



DISCIPLINARY POLICY

Introduction

- 1 This policy is based on and complies with the 2015 ACAS Code of Practice (<http://www.acas.org.uk/index.aspx?articleid=2174>). It also takes account of the ACAS guide on discipline and grievances at work.

https://www.acas.org.uk/media/1043/Discipline-and-grievances-at-work-The-Acas-guide/pdf/DG_Guide_Feb_2019.pdf

The policy is designed to help members of staff to improve unsatisfactory conduct and performance in their job. Wherever possible, the Council will try to resolve its concerns about a member of staff's behaviour informally, without starting the formal procedure set out below.

- 2 The policy will be applied fairly, consistently and in accordance with the Equality Act 2010.
- 3 This policy confirms:
 - informal coaching and supervision will be considered, where appropriate, to improve conduct and / or attendance
 - the Council will fully investigate the facts of each case
 - the Council recognises that misconduct and unsatisfactory work performance are different issues. The disciplinary policy will also apply to work performance issues to ensure that all alleged instances of employees' underperformance are dealt with fairly and in a way that is consistent with required standards. However, the disciplinary policy will only be used when performance management proves ineffective. For more information see ACAS "Performance Management" at <https://www.acas.org.uk/index.aspx?articleid=6608>
 - the member of staff will be informed in writing about the nature of the complaint against them and given the opportunity to state their case

- the member of staff will be provided, where appropriate, with written copies of evidence and relevant witness statements in advance of a disciplinary hearing
- the member of staff may be accompanied or represented by a companion – a workplace colleague, a trade union representative or a trade union official - at any investigatory, disciplinary or appeal meeting. The companion is permitted to address such meetings, to put the member of staff's case and confer with the member of staff. The companion cannot answer questions put to the member of staff, address the meeting against the member of staff's wishes or prevent the member of staff from explaining his/her case
- the Council will give the member of staff reasonable notice of any meetings in this procedure. The member of staff must make all reasonable efforts to attend. Failure to attend any meeting may result in it going ahead and a decision being taken. A member of staff who does not attend a meeting will be given the opportunity to be represented and to make written submissions
- if the member of staff's companion is not available for the proposed date of the meeting, the member of staff can request a postponement and can propose an alternative date that is within five working days of the original meeting date unless it is unreasonable not to propose a later date
- any changes to specified time limits in the Council's procedure must be agreed by the member of staff and the Council
- information about a member of staff's disciplinary matter will be restricted to those involved in the disciplinary process. A record of the reason for disciplinary action and the action taken by the Council is confidential to the member of staff. The member of staff's disciplinary records will be held by the Council in accordance with the General Data Protection Regulation (GDPR)
- audio or video recordings of the proceedings at any stage of the disciplinary procedure are prohibited, unless agreed by all affected parties as a reasonable adjustment that takes account of a member of staff's medical condition
- the member of staff has the right to appeal against any disciplinary decision. The appeal decision is final
- if a member of staff who is already subject to the Council's disciplinary procedure raises a grievance, the grievance will normally be heard after the completion of the disciplinary procedure

- disciplinary action taken by the Council can include a written warning, final written warning or dismissal
- this procedure may be implemented at any stage if the member of staff's alleged misconduct warrants this
- except for gross misconduct when a member of staff may be dismissed without notice, the Council will not dismiss an member of staff on the first occasion that it decides there has been misconduct
- if a member of staff is suspended following allegations of misconduct, it will be on full pay and only for such time as is necessary. Suspension is not a disciplinary sanction. The Council will write to the member of staff to confirm any period of suspension and the reasons for it,
- the Council may consider mediation at any stage of the disciplinary procedure where appropriate (for example where there have been communication breakdowns or allegations of bullying or harassment). Mediation is a dispute resolution process that requires the consent of affected parties

Examples of misconduct

- 4 Misconduct that can lead to the employer taking disciplinary action. The following list contains some examples of misconduct: The list is not exhaustive.
- unauthorised absence
 - poor timekeeping
 - misuse of the Council's resources and facilities including telephone, email and internet
 - inappropriate behaviour
 - refusal to follow reasonable instructions
 - breach of health and safety rules

Examples of gross misconduct

- 5 Gross misconduct is misconduct that is so serious that it is likely to lead to dismissal without notice. The following list contains some examples of gross misconduct: The list is not exhaustive.
- bullying, discrimination and harassment
 - incapacity at work because of alcohol or drugs
 - violent behaviour
 - fraud or theft

- gross negligence
- gross insubordination
- serious breaches of Council policies and procedures e.g. the Health and Safety Policy, Equality and Diversity Policy, Data Protection Policy and any policies regarding the use of information technology
- serious and deliberate damage to property
- use of the internet or email to access pornographic, obscene or offensive material
- disclosure of confidential information

Suspension

- 6 If allegations of gross misconduct or serious misconduct are made, the Council may suspend the member of staff while further investigations are carried out. Suspension will be on full pay. Suspension does not imply any determination of guilt or innocence, as it is merely a measure to enable further investigation.
- 7 While on suspension, the member of staff is required to be available during normal hours of work in the event that the Council needs to make contact. The member of staff must not contact or attempt to contact or influence anyone connected with the investigation in any way or to discuss this matter with any other member of staff or Councillor.
- 8 The member of staff must not attend work. The Council will make arrangements for the member of staff to access any information or documents required to respond to any allegations.

Examples of unsatisfactory work performance

- 9 The following list contains some examples of unsatisfactory work performance: The list is not exhaustive.
 - inadequate application of management instructions/office procedures
 - inadequate IT skills
 - unsatisfactory management of staff
 - unsatisfactory communication skills

The Procedure

- 10 Preliminary enquiries - the Council may make preliminary enquiries to establish the basic facts of what has happened in order to understand whether there may be a case to answer under the disciplinary procedure.

If the member of staff's manager, typically the Clerk, believes there may be a disciplinary case to answer, the Council may initiate a more detailed investigation undertaken to establish the facts of a situation or to establish the perspective of others who may have witnessed misconduct.

If the preliminary enquiries relate to the Clerk, the Personnel Committee will act as the member of staff's manager. Where the Personnel Committee believes there may be a disciplinary case to answer, the Council may initiate a more detailed investigation undertaken to establish the facts of a situation or to establish the perspective of others who may have witnessed misconduct.

- 11 Informal Procedures - where minor concerns about conduct become apparent, it is the manager's responsibility to raise this with the member of staff and clarify the improvements required. A file note will be made and kept by the manager. The informal discussions are not part of the formal disciplinary procedure. If the conduct fails to improve, or if further matters of conduct become apparent, the manager may decide to formalise the discussions and invite the member of staff to a first stage disciplinary hearing.

Disciplinary investigation

- 12 A formal disciplinary investigation may sometimes be required to establish the facts and whether there is a disciplinary case to answer.
- 13 If a formal disciplinary investigation is required, the Council's Personnel Committee will appoint an Investigator who will be responsible for undertaking a fact-finding exercise to collect all relevant information. The Investigator will be independent and will normally be a Councillor. If the Personnel Committee considers that there are no Councillors who are independent (for example, because they all have direct involvement in the allegations about the employee), it will appoint someone from outside the Council. The Investigator will be appointed as soon as possible after the allegations have been made. The Personnel Committee will inform the Investigator of the terms of reference of the investigation. The terms of reference should specify:

- the allegations or events that the investigation is required to examine
 - whether a recommendation is required
 - how the findings should be presented. For example, an investigator will often be required to present the findings in the form of a written report
 - who the findings should be reported to and who to contact for further direction if unexpected issues arise or advice is needed.
- 14 The Investigator will be asked to submit their findings within 20 working days of appointment where possible. In cases of alleged unsatisfactory performance or of allegations of minor misconduct, the appointment of an Investigator may not be necessary and the Council may decide to commence disciplinary proceedings at the next stage - the disciplinary meeting (see paragraph 22).
- 15 The Personnel Committee will notify the member of staff in writing of the alleged misconduct and details of the person undertaking the investigation. The member of staff may be asked to meet an Investigator as part of the disciplinary investigation. The member of staff will be given sufficient notice of the meeting with the Investigator so that they have reasonable time to prepare for it. The letter will explain the investigatory process and that the meeting is part of that process. The member of staff will be provided with a copy of the Council's disciplinary procedure. The Council will also inform the member of staff that when they meet with the Investigator, they will have the opportunity to comment on the allegations of misconduct.
- 16 The member of staff may be accompanied or represented by a workplace colleague, a trade union representative or a trade union official at any investigatory meeting.
- 17 If there are other persons (e.g. members of staff, Councillors, members of the public or the Council's contractors) who can provide relevant information, the Investigator should try to obtain this information from them in advance of the meeting with the member of staff who is the subject of the investigation.
- 18 The Investigator has no authority to take disciplinary action. Their role is to establish the facts of the case as quickly as possible and prepare a report that recommends to the Personnel Committee whether or not disciplinary action should be considered under the policy.
- 19 The Investigator's report will contain their recommendations and the findings on which they were based. They will recommend either:

- the member of staff has no case to answer and there should no further action under the Council's disciplinary procedure
 - the matter is not serious enough to justify further use of the disciplinary procedure and can be dealt with informally
 - the member of staff has a case to answer and a formal hearing should be convened under the Council's disciplinary procedure.
- 20 The Investigator will submit the report to the Personnel Committee which will decide whether further action will be taken.
- 21 If the Council decides that it will not take disciplinary action, it may consider whether mediation would be appropriate in the circumstances.

The disciplinary meeting

- 22 If the Personnel Committee decides that there is a case to answer, it will appoint a Personnel sub-committee of three Councillors, to formally hear the allegations. The Personnel sub-committee will appoint a Chairman from one of its members. The Investigator nor any member of the Personnel Committee shall sit on the Personnel sub-committee.

If a Personnel sub-committee cannot be appointed then the Council may seek and secure external independent professionally qualified assistance to act in the Personnel sub-committee's place.

- 23 No Councillor with direct involvement in the matter shall be appointed to the Personnel sub-committee. The member of staff will be invited, in writing, to attend a disciplinary meeting. The sub-committee's letter will confirm the following:
- the names of its Chairman and other two members
 - details of the alleged misconduct, its possible consequences and the member of staff's statutory right to be accompanied at the meeting
 - a copy of the information provided to the Personnel sub-committee which may include the investigation report, supporting evidence and a copy of the Council's disciplinary procedure
 - the time and place for the meeting. The member of staff will be given reasonable notice of the hearing so that they have sufficient time to prepare for it

- that witnesses may attend on the member of staff's and the Council's behalf and that both parties should inform each other of their witnesses' names at least two working days before the meeting
- that the member of staff may be accompanied by a companion - a workplace colleague, a trade union representative or a trade union official

The purpose of the disciplinary meeting hearing is for the allegations to be put to the member of staff and then for the member of staff to give their perspective. It will be conducted as follows:

- the Chairman will introduce the members of the Personnel sub-committee to the member of staff and explain the arrangements for the hearing
 - the Chairman will set out the allegations and invite the Investigator to present the findings of the investigation report (if there has been a previous investigation)
 - the Chairman will invite the member of staff to present their account
 - the member of staff (or the companion) will set out their case and present evidence (including any witnesses and/or witness statements)
 - any member of the Personnel sub-committee and the member of staff (or the companion) may question the Investigator and any witness
 - the member of staff (or companion) will have the opportunity to sum up
- 24 The Chairman will provide the member of staff with the Personnel sub-committee's decision with reasons, in writing, within five working days of the meeting. The Chairman will also notify the member of staff of the right to appeal the decision.
- 25 The disciplinary meeting may be adjourned to allow matters that were raised during the meeting to be further investigated by the Investigator.

No Disciplinary action

- 26 If the Personnel sub-committee decides to take no disciplinary action, no record of the matter will be retained on the member of staff's personnel file.

Disciplinary action

- 27 If the Personnel sub-committee decides that there should be disciplinary action, it may be any of the following:

First written warning

If the member of staff's conduct has fallen beneath acceptable standards, a first written warning will be issued. A first written warning will set out:

- the reason for the written warning, the improvement required (if appropriate) and the time period for improvement
- that further misconduct/failure to improve will result in more serious disciplinary action
- the member of staff's right of appeal
- that a note confirming the written warning will be placed on the member of staff's personnel file, that a copy will be provided to the member of staff and that the warning will remain in force for a specified period of time (e.g. 12 months).

Final written warning

If the offence is sufficiently serious, or if there is further misconduct or a failure to improve sufficiently during the currency of a prior warning, the member of staff will be given a final written warning. A final written warning will set out:

- the reason for the final written warning, the improvement required (if appropriate) and the time period for improvement
- that further misconduct/failure to improve will result in more serious disciplinary action up to and including dismissal
- the member of staff's right of appeal
- that a note confirming the final written warning will be placed on the member of staff's personnel file, that a copy will be provided to the member of staff and that the warning will remain in force for a specified period of time (e.g. 12 months).

Dismissal

The Council may dismiss:

- for gross misconduct
- if there is no improvement within the specified time period, in the conduct which has been the subject of a final written warning
- if another instance of misconduct has occurred and a final written warning has already been issued and remains in force.

28 The Council will consider very carefully a decision to dismiss. If a member of staff is dismissed, they will receive a written statement of the reasons for their dismissal, the date on which the employment will end and details of their right of appeal. Action taken as a result of the disciplinary meeting will remain in force unless it is modified as a result of an appeal.

The appeal

29 A member of staff who is the subject of disciplinary action will be notified of the right of appeal. Their written notice of appeal must be received by the Council within five working days of the member of staff receiving written notice from the Personnel sub- committee or the Council of the disciplinary action, and must specify the grounds for appeal.

30 The grounds for appeal include;

- a failure by the Council to follow its disciplinary policy
- the Personnel sub-committee's disciplinary decision was not supported by the evidence
- the disciplinary action was too severe in the circumstances of the case
- new evidence has come to light since the disciplinary meeting.

31 Council will have exhausted its own Councillor resource by the time of any appeal. Therefore, it may seek and secure external independent professionally qualified assistance to act as the appeal panel. The appeal panel will appoint a Chairman from one of its members.

32 The member of staff will be notified, in writing, within 10 working days of receipt of the notice of appeal of the time, date and place of the appeal meeting. The member of staff will be advised that he/she may be accompanied by a companion - a workplace colleague, a trade union representative or a trade union official.

33 At the appeal meeting, the Chairman will:

- introduce the panel members to the member of staff
- explain the purpose of the meeting, which is to hear the member of staff's reasons for appealing against the disciplinary decision
- explain the action that the appeal panel may take.

- 34 The member of staff (or companion) will be asked to explain the grounds for appeal.
- 35 The Chairman will inform the member of staff that they will receive the decision and the panel's reasons, in writing, usually within five working days of the appeal hearing.
- 36 The appeal panel may decide to uphold the disciplinary decision of the Personnel Committee or the Council, substitute a less serious sanction or decide that no disciplinary action is necessary. If it decides to take no disciplinary action, no record of the matter will be retained on the member of staff's personnel file.
- 37 If an appeal against dismissal is upheld, the member of staff will be paid in full for the period from the date of dismissal and continuity of service will be preserved.
- 38 The appeal panel's decision is final.

Recommended by the Personnel Committee: 08 March 2023

Adopted by Council: 22 March 2023

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