

Disciplinary Policy - Key Facts

Please note reference to the full Policy should be made for any cases raised under this procedure

Raising Concerns about Conduct

Potential disciplinary offences should initially be raised by, or reported to the manager of the employee concerned.

Initial Fact-Finding

Managers should, where appropriate, carry out an initial fact-finding investigation to ensure that there is substance to the allegation being made. This could take the form of an informal conversation with the person making the allegation, with the employee against whom the allegation is made, or with potential witnesses.

Managing the Issue Informally

Managers should decide whether the misconduct could be dealt with informally. This will usually be where it is a minor issue of misconduct, and there have been no other recent similar issues with the employee concerned.

Managing the Issue Formally

Where a manager believes the issue should be dealt with formally, they should talk to their HR adviser to agree how the matter should be handled. If it is agreed to deal with the matter formally, the following steps should be followed:

1. The Manager and HR adviser will agree who will investigate the case
2. The employee will be formally told, in writing, that disciplinary proceedings are being initiated
3. Any investigation will be carried out as quickly as possible
4. A decision will be made as to whether there is a case to answer following the investigation
5. If it is decided that there is a case to answer, the employee will be invited to a Disciplinary Hearing
6. The Disciplinary Panel will decide on the outcome of the case following the hearing
7. The employee will be informed of the outcome as soon as possible, usually on the same day as the hearing
8. The employee will have a right to appeal if there is any formal action taken as a result of the case

Formal Action

For disciplinary matters, formal action can include:

- A first written warning which would remain live for 12 months
- A final written warning which would remain live for 24 months
- Dismissal
- Another sanction, e.g. loss of formal office or demotion

Note that a panel may decide that no formal action is necessary, but that informal measures are put in place to resolve the issue.

Representation

Employees are entitled to be accompanied by a Trade Union representative or workplace colleague during all formal meetings which form part of the disciplinary process.