Disciplinary Checklist

HUMAN TOUCH HR SOLUTIONS

Informal Process

Action	Evidence
☐ Have a conversation with your employee about the issue	Keep evidence of your conversation on their personnel file and ensure your employee has a copy
☐ If after the conversation and any relevant investigation, there is nothing to address, close off the informal disciplinary process	Take notes or e-mail your employee and keep evidence of this on your employee's personnel file
☐ If there is something to address, agree actions to address the issue	E-mail a copy of the agreed actions to your employee and keep a copy of this on their personnel file
☐ Monitor and check in on behaviour	Keep evidence of monitoring and checking in
☐ If behaviour improves, close off informal disciplinary process. If the issue has not improved, move to formal disciplinary process	Keep evidence of whether informal disciplinary process has been resolved or whether moving onto formal disciplinary process.

Formal Process

Action	Evidence
☐ Allegation received or has moved from informal to formal stage	Add allegation to personnel file
☐ Investigate allegation yourself or arrange an appropriate manager to investigate	Add details of investigation to personnel file
☐ Send Disciplinary hearing invite to employee include disciplinary policy and investigation report	Add invite and investigation report to personnel file
☐ Prepare for the hearing, i.e. arrange quiet, private room and someone to take notes or HR to be present	
☐ Hold the hearing	Add notes of hearing to personnel file
☐ Give a copy of the outcome letter to the employee and include a copy of the notes taken	Add a signed copy of the letter and notes to the personnel file
☐ If employee appeals, arrange a more senior manager to hear the appeal	Send all the details of the investigation and disciplinary process so far to the appeal hearing manager
☒ Appeal hearing manager gives a letter to employee inviting them to the appeal hearing	Add letter to the personnel file
☐ Hold the hearing	Add notes of the appeal hearing to personnel file
☐ Send the outcome letter plus the notes of the appeal hearing to the employee. This	Add outcome letter and notes to the personnel file

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Action	Evidence
outcome is final and exhausts the internal procedure for this issue	
☐ Continue to monitor behaviour	Keep evidence of how behaviour is.

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