PRACTICAL 13 PERFORMANCE APPRAISAL AND MAINTAINING DISCIPLINE

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13.0 OBJECTIVES

After studying this practical, you should be able to:

• define performance appraisal.

13.1 INTRODUCTION

All of us like to be appraised for the quality of our work, nurses not less than other Recognition of the high quality of the care we deliver and the contributions we make in the work place, such as leading committees, writing policies and procedures and mentoring new colleagues—is a source of pride and professional satisfaction. Feedback from managers, peers and other colleagues can also provide a clear sense of how we are doing on the Job, and how other perceive the work we do. But a
pressing problem today, not only for hospitals and nursing service administrators, but also for industrial organization, schools and other agencies employing large number of personnel, is to develop a method of personnel evaluation which will actually measure what it claims to measure and will, at the same time prove acceptable to all who will be affected by it. In the words of Margarat Randall, the whole process of evaluation in nursing situations is a subjective one. Therefore, suitable descriptions of behaviour seem to offer the best approach. Hence, periodic appraisal of the worker performance is therefore an important part of any enterprise, for it can improve performance and serve many other purposes including the highest level of public satisfaction.

13.2 CONCEPT AND DEFINITION

A performance review programme consists of a series of periodic performance appraisals, feedback interviews and goal planning sessions between a superior and his subordinates. The formal programme is supplemented by frequent but informal conferences to see that planned goals are being met.

Performance appraisal is a process of evaluating an employees performance of job for which he is employed for the purposes of administration including placement, selection for promotions, providing financial records and other actions which require differential treatment among the members of the group as distinguished from actions affecting all members equally. It is also viewed as a process of estimating of judging the value, excellence, qualities of status of some object, person or thing. It is a part of all staffing processes like recruitment selection and placement.

Performance appraisal is a periodic formal evaluation of how well the nursing employee has performed his/her duties during a specified time period (usually yearly). It can also be called as staff evaluation.

13.3 NEED OF THE PERFORMANCE APPRAISAL

Persons stated that, if nursing is to meet the society's needs there should be further exploration and identification of the functions of the professional nurses now and in future. Adbellah observed one of the major drawback to the quality care in nursing is the lack of instrumentation to gauge it directly. Accountability in nursing requires continuous monitoring of two aspects of nursing practices.

1) Performance evaluation,
2) Effects of performance upon health status of the client.

Hence performance appraisal criteria reveal what is exactly expected from the worker in a particular area of work. Personnel evaluation are done so that management will have some regular formal way of ascertaining whether employees are performing to meet the goals of the organizations. They become a part of the employee’s permanent record and are used as basis for promotion, termination, demotion, transfer, subsequent references, salary increases or compensations/rewards etc.

Performance measures also link information’s gathering and decision making processes which provide a basis for judging the effectiveness of personnel, subdivisions such as recruiting selections, training and compensation. This also helps in pinpointing weak areas. It is easier for managers to see which employees need training or counseling. If valid performance data are available, timely, accurate, objective standardized and relevant, management can maintain constant promotion and compensation policies throughout the total system.
13.4 PURPOSE OF PERFORMANCE APPRAISAL

Overall objective of performance appraisal is to improve the efficiency of the enterprise by attempting to mobilize the best possible effort by the individual employee in it.

From the Employer's of View

1) To determine job competence, i.e., to judge whether the employees are performing at acceptable levels.

2) To provide back up data for management decisions concerning salary, standards, and merit increases, selection of qualified individuals for hiring, promotion; at transfer, low demotion or termination of unsatisfactory employees.

3) To serve as checklist on hiring and recruiting practices and as validation of employment lists (to weed out low performances).

4) To establish standards of job performance.

5) Discover employee's aspiration to reconcile them with the goals of the organizations.

6) To motivate employees by providing feedback about their work.

7) To provide employees with recognition for accomplishment.

8) To improve communication between supervisor and employee.

9) To improve organizational development by identifying training and development needs of employees and designing objectives for training programmes based on those needs.

10) To earmark candidates for supervisory and management development.

11) To help the organization determine if it is meeting its goals.

From Employee's Point of View

- It provides feedback of performance
- Helps to identify the role (role clarity).
- Clarify career plan in the organization.
- It’s the time to get manager’s attention.
- It helps to improve nursing practice.
- Helps to negotiate non salary benefits such as (conferences etc.).
- Helps to provide an opportunity for self evaluation and to provide the manager all necessary information in a timely, well organized manner. Broden the out look
- Encourages employees to express their views or to seek classification about their jobs to duties.

The Appraiser’s

- It gives a feedback on how well the objectives have been communicated to the subordinates facilities provided for their effective performance.
It help to review the work situation with the employer.

- Helps to identify his/her own contributions in achieving organizational goals.
- Increases the analytical abilities of supervision.

It is thus seen that performance appraisal is an important tool of personnel management. It is a judgment of the characteristics, traits, and performance of employees and has wide range of utility. For example:

- It unifies the appraisal procedure so that all employees are rated in same manner utilizing the same approach and ratings obtained of separate personnel are comparable.
- It provides useful information that is useful in making important decisions about selection, training, promotions, transfers, and salary adjustments.
- It provides information in the form of records, which can be produced as evidence when decisions are challenged in the court of law.
- It serves to stimulate and guide employee development by providing information about weakness and enable them to improve.
- It gives supervisors a more effective tool for rating their personnel which also enable them to make careful analysis and better knowledge and understanding about them.
- It makes better employer-employee relations through mutual confidence and frank discussions.

13.5 BASIC REQUIREMENTS/CREDENTIALS FOR PERFORMANCE APPRAISAL

The employer must convey all the employee, especially the new employee about the evaluation form used, performances, or criteria applied, human relation policies that relate to the performance evaluation, objectives, philosophies, job descriptions, and expected role performance.

- **Secondly** the performance evaluation tool should be specific to the position and should match with the job description. (For example, that of MS, ANS, DNS, or staff nurse).
- **Thirdly** every leader must develop competence in assessing objectively the quality of performance of his/her subordinates.
- Nurse managers must indicate the clearly the areas of strengths, weaknesses with mentioning of priority to improve the effectiveness.
- The formal programme should be supplemented with frequent, informal but informed conferences (or free and frank discussions) to see that planned goals are being met.

Post evaluation interview is a must where both rater and ratee can exchange and share the rating. It develops understanding and gives scope to talk over the practical difficulties and ways to overcome them.

So this type of methodology is another example for a type of performance evaluation.
Methods of Doing Performance Appraisal

Supervisors – Immediate Reporting officer
- Reviewing officer
- Self appraisal (self evaluation)
- Peers
- Subordinate
- Other team members e.g. doctors
- Consumers/beneficiaries

The appraiser must be the person who knows about employee and her/his role performance. This helps to maintain the line of authority and communication. Also helps to compare the performance of one individual with that of peer.

This aspect is scientifically proved by Syeda Kareemumissa (1972)’s study.

Table 13.1: Staff Member’s Opinion as to who should rate them?

<table>
<thead>
<tr>
<th>Rater</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal</td>
<td>14</td>
</tr>
<tr>
<td>H.O.D.</td>
<td>15</td>
</tr>
<tr>
<td>Other Department</td>
<td>11</td>
</tr>
<tr>
<td>Colleague</td>
<td></td>
</tr>
<tr>
<td>Peer Group</td>
<td>7</td>
</tr>
<tr>
<td>Students</td>
<td>13</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>68</strong></td>
</tr>
</tbody>
</table>

Reviewing officer: It gives guidance to the appraisers:
- Provide uniform rating.
- Less biases.
- Additional or second view.

The process of performance appraisal

The process of performance appraisal follows a set pattern that is the man’s performance is periodically appraised by his superior. Process or evaluation begins with establishment of performance standards. At the same time designing job and formulating a job description performance standard are usually developed for the position. These standards should be clear and not vague and objective enough to be understood and measured. These standards should be discussed with superiors to find out which different factors are to be incorporated and points to be given to each factor and then should be indicated on the appraisal form.

Next step is to communicate these standards to employees and to make communication effective feedback is necessary and it ensures that information communicated has been understood in the way it was intended.

Third step is the measurement of performance. To determine what actual performance is, it is necessary to acquire information about it. We should be concerned about how we measure and what we measure. Four sources of information are used for measuring actual program. These are personal observation, statistical reports, oral reports and written reports.
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Fourth step is the comparison of actual performance with these standards. The employee is appraised and judgment of his potential for growth and development depends upon the performance comparing to the laid down standards.

Out free other is getting into sources of deviations. Coaching, counseling and formal training help in taking corrective actions. Attempts may be made for to recommend for salary increase and promotions.

13.7 METHODS AND TECHNIQUE FOR PERFORMANCE APPRAISAL

Several methods and technique of appraisal are used for measuring the performance of an employee. The methods or techniques may differ for various reasons:

- Qualities to be appraised, qualities may differ because of difference in job requirement, statistical requirement and opinions of the management.
- Because of different kind of workers who are being appraised for example factory workers, executives, technical people or salesmen.
- Degree of precision attempted in evaluation.

Commonly used methods are:
- Straight ranking methods
- Man to man comparison
- Grading
- Graphic rating scale
- Checklists
- Critical incident
- Group appraisal

Straight Ranking Method

Performance of a man is compared with other persons in relative terms or position. The relative position on each man is tested in terms of his numerical rank. It may also be done by ranking a person on his job performance against that of another member of a competitive group. Persons are ranked in order of merit placed in a simple grouping.

Man to man comparison method

Certain features are selected for purpose of analysis such as leadership dependability and initiative and the scale is designated by the rate for each factor. A scale of a man is also created for each selected factor. Each man to be rated is compared with the man in the scale and certain scores for each factor are awarded to him. In other words instead of comparing a wholeman to wholeman individual are compared to the keyman in respect of one factor at a time. This method is used in job evaluation and in know as factor comparison method. Designing of scales may be complicated and may not be used commonly.

Grading method

In this method rates concerns certain features and marks them according to the scale. These features may be analytical ability, cooperativeness, dependability, self expression, job knowledge and judgement etc.
Rating Scale

This is the most commonly used method of performance appraisal. Factors which are rated are employee characteristics and employee contribution. Employee characteristics are such as initiative, leadership; cooperativeness, dependability, attitude, enthusiasm, loyalty, analytical ability and emotional ability. Employee's contribution is quality and quantity of work, the responsibility assumed, the specific goals achieved regularity of attendance, leadership and attitude towards superiors. These traits are then evaluated on a continuous scale.

The rating scale method is easy to understand and easy to use and permits statistical tabulation of scores. These scores can be compared among other employees. It is the most common tool in use today.

Checklist

Checklist is under this method, the rater does not evaluate employee performance, he supplies reports about it and the final rating is done by the personnel department. A series of questions are presented concerning an employer to his behavior. The rater then checks to indicate if answer to a question about an employee is positive or negative. Value of each question may be weighed more heavily than others. An example of checklist is given below.

Critical Incident Method

This method attempts to measure workers performance in terms of certain events or episodes that occur in performance of the job. These events are known as critical incidents. The supervisor keeps a record of the events that can be easily recalled and used in the course of periodical or formal appraisal. Feedback is provided during performance review session. These critical incidents are discovered after thorough study of personnel working on the job. This method provides objective basis of conducting discussion of an individual's performance. Vague impressions and general remarks are avoided.

Group Appraisal Method

In this method employees are rated by an appraisal group. This group consists of supervision and some more supervisors who are familiar with the job. Performance of the job holder is discussed by this group and suggestions are offered for improvement.

Appraisal by Results or Management by Objective

This method has been evolved by Peter Drucker. MBO (Management by Objectives) is a powerful philosophy of managing and an effective way for operationalizing the evaluation process. It seeks to minimize the external controls and maximizes internal motivation through joint goal setting between the manager and the subordinate and increasing the subordinates own control of his work. It strongly reinforces the importance of allowing the subordinate to participate actively in the decisions that affect him directly. Management by objectives can be described as a process whereby the superior and subordinate managers of an organization jointly identify the goals, define each individuals major areas of responsibility in terms of results expected of him and use these measures as guides for operating the units and assessing the contribution of each of these members.

From another point of view MBO is defined as a systems approach to managing an organization where those accountable for directing the organization first determine where they want to take the organization. It is the
process requiring and encouraging all key management personnel to contribute maximum in achieving overall objectives. An effort to blend and balance all the goals of all key personnel and an evaluation mechanism.

Objectives of MBO
MBO has no objective in itself. The objective is to change behavior and attitude towards getting the job done. In other words result oriented. It is a management system and philosophy that stresses goals rather than methods. MBO consists of five steps which are:

1) set organizational goals
2) joint goal setting
3) performance reviews
4) set check posts
5) feedback.

Set Organizational Goals

Setting organizational goals means goals are expressed clearly and concisely and can be measured accurately. These have to be periodically revised. These should be challenging to provide motivation but not so high that they are out of reach. Otherwise these may result in frustration among employees and lead to defensive behavior. Clear attainable goals help channels energising in specific directions and let the subordinate know the basis on which employee will be rewarded.

Joint Goal Setting

Establishment of short term performance targets between the management and the subordinate the manager must clarify in his own mind the responsibilities of their subordinate. Manager may ask each subordinate to write down his personal goals he thinks subordinates should have. The manager and subordinate then discuss and reach an agreement about them and put them in writing. The goals set should be flexible enough to accommodate new ideas and should stress individual responsibility. The goals should be specific and clear and should be quantified for easy measurement.

Performance Reviews

Frequent performance review meetings between the manager and the subordinate. During meetings monthly reviews may be done and extended to quarterly reviews. For maximum effectiveness reviews should be more often.

Set Check Posts

Establishment of check posts to measure progress. By nature demands that manager be constantly alert and exercises sound judgement. However subordinate learns to establish objectives and direct activities towards goals and rate of control and amount of checking gradually reduces.

Feedback

The employees who receive frequent feedback concerning their performance are more highly motivated than those who do not feedback that is specific, relevant and timely helps satisfy the need most people about where they stand.
SAMPLE OF PERFORMANCE APPRAISAL

1) Personnel Background
   Age
   Family status
   Children
   Education:
   a) Specialization and degrees
   b) Extra-curricular activities and offices held
   Work history
   Employees:
   Position, titles and duties
   Social accomplishments
   Honours and awards
   Professional or trade organization membership
   Publications, if any
   Special limitations
   Health
   Family problems
   Hobbies and recreational activities.

2) Nature of Work
   A generalized statement based on organization planning and job analysis data.
   Committee assignments
   Number and titles of people supervised.

3) Job Performance and Personnel Qualification
   A general statement of an employee’s value to the company and his probable future contribution.
   **Technical Performance:** Evaluation against expectation in each of the key areas noted in the job description. Specific achievements in each of the key duties.

Intelligence as Manifested on the Job: Selection of realistic goals and methods of goal attainment.

Ability to learn new techniques, Resourceful in new and trying conditions. Quality of, land speeding, thinking. Organizational and planning ability and judgement. Thoroughness and accuracy. Ability to sell ideas, Flexibility in dealing with the ideas of others creativity.

Emotional Stability: Ability to make adjustments in the face of frustrations and constraints. Capacity to take calculated risks. Ability to get along with others. Reaction to criticism and pressure; objectivity and freedom from prejudices. Excessive emotionally. Impairment caused by off the job problems.

Leadership Skill: Ability to win co-operation from subordinates Ability to criticize and give orders, if necessary. Skill as a team worker with other organizational units. Development Delegation of power and use of controls. Capacity to establish and publicise performance standards. Types of subordinates sought and ability to appraise them.

The accomplishments in the present job which indicate an Employee’s strength and weaknesses are.

4) Overall Performance Rating
   Individual rating relative to what is expected. Ranking among others at the same level doing similar work.

5) Recommended Action
   Changes in placement
   Ideal duration of current placement.

Development needs plans based on a comparison with the following list of management knowledge and skills:

Knowledge of: Technical information bearing on the job; specialists and jobs; labour relations: business economics, company and departmental objectives; Job evaluation and payment policies; employee benefits and privileges company organizational structure; legal constraints; industry practices and competitive picture.

Skills: Delegation of authority to subordinates; coaching subordinates; setting performance standards; establishing controls and indicating follow up action: long-range planning; decision-making; selling ideas; negotiation; evaluation of individuals and groups; taking disciplinary action; maintaining morale; communications; analyzing accounting reports and other data; cost control; discussion leadership; report and letter writing; public speaking; interviewing and meeting people; framing budgets; reading (speed and comprehension).

13.8 ETHICS OF APPRAISAL

In any performance appraisal due consideration must be given to ethics of appraisal failing which many problems may crop up and very purpose of appraisal may be defeated. So following suggestions are given:

- do not appraise without knowing why appraisal is needed.
- appraisal on the basis of representative information and relevant information.
- be honest in your assessment
- do not write one thing and say another
- pass appraisal information to those who should have it.

These points should be kept in while doing performance appraisal of an individual.
13.9 SELF-APPRaisal

As it is important to receive feedback, it is doubly important to take an active role in the performance evaluation process. One has to start well in advance of self/evaluation whether or not the employer require it. Seek input from all directions, coworkers, Who work with as well as who follow with, key physicians etc., and other team members.

- Keep a job description in the personal file.
- Give one self enough time to collect all required certification licenser and credential. All documentation of formal, and informal education, committee work, volunteer work, competency validations, skills checklists and documentation of special clinical ..privileges.

Review the previous year’s evaluation, recollect the managers comments and agreed upon goals. Make sure that the meeting time should be convenient for both manager and subordinate.

It’s important to remain upbeat and relaxed at the meeting. Be prepared or bring a written list of topics to be discussed. Listen carefully to the manager. When reacting to comments made during your evaluation, remember that, it’s human nature to focus on negative feedback, even if most of the supervisor’s comments are positive. Do one’s best to respond without defensiveness, acknowledging the validity of manager’s comments first.

The career development, personal goals, professional progress, team work, co-worker’s and colleagues support etc. are also to be addressed in the evaluation meeting.

Always ask for a legible, signed copy of your evaluation for your files at home (But not there in practice).

On the other hand, self-appraisals are inflated as most employees have an unrealistically favorable perception of their own performance.

Individual do not wish to reveal their weakness/short comings for fear that they may be used against them when administrative decisions are taken.

In general it’s important to have self evaluation for participative management.

Benefits and Advantages of Performance Appraisal

It gives a systematic word of information.

It provides a uniform standardized performance review with exchange the Views about each other.

Gives evidence of supervisor’s interest in the individual nurse

Inducts more serious and objective thinking about performance of nurse

Gives opportunity to the nurse to know her strengths, weaknesses and to improve her performance.

Provides objective basis for various personnel decisions e.g. Promotion and training etc.

Essential Elements of the Performance Appraisal (Features)

The following characteristics features are essential for an effective performance appraisal:

1) The philosophy, purpose and objectives of the organization are clearly stated, So that performance appraisal tools can be designed to reflect all of there.
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2) The purposes of performance appraisal are identified, communicated and understood by the nursing personnel.

3) Job descriptions are written in such a manner that standards of job performance can be identified for each job.

4) The appraisal tool used is suited to the purpose for which it will be utilized and is accompanied by clear instructions for its use.

5) Evaluators are trained in the use of the tool.

6) Plans for policing the appraisal procedure and evaluating appraisal tools are developed and implemented.

7) Performance appraisal has full support of the top management.

8) Performance appraisal is considered to be fair and productive by all who participate in it.

Criteria for Performance Measurement

Criteria for measurement will depend on what is important to the agency. It also reflects the agency mission, vision and values. Let us explain what is mission, vision and values.

Mission reflects the agency’s reason for being. Vision is future oriented. It also creates the outcome goal.

Values are the principles that govern daily operations.

Obstacles for Effective Performance Appraisal

1) Lack of clear objectives and standards of performance.

2) Lack of suitable appraisal tool.

3) Lack of performance standards based on the views of essential and attainable performances.

The other obstacles are:

1) Lack of support from top management.

2) Resistance from the part of evaluators.

3) Evaluator biases.

4) Failure to communicate.

5) Failure to make policy on effective appraisal.

Limitations of Performance Appraisal

Human judgment is subject to the influence of prejudice biases and other extraneous factors. A person whose performance is to be evaluated cannot be observed all the time. It a nurse is observed speaking harsh to a patient just on one occasion, it is unfair to remark that this nurse is always discourteous with patient.

Recency Effect: It is also to be remembered that of behaviour that create trouble are likely to be noticed and remembered longer than the more usual behaviour. It is also not fair to think to think at the deadline; well this staff has done her work alright, so I guess her work organization must be “alright” (generalization from single work).
Error: Although nursing administrators have little time for this important task. Hence a new employer should be observed frequently and older employee probably once in an year.

Contrast Error: Tendency of the supervisor to rate the nurse from the way she perceives herself.

Problem distortion, i.e. one problem incident weighs heavier than 20 good incidents.

Sunflower effect all are good and there is no problem.

Central tendency is putting all in center average that is 68.1 people are average.

Conclusion

The most important use of performance appraisal or/evaluation is to assist the person to improve his/her performance. It must be constantly kept in mind that the evaluation itself does not make the improvement. The person makes the improvement when helped by those in supervisory position. To use the information, the later also needs help to interpret and profit from the evaluation. Ant also performance appraisal is only a progress report subjected to change by further activities A careful evaluation of the strength and weakness must provide reliable informations when it is measured by using an effective, valid and reliable tool designed based on the goal, philosophy, and job descriptions or essential and attainable activities.

Activity 1

Prepare a performance appraisal based on the sample given. Do the self appraisal based on activity.

Discipline

The promotion of employees discipline is essential if organized group action is to be effective and productive. The word discipline connotes that the members of the group should reasonably conform to the rules and regulations (that is code of behavior). Discipline may be considered as a force that prompts the individual or group to observe the rules, regulations and procedures which are necessary for effective functioning of an organization.

- Forms and Types of Discipline

Discipline involves the conditioning or molding of future behavior of an employee by the offer of rewards and penalties.

Positive or self imposed discipline

It refers to rewards, appreciation, constructive support reinforcement of approved personnel actions and behavior, incentive payments and promotion to motivate employees to extend their cooperation to management and work willingly, effectively and competently. The discipline is achieved when management applies principles of positive motivation Positive discipline emphasizes the concept of self-discipline and self control. Self discipline leads to team spirit, mutual respect, respect for rules, regulation and procedures, respect for supervisors, appreciation for company goals and poleis, high employee morale, greater freedom for development for self expression and willing to cooperate and coordinate.

Enforced or negative discipline

In this people are forced or constrained to obey order and do their task in a accordance with rules and regulations which have been laid with rules and regulations which have been laid down failing which they would have to face penalties purposes of negative discipline is to scare others and to keep others in line
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and to ensure that they do not indulge in undesirable behavior. This negative discipline is also known as punitive corrective or autocratic discipline.

A progressive system of discipline generally contains five steps: an oral reprimand, a written reprimand, a second written warning, temporary suspension, and dismissal or discharge.

- **Aims and Objectives of Discipline**

  The aims and objectives of discipline are:

  1. To obtain a willing acceptance of the rules, regulations and procedures of an organization so that organizational goals may be attained;
  2. To impart an element of certainty to check in informal behaviour, patterns and other related changes in an organization;
  3. To develop among the employees a spirit of tolerance and a desire to make adjustments;
  4. To give and seek direction, and responsibility;
  5. To create an atmosphere of respect for the human personality and human relations; and
  6. To increase the working efficiency and morale of the employees so that their productivity is stepped up, the cost of production brought down and the quality of production improved.

Discipline is essential for the smooth functioning of an organization and for the maintenance of industrial peace which is the very foundation of industrial democracy. Without discipline, no enterprise would prosper.

In order to ensure that discipline is properly maintained, it is essential to have supervisors who have the requisite skills and leadership qualities. Some supervisors are so clever that they develop among their subordinates a willingness to conform with the rules and regulations of the organization; and this is done in such a way that the subordinates themselves do not feel that authority is being imposed upon them by their superiors to maintain discipline. On the other hand, there are supervisors who can function only by holding out threats to their subordinates; they rule by fear. There are yet others who cannot enforce any obedience of their orders; with them, employees behave as they please, and violate whatever rules they feel they should violate.

The success of any rules of discipline depends on the existence of a high degree of co-operation between the employers and the employees; on faith and belief in one another's enlightened attitude toward its employees and its over all efficiency; and on the good sense of the workers' trade unions. It is observed: "When the employee and the boss are bound by the same common understanding of some common purpose, discipline is on a place which no other form can reach".

- **Act of Indiscipline or Misconduct**

  Disciplinary problems may be classified on the basis of the severity of the consequences which flow from them. They are generally divided into three categories:

  i) Minor infraction, which do little or no harm, or which when viewed in isolation, result in very few serious consequences, but which may become serious consequences, but which may become serious if they accumulate.

  Some of the examples of these minor infractions are negligence, horseplay, minor violations of rules, wage garnishment, failure to be present when needed, and carelessness for example giving injection without following strict aseptic technique leading to inflammation.
ii) Major Infraction: These are acts which substantially interfere with orderly operations of an organization, which damage morale, or which also seriously that they are apparent to any reasonable person; or acts which are an accumulation of minor offences. Most of these major violations centre round refusal to carry out the reds abilities, cheating, stealing, or violating safety rules.

iii) Intolerable offences are offences of such illegal and drastic nature that they severely strain or endanger employment relationships and are full of threat and menace to most people. For example serious harm to others; and smoking in a place where inflammables and combustibles are kept stored (like patient is on O$_2$).

In other words, the offences against discipline relates to attendance, punctuality regularity, insubordination, loafing, fighting, drunkenness, stealing, breaking or defacing property, smoking, gross negligence of duty, possession of weapons, horse-play and joking, violation of safety rules, and possession and use of hard drugs and narcotics.

**Causes of Indiscipline and Misconduct**

In order to understand the causes of indiscipline and consequent friction in an establishment or factory, the whole problem needs to be analyzed not only in terms of specific individuals or groups, but also in terms of the actual situation and the underlying motives behind an act of indiscipline.

Discipline is the result of a training of body and mind by which a person subjects himself to someone's authority for his own development and advantage. The rules of discipline, which a person is called upon to accept, must not, however, violate the rights of the individual. These rights are:

a) The right of every man to be treated as an individual and respected as a person;
b) The right of every man to have a voice in his own affairs, which includes his right to contribute, to the best of his ability, to solution of common problems;
c) The right of every individual to have a recognition of his contribution to the common goal;
d) The right of every person to develop his highest abilities and to make use of them;
e) The right of every man to justice and fair play;
f) The right to get fair wages for the work he has done; and

g) The right to security of service.

These rights place certain implied obligations on the employers. They should

a) provide measures which would ensure conditions of safety for the employee, as well as good and healthy working conditions for him;
b) Provide the worker with work, raw materials, tools and equipment, and give him effective means for the realization of his goals and aspirations;
c) Pay a reasonable wage to the employees for the work he does, which should be in terms of his contract of service;
d) Ensure that their business is conducted strictly in accordance with the laws of the country; and
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e) Indemnify the employee for all the liabilities or losses or expenses he has incurred in consequence of his obedience of his employer's orders or in the effective performance of his duties.

If the employees enjoy certain rights, they also have some obligations to their employers

a) They should be physically and mentally fit so that they may do their assigned jobs properly and efficiently;

b) They should give satisfaction to their employers by being regularly present at work and being on time for it;

c) They should comply with all the reasonable orders of the management, and observe all the rules and regulations;

d) They should be faithful and loyal in the discharge of their assigned duties; and

e) They should be diligent and accountable to their employers for the equipment and money entrusted to them.

It is only when individual goals eclipse organizational goals, or when the equilibrium between the capacity, the interest and the opportunities of an individual is destroyed that disharmony is created, resulting in conflict and frustration. These may be released by sublimation or by aggressive and rebellious attitudes towards the management.

The main causes of indiscipline may now be stated. Some of these are:

a) Non-placement of the right person on the right job which is suitable for his qualifications, experience and training;

b) Undesirable behaviour of senior officials, who may have set a pattern of behaviour which they expect their subordinates to follow; but their expectations are often belied, and an infringement of rules follows;

c) Faulty evaluations of persons and situations by executives leads to favoritism, which generates disciplined behaviour;

d) Lack of upward communication, as a result of which the thoughts, feelings and reactions of employees cannot be conveyed to the top management. This may lead to aggressive or rebellious behaviour;

e) Leadership which is weak, flexible, incompetent and distrustful of subordinates is often an instrument which makes or leads to the indiscipline among the employees, particularly when a decision is taken in haste and withdrawn under pressure;

f) Defective supervision and an absence of good supervisors who know good techniques, who are in a position to appreciate critically the efforts of their subordinates, who can listen patiently to them, who are capable of giving definite and specific instructions, and who believe in correcting their men rather than in uprooting them;

g) Lack of properly drawn rules and regulations, or the existence of rules and regulations which are so impracticable that they cannot be observed; and the absence of service manuals and a code of behaviour;

h) The "divide and rule" policy of the management, as a result of which friction and misunderstanding are created among the employees which destroy their team spirit.

i) Illiteracy and the low intellectual level of workers as well as their social background for example, there may be indebtedness, drinking habits, casteism and other social evils from which an employee may suffer:
j) Workers’ reactions to the rigidity and multiplicity of rules and their improper interpretation:

k) Workers’ personal problems; their fears, apprehensions, hopes and aspirations; and their lack of confidence in, and their inability to adjust with, their superiors and equals;

l) Intolerably bad working conditions;

m) Inborn tendencies to flout rules;

n) Absence of enlightened, sympathetic and scientific management;

o) Errors of judgement on the part of the supervisor or the top management;

p) Discrimination based on caste, colour, creed, sex, language, an place in matters of selection, promotion, transfer, placement, and discrimination in imposing penalties and handing out rewards;

q) Undesirable management practices, policies and activities aiming at the control of workers; e.g., employment of spies, undue harassment of workers with a view to creating a fear complex among them, and the autocratic attitude of supervisors towards their subordinates;

r) Improper co-ordination, delegation of authority and fixing of responsibility; and

s) Psychological and sociological reasons, including misunderstanding. Rivalry and distrust among workers and supervisors, an absence of fellow feeling, a widespread sense of injustice, or apathy on the part of the management.

Principles for Maintenance of Discipline

Disciplinary measures have serious repercussions on employees; they should therefore, be based on certain principles so that they may be fair, just and acceptable to employees and their unions. The most important principles to be observed in the maintenance of discipline have been outlined by Yoder, Heneman, Turnbull and Harold Stone. These are:

a) As far as is possible; all the rules should be framed in cooperation and collaboration with the representatives of employees. If the latter have a share in formulating them, they will be much more likely to observe them.

b) All the rules should be appraised at frequent and regular intervals to ensure that they are, and continue to be, appropriate, sensible and useful.

c) Rules should vary with changes in the working conditions of employees. Those framed for office employees, for example, may very well be different from those that are formulated for workers in an industrial concern.

d) Rules should be uniformly enforced if they are to be effective. They must be applied without exception and without bending them or ignoring them in favour of anyone worker.

e) Penalties for any violation of any rule should be clearly stated in advance. Employees have the right to know what to expect in the event of any infringement of a rule or regulation. For this purpose, it is better to publish them in the employees’ handbook.

f) A disciplinary policy should have as its objective the prevention of any infringement rather than the simple administration of penalties, however just; it should be preventive rather than punitive.

g) Extreme caution should be exercised to ensure that infringements are not encouraged. This should be done as a matter of policy.
h) If violations of a particular rule are fairly frequent, the circumstances surrounding them should be carefully investigated and studied in order to discover the cause of causes of such violations.

i) Definite and precise provisions for appeal and review of all disciplinary actions should be expressly mentioned in the employees’ handbook or collective agreements.

Guidelines for Disciplinary Action

The principal ingredients of a sound disciplinary system are:

a) Location of Responsibility: The responsibility for maintaining discipline should be entrusted to a responsible person (e.g. a line executive), though it is the personnel officer who should be entrusted with the responsibility of offering advice and assistance. The line executive should issue only verbal and written warnings. In serious cases, which warrant discharge or suspension.

b) Proper Formulation and Communication of Rules: Since employees are expected to conform to rules and regulations and behave in a responsible manner, it is essential that these rules and regulations are properly and carefully formulated and communicated to them. It would be preferable if a copy of these regulations, together with any explanations thereof, is included in their handbook; at any rate, they should be put up on notice boards and bulletin boards. While finalizing the rules, everyone should be given the opportunity to express freely his views thereon.

c) Rules and Regulations Should be Reasonable: Conditions and the management climate should be such as would be conducive to the observance of rules and regulations. The work load should be such as is practicable in normal working conditions for an average employee.

d) Equal Treatment: All defaulters should be treated alike, depending on the nature of their offence. Identical punishment should be awarded for identical offences, irrespective of the position or seniority of the employee. It is bad practice to punish one man for an offence and let off another for no other reason than that he is a favourite of the management. Experience shows that no one likes to be treated in a manner, which he thinks is not just. That is why overly severe penalties, inconsistently applied rules, favouritism, and other discriminatory actions breed dissatisfaction. Therefore, the supervisors should make sure that rules and penalties are applied equitably the same to every one.

e) Disciplinary Action Should be Taken in Private: This is essential because the main objective of a disciplinary action is to ensure that a wrong behavior is corrected and not that the wrong doer should be punished, or held up to ridicule. It a disciplinary action is taken in the presence of other employee and impairs his social standing with his colleagues. Such an action may rouse resentment in the employee and in his fellow workers, and make for a disturbed climate in the organization.

f) Importance of Promptness in Taking Disciplinary Action: Justice delayed is justice denied. If the penalty is imposed long after a violation of rules has been committed, It loses its positive and corrective influence, and may even induce resentment, which may not have developed if the penalty had been imposed in time. Care should, therefore, be exercised to ensure that a penalty is imposed soon after an infringement of a rule has occurred, and that the punishment is not unfair. If decision has been justly taken for termination of an employee, it should be implemented soon. Often, even if some notice is mandatory, immediate dismissal with the salary for the requisite notice period paid in
advance is preferable to retaining the employee for that period because such an employee would not only be productive during these days but he would also sow the seeds of discount among other employees.

g) Innocence is Presumed: An individual is presumed to be innocent until he is proven to be guilty. The burden of proof is on the employer and not on the employee. It is for the management to prove beyond a reasonable doubt, that a violation or an offence has been committed before any punishment is awarded. The kind of proof that would be needed for this purpose would depend on the gravity of the offence that has been committed.

h) Get the Facts: Before taking any disciplinary action, it should be made sure to get and keep adequate records of offences and warnings. It is always better to let the subordinate fully explain what happened and why it happened. It may then be discovered that there were mitigating circumstances, or that he was not aware of the rules; or that the person had conflicting orders or even permission to break the rule for some reason. Getting facts is a good management practice especially when defending the decision to superiors, union arbitrators and others.

i) Action should be taken in Cool Atmosphere: The action should be taken, not when one is angry but when the anger has “cooled off” a bit so that rational and sensible judgment could be taken.

Further, the subordinate should be clearly told as to what rule or regulation was broken and how it was broken. Specific details needs to be given—not just the generalities discussed.

j) Natural Justice: A punitive action must satisfy the condition of natural justice. The management must act without bias and without vindictiveness; it should always indicate that its disciplinary action against an employee is based on justice and fair play. The punishment should be commensurate with the gravity of the offence; and it should be corrective or reformative rather than retributive. The employee should be taught to behave better, he should be “rehabilitated” and not “injured”.

k) After a Disciplinary Action Has been Taken the Supervisor should Treat his Subordinate in a Normal Manner: The employee has paid the penalty for his violation of a rule it should, therefore, be treated as he would have been had there been no violation and punishment. The attitude of the supervisor should be “forgive and forget”.

l) Don’t Backdown when You are Right: When the supervisor knows he is right that the rule was broken, that adequate warning is given, that the penalty is not too severe he should not backdown or compromise on penalty—especially once the decision is announced. In most cases “being soft” is not viewed as a virtue. Instead, employees either assume that the rule itself is frivolous, or that the rules and penalties are being applied inconsistently. In either case, backing down is not advisable.

m) Negative Motivations should be Handled in a Positive Manner: The philosophy behind administering a disciplinary action is that a negative motivation should be handled in a positive manner, that is, it should be brought home to the employee that a negative approach does not pay.

Positively-oriented managers generally feel that discipline should not punish but Instead be corrective and constructive. As far as possible disciplinary action should deal with specific rule infraction rather than with the employee in general. The saying “let the punishment fit the crime” is appropriate when disciplining the employee.
Who Should Discipline?

Usually the immediate supervisor of the worker is an appropriate authority to provide correctional comments and to suggest future course of action. Since he is responsible for the action of his subordinates he is better knowledgeable concerning the level of performance required and the individual worker’s actions in meeting specified standards.

When is Action Appropriate?

Some managers operate on the assumption that a worker should be corrected at the first hint of a mistake; while other managers prefer to postpone action until a deliberate pattern of errors can be identified. The most appropriate time for disciplining to occur is after the facts indicate that the individual in question has performed unsatisfactorily and has failed to take the initiative in correcting his own behaviour.

McGregor’s Hot Stove Rule

McGregor has suggested that disciplining and penalties should occur:
(i) immediately following the commission of an erroneous or insufficient act;
(ii) with advance warning in the sense that the worker knows what is expected and what the action will be toward her/him if s/he does not live up to the expectations;
(iii) consistently against all individuals who commit the same shortcomings under the same conditions; and
(iv) The deed or action needs to be criticized touch should receive the corrective or punitive attention.

According to McGregor, “hot stove rule” implies that if the rules and penalties are dear and well understood a violation produces some natural consequences. Just as the penalty for touching the stove disciplinary system, the penalty for the violation should be immediate, almost automatic. Disciplinary action delay can do positive harm to the organization and affect the morale of other workers who are law-abiding.

There are two other characteristics of the hot stove which a sound disciplinary system should possess, namely, impartiality or consistency and impartially.

The principle of impartiality is that under identical situations where even the extenuating circumstances are alike, there should be no marked difference in the action taken. The hot stove burns all; fingers or all limbs that touch it in the manner whether it is a child or a beautiful young damsel or an old man who touches the stove.

The principle of impersonality implies that the hot stove does not have any kind of subjective or personal feeling in inflicting pain and suffering on any one who touches it. Similarly, the disciplinary authority should neither have a sense of elation or triumph or sadistic pleasure when a recalcitrant or delinquent employee is brought to the books. The disciplining authority should neither be happy nor sad when after going through the proper processes; action is taken against the defaulter in order to maintain the discipline in the organization and also to train him for right conduct.

Procedure for Disciplinary Action

Although there is no specific procedure to be followed, the following steps should be taken into consideration:

a) An accurate statement of the disciplinary problem;
b) Collection of data or facts bearing on the case;

c) Selection of tentative penalties to be imposed;

d) Choice of the penalty;

e) Application of the penalty; and

f) Follow up on the disciplinary action.

a) **Accurate Statement of the Problem:** The first step is to ascertain the problem by seeking answers to the following questions:

i) Does this case call for a disciplinary action?

ii) What, exactly is the nature of the violation or offence?

iii) Under what conditions did it occur?

iv) Which Individual or individuals were involved in it?

When, or how often, did the violation occur?

In other words, an executive must first find out that a violation has occurred and that it is entirely the fault, or at least partially the fault, of one or more subordinates. **The next step** is to determine and state the nature of the alleged violation of a rule, a regulation, a policy; to determine whether a request or order has been ignored or broken, and assess the seriousness of the specific offence, which has been, committed. It is also necessary to know exactly who and what was involved in the violation - whether a particular individual or a group. Finally, it is desirable to know when and how often the violation occurred.

b) **Collecting Facts Bearing on the Case:** Before any action is taken in a case, it is essential to gather all the fact's about it. A thorough examination of the case should be made within the stipulated time limit. The facts gathered should be such as can be produced before a higher authority, if and when needed.

c) **Selection of Tentative Penalties:** The kind of penalty to be imposed for an offence should be determined beforehand. Should it be a simple reprimand, a financial or non-financial penalty? Or should it be demotion, temporary lay-off or outright discharge?

d) **Choice of Penalty:** When a decision has been taken to impose a penalty the punishment to be awarded should be such as would prevent a recurrence of the offence. If the punishment is lighter than it should be, it may encourage the violation of the same rule or another; it is greater then it should be, it may lead to a grievance.

e) **Application of the Penalty:** The application of the penalty involves a positive and assured attitude on the part of the management. "If the disciplinary action is a simple reprimand, the executive should calmly and quickly dispose of the matter. But when severe action is called for, a forthright, serious and determined attitude is highly desirable."

f) **Follow-up of Disciplinary Action:** The ultimate purpose of a disciplinary action is to maintain discipline, to ensure productivity, and avoid a repetition of the offence. A disciplinary action should, therefore, be evaluated in terms of its effectiveness after is has been taken. In other words, there should be a more careful supervision of the persons against whom a disciplinary action has been taken.
### Typical Programme of Disciplinary Actions for Various Offences

<table>
<thead>
<tr>
<th>Type of Offence</th>
<th>First Offence</th>
<th>Second Offence</th>
<th>Third Offence</th>
<th>Fourth Offence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unexcused absence</td>
<td>Warning</td>
<td>Warning</td>
<td>Suspension</td>
<td>Discharge</td>
</tr>
<tr>
<td>Unauthorised soliciting</td>
<td>Warning</td>
<td>Suspension</td>
<td>Discharge</td>
<td></td>
</tr>
<tr>
<td>Theft</td>
<td></td>
<td></td>
<td>Discharge</td>
<td></td>
</tr>
<tr>
<td>Carelessness</td>
<td>Warning</td>
<td>Warning</td>
<td>Suspension</td>
<td>Discharge</td>
</tr>
<tr>
<td>Sleeping on the job</td>
<td>Warning</td>
<td>Discharge</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Insubordination</td>
<td>Warning</td>
<td>Discharge</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leaving work without Permission</td>
<td>Warning</td>
<td>Suspension</td>
<td>Discharge</td>
<td></td>
</tr>
<tr>
<td>Slowdown on performance</td>
<td>Warning</td>
<td>Suspension</td>
<td>Discharge</td>
<td></td>
</tr>
<tr>
<td>Wilful damage to property</td>
<td>Discharge</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unexcused/excessive Discharge</td>
<td>Warning</td>
<td>Warning</td>
<td>Suspension</td>
<td></td>
</tr>
</tbody>
</table>

### Lateness

The general sequence of warning, suspension, and discharge for successive infractions appears to be widely accepted.

The Model Standing Orders, too, lay down that, “before an employee is dismissed, he should be given an opportunity to explain the circumstances against him.”

- **a) Charge Sheet is Framed and Issued:** The first step in the procedure is to frame a written charge which is based upon a written complain against the employee in question and which contains of the offence with which s/he is charged and the allegations of misconduct made against her/him, and indicating the time limit with which a reply to the charge sheet should be submitted to the authorities. The employee is called upon to show cause why a disciplinary action should not be taken against him. The contents and implications of the charge sheet may be explained to him in his own language and in the presence of some reputable witness, before a copy of it is handed over to him. If s/he refuses to accept it, it should be sent to her/his residential address under “registered post with acknowledgement due” If the employee refuses to take delivery of the registered letter, or when it has been returned undelivered it should be published in a local paper to ensure its wide publicity.

- **b) Receipt of Explanation:** If employee may submit his explanation within the prescribed period of time, or s/he may ask for an extension of time for its submission. In the latter case, the request should be considered in good faith in accordance with the rules of natural justice.

- **c) Issue of Notice of Enquiry:** If the explanation received from the employee is found to be unsatisfactory, a notice of enquiry, mentioning the time, date and place, has to be given to him in which the name of the person or officer who would conduct the enquiry would also be mentioned. The employee is required to be present at the appointed time and place, together with her/his witnesses. If s/he has any.

- **d) The Holding of Enquiry:** On the appointed day and at the appointed place and time, the enquiry officer in the presence of the employee holds the enquiry. The contents of the charge sheet and an explanation of the
procedure to be followed at the enquiry are communicated to the worker. If he pleads his innocence, the enquiry proceeds; but if he pleads guilty unconditionally and in writing the enquiry is dropped.

The details of the enquiry are recorded and the report is signed by the enquiry officer and the employee. After all the witnesses have been examined against the employee the defence Witnesses, including the employee, are called upon to submit their statements. All the supporting evidence and documents may be called by the enquiry officer and thoroughly examined.

e) *The Findings:* Once the enquiry is over, the enquiry officer has to give his finding, which should invariably contain the procedure which was followed, the parties’ statements, the documents produced and examined, the charges made and the explanations given and the evidence produced. The officer should then record her/his own findings on each of the charges and the grounds on which s/he has come to a particular conclusion. S/he should specifically mention which charges have been proved and which have not been proved. S/he then submits her/his findings to the authorities empowered to take a disciplinary action against the employee. S/he, however, is not required to make any recommendations.

f) *Decision:* On receiving the report the executive authorized to take a decision thereon passes an order of punishment.

g) *Communication of the Order:* A copy of the order is then handed over to the employee.

So these all give guideline and understanding about discipline in an organization. This also explain discipline can be encouraged or what actions can be taken in case of indiscipline and what your role as top level, middle level or peripheral level personal in an organization. These will also help in participating in disciplinary action to be taken for an employee.

### 13.13 LET US SUM UP

In the practical we have discussed about performance appraisal and process of performance appraisal. Different methods, which are commonly used, for performance appraisal and you may use these methods and guidelines are given. Your organization may any such appraisal will help you to do your own self appraisal and how to maintain discipline. To maintain discipline you may need to take disciplinary action, procedure of disciplinary action is discussed in this section, which may help you to conduct.

### 13.14 ACTIVITIES

1) Prepare a performance appraisal based on the sample given. Do the self appraisal based on activity.

2) Go through the rules and regulations of your institution of procedure for disciplinary action. Compare it with the content given in this text.

3) Discuss any case/or hypothetically take any case from nursing with a condition of repeated negligence used by a nurse. Describe about the disciplinary action which should be taken for the nurse. Follow the steps described in the context.

4) Identify the disciplinary problems occurring in your work place. Find out the methods of handling and action taken by the authorities.