



# **DISCIPLINARY POLICY AND PROCEDURE**

**Adopted Ordinary Meeting – 13<sup>th</sup> March 2024 version 2**

**(Reviewed AM 07.05.25)**

# Disciplinary Policy and Procedure

## 1. PURPOSE AND SCOPE

1.1 This procedure is designed to help and encourage all Rogiet Community Council employees to achieve and maintain high standards of conduct whilst at work or when representing the council. The aim is to ensure consistent and fair treatment for all. This procedure is prepared in accordance with the dismissal and dispute resolution procedures as set out in the Employment Act 2008 and the ACAS Code of Practice APR 2009

## 2. PRINCIPLES

- a) No disciplinary action will be taken against an employee until the case has been fully investigated
- b) At every stage in the procedure the employee will be advised of the nature of the complaint against them and will be given the opportunity to state their case before any decision is made.
- c) At all formal stages the employee will have the right to be accompanied by a trade union representative or work colleague during the disciplinary interview.
- d) No employee will be dismissed for a first breach of discipline, except in the case of gross misconduct when the penalty of dismissal without notice or payment in lieu of notice may be applied.
- e) An employee will have the right to appeal against any disciplinary penalty imposed.
- f) The procedure may be implemented at any stage if the employees alleged misconduct warrants such action.

## 3. THE PROCEDURE FOR MISCONDUCT and GROSS MISCONDUCT

3.1 The following list provides examples of misconduct that will normally give rise to formal disciplinary action:

- Unauthorised absence from work
- Persistent short-term and/or frequent absences from work without a medical reason

- Lateness for work, or poor time keeping
- Inappropriate standard of dress
- Minor breaches of Health and Safety, or other regulations/policies
- Failure to perform a job to the standard expected or in line with the job description/objectives
- Time wasting
- Disruptive behaviour
- Misuse of the councils facilities (e.g. telephones, computers, email or the internet)
- Refusal to carry out reasonable requests or instructions
- Smoking in unauthorised areas
- Failure to follow an agreed council procedure

This list is not exhaustive and offences of a similar nature will result in disciplinary action being instigated

**3.2** The following list provides examples of offences which are normally regarded as gross misconduct:

- Theft, fraud, deliberate falsification of records, or other acts of dishonesty
- Fighting, assault on another person
- Deliberate damage to property of the council, its workers or members
- Gross incompetence in the conduct of work
- Gross negligence which results in the council or employees being put at risk.
- Being under the influence of illegal drugs or alcohol
- Acts of incitement towards or actual acts of discrimination, harassment or victimisation including on the grounds of sex,

race, colour, ethnic origin, disability, sexual orientation, age, religion, belief or political affiliation.

- Serious acts of insubordination
- Serious breach of duty to keep information of the council, its service providers and its clients confidential
- Unauthorised entry to computer records
- Serious breach of the councils, Health & Safety Policy
- Any action, whether committed on or off the premises, that is likely to or does bring the council into disrepute
- Serious negligence which causes or might causes significant loss, damage or injury
- Accepting bribes or incentive payments from suppliers
- Unauthorised use of Community Council funds or credit
- Working with an external agency to provide information which would be detrimental to and cause commercial risk to the council.

This list is not exhaustive and other offences of a similar gravity will result in disciplinary action being instigated at Gross Misconduct level, which carries a potential penalty of dismissal. Gross Misconduct is generally any conduct which places extreme pressure on the mutual trust which exists in an employment relationship.

#### **4. INFORMAL ACTION**

Minor misconduct will be dealt with informally usually in a confidential one-to-one meeting between the employee and Clerk. In the case of the Clerk being the individual against whom there is a complaint or allegation the matter should be handled discreetly by the Chairman and involve an informal meeting initially. However, where the matter is more serious or informal action has not brought about the necessary improvement the following procedure will be used:

#### **5. FORMAL ACTION**

5.1 The level of warning you may receive for misconduct/gross misconduct will depend on how serious the council considers the alleged actions to be and your previous conduct in all the circumstances. In the event of alleged gross misconduct the formal process may commence at Stage 4 see 4 below.

## **Disciplinary Letters**

5.2 If there is a concern about an employee's conduct or behaviour then a letter will be given to the employee advising them of the allegation(s) and reasons why this is unacceptable. The letter should invite the employee to attend a meeting at which the alleged misconduct will be discussed and will inform the employee of their right to be accompanied to the meeting. The letter will specify at which stage the disciplinary procedure is being invoked and if invoked at Stage 4 for Gross Misconduct the letter will warn that a potential outcome could be dismissal. The time, date and venue of the meeting will also be advised giving at least five working days' notice. Any documents to be discussed at the meeting will be provided.

## **Disciplinary Meetings**

5.3 The time and location of a disciplinary meeting should be agreed with the employee and it should be held in a private location with no interruptions. This will normally be without undue delay but allowing the employee to prepare their case. The Disciplinary Panel will comprise five councillors agreed at the May meeting.

5.4 At the meeting of the Disciplinary Panel, Clerk (or in the case of the Clerk being disciplined, the Chairman) will state the complaint against the employee and go through the evidence which has been gathered. The Panel will have the power to suspend an employee in the case of GROSS MISCONDUCT pending further investigation (see stage 5). The employee or their representative will also be allowed to ask questions, present evidence and call witnesses if advance notice has been given that they will do so.

5.5 If the employee is unable to attend the meeting due to unforeseeable reasons out of their control (e.g. illness) then the council will reasonably, rearrange the meeting. However, if the employee fails to attend the meeting without good reason the meeting can be held in the employees absence.

## **6. OUTCOMES AND PENALTIES**

### **Stage 1 – Oral Warning**

6.1 In the instance of a first complaint that conduct does not meet acceptable standards, the employee will normally be given a formal ORAL WARNING. They will be advised of;

- the reason for the warning,
- that it is the first stage of the disciplinary procedure,
- the improvement that is required and the timescales for achieving this improvement,
- together with a review date and any support available (where applicable) and their right of appeal.

A brief note of the oral warning will be kept, but it will be spent after 6 months, subject to satisfactory conduct.

### **Stage 2 – Written Warning**

6.2 If the offence is a serious one, or if further to previous formal disciplinary action, a WRITTEN WARNING will be given to the employee by the Clerk or, in the case of the Clerk being subject to the warning, the Chairman. This will give details of the complaint, the improvement required and the timescale. It will warn that action under Stage 3 will be considered if there is no satisfactory improvement and will advise of the right of appeal. A copy of this written warning will be kept on file, but it will be disregarded for disciplinary purposes after 12 months subject to satisfactory conduct.

### **Stage 3 Final Written Warning**

6.3 If there is still a failure to improve and conduct or performance is still unsatisfactory, or the misconduct is sufficiently serious, a FINAL WRITTEN WARNING will normally be given to the employee. This will give details of the complaint, will warn that dismissal will result if there is no satisfactory improvement and will advise of the right of appeal. A copy of this final written warning will be kept by the Clerk (or in the case of the Clerk being disciplined by the Chairman but it will be spent after 12 months (in exceptional cases the period may be longer) subject to satisfactory conduct.

## **Stage 4 Dismissal or other sanctions**

6.4 If conduct is still unsatisfactory and the employee still fails to reach the prescribed standards, or where the Council reasonably believes Gross Misconduct has occurred, DISMISSAL may result. Only the Council can take the decision to dismiss an employee. The employee will be given a written statement of allegations against them, invited to a meeting and then be notified in writing of the reasons for the decision taken at the hearing.

6.5 Penalties at this stage may include dismissal with notice or summary dismissal (i.e. without any notice), Final Written Warning with/without demotion, loss of pay or loss of seniority. If dismissal is the outcome, the employee will be advised of the date on which employment will terminate. In all cases, the employee has a right of appeal.

## **7. SUSPENSION**

7.0 If an employee is accused of an act of GROSS MISCONDUCT, they may be suspended from work on full pay while the council investigates the alleged offence. Only the appropriately convened committee has the power to suspend. This enables a swift and thorough investigation to occur, which will be concluded with 21 working days. Whilst suspended pending disciplinary investigation regular contact with a nominated person at the council will be maintained although access to premises, equipment or systems may be denied. The Investigator appointed by the Disciplinary Panel who compiles evidence for the disciplinary hearing must play no part in the subsequent decision-making to ensure impartiality.

## **8. APPEALS**

8.1 The Appeals stage of the disciplinary process is part of the Code of Practice to which an employee has a right. It can be exercised after any of the stages of disciplinary action for Misconduct/Poor Performance or Gross Misconduct.

8.2 An employee who wishes to appeal against a disciplinary decision should inform the Chairman of the Council within five working days, in writing and giving reasons for the appeal.

8.3 An Appeal may be raised if:

- The employee thinks the finding or penalty is unfair
- New evidence has come to light

- The employee thinks that the procedure was not applied properly

8.4 The Appeal will be heard by a separate panel of elected members who have not been involved in the original disciplinary hearing, who will view the evidence with impartiality. The employee will have the right to be accompanied by a colleague or accredited Trade Union official or lay member at the appeal hearing. The outcome of the appeal and reasons for it will be advised to the employee as soon as possible after the meeting and be confirmed in writing. At the Appeal hearing any disciplinary penalty imposed will be reviewed but it cannot be increased.

8.5 The decision taken at the Appeal hearing will be final.

## **9. THE RIGHT TO BE ACCOMPANIED**

9.1 At each formal stage of disciplinary interview an employee has the right to be accompanied and can make a reasonable request for such a person to accompany them. An employee can ask any other employee, a trade union representative, or an appropriately accredited official employed by a trade union to accompany them, to give support and help them prepare for the disciplinary interview. The companion can address the hearing, put and sum up the employee's case, respond on behalf of the worker to any views expressed at the meeting, confer with the employee. The companion cannot however answer questions on the employee's behalf or address the hearing if the employee does not wish them to or prevent the employee explaining their case.

## **10. DISCIPLINARY PANEL**

The Disciplinary Panel will be formed from the Human Resources Committee. The Appeal Panel will be formed from Councillors not part of the Disciplinary Panel.

## **11. NOTE-TAKING**

A note-taker will be provided to every meeting/hearing that arises as a result of a disciplinary process a copy of those notes will be made available to the employee.

## **12. GRIEVANCES RAISED DURING DISCIPLINARIES**

In some circumstances when a disciplinary process has commenced an employee chooses to exercise his/her right to raise an internal grievance about



the employment relationship with the council or individual Members. In line with ACAS advice, the disciplinary matters will be placed on hold until grievances have been aired and actions towards a resolution have been progressed.

### **13. CRIMINAL CHARGES OR CONVICTIONS**

If an employee is charged with or convicted of a criminal offence this will not automatically give rise to a disciplinary situation. Consideration needs to be given to how a charge or conviction may affect an employees ability to undertake his or her job duties and their relationships with the employer, colleagues, subordinates or customers.

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