HR CONNECT

NICS eHR Programme

Employee Relations - Disciplinary

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1 ABOUT THIS DOCUMENT

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2 PROCEDURE DEFINITION

2.1 Objective

The objective of this document is to advise HRConnect advisors how to process instruction sent from NICS and NIO employees involving a Disciplinary Case.

2.2 Scope

This document describes how HRConnect advisors should process and administer the instructions, usually in the form of a pro forma instruction, sent from Line Management or Departmental HR regarding a Disciplinary Case.

If the Disciplinary Case is connected with an Industrial member of staff all communication with HRConnect will come from Line Management.

If the Disciplinary Case is connected with a Non-Industrial member of staff all communication with HRConnect will come from Departmental HR.

At any time during this process an employee can initiate an External Appeal, although an External Appeal is not possible on all occasions. The External Appeal process is outside the scope of this document. Please refer to the External Appeal Procedure for details of this process.

2.3 Roles and Responsibilities

A Layer 2 advisor will provide clarification on policy and process using the appropriate FAQs and may raise any Service Requests related to Disciplinary.
The SSC Case Officer dealing with the case will be responsible for the case for its duration, although they may assign certain tasks to a Layer 3 administrator.

2.4 Triggers

The process is triggered:

- On receipt of a telephone call from Line Management or Departmental HR requesting advice and guidance about a Disciplinary issue.
- On receipt of **Disciplinary – Authorisation for Formal Investigation** from Line Management or Departmental HR requesting that the system is updated with decision to initiate formal procedures.

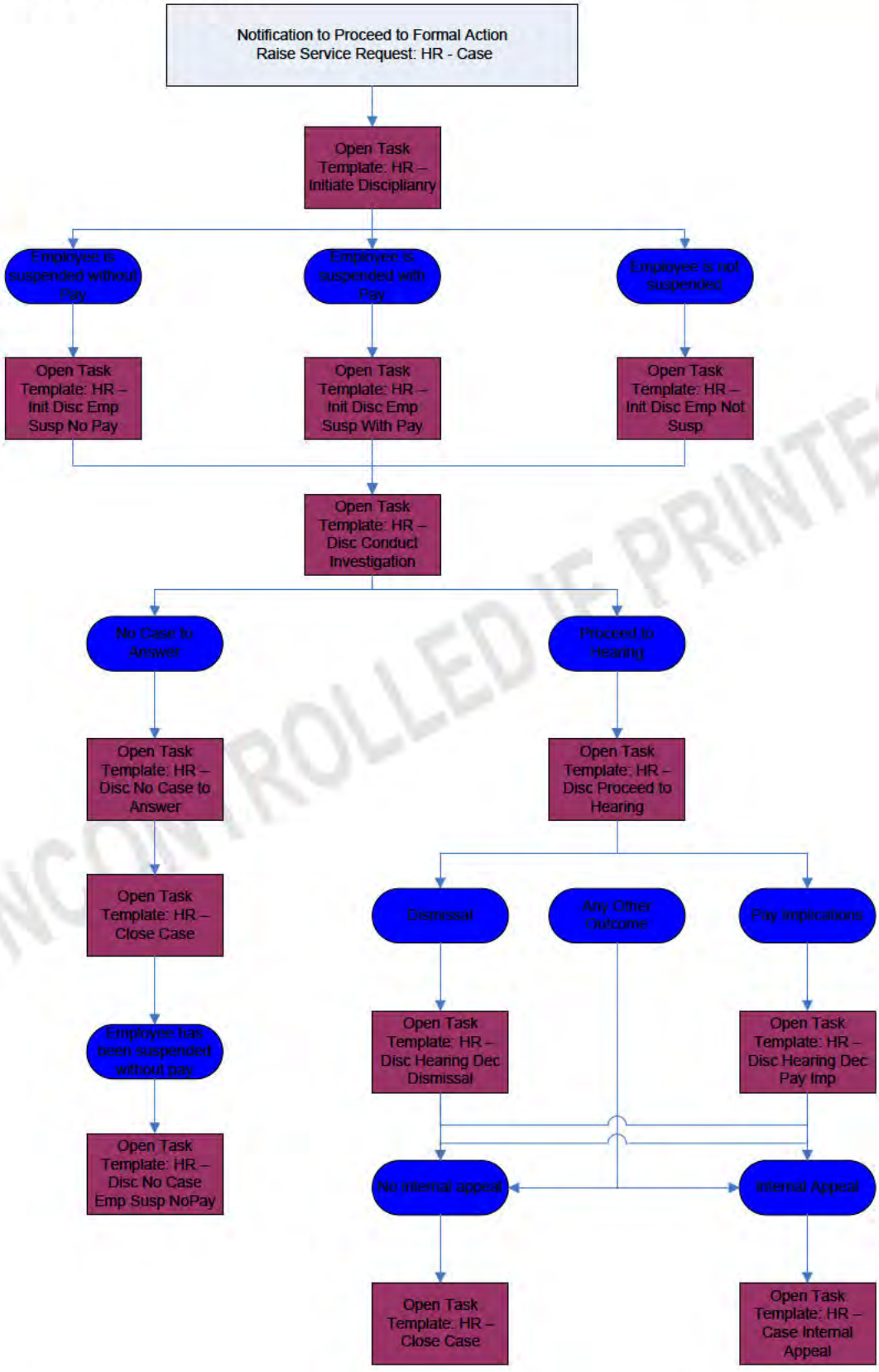
2.5 Related Documentation

- Service Request Guidelines procedure
- External Appeal Procedure
- CRM eMail Center Navigation Manual
- CRM TeleService Navigation Manual
- HRMS Navigation Manual
- Advanced Inbound Telephony Procedure
- Inbound Email Handling Procedure
- Outgoing Letter Generation Procedure
- NICS External Contact List
- NIO External Contact List.

- General Operations Associated with Employee Termination

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2.6 Process Flowchart



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3 PROCEDURE INSTRUCTIONS

3.1 Provide Advice and Guidance Using Pro Forma Questionnaire





- Using the NICS Policies and FAQs, which can be found in the Knowledge Base, provide advice and guidance to Line Management, Departmental HR or employee.
- If the query cannot be answered using these tools 'warm transfer' to Layer 3 Advice.
- If a 'warm transfer' is not available, please complete section 3.2.
- If a Layer 2 advisor cannot answer an email using these tools, please complete section 3.2.
- If a Layer 3 advisor cannot answer the query, please complete section 3.2 and escalate to the HR Services Team Manager.

3.2 Raise Service Request: HR – Disciplinary Enquiry

This section details the tasks associated with escalating a Disciplinary enquiry to an SSC Advisor.

3.2.1 Task 1 – Complete Pro Forma to Ascertain Details of Disciplinary





- Using the questionnaire template and FAQs, which can be found in the Knowledge Base, provide advice and guidance to Line Management or Departmental HR.
- Send a Disciplinary – Authorisation for Formal Investigation to Line Management or Departmental HR.
- Close Task.
- Open Task 2 and assign.

3.2.2 Task 2 – Provide Advice and Guidance to Answer Disciplinary Query

- The SSC Case Officer will complete this task and close the Service Request.

If formal disciplinary procedures are to be initiated, the employee's Line Manager or Departmental HR will send a Disciplinary – Authorisation to Proceed with Formal Investigation form to HRConnect. On receipt of this form please complete sections 3.3.1– 3.3.2 using the information detailed on the form.

3.3 Raise Service Request: HR – Case

3.3.1 Task 1 – Assign Case to Appropriate SSC Case Officer

This task will appear in the HR Manager's Universal Work Queue. All subsequent tasks will be opened by an SSC Case Officer who may allocate the task to a Layer 3 administrator.

You must open the Task Template '**HR – Initiate Disciplinary**' before this task is closed. Failure to do so will result in the Service Request 'HR – Case' closing prematurely.

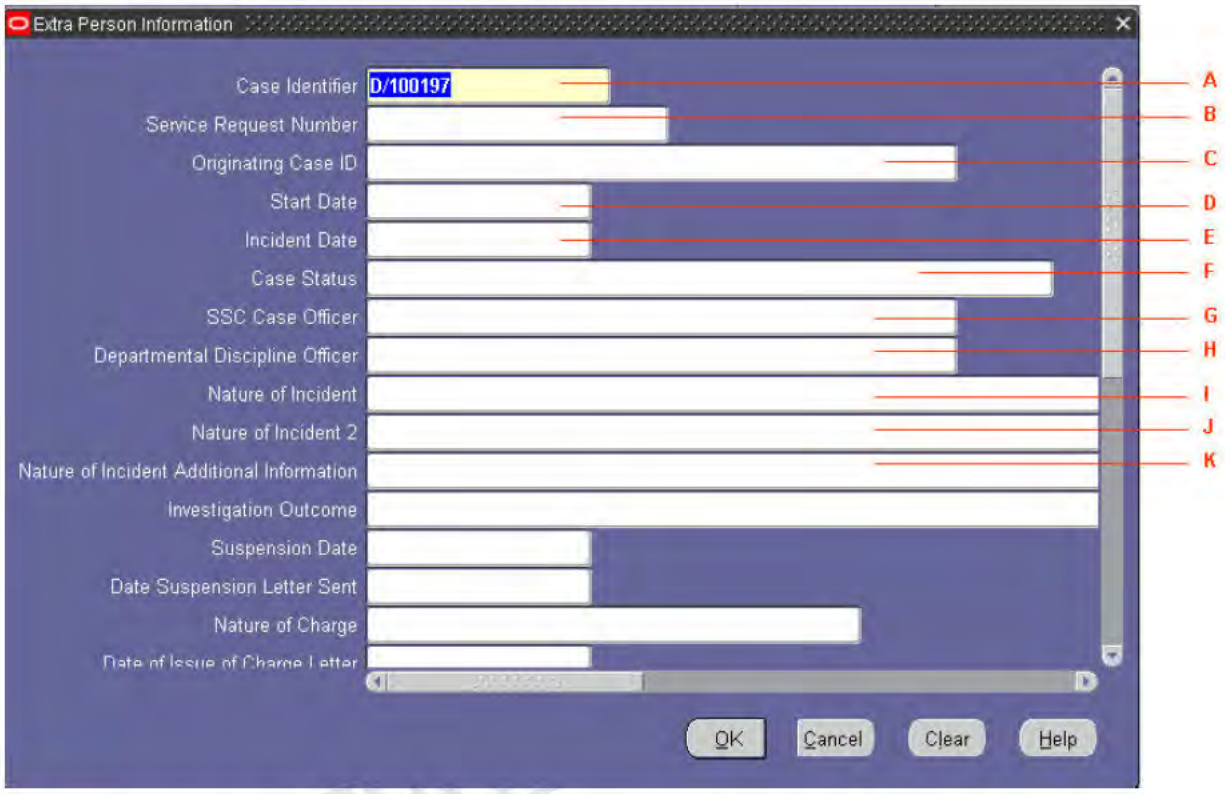
If at any point an email communication is received regarding the case in question please refer to the '**Saving Documents to Capita Filestore**' document for instruction on how to save the email. Once this has been completed attach a copy of the email to the employee's case file in Case Management in HRMS by completing sections 6.1 and 6.8

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3.3.2 Open Task Template: HR – Initiate Disciplinary

This section outlines the tasks associated with initiating the Disciplinary Case.

Figure 1: Initiate Disciplinary Window



3.3.2.1 Task 1 – Update System with Decision to Initiate Formal Procedures

- Open HRMS
- Click on the '**Enter and Maintain**' link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- The **'Case Identifier'** field (Fig 1.a) will be pre-populated with a 6-digit number preceded by **'D/'**. This field must not be overwritten. If this happens click on the **'Cancel'** button to exit the screen without saving
- In the **'Service Request Number'** free text field (Fig 1.b), enter the Service Request Number from CRM
- In the **'Originating Case ID'** list field (Fig 1.c), select the case ID of the originating case that triggered off the Disciplinary (if applicable)
- In the **'Start Date'** calendar field (Fig 1.d); enter the date the authorisation for formal proceedings pro forma was received in the format **DD-MON-YYYY**
- In the **'Incident Date'** calendar field (Fig 1.e); enter the incident date in the format **DD-MON-YYYY**

- In the **'Case Status'** list field (Fig 1.f); select one of the following from the list of values:
  - **'Active'**
  - **'Closed'**
  - **'Suspended – Pending Outcome of Criminal Investigation'**
  - **'Suspended – Pending Outcome of Grievance Investigation'.**
- In the **'SSC Case Officer'** list field (Fig 1.g); enter the name of the SSC Case Officer in the format **Surname, First Name**
- In the **'Departmental Discipline Officer'** list field (Fig 1.h); enter the name of the Departmental Discipline Officer in the format **Surname, First Name**
- In the **'Nature of Incident'** list field (Fig 1.i); select one of the following from the list of values:
  - **'A Breach of Official Instructions'**
  - **'Absence without Authority'**
  - **'Assault/Threatening Behaviour'**
  - **'Bankruptcy and Insolvency'**
  - **'Being Under the Influence of Alcohol and/or Drugs on Official Premises'**
  - **'Betting and Gambling on Official Premises'**
  - **'Breach of Procedures'**
  - **'Criminal Conviction'**
  - **'Harassment, Discrimination or Victimisation'**
  - **'Lending and Borrowing Money'**
  - **'Loss or Misuse of Government Property'**
  - **'Malicious Damage'**
  - **'Misconduct of any kind that may have an adverse effect on the working of Departments'**
  - **'Misuse of Official Stationery, Equipment and Materials'**
  - **'Misuse/Abuse of Internet and E-Mail'**
  - **'Negligence'**
  - **'Other'**
  - **'Poor Time Keeping'**
  - **'Theft and Fraud'**
  - **'Unauthorised private Trading on Official Premises'**
  - **'Unauthorised/Improper Receipt of Money'**
- If applicable, in the **'Nature of Incident 2'** list field (Fig 1.j); select one of the following from the list of values:
  - **'A Breach of Official Instructions'**
  - **'Absence without Authority'**
  - **'Assault/Threatening Behaviour'**
  - **'Bankruptcy and Insolvency'**
  - **'Being Under the Influence of Alcohol and/or Drugs on Official Premises'**
  - **'Betting and Gambling on Official Premises'**
  - **'Breach of Procedures'**
  - **'Criminal Conviction'**
  - **'Harassment, Discrimination or Victimisation'**
  - **'Lending and Borrowing Money'**
  - **'Loss or Misuse of Government Property'**
  - **'Malicious Damage'**
  - **'Misconduct of any kind that may have an adverse effect on the working of Departments'**

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- **'Misuse of Official Stationery, Equipment and Materials'**
- **'Misuse/Abuse of Internet and E-Mail'**
- **'Negligence'**
- **'Other'**
- **'Poor Time Keeping'**
- **'Theft and Fraud'**
- **'Unauthorised private Trading on Official Premises'**
- **'Unauthorised/Improper Receipt of Money'**

- If applicable, in the **'Nature of Incident of Additional Information'** free text field (Fig 1.k), enter any additional information (limited to 150 characters)
- Click on the **'OK'** button to close the form
- Save
- Attach **Disciplinary – Authorisation to proceed with formal investigation** form to the case file in HRMS
  - **Note: to attach a form to the case file, please complete sections 6.1 and 6.3**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open one of the following task templates:
  Open Task Template: HR – Init Discp Emp Suspended
  Open Task Template: HR – Init Disc Emp Not Suspended
- Close Task.

If employee is to be suspended (with or without pay) or has already been suspended (with or without) pay, please complete section 3.3.3: Open Task Template: HR – Init Discp Emp Suspended.

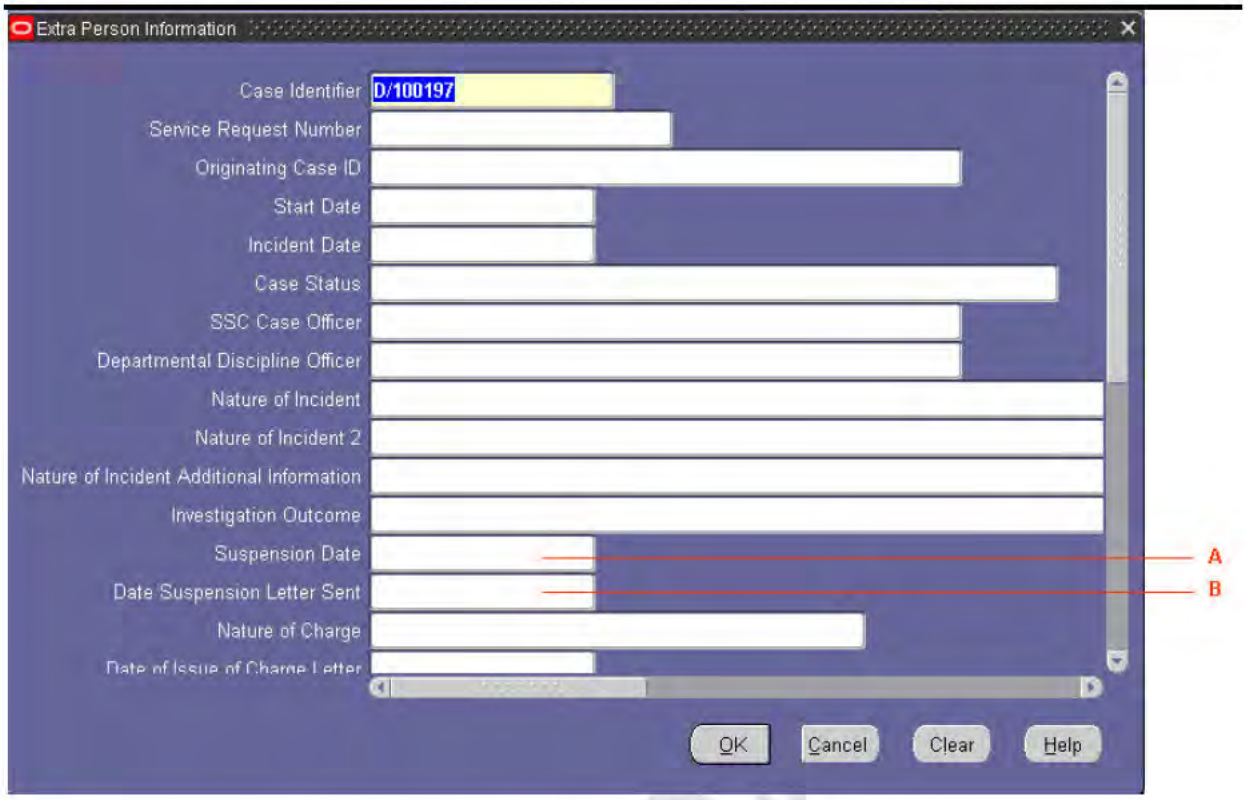
If employee is not to be suspended, please complete section 3.3.4: Open Task Template: HR – Discp Decision Pay Imp.

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3.3.3 Open Task Template: HR – Init Discp Emp Suspended

SUSPENSION WITH PAY – This section outlines the tasks to carry out if the employee has been suspended with or without pay.

Figure 2: Initiate Disciplinary Employee Suspended Window



3.3.3.1 Task 1 – Generate Dscp Prcdngs Crspdnce

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Suspension Date'** calendar field (Fig 2.a); enter the suspension date in the format **DD-MON-YYYY**
- In the **'Date Suspension Letter Sent'** calendar field (Fig 2.b); enter the date the suspension letter will be sent in the format **DD-MON-YYYY**
- Click on the **'OK'** button to close the form
- Save
- Generate relevant suspension letter (Follow Letter Generation Procedure – Export Data Section)
  - If the employee has been suspended with pay, generate **L Discipline Suspend with Pay** letter
  - If the employee has been suspended without pay, generate **L Discipline Suspend without Pay** letter
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS

- **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**

- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**
- Change the date of the letter to show the actual date it will be sent to the employee



- Issue signed copy of relevant letter to the employee (either the **L Discipline Suspend with Pay** or **L Discipline Suspend with Pay**)
- Change the '**Date Suspension Letter Sent**' (Fig 2.b); to the date the letter was actually issued to the employee
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 2 and assign.



3.3.3.2 Task 2 – Complete Suspension Actions

- Inform Line Manager and Departmental HR by email that the employee has been suspended.
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- Attach a copy of the email to the '**Case Paperwork**' field in the employee's case file in Case Management in HRMS
  - **Note: to attach case paperwork to the case file, please complete sections 6.1 and 6.6**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- If the employee is being suspended without pay, close this task, open the following task template:
  Open Task Template: HR – Discp Decision Pay Imp
  and then complete section 3.3.4
- If the employee is being suspended with pay, close this task, open the following task template:
  Open Task Template: HR – Disc Conduct Investigation
  and then complete section 3.3.6

3.3.4 Open Task Template: HR – Discp Decision Pay Imp

PAY IMPLICATIONS – This section outlines the tasks associated with the outcome of a Disciplinary Decision (or meeting) that has pay implications.

3.3.4.1 Task 1 - Pass Data to Payroll

- Raise Service Request: GE – Process Handoff



- Provide Payroll with the start/end dates for suspension without pay. Start/end date on full/part/nil pay. Value of fine if applicable
- Instruct Payroll that a SSA Statement of Social Security Benefit Form needs to be sent to the employee
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**

- Open the following task template:
  Open Task Template: HR – Disc Conduct Investigation
- Close Task.

Please complete section 3.3.6.

3.3.5 Open Task Template: HR – Init Disc Emp Not Suspended

NOT SUSPENDED – This section outlines the tasks associated if the employee hasn't been suspended.

3.3.5.1 Task 1 – Generate Disciplinary Proceedings



- Generate **L Proceed with Disciplinary** letter (Follow Letter Generation Procedure – Export Data Section)
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**
- Change the date of the letter to show the actual date it will be sent to the employee



- Issue signed copy of the **L Proceed with Disciplinary** letter to the employee
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open the following task template:
  Open Task Template: HR – Disc Conduct Investigation
- Close Task.

Task Template: HR – Disc Conduct Investigation should be opened for every employee going through the Disciplinary process.

3.3.6 Open Task Template: HR – Disc Conduct Investigation

This section outlines the tasks associated with conducting the Disciplinary investigation.

3.3.6.1 Task 1 – Produce Disciplinary Investigation Report Including Recommendations and Blank Pro Forma

- The SSC Investigating Officer conducts the investigation and prepares a standard investigation report. Please refer to Case Management Guidelines
- Issue the following letters to the employee and witness(es) as appropriate, inviting them to attend an interview:
  - **Disciplinary – Invite to Investigation Meeting**
  - **Disciplinary – Invite to Investigation (Witness)**
    - **Note: these are not system generated letters. They should be issued manually**
- Attach a copy of both letters to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
- If the Employee is accompanied by an unknown Trade Union representative the credentials of the Trade Union representative must be checked by the SSC Investigating Officer

- The Investigating Officer should verify any discrepancies with the Trade Union representative credentials with Departmental HR before beginning the investigation
- If the Trade Union representative credentials cannot be verified the meeting should be postponed until the discrepancies have been resolved
- Attach the meeting minutes from the interviews to the employee's case file in Case Management in HRMS
  - **Note: to attach meeting minutes to the case file, please complete sections 6.1 and 6.7**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Send report to the Departmental Decision Officer
- Also send **Disciplinary – Review Case and Instruction to Proceed** form to either Line Management or Departmental HR (depending on whether the employee is industrial or non-industrial)

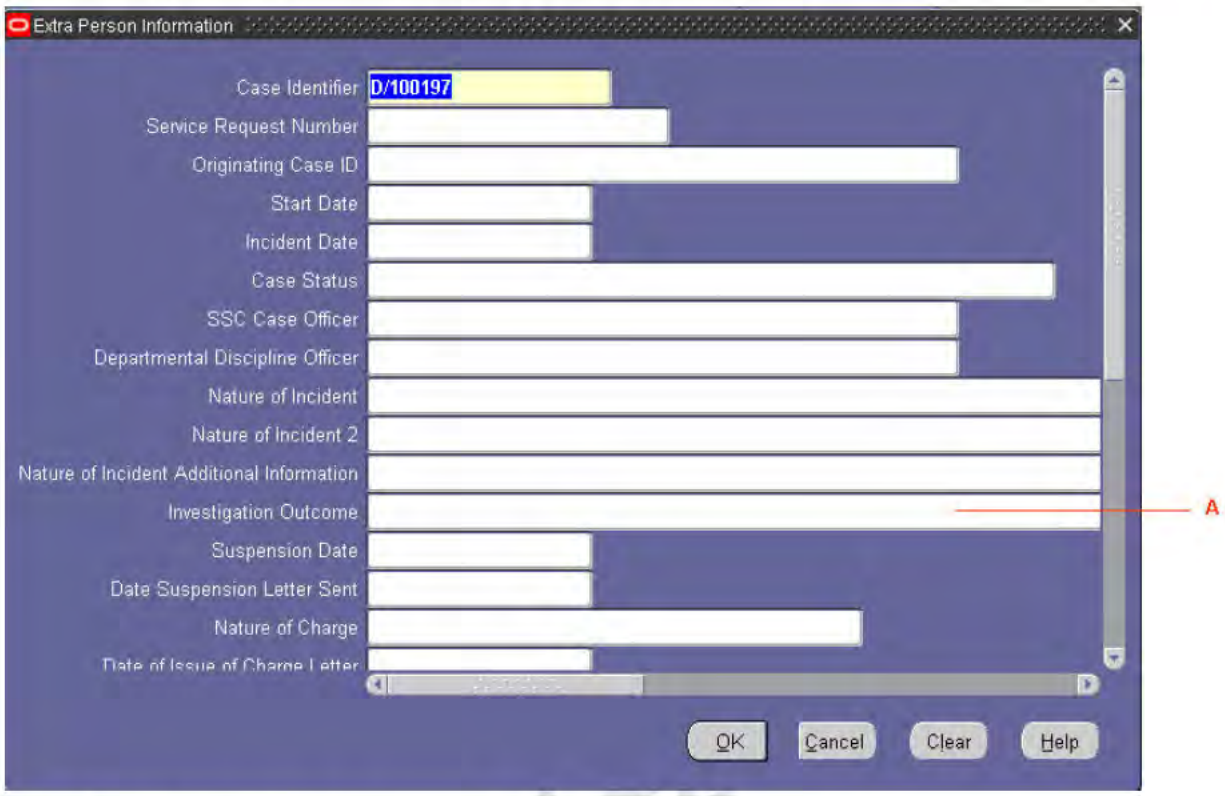


  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- Add a note to the '**Investigation Notes**' field of the employee's case file in Case Management in HRMS detailing the outcome of the investigation
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task.
- Open Task 2 and assign.

After Line Management (Industrials only) or Departmental HR has considered the report, they will send an instruction to HRConnect. On receipt of this Disciplinary – Review Case and Instruction to Proceed form, please complete step 3.3.6.2 using the information detailed on the form. Note: if an additional investigation is required at this point a Disciplinary – Authorisation for Addition Investigation form will be sent to HRConnect. In this case please complete step 3.3.6.1 again and attach the Disciplinary – Authorisation for Addition Investigation form to the case file in CRM.

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Figure 3: Update System with Investigation Outcome Window



3.3.6.2 Task 2 - Update System with Decision Outcome

- Click on the '**Enter and Maintain**' link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Investigation Outcome'** list field (Fig 3.a); select one of the following from the list of values:
  - **'No Case to Answer'**
  - **'Proceed to Charge'**
- Click on the **'OK'** button to close the form
- Save
- Attach **Disciplinary – Review Case and Instruction to Proceed** form to the case file in Case Management in HRMS
  - **Note: to attach a form to the case file, please complete sections 6.1 and 6.3**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open one of the following task templates:
  Open Task Template: HR – Disc No Case to Answer
  Open Task Template: HR – Discp Proceed to Meeting
- Close Task.

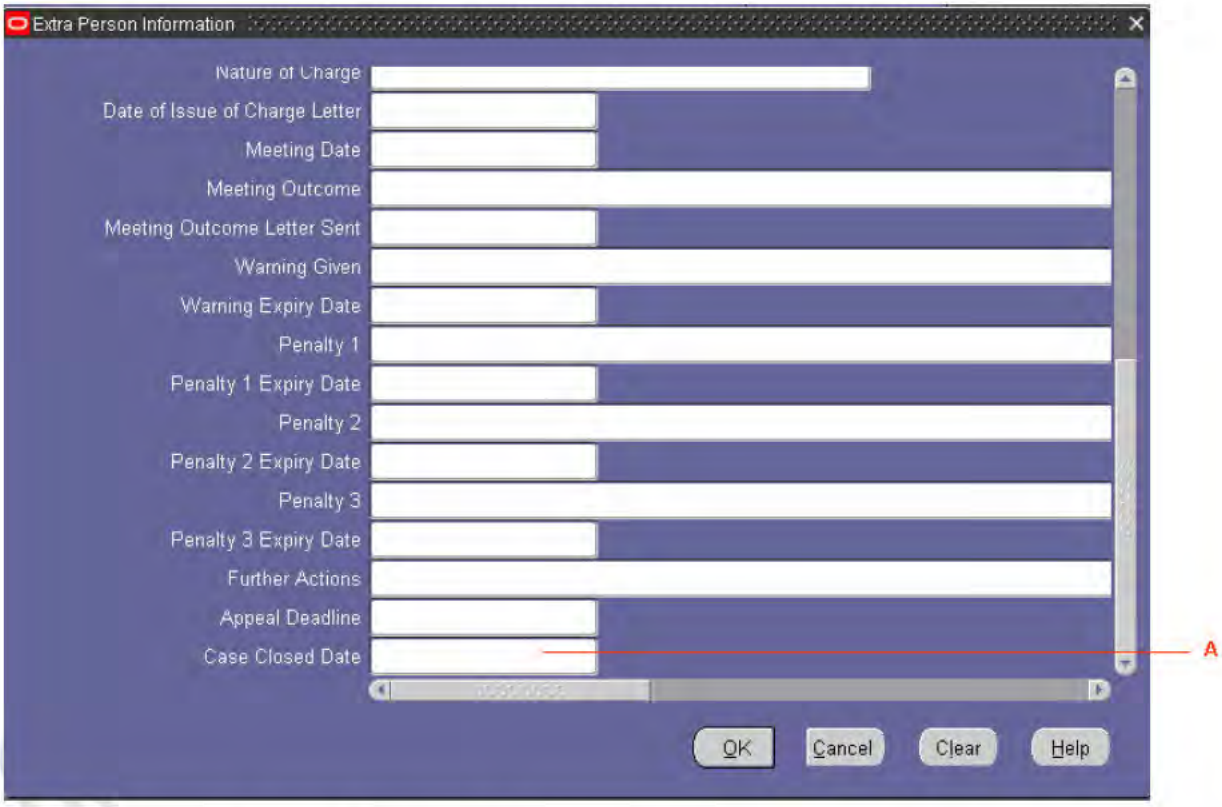
If decision is "No Case to Answer", please complete section 3.3.7: Open Task Template: HR – Disc No Case to Answer

If decision is "Proceed to Meeting", please complete section 3.3.10: Open Task Template: HR – Discp Proceed to Meeting

3.3.7 Open Task Template: HR – Disc No Case to Answer

NO CASE TO ANSWER – This section outlines the tasks associated with completing the process if there is no Disciplinary Case to answer.

Figure 4: Close Disciplinary Case Window



3.3.7.1 Task 1 – Generate and Issue Correspondence

- Generate **L Discipline No Act Post Invest** letter (Follow Letter Generation Procedure – Export Data Section)
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**
- Change the date of the letter to show the actual date it will be sent to the employee
- Issue signed copy of the **L Discipline No Act Post Invest** letter to the employee's Line Manager, who will issue it to the employee
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**

- **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**

- If the employee has been suspended **without** pay, close this task, open the following task template:
  Open Task Template: HR – Discp Decision Pay Imp
  And then complete section 3.3.8
- In all other cases, close this task, open the following task template:
  Open Task Template: HR – Close Case
  And then complete section 3.3.9

3.3.8 Open Task Template: HR – Discp Decision Pay Imp

PAY IMPLICATIONS – This section outlines the tasks associated with the outcome of a Disciplinary Decision (or meeting) that has pay implications.

3.3.8.1 Task 1 - Pass Data to Payroll

- Raise Service Request: GE – Process Handoff
- Provide Payroll with the start/end dates for suspension without pay. Start/end date on full/part/nil pay. Value of fine if applicable
- Instruct Payroll that a SSA Statement of Social Security Benefit Form needs to be sent to the employee
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open the following task template:
- Open Task Template: HR – Close CaseClose Task.

Please complete section 3.3.9

3.3.9 Open Task Template: HR – Close Case

3.3.9.1 Task 1 – Update System with Case Closed Date

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Case Closed Date'** calendar field (Fig 4.a); enter the date the case was closed in the format **DD-MON-YYYY**
- The case will now move to **Archive Disciplinary Cases**
- Click on the **'OK'** button to close the form
- Save
- Attach the instruction to close the case to the '**Case Closure Notes**' field in the employee's case file in Case Management in HRMS
  - **Note: to attach this instruction please complete section 6.1 and 6.7**

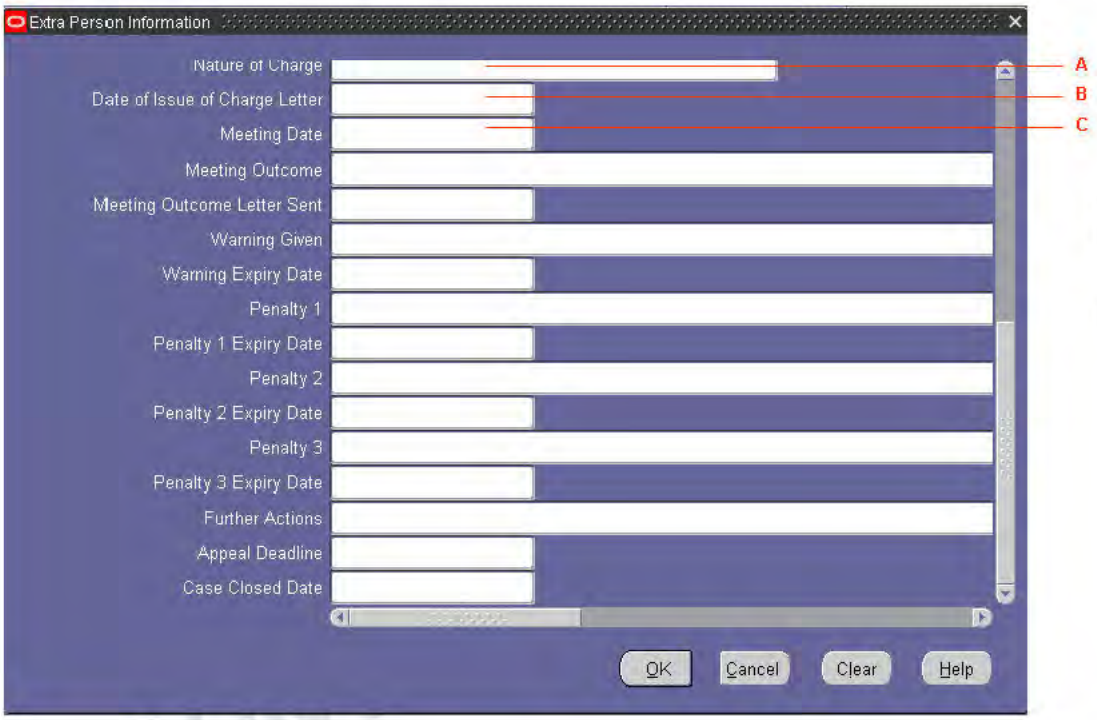
- **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**

- Close Task.

3.3.10 Open Task Template: HR – Discp Proceed to Meeting

PROCEED TO MEETING – This section outlines the tasks associated with proceeding to the Disciplinary meeting.

Figure 5: Nature of Charge Window



3.3.10.1 Task 1 – Update HRMS with Discp Charge

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Nature of Charge'** list field (Fig 5.a); select one of the following from the list of values:
  - **'Gross Misconduct'**
  - **'Misconduct'**
- In the **'Date of Issue of Charge Letter'** calendar field (Fig 5.b); enter the date that the charge letter will be issued in the format **DD-MON-YYYY**
- In the **'Meeting Date** calendar field (Fig 5.c); enter the date of the meeting in the format **DD-MON-YYYY**



- Click on the **'OK'** button to close the form
- Save
- Close Task
- Open Task 2 and assign.

3.3.10.2 Task 2 – Prepare Indexed Bundle

- The SSC Case Officer dealing with the case will prepare an indexed bundle which contains (in this order):
  - **Witness Statements**
  - **Case Relative Documents**
  - **Case Relative Policy and Legal Documents (including witness statement from employee)**



- Send the indexed bundle, **Disciplinary – Decision Outcome, Disciplinary – Instruction on Appeal** and **Disciplinary – First Appeal** forms to the Departmental Discipline Officer
  - **Note: Contact the Departmental Discipline Officer before issuing documents to the employee and if applicable the employee's representative to check what papers relevant to the charges should be included in the indexed bundle**
  - **Note: extra information may be sent to HRConnect at a later date, for example: a written response from the employee regarding the charge(s) made against them. In this case the information must be forwarded on to Departmental HR. If a written response is received, attach the papers to the case notes in Case Management in HRMS**
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**



- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS detailing what documents were sent to the Decision Officer and what documents were sent to the employee and representatives, as confirmed by the Decision Officer
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 3 and assign.

3.3.10.3 Task 3 – Organise Meeting, Send Invites

- Organise meeting logistics using **Events and Bookings**.



- Generate **L Charge Letter** (Follow Letter Generation Procedure – Export Data Section).
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**
- Change the date of the letter to show the actual date it will be sent to the employee



- Issue signed copy of the **L Charge Letter** to the employee and all attendees as appropriate
- Change the '**Date of Issue of Charge Letter**' (Fig 5.b); to the date the letter was actually sent to the employee
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**

- **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**

- Close Task.
- Open Task 4 and assign.

The employee will confirm availability and details of their accompanying representative. If the employee wishes to reschedule, please complete section 3.3.10.3 again and cancel the previously organised meeting.

3.3.10.4 Task 4 – Update HRMS with Emps Avlbilty

- Record the details of the employee's accompanying representative in the **'notes'** field of the case file in Case Management in HRMS
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
- If a written response to the charge is received from the employee, attach it to the case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**



- Save
- Close Task
- Open Task 5 and assign.

3.3.10.5 Task 5 – Issue Meeting Reminders

- Meeting reminders must be issued to employees who are suspended or do not have access to a computer



- Three working days before the meeting is due to take place, generate **L Reminder Meeting Details** Letter (Follow Letter Generation Procedure – Export Data Section) and issue to the relevant participants
  - **Note: the letter should automatically be generated for the employee. The user may have to manually enter the details of the other attendees where appropriate**
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 6 and assign.

A representative of HRConnect may or may not attend the Disciplinary meeting. After the meeting a Disciplinary – Decision Outcome form, containing an agreed written summary and the indexed bundle, will be sent to HRConnect informing them of the outcome. On receipt of this form, please complete section 3.3.10.6 – 3.3.10.8 using the information detailed on the form.

3.3.10.6 Task 6 - Update HRMS with Emp Attendnce

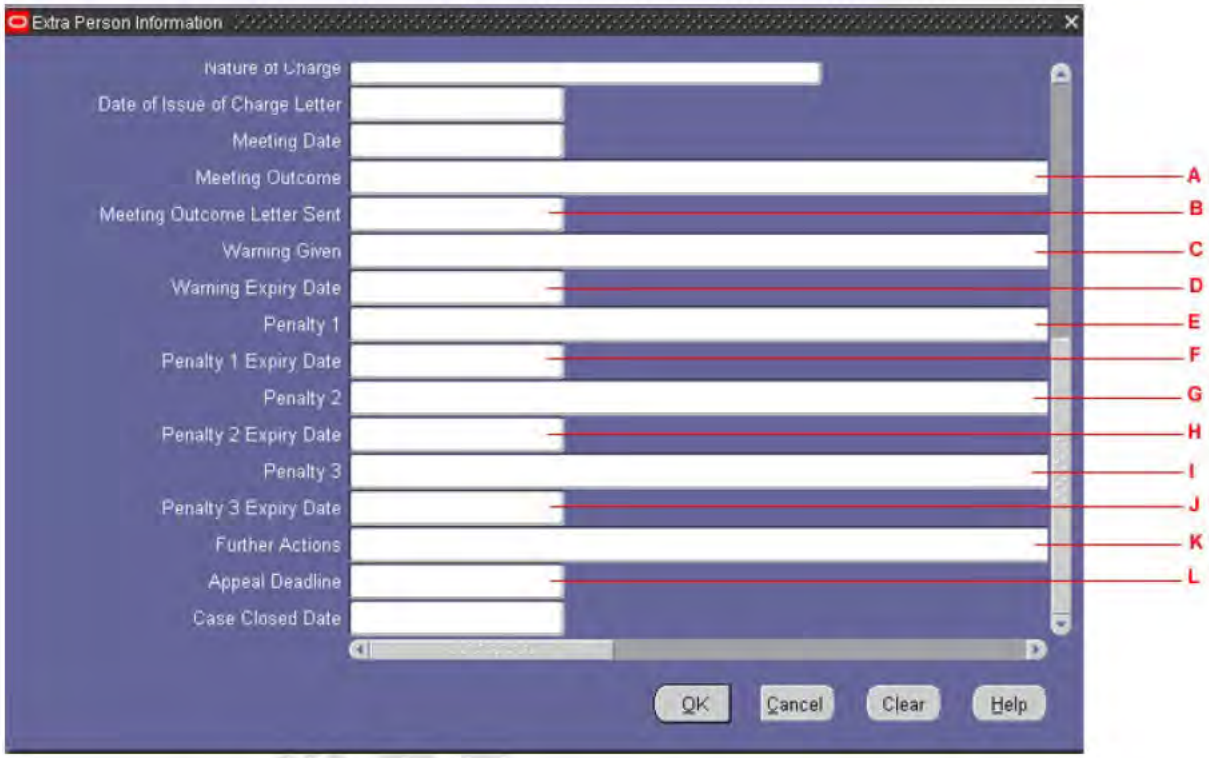
- Record the details of the employee's attendance in the **'notes'** field of the case file in Case Management in HRMS
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**

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- **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**

- Close Task.
- Open Task 7 and assign.

Figure 6: Meeting Outcome Window



3.3.10.7 Task 7 – Update HRMS with Dscp Mtng Dtls

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Meeting Outcome Letter Sent'** calendar field (Fig 6.b); enter the date the disciplinary meeting outcome letter will be sent in the format **DD-MON-YYYY**
- In the **'Appeal Deadline'** calendar field (Fig 6.l); enter the date of the appeal deadline in the format **DD-MON-YYYY**. This is 10 days after the Meeting Outcome letter has been sent
- Click on the **'OK'** button to close the form
- Save
- Attach the Disciplinary meeting minutes to the employee's case file in Case Management in HRMS

- **Note: to attach meeting minutes to the case file, please complete sections 6.1 and 6.7**

- Attach the **Disciplinary – Decision Outcome** form to the case file in Case Management in HRMS
  - **Note: to attach a form to the case file, please complete sections 6.1 and 6.3**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 8 and assign

If the meeting outcome is that no further action will be taken, or that a penalty is to be incurred, please complete sections 3.3.10.8, 3.3.10.9 and 3.3.10.10

3.3.10.8 Task 8 – Generate, Issue Dscp Dcsn Lttr

- Generate one of the following letters:
  - **No Case to answer;** generate **L No Action Post Disc Meeting letter** (Follow Letter Generation Procedure – Export Data Section)
  - **Case to answer;** generate **L Discipline Outcome letter** (Follow Letter Generation Procedure – Export Data Section)
  - **Case to answer;** generate **L Dismissal Post Hearing letter** (Follow Letter Generation Procedure – Export Data Section)
    - **Note: if the L Discipline Outcome Letter is generated the following two steps must be completed:**
      - **The date of the** Appeal Deadline **must be** manually entered **into the** Extra Person Information Screen
      - **The user** must manually enter **the outcome and if applicable any associated penalties into the letter.**
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**
- Change the date of the letter to show the actual date it will be sent to the employee
- Issue signed copy of the appropriate letter to the employee's Level 2 or above Line Manager, who will issue it to the employee
- Change the date the '**Meeting Outcome Letter Sent**' (Fig 6.b); to the date the letter was actually issued to the Level 2 or above Line Manager
- Confirm with the level 2 or above Line Manager that the meeting has taken place with the employee and that the employee has received their **Disciplinary Meeting Outcome** letter before continuing
  - **Note: A copy of this letter should be sent to the direct Line Manager if they are not a Level 2 or above and if applicable, the relevant Trade Union representative to inform them of the outcome**
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 9 and assign.

3.3.10.9 Task 9 – Update HRMS with Discp Outcome

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Meeting Outcome'** list field (Fig 6.a); select one of the following from the list of values:
  - **'Not Upheld'**
  - **'Partly Upheld'**
  - **'Upheld'**
  - **'Withdrawn'**
- If applicable, in the **'Warning Given'** list field (Fig 6.c); select one of the following from the list of values:
  - **'Final Formal Warning'**
  - **'Formal Warning'**
- If applicable, in the **'Warning Expiry Date'** calendar field (Fig 6.d); enter the date that the warning expires on in the format **DD-MON-YYYY**
- If applicable, in the **'Penalty 1'** list field (Fig 6.e); select one of the following from the list of values:
  - **'Ban on Promotion'**
  - **'Dismissal'**
  - **'Downgrading/Demotion'**
  - **'Fine'**
  - **'Performance Award Forfeit'**
  - **'Restriction of Duties/Transfer'**
  - **'Suspension from Duty with Loss of Pay'**
  - **'Withdrawal of Facilities'**
  - **'Written Reprimand'**
- If applicable, in the **'Penalty 1 Expiry Date'** calendar field (Fig 6.f), enter the date that Penalty 1 expires in the format **DD-MON-YYYY**
- If applicable, in the **'Penalty 2'** list field (Fig 6.g); select one of the following from the list of values:
  - **'Ban on Promotion'**
  - **'Dismissal'**
  - **'Downgrading/Demotion'**
  - **'Fine'**
  - **'Performance Award Forfeit'**
  - **'Restriction of Duties/Transfer'**
  - **'Suspension from Duty with Loss of Pay'**
  - **'Withdrawal of Facilities'**
  - **'Written Reprimand'**
- If applicable, in the **'Penalty 2 Expiry Date'** calendar field (Fig 6.h); enter the date that Penalty 2 expires in the format **DD-MON-YYYY**

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- If applicable, in the **'Penalty 3'** list field (Fig 6.i); select one of the following from the list of values:
  - **'Ban on Promotion'**
  - **'Dismissal'**
  - **'Downgrading/Demotion'**
  - **'Fine'**
  - **'Performance Award Forfeit'**
  - **'Restriction of Duties/Transfer'**
  - **'Suspension from Duty with Loss of Pay'**
  - **'Withdrawal of Facilities'**
  - **'Written Reprimand'**
- If applicable, in the **'Penalty 3 Expiry Date'** calendar field (Fig 6.j); enter the date that Penalty 3 expires in the format **DD-MON-YYYY**
- If applicable, in the **'Further Actions'** free text field (Fig 6.k), enter any further penalties or actions (limited to 150 characters)
- Click on the **'OK'** button to close the form
- Save.

Figure 7: Current Warnings Window



- Select **'Current Warnings'**
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Current Warnings
- In the **'Area'** list field (Fig 7.a); select **'Disciplinary'** from the list of values
- If applicable, in the **'Warning/Penalty'** list field (Fig 7.b); select one of the following from the list of values:
  - **'Ban on Promotion'**
  - **'Dismissal'**
  - **'Downgrading/Demotion'**
  - **'Final Formal Warning'**
  - **'Fine'**
  - **'Formal Warning'**
  - **'Performance Award Forfeit'**
  - **'Restriction of Duties/Transfer'**
  - **'Suspension from Duty with Loss of Pay'**
  - **'Withdrawal of Facilities'**
  - **'Written Reprimand'**
- If applicable, in the **'Expiry Date'** calendar field (Fig 7.c); enter the date that warning/penalty expires in the format **DD-MON-YYYY**. (If the employee is dismissed this field is left empty)

- Click on the **'OK'** button to close the form
- Save
  - **Note: If there is more than one penalty/warning, create a separate form for each warning or penalty. To create a new record, press the 'down' arrow**
- Close Task
- Open Task 10 and assign.

3.3.10.10 Task 10 – Initiate Action as Appropriate



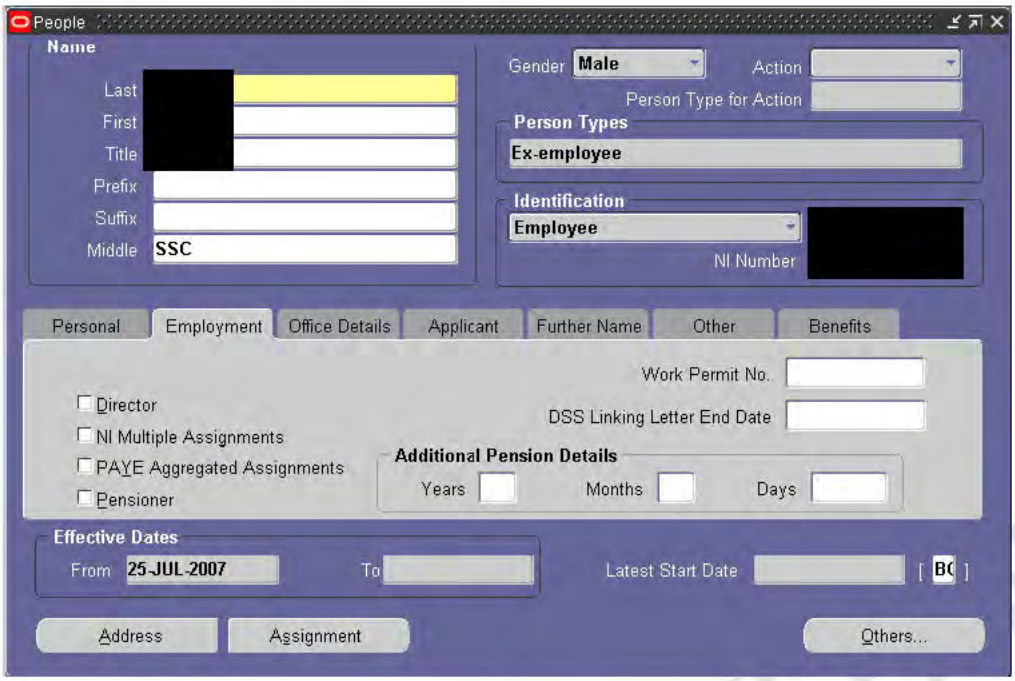
- Open Task
- As per pro forma instructions handoff to either:
  - **Process: Annual Pay Settlements** – Raise Service Request: GE – Process Handoff. A copy of the letter is to be passed to Payroll
  - **Process: Overpayments** – Raise Service Request: GE – Process Handoff. A copy of the letter is to be passed to Payroll
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open one of the following task templates:
  Open Task Template: HR – Disc Meeting Dec Dismissal
  Open Task Template: HR – Discp Decision Pay Imp
  Open Task Template: HR – Case Internal Appeal
- Close Task.

3.3.11 Open Task Template: HR – Disc Meeting Dec Dismissal

EMPLOYEE DISMISSED – This section outlines the tasks associated with the outcome of a disciplinary meeting resulting in dismissal.

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Figure 8: Employee Records Window



3.3.11.1 Task 1 – Terminate Employee

- Agent will follow the instructions for terminating an employee in the procedure entitled 'General Operations Associated with Employee Termination'
- Close Task
- Open Task 2 and assign.

As the L Dismissal Post Hearing letter would have been generated in step 3.3.10.8, please open this task and add a note to the description field in CRM to indicate the letter has been issued, before closing the task and moving on to step 3.3.11.3.

3.3.11.2 Task 2 – Generate and Issue Termination Letter



- Generate **L Dismissal Post Hearing** letter (Follow Letter Generation Procedure – Export Data section)
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**



- Change the date of the letter to show the actual date it will be sent to the employee
- Issue signed copy of the **L Dismissal Post Hearing** letter to the employee
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections** 6.1 **and** 6.4
  - **Note: please refer to section** 6.9 **for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 3 and assign.

3.3.11.3 Task 3 – Notify Pensions of Activity

- Raise Service Request: GE - Notify Pensions
- Close Task
- Open Task 4 and assign.

3.3.11.4 Task 4 – Notify HR and Payroll of Activity



- Raise the Service Request: GE - Process Handoff and forward details of employee's termination, including start date of contract, end date of contract, name, number, branch, leaving reason and the date relevant hearing/meeting too place, to HR and Payroll
- Forward completed form HR-DCP HO 1 to HR and Payroll
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task.

Please refer to the document entitled General Operations Associated with Employee Termination for information on other leaver checks to be performed.

3.3.12 Open Task Template: HR – Discp Decision Pay Imp

PAY IMPLICATIONS – This section outlines the tasks associated with the outcome of a Disciplinary Decision (or meeting) that has pay implications.

3.3.12.1 Task 1 - Pass Data to Payroll



- Raise Service Request: GE – Process Handoff
- Provide Payroll with the start/end dates for suspension without pay. Start/end date on full/part/nil pay. Value of fine if applicable
- Instruct Payroll that a SSA Statement of Social Security Benefit Form needs to be sent to the employee
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open the following task template:
  Open Task Template: HR – Close Case
- Close Task.

Five days after the appeal deadline an alert will be sent to the Departmental Discipline Officer, who will send instructions to close the case. At this point the case should be closed whether the appeal is received or not. To close the case, please complete section 3.3.13.

3.3.13 Open Task Template: HR – Close Case

3.3.13.1 Task 1 – Update System with Case Closed Date

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Case Closed Date'** calendar field (Fig 4.a); enter the date the case was closed in the format **DD-MON-YYYY**
- Click on the **'OK'** button to close the form
- Save
- Attach the instruction to close the case to the '**Case Closure Notes**' field in the employee's case file in Case Management in HRMS
  - **Note: to attach this instruction please complete section 6.1 and 6.7**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- The case will now move to **Archive Disciplinary Cases**
- Close Task.

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INTERNAL APPEAL

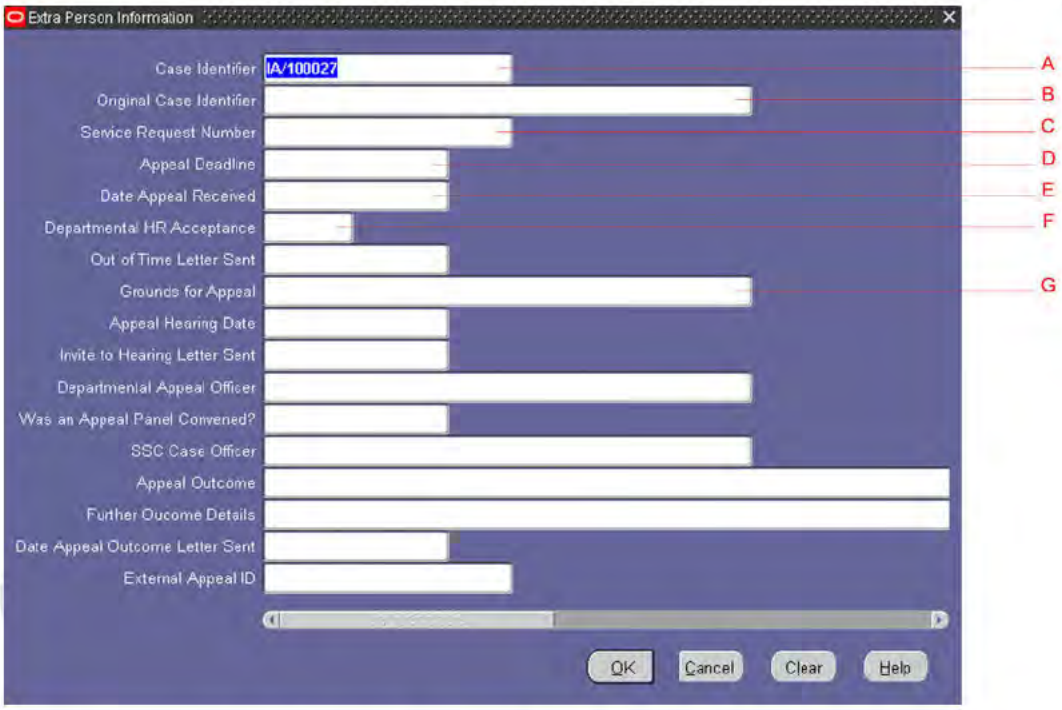
If the employee does not agree with the Meeting Outcome they may want to appeal the decision. If they decide to appeal they will inform Departmental HR or Line Management, who will send a Disciplinary – Instruction on Appeal instruction, which will also contain the employee's Disciplinary – First Appeal form, to HRConnect. On receipt of this form, please complete section 3.3.14 using the information detailed on the form.

3.3.14 Open Task Template: HR – Case Internal Appeal

This section outlines the tasks associated with starting an Internal Appeal.

Please note that the Disciplinary case against the employee should have been closed at this stage. If this is not the case, please complete step 3.3.13.1.

Figure 9: Internal Appeal Received Window



3.3.14.1 Task 1 – Update System with Decision to Appeal

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Internal Appeals'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Internal Appeals

- The **'Case Identifier'** field (Fig 9.a) will be pre-populated with a 6-digit number preceded by '**IA/**'. This field must not be overwritten. If this happens click on the **'Cancel'** button to exit the screen without saving
- In the **'Original Case ID'** list field (Fig 9.b), select the case ID of the disciplinary case that triggered off the Internal Appeal from the list of values
- In the **'Service Request Number'** free text field (Fig 9.c); enter the Service Request Number from CRM (limited to 150 characters)
- In the **'Appeal Deadline'** calendar field (Fig 9.d); enter the date of the appeal deadline in the format **DD-MON-YYYY**
- In the **'Date Appeal Received'** calendar field (Fig 9.e); enter the date the appeal was received
- In the **'Departmental HR Acceptance'** list field (Fig 9.f); select one of the following from the list of values:
  - **'Yes'**
  - **'No'**
- In the **'Grounds for Appeal'** list field (Fig 9.g); select one of the following from the list of values:
  - **'Does Not Agree with Penalty'**
  - **'Due Process Not Followed'**
  - **'New Evidence'**
  - **'Other'**
- Click on the **'OK'** button to close the form
- Save
- Attach **Disciplinary – Instruction on Appeal** form, and the **Disciplinary – First Appeal Request** form, sent from either Line Management or Departmental HR to the case file in Case Management in HRMS
  - **Note: to attach a form to the case file, please complete sections 6.1 and 6.3**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open one of the following task templates:
  Open Task Template: HR – Case Int Appeal Out of Time
  Open Task Template: HR – Case Int Appeal In Time
- Close Task.

If employee does not initiate an appeal within the time limit (Appeal Deadline), please complete section 3.3.15: Open Task Template: HR – Case Int Appeal Out of Time.

If employee initiates an appeal within the time limit (Appeal Deadline), please complete section 3.3.17: Open Task Template: HR – Case Int Appeal In Time

APPEAL "OUT OF TIME"

3.3.15 Open Task Template: HR – Case Int Appeal Out of Time

This section outlines the tasks associated with an Internal Appeal being received 'out of time'.

3.3.15.1 Task 1 – Generate and Issue "Out of Time" Letter

- If the employee **was NOT dismissed** as a result of the Disciplinary Meeting, Generate **L Appeal Out of Time** letter (Follow Letter Generation Procedure – Export Data Section)

- If the employee **was dismissed** as a result of the Disciplinary Meeting and their '**Person Type**' has now be set to **ex-employee**, date track back to **1 day** prior to their termination (please refer to the HRMS Navigation Document for further information), generate **L Appeal Out of Time** letter (Follow Letter Generation Procedure – Export Data Section) and then edit the letter to the appropriate date of issue.
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**



- Change the date of the letter to show the actual date it will be sent to the employee
- Issue signed copy of the **L Appeal Out of Time** letter to the employee
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open the following task template:
  Open Task Template: HR – Close Case
- Close Task.

The case is now closed. Please complete section 3.3.16 to close the case.

3.3.16 Open Task Template: HR – Close Case

3.3.16.1 Task 1 – Update System with Case Closed Date

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Select 'Disciplinary Cases'
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Disciplinary Cases
- In the **'Case Closed Date'** calendar field (Fig 5.a); enter the date the case was closed in the format **DD-MON-YYYY**
- The case will now move to **Archive Disciplinary Cases**
- Click on the **'OK'** button to close the form

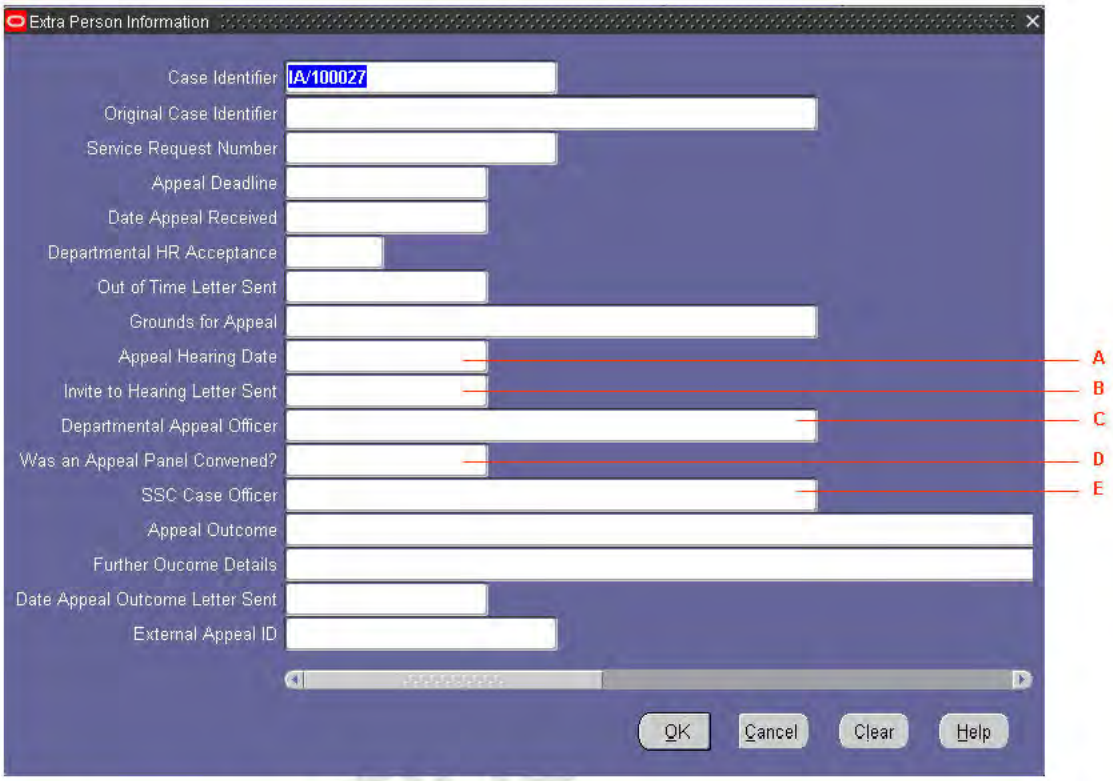


- Save
- Attach the instruction to close the case to the '**Case Closure Notes**' field in the employee's case file in Case Management in HRMS
  - **Note: to attach this instruction please complete section 6.1 and 6.7**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task.

3.3.17 Open Task Template: HR – Case Int Appeal In Time

This section outlines the tasks associated with an Internal Appeal being received 'in time'.

Figure 10: Appeal Received In Time Window



3.3.17.1 Task 1 – Generate and Issue Receipt of Appeal Notification



- If the employee **was NOT dismissed** as a result of the Disciplinary Meeting, Generate **L Confirm Appeal** letter (Follow Letter Generation Procedure – Export Data Section)
- If the employee **was dismissed** as a result of the Disciplinary Meeting and their '**Person Type**' has now be set to **ex-employee**, date track back to **1 day** prior to their termination (please refer to the HRMS Navigation Document for further information), generate **L Confirm Appeal** letter (Follow Letter Generation Procedure – Export Data Section) and then edit the letter to the appropriate date of issue
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
- Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**



- Change the date of the letter to show the actual date it will be sent to the employee
- Issue signed copy of the **L Confirm Appeal** letter to the employee
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 2 and assign.

3.3.17.2 Task 2 – Update System with Appeal Meeting Details

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'
- Click on the **'OK'** button to open the **Extra Person Information** screen
- Move down the screen using the scroll bar on the right until **'Internal Appeals'** is displayed
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Internal Appeals
- In the **'Appeal Hearing Date'** calendar field (Fig 10.a); enter the date of the appeal hearing in the format **DD-MON-YYYY**
- In the **'Invite to Hearing Letter Sent'** calendar field (Fig 10.b), enter the date the hearing letter will be sent in the format **DD-MON-YYYY**
- In the **'Departmental Appeal Officer'** list field (Fig 10.c); enter the name of the departmental appeal officer dealing with the appeal in the format **Surname, First Name**.
- In the **'Was an Appeal Panel Convened?'** list field (Fig 10.d); select one of the following from the list of values:
  - **'Yes'**
  - **'No'**
- In the **'SSC Case Officer'** list field (Fig 10.e); enter the name of the HRConnect case officer in the format **Surname, First Name**
- Save
- Close Task
- Open Task 3 and assign.

3.3.17.3 Task 3 – Organise Logistics Including Issue of Invitations to Appeal Hearing

- Organise meeting logistics using **Events and Bookings**
- If the employee **was NOT dismissed** as a result of the Disciplinary Meeting, Generate **L Disciplinary Invite to Appeal** letter (Follow Letter Generation Procedure – Export Data Section)
- If the employee **was dismissed** as a result of the Disciplinary Meeting and their '**Person Type**' has now be set to **ex-employee**, date track back to **1 day** prior to their termination (please refer to the HRMS Navigation Document for further information), generate **L Disciplinary Invite to Appeal** letter (Follow Letter Generation Procedure – Export Data Section) and then edit the letter to the appropriate date of issue
- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**
- Change the date of the letter to show the actual date it will be sent to the employee
- Issue signed copy of the **L Disciplinary Invite to Appeal** letter to the employee and all attendees as appropriate
- Change the date the '**Invite to Hearing Letter Sent**' (Fig 10.b); to the date the letter was actually issued to the employee
- Attach a copy of this letter to the employee's case fie in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**

- **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**

- Close Task
- Open Task 4 and assign.

The employee will confirm availability and details of their accompanying representative. On receipt of these confirmations, please complete steps 3.3.17.4 – 3.3.17.5. If the employee is unable to attend, reschedule the meeting, complete steps 3.3.17.2 and 3.3.17.3 again and cancel the previously organised meeting.

3.3.17.4 Task 4 – Update System with Confirmation of Employee's Availability and Accompanying Representative

- Record the details of the employee's accompanying representative in the **'notes'** field of the case file in Case Management in HRMS
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**



- Save
- Close Task
- Open Task 5 and assign.

3.3.17.5 Task 5 – Prepare and Issue Documents for Appeal Hearing Including Indexed Bundle and Blank Pro Forma

- The SSC Case Officer dealing with the case will prepare an indexed bundle which contains (in this order):
  - **Witness Statements**
  - **Case Relative Documents**
  - **Case Relative Policy and Legal Documents**
  - **Minutes of Previous Meeting.**



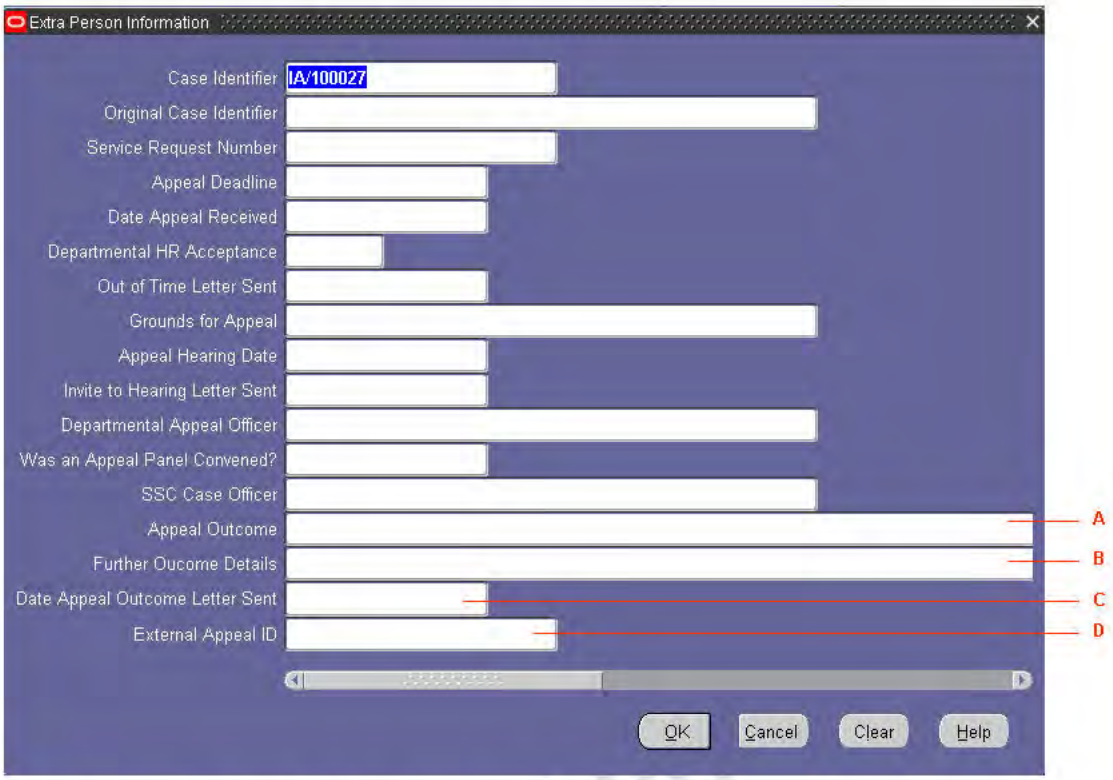
- Send indexed bundle and **Disciplinary – Appeal Outcome** form to the Departmental Appeal Officer



  - **Note: Contact the Departmental Discipline Officer before issuing documents to the employee and if applicable the employee's representative to check what papers relevant to the charges should be included in the indexed bundle**
  - **Note: extra information may be sent to HRConnect at a later date. In this case the information must be forwarded on to Departmental HR**
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS detailing what documents were sent to the Decision Officer and what documents were sent to the employee and representatives, as confirmed by the Decision Officer
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 6 and assign.

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Figure 11: Internal Appeal Outcome Window



3.3.17.6 Task 6 – Issue Meeting Reminders

- Meeting reminders must be issued to employees who are suspended or do not have access to a computer
- Three working days before the meeting is due to take place, generate **L Reminder Meeting Details** Letter (Follow Letter Generation Procedure – Export Data Section) and issue to the relevant participants
  - **Note: the letter should automatically be generated for the employee. The user may have to manually enter the details of the other attendees where appropriate**
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 7 and assign.

3.3.17.7 Task 7 – Conduct Further Investigation as appropriate

- The SSC Investigating Officer will conduct any further investigation required. They will use this to fill any gaps in the investigation that were missed at the initial stages
- This will be recorded in an investigation report
- If additional interviews are required issue one of the following manual letters to the employee and/or a witness as appropriate:
  - **Disciplinary – Invite to Investigation Meeting**
  - **Disciplinary – Invite to Investigation (Witness)**

- If applicable, attach a copy of both letters to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
- If the Employee is accompanied by an unknown Trade Union representative the credentials of the Trade Union representative must be checked by the SSC Investigating Officer
- The Investigating Officer should verify any discrepancies with the Trade Union representative credentials with Departmental HR before beginning the investigation
- If the Trade Union representative credentials cannot be verified the meeting should be postponed until the discrepancies have been resolved
- If applicable, attach the meeting minutes from the interviews to the employee's case file in Case Management in HRMS
  - **Note: to attach meeting minutes to the case file, please complete sections 6.1 and 6.7**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Add a note to the '**Investigation Notes**' field of the employee's case file in Case Management in HRMS detailing the outcome of the investigation
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
- Attach the Disciplinary – Authorisation for investigation form to the employee's case file in Case Management in HRMS
  - **Note: to attach a form to the case file, please complete sections 6.1 and 6.3**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 8 and assign.

3.3.17.8 Task 8 - Update System with Confirmation of Employee's Attendance

- Record the details of the employee's attendance in the **'notes'** field of the case file in Case Management in HRMS
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 9 and assign.

After the appeal hearing a Disciplinary – Appeal Outcome instruction will be sent to HRConnect informing them of the outcome. On receipt of this form, please complete section 3.3.17.9 – 3.3.17.12 using the information detailed on the form.

Following the meeting HRConnect may be instructed to conduct a further investigation. If this is the case, please complete step 3.3.17.7.

3.3.17.9 Task 9 – Update System with Appeal Outcome and Associated Instructions

- Open HRMS
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen
- Search for the employee's record
- Click on the **'Others'** button to open the **Navigation Options** screen
- Select 'Extra Information'

- Click on the **'OK'** button to open the **Extra Person Information** screen
- Move down the screen using the scroll bar on right until **'Internal Appeals'** is displayed
- Click in the **'Details'** region of window to open the **Extra Person Information** screen for Internal Appeals
- In the **'Appeal Outcome'** list field (Fig 11.a); select one of the following from the list of values:
  - **'Not Upheld'**
  - **'Partly Upheld'**
  - **'Upheld'**
  - **'Withdrawn'**
- In the **'Further Outcome Details'** free text field (Fig 11.b), enter any additional details as detailed on the form (limited to 150 characters)
- In the **'Date Appeal Outcome Letter Sent'** calendar field (Fig 11.c); enter the date that the outcome letter will be sent in the format **DD-MON-YYYY**
- If an external appeal is initiated: In the **'External Appeal ID'** free text field (Fig 11.d); enter the External Appeal ID
  - **Note: At this point the HRConnect Officer dealing with the case may need to revisit the employee's relevant Disciplinary Case and Current Warnings to update the system details if the appeal outcome overrides the charge. For example, If a Ban on Promotion is not upheld or an employee's termination is reversed, in which case pensions should be notified accordingly**
- Attach the Disciplinary meeting minutes to the employee's case file in Case Management in HRMS.
  - **Note: to attach meeting minutes to the case file, please complete sections 6.1 and 6.7**
- Attach **Disciplinary – Appeal Outcome** form to the case file in Case Management in HRMS
  - **Note: to attach a form to the case file, please complete sections 6.1 and 6.3**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 10 and assign.

3.3.17.10 Task 10 – Reverse Changes and Notify Relevant Parties



- Update the employee's record to reflect any reversal in charges resulting from the outcome of the appeal
- Notify the relevant parties by handing off to the appropriate Process Handoff, where applicable
- Close Task
- Open Task 11 and assign.

3.3.17.11 Task 11 – Generate and Issue Appeal Hearing Decision Letter

- If the employee **was NOT dismissed** as a result of the Disciplinary Meeting, Generate **L Disciplinary Appeal Outcome** letter (Follow Letter Generation Procedure – Export Data Section)
- If the employee **was dismissed** as a result of the Disciplinary Meeting and their '**Person Type**' has now be set to **ex-employee**, date track back to **1 day** prior to their termination (please refer to the HRMS Navigation Document for further information), generate **L Disciplinary Appeal Outcome** letter (Follow Letter Generation Procedure – Export Data Section) and then edit the letter to the appropriate date of issue



- Send letter to Departmental HR to be signed and raise the task template: **HR – Awaiting NICS** to monitor that a response is outstanding from NICS
  - **Note: for Departmental HR contact details, please refer to either the NICS External Contact List or the NIO External Contact List**
- On receipt of the signed letter, close the task template: **HR – Awaiting NICS**



- Change the date of the letter to show the actual date it will be sent to the employee
- Issue signed copy of the **L Disciplinary Appeal Outcome** letter to the employee's Level 2 or above Line Manager, who will issue it to the employee
- Change the '**Date Appeal Outcome Letter Sent**' (Fig 11.c); to the date the letter was actually issued to the Level 2 or above Line Manager
- Confirm with the Level 2 or above Line Manager that the meeting has taken place with the employee and that the employee has received their **Disciplinary Appeal Outcome** letter before continuing



  - **Note: A copy of this letter should be sent to the direct Line Manager if they are not a Level 2 or above and if applicable, the relevant Trade Union representative to inform them of the outcome**
- Attach a copy of this letter to the employee's case file in Case Management in HRMS
  - **Note: to attach a letter to the case file; please complete sections 6.1 and 6.4**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task
- Open Task 12 and assign.

If the outcome requires an action to be taken, proceed to section 3.3.17.12 and complete the task before closing it.
If the outcome does not require an action to be taken, proceed to section 3.3.17.12 open and immediately close the task.

3.3.17.12 Task 12 – Initiate Actions as Appropriate

- Open Task
- As per pro forma instructions handoff to either:
  - **Process: Annual Pay Settlements** – Raise Service Request: GE – Process Handoff. A copy of the letter is to be passed to Payroll
  - **Process: Overpayments** – Raise Service Request: GE – Process Handoff. A copy of the letter is to be passed to Payroll



- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Open one of the following task templates:
  Open Task Template: HR – Case Int App Reverse Termination
  Open Task Template: HR – Case Int App Dec Pay Imp
- Close Task.

If employee's termination is to be reversed, please complete section 3.3.18: Open Task Template: HR – Case Int App Reverse Termination
If Internal Appeal outcome has pay implications, please complete section 3.3.19: Open Task Template: HR – Case Int App Dec Pay Imp

3.3.18 Open Task Template: HR – Case Int App Reverse Termination

EMPLOYEE REINSTATED – This section outlines the task associated with the Internal Appeal decision resulting in reinstatement.

If the employee is to be reinstated, this will have been communicated to them in the L Disciplinary Appeal Outcome letter.

3.3.18.1 Task 1 – Reverse Termination

- Follow instructions in 'General Operations Associated with Employee Termination'
- Close Task
- Open Task 2 and assign.

3.3.18.2 Task 2 – Notify Pensions of Activity



- Raise Service Request: GE - Notify Pensions.
- Close Task
- Open Task 3 and assign.

3.3.18.3 Task 3– Notify HR and Payroll of Activity



- Raise the Service Request: GE - Process Handoff and forward details of employee's reinstatement, including the start date of contract, end date of contract, name, number, branch, leaving reason, date appeal meeting was heard, the outcome and the effective date of the reinstatement, to HR and Payroll



- Forward completed form HR-DCP HO 2 to HR and Payroll
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task.

3.3.19 Open Task Template: HR – Case Int App Dec Pay Imp

PAY IMPLICATIONS – This section outlines the task associated with an internal appeal decision having pay implications.

3.3.19.1 Task 1 - Handoff to Payroll

- Raise Service Request: GE – Process Handoff



- Pass details of start/end dates for suspension without pay. Start/end date on full/part/nil pay. Value of fine if applicable
- Instruct Payroll that a SSA Statement of Social Security Benefit Form needs to be sent to the employee
- Add a note to the '**Notes**' field of the employee's case file in Case Management in HRMS to record details of the handoff that has occurred
  - **Note: to add a note to the case file, please complete sections 6.1 and 6.2**
  - **Note: please refer to section 6.9 for the appropriate name to be added to the description field in Case Management**
- Close Task.

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4 EXCEPTIONS HANDLING

- If an employee decides to initiate an External Appeal, please refer to the External Appeals procedure.
- If the Disciplinary process is suspended due to a Police or grievance investigation, the advisor will be required to change the **'Case Status'** accordingly.
- **NOTE: Need an exception for system notifications.**

4.1 Duplication of Cases

If a case has been duplicated in error please complete the following steps:

- Open HMRS.
- Click on the **'Enter and Maintain'** link to open the **Find Person** screen.
- Search for the employee's record.
- Click on the **'Others'** button to open the **Navigation Options** screen.
- Select 'Extra Information'.
- Click on the **'OK'** button to open the **Extra Person Information** screen.
- Select 'Disciplinary Cases'.
- Click in the **'Details'** region of the window and select the duplicate case.
- Click on the **'Delete'** button in the toolbar to delete the duplicated case.

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5 ESCALATION ACTIONS

In the event of a non-standard occurrence or a request for non-standard information/advice the following escalation route should be followed.

5.1 Who?

Contact either:

- Layer 3 administrator (HR Services)
- Layer 3 advisor (HR Services)
- Team Manager (HR Services)

5.2 When?

When it is not possible to answer a query due to one or more of the following:

- Unfamiliar with the query
- Unsure of how to proceed.

5.3 How?

Escalate via a Service Request or a warm transfer. If in any doubt whether to escalate, discuss with the Contact Centre Manager.

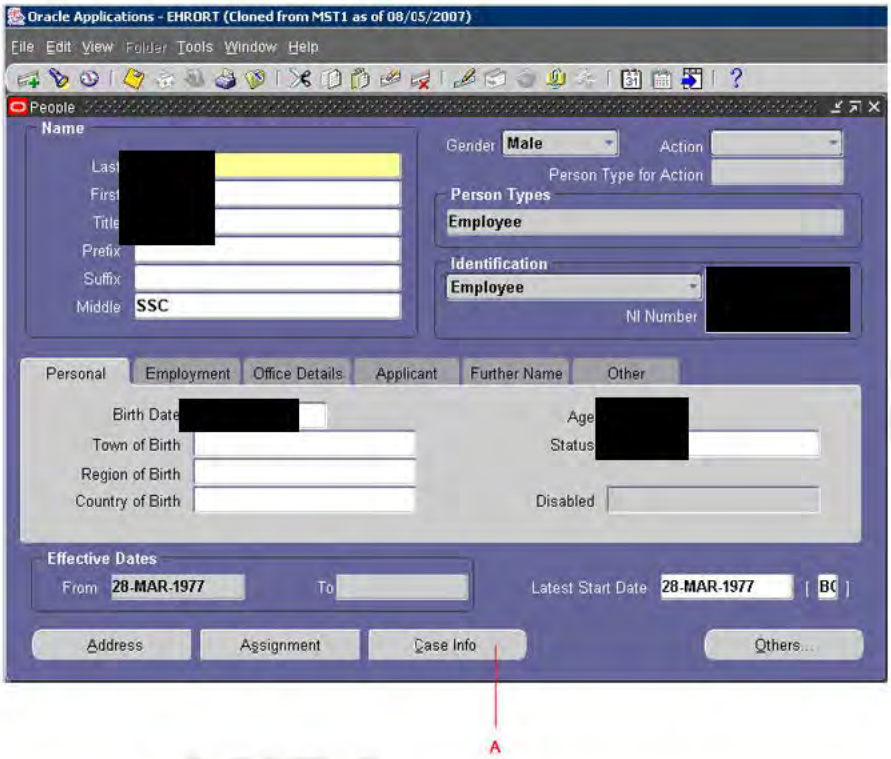
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6 CASE MANAGEMENT

6.1 Accessing Case Management

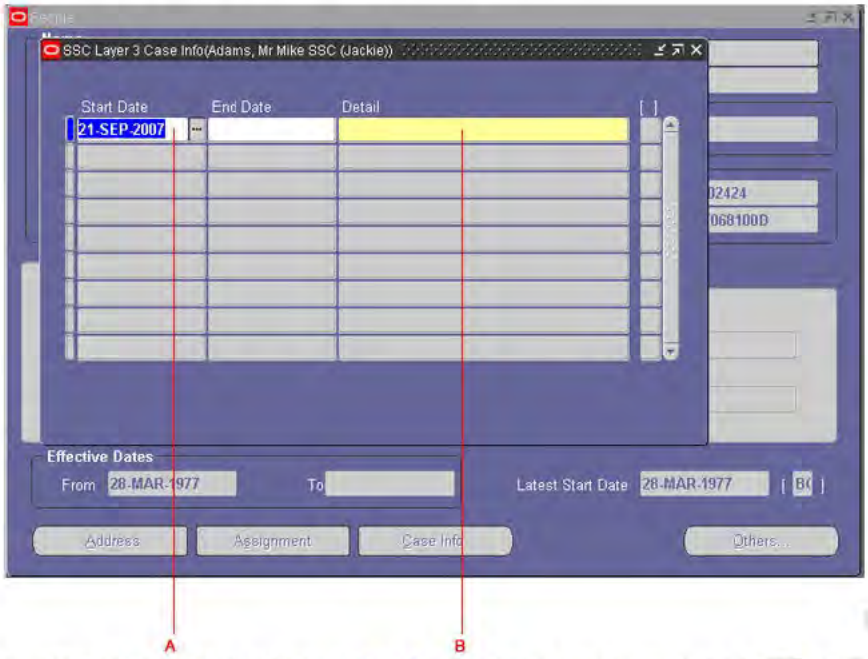
To access Case Management the user requires '**NICS SSC L3 HRMS Agent**' responsibility.

Figure 12: Extra Person Information Window



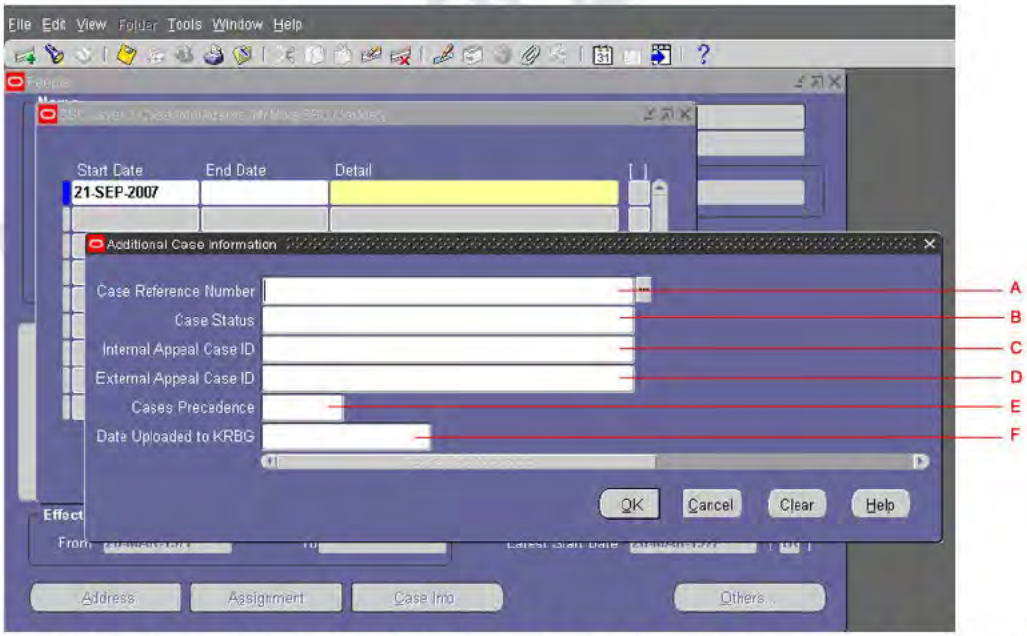
- Open HRMS
- Click on the '**Enter and Maintain**' link to open the **Find Person** screen
- Search for the employee's record
- Click on the '**Case Info**' button (Fig 12.a); to open the **Case Information** screen

Figure 13: Case Information Window



- The '**Start Date**' field (Fig 13.a); will be pre-populated with the date the case was created
- Click in the '**Detail**' region of the window (Fig 13.b); to open the **Additional Case Information** screen

Figure 14: Additional Case Information Window



- In the '**Case Reference Number**' list field (Fig 14.a); select the relevant case reference number to which the case notes relate from the dropdown list of values
- In the '**Case Status**' list field (Fig 14.b); select one of the following from the dropdown list of values:
  - **'Closed'**

- **'Open'**
- **'Suspended'**

- If applicable, in the '**Internal Appeal Case ID**' list field (Fig 14.c); select the internal case appeal ID relating to the case of interest
- If applicable, in the '**External Appeal Case ID**' list field (Fig 14.d); select the external case appeal ID relating to the case of interest
- If applicable, in the '**Case Precedence**' list field (Fig 14.e); select one of the following from the dropdown list of values:
  - **'No'**
  - **'Potential'**
  - **'Yes'**
- If applicable, in the '**Date Uploaded to KRBG**' free text field (Fig 14.f); enter the date the information was added to the knowledge base in the format **DD-MON-YYYY**
- Click on the '**OK**' button to close the screen and return to the **Case Info** screen
- Save.

If after review a case outcome is deemed to be precedence setting, then the Case Precedence field (Fig 14.e) must be set to 'Yes' and the information regarding the outcome added to the Knowledge base. To add the information to the knowledge base, please refer to the 'Knowledge Base Population Procedure'. The date this information was uploaded to the KRGB must also be recorded in the appropriate field (Fig 14.e) in the Case Management screen.

If adding notes to Case Management please complete section 6.2

If attaching a form to Case Management please complete section 6.3

If attaching a letter to Case Management please complete section 6.4

If attaching a statement to Case Management please complete section 6.5

If attaching case paperwork to Case Management please complete section 6.6

If attaching meeting minutes or case closure notes to Case Management please complete section 6.7

If attaching an email to Case Management please complete section 6.8

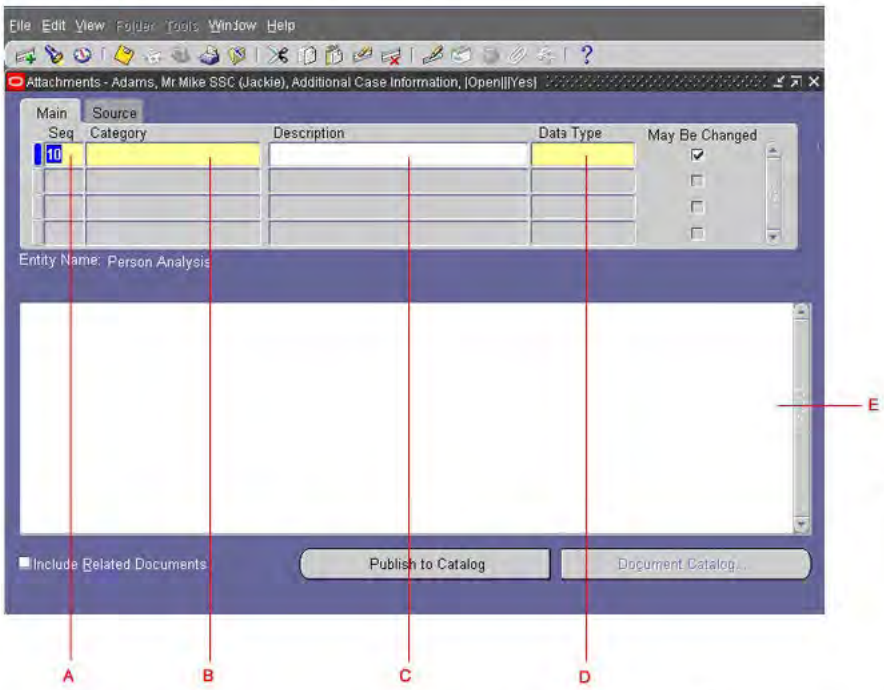
For a list of document description names please see section 6.9

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6.2 Addition of Notes to Case Management

This section describes how to add notes to an employee's file in Case Management.

Figure 15: Attachments Window



- Click on the '**Attachments**' icon in the toolbar menu to open the **Attachments** screen
- The '**Seq**' field (Fig 15.a) is automatically populated with a sequence number.
- Note: a sequence, which is ordered numerically, is automatically created as documents are added to an employee's case file. The order of the sequence can be amended if necessary. This is because it is important that notes and documentation relating to a particular case are recorded in case management in the sequential order in which they were added/received.
- In the '**Category**' mandatory list field (Fig 15.b); select the appropriate form of notes from the dropdown list of values:
  - **'Case Closure Notes'**
  - **'Case Paperwork'**
  - **'Charge Notes'**
  - **'Comments'**
  - **'External Appeal Notes'**
  - **'Further Action Notes'**
  - **'Internal Appeal Notes'**
  - **'Investigation Notes'**
  - **'Letter'**
  - **'Meeting Notes'**
  - **'Miscellaneous'**
  - **'Notes'**
  - **'Outcome Notes'**
  - **'Penalty Notes'**
  - **'Pro Forma'**

- **'Statement'**
- **'Trial Period Notes'**
- **'Warning Notes'**

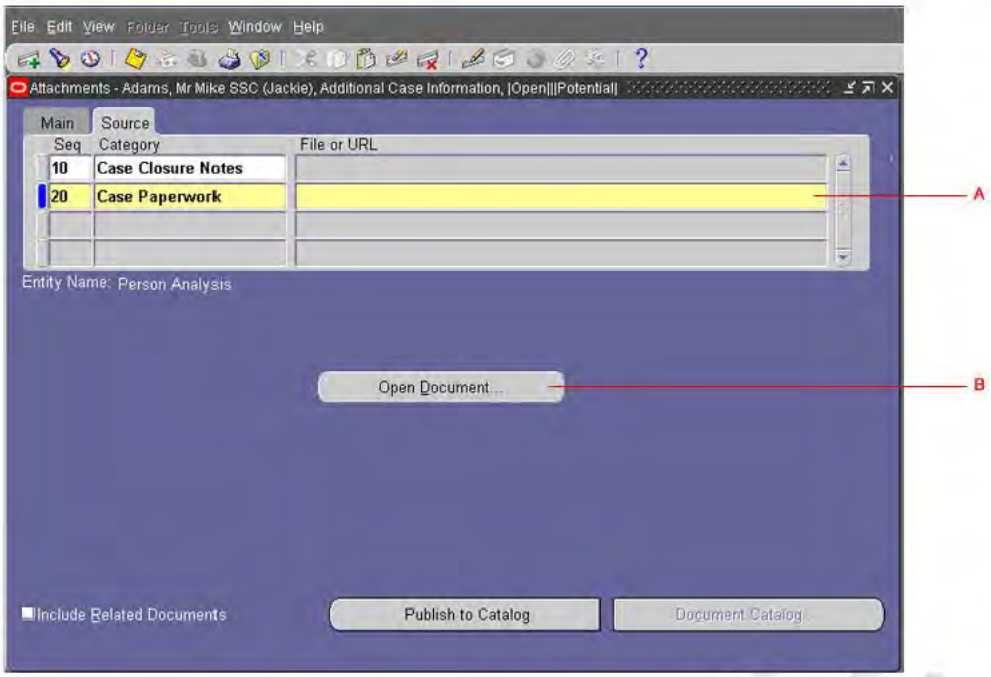
- The '**Data Type**' list field (Fig 15.d) is linked to the **Case Category** field and is automatically populated depending on the case category selected. The dropdown list of values for data type are:
  - **'File'**
  - **'Long Text'**
  - **'Short Text'**
  - **'Web Page'**
- If any of the notes options are selected as the case category then the **Data Type** field will be populated with '**Short Text**'.
  - **Note: The data type can be changed to 'Short Text' if required.**
- In the '**Description**' free text field (Fig 15.c); enter a short description of the information being added, starting with the type of case to which it relates. For example: Disciplinary – Meeting Summary
- In the free text box (Fig 15.e); enter the relevant notes/information
- Save
- Exit Case Management.

6.3 Attaching a Form to Case Management

This section describes how to attach a form to an employee's file in Case Management.

- Click on the '**Attachments**' icon in the toolbar menu to open the **Attachments** screen
- The '**Seq**' field (Fig 15.a) is automatically populated with a sequence number.
- Note: a sequence, which is ordered numerically, is automatically created as documents are added to an employee's case file. The order of the sequence can be amended if necessary. This is because it is important that notes and documentation relating to a particular case are recorded in case management in the sequential order in which they were added/received.
- In the '**Category**' mandatory list field (Fig 15.b); select '**Pro Forma**' from the dropdown list of values:
- The '**Data Type**' list field (Fig 15.d) is linked to the **Case Category** field and will automatically be populated with '**Web Page**'
- In the '**Description**' free text field (Fig 15.c); enter a short description of the information being added, starting with the type of case to which it relates. For example: Disciplinary – Instruction to proceed
- Save
  - **Note: saving will automatically open the Source screen (Fig 16)**

Figure 16: Source Window



- In the '**File or URL**' free text field (Fig 16.a); enter the relevant file/URL address
- Click on '**Open Document**' (Fig 16.b) to open the file/URL of interest and check it is correct
- Close file/URL
- Save
- Exit Case Management.

6.4 Attaching a Letter to Case Management

This section describes how to attach a letter to an employee's file in Case Management.

- Click on the '**Attachments**' icon in the toolbar menu to open the **Attachments** screen
- The '**Seq**' field (Fig 15.a) is automatically populated with a sequence number.
- Note: a sequence, which is ordered numerically, is automatically created as documents are added to an employee's case file. The order of the sequence can be amended if necessary. This is because it is important that notes and documentation relating to a particular case are recorded in case management in the sequential order in which they were added/received.
- In the '**Category**' mandatory list field (Fig 15.b); select '**Letter**' from the dropdown list of values:
- The '**Data Type**' list field (Fig 15.d) is linked to the **Case Category** field and will automatically be populated with '**Web Page**'
- In the '**Description**' free text field (Fig 15.c); enter a short description of the information being added, starting with the type of case to which it relates. For example: Disciplinary – Meeting Outcome
- Save
  - **Note: saving will automatically open the Source screen (Fig 16)**
- In the '**File or URL**' free text field (Fig 16.a); enter the relevant file/URL address

- Click on '**Open Document**' (Fig 16.b) to open the file/URL of interest and check it is correct
- Close file/URL
- Save
- Exit Case Management.

6.5 Attaching a Statement to Case Management

This section describes how to attach a statement to an employee's file in Case Management.

- Click on the '**Attachments**' icon in the toolbar menu to open the **Attachments** screen
- The '**Seq**' field (Fig 15.a) is automatically populated with a sequence number.
- Note: a sequence, which is ordered numerically, is automatically created as documents are added to an employee's case file. The order of the sequence can be amended if necessary. This is because it is important that notes and documentation relating to a particular case are recorded in case management in the sequential order in which they were added/received.
- In the '**Category**' mandatory list field (Fig 15.b); select '**Statement**' from the dropdown list of values:
- The '**Data Type**' list field (Fig 15.d) is linked to the **Case Category** field and will automatically be populated with '**Web Page**'
- In the '**Description**' free text field (Fig 15.c); enter a short description of the information being added, starting with the type of case to which it relates. For example: Disciplinary – Witness Statement
- Save
  - **Note: saving will automatically open the Source screen (Fig 16)**
- In the '**File or URL**' free text field (Fig 16.a); enter the relevant file/URL address
  - **Note:** if a file is to be saved the full file address should be preceded by **file:///**
- Click on '**Open Document**' (Fig 16.b) to open the file/URL of interest and check it is correct
- Close file/URL
- Save
- Exit Case Management.

6.6 Attaching Case Paperwork to Case Management

This section describes how to attach a statement to an employee's file in Case Management.

- Click on the '**Attachments**' icon in the toolbar menu to open the **Attachments** screen
- The '**Seq**' field (Fig 15.a) is automatically populated with a sequence number.
- Note: a sequence, which is ordered numerically, is automatically created as documents are added to an employee's case file. The order of the sequence can be amended if necessary. This is because it is important that notes and documentation relating to a particular case are recorded in case management in the sequential order in which they were added/received.
- In the '**Category**' mandatory list field (Fig 15.b); select '**Case Paperwork**' from the dropdown list of values:
- The '**Data Type**' list field (Fig 15.d) is linked to the **Case Category** field and will automatically be populated with '**Web Page**'

- In the '**Description**' free text field (Fig 15.c); enter a short description of the information being added, starting with the type of case to which it relates. For example: Disciplinary – Meeting Paperwork
- Save
- Note: saving will automatically open the **Source** screen (Fig 16)
- In the '**File or URL**' free text field (Fig 16.a); enter the relevant file/URL address
  - **Note:** if a file is to be saved the full file address should be preceded by **file:///**
- Click on '**Open Document**' (Fig 16.b) to open the file/URL of interest and check it is correct
- Close file/URL
- Save
- Exit Case Management.

6.7 Attaching Meeting Minutes or Case Closure Notes to Case Management

This section describes how to attach meeting minutes or case closure notes to an employee's file in Case Management

- Click on the '**Attachments**' icon in the toolbar menu to open the **Attachments** screen
- The '**Seq**' field (Fig 15.a) is automatically populated with a sequence number.
- Note: a sequence, which is ordered numerically, is automatically created as documents are added to an employee's case file. The order of the sequence can be amended if necessary. This is because it is important that notes and documentation relating to a particular case are recorded in case management in the sequential order in which they were added/received.
- In the '**Category**' mandatory list field (Fig 15.b); select **Meeting Notes** or **Case Closure Notes** from the dropdown list of values
- The '**Data Type**' list field (Fig 15.d) is linked to the **Case Category** field and is automatically populated depending on the case category selected.
- If any of the notes options are selected as the case category then the **Data Type** field will be populated with '**Short Text**'.
- In the '**Description**' free text field (Fig 15.c); enter a short description of the information being added, starting with the type of case to which it relates. For example: Disciplinary – Meeting Notes or Disciplinary – case closure notes
- Once a description has been entered, manually change the Data Type to '**Web Page**'
- Save
- Note: saving will automatically open the **Source** screen (Fig 16)
- In the '**File or URL**' free text field (Fig 16.a); enter the relevant file/URL address
  - **Note:** if a file is to be saved the full file address should be preceded by **file:///**
- Click on '**Open Document**' (Fig 16.b) to open the file/URL of interest and check it is correct
- Close file/URL
- Save
- Exit Case Management.

6.8 Attaching an Email to Case Management

This section describes how to attach an email to an employee's file in Case Management.

- Click on the '**Attachments**' icon in the toolbar menu to open the **Attachments** screen

- The '**Seq**' field (Fig 15.a) is automatically populated with a sequence number.
  - **Note: a sequence, which is ordered numerically, is automatically created as documents are added to an employee's case file. The order of the sequence can be amended if necessary. This is because it is important that notes and documentation relating to a particular case are recorded in case management in the sequential order in which they were added/received.**
- In the '**Category**' mandatory list field (Fig 15.b); select '**Miscellaneous**' from the dropdown list of values
- In the '**Data Type**' list field (Fig 15.d) select '**Web Page**' from the dropdown list of values
- In the '**Description**' free text field (Fig 15.c); enter a short description of the information being added, starting with the type of case to which it relates. For example: Disciplinary Email – Meeting Paperwork



- Save
  - **Note: saving will automatically open the Source screen (Fig 16)**
- In the '**File or URL**' free text field (Fig 16.a); enter the relevant file/URL address
  - **Note:** if a file is to be saved the full file address should be preceded by **file:///**
- Click on '**Open Document**' (Fig 16.b) to open the file/URL of interest and check it is correct
- Close file/URL
- Save



- Exit Case Management.

6.9 List of Discipline document descriptions

Please enter the relevant description in the '**Description**' free text (Fig 15.c) field where appropriate.

Procedure	Section	Item/information to be stored in case mgt	Case info menu item	Description
Disciplinary	3.3.2.1	Authorised proforma to proceed with formal investigation	Proforma	**Disciplinary - Instruction to proceed with investigation**
	3.3.3.1	Disciplinary suspension letter if applicable	Letter	**Disciplinary - Inform employee of suspension**
	3.3.3.2	Confirmation email to DHR that employee has been suspended	Case paperwork	**Disciplinary - Confirming suspension letter sent with DHR**
	3.3.4.1	Letter informing employee that Disciplinary proceedings will take place	Letter	**Disciplinary - Proceed with Disciplinary**
	3.3.6.1	Letter invite witness to investigation interview	Letter	**Disciplinary - Invite witness to investigation interview**
	3.3.6.1	Letter invite employee to investigation interview	Letter	**Disciplinary - Invite employee to investigation interview**

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3.3.6.1	Investigation interview minutes (Witness/Employee)	Meeting notes	**Disciplinary - Investigation interview minutes (Witness/Employee)**
3.3.6.1	Disciplinary investigation	Notes	**Disciplinary - Summary of Investigation report**
3.3.6.2	Disciplinary review case and instruction to proceed proforma	Proforma	**Disciplinary - Instruction to proceed & disciplinary meeting instructions**
3.3.7.1	Disciplinary no action post investigation letter	Letter	**Disciplinary - Informing employee of no action post investigation**
3.3.9.1	Instruction from DHR to close case i.e., employee not appealing	Case closure notes	**Disciplinary - Instruction to close case**
3.3.10.3	Employee invite logistics letter	Letter	**Disciplinary - Invite to meeting**
3.3.10.4	Update case info of employees availability and accompaniment and attach any scanned written responds from employee	Notes	**Disciplinary - Confirmation from employee of attendance**
3.3.10.4	Index bundle sent to DHR. Index bundle sent to employee, as confirmed by DHR	Notes	**Disciplinary - Index bundle to DHR/Employee**
3.3.10.5	Reminder letter to meeting participants	Letter	**Disciplinary - Reminder Letter**
3.3.10.6	Update case info of employee and representatives attendance	Notes	**Disciplinary - Confirmation of employee's attendance**
3.3.10.7	Disciplinary - decision outcome form	Proforma	**Disciplinary - Outcome of meeting**
3.3.10.7	Disciplinary meeting minutes	Meeting notes	**Disciplinary - Meeting minutes**

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3.3.10.8	no action post disciplinary meeting letter/ disciplinary outcome letter /dismissal post hearing letter	Letter	**Disciplinary - Letter to employee confirming no further action post disciplinary/disciplinary outcome/dismissal**
3.3.10.10	Hand off info	Notes	**Disciplinary - handoff to (insert process name)**
3.3.11.1	Dismissal letter to employee post hearing	Letter	**Disciplinary - Dismissal post hearing**
3.3.11.4	Hand off info	Notes	**Disciplinary - handoff to (insert process name)**
3.3.12.1	Hand off info	Notes	**Disciplinary - handoff to (insert process name)**
3.3.13.1	Instruction to close case (comes from DHR)	Case closure notes	**Disciplinary - Instruction to close case**
3.3.14.1	Employee's appeal letter/first appeal form	Proforma/letter depending on what type of media is used	**Disciplinary - Submitted appeal**
3.3.14.1	Disciplinary instruction on appeal proforma	Proforma	**Disciplinary - Instruction from DHR regarding appeal**
3.3.14.1	Appeal out of time letter	Letter	**Disciplinary - Informing employee appeal out of time**
3.3.16.1	Instruction to close case (comes from DHR)	Case closure notes	**Disciplinary - Instruction to close case**
3.3.17.1	Letter to employee confirming receipt of appeal	Letter	**Disciplinary - Confirm appeal request received**
3.3.17.3	Invite to appeal hearing letter	Letter	**Disciplinary - Invite employee to appeal meeting**
3.3.17.4	Update case info of employees availability and accompaniment	Notes	**Disciplinary - Confirmation from employee of attendance at appeal**
3.3.17.5	Index bundle sent to DHR. Index bundle sent to employee, as confirmed by DHR	Notes	**Disciplinary - Index bundle to DHR/Employee**
3.3.17.6	Authorisation for additional investigation proforma	Proforma	**Disciplinary - Instruction for additional investigation**
3.3.17.7	Letter invite witness to investigation interview	Letter	**Disciplinary - Invite witness to investigation interview**

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3.3.17.7	Letter invite employee to investigation interview	Letter	**Disciplinary - Invite employee to investigation interview**
3.3.17.7	Investigation interview minutes (Witness/Employee)	Meeting notes	**Disciplinary - Investigation interview minutes (Witness/Employee)**
3.3.17.7	Disciplinary investigation	Notes	**Disciplinary - Summary of Further Investigation report**
3.3.17.8	Update case info of employee and representatives attendance	Notes	**Disciplinary - Confirmation of employee's attendance at appeal**
3.3.17.9	Disciplinary appeal meeting minutes	Meeting notes	**Disciplinary - appeal meeting minutes**
3.3.17.9	1st appeal outcome proforma	Proforma	**Disciplinary - Outcome of 1st appeal**
3.3.17.11	1st appeal outcome letter	Letter	**Disciplinary - Outcome letter**
3.3.17.12	Hand off	Notes	**Disciplinary - handoff to (insert process name)**
3.3.18.3	Hand off	Notes	**Disciplinary - handoff to (insert process name)**
3.3.19.1	Hand off	Notes	**Disciplinary - handoff to (insert process name)**

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7 APPENDICIES

7.1 APPENDIX A: Business assurance

Quality is an important aspect throughout this procedure and checking will be required at different stages of it. There are five different types of checks that will be carried out, and each will have a different symbol next to that area. The following are the symbols used and there associated meanings:



This symbolises that the agent is required to check what they have produced in the adjacent section before completing the section. Self checks should be done when completing system updates or producing an output as a matter of fact and no formal recording on any system is required. It will be assumed that a self check has been completed for all activities. A self check consists of you reviewing the work that has been done and ensuring that it is both accurate and correct as per procedure.



This symbolises that the agent is required to pass what they have produced in the adjacent section to a colleague for checking before carrying on with the task. For emails, the email response should be written but not sent by the primary handler. It should be transferred to a secondary handler who will carry out a check on the email as per guidelines and record a quality ISH to indicate they have done so. The email will then be sent out to the intended recipient. For any system updates where a peer to peer check is required it consists of the peer reviewing the work which has been done and ensuring that it is both accurate and correct as per procedure.



This symbolises that the agent is required to forward what they have produced in the adjacent section to their team leader for checking before carrying on to the next section. As per the Outgoing Mail Procedure, all outgoing mail should be placed within the incoming mail section of your Line Manager. The Line Manager will be required, as per the Outgoing Mail Procedure, to QA the document before it is permitted to be sent. The Line Manager is to record this manually using the individual QA Outgoing Letter monitoring form. Line Managers are then required to enter this information into the Quality Assurance database.



This symbolises that a NICE evaluation is possible at this stage. If the call is selected for review the evaluator (Either Line Manager or Quality Analyst) will analyse the call using the appropriate Evaluation Form via the NICE application.



This symbolises that a Quality Assurance check by the Business Assurance team is completed at this stage. This indicates a SLA check by the Quality Assurance team. System updates and requirements will be identified via specific Quality SLA CRM discoverer reports and the Quality Team will leave the ISH 'QA – SLA'

Performance Managements Checks by QA Team and Line Managers

When reviewing a piece of administrative work for performance management the record must be accessed via CRM and a Quality ISH 'QA – Performance Sample' must be logged when finished indicating that this piece of work has been have completed.

All system related activities and calls made or received could be subject to evaluation if selected as part of random sampling for performance management.

Locating Errors

In all cases where an error has been located and confirmed regarding the accuracy of information on the system, the person discovering it must ensure that the error is corrected immediately.

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