

Standard Operating Procedure (SOP)

Disciplinary Action Decision-Making Process

This SOP details the **disciplinary action decision-making process**, outlining the steps for assessing employee conduct, determining appropriate disciplinary measures, and ensuring consistent application of organizational policies. It includes procedures for documentation, communication of decisions, appeal rights, and follow-up actions to promote fairness, accountability, and compliance within the workplace.

1. Purpose

To define the standardized process for assessing employee conduct violations and determining appropriate disciplinary action. This ensures fairness, consistency, accountability, and compliance with organizational policies and legal requirements.

2. Scope

This SOP applies to all employees and management personnel involved in the disciplinary process across the organization.

3. Definitions

Term	Definition
Disciplinary Action	Any action taken to address violations of company policy, ranging from verbal warnings to termination of employment.
Appellant	An employee who appeals against a disciplinary decision.
Investigating Officer	Manager or HR representative assigned to evaluate the conduct issue.

4. Responsibilities

- **HR Department:** Oversee process, document proceedings, and provide guidance.
- **Supervisors/Managers:** Initiate process, report incidents, participate in investigation and decision-making.
- **Employees:** Cooperate with investigations and comply with outcomes.

5. Procedure

- 1. Incident Identification & Reporting**
 - Supervisor/manager observes or receives report of potential misconduct.
 - Document initial details and notify Human Resources (HR).
- 2. Preliminary Assessment**
 - HR reviews report for sufficient information and seriousness.
 - Determine if a formal investigation is warranted.
- 3. Investigation**
 - Investigating Officer gathers evidence, interviews relevant parties, and documents findings.
 - Assess facts objectively using policy guidelines.
- 4. Evaluation and Decision**
 - Review investigation results with relevant stakeholders.
 - Consult disciplinary policy matrix (see below).
 - Determine appropriate action based on severity, past conduct, and mitigating factors.
- 5. Documentation**
 - Document rationale for decision, evidence reviewed, and corrective action taken, using standard forms.
 - Store documentation securely in HR records.
- 6. Communication**
 - Meet with the employee to communicate findings and disciplinary decision.
 - Provide written notice outlining nature of the violation, disciplinary action, appeal options, and support resources.
- 7. Appeal Process**
 - Inform employee of right to appeal as per company policy.
 - Handle appeals through designated procedures, with another impartial reviewer.

- Record appeal outcome and communicate to all parties.

8. Follow-Up Actions

- Monitor employee performance/conduct for recurrence.
- Provide additional support, coaching, or training as needed.

6. Disciplinary Action Matrix (Sample)

Infraction Severity	First Occurrence	Repeat Occurrence
Minor	Verbal Warning	Written Warning
Moderate	Written Warning	Final Written Warning / Suspension
Serious	Final Written Warning / Suspension	Termination

7. Records Management

- Maintain all disciplinary records in compliance with legal and company policies.
- Ensure confidentiality and restrict access to authorized personnel only.

8. Review & Continuous Improvement

- Review this SOP annually and update as needed to reflect best practices and policy changes.