



Supporting a Just and Learning Culture (3)

Disciplinary Policy - Assessment Process - Step 3: Screening



This guide is designed to support a manager to complete the screening template included within the Disciplinary Policy. In steps 1 and 2 you will have addressed the immediate needs following the incident identifying and supporting those impacted and gathering initial facts.

We expect all employees to meet high standards of conduct and behaviour and, where this does not occur, we will encourage improvement and learning through application of our HSC Values to achieve and maintain these standards.

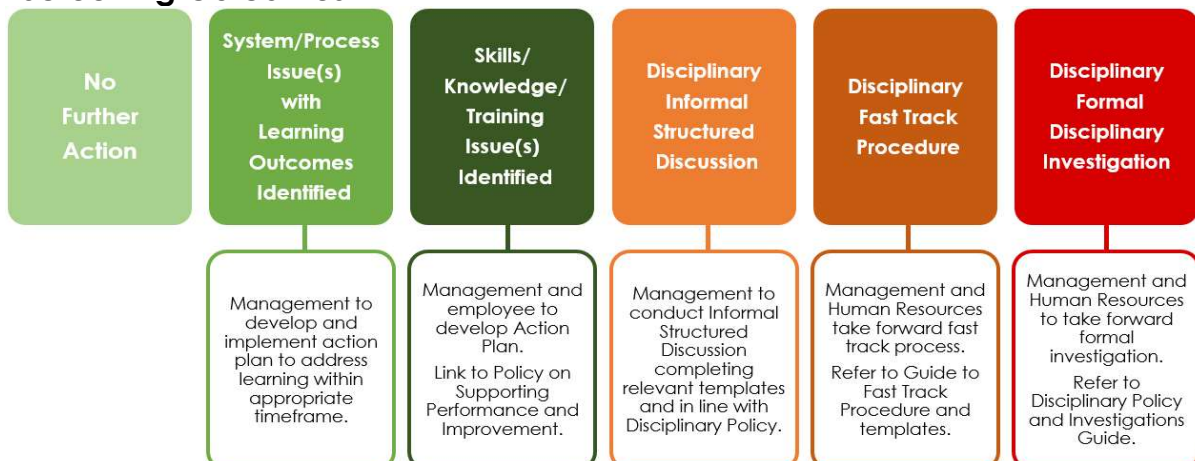
Screening helps to identify the appropriate course of action and is designed to explore how and why the employee acted in a particular manner and to identify and understand why failings occurred and how/if or to what extent the system or a process contributed to this.



Screening should be completed jointly by the line manager and HR, including the relevant professional lead when appropriate. It should be completed as quickly as possible and within 3 working days however this is not a strict timeframe as it will depend on the specific circumstances.

You should use the template screening form provided within the Policy ensuring each question is deliberated upon. The considerations provided overleaf should be used as a guide and not an exhaustive list. Using the information gathered you should agree the most appropriate screening outcome from those listed below. It is possible that more than one outcome is selected for example, where systems/process issues are identified in addition to concerns regarding an employee conduct or performance.

Screening Outcomes



| Screening Questions | Considerations |
|---|--|
| 1. Are there rules in place that apply to the action/issue in question? | Rules may be in the form of policy, procedure, standards or protocols. |
| 2. Are the rules acceptable/practical in the circumstances? | Were the rules clearly communicated? Are the rules in routine use? |
| 3. Was there any impact on a service user or others? | Consider the impact on each party. Was this impact solely attributable to the actions/inactions of the employee? |
| 4. Is there a concern that there was a deliberate intention behind the actions/inactions? | Has the employee acknowledged their actions? Did the employee knowingly act outside of the rules/procedure? Has the employee provided a reasonable explanation for their actions/inactions? How has the employee demonstrated reflection and learning? |
| 5. Is there evidence this is a skills / knowledge / training issue? | Consider quality and regularity of training. Was the individual missed out when relevant training was provided to their peer group? Any issues/concerns raised through supervision or any capability plan in place? |
| 6. Would another employee with same knowledge / experience / training have acted differently? | Are there indications that other individuals from the same peer group, with comparable experience and qualifications, would behave in the same way in similar circumstances? |
| 7. Do the local systems and processes provide appropriate governance in the area? | Is there evidence that this is about system / process issues or failures? Was appropriate equipment or resource correct and available? |
| 8. Is there evidence of sufficient supervision? | Did more senior members of the team fail to provide supervision that normally should be provided? |
| <p style="text-align: center;">Mitigation</p> <p>Are there any mitigating circumstances?</p> | <p>Consider any mitigation identified from Q1-8 above including whether the employee admitted their actions and/or showed insight and reflection towards the incident.</p> <p>In addition you should consider whether there are any indications of physical or mental ill health, substance abuse or addictions.</p> |

The new policy and associated guidance documentation is available from your local Human Resources Department. Awareness sessions and clinics for line managers will also be provided. Contact your HR Department on...

