



ESGMARK®
QUICK GUIDE
CREATING YOUR
WORKPLACE
DISCIPLINARY POLICY



Disciplinary Policy and Procedure

A disciplinary policy promotes the fair treatment of employees whilst also ensuring the safe and effective operation of the business. As an employer you will hope that your employees will want to meet the high standards of conduct you expect of your team. But if an employee's conduct falls below your expectations, an employer needs to address the issue in a fair and supportive way.



What is a Disciplinary Policy?

A clearly articulated policy provides a framework for employee lapses in conduct. A disciplinary policy sets out a procedure to follow, a standard of behaviour and disciplinary action that

is applied

to individual employers. What constitutes either 'culpability', the most common reasons include:
being absent from work
without permission

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What is a Disciplinary Procedure



A Disciplinary Procedure is a process for an employer to address misconduct or capability issues. It should be outlined in your policy document.

However, before starting a Disciplinary Procedure, you should always seek to resolve issues informally. It is important to act promptly – never start a Disciplinary Procedure in cases that will only result in a claim.

Start by:

- privately talking with the employee and other staff involved
- listening to their views
- agreeing improvement

Why do I need a Disciplinary Policy



A Disciplinary Policy is a written statement of training or development and performance issues.

It sets out the rules for formal conversations and disciplinary procedures. You must have the required procedures in place within your rights to discipline. It should be available to all staff and should be updated as a step-by-step what is required in your policy document available to all staff.

A Disciplinary Policy will ensure consistency and fairness, and every employer should have its own bespoke policy, or at least a Disciplinary Policy or should be laid out in a clear and concise manner.

1. Understand the problem
2. Follow a fair process
3. Carry out an investigation
4. The disciplinary process
5. Deciding the outcome
6. After the disciplinary process

How we should handle Disciplinary Process

This will very much depend on the nature of the issue.

For something simple issue, it should not take too long (provided there isn't a personal or capability issue showing itself as something straightforward to resolve).

For more complex issues, the process will take time to give the employee the time to improve – something shouldn't happen overnight.

Where you might be dealing with a misconduct issue, such as harassment - you should have procedures to take an investigation will take time, involve many people and take time from the person conducting it. Always try to give the employee an estimated timeline.



Whilst there is no official disciplinary policy, we guide on industry best practice based on the Government's Adjudication and Arbitration Service Policy. The ACAS policy is not binding but an employer who does not reduce or increase any award in a case by up to 25% will not be followed.

If you have a Disciplinary Policy and Procedure, please email us at esgmark@quickmark.co.uk and we will happily review it. If you have any questions or need further guidance on creating your Workplace Policy and Procedure in place, please contact the ESGmark® team.



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