

THE CHECKLIST:

Staff Member Name:	Click here to enter text.
Line Manager Name:	Click here to enter text.
Department / Service	
Details of incident (including Date)	Click here to enter text.
How did you become aware of the incident?	

1. Have you asked the following questions before making a decision to formally investigate?

a. Is it a SERIOUS allegation? (see the Disciplinary Policy for examples)	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Why do you consider this a serious allegation? (Impact on service user / policy breach / NMC Code breach / Impacts on standards / Impact on the team)	Provide details
c. Did the employee knowingly and unreasonably cause the incident/breach the policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No if 'yes' provide the rationale
d. Would another employee in the same situation act in a similar manner	<input type="checkbox"/> Yes <input type="checkbox"/> No

2. Have you reviewed the employee's knowledge against their behaviour (skills) and determined if they knew of the standards expected?

a. The employee does not have knowledge of standards expected	<input type="checkbox"/>
b. The employee does have knowledge of standards expected	<input type="checkbox"/>

3. How well have you reacted to this situation? Have you as manager:

a. Read and understood the situation well?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Sought to have informal discussions with the member of staff about this issue or similar issues leading up to this issue prior to considering disciplinary investigation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. Raised the concern informally with the member of staff in the same way you would with any other employee	<input type="checkbox"/> Yes <input type="checkbox"/> No

OUTCOME:

4. If evidence is strong then select one of the following:

	Select option
a. If the employee does not have knowledge of standards expected of them consider a development plan and other recommendations	<input type="checkbox"/>
b. If the employee has knowledge of standards expected of them but knowingly/unreasonably caused the incident/breached policy then continue with formal investigation	<input type="checkbox"/>

Finally, have you determined that by carrying out a formal investigation to consider formal disciplinary action against this employee it is consistent with how other employees have been treated for the same or similar misconduct/action?	<input type="checkbox"/>
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Comments:	Click here to enter text.
Line Manager signature:	
Date:	

Please forward to Commissioning Manager

Commissioning Manager approved Outcome:	Progress to formal investigation <input type="checkbox"/> Do not progress to formal investigation <input type="checkbox"/>
Name & Title of Investigating Officer	

Please return completed form to your ERAS Advisor.