

**HRConnect System Information  
Disciplinary  
Authorisation to Initiate Formal Disciplinary  
Procedure**

**HR-DCP 1.10 R2**

This form should be used to initiate formal disciplinary procedure for an employee.

**SECTION A: EMPLOYEE DETAILS**

If Industrial employee, please tick here:

Department:

Branch:

Employee First Name(s):

Employee Surname:

Employee ID:

**SECTION B: AUTHORISATION FOR FORMAL INVESTIGATION**

Process Start Date:

First Incident Date:

**Suspension Date:** (if suspended)

**Note:** If decision taken to suspend, this should not be before the 'Process Start Date'.

If suspension, date of the meeting to inform employee:

Discipline Officer:

Phone:

Disciplinary raised by:

Departmental HR

Line Management

**Nature of Incident:** (please tick all of the appropriate options from the list.)

- Negligence
- A Breach of Official Instructions
- Absence without Authority
- Lending and Borrowing Money
- Bankruptcy and Insolvency
- Betting and Gambling on Official Premises
- Breach of Procedures
- Unauthorised/Improper Receipt of Money
- Poor Time Keeping
- Unauthorised Private Trading on Official Premises
- Harassment, Discrimination or Victimisation
- Loss or Misuse of Government Property
- Assault/Threatening Behaviour
- Misuse/Abuse of Internet and Email
- Being Under the influence of Alcohol and/or Drugs on Official Premises
- Misconduct of any kind that may have an adverse effect on the working of Departments
- Misuse of Official Stationery, Equipment and Materials
- Criminal Conviction
- Malicious Damage
- Theft and Fraud
- Other (details)

**Letters:** (please tick)

- Proceed with disciplinary process       Proceed with disciplinary process (suspension with pay)

**Address letters to:** (please tick)

Home:

Level 2 Line Manager:

## TERMS OF REFERENCE FOR HRC DISCIPLINE INVESTIGATIONS

1. In relation to this Discipline case HRConnect is required to carryout a thorough investigation in accordance with the NICS Discipline procedures in order to establish fully the facts relating to the reported alleged misconduct. A report is to be prepared setting out all relevant information (e.g. background, records of interviews, floor plans, amount of financial loss to the Department etc, mitigating factors) and including a recommendation which is supported by the evidence gathered during the investigation. The report should enable the Discipline Officer to arrive at a decision in this case.

## 2. Issues to be investigated

Please set out below the issues to be investigated providing as much information as possible.

Nature of incident 1:	
Date of incident 1:	
Nature of incident 2:	
Date of incident 2:	

Please include any additional incidents in the space below:

### **Additional information:** (including any police involvement)

Relevant records to be viewed and their location

<b>Records</b>	<b>Location</b>

### **Persons to be Interviewed**

<b>Name</b>	<b>Department\Branch</b>

### 3. Investigation Timescale

I expect the investigation to be completed and the investigation report to be received by me by	(Insert Date)
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### 4. Updates

HRC will provide Discipline Officers with fortnightly e-mail updates. Where new issues come to light the HRC Case Officer will contact the Discipline Officer immediately to discuss the implications of these on the case.

### 5. Interviews involving Industrial staff

In all cases involving Industrial staff, the HRC Case Officer will liaise with local line management to arrange interviews. The Discipline Officer is required to identify the appropriate local line manager. Please enter the information in the box below:

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<b>Name:</b>	
<b>Grade:</b>	
<b>Signature:</b>	
<b>*Date:</b>	

**Please email this form directly to the email address below; hard copy forms should be scanned then emailed.** This will ensure you receive an automatic acknowledgement of your form, so you can be sure it has been received. Forms sent by post may take longer and you will not receive an automatic acknowledgement. There is NO requirement to post a hard copy of a form you have emailed to HRConnect.

**Please return completed form to:**

#### **Non Industrial**

**Post:**

HRConnect (NICS)  
PO Box 1090  
Beacon House  
27 Clarendon Road  
Belfast  
BT1 9EX

**Email:**

[NICS@HRConnect.nigov.net](mailto:NICS@HRConnect.nigov.net)

#### **Industrial**

**Post:**

HR Connect (Industrial)  
PO Box 1227  
Beacon House  
27 Clarendon Road  
Belfast  
BT1 9LA

**Email:**

[Industrial@HRConnect.nigov.net](mailto:Industrial@HRConnect.nigov.net)

#### **NIO:**

**Post:**

HRConnect (NIO)  
PO Box 1091  
Beacon House  
27 Clarendon Road  
Belfast  
BT1 9EY

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[NIO@HRConnect.nigov.net](mailto:NIO@HRConnect.nigov.net)