

CHECKLIST

Disciplinary Meeting

Opening a Disciplinary Meeting

Action	Tick as completed
Introduce yourself	
Talk through the role of your colleague (note taker) and the employee representative <ul style="list-style-type: none">• If the employee declines representation, ask why and document the response• Encourage the employee to have a representative to listen on their behalf	
Explain the fact that it is a disciplinary hearing	
Refer to the letter that was sent to the employee and confirm with the employee that they understand the reason for the hearing	
Explain what the purpose of the hearing will be: <ul style="list-style-type: none">• To check that all information and investigation notes are correct• To allow the employee to respond to formal questions about the matter• To allow the employee to share any mitigating circumstances that are relevant to the case• To decide whether disciplinary action is to be taken• To agree a performance improvement plan	
Explain that there will be an adjournment during the meeting to consider the facts and decide what, if any, action should be taken	
Check with the employee that they understand that this will be a fair hearing, all the facts will be considered, and they are encouraged to openly express their views	
Explain that you will be taking notes for the record	

The Meeting Agenda Checklist

Action	Tick as completed
Invite the employee to talk through the performance issue from start to finish	
Refer to previous performance issues, if applicable	
Listen and ask questions to ensure there is full clarification	
Share information from any investigation and invite comments	
Invite questions for clarification and understanding	
Ask the employee if they have anything to say in their defence that should be considered prior to an adjournment taking place	
Ask the employee representative if they have anything to add	
Have the employee review the Minutes/Notes and agree and sign them	

Manager to adjourn the meeting to consider facts (manager determine length of adjournment required)

During the adjournment

Action	Tick as completed
Check all the facts	
Is the investigation paperwork fully complete?	
Have all necessary questions been asked? If not, what else should be asked?	
What further information has the employee provided?	
Decide on disciplinary action to be taken, if any	
If a warning is to be issued write down wording so it can be read out	

Reconvene the meeting

Option 1: No Disciplinary Action to be Taken

Action	Tick as completed
Explain to the employee that you have considered all the facts	
Talk through the issues that have influenced your thinking and why you are not going to progress with disciplinary action	
Inform the employee if any notes will be placed on their personnel file for referencing	
Summarise the performance improvement plan and gain agreement, if applicable	
Thank everyone present and inform them that the hearing is closed	

Option 2: Disciplinary Action to be Taken

Action	Tick as completed
Explain to the employee that you have considered all the facts	
Inform the employee of the decision to discipline them	
Read out the level of disciplinary action and the reasons why	
Inform the employee that they will be issued with a written summary of the disciplinary warning	
Inform the employee that a copy of the warning will go on their personnel file for a stipulated period of time	
Inform the employee of their right to appeal	
Summarise the performance improvement plan and gain agreement	
Detail when a follow-up review meeting will take place, as necessary	
Re-enforce the company's support for the employee to improve and prevent a re-occurrence.	
Thank all present and inform them the hearing has now concluded	

*Option 2: Suspension on pay, pending further Investigation

Action	Tick as completed
Explain to the employee that you have considered all the facts and detail what these are	
Explain you need to gather more information and speak to more witnesses	
Explain that the employee is suspended on full pay until [date/time]	
Explain that this is not a punishment, but a mechanism to find out more information	
Explain that the employee must not enter company premises without permission	
Inform the employee that they will be issued with a letter confirming suspension details	
Inform all present that the hearing will reconvene on [date/time]	
Keep the intervening time as short as possible	
Thank them	

* This option should be considered only when prior mention of it has been made in the disciplinary procedure. It is not a punishment, but allows time for additional investigation

Follow Through

Action	Tick as completed
Record the details of the meeting: <ul style="list-style-type: none"> • The level of disciplinary action decided on, if any • The reasons for the outcome • The improvement plan, if any 	
Write out the summary of the disciplinary warning	
Provide a copy of the written summary to the employee and place a copy on their personnel file for the stipulated time period	
Re-iterate for the employee: <ul style="list-style-type: none"> • Their right to appeal • The performance improvement plan, if applicable • When a follow-up review meeting will take place, if necessary • The company's support for the employee to improve and prevent a re-occurrence of the incident 	
Hold any follow-up meetings on the assigned dates, and take further action as deemed appropriate at that time	
If the employee has met the performance improvement target and not repeated the incident, remove the warning letter from their file at the appropriate time	