

Ethan Morris
Junior Software Engineer
Employer HR file

Date: 14 July 2026
Our Reference: DAC/003EFA7C
Document Type: Checklist

Disciplinary Appeal Checklist

1. EXECUTIVE SUMMARY

This checklist supports the structured handling of the disciplinary appeal submitted by Ethan Morris on 27 March 2025 concerning a final warning issued to him.

Mr Morris's grounds of appeal include claims of not being trained on the revised deployment checklist, absence of formalisation of prior informal notes, and that mitigating circumstances – specifically simultaneous deadlines and lack of senior staff availability – were not considered before issuing the final warning.

The appeal is currently under review with arrangements in place for a neutral review panel comprising an HR liaison and an external technical advisor.

Relevant evidence to be assembled includes system logs, training records, and witness statements.

An appeal meeting is planned to take place within 14 working days of the appeal receipt to ensure a timely and fair review.

The employer should ensure compliance with internal disciplinary and appeal procedures, maintain impartiality during the review, preserve Mr Morris's opportunity to respond fully, and seek specialist advice if protected rights or dismissal risks arise.

CHECKLIST DETAILS

Employee
Ethan Morris

Role
Junior Software Engineer

Case type
Disciplinary Appeal

Reference
HRA-003EFA7C

KEY DATES

Completed
14 July 2026

Continued

Disciplinary Appeal Checklist

2. DISCIPLINARY APPEAL MANAGEMENT TASKS

Task: Confirm receipt and grounds of appeal with employee. Owner: HR representative. Priority: High. Due date: Immediate (completed). Evidence required: Copy of appeal submission dated 27 March 2025. Status: Completed. Completion notes: Appeal grounds documented regarding training, informal notes, and mitigating circumstances.

Task: Assemble relevant evidence for appeal review. Owner: HR liaison. Priority: High. Due date: Within 5 working days of appeal receipt. Evidence required: Training records for revised deployment checklist; system logs relating to deployment activity; prior informal note documentation; availability records of senior staff; witness statements. Status: Pending. Completion notes: Employers to verify completeness and relevance before proceeding.

Task: Convene neutral review panel including HR liaison and external technical advisor. Owner: HR liaison. Priority: High. Due date: Within 7 working days of appeal receipt. Evidence required: Confirmation of panel membership and conflict of interest checks. Status: Pending. Completion notes: Ensure external advisor's independence confirmed in line with organisational policy.

Task: Schedule appeal meeting with employee. Owner: HR liaison. Priority: High. Due date: Within 14 working days of appeal receipt (by 14 April 2025). Evidence required: Meeting invitation and agenda confirming date, time, and panel details. Status: Pending. Completion notes: Employee to be reminded of right to be accompanied if applicable.

Follow-up Action Plan

Action	Owner	Due Date	Evidence Required	Status
Review the disciplinary appeal record and confirm it reflects the agreed facts.	HR	To be confirmed	Completion note or supporting evidence	Open
Disciplinary Appeal Review is due on 27 March 2025.	HR	To be confirmed	Completion note or supporting evidence	Open
Prompt the employer to keep the record factual, check their procedure, preserve the employee's opportunity to respond and obtain specialist advice for protected-rights or dismissal risks.	HR	To be confirmed	Completion note or supporting evidence	Open
Review the Handle Disciplinary Appeal record for missing facts, evidence, follow-up ownership or review safeguards before completion.	HR	To be confirmed	Completion note or supporting evidence	Open
Review the completed documents for factual accuracy before issue or filing.	HR	To be confirmed	Completion note or supporting evidence	Open
File the final documents in the employee's personnel record.	HR	To be confirmed	Completion note or supporting evidence	Open

Continued**Disciplinary Appeal Checklist****3. DISCIPLINARY APPEAL MANAGEMENT TASKS CONTINUED**

Task: Conduct appeal meeting and document outcome. Owner: Review panel chairperson. Priority: High. Due date: Immediately following appeal meeting. Evidence required: Written minutes or summary of appeal hearing and outcome. Status: Pending. Completion notes: Ensure notes are factual and free from prejudice.

Task: Communicate appeal decision to employee in writing. Owner: HR liaison. Priority: High. Due date: Within 5 working days after appeal meeting. Evidence required: Copy of written appeal decision letter. Status: Pending. Completion notes: Letter should summarise findings and next steps, preserving neutrality and procedural fairness.

Task: File final appeal documentation in employee's personnel record. Owner: HR records administrator. Priority: Medium. Due date: Within 7 calendar days post decision communication. Evidence required: Personnel file updated with appeal documents. Status: Pending. Completion notes: Confirm all documentation is accurate and complete prior to filing.

Task: Review process compliance and identify risks. Owner: HR manager. Priority: Medium. Due date: After closure of appeal process. Evidence required: Internal audit or process review notes. Status: Pending. Completion notes: Ensure no protected rights overlooked and follow-up action planned if necessary.

4. AMENDMENT LOG

14 July 2026: Initial checklist drafted to support ongoing disciplinary appeal for Ethan Morris.