

Tom Hargreaves
Sales Executive
Employer HR file

Date: 14 July 2026
Our Reference: SDPC/C88168B2
Document Type: Checklist

Disciplinary Process Checklist

1. DISCIPLINARY PROCESS CHECKLIST

Task: Review all relevant documentation including client emails, CRM entry logs, and operations reports.

Owner: HR Manager / Investigating Officer

Priority: High

Due date: 21 July 2026

Evidence required: Client email dated 10 April 2025; CRM 'meeting completed' entries for relevant dates including 10 April 2025 and prior Q1 dates; Operations sign-in report for 10 April 2025; Tom Hargreaves' email response dated 16 April 2025; Any additional corroborating documents or reports.

Status: Pending

Completion notes: Ensure thorough review of all evidence before proceeding to factual investigation.

 CHECKLIST DETAILS

Employee
Tom Hargreaves

Role
Sales Executive

Case type
Disciplinary Procedure

Reference
HRA-C88168B2

 KEY DATES

Completed
14 July 2026

Continued

Disciplinary Process Checklist**2. TASK: CONDUCT INITIAL FACT-FINDING MEETING WITH TOM HARGREAVES**

Owner: Investigating Officer / HR Manager

Priority: High

Due date: 28 July 2026

Evidence required: Meeting notes, employee's explanation and any relevant clarifications provided.

Status: Pending

Completion notes: Maintain neutrality and procedural fairness; record all responses accurately for consideration.

Follow-up Action Plan

Action	Owner	Due Date	Evidence Required	Status
Review the disciplinary process record and confirm it reflects the agreed facts.	HR	To be confirmed	Completion note or supporting evidence	Open
Disciplinary Process Review is due on 11 April 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 Start Disciplinary Process 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 Process Checklist

3. TASK: REVIEW EMPLOYER'S DISCIPLINARY POLICY AND PROCEDURE

Owner: HR Manager

Priority: High

Due date: 21 July 2026

Evidence required: Current disciplinary procedure documentation relevant to the case.

Status: Pending

Completion notes: Confirm the correct disciplinary process steps are followed, particularly around investigations and employee rights.

4. TASK: PRESERVE OPPORTUNITY FOR EMPLOYEE RESPONSE AND REPRESENTATION

Owner: HR Manager / Line Manager

Priority: High

Due date: Ongoing throughout investigation

Evidence required: Records of meetings, correspondence with employee, any representations made.

Status: Ongoing

Completion notes: Support the employee's right to respond fully before any conclusions or disciplinary decisions.

Continued

Disciplinary Process Checklist

5. **TASK: CONSIDER LEGAL AND PROCEDURAL RISKS, INCLUDING PROTECTED RIGHTS AND DISMISSAL IMPLICATIONS**

Owner: HR Manager / External Advisor if necessary

Priority: High

Due date: Prior to any formal disciplinary outcome

Evidence required: Relevant legal advice or internal risk assessments.

Status: Pending

Completion notes: Obtain specialist guidance to safeguard compliance and avoid premature conclusions.

6. **TASK: NOTIFY EMPLOYEE OF DISCIPLINARY INVESTIGATION COMMENCEMENT AND NEXT STEPS**

Owner: HR Manager

Priority: High

Due date: 14 July 2026

Evidence required: Copy of notification letter/email to Tom Hargreaves.

Status: Completed

Completion notes: Ensure notification is clear, factual and compliant with policy.

Continued

Disciplinary Process Checklist

7. **TASK: KEEP ALL RECORDS FACTUAL, IMPARTIAL AND CONFIDENTIAL**

Owner: HR Manager / Investigators

Priority: High

Due date: Continuous

Evidence required: All investigation notes, correspondence and evidence logs.

Status: Ongoing

Completion notes: Avoid assumptions; handle and store information securely and professionally.

8. **TASK: REVIEW DISCIPLINARY PROCESS RECORD FOR COMPLETENESS AND ACCURACY BEFORE FINALISATION**

Owner: HR Manager / Reviewing Manager

Priority: High

Due date: Prior to case closure

Evidence required: Complete disciplinary file with investigation notes, evidence, communications, and recommendations.

Status: Pending

Completion notes: Confirm all required information is included and properly documented for potential further steps.