

Discipline Procedure Checklist Following Investigation

Action Required	Responsible Officer	Date action completed	Further comments
Undertake investigation	Investigating officer		Investigations to be undertaken in a timely way in accordance with the commissioning brief
Complete Recommendations	Investigating officer		This is the opinion of the investigating officer whether the matter warrants further consideration under the discipline procedure – it cannot be the decision of the HR support
Obtain Commissioning Officer agreement to the recommendations	Investigating officer/commissioning officer		
Inform the subject of this decision and copy in their representative	Commissioning officer		
Arrange Hearing Date	Commissioning officer		The commissioning officer is responsible for the hearing arrangements but this may be delegated as appropriate. Ensure all parties agree to the date and include the representative in this discussion to facilitate the process
Arrange Hearing Panel	As above		Advice on the constitution of the panel can be given by the supporting HR business partner
Chair Of Panel	As above		Departments now have hearing rotas and chairs are selected from the group manager cohort. It will sometimes be necessary to look outside the department for panel chairs and members
Panel Member	As above		Panel members should have undertaken the relevant training and have some management experience
HR Representative	As above in consultation with the HR senior business partner		The HR adviser to the panel will not have been involved in the investigation process
Minute Taker	As above		It is important to have an accurate but not a verbatim record of the hearing. It can be difficult to concentrate and take notes therefore having a minute taker is helpful

Book Rooms for Hearing	Delegated organiser		It is import for the hearing venue to be free from distractions and convenient for the employee to attend. You may wish to consider whether hearings take place in normal places of work or whether a neutral venue is used. You will need a room for the hearing plus one for the employee and other rooms depending on the number of witnesses both parties may wish to call
Provide written confirmation of the hearing date giving as much notice as possible but as a minimum using the timescale set out in the discipline procedure	Commissioning Officer or presenting officer where this is different		Information is available in section E3 of the Personnel Handbook and on the relevant section of the Managers' Resource Centre along with document templates
Ensure all witnesses are available and notified well in advance of the hearing date	Presenting officer/employee subject to the allegations		It is the relevant party's responsibility to ensure that any witness they want to appear is aware and available to do so. If there is any dispute, this must be discussed with the panel chair to determine how this can be resolved
Prepare management statement of case	Presenting manager		This should outline the nature of the allegations, the scope of the investigation and guide the panel through the rationale for considering the matter at a hearing. No new information should be presented to which the employee has not had an opportunity to respond to in the course of the investigation – unless there are significant mitigating factors
Prepare response to management statement of case	Employee or their representative		This is a matter for the employee to determine in discussion with their representative but agreed timescales to be met are contained in section E3 personnel Handbook
Prepare for hearing	Presenting officer/employee		Familiarise yourself with all documents presented; ensure witness statements are signed and dated and that pages are numbered and appendices listed for ease of reference; prepare opening and closing statements and questions for witnesses for both parties
Attend the hearing	All parties		If there is any reason someone considers that they should not be involved or cannot attend this must be discussed with the panel chair who will seek the advice of the HR business partner identified for the panel before reaching a decision. Ideally this should be done well in advance of the hearing date

Please see the Managers' Resource Centre for additional information and revised guidance on other aspects of the discipline procedure. This document is provided to assist with the smooth operation of the process but its completion is not mandatory.