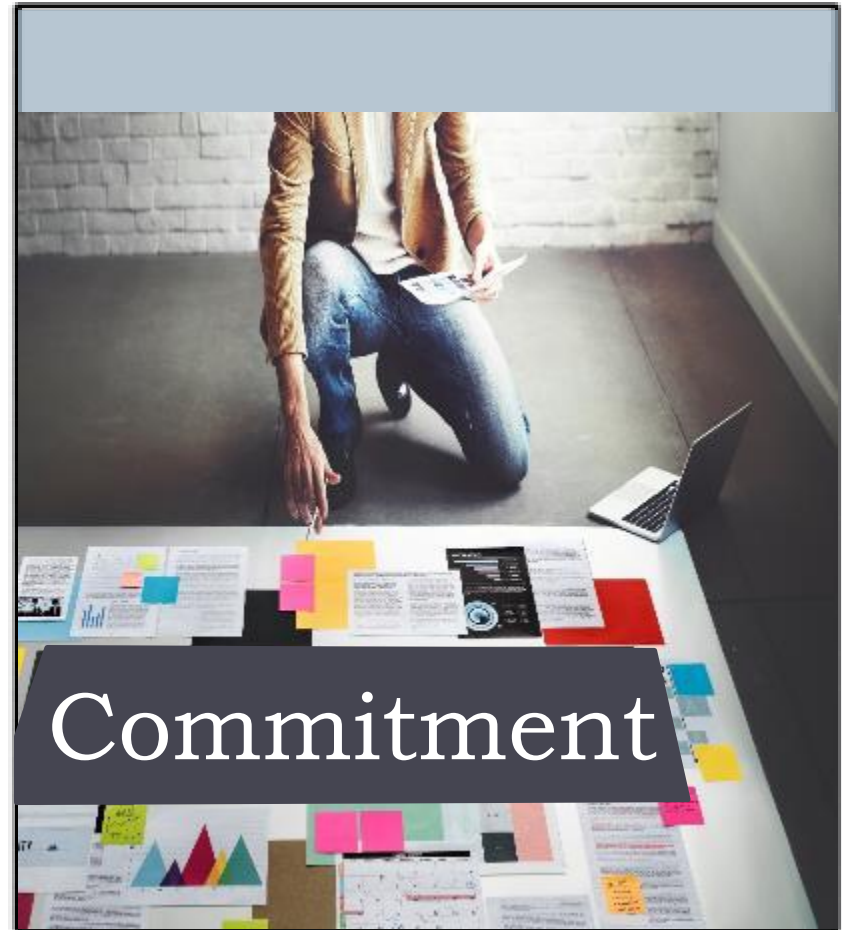
Let us now look at each in detail.

Culture of Commitment towards Discipline

Objective

Objective:

- A culture of commitment towards discipline aims to make discipline a part and parcel of its inherent corporate culture.
- It sets the stage and provides a framework for considering all factors to build discipline in the organization.
- This provides the foundation for a disciplined environment and is embodied in clear and mutually understood policies.



Culture of Commitment towards Discipline

Activities

Activities:

- Potential change identification with respect to discipline
- Discipline scope definition
- Approach to discipline development
- Policies development
- Discipline negotiation and agreement



Commitment

Culture of Commitment towards Discipline

Output

Output:

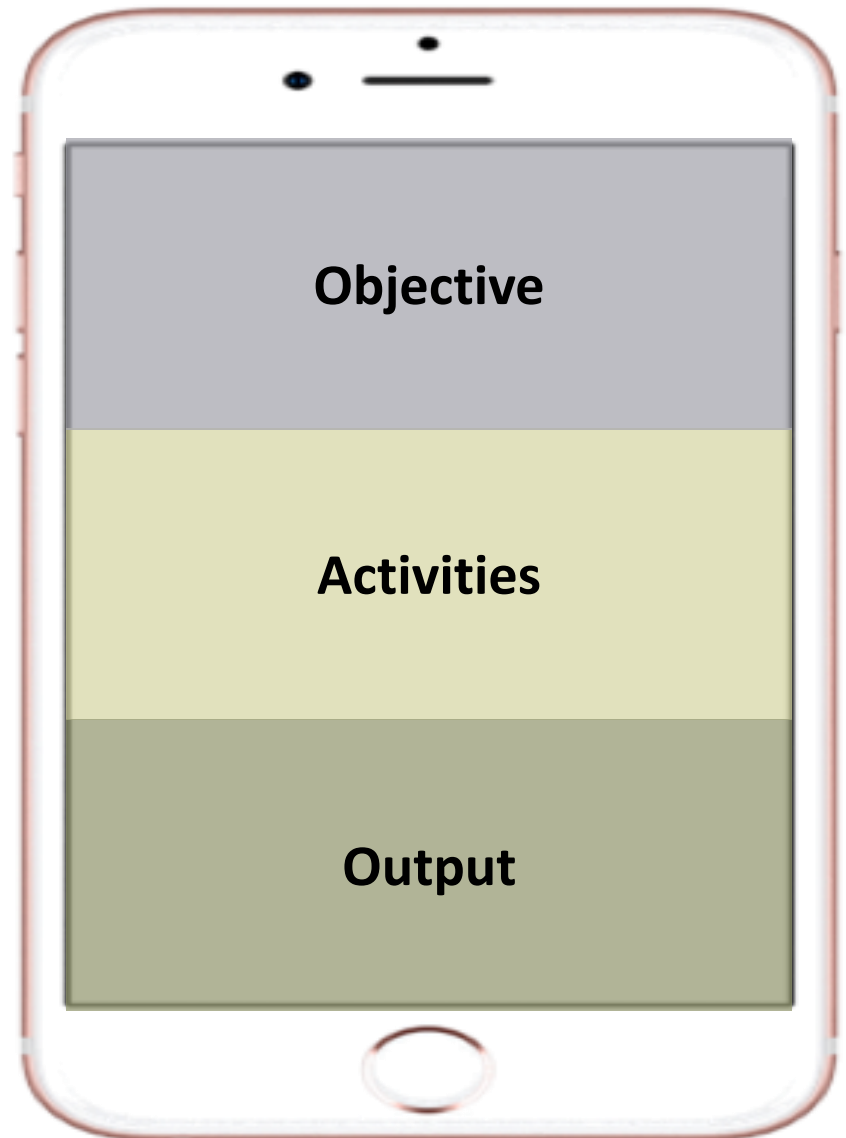
- An approach, scope and objectives to the potential disciplinary culture
- Properly drawn out policies proposed by the organization to its employees
- The client understands the disciplined culture and image of the organization



Commitment

Engagement in Discipline and Grievance Management

Engagement of Management and employees is crucial in Discipline and Grievance Management



Let us now look at each in detail.

Engagement in Discipline and Grievance Management

Objective

Objective:

- One of the greatest objective that the discipline and grievance management system can aim to achieve is to engage both the employees and the management in their pursuit of discipline.
- Engagement of employees towards discipline can serve to be the focal point to keep an organization on the disciplinary track.



Engagement in Discipline and Grievance Management

Activities

Activities:

- Engage and drive employees towards discipline
- Analyze disciplinary and grievance-related issues
- Envision solutions towards disciplinary and grievance-related issues
- Implement recommendations for disciplinary and grievance-related management



Engagement in Discipline and Grievance Management

Output

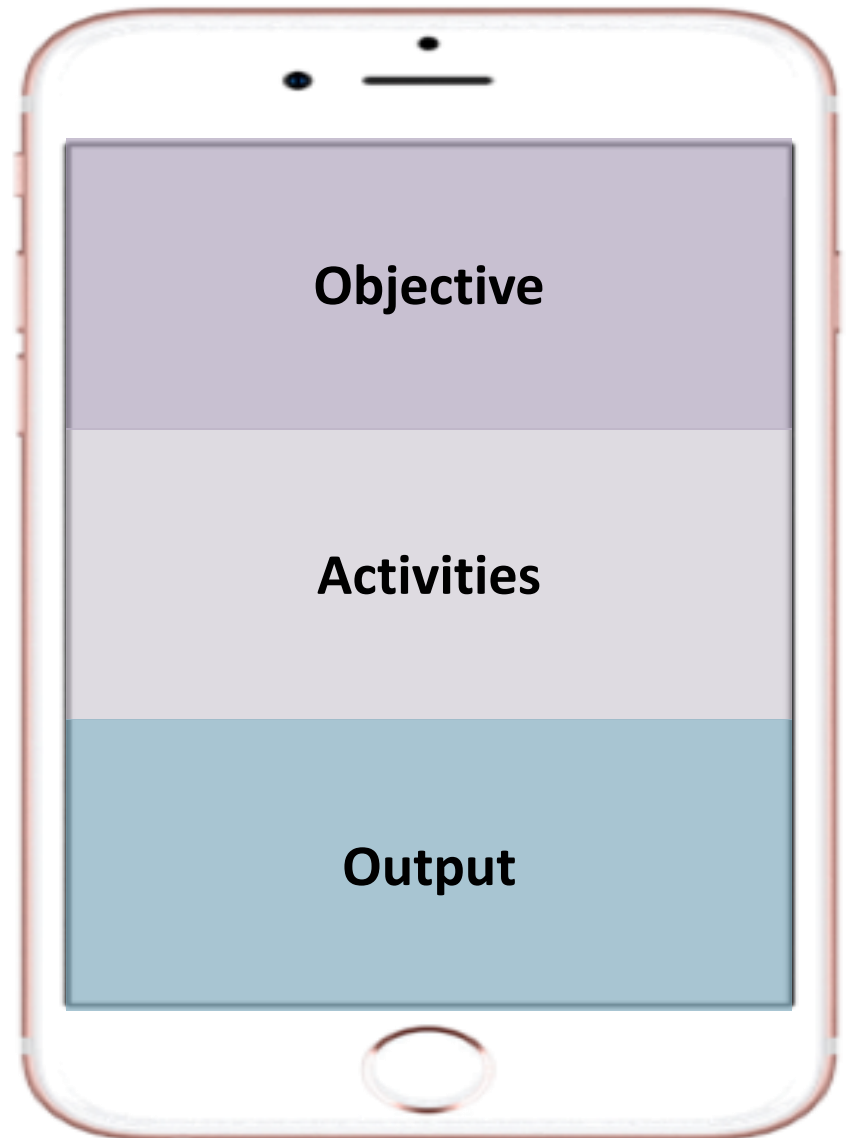
Output:

- Documentation guidelines for disciplinary hearing and grievance interviews
- Analysis of the reports for each incident
- Using the output from each incident to improve the disciplinary and grievance-management next time



Role of Improvement in Discipline & Grievance Management

Another aspect that is crucial in discipline and grievance management is to continuously improve as follows:



Let us now look at each in detail.

Role of Improvement in Discipline & Grievance Management

Objective

Objective:

- The main objective of any discipline and grievance management is to continuously improve in an orderly manner.
- Evaluation of each misconduct and grievance incident will help determine the extent to which anticipated goals have been achieved and the areas of improvement.



Closure

Role of Improvement in Discipline & Grievance Management

Activities

Activities:

- Review each misconduct and grievance incident
- Measure employee satisfaction
- Harvest existing knowledge
- Confirm successful impact of proposed solutions
- Evaluate mitigation measures to avoid misconduct and grievances among employees



Closure

Role of Improvement in Discipline & Grievance Management

Output

Output:

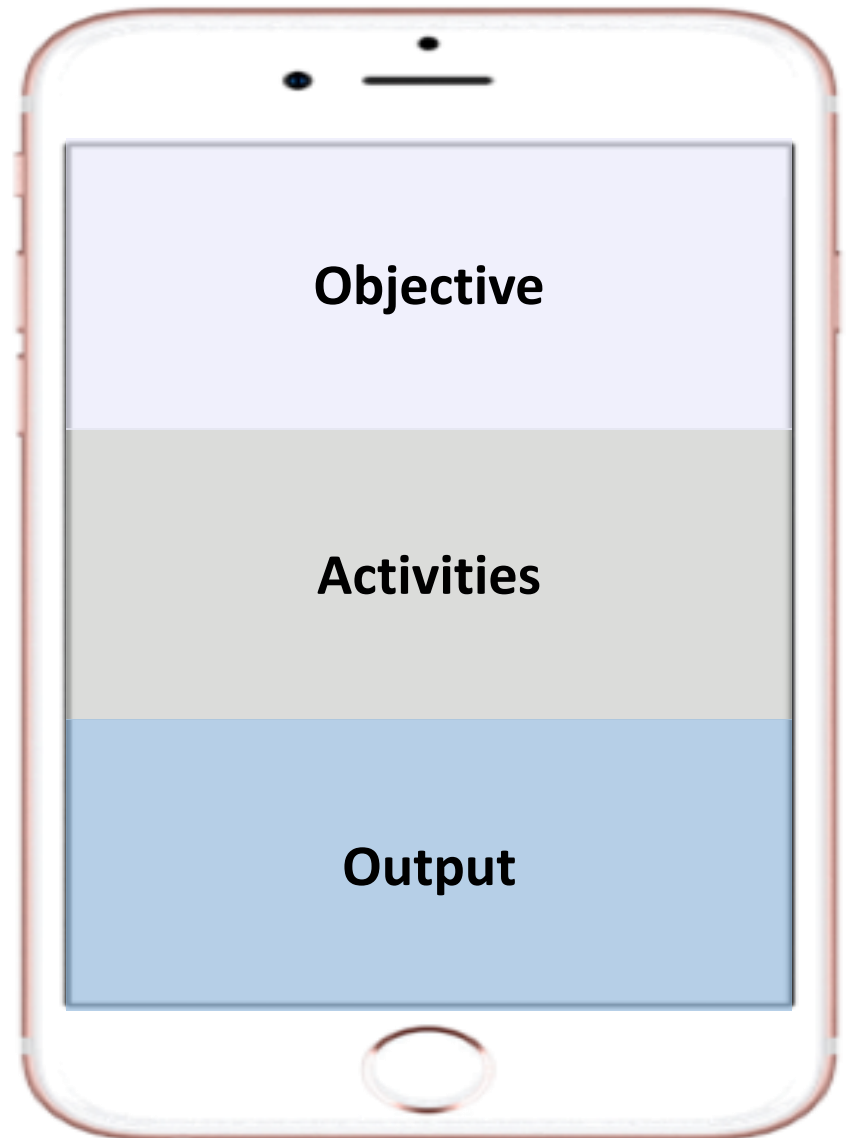
- Plan for continuous upkeep of existing processes and improvement
- Formal evaluation documentation, including evaluation criteria and measurement, and summary reports
- Informal debriefings



Closure

Documentation in Discipline & Grievance Management

Documentation plays a very important role in discipline and grievance management as follows:



Let us now look at each in detail.

Documentation in Discipline & Grievance Management

Objective

Objective:

- Documentation should always aim to maintain the existing policies, update them from time-to-time, protecting their validity at all times, and using them as a part of the investigation during disciplinary and grievance issues.



Maintenance

Documentation in Discipline & Grievance Management

Activities

Activities:

- Providing management with information about disciplinary scenario through reports
- Receiving feedback on success of discipline and grievance management



Maintenance

Documentation in Discipline & Grievance Management

Output

Output:

- Better relationship between the actions taken and the policies mentioned in the document
- Detailed reports about each disciplinary and grievance incident



Maintenance

Did you know?

Roll your mouse over the icon, to learn more.

Did You Know?



Using the correct word at the ideal time and in the ideal way might be all that is required to deal with a breach of rules, than a formal meeting.

Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Rules of Discipline & Grievance Management

Business should be carried out on a clearly disciplined and ethical basis

A proper stakeholder decision making model should be used to reach appropriate goals

The structure of the organization should promote good discipline and grievance management

An efficient and effective strategy process should be implemented which incorporates stakeholder value

Transparency and accountability should be propagated through a properly structured reporting system



Ethics



Alignment of Business Goals



Organization



Strategic Management



Reporting

Legislation & Regulation in Discipline Management

- It is very important that the legality took more active role in regularizing discipline management through necessary means to protect the shareholders and investors from the various corporate crimes.
- It has been found that corporate consider fines to be a part of doing business and the civic penalties that are occasionally levied against them is hardly enough to set example.
- The criminal sanctions against employees are not a common phenomenon although experts believe that criminal sanctions can be more potent in deterring employee misconduct.
- However, the other side of the coin is the fact that most companies avoid imposing criminal sanctions against employees to prevent brand tarnish.
- Also, the penalties and fines bring no respite to the other employees, shareholders and communities.
- Reasonably evaluated criminal and civic sanctions in a mix as appropriate can help address the issue.

Legislation & Regulation in Discipline Management



- **Another important consideration is the choice of going after the policy weaknesses or the people, who have been involved in the misconduct.**
- **A rather fair and objective view of this issue, is that if the organization has a proper system of safeguards and checks in systems and processes and if the misconduct profits just one person, in this case even the corporate becomes a victim.**

Legislation & Regulation in Discipline Management

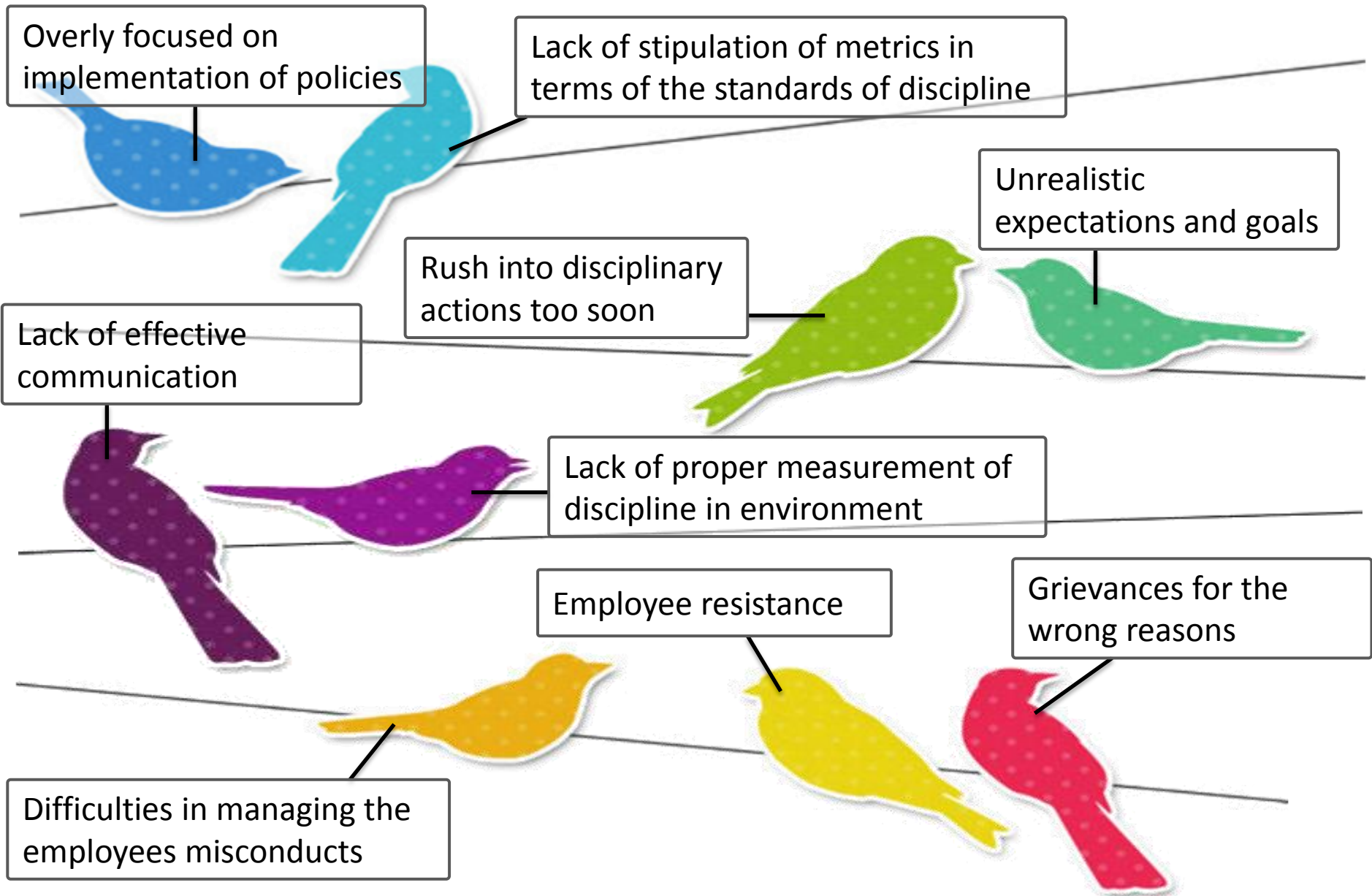


- For such situations, a single person can be accused of embezzlement and liable for prosecution.
- However, if the fraud is at a larger level involving more people, the situation becomes complex, whether to hold liable the board members and senior leaders for failing to ensure the prevention.

Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Challenges of Discipline & Grievance Management



Requirements of an Effective Disciplinary System

There are various components that help to make up an effective disciplinary system. The Components of an effective effective disciplinary system are as follows:

Discipline Clarification

The employee as well as the organization should be clear about the role and responsibilities of each individual pertaining to discipline in the organization.

Moral Conduct

The moral conduct set for each employee should be in direct alignment to the company's strategic goals and company's vision and mission.

Ongoing Feedback

Continuous monitoring helps organization to provide ongoing feedback about individual's disciplinary conduct and help improve discipline and bring it in line with organization's goals.

Requirements of an Effective Disciplinary System

There are various components that help to make up an effective disciplinary system. The Components of an effective effective disciplinary system are as follows:

Specific Policies

Each disciplinary misconduct should be measured against specific laid out policies which are clear and not vague.

Review & Appeals

There should be clearly laid out protocol to accommodate any kind of individual appeals to the disciplinary actions taken against him.

Disciplinary Feedback

There should be disciplinary interviews to gather feedback from employees about the disciplinary process as a whole as well as discuss the individual's related concerns and queries.

Requirements of an Effective Disciplinary System

There are various components that help to make up an effective disciplinary system. The Components of an effective effective disciplinary system are as follows:

Documentation

The entire disciplinary system should be stringently documented at various stages including the disciplinary hearing, actions taken, feedback comments, employee comments etc.

Accuracy of Disciplinary Actions

Each disciplinary management system should aim to gather accurate information about the misconduct of the employees by ensuring that the individual's misconduct is accurately assessed.

Discipline Level

An important aspect of disciplinary system that helps to make it effective is the level of discipline that all employees follow on various specific areas and parameters.

Requirements of an Effective Disciplinary System

There are various components that help to make up an effective disciplinary system. The Components of an effective effective disciplinary system are as follows:

Disciplinary Objectives

The disciplinary objectives set for each employee should present a clear picture of the kind of conduct that is expected from them at all times.

Coaching and Support

Any kind of gaps found in the individual's discipline-related knowledge should be filled by providing coaching and support in the form of trainings and policies.

Ongoing Monitoring

Each individual's conduct should be continuously monitored. Such monitoring helps to get a fair idea about the moral and disciplinary level that the individual is at.

Requirements of an Effective Disciplinary System

There are various components that help to make up an effective disciplinary system. The Components of an effective effective disciplinary system are as follows:

Warnings & Dismissals

Employees should be appropriately warned or at worse case dismissed for disciplinary misconducts as it helps to set an example for the rest of the employees in the company.

Trained Chairperson

The chairperson and other people managing disciplinary hearing should be diligently trained in the disciplinary management process to help them overcome any errors.

Continuous Open Communication

An open communication should be encouraged between employees and management with respect to the disciplinary process as well as any other concerns or suggestion that employees may have.

Requirements of an Effective Disciplinary System

There are various components that help to make up an effective disciplinary system. The Components of an effective effective disciplinary system are as follows:

Standardization

The entire disciplinary management process should be standardized to maintain consistency between the disciplinary actions taken from one time to the other.

Reliability

The design of the disciplinary process should be such that it should give reliable results that help the management to make the correct decisions.

Mutual Trust & Confidence

There should be an air of mutual trust and confidence between employees and the management which will ensure that both understand that each one is working for the other's benefit and in other's favor.

MCQ



Q. Which of the following is not an example of a general misconduct that would require a disciplinary action to be taken?

- ☐ Being late for office party
- ☐ Poor job performance
- ☐ Unseemly or disruptive conduct
- ☐ Failure to comply with conditions of employment contract

Click on the radio button to select the correct answer!



MCQ

Good! That's Right!



Correct Answer:

Being late for office party is not an example of a general misconduct that would require a disciplinary action to be taken.

- ☐ Unseemly or unbecoming
- ☐ Failure to comply with conditions of employment contract

Click here to
continue!

MCQ

Which of the following is not an example of a disciplinary action?
That's Not Quite Right!



Being late for office party is not an example of a general misconduct that would require a disciplinary action to be taken.

Click here to
continue!

☐ Failure to comply with the terms of employment contract

Role of a Successful Discipline Management System

The following are the requisite roles of a successful Discipline Management System in an organization:



Role of a Successful Discipline Management System

The following are the requisite roles of a successful Discipline Management System in an organization:



Consulting
Skills

Coaching &
Influencing

Personal &
Professional
Impact

Accountability

Benefits of Discipline Management

The following are the various benefits of Discipline Management:

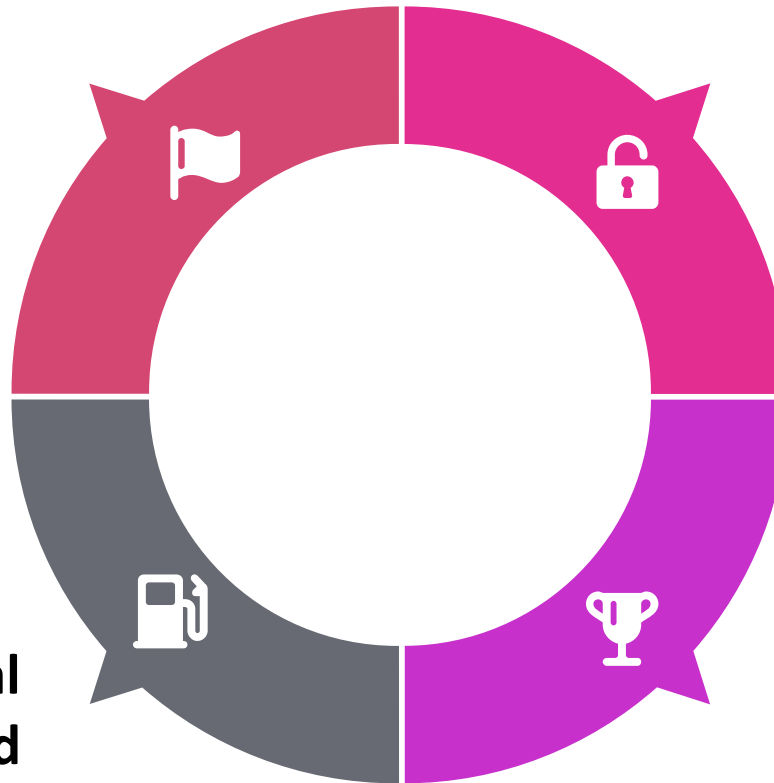


Benefits of Discipline Management

The following are the various benefits of Discipline Management:

It provides proper inducement to the owners as well as managers to achieve objectives that are in the interests of the shareholders and the organization.

It helps in moral brand formation and development.



Good Discipline Management ensures success and economic growth.

It ensures organization is managed in a manner that fits the best interests of all.

Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Importance of Discipline in an Organization



Discipline is a must for all the leaders as well as employees of any organization. In fact, discipline and ethics are important not only the professional front but also on the personal front. Right from the start of industry and business, people have been concerned about leaders and their discipline and ethics.

Research has found that a disciplined leadership in an organization including the leadership of a country can lead to a more just and caring society. Ethical leadership is about the discipline, ethics and moral principles of leaders who use these moral principles to rightly balance different interests of individual and group stakeholders.

Importance of Discipline in an Organization

Discipline also aims to gain returns that benefit the firm, its stakeholders, and the CEO, at the same time obtaining everything within the purview of ethics and moral principles.

You can understand from the above situation that being disciplined and ethical is not only important but also crucial in any business.

Discipline should be integrated into the basic day-to-day working of each and every employee of an organization.



Importance of Discipline in an Organization



However, as one goes up the organizational hierarchy, it becomes crucial that an organization should have disciplined leaders who follow and preach disciplines.

This is because it is these leaders who lead the employees and guide them. So if the leaders are themselves not disciplined, the organization cannot expect to function on the lines of discipline and moral values.

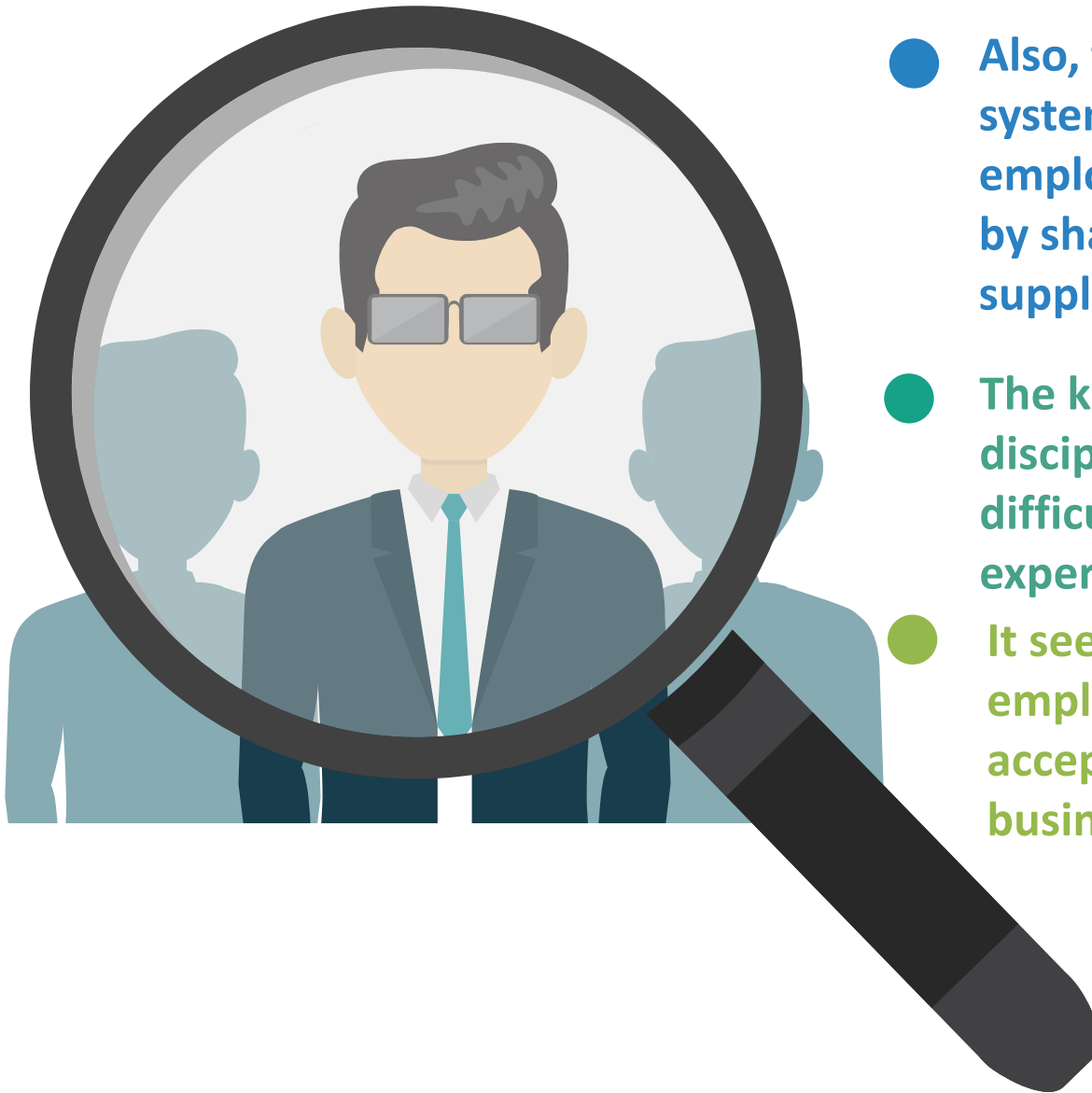
A disciplined leadership is important because it conveys how the leaders are viewed by their followers, peers, and superiors based on their perception of the leader's character and disciplinary behavior.

Impact of Discipline Management



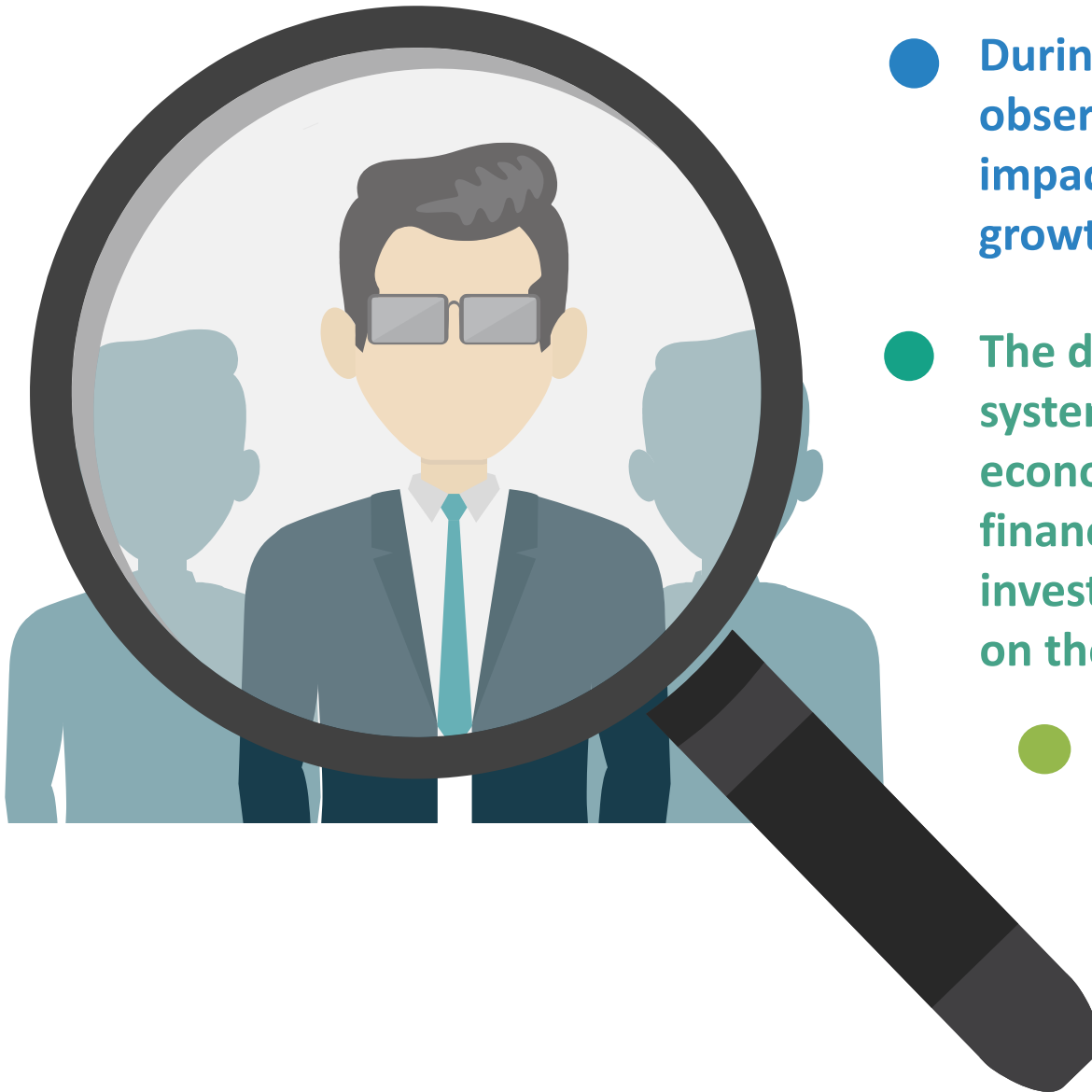
- It is essential to understand that employees tend to engage in immoral behavior because the benefits outweigh the risk.
- And it's the shareholders who feel the brunt from all sides, as members of the community they pay the cost of the crime itself, as a taxpayer they pay for the cost of prosecution and ultimately as a shareholder they pay the cost of defence and penalties.

Impact of Discipline Management



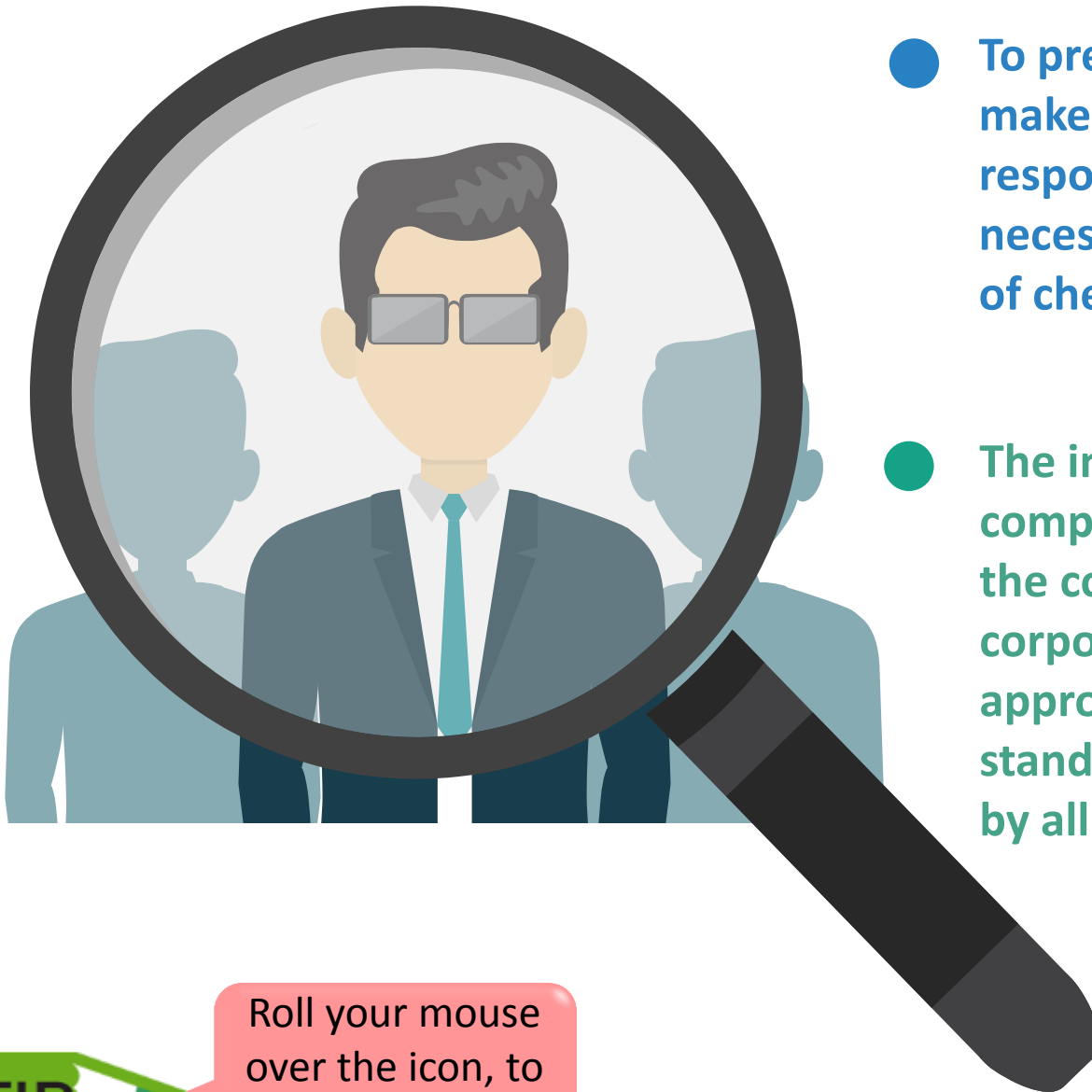
- Also, there is no clearly established system of accountability for employees which can be acceptable by shareholders, employees, suppliers, government etc.
- The kind of punishment for disciplinary crimes remains a difficult area even for the legal experts.
- It seems that a certain level of employee misconduct is just accepted as a way of doing business.

Impact of Discipline Management



- During the recent times, it has been observed that there is a direct impact of financial systems on growth and removing poverty.
- The development of banking systems and market finance drives economic growth, external financing and the quality of investments which bear an impact on the growth of the economy.
- In such a scenario, the importance and relevance of having a good moral governance structure goes a long way in ensuring prosperity of the company.

Impact of Discipline Management



- To prevent disciplinary crisis and to make employee behavior responsible and accountable, it is necessary that a thorough system of checks be established.
- The initiative is to be taken by the company and the legal structure of the countries in which the corporate operate and the approach should be to create a standardized structure acceptable by all.

Roll your mouse
over the icon, to
learn more.



Tip!



As an organization, you must convey the following to your employees:

- **How they should develop their unique disciplinary identity?**
- **What they are at present in terms of discipline?**
- **What they can become in future in terms of discipline?**
- **How they behave at present in terms of discipline?**
- **How they could behave better in future in terms of discipline?**

Responsibilities of a Disciplined Employee



Responsibilities that an employee has to fulfil towards his subordinates, peers, seniors, and organization are:

He has to formulate and personify the purpose and disciplinary and ethical values of the organization

He has to focus on organizational success first rather than on personal success and egotism

He should find and hire the best people and develop them to fit the organization's disciplinary values and ethics

He should clearly communicate about disciplinary values, ethics, and the creation of disciplinary value for his employees, suppliers, stakeholders and organization

He should have clear defined processes and routes to address any kind of disagreements that others may have to his views, decisions and opinions

Responsibilities of a Disciplined Employee



Responsibilities that an employee has to fulfil towards his subordinates, peers, seniors, and organization are:

He should be empathetic and understanding of others' disciplinary values and ethics

He should make tough disciplinary decisions while sticking to ethics and moral values and at the same time meet the organization's goals

He should be well aware of the limits of the disciplinary values and ethical principles that can be practiced

He should carry out all his behaviour, conduct and actions in disciplined and ethical terms

He should maintain a clear balance between basic disciplinary value creation and ethical legitimacy

Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Methods to Make Employees More Disciplined


The following are the methods that you can use as to make your employees more open and receptive to being disciplined:




Leaders
should
become
Role Models



Preach what
You Know
Best



Encourage
Inclusive
Work Culture



Effective
Whistle
blower
System

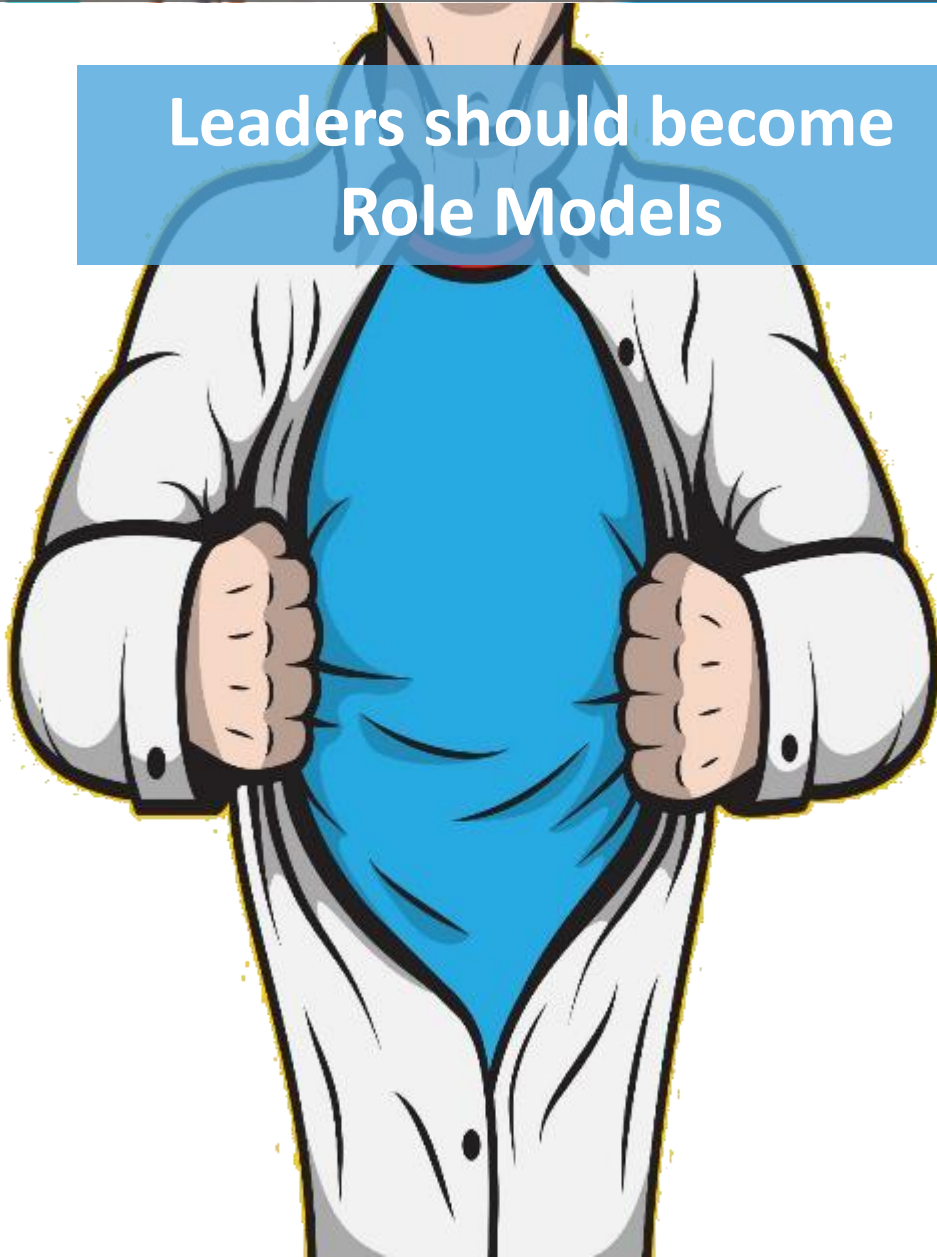


Encourage
Open
Communication

Let us look at each in detail.

Methods to Make Employees More Disciplined

Leaders should become Role Models



- A discipline and ethical leader should strive to become a 'role model' for his subordinates.
- He should inculcate in himself a firm belief that he owes a disciplinary duty to his fellow team members.
- He should take an active interest in his subordinates' disciplinary responsibilities and motivate them to achieve their disciplinary goals.

Methods to Make Employees More Disciplined

Preach what You Know Best



- **An organization should keep in mind that they should always stick to what they preach about disciplines.**
- **You should be clear about your own disciplinary strengths and capabilities to be able to provide accurate and clear direction to your employees' disciplinary activities.**

Methods to Make Employees More Disciplined

Encourage an Inclusive Work Culture



- A great way to make your employees more open to being disciplined is by encouraging an inclusive work culture.
- When an organization fosters such a work culture, there will be no favouritism, no layers of bureaucracy and no undue advantage for any employee.

Methods to Make Employees More Disciplined

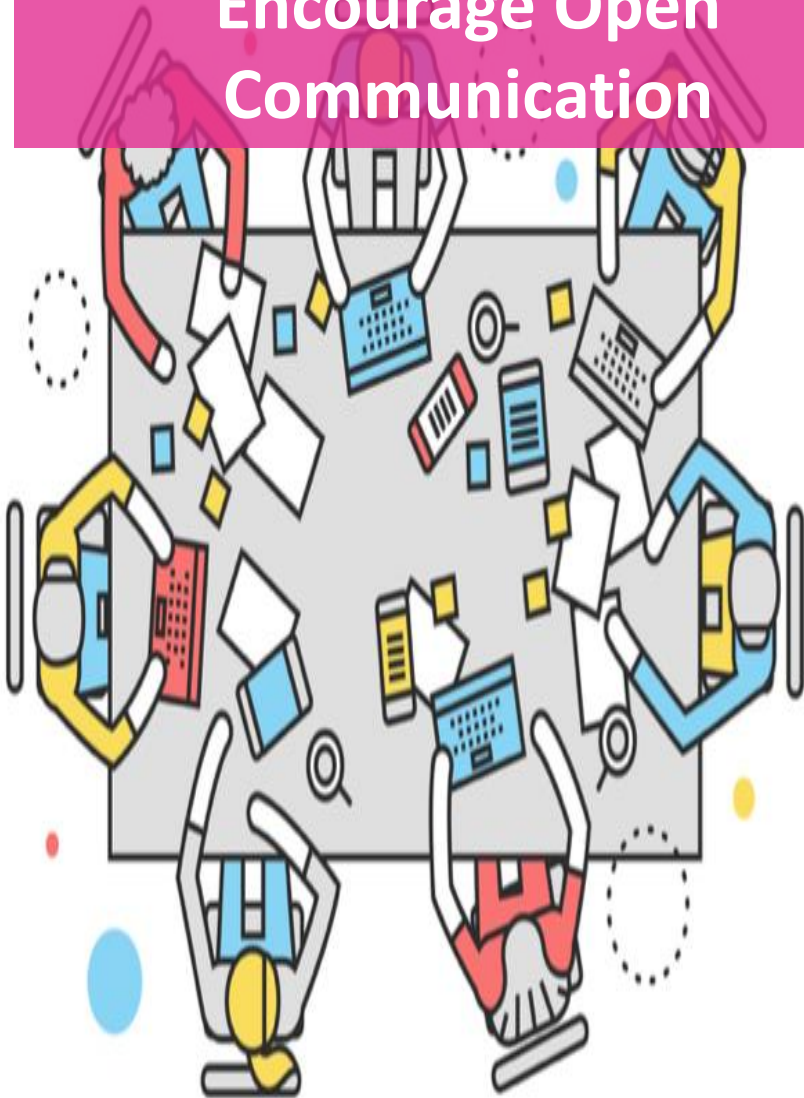
Ensure an Effective Whistle-blower System



- Ethical leaders should ensure that their organization has an effective and sound whistle-blower system or an effective process for free flow of disciplinary information in the team.
- You should consider the whistle-blowers as the eyes and ears of the organization as they help to point out the disciplinary wrongdoings that may be taking place in your organization.

Methods to Make Employees More Disciplined

Encourage Open Communication



- An organization should always strive to base their disciplinary decisions on open, truthful and un-biased logic.
- You should encourage your employees to openly express their disciplinary views and opinions on anything, including disciplinary issues.
- When employees are given the freedom to speak openly, they will help an organization to keep track of its disciplinary principles.

Importance of Disciplinary Hearing



Disciplinary Hearing is an essential part of any disciplinary misconduct's investigation process.



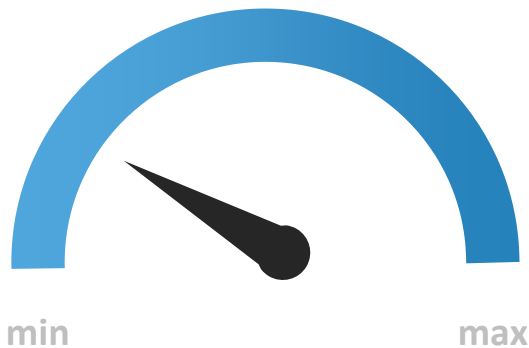
The chairperson and committee of hearing and subordinate discuss the misconduct and make plans to correct, reinforce discipline and think of next steps.



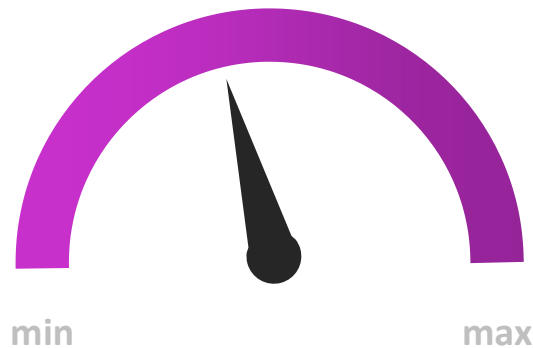
In order to prepare for the hearing, the subordinate is given a advance notice to prepare his explanation, to read over his rights and policies, analyze problems, and compile questions and comments.

Outcomes of Disciplinary Hearing

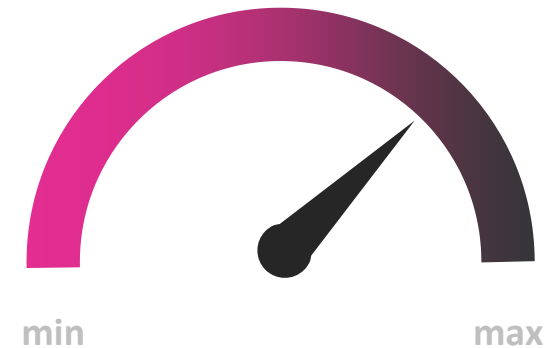
Depending upon the type of misconduct of the employee, there are three types of disciplinary actions or outcomes that can arise such as:



**Low Level of
Misconduct:
Oral/Written
Warning**



**Moderate Level of
Misconduct:
Suspension**



**High Level of
Misconduct:
Dismissal**

Role of Chair in Disciplinary Hearing

There are a few key points that a chair of the disciplinary hearing should keep in mind for conducting the hearing, such as:

**He should be
direct and
specific**

**He should
never get
personal**

**He should
develop a
disciplinary
action plan
from the
information
gathered**

**He should
encourage
the employee
to talk as
much as
possible to
gather clear
facts**

Role of Chair in Disciplinary Hearing

There are certain cases, where an employee may be highly resentful of their disciplinary hearing. This would amount to such an employee being highly defensive during the disciplinary hearing. The following are a few things that a chairperson should keep in mind while handling a disciplinary hearing:

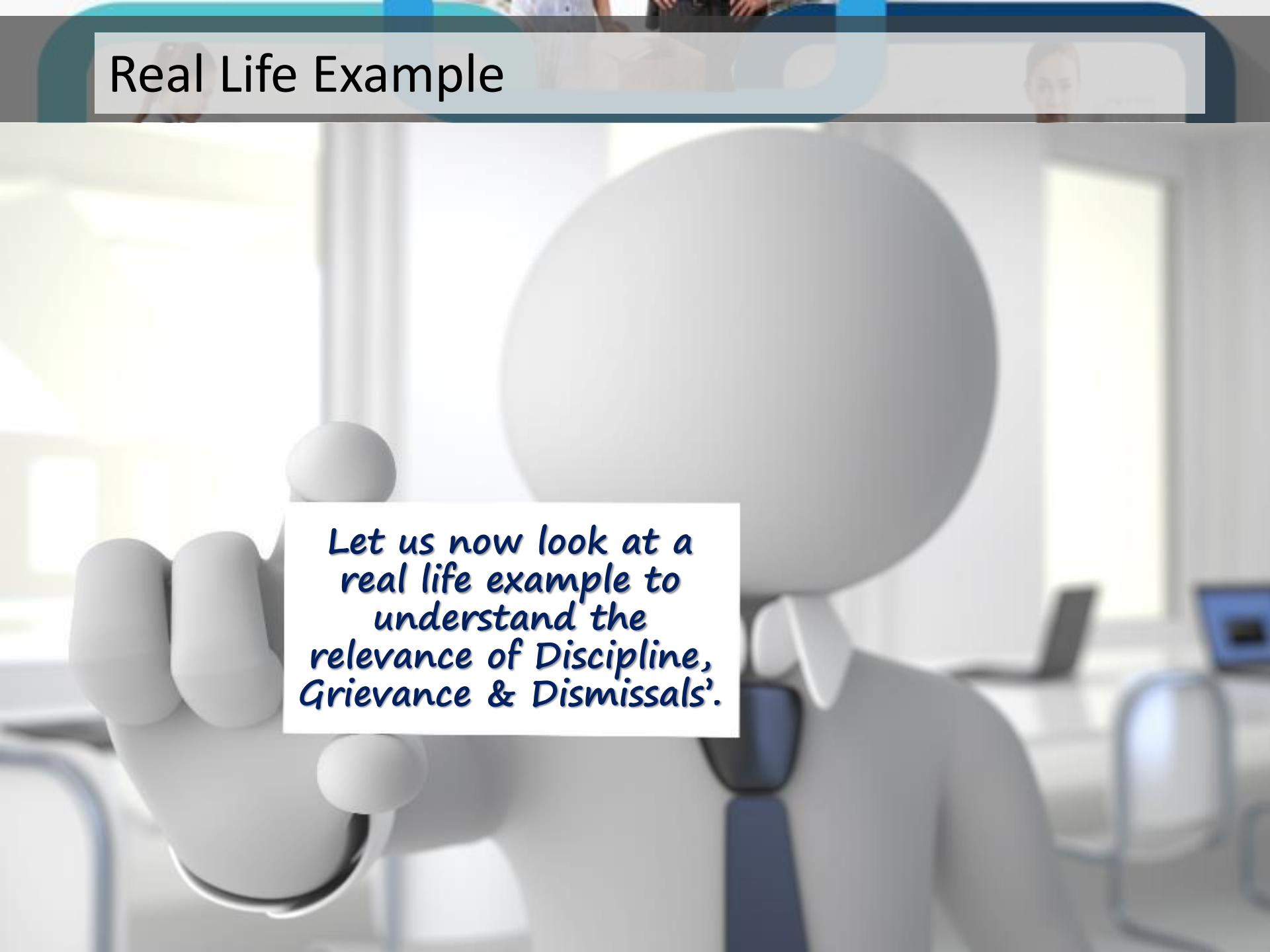
He should recognize that defensive behavior is normal

He should never attack a person's defenses but keep things professional

He should understand the need to postpone action till all facts are gathered

He should empathize and understand human limitations

Real Life Example



*Let us now look at a
real life example to
understand the
relevance of Discipline,
Grievance & Dismissals'.*

Real Life Example



Real Life Example



Real Life Example



Real Life Example

**It is crucial that all its
developed codes and data
should be confidential.**



Real Life Example

**There are strict policies
enforced and all
employees have to follow
such guidelines.**



Real Life Example

Sometimes the 'Discipline, Grievance & Dismissal' department has to deal with situation which cannot be considered as a normal breach.



Real Life Example



Real Life Example



Real Life Example

One day, Peter heard his boss speaking to a top management person about Artisoft being acquired by another leading software company.



Real Life Example

**Peter knew that this piece
of news had not yet been
made public.**



Real Life Example

However, while having lunch with his colleagues, Peter unintentionally slips the news of the possible acquisition.



Real Life Example



Real Life Example

It soon reaches the
companies global
headquarters located in
Paris.



Real Life Example



Real Life Example

**It also comes to know
through the grapevine that
Peter was responsible for
the rumor.**



Real Life Example

The department decides to let Peter off with a strict warning as the news was spread by him unintentionally.



Real Life Example

The department let Peter go also because the news was to go public in two days anyway.



Real Life Example

Hence, you can understand how to 'Disciplines and Policies' department deals with different kind of situations.



Real Life Example



Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

What is meant by Grievance Redressal?

- **Grievance redressal is the most critical and crucial component of the organization management plan as research has shown that an employee with pending issues awaiting resolution is twice more likely to quit the company than the other employees.**
- **Hence, all efforts must be made to redress the grievances of the employees.**

Why People May Have Grievances?

People may have grievances against others for one of the following reasons:

Misunderstanding

An employee may complain in a situation when he doesn't understand the facts presented to him or didn't understand another person's views properly.

Concerns

An employee may have a grievance in a situation where he doesn't see any sense in your viewpoint. He may also believe that something else is needed that your recommendation doesn't offer.

Smoke Screen

An employee may also use grievance to show his objection to another person, but does not want to tell the same directly.

Effective Grievance Redressal System

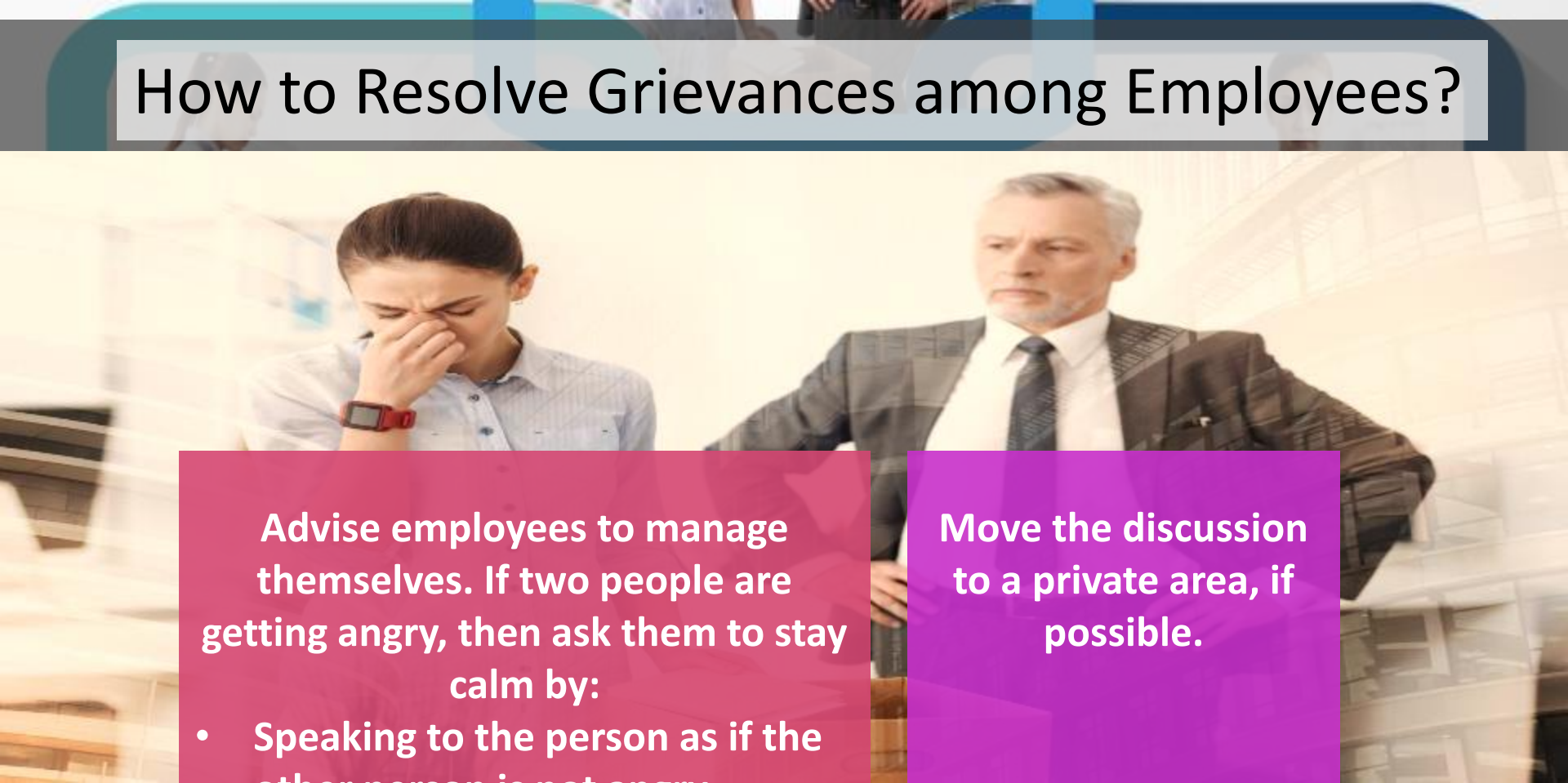
The success or failure of a grievance redressal system depends upon several things such as follows:

- **The employees should be allowed to participate more in the grievance redressal process as:**
 - **It will help the employees to be more satisfied with the grievance redressal process.**
 - **It will help the employees be more satisfied with the management.**
 - **It will make them more likely to accept the grievance redressal suggestions.**
- **Management should use positive techniques to keep the employee happy and satisfied with grievance redressal system.**

Effective Grievance Redressal System

- The grievance redressal manager and employee should both participate in mutually setting redressal tactics. This will result in better grievance redressal than when managers use a general discussion or criticism.
- Manager's should focus on discussing and then providing solutions to grievance problems that hamper employee's current job performance.
- Both manager and employee should employ more thought and preparation before the grievance redressal discussion, which will lead to greater benefits of the grievance redressal process.
- The grievance redressal will be more beneficial if the employee perceives that the grievance redressal suggestions are unbiased and inclusive of his viewpoints.

How to Resolve Grievances among Employees?

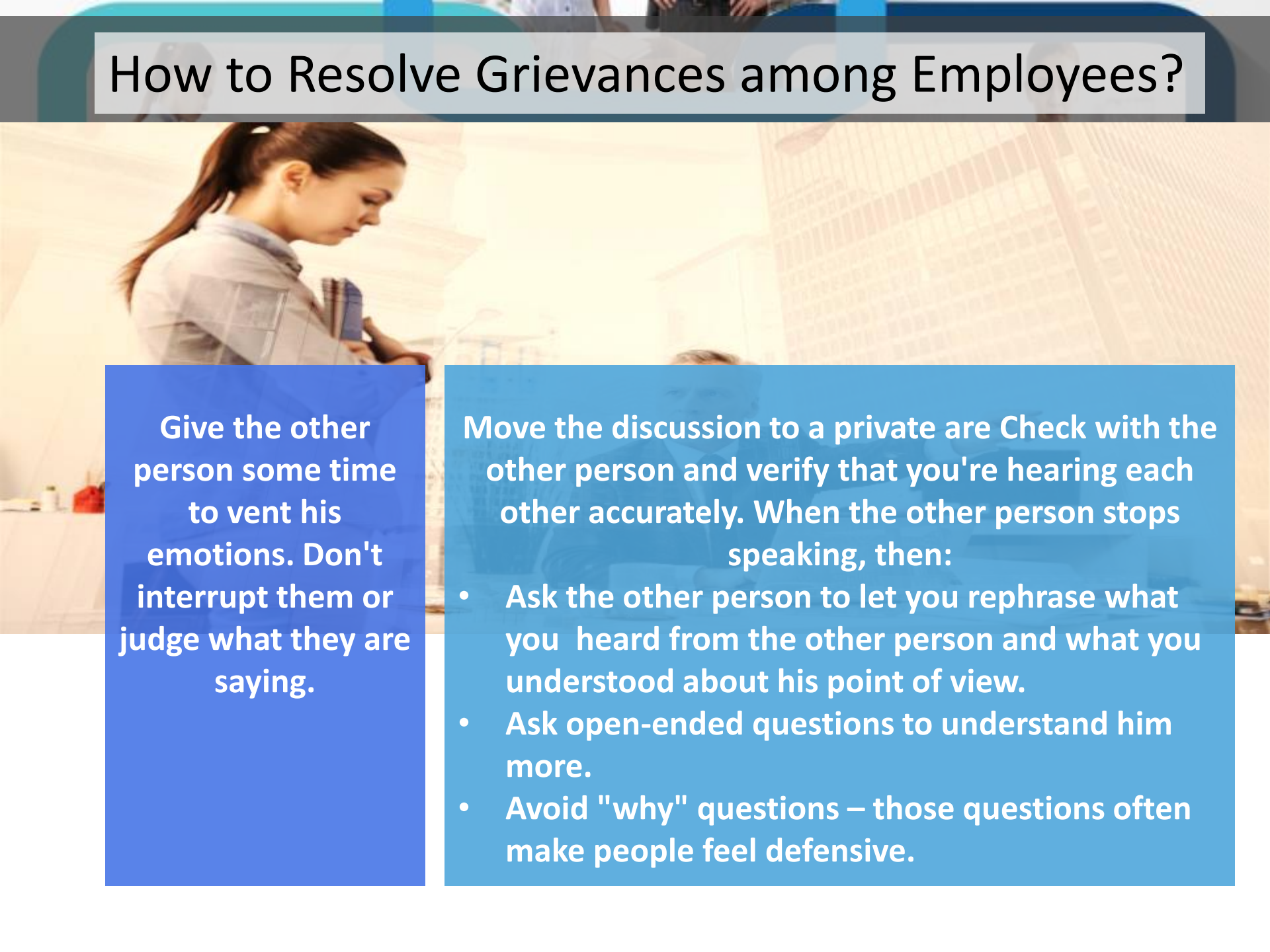
A photograph showing a woman on the left with her hand covering her face, appearing distressed or crying. To her right, a man in a grey suit and tie looks on with a serious expression. The background is a blurred office setting.

Advise employees to manage themselves. If two people are getting angry, then ask them to stay calm by:

- **Speaking to the person as if the other person is not angry**
- **Avoid the use of the word "you" - this avoids blaming.**
- **Nod head to assure the other person that you heard him.**
- **Maintain eye contact with him.**

Move the discussion to a private area, if possible.

How to Resolve Grievances among Employees?

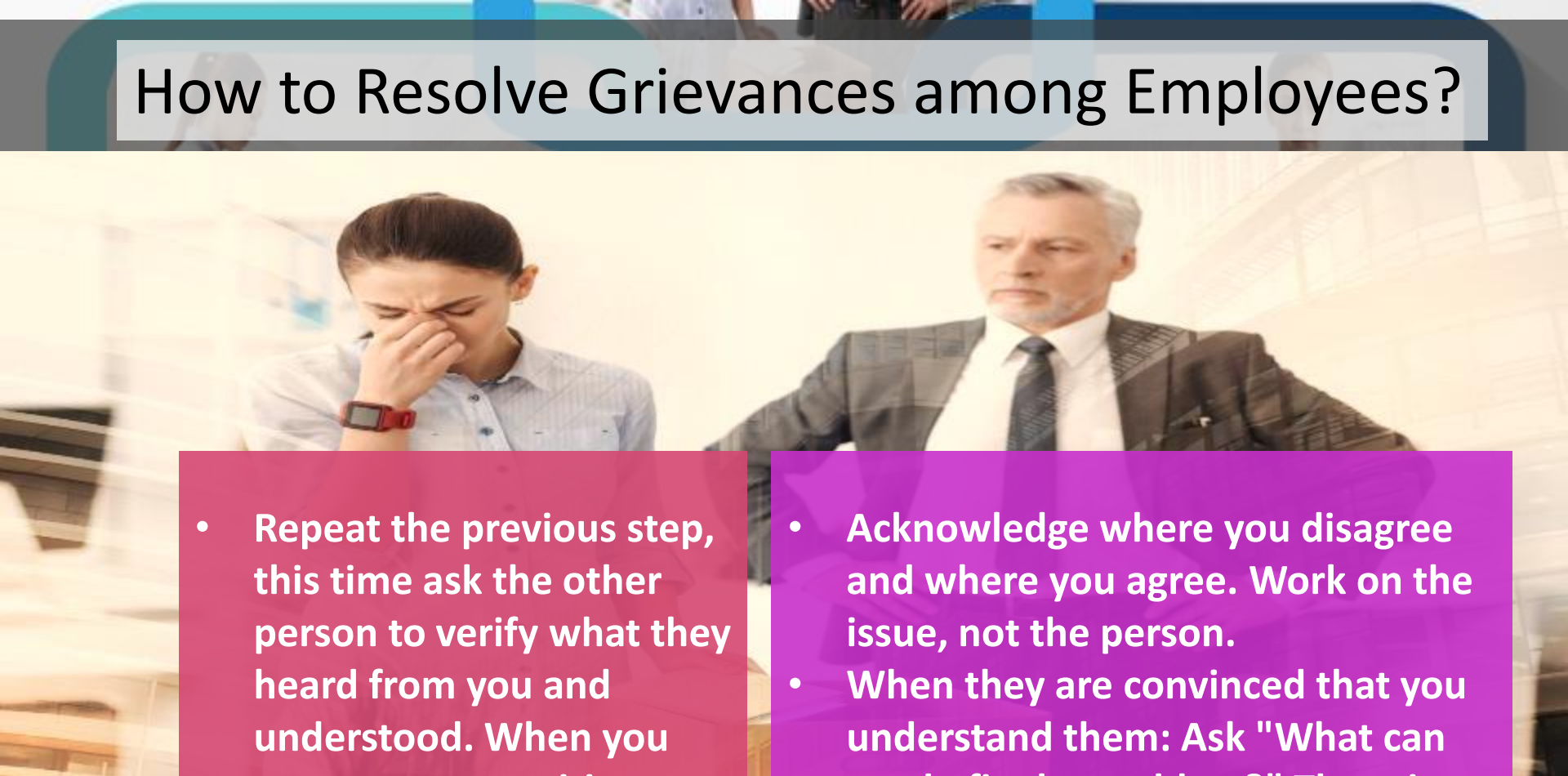


Give the other person some time to vent his emotions. Don't interrupt them or judge what they are saying.

Move the discussion to a private area. Check with the other person and verify that you're hearing each other accurately. When the other person stops speaking, then:

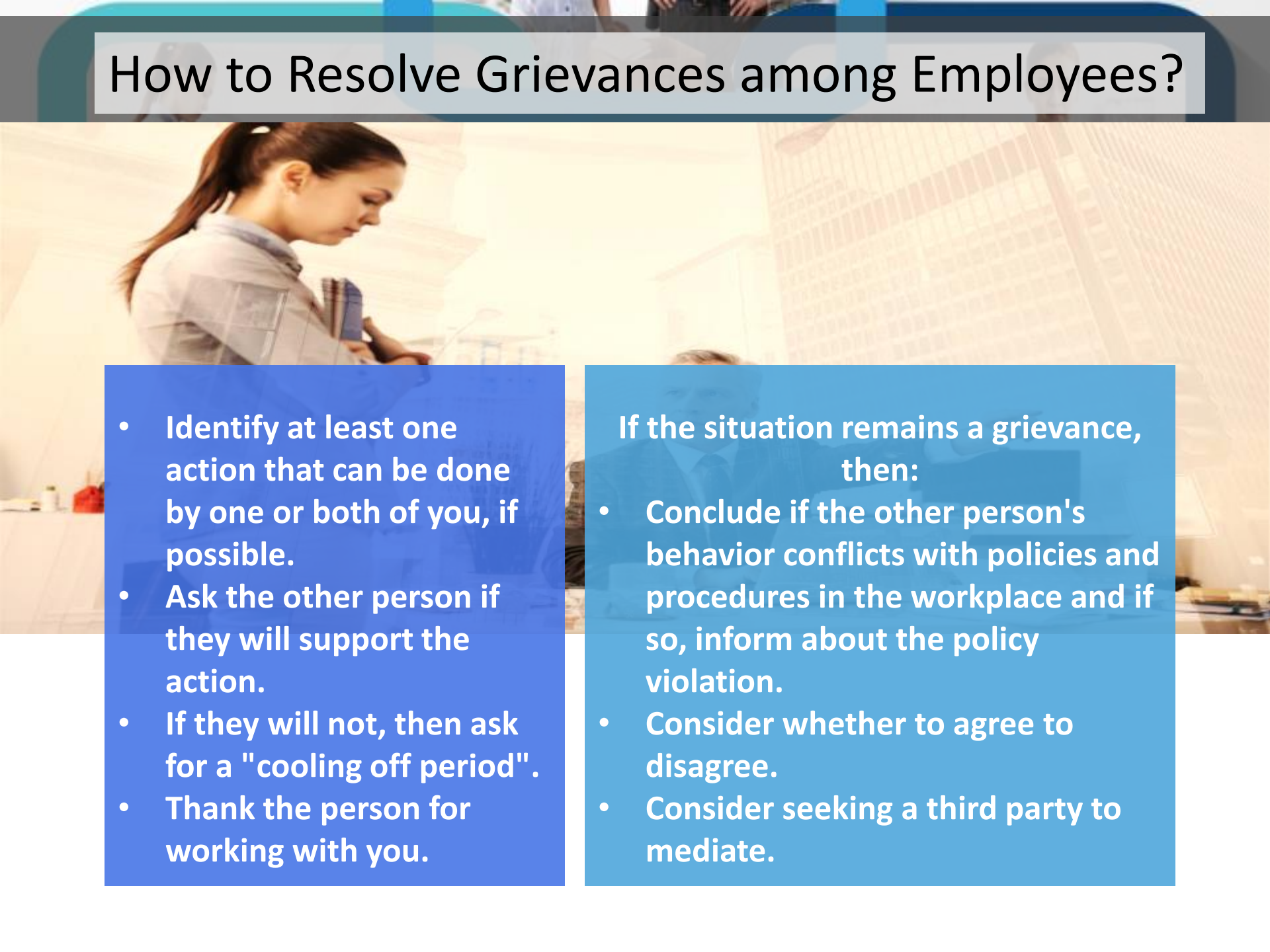
- **Ask the other person to let you rephrase what you heard from the other person and what you understood about his point of view.**
- **Ask open-ended questions to understand him more.**
- **Avoid "why" questions – those questions often make people feel defensive.**

How to Resolve Grievances among Employees?

- 
- A woman in a light blue button-down shirt is covering her face with her hand, appearing distressed or crying. She is wearing a red smartwatch. In the background, a man in a grey suit and tie is looking on with a serious expression. The background is a blurred office setting.
- Repeat the previous step, this time ask the other person to verify what they heard from you and understood. When you present your position
 - Use "I", not "you".
 - Talk in terms of the present as much as possible.
 - Mention your feelings.

- Acknowledge where you disagree and where you agree. Work on the issue, not the person.
- When they are convinced that you understand them: Ask "What can we do fix the problem?" There is a high possibility that they will begin to complain again.
- Then ask the same question. Focus on actions they can do, too.

How to Resolve Grievances among Employees?

- 
- Identify at least one action that can be done by one or both of you, if possible.
 - Ask the other person if they will support the action.
 - If they will not, then ask for a "cooling off period".
 - Thank the person for working with you.

If the situation remains a grievance, then:

- Conclude if the other person's behavior conflicts with policies and procedures in the workplace and if so, inform about the policy violation.
- Consider whether to agree to disagree.
- Consider seeking a third party to mediate.

Essentials of an Effective Grievance Redressal System

The essentials of an effective Grievance Redressal System are:



Suggestions:

Redressal suggestions should be practical and inclusive of both parties viewpoints



Practical & Standard Format:

Format of Grievance Redressal system should be simple and understandable



Evaluation Technique:

Appropriate tool and methodology should be used



Communication:

Indispensable part of the Grievance Redressal Management System



Feedback:

Should be inclusive than judgmental



Personal Bias:

Efforts should be made to make Grievance Redressal management free from the influence of interpersonal bias

Reasons for Grievances among Employees



Ways of Expressing Grievance

There are various ways in which a person may express his grievance in an organization. They are:

Silence

Non-verbal

Verbal

01



02



03



Let us look at each in detail.

Ways of Expressing Grievance

01

Verbal



A person may express his grievance verbally by expressing himself in words. He may express his grievance in a calm manner or may use aggressive words to express himself.

The following are some examples of verbal expression of grievances:

- It's too unfair.
- I did not get the promotion as promised to me. I want to complain to the HR.
- My colleague is always trying to insult me and I am fed up of his picking on me.

Ways of Expressing Grievance

02

Non-verbal



A person may express his grievance non-verbally by expressing himself through his body language. He may express his grievance using gestures, facial expressions, negative body language, tone of voice etc.

The following are some examples of non-verbal expressions of grievances:

- The employee may push the report file towards you without even glancing at it
- He shakes his head in a 'no'
- He may push his chair back from table and may appear restless
- He may lack attention or concentration

Ways of Expressing Grievance

03

Silence



Another very common way in which a person may express his grievance is by simply remaining 'silent'.

Even when you try to explain your point of view or are trying to convince the person, he may simply shut himself off from the conversation and may choose to remain silent.

Roll your mouse
over the icon,
to learn more.

Did you
know?

Did You Know?

A worker can try to settle his grievance casually with their manager, if he has an issue with his work, working conditions or with a colleague.



Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Steps for Handling Grievances

Following are the steps that you can use to handle grievances, such as follows:



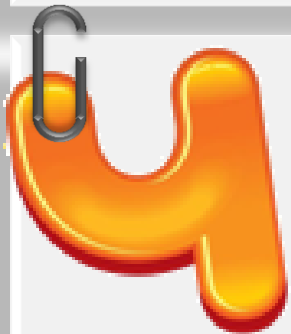
Listen



Empathize



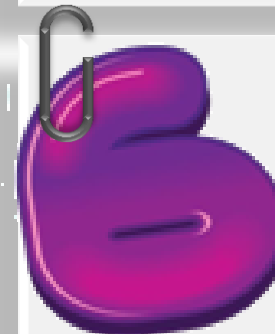
Don't Justify



Ask Questions



**Agree to
Course of
Action**



**Carry out
Course of
Action**

Let us look at each in detail.

Steps for Handling Grievances



Listen

- The first step to handling grievances is to listen to the person.
- Listening is the most important part of handling grievances as it helps to get the details right the first time.
- Listening will help you to diffuse the person's anger and assure him that you are trying to resolve the issue.
- Once you have listened to the person's issue, make sure that you paraphrase his grievance to your understanding.
- Paraphrasing will help you to refine a vague grievance to something specific which will be easier for you to handle.

Steps for Handling Grievances



Empathize

- While handling grievances you should always keep in mind that you are dealing with someone in an emotional state.
- This is because the cause of the grievance has given the person a considerable amount of trouble and worry already.
- So, make sure that the first words the person hears are words of empathy.
- You should empathize with the person, rather than pitying him or sympathizing with him.
- Your empathy will make the person know that you understand his problem and emotional state as well.

Steps for Handling Grievances



Don't Justify

- **Never make the mistake of giving justifications for or cajole someone as soon as you hear a grievance.**
- **This is because a person expressing a grievance is not looking for the justifications.**
- **Hence, it is important that you do not try to justify mistakes by giving excuses.**
- **You should stick to the facts while explaining and your explanation should not sound like a justification.**
- **Maintain a calm, firm and assertive tone while explaining and solving the grievance.**

Steps for Handling Grievances



Ask Questions

- Your next step to handling a grievance is to ask questions.
- Asking questions will help you gain more detailed information about the specific grievance.
- You should always press for specifics to clarify the concern.
- You should use open questions to delve deeper into the issue and allow the person to open up.
- Then, respond with appropriate facts and/or benefits. This will allow you to figure out a possible solution to the grievance.

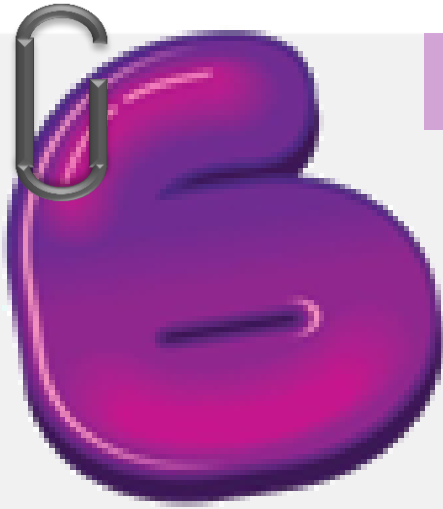
Steps for Handling Grievances



Agree to a Course of Action

- A person expresses grievance not just for the sake of making himself heard; he complains because he wants an answer to the reason of the issue and also wants the resolution of his issue.
- Hence, it is crucial that you should find a solution which is satisfactory to the person and also adheres to your company policies.
- So, you should reach a course of action to be taken which is agreed upon by the person also.
- The course of action to be taken should include what is going to happen and by when.

Steps for Handling Grievances



Check the Course of Action is Carried Out

- After you have reached an agreeable course of action, it is critical that you should make sure that the course of action is carried out as agreed.
- Hence, if something has to happen by certain date and time, you should make sure that you keep a track and check that it has happened.

MCQ



Q. Which of the following is the 'first step' for handling grievances?

- ☐ Ask Questions
- ☐ Listen
- ☐ Agree to a Course of Action
- ☐ Empathize

Click on the
radio button
to select the
correct
answer!



MCQ

Good! That's Right!



Correct Answer:
'Listening' is the 'first step' for handling grievances.

- ☐ Agree to a settlement
- ☐ Empathize

Click here to
continue!

MCQ

Which of the following is the 'first
That's Not Quite Right!



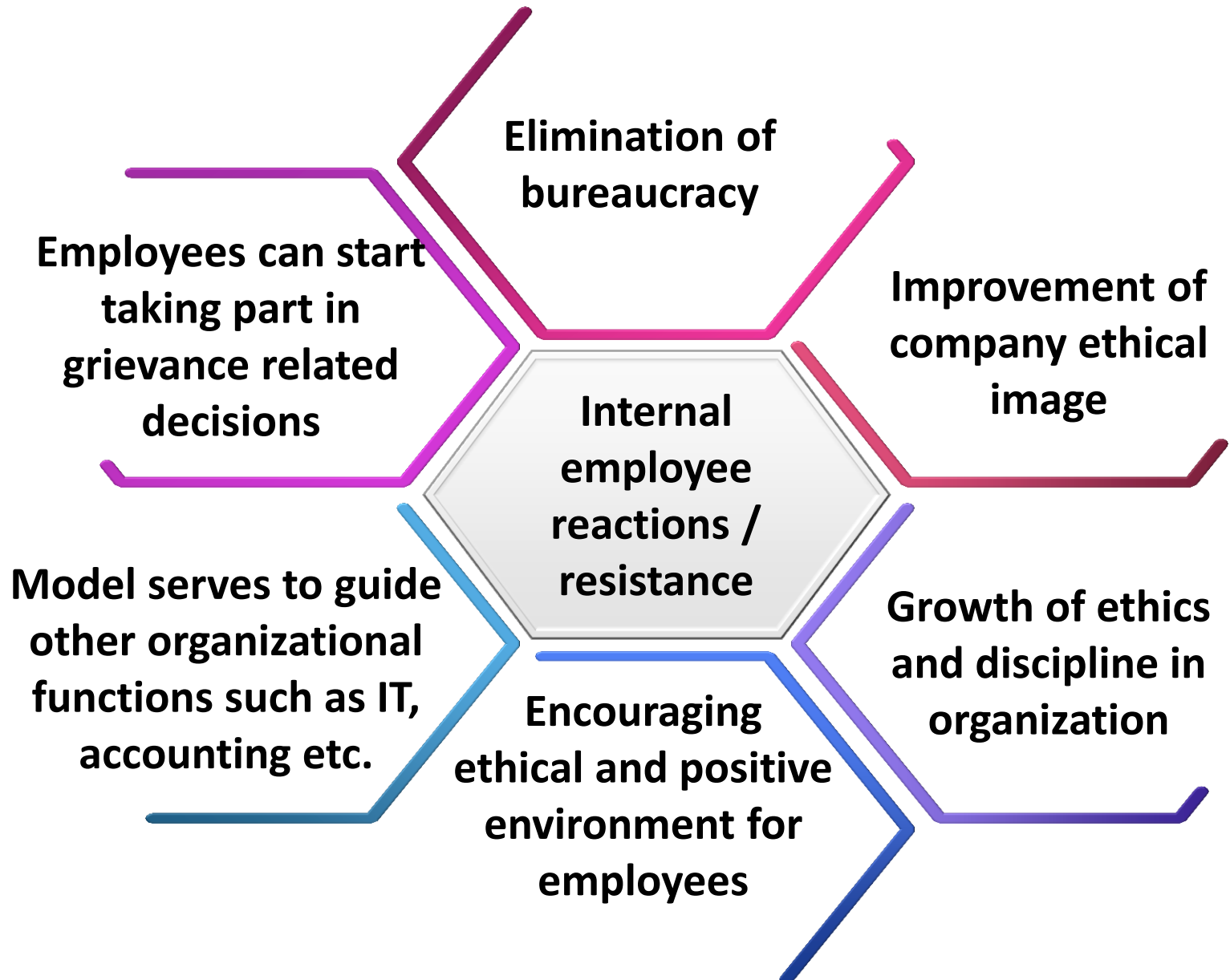
'Listening' is the 'first step' for handling grievances.



Empathize

Click here to
continue!

Impact of Disciplines & Grievance Management on Companies



Impact of Disciplines & Grievance Management on Companies



Impact of Disciplines & Grievance Management on Companies



Objectives

- **Explain what is Discipline & Grievance Management**
- **Discuss the purpose of Discipline & Grievance Management**
- **Identify the Disciplinary & Grievance Management Process**
- **Discuss the rules of Discipline & Grievance Management**
- **Identify the challenges of Discipline & Grievance Management**
- **Explain the importance of Discipline in an Organization**
- **Describe the methods to Make Employees More Disciplined**
- **Explain what is meant by Grievance Redressal**
- **Identify the steps for Handling Grievances**
- **List the tips to Improve Discipline in an Organization**

Tips to Improve Discipline in an Organization

The following are some tips to improve discipline in an organization:

An organization's management should have proper discipline and ethics committees in place to avoid disciplinary issues and misconducts.

The organization's adopted disciplinary values and code of ethics should be clearly defined, communicated and propagated through leaders to all levels of hierarchy.

A well-defined business code of conduct should be created which defines the right behavior, standard procedures, governance structures, policies of organization.

Organization should set up and create discipline and ethics committees and subcommittees to consider and support critical decisions.

An organization should conduct discipline and ethics training programs and introduce them into the new employee induction training programs.

Organization should carry out regular discipline and ethics reviews such as internal audits throughout the organization as part of established reviews.

Tips to Improve Discipline in an Organization

The following are some tips to improve discipline in an organization:

Organization should make sure the selection processes to select new employees are based on disciplinary and ethical considerations.

Organization should have a regular feedback system to rate the disciplinary index of employees and leaders.

Organization should have a protocol or discipline and ethics hotline that can be used by employees to report potential violation of disciplines and ethics.

Organization should have a proper defined process for dealing with violation of discipline across the organization.

It is important that organization should make sure that employees know when to consult with others on decisions that have long-term ethical aftermaths.

Organization should encourage employees to openly bring out issues that may have serious disciplinary consequences.

Pitfalls of Discipline & Grievance Management

- **The dilemma of differentiating between right and wrong disciplinary values.**
- **The challenge of filling the gap between disciplinary values and ethics and a principled approach to decision-making.**
- **The belief of certain employees that only they are right and all others are wrong.**
- **The stubbornness of an employee to stick to his principles and not updating his values to a better disciplinary system.**
- **The firm belief in one's core set of disciplinary principles which may be formed during the earlier formative years of childhood and may not be necessarily right.**

Pitfalls of Discipline & Grievance Management

- **The inability of employees to listen to others and understand the situation from their view points before making a decision.**
- **The challenge that employees face to remain true to their disciplinary principles when under pressure from other people.**
- **The inability of accessing and facing facts rationally and in an unbiased manner due to some age old belief system that is inculcated due to one's culture and religion.**
- **The conflict of disciplinary values between two individuals trying to make an ethical decision together.**
- **The dilemma of making a disciplinary decision or doing something that is ethical and also right for everyone such as: employees, shareholders, customers, taxpayers, clients etc.**

Practice

*Let us now practice all
that you have learned
about Grievance,
Discipline & Dismissal.*

Practice



Consider the existing disciplinary rules and regulations in your organization. Find any large disciplinary failure of your organization in the last decade.

- What were the main reasons for the failure?
- What do you think is the current disciplinary scenario of your organization?
- What are the pitfalls faced in good discipline and grievance management in present day?
- How can good discipline and grievance management be practiced?



Case Study

Howard Gotham works as a Project Manager at Leonard Inc.

Howard is responsible for having initial preliminary discussions with employees about disciplinary and grievance issues.

- 1. What can Howard do to sharpen his disciplinary discussion skills?**
- 2. What principles of discipline and grievance management can Howard use to better manage people?**

Summary

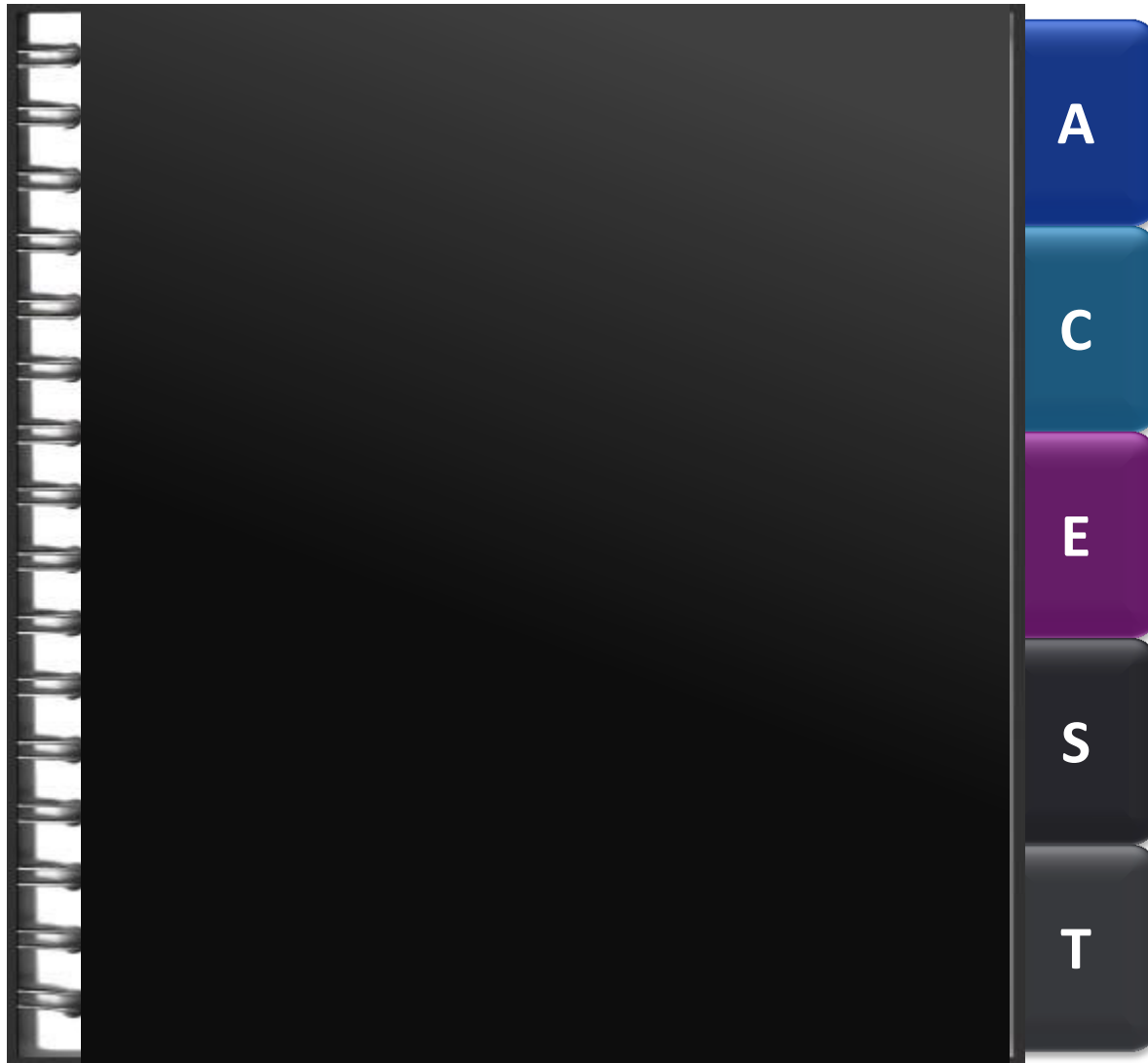
- Discipline & Grievance Management refers to the way a corporation is governed with respect to discipline and grievances.
- The Components of an effective effective disciplinary system are as follows:
 - Discipline Clarification
 - Moral Conduct
 - Ongoing Feedback
 - Specific Policies
 - Review & Appeals
 - Disciplinary Feedback
 - Documentation
 - Discipline Level
 - Accuracy of Disciplinary Actions
 - Disciplinary Objectives
 - Coaching and Support
 - Ongoing Monitoring
 - Warnings & Dismissals
 - Trained Chairperson
 - Continuous Open Communication
 - Standardization
 - Reliability
 - Mutual Trust & Confidence

Summary

- The following are the principles of good discipline and grievance management:
 - Ethical Approach
 - Balanced Objectives
 - Equal Participation of Each Party
 - Existence of Proper Decision-making Process
 - Caring for Stakeholders
 - Accountability and Transparency
- The following are the major elements of Discipline & Grievance Management Process:
 - Assess
 - Design
 - Propose
 - Implement
 - Measure

Glossary

Click each alphabet to learn more.



Glossary

Click each alphabet to learn more.

- **Accountability** - Accountability means responsibility to someone or for some activity
- **Act** - An Act is a law or a legal document codifying the result of deliberations of a committee, society or legislative body

A

C

E

S

T

Glossary

Click each alphabet to learn more.

- **Corporation** - Corporation is a large company or group of businesses, recognized in law and acting as single entity
- **Capital** - Capital is the assets available for use in the production of further assets

A

C

E

S

T

Glossary

Click each alphabet to learn more.

- **Ethical** - Ethical means conforming to accepted standards of social or professional behaviour
- **Economic** - Economic means of or relating to an economy, the system of production and management of material wealth

A

C

E

S

T

Glossary

Click each alphabet to learn more.

- **Stakeholder** - Stakeholder is someone entrusted to hold the stakes for two or more persons betting against one another; must deliver the stakes to the winner
- **Shareholder** - Shareholder is someone who holds shares of stock in a corporation

A

C

E

S

T

Glossary

Click each alphabet to learn more.

- **Transparency** - Transparency is the quality of being clear and transparent
- **Transferability** - Transferability is the quality of being transferable or exchangeable

A

C

E

S

T



You have Successfully Completed
the Course on
**Grievance, Discipline &
Dismissal!**

Congratulations