

<b>UKTD Disciplinary Procedure</b>		
<b>Issued By:</b> Janice Dutton on behalf of UKTD	<b>Issue No:</b> 3	<b>Date of Issue:</b> June 2017
<b>Approved by:</b> Theresa Wisniewski Managing Director	Signature 	<b>Date of next Review:</b> June 2018

## PROCEDURE FOR DEALING WITH DISCIPLINARY ISSUES

### 1. PURPOSE

- 1.1 It is the policy of UKTD to promote positive and constructive working relations amongst its staff. This procedure exists to help and encourage employees to achieve and maintain expected standards of conduct and to provide a fair and effective method of dealing with alleged breaches of these standards. Examples of breaches of these standards are given in Appendix 1.
- 1.2 It is the Manager's responsibility to ensure this procedure and any service specific standards of conduct are understood and effectively, fairly and consistently applied.
- 1.3 The procedure for dealing with disciplinary issues applies to all employees unless otherwise stated. This includes permanent, temporary and probationary employees.
- 1.4 Each step and action of the procedure must be taken without unreasonable delay. Disciplinary action may only be taken after an investigation, conducted in accordance with the procedure outlined below. The procedure conforms to ACAS guidelines and employment law.
- 1.5 To assist managers through this procedure there is a Disciplinary Flow Chart attached.

### 2. PROCEDURE

#### INFORMAL STAGE - dealing with alleged misconduct

- 2.1 Depending on the degree and type of the alleged misconduct, it may be appropriate for it to be dealt with informally by the manager. The employee has no statutory right to be accompanied at such a meeting.
- 2.2 If it becomes clear during such a meeting that formal action may be necessary, the meeting must be terminated and a formal investigation undertaken. From this point the employee has the right to be accompanied by a work colleague or trade union representative.
- 2.3 The manager must take notes at an informal meeting. It must be made clear to the employee what aspect of their conduct they need to change, what standards are required of them and what will happen if they fail to meet the standard required.
- 2.4 When the manager is satisfied that the employee's conduct is acceptable, the notes in the personal file should state 'expired'.

### **3.0 FORMAL STAGE - dealing with alleged misconduct and gross misconduct.**

- 3.1 For allegations related to the inappropriate accessing/viewing/storing of images or data, see Appendix 2.
- 3.2 Once an alleged act of misconduct has come to the manager's attention he/she will ascertain who is to act as Adjudicator. In cases of gross misconduct (or where previous warnings may lead to dismissal if the allegation is proven), the adjudicator will be at least a senior manager.
- 3.3 The Adjudicator will:
- appoint a person to investigate the allegation ("the Investigator").
  - reach a decision on whether the allegation appears to be misconduct or gross misconduct. This decision may be postponed at the Adjudicator's discretion while further enquiries are made as speedily as possible.
- 3.4 **If the allegation appears to be a matter of gross misconduct the Adjudicator will:**
- consider whether the matter may need to be referred to the police either before or after an investigation. This applies particularly to allegations such as corruption, systematic or large scale theft and manipulations of records for an individual's personal gain. The employee will be notified of these allegations as soon as possible. If it is to be reported to the police the Disciplinary Procedure may be suspended.
  - decide whether to postpone a decision to suspend an employee until the investigator has interviewed the employee/and or others.
  - consider suspension in all cases where gross misconduct is alleged, or where on reasonable grounds, management considers it would be prejudicial to the proper conduct of the investigation for the employee to remain at work and/or it is not in the best interest of the company for the employee to continue working. Suspension may be paid or unpaid depending on the circumstances.
  - arrange for the allegations to be investigated immediately.
  - meet and inform the employee of the general nature of the allegation and give the opportunity to respond. Inform the employee of the identity of the investigator if known. The employee may be accompanied by a work colleague or union representative. However, the meeting may not be unreasonably delayed to allow the employee to be accompanied.
  - confirm the meeting in writing including the general nature of the suspension if applicable and enclose the Disciplinary Procedure.
  - consider redeployment as an alternative to suspension.

### 3.5 **Criminal charges or convictions outside employment**

A criminal charge or conviction outside of employment is not necessarily grounds for action under this Procedure. Where a manager becomes aware of a charge or conviction they must contact Human Resources (HR) before taking any action.

#### **If the allegation appears to be one of misconduct the Adjudicator will:**

- 3.6 Meet and inform the employee of the general nature of the allegation and give the opportunity to respond. Inform the employee of the identity of the investigator if known. The employee may be accompanied by a work colleague or trade union representative. However, the meeting may not be unreasonably delayed to allow the employee to be accompanied.
- 3.7 At the meeting the employee can accept that the allegation(s) are true/accurate and agree that the case should not proceed to a full investigation and/or formal Disciplinary Hearing. The manager will explain what the sanction will be, and, if this is accepted by the employee, an outcome letter will be placed on their personal file, which will include timescales and no right of appeal.
- 3.8 If the employee refutes the allegation, the investigation will proceed. The manager should confirm the meeting in writing including the general nature of the allegation and enclose the Disciplinary Procedure. Should the employee or employee's recognised trade union representative have concerns on the choice of either the Adjudicator or the Investigator they must make their concerns known to HR at this stage.

## **4.0 INVESTIGATIONS**

### 4.1 The Investigator is impartial and will:

- investigate the allegation sufficiently to reach a balanced view.
- interview the employee.
- ensure that the employee is informed of his/her right to be accompanied by a trade union representative or a work colleague. (The employee may not be accompanied by a colleague whose presence would prejudice the investigation. The final decision on this matter rests with the Adjudicator).
- interview others as may be necessary.
- take notes of the interviews. Wherever possible the notes should be signed and dated by the interviewees as an accurate record.
- once the investigation has been carried out, report and recommend to the Adjudicator whether the allegation should proceed to a Disciplinary Hearing.

### 4.2 The employee against whom the allegation has been made must take all reasonable steps to attend an investigative interview. If the employee fails to do so, the Adjudicator may add this action to the misconduct already being investigated. If the employee is suspended and fails to attend without good reason, his/her pay may be stopped until he/she attends a rescheduled interview.

- 4.3 Any potential witnesses must not be approached by anyone other than the Investigator. The employee or his/her representative will advise the Investigator of details of anyone he/she considers as a witness or who may be able to assist in the investigation. The investigator makes the final decision who is interviewed in order to conduct a full and fair investigation.

## **5.0 DECISION TO PROCEED TO A DISCIPLINARY HEARING**

The Adjudicator will consider the Investigator's recommendations and will come to one of the following conclusions:

- the allegation will not proceed to a Hearing;
  - the allegation will proceed to a Hearing;
  - the allegation will be referred back to the Investigator for further investigation;
  - the allegation will be referred to the police
  - informal action will be taken.
- 5.1 The Adjudicator will notify his/her decision in writing to the employee and if appropriate to the employee's trade union representative.

### **5.2 Notifying the decision to proceed to a Disciplinary Hearing**

The Adjudicator will notify the employee in writing of the Disciplinary Hearing giving at least 5 full working day's notice. The letter must be hand-delivered or sent recorded delivery. The notification will include the following details:

- date, time and location of Hearing;
  - details of the allegation including the date(s) of the incident and whether it constitutes potential misconduct or potential gross misconduct;
  - the names of those who may be called as witnesses;
  - the right to be accompanied or represented by a trade union representative or work colleague;
  - the opportunity by no later than 2 full working days prior to the Hearing to present written evidence, notify the Adjudicator of witnesses and request an alternative date, stating the reason for the request. The Adjudicator will make the decision whether or not to comply with a request to delay the Hearing and may decide to hear it in the employee's absence if it is not considered that a valid reason has been given. In cases where the employee is not present at the Hearing, it is essential that detailed notes are recorded and copies sent to the employee.
- 5.3 The letter must be accompanied by a copy of this Disciplinary Procedure, which sets out the procedure during the hearing and the right of appeal, copies of witness statements and supporting documentation.

## **6.0 DISCIPLINARY HEARING**

The Adjudicator is responsible for ensuring the Disciplinary Hearing allows the Investigator and the employee or their trade union representative to present their cases adequately. The Hearing must also provide the Adjudicator with sufficient information to reach a decision based on the balance of probabilities.

6.1 At all Disciplinary Hearings there will be:

- An Adjudicator
- HR support for the Adjudicator
- The Investigator(s)
- The Employee(s)
- The employee's trade union representative or work colleague (if requested by the employee)
- Witnesses as required.

## **7.0 PROCEDURE AT THE HEARING**

The Procedure during the Disciplinary Hearing will be as follows:

- 7.1 The Adjudicator will chair the Hearing throughout. He/she will introduce those involved, explain the process, check all parties have all documentation and advise who will take written notes of the main points of the Hearing. These notes could be required at an employment tribunal at a later date. In cases of gross misconduct the adjudicator should consider appointing a clerk to take minutes.
- 7.2 The Investigator describes the allegations, and presents the evidence.
- 7.3 The Investigator may call witnesses.
- 7.4 Each witness in turn:
- gives evidence in response to questions from the Investigator;
  - may be questioned by the employee or their representative;
  - may be questioned by the Adjudicator and HR representative;
  - may be re-questioned by any of the above.
- 7.5 The employee or their representative may ask questions of the Investigator.
- 7.6 The Adjudicator and HR representative may ask questions of the Investigator.
- 7.7 The employee or his/her representative summarises the employee's response to the allegations and the evidence and identifies the issues.
- 7.8 The employee or his/her representative present the evidence and may call witnesses.

Each witness in turn:

- Gives evidence in response to questions from the employee or their representative;
  - May be questioned by the Investigator;
  - May be questioned by the Adjudicator and HR representative;
  - May be re-questioned by any of the above.
- 7.9 The Investigator may ask questions of the employee.
- 7.10 The Adjudicator and HR representative may ask questions of the employee.

7.11 Then without presenting any new evidence the:

- Investigator sums up the allegations and evidence presented.
- Employee or his/her representative sums up his/her response to the allegations and evidence presented.
- Witnesses will only be present when giving their evidence.
- All parties except the Adjudicator and the HR representative withdraw.
- The Adjudicator, assisted by the HR representative, reaches a decision based on the evidence available at the Hearing. Personal details e.g. length of service, current warnings under the Capability and Disciplinary Procedures will be taken into consideration in deciding what action to take.
- The Adjudicator may re-call witnesses, the employee and his/her representative and the Investigator to ask further questions. In these circumstances both the employee and his/her representative and the Investigator must be recalled.

## **8.0 OUTCOMES UNDER THIS PROCEDURE**

The Adjudicator may decide to:

- Take no action.
- Issue no formal warning but give instructions to the manager and/or employee, which will be recorded and placed on the employees' personal file for a period to be specified by the Adjudicator. A copy will be given to the employee.
- Issue a written warning, which will be placed on the employee's personal file for a period of 12 months. A copy will be given to the employee.
- Issue a Final Written Warning, which will be placed on the employee's personal file for a period of 2 years. A copy will be given to the employee.
- Warning letters in the employee's personal file should be marked as 'expired' when the sanction period ends.
- Dismiss the employee, in which case the dismissal must be confirmed in writing within 5 working days. In cases of gross misconduct dismissal will be without notice. In cases of misconduct payment will be made in lieu of notice. No employee will be dismissed for the first breach of conduct except in cases of gross misconduct.
- All letters confirming the Adjudicator's decision will restate the allegation(s), the Adjudicator's decision in respect of each allegation and, if appropriate give further instructions on the improvement required and the timeframe involved. If no formal action is taken, the

records concerning the allegation will be destroyed as soon as reasonably practicable. The letter must be hand-delivered or sent recorded delivery to the employee's home address.

- If, during the life of a written warning for either Conduct or Capability it becomes necessary to consider further action under this Procedure, the previous warning will be taken into account.

## 9.0 THE RIGHT OF APPEAL

An employee may appeal against a Written, Final Written Warning or Dismissal by writing to HR within 10 working days of the date of the Hearing. The letter **must state the specific reasons** for the appeal and relate these to one or more of the following areas:

- that they think a finding or penalty is unfair;
- that new evidence has come to light; or
- that they think there has been breaches in the Disciplinary Procedure.

9.1 At the appeal Hearing only the reasons given under one or more of the 3 specific areas stated in the employee's letter of appeal will be considered.

9.2 HR will acknowledge the employee's letter of appeal within 5 working days.

9.3 All cases of appeal for permanent employees, other than for dismissal, will be dealt with by a new Adjudicator at a more senior managerial level, not previously involved with the case. In cases of dismissal the appeal will be dealt with by the Managing Director, whenever possible.

9.4 All cases of appeal for temporary employees and those on probation, including dismissal, will be dealt with by a new Adjudicator at a more senior managerial level, not previously involved with the case.

This will be the final stage of the process.

9.5 This procedure will be reviewed every 24 months.

## Appendix 1

### EXAMPLES OF MISCONDUCT AND GROSS MISCONDUCT

1. This appendix sets out examples of actions that constitute misconduct or gross misconduct. The list is neither exclusive nor exhaustive. The circumstances of an actual breach of the conduct standards may mean that an action, which would normally be considered misconduct, becomes gross misconduct and vice versa.

#### 1.1. **Gross Misconduct**

Gross misconduct is defined as behaviour, which, in the view of UKTD warrants dismissal without notice regardless of whether or not there have been previous warnings. Such behaviour may occur within or outside normal working hours. Examples are:

- theft or dishonesty at work.
- wilful damage to UKTD property.
- any act or omission calculated to defraud UKTD, for example falsification of expense claims, qualifications.
- fighting or physical assault at work/or menacing behaviour.
- intimidation, including racial, sexual or any other type of harassment.
- any criminal activities during or outside of working hours that have a direct bearing on the confidence of UKTD in the employee to perform his/her duties properly.
- sexual misconduct at work.
- use of UKTD's information and computer technology to communicate, access, produce or store material of a sexual nature that is likely to cause offence.
- incapacity on duty due to the effects of alcohol or non-prescribed drugs.
- unauthorised use of UKTD's property.
- driving whilst under the influence of alcohol/drugs or whilst otherwise unfit to do so.
- unauthorised disclosure of confidential information.
- any wilful act or omission endangering the health and safety of others, or which would cause damage to property or equipment.
- serious act of insubordination.
- corruption – unauthorised acceptance of money, goods, favours or excessive hospitality in respect of services rendered.
- improper use of position for personal gain.

- intentional unlawful discrimination against any employee, employer or learner.
- using a mobile phone whilst driving, contrary to driving laws.

## 1.2 Misconduct

Examples are:

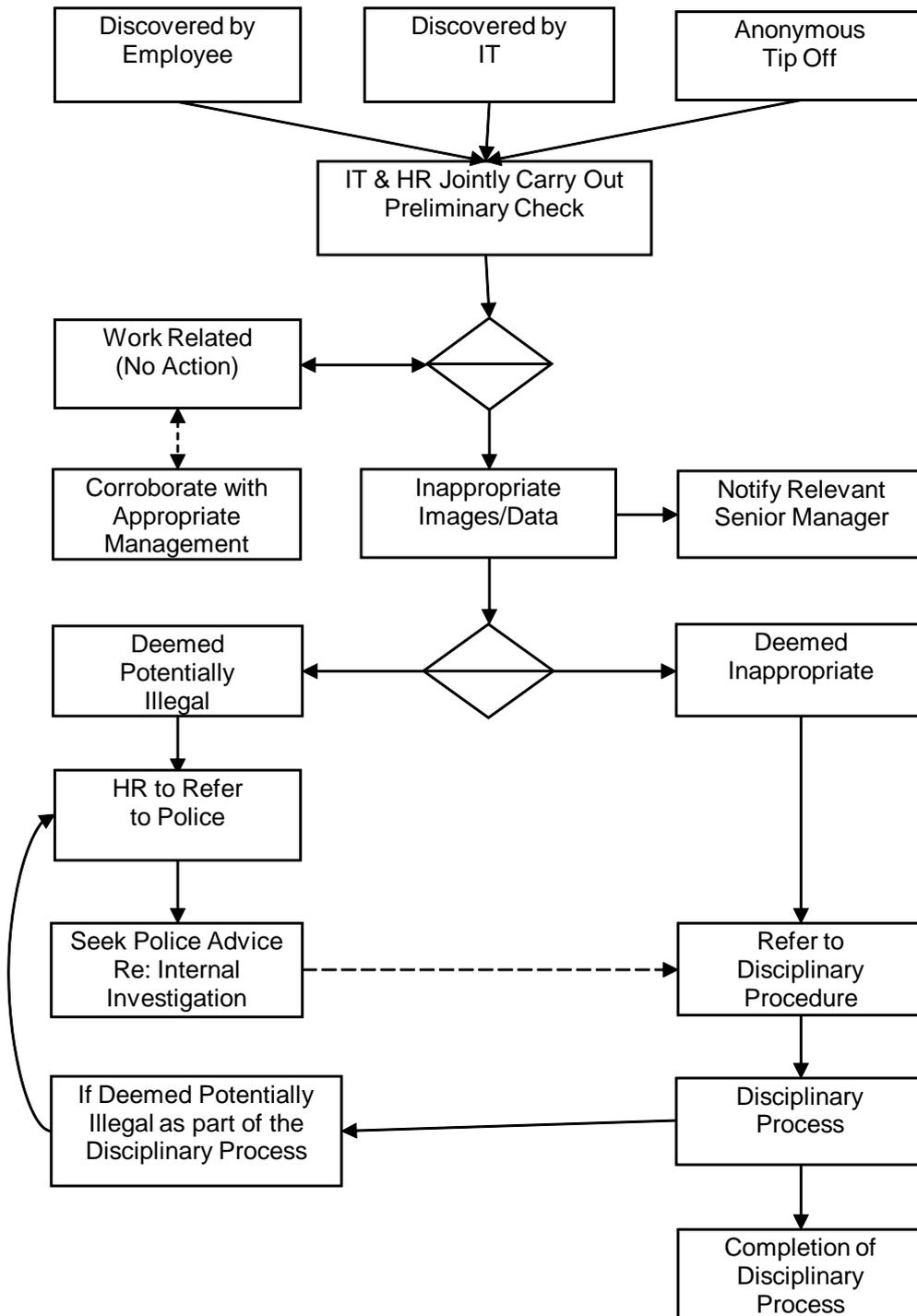
- failure to adhere to working hours.
- unauthorised absence from duty.
- insubordination, refusal or failure to obey a reasonable instruction.
- criminal activities other than those classed as gross misconduct.
- disregard of safety practices, procedures and rules.
- unauthorised presence on UKTD premises.
- unauthorised use of UKTD equipment.
- unauthorised destruction, alteration, addition to or erasure of official documents.
- being an accessory to a disciplinary offence by another employee.
- abusive behaviour towards another employee or member of the public.
- undertaking activities detrimental to recovery whilst on sick leave.
- failure to comply with the UKTD's sickness notification procedures.
- misuse of UKTD's Information Technology hardware and software (this could constitute gross misconduct, dependent on the severity).
- introducing a computer virus into any UKTD system (this could constitute gross misconduct, dependent on the severity).
- failure to follow UKTD procedures.
- accepting gifts or hospitality from employers, contractors or other companies without authorisation.
- engaging in paid work outside UKTD without the approval of the manager.
- smoking in public areas where it is not permitted.

## **Appendix 2**

### **Guidelines for employees accessing or storing inappropriate images or data**

1. Where it is alleged or suspected that an employee has accessed or stored inappropriate images or data (inappropriate means not work related), members of IT and Human Resources will jointly carry out a preliminary check to substantiate the allegation or suspicion.
2. Details of the images or data will be recorded in the form of a statement signed by both officers, but copies of the images or data will not be taken.
3. If the images or data are found to be work related, then no further action will be taken. If it is unclear whether the images or data are work related, then it may be necessary for the two officers to approach the employee's line manager for clarification.
4. Where it is determined that the images or data are work related, the preliminary check documentation will be immediately destroyed to ensure confidentiality.
5. If the images or data are not work related then they will be deemed as inappropriate and the two officers will notify the relevant senior manager. The senior manager will not see or be given a copy of the images or data.
6. If the images are deemed potentially illegal, then the HR officer will refer the case to the appropriate section within the police force and seek advice from them whether UKTD can consider taking action under the Disciplinary Procedure.
7. For the purpose of these guidelines, illegal images are those depicting nudity or erotic posing or sexual activity involving children or young people. Adult pornography could also be illegal, but the police do not want to be informed unless the employee is suspected of distributing the material, usually for reward.
8. All inappropriate images and data, other than those deemed potentially illegal, will be considered in accordance with the Disciplinary Procedure.
9. If as part of the Disciplinary investigation the investigators consider the images as potentially illegal, the HR officer will refer the case to the police (as above). Until the investigators receive clearance from the police, no further action should be taken under the Disciplinary Procedure.
10. For reference purposes a process map is attached to the end of this guidance.

**Process Map**  
**Accessing, Storing or Viewing Inappropriate Images or Data**



**DISCIPLINARY FLOW CHART**

