

"How to obtain compliance with rules"

or

"When to apply disciplinary action"

Preparation

1. Rules only when necessary
2. Involve people concerned in rule making
3. Explain why rules are necessary
4. Make rules as simple as possible
5. Rules must be justified and correct
6. Make rules to comply with "normal" human behavior
7. Rules must not contradict each other
8. Make rule compliance attractive, make non-compliance unattractive

Presentation

9. Give worker preview of rules prior to instruction
10. Provide proper instruction
11. Test knowledge of rules
12. Keep rules accessible to users

Application

13. Provide "try-out" period to test rules in practice
14. Be clear in daily application of rules
15. Provide sufficient time for proper rule application

16. Be positive about rule compliance
17. Be negative about non-compliance
18. Proper example by supervision and management
19. Maintain rule knowledge
20. Periodically evaluate rule compliance
21. Periodically evaluate effect of rules
22. Keep rules up-dated
23. Be clear about consequences in case of non-compliance
24. Be consequent in case of non-compliance

Some comments are offered to the 24 points involved in:

"How to obtain compliance with rules" or "When to apply disciplinary action"

Preparation

The preparation stage is the period in which people are being made aware of the possible need for new rules or a new rule. In this stage people are being involved in the making of the rule(s). Obviously this can only take place when rules are being developed: once rules are implemented this worker participation is no longer possible.

1. Rules only when necessary

Keep rules at a minimum. Rules should be prevented if possible. If we can avoid them we also avoid the problem of getting people to comply with them.

2. Involve people concerned in rule making

Apply principle of participation - give "emotional ownership" whenever possible.

3. Explain why rules are necessary

Give reasons for rules, it helps when people see the reasons behind them.

4. Make rules as simple as possible

Apply "KISS" principle. It will be difficult for people to remember long and complicated rules.

5. Rules must be justified and correct.

Contents of rules must be correct and in line with the present situation.

6. Make rules to comply with "normal" human behavior

Keep rules as practical as possible. Rules deviating from normal human behavior will be difficult to follow and may be the cause of a constant battle to have people comply with something that is far from "being natural". Apply the Principle of deviation from normal behavior: "The more a rule or procedure deviates from normal behavior, the more effort is required by the supervisor to motivate his/her people to comply with the rule or procedure concerned".

7. Rules must not contradict each other.

Various rules must be such that they reinforce each other rather than contradict. Should the latter happen, it would be extremely difficult to people to comply.

8. Make compliance with rules attractive, make non-compliance unattractive

Prepare rules such that it will be attractive to follow them. Make it unattractive not to comply with rules.

Each time a rule is made ask the questions: "Is it rewarding, one way or the other, for people to comply with rules? Or is it possibly attractive for them not to comply?"

Presentation

This stage is the period in which people are introduced to the "rules of the game". The usual instructional techniques can be used: "motivate - tell & show - test - check".

9. Give worker preview of rules prior to instruction

"Motivate" is the first step of the instruction process: let people know what they are going to learn and why, what does it mean to them, how does this rule relate to his/her job.

Make rule booklet available to each individual worker.

10. Provide proper instruction

Use "Show & Tell", the second step of the instruction process. Whenever possible make rules "visible" by showing "how" and telling "why".

Provide adequate means in line with applicable rules.

11. Test knowledge of rules

"Test" initial knowledge of rules. Find out if the message has come across, if the instruction has been successful.

Have each worker sign for receipt and understanding of rules and keep signed receipt in personal file.

12. Keep rules easily accessible to workers and supervision.

Provide each worker with his own rule booklet whenever practical. Make more complex rules (such as Material Safety Data Sheets) available per department or area.

Application

This stage is the "normal" working situation: after rules have been set up and people are instructed the only thing left is to apply them.

13. Provide "try-out" period to test out new rules

Allow a certain time for people to get used to new rules, get feedback, adapt rules when necessary. Use positive behavior reinforcement more heavily during this period.

This period is primarily to get the bugs out of new rules and see how they work without having to apply the disciplinary policy right away.

This period is only for new rules, not for new employees learning existing rules, except for the positive behavior reinforcement.

14. Be clear in daily application of rules

"Check" people frequently in the proper use of rules. Exercise proper supervision including rule compliance maintenance. This daily supervision can be supported or enhanced by periodic formal observations directed at behavior of people (see 20).

15. Provide sufficient time for proper application of rules

Provide sufficient time for people to carry out work such that rules can be applied as required.

16. Be positive about rule compliance

Positive attitude of supervision and management towards compliance with rules - make rule compliance possible through proper decision-making - set the "right atmosphere". Use positive behavior reinforcement when applicable.

17. Be negative about non-compliance

Disapprove of non-compliance by letting people know each time you see it. Every time non-compliance is noted and not acted upon, it is being re-enforced.

18. Proper example by supervision and management

Not your words count but your acts.

19. Maintain rule knowledge

Retraining, group meetings, personal contacts, task observations, tests, quizzes - test maintenance of rule knowledge.

20. Periodically evaluate rule compliance

With proper feed-back for correction, or commendation/motivation. Behavior observations (such as Unsafe Act Auditing) may be used here.

21. Periodically evaluate effect of rules.

Use information from accident/incident analysis whenever proper application of rules has, or could have, resulted in less injury, etc.

22. Keep rules up-to-date

Regularly review rules. Relate accident investigation to rules.

23. Be clear about consequences in case of non-compliance

Disciplinary policy: oral warning(s), written warning(s), time off without pay, dismissal or immediate discharge, depending on the violation.

24. Be consistent in case of non-compliance

Apply discipline only when needed: after all the above has been properly addressed to and in the proper order. The disciplinary policy in fact is only there to deal with people who knowingly, willfully, and without "legal" reason, violate rules.

Be consequent about application of discipline. Avoid "measuring with two yardsticks". Be objective. If necessary "built your case" by recording violations, dates, actions, etc. Don't forget: the disciplinary policy is there first of all to deal with the willful violators - the end station of discipline is discharge. And this will not be accepted without proper foundation.