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## Overview

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

This standard is relevant to managers and leaders when they need to initiate and follow their organisation's disciplinary procedure.

This standard links closely to *CFAM&LDC5 Help individuals address problems affecting their performance* and *CFAM&LDA7 Initiate and follow grievance procedures*.

## CFAM&LDA6 – SQA Unit Code HK2G 04

### Initiate and follow disciplinary procedures

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#### Performance criteria

- You must be able to:*
- P1 Keep individuals fully informed about:
    - P1.1 the standards of conduct and performance expected of them,  
and
    - P1.2 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.

## 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.
- 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.

### Industry/sector specific knowledge and understanding

*You need to know and understand:*

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

### Context specific knowledge and understanding

*You need to know and understand:*

- 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.

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### Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding
- 2 Present information clearly, concisely, accurately and in ways that promote understanding
- 3 Keep people informed of plans and developments in a timely way
- 4 Give feedback to others to help them maintain and improve their performance
- 5 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
- 6 Act within the limits of your authority
- 7 Refer issues outside the limits of your authority to appropriate people
- 8 Show integrity, fairness and consistency in decision making
- 9 Say no to unreasonable requests
- 10 Address performance issues promptly and resolve them directly with the people involved
- 11 Protect the confidentiality and security of information
- 12 Take and implement difficult and/or unpopular decisions, if necessary

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#### Skills

*When performing to this standard, you are likely to demonstrate the following skills:*

- Acting assertively
- Assessing
- Communicating
- Decision-making
- Empathising
- Information management
- Interviewing
- Monitoring
- Presenting information
- Providing feedback
- Questioning
- Reporting
- Reviewing

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**Relevant occupations** Managers and Senior Officials

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**Suite** Management & Leadership

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