

Disciplinary Investigations and Hearings



Learning outcomes:

- Recognise the process when undertaking a disciplinary investigation.
- Plan a disciplinary investigation.
- Learn the structure of a disciplinary hearing.

What you will need:

- Handout 5 – Disciplinary investigations
- Handout 6 – Disciplinary investigation activity
- Handout 7 – Structure of a disciplinary hearing

Content and suggested timings:

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| Introduction to the disciplinary investigation | 15 mins |
| Planning a disciplinary investigation | 15 mins |
| Structure of a disciplinary hearing | 25 mins |
| Opening statement – activity | 15 mins |
| Total duration: | 1 hour 10 minutes |

Introduction to the disciplinary investigation



The disciplinary investigation is a really important part of dealing with a disciplinary case and should not be rushed or skipped over. You will need to carry out a disciplinary investigation to ascertain the facts, collect evidence and establish whether a disciplinary hearing needs to take place.

There are key points to establish before you embark on the process. Write the questions below on the flipchart and discuss each aspect. Encourage discussion by asking delegates to extract the information below. This may be new information to them so some guidance and prompting may be necessary:



Who?

The manager conducting the disciplinary investigation needs to be different to the person who would potentially conduct the disciplinary hearing. There also needs to be a third person kept free who could chair an appeal hearing.

When? The investigation should be conducted as soon after the event as is reasonably possible. Where evidence could be destroyed or tampered with this is particularly important.

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