

Disciplinary Action Process Checklist (HR)

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Initial Observation & Documentation

Record the initial concerning behavior or performance issue, including dates, times, specific examples, and any witnesses.

Date of Initial Observation

Enter date...

Time of Initial Observation

Enter time...



Number of Witnesses Present

Enter a number...

Supporting Documentation (Optional)

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Fact-Finding & Investigation

Gather information from relevant sources, interview employees, and review documentation to understand the situation fully. Maintain objectivity.

Describe the initial report or complaint.

Write something...

Who was interviewed as part of the investigation?

- Employee Involved
- Supervisor
- Witness 1
- Witness 2
- Other (Specify)

Summarize the interview with the employee involved.

Write something...

Summarize the interview with the supervisor.

Write something...

Upload any supporting documentation (e.g., emails, photos).

 Upload File

Date of Investigation Interview (Specify for each interviewee)

Enter date...

Time of Investigation Interview (Specify for each interviewee)

Enter time...

Policy Review & Legal Consultation

Confirm the issue violates established company policies and applicable laws. Consult with legal counsel if necessary.

Applicable Company Policy(ies)

- Attendance Policy
- Code of Conduct
- Performance Management Policy
- Harassment Prevention Policy
- Confidentiality Agreement

Summary of Legal Considerations

Write something...

Date of Legal Consultation

Enter date...

Legal Counsel Involved?

- Yes
- No

Supporting Documentation (e.g., Legal Memo)

 Upload File

Verbal Warning (First Offense)

Deliver a verbal warning, clearly outlining the issue, expected improvements, and potential consequences of further violations. Document the warning.

Date of Verbal Warning

Enter date...

Time of Verbal Warning

Enter time...

Detailed Description of Issue

Write something...

Explanation of Expected Behavior/Performance

Write something...

Consequences of Future Violations

Write something...

Employee Acknowledgment

Employee Name (Printed)

Write something...

Written Warning (Second Offense or Severity)

Issue a formal written warning, reiterating the issue, expected improvements, timeline for improvement, and consequences. Employee acknowledges receipt.

Detailed Description of Violation(s)

Write something...

Policy Violated (Select all that apply)

- Attendance Policy
- Code of Conduct
- Performance Standards
- Harassment Policy
- Safety Regulations
- Other (Specify)

Expected Corrective Actions & Performance Standards

Write something...

Deadline for Improvement

Enter date...

Consequences of Continued Violation

Write something...

Employee Acknowledgment

Employee Understanding (Select One)

- Understands Warning & Expectations
- Requires Further Clarification

Performance Improvement Plan (PIP)

If performance-related, create and implement a PIP outlining specific goals, support, and deadlines. Monitor progress and provide feedback.

Summary of Performance Deficiencies

Write something...

Specific Goals for Improvement

Write something...

Quantifiable Metric for Goal 1

Enter a number...

Target Date for Goal 1 Achievement

Enter a number...

Review Date (Mid-PIP Review)

Enter date...

Level of Support Provided

- Training
- Mentoring
- Increased Supervision
- Other

Employee Comments/Response to PIP

Write something...

Employee Signature

Suspension (Optional)

Consider suspension, if warranted by the severity of the infraction. Follow established procedures and ensure due process.

Suspension Duration (Days)

Enter a number...

Effective Date of Suspension

Enter date...

Time of Suspension Commencement

Enter time...

Reason for Suspension - Detailed Explanation

Write something...

Suspension Type

- With Pay
- Without Pay

Employee Acknowledgment of Suspension (Optional)

Termination (Final Action)

If issues persist despite corrective action, proceed with termination, ensuring compliance with all legal requirements and company policies.

Termination Date

Enter date...

Termination Time

Enter time...

Reason for Termination (Detailed Explanation)

Write something...

Termination Type (e.g., Performance, Conduct, Restructuring)

- Performance
- Conduct
- Restructuring
- Other

HR Representative Signature

Manager Signature

Termination Letter (Uploaded)

 Upload File

Exit Interview Summary (if applicable)

Write something...

Documentation & Record Keeping

Maintain thorough and accurate records of all actions taken, including warnings, PIPs, performance reviews, and termination paperwork. Securely store all documentation.

Date of Initial Documentation

Enter date...

Detailed Description of Incident/Issue

Write something...

Supporting Evidence (Emails, Photos, Videos)

 Upload File

Number of Verbal Warnings Given

Enter a number...

Warning Type (Verbal/Written/PIP)

- Verbal Warning
- Written Warning
- Performance Improvement Plan (PIP)

Summary of Investigation Findings

Write something...

HR Representative Signature

Date of Documentation Review

Enter date...

Exit Interview & Final Paperwork

Conduct an exit interview (if applicable) and ensure all final paperwork is completed and returned by the employee, including benefits information.

Reason for Leaving (Open-ended)

Write something...

What were your primary reasons for leaving? (Select all that apply)

- Better Compensation
- Career Advancement Opportunities
- Work-Life Balance
- Company Culture
- Management/Leadership
- Location
- Other

Overall Satisfaction (1-10, 1 being least satisfied, 10 being most)

Enter a number...

Would you recommend our company to a friend?

- Yes
- No
- Maybe

Last Day of Employment

Enter date...

Employee Signature