

Discipline and Grievance Guidance

1. General Guidance

Disciplinary Process Overview

Trigger for Action is: -

1. **Conduct issue**, or
2. **Misconduct or gross misconduct allegations**

Conduct Issue

If there is a conduct issue – this should lead to **management and support**. This involves 1-to-1 documented discussion and action plan being set in place by line manager.

Misconduct/Gross Misconduct allegations

This should lead to an **investigation**, which will involve: -

- Gathering evidence from systems/records and/or
- Gathering evidence from witness(es) and/or
- Gathering evidence from the employee

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Either route could lead to:

- No further action, or
- A formal disciplinary meeting

The outcome of a formal disciplinary meeting will be either

- No further action
- A written warning
- A final written warning
- Dismissal

A written warning, final written warning or dismissal may lead to the start of the appeals process. If a further trigger for action happens after a written warning or final written warning has been issued, the process will start again at the beginning

What does the formal disciplinary procedure involve	<ul style="list-style-type: none">• The formal disciplinary procedure covers the issue of sanctions for misconduct• Any further failure to achieve the required standards of conduct during the life of a disciplinary warning may result in further disciplinary proceedings, usually at the next stage of the formal disciplinary procedure.
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2. Potential Disciplinary Outcomes

The list of possible misconducts is listed in the Staff Handbook – click on link. Whilst there may seem to be the same misconduct appearing on a number of the lists, this is to reflect the fact that certain misconducts

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can vary in terms of their severity. A minor infringement of the e-mail and Internet policy, such as opening an e-mail attachment from a dubious source, may be a minor misconduct, whereas a serious breach, such as creating or forwarding discriminatory or pornographic e-mails may be a gross misconduct.

What are the potential outcomes of formal disciplinary meetings?	<p>The 3 levels of formal disciplinary sanction are:</p> <ul style="list-style-type: none">• Written warning to be held in place for up to 12 months• Final Written Warning to be held in place for up to 36 months• Dismissal <p>Sanctions will normally commence with a written warning, although any sanction, including dismissal, may be given at any stage according to the severity of the offence</p>
Other potential outcomes of a formal disciplinary meeting	<p>Other sanctions may include, but are not limited to:</p> <ul style="list-style-type: none">• Demotion (Which may result in decreasing pay and benefits)• Non-payment of local incentive or bonus scheme <p>Other potential outcomes include</p> <ul style="list-style-type: none">• No further action• Informal action

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Dismissal	<p>In the event of a failure to achieve required standards of conduct, following a previous final written warning:</p> <ul style="list-style-type: none"> Termination of employment, with notice and contractual benefits, in accordance with the employee's statement of main terms and conditions of employment may result. <p>In cases of gross misconduct</p> <ul style="list-style-type: none"> Termination of employment without notice may result
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Step by Step guidelines – Line Manager

Query	What to do	Useful Information
What is my role as a line manager?	<ul style="list-style-type: none"> As a line manager you have an ongoing responsibility to ensure that employees demonstrate the standards expected of them. You may be involved in: <ul style="list-style-type: none"> informal management conducting an investigation conducting a formal disciplinary meeting If you are a first line manager you would not normally hear an appeal, as appeal hearers are impartial and independent managers usually at the next level of seniority above the disciplinary manager 	HR Services Case Management Disciplinary Procedure
When is	<ul style="list-style-type: none"> When 	HR Services Case

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Query	What to do	Useful Information
informal management appropriate?	<ul style="list-style-type: none"> - The issue identified is minor and does not in itself merit formal disciplinary proceedings - Informal management will be sufficient to help and encourage the employee to improve to the required level. • If an employee is not reaching and maintaining required standards their line manager should bring this to their attention at the earliest opportunity to support and encourage improvement • It may also be appropriate to manage issues informally after a formal warning has been issued. It is important that employees receive any appropriate support to encourage them to achieve the required standards e.g. coaching after a formal warning issued for misconduct issues. 	Management Disciplinary Procedure
What is an informal documented discussion?	<ul style="list-style-type: none"> • For minor conduct issues documented discussions should take place. This is an informal discussion, but with brief notes taken, to document the area(s) of concern and produce a positive outcome, such as an action plan. It is important to get the employee to agree, where possible to the misconduct issue and the way forward • An informal discussion should not turn into a formal disciplinary meeting. If it becomes obvious that the matter is more serious, the discussion should be adjourned and the line manager should contact HR Services Case Managers for guidance • It should be made clear during the discussions that any further breaches or failure to improve may lead to formal disciplinary proceedings. 	HR Case Managers Disciplinary Procedure

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Query	What to do	Useful Information
What happens where problems continue after an informal documented discussion?	<ul style="list-style-type: none"> • If informal action as specified above does not result in the employee demonstrating the required standards, then it may be appropriate to contact HR Services Case Managers to discuss moving to formal disciplinary proceedings. • An investigation meeting may be required in the event of allegations of misconduct or gross misconduct where there is a need to establish what has happened • If a decision is taken to issue an invitation to a formal disciplinary hearing, the manager is required to gather all the relevant records and papers so that they can be sent to the employee along with the invitation to the formal disciplinary meeting. • HR Services Case managers must always be contact before the start of formal disciplinary proceedings 	HR Services Case Managers Disciplinary Procedure
What is my role during a third party investigation?	<ul style="list-style-type: none"> • In most cases the manager will conduct an investigation, but some situations may require the specialist expertise of third party investigators, e.g. Internal Audit, Health & Safety, Finance. • These situations could include, but are not limited to: <ul style="list-style-type: none"> - Any potential gross misconduct issue - Reputational issues - Process or systems abuse or misuse - E-mail or internet abuse - Health and safety breaches - Financial irregularity or fraud - Potential criminal activity • If a special investigations team are involved they will 	HR Case Managers Disciplinary Procedure

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Query	What to do	Useful Information
	<p>usually make contact with the line manager in the first instance.</p> <ul style="list-style-type: none"> Your role would normally be to ensure that the employee receives a copy of the Third Party investigation briefing note, the disciplinary policy and procedure prior to the third party interview. 	
When is suspension appropriate?	<ul style="list-style-type: none"> An employee may be suspended for a brief period at any stage of an investigation. This will normally be on full pay. This must only be done after consultation with HR Services Case Managers Suspension does not amount to disciplinary action in itself If suspension does take place, your role as a line manager is usually to liaise with the employee during their absence from work. 	HR Case Managers Disciplinary Procedure
What support should I provide to the employee during an investigation and/or suspension when I am not the investigation manager?	<ul style="list-style-type: none"> Once the investigation is underway any support given by the line manager should simply involve listening to the employee. The support must be neutral and impartial For example, do say "I understand that this process is difficult, but the FC has a policy to follow and no decisions are taken until all the facts are investigated following a fair investigation" Do not say "Don't worry about this, you've done nothing wrong" 	HR Case Managers Disciplinary Procedure
What happens	<ul style="list-style-type: none"> At the end of the investigation, the investigation manager 	HR Case

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Query	What to do	Useful Information
after an investigation?	<p>should contact HR Services Case Managers. Next steps may be</p> <ul style="list-style-type: none"> - no further action required - the matter was minor and can be dealt with by informal management - the matter was more serious and should be considered under the formal disciplinary procedure • If formal disciplinary proceedings are being considered, this must always be discussed with HR Services Case Managers. 	Managers Disciplinary Procedure
If I carried out the informal investigation can I conduct the formal disciplinary proceedings?	<ul style="list-style-type: none"> • Remember that you must always contact HR Services Case Managers before starting any formal disciplinary proceedings • In most cases, following on from an informal investigation you may be the most appropriate person to conduct the disciplinary proceedings • However in some cases, especially where the investigation was into allegations of gross misconduct, then you would not be the appropriate person to act as the disciplinary manager. • In these circumstances, HR Services Case Managers can advise on how to find a manager of sufficient seniority and independence, who has not had any prior involvement in the case, to conduct the disciplinary proceedings. 	HR Services Case Managers
What do I have to do after a formal warning	<ul style="list-style-type: none"> • You should ensure you continue to manage the employee appropriately after any formal disciplinary warning has been issued. For example, this may mean providing 	HR Services Case Managers

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Query	What to do	Useful Information
has been issued?	<p>additional training and support to ensure that any conduct issues are addressed.</p> <ul style="list-style-type: none"> • If any further incidents arise during the period of the warning, then you should contact HR Services Case Managers to discuss further formal disciplinary proceedings. • If a warning is given, ensure that the employee's file contains a copy of all disciplinary papers including the warning letter. It is important that the warning paperwork is removed when it has expired 	
What about if I am the line manager of a witness or a representative?	<ul style="list-style-type: none"> • If you are the line manager of a witness or representative, you must ensure that they are given the necessary time off from duties to attend meetings as long as you are given reasonable notice • Unless you are also the investigating manager or disciplinary manager, you should not ask the employee to discuss the case with you. 	HR Services Case Managers Disciplinary Procedure
What support is available for me?	<ul style="list-style-type: none"> • HR Services Case Managers will be able to offer you procedural support, advice and guidance. • If you want to talk to someone who can act as a confidential sounding board and provide advice on how to handle difficult conversations, you can contact People Support 	HR Services Case Managers People Support

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Step by Step Guidelines – Investigators

All matters of potential misconduct must be investigated before charges are made or a disciplinary penalty is imposed. All investigations should be conducted as confidentially and quickly as possible. They should be fair and impartial and the person should always have the chance to respond to the evidence.

The purpose of investigation is to:

- Establish the facts
- Give the employee a chance to comment on the facts or to offer an alternative explanation before a disciplinary charge is made;
- Establish all relevant circumstances leading to and contributing to the suspected misconduct;
- Provide enough information with which to decide if there is enough evidence to make a disciplinary charge i.e. is there a case to answer?

Investigating Team	Tasks
Prepare for investigation	Read all relevant papers and instructions, codes etc
	Gather physical evidence
Plan strategy	Is there a possibility of intimidation/bullying? Is there a possibility that evidence could be destroyed?

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Investigating Team	Tasks
	<p>Are there Welfare issues? Who to interview? What order?</p> <p>What questions to ask?</p> <p>Where to hold the interview?</p> <p>Who asks questions?</p> <p>Who takes notes?</p>
Interviews	<p>Send letter to individual under investigation, including documentation to be discussed at interview, at least 2 working days before interview.</p> <p>Send letters to other interviewees to set up interviews</p>
	Book rooms
	<p>Plan interview questions</p> <p>Structure interview</p>
	Interview notes written
	Notes returned

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Investigating Team	Tasks
Re-Interview	(if necessary)
Write report	Discuss case with colleague
	Draft Report
	Agree conclusions and recommendations Agree final draft
QA Report	Any omissions in findings?
	Check all facts are consistent with each other
	Any critical questions not fully addressed?
Send Report	To person who requested investigation.

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Structure of Interview

Introductions	Introduce those present
	Explain role and remind of confidentiality requirement
	Summarise what you have been asked to investigate
	Advise how interview to be conducted
	Ask if there are any questions of clarification
	Explain that notes will be made and these (signed) will form part of the investigation report
	If documents are being used at the interview, ensure that the person has copies
Questions and Answers	Ask prepared questions
	Record answers
	Probe for additional information/ask follow up questions
	Use 'play back' to check understanding
	Summarise main points at intervals
Conclusions	Explain what happens next (preparation of report).

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	Ask if there is anything else he/she wishes to add that is relevant to the investigation
	State that notes will be prepared within 3 days and he/she will be asked to sign these
	Advise that interview must remain confidential
	Thank for attending

CONSULTATION DOCUMENT

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Do's and Don'ts Checklist

Don't	Ask leading questions
	Apologise for any question
	Comment on the validity of a complaint if that is the subject of the investigation
	Express an opinion/be judgmental during an interview
	State any likely outcome
	Assume that something didn't happen because you can't corroborate it or get an admission
Other tips	Use a diary to record times of interviews, phone calls, why there were delays etc
	Retain all rough notes
	Follow up loose ends
	Control pace of interview- don't rush the interview, interrupt or second guess what someone is going to say
	Make sure each question is answered (e.g. if not answered clearly then ask again)
	Look for contradictory evidence (e.g. a statement that contradicts

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	something else that has been said by him/her or someone else)
	Take a break if you need to gather your thoughts

CONSULTATION DOCUMENT

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Appeals

Appeals Procedure	<p>An employee has the right to appeal against disciplinary sanctions at each formal stage of the procedure.</p> <p>Appeals should be made within 14 calendar days from receipt of the disciplinary outcome letter</p>
What happens during the appeals procedure?	<ul style="list-style-type: none">• Employee sets out grounds for appeal, preferably in writing• Employees are requested to clearly state the detailed reasons for their appeal• Appeal hearer sends employee invitation to meeting• Appeal meeting takes place• Employee is informed of decision and that decision is final

Step by Step guidelines – appeal hearer

Query	What to Do	Useful Information
What is the purpose of a disciplinary appeal hearing?	<ul style="list-style-type: none">• An appeal gives the employee a chance to put forward reasons they believe the sanction imposed is not fair and reasonable. This can involve you looking at the case from the beginning and reviewing it in detail and/or focusing on the points of appeal raised by the employee.• The appeal is the opportunity for you to look at the fairness of the disciplinary decision and may also look at	Disciplinary Procedure

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Query	What to Do	Useful Information
	<p>compliance with procedural obligations</p> <ul style="list-style-type: none"> The appeal looks at the decision against FC Standards 	
<p>As an appeal hearer, what do I need to know?</p>	<ul style="list-style-type: none"> Familiarise yourself with the Disciplinary Procedure before taking any action If this is your first disciplinary appeal or you wish to refresh your knowledge, you should contact your HR Services Case Manager. Before you take any action, you should contact your HR Services Case Manager. They will assist you throughout the appeal process Ensure you receive the complete original disciplinary paperwork from the disciplinary manager Review the disciplinary file. You are responsible for ensuring that there are no delays in the process. Tell your line manager that you are hearing a disciplinary appeal case and advise them of the dedicated time you will need to allocate to this process 	<p>HR Services Case Managers Disciplinary Procedure</p>
<p>What is the first step in the appeal process?</p>	<ul style="list-style-type: none"> You need to organise the disciplinary appeal meeting. Contact the employee prior to issuing an invite letter to check availability. Ensure you give them 3 clear working days notice of the meeting and advise they can bring a representative. Then organise the logistics for the meeting. Book a meeting room so that you can hold the meeting in private and without interruption. You also need to arrange a note taker. Make sure you choose somebody who was not involved in the disciplinary in any way. Send the employee the written appeal confirmation letter 	<p>HR Services Case Managers Disciplinary Procedure</p>

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Query	What to Do	Useful Information
What else should I do to prepare for the appeal meeting?	<ul style="list-style-type: none"> Review all paperwork relating to the disciplinary case Ensure that you have discussed the case with your HR Services Case Manager It is a good idea to make a list of the key points you wish to address in the meeting 	HR Services Case Managers Disciplinary Procedure
What happens if the employee or their representative is not available for the date in the invite letter?	<ul style="list-style-type: none"> As long as you have checked availability before sending the letter, this should not happen. In the event of a problem arising in between checking availability and sending the invitation the employee should advise you of this as soon as possible after receiving the invite letter so that you can confirm a revised date and time 	Disciplinary Procedures
What should I do if the employee or their representative fails to attend on the day?	<ul style="list-style-type: none"> If anyone fails to attend due to unforeseen circumstances, the meeting may be rescheduled, once, to an agreed date within a reasonable timescale Once you have checked availability you should issue a further invitation letter which makes it clear that in the event of any further failure to attend, the decision may be taken to proceed with the meeting in the employee's absence 	HR Services Case Managers Disciplinary Procedure
What happens If the employee or their representative fails to turn up for the rescheduled	<ul style="list-style-type: none"> If the employee or representative fails to turn up for the rescheduled meeting, you may then choose to continue the proceedings by holding the meeting as scheduled in the employee's absence If you are unsure how to continue the disciplinary appeal proceedings you should contact HR Services Case Managers for guidance 	HR Services Case Managers Disciplinary Procedure

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Query	What to Do	Useful Information
meeting?		
What should I do at the disciplinary appeal meeting?	<ul style="list-style-type: none"> • Prior to the meeting, you should review all the original evidence, the disciplinary appeal statement and the minutes of the appeal meeting • You should prepare a disciplinary appeal meeting agenda/checklist covering all the points you have and the points which have been raised by the employee to ensure you remember all the key points to cover, such as rights of representation, notice, minutes, confidentiality etc • Go through the points of appeal raised by the employee in their statement of appeal and also ask them what other basis they have for appealing • You may wish to go through each allegation in detail and discuss what the employee has to say in their defence • Discuss each and every point of appeal with the employee to ensure that you have a comprehensive understanding of why they are appealing • Talk through all the evidence to support why the warning/dismissal was given • Ask the employee to put forward their position reminding them that this is their opportunity to provide an explanation as to why the warning/dismissal should not stand. • Clarify and summarise throughout to check understanding • Remember to be sensitive to any delicate issues, especially if the employee is emotional. However, it is important that at the conclusion of the meeting, you are comfortable that all your questions have been answered. 	HR Services Case Managers Disciplinary Procedure

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Query	What to Do	Useful Information
	<p>This may involve probing and challenging the employee on what they say to build up a full picture</p> <ul style="list-style-type: none"> • Remember that the employee or their representative may request an adjournment at any time • Once you are satisfied that the employee has said everything they wish to say and you have asked all your questions, advise the employee that you will now adjourn the case to consider your decision. Advise the employee that you will be issuing your decision in writing. • During that adjournment, liaise with your HR Services Case Manager • If you need to carry out further investigations, then advise the employee of this. Inform them that you will either reconvene the meeting at a later date to advise them of your decision, or advise them of your decision in writing. • Advise the employee that your decision is final and there is no further right of appeal • Remind them that when they receive the minutes they should sign and return them within 2 working days of receipt. Explain that failure to return or to agree the minutes within a reasonable time does not halt the disciplinary appeal proceedings 	
How do I conduct further investigations after the meeting?	<ul style="list-style-type: none"> • You may wish to speak with the original disciplinary manager. This could be to get a better understanding of their rationale or to address questions in relation to the original decision. This should be discussed with your HR Services Case Manager 	HR Services Case Managers Disciplinary Procedure

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Query	What to Do	Useful Information
	<ul style="list-style-type: none"> • You may wish to re-interview witnesses or interview witnesses not spoken by the disciplinary manager. You should contact relevant witnesses to check availability then invite them to meetings. • Explain that unless there is good cause shown, the notes of the meeting will be sent to the person being disciplined. • Ensure the witness understands the importance of maintaining confidentiality and not discussing the disciplinary case • Ask the witnesses how they are connected to the people involved. You need to understand if there are any aspects of their relationship which might impact upon their neutrality/credibility • Ask the witness to comment on incidents where they were present or have relevant evidence. It is important that the questions are balanced. 	
<p>What should I do once I have concluded the disciplinary appeal meeting and any further investigations?</p>	<ul style="list-style-type: none"> • Discuss your findings with your HR Services Case Manager. You are the decision maker, but you have a responsibility to make a decision consistent with FC policy, rather than from just a personal perspective • Your decision is final in almost all circumstances, as there is only an appeal stage for dismissal cases where the employee has sufficient length of service to take the matter to the Civil Service Appeal Board • You should confirm your decision in writing to the employee. Your HR Services Case Manager will assist you with the style and content of this letter. 	<p>HR Services Case Managers</p>

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Query	What to Do	Useful Information
	<ul style="list-style-type: none"> Once you have concluded the disciplinary appeal, you should retain documentation relating to the case on the employee's personnel file for the duration of any warning issued. If the appeal decision is to overturn the disciplinary decision to issue a warning or dismiss, you should pass the paperwork, including the original disciplinary paperwork, to your HR Services Case Manager. 	
Who else should I advise of my decision?	<ul style="list-style-type: none"> Depending upon the circumstances of the case, your HR Services Case Manager will advise you who, if anyone, should be notified of your decision in addition to the person raising the disciplinary appeal. Confidentiality in the disciplinary process is very important. You should only discuss the case with your HR Services Case Manager, and with People Support, who can act as a confidential sounding board. Everyone involved will be advised of the importance of confidentiality throughout the process and any breach of confidentiality may result on formal action. 	HR Services Case Manager People Support
What support is available for me?	<ul style="list-style-type: none"> HR Services Case Managers will be able to offer you procedural support, advice and guidance. If you want to talk to someone who can act as a confidential sounding board and provide advice on how to handle difficult conversations, you can contact People Support 	HR Services Case Manager People Support

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Employee Guide

Query	What to do	Useful Information
My line manager has advised me that there are issues with my conduct. What does this mean?	<ul style="list-style-type: none">• If there are concerns about whether you are meeting required standards of conduct then your line manager should highlight these to you as early as possible. This will help you to understand what is expected from you and how to reach and maintain those standards. This is known as informal management and takes the form of an information discussion between you and your line manager.• For example, in cases of minor conduct issues then your line manager may have a discussion with you about the required standards.• You should be made aware that ongoing failure to demonstrate the required standards of attendance, performance or conduct may result in formal disciplinary proceedings.	Disciplinary Policy Staff Handbook
My line manager has advised me that I am being investigated for allegations of misconduct or	<ul style="list-style-type: none">• Investigations may be conducted by your line manager, by another manager within the business, or by a third party investigation team with specialise expertise, such as Internal Audit, Health & Safety, Finance or some other individual with particular expertise or specialism.• The investigation may involve a review of records, systems or paperwork. It may also involve obtaining	Disciplinary Policy Disciplinary Procedure

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Query	What to do	Useful Information
<p>gross misconduct. What does this mean?</p>	<p>information from witnesses.</p> <ul style="list-style-type: none"> • You may also be invited to an investigation meeting. The purpose of this meeting is to find out the relevant information and establish whether there is a need for formal disciplinary proceedings • The investigation meeting is not a formal disciplinary meeting and no disciplinary sanctions can be imposed during the investigation. However, because potential outcomes could include formal disciplinary proceedings, any information discussed at the investigation interview could be included in the documentation reviewed during formal disciplinary proceedings. • If the outcome of the investigation is to invite you to a formal disciplinary meeting, this will be your opportunity to state your case and provide any additional mitigation. You will be given 3 clear working day's notice of the formal disciplinary meeting. You may be accompanied by a union representative or work colleague at the formal disciplinary meeting. 	
<p>I have been asked to attend an investigation interview with a third party investigator – what does this involve?</p>	<ul style="list-style-type: none"> • Sometimes the nature of the allegations means that third party investigation teams are required because of their specialist expertise. • If a third party investigations team are involved, they will usually make contact with your line manager in the first instance • Investigation meetings, including those carried out by third party investigators, are not formal disciplinary meetings. 	<p>Disciplinary Policy Union Advisor</p>

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Query	What to do	Useful Information
	<ul style="list-style-type: none"> • After the investigation has been completed, the investigator will produce a written report of the investigation which will be sent to your line manager as promptly as possible. • The possible outcomes of an investigation carried out by a third party include: - <ul style="list-style-type: none"> - No further action - Informal action e.g. a documented discussion with your line manager - Formal disciplinary proceedings - Referral to criminal proceedings or civil proceedings 	
Can I be suspended during an investigation	<ul style="list-style-type: none"> • Yes, it is possible that you may be suspended during the investigation. This will usually be on full pay • Suspension usually takes places in cases involving allegations of potential gross misconduct or where failure to suspend may place the business or systems at risk • Suspension is not a disciplinary sanction 	Disciplinary Policy
What will happen after the investigation is complete?	<ul style="list-style-type: none"> • No further action may be taken, or • Your line manager may have an informal discussion with you which will be noted in your personnel file, or • You may received a letter inviting you to a formal disciplinary meeting. 	Disciplinary Policy
I have been invited to a formal disciplinary meeting. What is the purpose	<ul style="list-style-type: none"> • To discuss the reason for the formal disciplinary proceedings with your and provide you with the opportunity to put forward your case so that a decision can be made whether any disciplinary sanction is required 	Disciplinary Policy

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Query	What to do	Useful Information
of the meeting?		
Can I have a representative with me at the formal disciplinary meeting?	<ul style="list-style-type: none"> • Yes you may ask one of your work colleagues or a union representative to do this. • It is your responsibility to make your representative aware of the date and time of the meeting to enable them to attend. You should ensure that you select a representative who is available to attend within reasonable timescales • You should also consider what is reasonable when choosing your representative. It would not be considered reasonable to request a representative who might have a conflict of interest. It would also not be reasonable to ask for a representative from a geographically remote location when there is somebody suitably qualified available on site. • Then confirm to the disciplining manager that you and your representative (if you choose to have one) can attend on the date and time stated • You will have received full details of the reasons for the invitation to the formal disciplinary meeting to enable you to prepare your response, and you can discuss this with your representative 	Disciplinary Policy
What should I do if I am unavailable for the date proposed in the invite letter?	<ul style="list-style-type: none"> • You have an obligation to make all reasonable attempts to attend the meeting • You should contact the disciplining manager immediately to advise if it is impossible for you to attend so that the meeting can be rescheduled as quickly as possible. 	Disciplinary Procedure

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Query	What to do	Useful Information
What happens if something happens on the day of the meeting that means I can't attend?	<ul style="list-style-type: none"> • If unforeseen circumstances prevent you or your representative from attending the meeting, you should advise the disciplinary manager as soon as possible. The meeting will be rescheduled, once, to a suitable date within reasonable timescales. You will be advised that if you do not attend the next meeting, the decision may be taken to proceed with the meeting in your absence. • If you or your representative then failed to attend the rescheduled meeting, the decision may be taken to proceed with the meeting in your absence. 	Disciplinary Policy
What happens if I am off sick?	<ul style="list-style-type: none"> • If you are medically certified as unfit to attend work, this does not necessarily mean that you are unfit to attend an investigation interview or formal disciplinary meeting. • Our Occupational Health advisers may be asked to verify your fitness to participate in the disciplinary process. • If you are medically certified as unfit to attend then you may wish to submit written documentation or send a representative to attend on your behalf. • If you were medically certified as unfit to provide written documentation, the process may be halted until such time as our Occupational Health advisers deem you fit to proceed with the disciplinary process 	Disciplinary Policy
Who will be at the formal disciplinary meeting?	<ul style="list-style-type: none"> • You • Your representative, if you choose to have one • The disciplinary manager • A note taker • Sometimes a representative from HR Services may also be present 	Disciplinary Procedure

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Query	What to do	Useful Information
What will happen at the disciplinary meeting?	<ul style="list-style-type: none"> • You will be advised of the reasons for the disciplinary proceedings and asked whether you agree with the facts as stated by the disciplinary manager. If you do not agree, you will be given the opportunity to put forward your version of events. • You will then be given the opportunity to put forward anything you wish the disciplinary manager to take into account before making a decision e.g. mitigating circumstances • Your representative (if you have one) will be able to participate fully in the meeting, although they cannot answer questions put directly to you. • You or your representative may ask for an adjournment at any stage • The meeting will then be adjourned for the disciplinary manager to consider their decision or if necessary, conduct further investigations. 	Disciplinary Procedure
What happens if the meeting is reconvened?	<ul style="list-style-type: none"> • The disciplinary manager will inform you of the decision that has been reached and outline the rationale for making this decision. • You will be informed of your right to appeal any formal disciplinary sanction and how to do this • The manager will advise that the decision will be confirmed to you in writing along with minutes of the meeting, which you should sign and return within 2 working days. If you do not return the minutes, this will not delay the disciplinary process. • You will be advised of any further management which will 	Disciplinary Procedure

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Query	What to do	Useful Information
	follow a formal disciplinary meeting, for example any additional training or support required to help you achieve required standards of performance	
What are the possible outcomes?	<ul style="list-style-type: none"> • There may be no further action • The manager may decide that informal action is sufficient • You may be issued with either a written warning or final written warning. Warnings will be held in place for a specified amount of time until they expire • You may be demoted or dismissed 	
What happens next?	<ul style="list-style-type: none"> • You will receive an outcome letter setting out the outcome and the reason for the decision, along with the minutes for you to sign and return. • Depending upon the reason for the disciplinary, you may then have further informal management and support after a warning has been issued. • You should be aware that any further failure to achieve required standards of attendance, performance or conduct during the life of any disciplinary warning may result in further disciplinary proceedings, usually at the next stage of the formal disciplinary procedure. 	
Who can I talk to about my disciplinary or appeal proceedings?	<ul style="list-style-type: none"> • Confidentiality in the disciplinary and appeal processes is very important • You should usually only speak to the disciplinary manager, your chosen representative or People Support. If the disciplinary manager is not your line manager, then it may be appropriate to speak with them e.g. in the context of any ongoing management and support after the disciplinary meeting. 	Disciplinary Procedure

Discipline and Grievance Policy

Query	What to do	Useful Information
	<ul style="list-style-type: none"> Everyone involved will be advised of the importance of confidentiality throughout the investigation and any breach of confidentiality by any party may result in formal disciplinary proceedings. 	
Who will be advised of any disciplinary sanction taken against me?	<ul style="list-style-type: none"> Your line manager and HR Services will be notified of the disciplinary sanction taken against you. 	Disciplinary Procedure
What happens to all the paperwork?	<ul style="list-style-type: none"> If you receive a warning, all the disciplinary paperwork will be retained on your personnel file and will be held for the period of the warning The warning will also be recorded by HR Services centrally If the disciplinary proceedings are as a result of a complaint made by a third party, that party will not be advised of the disciplinary sanction If you appeal a disciplinary sanction, a copy of the paperwork will be sent to the appeal hearer 	Disciplinary Procedure
What support is available for me?	<ul style="list-style-type: none"> If you require emotional support at any stage in the process or want advice on handling difficult conversations, you can contact People Support 	People Support
Can I appeal against the disciplinary sanction?	<ul style="list-style-type: none"> Yes, you will be made aware at the meeting and in your letter confirming the outcome of the meeting how to make an appeal if you wish to do so. The appeal hearer will usually be a manager from the same business area as the disciplinary manager. HR Services will ensure that the appeal hearer is impartial 	Disciplinary Procedure

Discipline and Grievance Policy

Query	What to do	Useful Information
	and has not been involved in the disciplinary process prior to hearing the appeal.	
What will happen if I choose to appeal?	<ul style="list-style-type: none"> • You will receive an acknowledgement letter • The appeal hearer will arrange a formal meeting with you • You will receive a written invitation, giving you 3 clear working days notice and the same rights of representation as the disciplinary meeting. • At the disciplinary appeal meeting, the grounds for your appeal will be discussed. The appeal hearer may go through all the details of the case with you and give you a further opportunity to put forward your position. It may be possible for the appeal hearer to make a decision after adjourning the appeal meeting on the basis of reviewing the existing evidence. Or it may be necessary for them to conduct some further investigation. • You will be informed of the disciplinary appeal decision in writing 	Disciplinary Procedure
Can I appeal again if I am not happy with the outcome of the disciplinary appeal?	<ul style="list-style-type: none"> • No, the decision of the disciplinary appeal manager is final • If you are dismissed and have the necessary length of service, then you may lodge an appeal with the Civil Service Appeal Board, or make a claim of unfair dismissal to the Employment Tribunal Service. Full details of any further right of appeal will be outlined in your letter informing you of the disciplinary appeal decision. 	