

DATED

DISCIPLINARY RULES AND PROCEDURE

AND

GRIEVANCE PROCEDURE

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DISCIPLINARY RULES AND PROCEDURE

1. **POLICY STATEMENT**

- 1.1 The aim of these Disciplinary Rules and its associated Disciplinary Procedure is to set out the standards of conduct expected of all staff and to provide a framework within which managers can work with employees to maintain satisfactory standards of conduct and to encourage improvement where necessary.
- 1.2 It is our policy to ensure that any disciplinary matter is dealt with fairly in accordance with the Disciplinary Procedure and that steps are taken to establish the facts and to give employees the opportunity to respond before taking any formal action.
- 1.3 If you are in any doubt as to your responsibilities or the standards of conduct expected you should speak to your line manager.
- 1.4 The Disciplinary Procedure and its associated Rules does not form part of any employee's contract of employment and may be amended at any time.
- 1.5 We may vary this procedure, including any time limits, as appropriate in any case.

2. **WHO IS COVERED BY THE PROCEDURE?**

The procedure applies to all employees regardless of length of service. It does not apply to agency workers or self-employed contractors.

3. **WHAT IS COVERED BY THE PROCEDURE?**

- 3.1 This procedure is used to deal with misconduct. It does not apply to cases involving genuine sickness absence, proposed redundancies or poor performance. In those cases reference should be made to the appropriate policy or procedure.
- 3.2 Minor conduct issues can often be resolved informally between you and your line manager. These discussions should be held in private and without undue delay whenever there is cause for concern. Where appropriate, a note of any such informal discussions may be placed on your personnel file but will be ignored for the purposes of any future capability hearings. In some cases an informal verbal warning may be given, which will not form part of your disciplinary records. Formal steps will be taken under this procedure if the

matter is not resolved, or if informal discussion is not appropriate (for example, because of the seriousness of the allegation).

- 3.3 You will not normally be dismissed for a first act of misconduct, unless we decide it amounts to gross misconduct or you have not yet completed your probationary period.
- 3.4 If you have difficulty at any stage of the procedure because of a disability, you should discuss the situation with your line manager as soon as possible.

4. CONFIDENTIALITY

- 4.1 Our aim is to deal with disciplinary matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with an investigation or disciplinary matter.
- 4.2 You, and anyone accompanying you (including witnesses), must not make electronic recordings of any meetings or hearings conducted under this procedure.
- 4.3 You will normally be told the names of any witnesses whose evidence is relevant to disciplinary proceedings against you, unless we believe that a witness's identity should remain confidential.

5. RULES OF CONDUCT

- 5.1 While working for us you should at all times maintain professional and responsible standards of conduct. In particular you should:
 - (a) observe the terms and conditions of your contract, particularly with regard to:
 - (i) hours of work;
 - (ii) confidentiality;
 - (b) ensure that you understand and follow our Code of Conduct;
 - (c) observe all our policies, procedures and regulations which are included in the Staff Handbook or notified to you from time to time by means of notice boards, e-mail, the intranet or otherwise;
 - (d) take reasonable care in respect of the health and safety of colleagues and third parties;
 - (e) comply with all reasonable instructions given by managers; and

- (f) act at all times in good faith and in the best interests of our business, customers and staff.

5.2 Failure to maintain satisfactory standards of conduct may result in action being taken under our Disciplinary Procedure.

6. MISCONDUCT

The following are examples of matters that will normally be regarded as misconduct and will be dealt with under our Disciplinary Procedure:

- (a) Minor breaches of our policies;
- (b) Minor breaches of your contract;
- (c) Damage to, or unauthorised use of, our property;
- (d) Poor timekeeping;
- (e) Time wasting;
- (f) Unauthorised absence from work;
- (g) Refusal to follow instructions;
- (h) Excessive use of our telephones for personal calls;
- (i) Excessive personal e-mail or internet usage;
- (j) Obscene language or other offensive behaviour;
- (k) Negligence in the performance of your duties; or
- (l) Smoking in no-smoking areas.

This list is intended as a guide and is not exhaustive.

7. GROSS MISCONDUCT

7.1 Gross misconduct is a serious breach of contract and includes misconduct which, in our opinion, is likely to prejudice our business or reputation or irreparably damage the working relationship and trust between us. Gross misconduct will be dealt with under our Disciplinary Procedure and will normally lead to dismissal without notice or pay in lieu of notice (summary dismissal).

7.2 The following are examples of matters that are normally regarded as gross misconduct:

- (a) Theft or fraud;
- (b) Actual or threatened violence, or behaviour which provokes violence;
- (c) Deliberate and serious damage to property;

- (d) Serious misuse of our property or name;
- (e) Deliberately accessing internet sites containing pornographic, offensive or obscene material;
- (f) Repeated or serious failure to obey instructions, or any other serious act of insubordination;
- (g) Unlawful discrimination or harassment;
- (h) Bringing the organisation into serious disrepute;
- (i) Being under the influence of alcohol, illegal drugs or other substances during working hours;
- (j) Causing loss, damage or injury through serious negligence;
- (k) Serious or repeated breach of health and safety rules or serious misuse of safety equipment;
- (l) Unauthorised use or disclosure of confidential information or failure to ensure that confidential information in your possession is kept secure;
- (m) Acceptance of bribes or other secret payments;
- (n) Conviction for a criminal offence that in our opinion may affect our reputation or our relationships with our staff, customers or the public, or otherwise affects your suitability to continue to work for us;
- (o) Possession, use, supply or attempted supply of illegal drugs;
- (p) Serious neglect of duties, or a serious or deliberate breach of your contract or operating procedures;
- (q) Harassment or discrimination against employees, contractors, clients or members of the public on the grounds of gender, sexual orientation, marital or civil partner status, gender reassignment, race, colour, nationality, ethnic or national origin, disability, religion or belief, or age.
- (r) Refusal to disclose any of the information required by your employment or any other information that may have a bearing on the performance of your duties;
- (s) Giving false information as to qualifications or entitlement to work (including immigration status);
- (t) Knowingly taking parental, paternity or adoption leave when not eligible to do so or for a purpose other than supporting a child;
- (u) Making a disclosure of false or misleading information under our Whistleblowing Policy maliciously, for personal gain, or otherwise in bad faith;
- (v) Making untrue allegations in bad faith against a colleague;

- (w) Victimising a colleague who has raised concerns, made a complaint or given evidence information under the Grievance Procedure, Disciplinary Procedure or otherwise;
- (x) Serious misuse of our information technology systems (including misuse of developed or licensed software, use of unauthorised software and misuse of e-mail and the internet);
- (y) Undertaking unauthorised paid or unpaid employment during your working hours;
- (z) Unauthorised entry into an area of the premises to which access is prohibited.

This list is intended as a guide and is not exhaustive.

8. INVESTIGATIONS

- 8.1 The purpose of an investigation is for us to establish a fair and balanced view of the facts relating to any disciplinary allegations against you, before deciding whether to proceed with a disciplinary hearing. The amount of investigation required will depend on the nature of the allegations and will vary from case to case. It may involve interviewing and taking statements from you and any witnesses, and/or reviewing relevant documents.
- 8.2 Investigative interviews are solely for the purpose of fact-finding and no decision on disciplinary action will be taken until after a disciplinary hearing has been held.
- 8.3 You do not normally have the right to bring a companion to an investigative interview. However, we may allow you to bring a companion if it helps you to overcome any disability, or any difficulty in understanding English.
- 8.4 You must co-operate fully and promptly in any investigation. This will include informing us of the names of any relevant witnesses, disclosing any relevant documents to us and attending investigative interviews if required.

9. CRIMINAL CHARGES

- 9.1 Where your conduct is the subject of a criminal investigation, charge or conviction we will investigate the facts before deciding whether to take formal disciplinary action.
- 9.2 We will not usually wait for the outcome of any prosecution before deciding what action, if any, to take. Where you are unable or have been advised not

to attend a disciplinary hearing or say anything about a pending criminal matter, we may have to take a decision based on the available evidence.

- 9.3 A criminal investigation, charge or conviction relating to conduct outside work may be treated as a disciplinary matter if we consider that it is relevant to your employment.

10. SUSPENSION

- 10.1 In some circumstances we may need to suspend you from work. The suspension will be for no longer than is necessary to investigate the allegations and we will confirm the arrangements to you in writing. While suspended you should not visit our premises or contact any of our clients, customers, suppliers, contractors or staff.

- 10.2 Suspension of this kind is not a disciplinary penalty and does not imply that any decision has already been made about the allegations. You will continue to receive your full basic salary and benefits during the period of suspension.

11. NOTIFICATION OF A HEARING

- 11.1 Following any investigation, if we consider there are grounds for disciplinary action, you will be required to attend a disciplinary hearing. We will inform you in writing of the allegations against you, the basis for those allegations, and what the likely range of consequences will be if we decide after the hearing that the allegations are true. We will also include the following where appropriate:

- (a) a summary of relevant information gathered during the investigation;
- (b) a copy of any relevant documents which will be used at the disciplinary hearing; and
- (c) a copy of any relevant witness statements, except where a witness's identity is to be kept confidential, in which case we will give you as much information as possible while maintaining confidentiality.

- 11.2 We will give you written notice of the date, time and place of the disciplinary hearing. The hearing will be held as soon as reasonably practicable, but you will be given a reasonable amount of time, usually two to seven days, to prepare your case based on the information we have given you.

12. THE RIGHT TO BE ACCOMPANIED

- 12.1 You may bring a companion to any disciplinary hearing or appeal hearing under this procedure. The companion may be either a trade union

representative or a colleague. You must tell your line manager who your chosen companion is, in good time before the hearing.

- 12.2 A companion is allowed reasonable time off from duties without loss of pay but no-one is obliged to act as a companion if they do not wish to do so.
- 12.3 If your choice of companion is unreasonable we may require you to choose someone else, for example:
- (a) if in our opinion your companion may have a conflict of interest or may prejudice the hearing; or
 - (b) if your companion is unavailable at the time a hearing is scheduled and will not be available for more than five working days.
- 12.4 We may, at our discretion, allow you to bring a companion who is not a colleague or union representative (for example, a member of your family) where this will help overcome a disability, or where you have difficulty understanding English.

13. PROCEDURE AT DISCIPLINARY HEARINGS

- 13.1 If you or your companion cannot attend the hearing you should inform us immediately and we will arrange an alternative time. You must make every effort to attend the hearing, and failure to attend without good reason may be treated as misconduct in itself. If you fail to attend without good reason, or are persistently unable to do so (for example for health reasons), we may have to take a decision based on the available evidence.
- 13.2 The hearing will be chaired by a manager. The Investigating Officer will also be present. You may bring a companion with you to the disciplinary hearing (see paragraph 12).
- 13.3 At the disciplinary hearing we will go through the allegations against you and the evidence that has been gathered. You will be able to respond and present any evidence of your own. Your companion may make representations to us and ask questions, but should not answer questions on your behalf. You may confer privately with your companion at any time during the hearing.
- 13.4 You may ask relevant witnesses to appear at the hearing, provided you give us sufficient advance notice to arrange their attendance. You will be given the opportunity to respond to any information given by a witness. However, you will not normally be permitted to cross-examine witnesses unless, in exceptional circumstances, we decide that a fair hearing could not be held otherwise.

13.5 We may adjourn the disciplinary hearing if we need to carry out any further investigations such as re-interviewing witnesses in the light of any new points you have raised at the hearing. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.

13.6 We will inform you in writing of our decision and our reasons for it, usually within one week of the disciplinary hearing. Where possible we will also explain this information to you in person.

14. DISCIPLINARY PENALTIES

14.1 The usual penalties for misconduct are set out below. No penalty should be imposed without a hearing. We aim to treat all employees fairly and consistently, and a penalty imposed on another employee for similar misconduct will usually be taken into account but should not be treated as a precedent. Each case will be assessed on its own merits.

14.2 **Stage 1 - First written warning.** A first written warning will usually be appropriate for a first act of misconduct where there are no other active written warnings on your disciplinary record.

14.3 **Stage 2 - Final written warning.** A final written warning will usually be appropriate for:

- (a) misconduct where there is already an active written warning on your record; or
- (b) misconduct that we consider sufficiently serious to warrant a final written warning even though there are no other active warnings on your record.

14.4 **Stage 3 - Dismissal.** Dismissal will usually only be appropriate for:

- (a) any misconduct during your probationary period;
- (b) further misconduct where there is an active final written warning on your record; or
- (c) any gross misconduct regardless of whether there are active warnings on your record. Gross misconduct will usually result in immediate dismissal without notice or payment in lieu of notice (summary dismissal). Examples of gross misconduct are set out in paragraph 7.

14.5 **Alternatives to dismissal.** In some cases we may at our discretion consider alternatives to dismissal. These will usually be accompanied by a final written warning. Examples include:

- (a) Demotion.
- (b) Transfer to another department or job.
- (c) A period of suspension without pay.
- (d) Loss of seniority.
- (e) Reduction in pay.
- (f) Loss of future pay increment or bonus.
- (g) Loss of overtime.

15. THE EFFECT OF A WARNING

- 15.1 Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain active, and the likely consequences of further misconduct in that active period.
- 15.2 A first written warning will usually remain active for six months and a final written warning will usually remain active for 12 months. In exceptional cases verging on gross misconduct, a final written warning may state that it will remain active indefinitely. Your conduct may be reviewed at the end of a warning's active period and if it has not improved sufficiently we may decide to extend the active period.
- 15.3 After the active period, the warning will remain permanently on your personnel file but will be disregarded in deciding the outcome of future disciplinary proceedings.

16. APPEALS AGAINST DISCIPLINARY ACTION

- 16.1 If you feel that disciplinary action taken against you is wrong or unjust you should appeal in writing, stating your full grounds of appeal, within one week of the date on which you were informed of the decision.
- 16.2 If you are appealing against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if your appeal is successful you will be reinstated with no loss of continuity or pay.
- 16.3 If you raise any new matters in your appeal, we may need to carry out further investigation. If any new information comes to light we will provide you with a summary including, where appropriate, copies of additional relevant documents and witness statements. You will have a reasonable opportunity to consider this information before the hearing.

- 16.4 We will give you written notice of the date, time and place of the appeal hearing. This will normally be two to seven days after you receive the written notice.
- 16.5 The appeal hearing may be a complete re-hearing of the matter or it may be a review of the fairness of the original decision in the light of the procedure that was followed and any new information that may have come to light. This will be at our discretion depending on the circumstances of your case. In any event the appeal will be dealt with as impartially as possible.
- 16.6 Where possible, the appeal hearing will be conducted impartially by a more senior manager who has not been previously involved in the case. The Investigating Officer and the manager who conducted the disciplinary hearing will also usually be present. You may bring a companion with you to the appeal hearing (see paragraph 12).
- 16.7 We may adjourn the appeal hearing if we need to carry out any further investigations in the light of any new points you have raised at the hearing. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.
- 16.8 Following the appeal hearing we may:
- (a) confirm the original decision;
 - (b) revoke the original decision; or
 - (c) substitute a different penalty.
- 16.9 We will inform you in writing of our final decision as soon as possible, usually within one week of the appeal hearing. Where possible we will also explain this to you in person. There will be no further right of appeal.

GRIEVANCE PROCEDURE

1. POLICY STATEMENT

- 1.1 It is our policy to ensure that all employees have access to a procedure to help deal with any grievances relating to their employment fairly and without unreasonable delay. We aim to investigate any formal grievance you raise, hold a meeting to discuss it with you, inform you in writing of the outcome, and give you a right of appeal if you are not satisfied.

1.2 Issues that may cause grievances include:

- (a) terms and conditions of employment;
- (b) health and safety;
- (c) work relations;
- (d) bullying and harassment;
- (e) new working practices;
- (f) working environment;
- (g) organisational change; and
- (h) discrimination.

1.3 This procedure does not form part of any employee's contract of employment. It may be amended at any time and we may depart from it depending on the circumstances of any case.

2. WHO IS COVERED BY THE PROCEDURE?

This procedure applies to all employees regardless of length of service.

3. USING THIS PROCEDURE

3.1 If you have difficulty at any stage of the Grievance Procedure because of a disability or because English is not your first language, you should discuss the situation with your line manager as soon as possible.

3.2 This Grievance Procedure should not be used to complain about dismissal or disciplinary action. If you are dissatisfied with any disciplinary action, you should submit an appeal under the appropriate procedure which is available from your line manager.

3.3 We have a separate Anti-harassment and Bullying Policy that may be useful if you have been the victim of bullying or harassment or wish to report an incident of bullying or harassment involving other people. It is available from your line manager.

3.4 Written grievances will be placed on your personnel file along with a record of any decisions taken and any notes or other documents compiled during the grievance process.

4. RAISING GRIEVANCES INFORMALLY

Most grievances can be resolved quickly and informally through discussion with your line manager. If you feel unable to speak to your manager, for example, because the complaint concerns him or her, then you should speak informally to a more senior manager. If this does not resolve the issue, you should follow the formal procedure below.

5. FORMAL WRITTEN GRIEVANCES

- 5.1 If your grievance cannot be resolved informally you should put it in writing and submit it to your line manager, indicating that it is a formal grievance. If the grievance concerns him or her, you may submit it instead to a more senior manager.
- 5.2 The written grievance should contain a brief description of the nature of your complaint, including any relevant facts, dates, and names of individuals involved. In some situations we may need to ask you to provide further information.

6. INVESTIGATIONS

- 6.1 In some cases it may be necessary for us to carry out an investigation into your grievance. The amount of any investigation required will depend on the nature of the allegations and will vary from case to case. It may involve interviewing and taking statements from you and any witnesses, and/or reviewing relevant documents. The investigation may be carried out by your line manager or someone else appointed by us.
- 6.2 You must co-operate fully and promptly in any investigation. This may include informing us of the names of any relevant witnesses, disclosing any relevant documents to us and attending interviews, as part of our investigation.
- 6.3 We may initiate an investigation before holding a grievance meeting where we consider this appropriate. In other cases we may hold a grievance meeting before deciding what investigation (if any) to carry out. In those cases we will hold a further grievance meeting with you after our investigation and before we reach a decision.

7. RIGHT TO BE ACCOMPANIED

- 7.1 You may bring a companion to any grievance meeting or appeal meeting under this procedure. The companion may be either a trade union

representative or a colleague. You must tell the person holding the grievance meeting who your chosen companion is, in good time before the meeting.

- 7.2 At the meeting, your companion may make representations to us and ask questions, but should not answer questions on your behalf. You may confer privately with your companion at any time during the meeting.
- 7.3 Acting as a companion is voluntary and your colleagues are under no obligation to do so. If they agree to do so they will be allowed reasonable time off from duties without loss of pay to act as a companion.
- 7.4 If your choice of companion is unreasonable we may ask you to choose someone else, for example:
- (a) if in our opinion your companion may have a conflict of interest or may prejudice the meeting; or
 - (b) if your companion is unavailable at the time a meeting is scheduled and will not be available for more than five working days afterwards.

8. GRIEVANCE MEETINGS

- 8.1 We will arrange a grievance meeting, normally within one week of receiving your written grievance.
- 8.2 You and your companion (if any) should make every effort to attend grievance meetings. If you or your companion cannot attend at the time specified, you should inform us immediately and we will try, within reason, to agree an alternative time.
- 8.3 The purpose of a grievance meeting is to enable you to explain your grievance and how you think it should be resolved, and to assist us to reach a decision based on the available evidence and the representations you have made.
- 8.4 After an initial grievance meeting we may carry out further investigations and hold further grievance meetings as we consider appropriate. Such meetings will be arranged without unreasonable delay.
- 8.5 Your companion at a grievance meeting may make representations to us and ask questions, but should not answer questions on your behalf. You may confer privately with your companion at any time during the meeting.

- 8.6 We will write to you, usually within one week of the final grievance meeting, to inform you of the outcome of your grievance and any further action that we intend to take to resolve the grievance. We will also remind you of your right of appeal. Where appropriate we may hold a meeting to give you this information in person.

9. APPEALS

- 9.1 If the grievance has not been resolved to your satisfaction you may appeal in writing, stating your full grounds of appeal, within one week of the date on which the decision was sent or given to you.
- 9.2 We will hold an appeal meeting, normally within one week of receiving your written appeal. This will be dealt with impartially by a more senior manager who has not previously been involved in the case (although they may ask anyone previously involved to be present). You have a right to bring a companion to the meeting (see paragraph 7).
- 9.3 We will confirm our final decision in writing, usually within one week of the appeal hearing. This is the end of the procedure and there is no further appeal.