**Informal Disciplinary Procedure Checklist**

ISME would always advise members to ensure their Company disciplinary policy is up to date and in line with the code of practice. The below checklist can be used as a tool in conjunction with your policy to ensure you manage the disciplinary procedures fairly and consistently.

In certain instances (if appropriate) it would be advisable for the company to manage an employee’s shortcomings informally (unless a situation is very serious). The Code of practice promotes informal resolution, rather than immediate escalation of the issue into the formal process.

Below we have outlined a step by step guide to assist you manage the Informal stage of the Disciplinary Process:

|  |  |  |
| --- | --- | --- |
| **Recommended Process and Guide** | **Actioned** | **Not Actioned** |
| Invite the Employee to an informal meeting explaining the purpose of the meeting. It is important to retain a record of this, we would advise confirming the invitation in writing. | ○ | ○ |
| Meeting – Explore and discuss the issues and supports   * Outline the matter of concert to the employee * Allow the employee to respond to the matter with their opinion * Discuss how the company and/or manager can assist the employee improve in the area. Allow time for the employee to input and make suggestions on how he/she can improve and what supports they require * Discuss the practicalities of supports. Supports could include identifying a mentor, further training and/or feedback sessions * If the employee discloses that the reason for the issue is due to a disability, the company must consider and explore reasonable accommodation | ○ | ○ |
| Meeting – Agree an Improvement Plan  Manager and employee need to agree the improvement plan which should confirm the following:   * Outline the required improvements * Specify the timeframes improvements must be achieved by * Detail supports to be out in place to assist the employee achieve the requires improvements | ○ | ○ |
| Meeting – Consequences  The manager needs to ensure to communicate clearly the possible consequences if the employee fails to achieve the required improvements.  This may include disciplinary action. | ○ | ○ |
| Review Meetings must be agreed to ensure clear feedback and follow up is actioned throughout this process. This will form part of the support required and ensure relevant documentation of this informal process is gathered (The manager should keep notes of all informal meetings, the improvement plan and reviews and all these notes should be retained on the employee file. ) | ○ | ○ |
| On conclusion of the improvement plan it is vital to communicate to the employee if they have met the required improvements or not. If they failed to reach the required standards, the manager may need to consider disciplinary action. | ○ | ○ |

It is fundamental that all written records of the informal process be retained and held on the employee file. It is important that all steps you take are in line with the companies disciplinary policy.

Please also refer to the following documents that will assist with this process:

* Your company disciplinary policy
* ISME [Counselling Record](https://isme.ie/wp-content/uploads/2019/07/Couselling-Record.docx)

Note: All templates can be found on the HR Hub here - [Performance Management | ISME](https://isme.ie/members-area/hr-hub/performance-management/).