

**Elliot Finch**  
Finance Analyst  
Employer HR file

**Date:** 14 July 2026  
**Our Reference:** DHC/70D72F60  
**Document Type:** Checklist

Disciplinary Hearing Checklist

1.  DISCIPLINARY HEARING CHECKLIST

Task: Confirm hearing date, time and location is set and communicated to all parties.

Owner: People & Culture Manager (Leila Ahmed).

Priority: High.

Due date: Before 12 April 2026.

Evidence required: Invitation emails/letters to parties.

Status: Complete.

Completion notes: Hearing held on 12 April 2026 as scheduled.

Task: Ensure all required attendees are invited and confirmed, including employee, representative, management, witness and note-taker.

Owner: People & Culture Manager (Leila Ahmed).

Priority: High.

Due date: Before 12 April 2026.

Evidence required: Attendance confirmation, invitation records.

Status: Complete.

Completion notes: Elliot Finch, companion Sophie Grant, People & Culture Manager Leila Ahmed (chair), line manager Harriet Lowe, witness Tom Rivers, and note-taker Ruby Patel attended.

Task: Prepare and circulate hearing materials and relevant documentation in advance to panel and employee.

Owner: People & Culture Manager (Leila Ahmed).

Priority: Medium.



CHECKLIST DETAILS

**Employee**  
Elliot Finch

**Role**  
Finance Analyst

**Case type**  
Disciplinary Hearing

**Reference**  
HRA-70D72F60



KEY DATES

**Completed**  
14 July 2026

Continued

## Disciplinary Hearing Checklist

### 2. DISCIPLINARY HEARING CHECKLIST CONTINUED

Due date: Before 12 April 2026.

Evidence required: Distribution records of evidence and statements to parties.

Status: Pending review.

Completion notes: Employer to confirm documents circulated appropriately.

Task: Conduct the disciplinary hearing following employer's disciplinary procedure and maintaining procedural fairness.

Owner: Hearing Chair (People & Culture Manager, Leila Ahmed).

Priority: High.

Due date: 12 April 2026.

Evidence required: Hearing minutes/notes, attendance record, statements.

Status: Complete.

Completion notes: Employee denied authorising disputed transaction of £54k, requested forensic checks and vendor confirmation, and supplied earlier spreadsheet versions.

Task: Record responses, evidence, and any requests made by the employee during hearing accurately and factually.

Owner: Note-taker (Ruby Patel).

Priority: High.

Due date: Immediately post-hearing.

Evidence required: Hearing notes and summary.

Status: Complete.

Continued

## Disciplinary Hearing Checklist

### 3. DISCIPLINARY HEARING CHECKLIST CONTINUED

Completion notes: Record reflects employee's denial and requests for further investigation.

Task: Determine next procedural step in line with disciplinary policy without prejudging outcome.

Owner: People & Culture Manager (Leila Ahmed) in consultation with line manager and HR adviser.

Priority: High.

Due date: Following hearing completion.

Evidence required: Record of decision on next step.

Status: Complete.

Completion notes: Decision made to proceed with further investigation.

Task: Schedule and document disciplinary hearing review to assess outcome of investigation and decide any disciplinary sanction or further action.

Owner: People & Culture Manager (Leila Ahmed).

Priority: High.

Due date: To be scheduled promptly post-investigation.

Evidence required: Review meeting minute, decision documents.

Status: Pending.

Completion notes: Employer reminded to complete review by 12 April 2026 as per procedure.

Task: Maintain a neutral, factual record in the employee's personnel file throughout the process, ensuring compliance with company policy and UK employment law.

Continued

## Disciplinary Hearing Checklist

### 4. DISCIPLINARY HEARING CHECKLIST CONTINUED

Owner: People & Culture Manager (Leila Ahmed).

Priority: High.

Due date: Ongoing.

Evidence required: Personnel file entries, hearing and investigation records.

Status: Ongoing.

Completion notes: Employer to ensure records are factual and free from assumptions or prejudgments.

Task: Seek specialist advice if potential protected characteristic or dismissal risks arise before progressing to any sanction or dismissal decision.

Owner: People & Culture Manager (Leila Ahmed) in consultation with legal or external HR specialist.

Priority: High.

Due date: Before any formal disciplinary outcome or sanction.

Evidence required: Advice records, legal consultations.

Status: Ongoing.

Completion notes: Employer advised to obtain expert guidance to mitigate risk.

Task: Before issuing any disciplinary outcome, review all relevant facts, evidence, dates and procedural steps for accuracy and completeness.

Owner: People & Culture Manager (Leila Ahmed).

Priority: High.

Due date: Prior to communication of outcome to employee.

Evidence required: Final reviewed hearing and investigation documents.

Continued

## Disciplinary Hearing Checklist

### 5. DISCIPLINARY HEARING CHECKLIST CONTINUED

Status: Pending.

Completion notes: Employer to confirm accuracy to minimise legal risk.

Task: File all final documents securely in the employee's personnel record following completion of the disciplinary process.

Owner: People & Culture Manager (Leila Ahmed).

Priority: High.

Due date: Upon conclusion of disciplinary process.

Evidence required: Personnel file audit trail.

Status: Pending.

Completion notes: Records to reflect full, factual process as completed.

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## Disciplinary Hearing Checklist

### 6. EXECUTIVE SUMMARY

This checklist sets out the key procedural steps to manage the disciplinary hearing process for Elliot Finch, Finance Analyst, conducted on 12 April 2026.

The hearing was attended by the employee, his companion Sophie Grant, People & Culture Manager (chair), line manager, witness, and note-taker.

Elliot Finch denied authorising the £54,000 journal adjustment and requested further forensic and vendor verification alongside provision of earlier spreadsheet versions.

Following the hearing, the employer has decided to proceed with further investigation before deciding any disciplinary outcome.

The checklist emphasises maintaining neutrality, procedural fairness, and adherence to UK employment law throughout.

Employers are reminded to review all facts and evidence rigorously before issuing any disciplinary sanction and to seek specialist advice if dismissal or protected characteristics risks emerge.

### Follow-up Action Plan

| Action                                                                                                                                                                                      | Owner | Due Date        | Evidence Required                      | Status |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-----------------|----------------------------------------|--------|
| Review the disciplinary hearing record and confirm it reflects the agreed facts.                                                                                                            | HR    | To be confirmed | Completion note or supporting evidence | Open   |
| Disciplinary Hearing Review is due on 12 April 2026.                                                                                                                                        | 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 Conduct Disciplinary Hearing 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   |

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## Disciplinary Hearing Checklist

### 7. AMENDMENT LOG

14 July 2026 – Disciplinary Hearing Checklist created incorporating details from 12 April 2026 hearing and outlining next steps and safeguards.