

# CFAMLD14 - SQA Unit Code FM57 04

## Initiate and follow disciplinary procedure



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### Overview

This unit is about initiating and following your organisation's disciplinary procedure in response to misconduct or unsatisfactory performance of a member of your team.

All employing organisations are required to have disciplinary and grievance procedures. As a minimum, these must meet the requirements laid down in relevant employment legislation. However, many organisations have developed more detailed and extensive disciplinary procedures and associated rules to reflect their specific contexts and requirements.

This unit describes the minimum standard of performance expected of managers when they are implementing disciplinary procedures in line with legal and organisational requirements. To meet this standard, managers need both sound technical knowledge of the procedures and well-developed cognitive and interpersonal skills.

The unit is for line managers who have to deal with misconduct or unsatisfactory performance of members of their team. It is **not** designed for human resources specialists who are required to develop disciplinary procedures and provide specialist support to line managers who are implementing them.

This unit is linked to unit:

D15 Initiate and follow grievance procedure

in the overall suite of National Occupational Standards for Management and Leadership.

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### Performance criteria

- You must be able to:*
- P1 keep individuals fully informed about the standards of conduct and performance expected of them and your organisation's current procedure for dealing with misconduct or unsatisfactory performance
  - P2 seek support from colleagues or human resources or legal specialists on any aspects of implementing disciplinary procedures about which you are unsure
  - P3 carry out necessary investigations promptly to establish the facts relating to any misconduct or unsatisfactory performance
  - P4 take preventative measures to resolve issues and deal with cases of minor misconduct or unsatisfactory performance informally, where you consider that an informal approach is likely to resolve the situation effectively
  - P5 follow your organisation's formal disciplinary procedure in serious cases of misconduct or unsatisfactory performance
  - P6 keep full and accurate records throughout the disciplinary process and store these confidentially as long as, but no longer than, necessary

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### Knowledge and understanding

*You need to know and understand:*

#### **General knowledge and understanding**

- K1 the importance of fully informing individuals about the standards of conduct and performance expected of them and your organisation's current procedure for dealing with misconduct or unsatisfactory performance
- K2 how to carry out investigations to establish facts relating to any misconduct or unsatisfactory performance
- K3 informal approaches to dealing with cases of minor misconduct or unsatisfactory performance, and when this type of approach is likely to resolve the situation effectively
- K4 the differences between misconduct, gross misconduct and unsatisfactory performance, and how each should be handled
- K5 the importance of following your organisation's formal disciplinary procedure in serious cases of misconduct or unsatisfactory performance
- K6 the importance of communicating clearly, concisely and objectively, and how to do so
- K7 how to keep full and accurate records throughout the disciplinary process and store these confidentially as long as, but no longer than, necessary

*You need to know and understand:*

#### **Industry/sector specific knowledge and understanding**

- K8 industry/sector requirements for supporting individuals to improve their performance

*You need to know and understand:*

#### **Context specific knowledge and understanding**

- K9 your organisation's procedures for dealing with misconduct or unsatisfactory performance
- K10 the standards of conduct and performance expected of individuals
- K11 sources of advice, guidance and support from colleagues, human resources or legal specialists
- K12 the limits of your own knowledge, skills and competence
- K13 your organisation's policies and procedures for keeping full and accurate records

### Additional Information

#### Behaviours

1. You listen actively, ask questions, clarify points and rephrase others' statements to check mutual understanding.
2. You present information clearly, concisely, accurately and in ways that promote understanding.
3. You keep people informed of plans and developments.
4. You give feedback to others to help them improve their performance.
5. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.
6. You act within the limits of your authority.
7. You consult with internal and/or external experts when necessary.
8. You say no to unreasonable requests.
9. You confront performance issues and resolve them directly with the people involved.
10. You keep confidential information secure.
11. You work to develop an atmosphere of professionalism and mutual support.
12. You take and implement difficult and/or unpopular decisions, if necessary.

#### Skills

Listed below are the main generic 'skills' that need to be applied in implementing disciplinary procedure. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

Acting assertively  
Analysing  
Communicating  
Decision-making  
Empathising  
Interviewing  
Monitoring  
Presenting information  
Questioning  
Reporting  
Researching

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