

eHR Programme

D253 User Guide for

6.02 Disciplinary (Non-Industrial)

Version 6.0

6.02 Disciplinary (Non-Industrial)

This guide should be read in conjunction with the actual Disciplinary Procedure (6.02). It does not negate or supersede that procedure or future amendments made to it.

The following user guide sets out the steps that will be followed where your behaviour is perceived as unacceptable and is subject to the disciplinary procedure. It also sets out the role of Line Management and Departmental HR.

In summary:

If you are alleged to have committed a disciplinary offence, you will:

- Attend informal meeting(s) with Line Management to discuss your conduct or behaviour, which may result in an informal warning ([Step 1 Attend informal meeting\(s\) with Line Management](#))
- Receive notification from Line Management of decision to initiate a formal investigation ([Step 2 Receive notification from Line Management of decision to initiate a formal investigation](#))

The investigation

- Receive notification of outcome of investigation from Line Management ([Step 1 Receive notification of outcome of investigation from Line Management](#))
- Confirm your attendance at the disciplinary meeting ([Step 2 Confirm your attendance at the disciplinary meeting](#))
- Submit your written response to charge(s) made against you ([Step 3 Submit written response to charge\(s\) made against you](#))

The disciplinary meeting

- Attend disciplinary meeting ([Step 1 Attend disciplinary meeting](#))
- Receive decision of the outcome of the formal hearing ([Step 2 Receive decision of the outcome of the formal hearing](#))

If you wish to appeal against the disciplinary decision you should:

- Lodge written notice of appeal with Departmental HR ([Step 1 Lodge written notice of appeal](#))
- Receive acknowledgement of receipt of appeal from HRConnect ([Step 2 Receive acknowledgement from HRConnect](#))
- Attend the appeal meeting ([Step 3 Attend appeal meeting](#))
- Receive confirmation of the outcome of the appeal ([Step 4 Receive confirmation of outcome of appeal](#))

Line Management will:

- Identify issue and hold informal meeting(s) with member of staff, which may result in an informal warning being issued ([Step 1 Identify issue and hold informal meeting\(s\) with member of staff](#))
- Consult with Departmental HR ([Step 2 Consult with Departmental HR](#))
- Advise member of staff of decision to proceed with a formal investigation or otherwise ([Step 3 Advise member of staff of decision to proceed with a formal investigation or otherwise](#))

The investigation

- Provide input to Departmental HR in deciding charge(s) to be made against the member of staff ([Step 1 Provide input to Departmental HR](#))

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- Advise member of staff of outcome of investigation ([Step 2 Advise member of staff of outcome of investigation](#))

The disciplinary meeting

- Provide input as required to Departmental HR in deciding disciplinary charge ([Step 1 Provide input to disciplinary meeting, as appropriate](#))
- Advise member of staff of outcome of disciplinary meeting ([Step 2 Advise member of staff of outcome of meeting](#))

If a member of staff decides to appeal against the disciplinary decision, Line Management will be required to:

- Provide input to the appeal meeting ([Step 1 Provide input to appeal meeting](#))
- Advise member of staff of outcome of the appeal ([Step 2 Advise member of staff of outcome of the appeal](#))

Departmental HR will:

- Identify perceived unacceptable misconduct by a member of staff and inform line management to initiate the disciplinary process. ([Step 1 Identify issue and inform Line Management](#))
- Provide guidance to Line Management in dealing with a case at informal meeting stage ([Step 2 Provide guidance to Line Management in dealing with a case at informal meeting stage](#))
- Decide whether there is a formal case to answer ([Step 3 Decide whether there is a formal case to answer](#))
- Provide guidance to Line Management advising staff of decision to proceed or otherwise ([Step 4 Provide guidance to Line Management advising staff of decision to proceed or otherwise](#))

The investigation

- Decide the disciplinary charges ([Step 1 Decide the disciplinary charges](#))

The disciplinary meeting

- Hold disciplinary meeting ([Step 1 Hold disciplinary meeting](#))
- Agree outcome of disciplinary meeting ([Step 2 Agree outcome of meeting](#))

If a member of staff appeals against the disciplinary decision, Departmental HR will:

- Receive written notice of appeal ([Step 1 Receive written notice of appeal](#))
- Hold the appeal meeting ([Step 2 Hold appeal meeting](#))
- Decide the outcome of appeal meeting ([Step 3 Decide the outcome of the appeal meeting](#))

In addition to this user guide, you may also wish to refer to the following which can be found in this Handbook:

- [6.01, Standards of Conduct policy](#)
- [6.03, Discipline policy](#)

The following terms within this guide are defined in the glossary:
[gross misconduct](#)

6.02 Disciplinary (Non-Industrial)

User guide for Non-Industrial Staff

Initiating the disciplinary process

Step 1 Attend informal meeting(s) with Line Management

Based on day to day observations and/or evidence and information from other sources within the Service, Line Management will speak to you on an informal basis if it is considered that your conduct is not satisfactory.

Line Management may set up an informal meeting or a series of informal meetings with you to discuss your conduct and to agree the improvement that is required. The primary aim of this meeting(s) will be to resolve the issue as quickly as possible and avoid the need to initiate formal proceedings. At this stage, the Manager may decide to issue you with an informal warning.

If your conduct improves to a satisfactory level, it should not be necessary for Line Management to take any further action and your Line Manager will inform you that this is considered the end of the matter. As this is an informal process no record of the meeting will be held on your personal file although your Line Manager will keep a diary note of your discussion for future reference, if required.

If however, your conduct does not improve following this meeting(s), Line Management will review the matter with Departmental HR who may decide to initiate a formal investigation into your conduct. With this being a formal investigation, you have the right to be accompanied by a Trade Union representative or work colleague.

You should note that in cases where Line Management has identified an incident involving serious misconduct, an informal meeting will not be held and the process will move immediately to the formal stages. In instances where it is felt suspension may be appropriate due to the nature of misconduct, Departmental HR will be consulted and this may result in you being suspended from your role until a complete and thorough investigation into the issue has been undertaken.

There may be a general fact finding exercise done to ascertain whether there may be a formal investigation initiated. This is usually conducted by line management following discussion with Departmental HR about the specific allegations.

Step 2 Receive notification from Line Management of the decision to initiate a formal investigation

Following consultation with Departmental HR, Line Management will meet with you again. At this meeting you will be notified whether or not it has been decided to initiate a formal investigation into your conduct. There may be situations where it is more appropriate for Departmental HR to inform you directly by writing, telephone (in exceptional circumstances) or by meeting with you instead of the Line Manager.

In cases where suspected criminal activity has taken place the case may be handed over to the authorities for external investigation and so an internal investigation will normally wait until the conclusion of any police investigation.

Where it has been decided to initiate a formal investigation, you will be informed of the procedure that will be followed. This will include details of the formal investigation that will take place into the allegations made against you and the disciplinary meeting that may be conducted following the outcome of the investigation. You may be asked to assist with this investigation, for example, by attending an interview with the investigating officer.

Where it has been decided not to proceed with a formal investigation, no further meetings or action will take place at this stage. Your conduct, however, will continue to be monitored by Line Management.

You should refer to the 6.03, Discipline policy in this Handbook for further details of conduct that may lead to disciplinary proceedings being initiated against you.

The investigation

Step 1 Receive notification of the outcome of the investigation from Line Management

In cases where the facts are unclear, a full investigation into your alleged misconduct will be conducted by HRConnect.

Following this investigation, if it is decided that no further action is to be taken, Line Management will arrange a meeting with you to notify you of this outcome and issue you with written correspondence confirming that no further action is to be taken and where appropriate, the end of your suspension period. There may be situations where it is more appropriate for Departmental HR to inform you directly by writing, telephone (in exceptional circumstances) or by meeting with you instead of the Line Manager.

If further action is to be taken, you will receive a letter directly from HRConnect confirming the following:

- Details of the disciplinary charge(s) made against you
- Date, time and venue of your disciplinary meeting
- Who will chair the meeting
- Who will attend the meeting
- Your right to be accompanied by a Trade Union representative or work colleague of your choice at this meeting
- You are required to notify HRConnect in advance of the meeting who, if anyone, will accompany you to this meeting
- Details of how to submit a written response to the charge(s) made against you

Step 2 Confirm your attendance at the disciplinary meeting

Once you have received written confirmation of your disciplinary meeting, you must confirm your availability to attend this meeting along with details of your nominated companion. If you have any special needs you should make this known so that it can be taken into consideration when arranging the meeting. Details of how to do this will be included in the letter you receive from HRConnect.

If you are unable to attend the disciplinary meeting, you must inform HRConnect immediately giving reasons why you are unable to attend. An alternative date and time may be arranged and will be confirmed with you in writing.

Step 3 Submit written response to the charge(s) made against you

You will be given the option to submit within a reasonable period of time (normally 10 working days, but a shorter or longer period if agreed in the circumstances of a particular case), a written response to the charge(s) made against you. If you wish to submit a written response this must be sent to HRConnect. Full contact details will be included within the letter confirming the date of your disciplinary meeting.

The disciplinary meeting

Step 1 Attend disciplinary meeting

You must attend this meeting on the date confirmed with HRConnect. Failure to attend this meeting may result in the meeting taking place and a decision based on available information being made in your absence.

Prior to the meeting, you and your nominated companion will receive an information pack from HRConnect.

The meeting will be held by Departmental HR with input from Line Management and other relevant parties, as appropriate. The purpose of this meeting will be to:

- Ensure all aspects of the case and supporting evidence are presented by the officer conducting the meeting
- Give you the opportunity to respond to the evidence and present any mitigating factors or other relevant evidence you feel is appropriate to your case

A written summary will be taken during the hearing and copied to you to comment on accuracy.

In the event that additional evidence or documentation is required at the meeting, the meeting may be adjourned and re-convened at a later date or even later during the day, if appropriate. In the event that the meeting is to be re-convened later in the day, you will be informed by the officer holding the meeting. In the event that the meeting is to be re-convened at a later date, you will be notified in writing of the date, time and venue by HRConnect.

Step 2 Receive decision of the outcome

Following the disciplinary meeting, you will also be issued with a letter confirming the decision of the meeting and disciplinary action to be taken. This letter may include details of:

- Penalty short of dismissal
- Notice of intention to dismiss
- Summary dismissal
- No further action
- Your right to appeal against the disciplinary decision and details of the appeals process and time limits within which an appeal must be lodged

A copy of this letter will be sent to other relevant parties, as appropriate, instructing them of the outcome of the meeting and relevant disciplinary actions.

In the event that you are suspended without pay as a result of a disciplinary penalty, you may be eligible to claim Social Security benefits. As this information is required for payroll purposes, HRConnect will send you a Statement of Social Security Allowances request form which you should complete and return as soon as possible.

Initiating an internal appeal

Step 1 Lodge written notice of appeal

If you wish to appeal against the formal disciplinary action, you must submit written notice of appeal to Line Management. Your appeal must be made within the specified time limits and contain details of the grounds on which you wish to appeal. Guidance on time limits can be found within 6.03, Discipline policy in this Handbook.

Step 2 Receive acknowledgement from HRConnect

If your notice of appeal is received outside of the specified time limit, Departmental HR will consider whether to accept your appeal based on any exceptional circumstances. You will be informed in writing by HRConnect of their decision. If it is felt that there are no acceptable grounds for the appeal being received late you will be advised accordingly and this will end the internal appeals process.

If your appeal is to be heard, you will receive a letter from HRConnect confirming details of your appeal. This letter will include:

- Date, time and venue of your appeal meeting
- The purpose of the appeal meeting
- Who will attend the appeal meeting
- Your right to be accompanied by a Trade Union representative or work colleague of your choice
- You are required to notify HRConnect in advance of the meeting who, if anyone, will accompany you to this meeting
- If applicable, the reason for accepting the late appeal

Once you have received written confirmation of your appeal meeting, you must confirm your availability to attend this meeting along with details of your nominated companion. If you have any special needs you should make this known so that it can be taken into consideration when arranging the meeting. Details of how to do this will be included in the letter you will receive from HRConnect.

If you are unable to attend the appeal meeting, you must inform HRConnect immediately giving reasons why you are unable to attend. An alternative date and time may be arranged and will be confirmed with you in writing.

Step 3 Attend appeal meeting

You must attend this meeting on the date confirmed with HRConnect. Failure to attend this meeting may result in the meeting taking place and a decision being made in your absence.

Prior to the appeal meeting, you and your nominated companion will receive an information pack from HRConnect. This pack will include relevant case related documents as determined by the appeal officer, including the written summary of the initial meeting.

The appeal meeting will normally be held by an officer from Departmental HR, at least one grade above the officer who held the initial disciplinary meeting. The purpose of the appeal meeting will be for you to state the grounds of your appeal against the decision of the initial meeting. The officer holding the appeal will then consider all relevant factors and decide whether or not the decision of the initial meeting was appropriate. A written summary will be taken during the hearing and copied to you to comment on accuracy.

In the event that additional evidence or documentation is required at the appeal meeting, the meeting may be adjourned and re-convened at a later date or even later in the day, if appropriate. In the event that the meeting is to be re-convened later in the day, you will be informed by the officer holding the appeal. In the event that the meeting is to be re-convened at a later date, you will be notified in writing of the date, time and venue by HRConnect.

Step 4 Receive confirmation of outcome of appeal meeting

Following the meeting, you will receive written confirmation of the decision of the appeal meeting which may state:

- The disciplinary action should be upheld
- The disciplinary action should be overturned
- The disciplinary action should be amended

Where the decision of the appeal is to uphold or impose the penalty of suspension from duty for a specific period with loss of pay, you may be eligible to claim Social Security benefits.

As this information is required for payroll purposes, HRConnect will send you a Statement of Social Security Allowances request form which you should complete and return as soon as possible.

Where a sanction period has been in operation, HRConnect will write to you on completion of the period to confirm the expiry date.

This concludes the internal appeals process

6.02 Disciplinary (Non-Industrial)

User guide for Line Management (Non-Industrial Staff)

Initiating the disciplinary process

Step 1 Identify issue and hold informal meeting(s) with member of staff

Based on day to day observations and/or evidence from other sources within the Service, you may need to speak to a member of staff on an informal basis if you consider that their conduct requires improvement.

You will be required to arrange an informal meeting or series of informal meetings to discuss the staff member's conduct and to agree the improvement that is required. The primary aim of this meeting(s) will be to resolve this issue as quickly as possible and avoid the need to initiate formal disciplinary proceedings. At this point, you may decide to issue an informal warning to the staff member. Whilst no formal record of this meeting(s) will be held on the staff member's personal record, you should keep a diary note of your discussion for future reference, if required.

You should note that in cases of alleged serious misconduct, or cases of repeated misconduct that has resulted in previous informal or formal disciplinary action being taken an informal meeting may not be appropriate and the process will move immediately to the formal stages. In instances where it is felt suspension may be appropriate until a complete and thorough investigation has been undertaken into the issue identified, you must consult with Departmental HR in the first instance.

Before attending an informal meeting, you should consult either HRConnect or Departmental HR as appropriate for advice and guidance on how to hold the meeting and to discuss any policy and employment law issues you should be aware of.

You will consider what actions could be brought to improve the employee's behaviour (E.g. training, time management...)

If the staff member's conduct improves to the required standard, there will be no further action required although you will be expected to continue monitoring the conduct of the member of staff as usual. You will also need to inform the member of staff that no further action will be taken

Step 2 Consult with Departmental HR

Where a staff member's conduct does not improve to a satisfactory level following the informal meeting(s), you should consult with Departmental HR to consider whether or not to initiate the formal disciplinary procedures. ***This must be done by a Line Manager Level 2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.***

If the outcome of this discussion is for you to research the allegation further, you will be expected to carry out fact-finding to seek further clarification around the allegations. If the

fact-finding uncovers possible misconduct then a further discussion should take place with Departmental HR.

If the outcome of this discussion is a decision to proceed with a formal investigation into the alleged misconduct, Departmental HR will record the decision on a “Disciplinary – Authorisation to proceed with formal investigation” form provided by HRConnect and return it for processing as soon as possible.

Step 3 Advise member of staff of decision to proceed with a formal investigation or otherwise

Following this decision, you should arrange to meet with the member of staff to inform them of the decision taken by Departmental HR. ***This meeting must be conducted by a Line Manager Level 2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.*** There may be circumstances where it is more appropriate for Departmental HR to inform the member of staff of the decision.

Where Departmental HR have decided not to initiate formal disciplinary proceedings, you will inform the member of staff of this decision and confirm that this is the end of the matter.

Where Departmental HR have decided to initiate the formal disciplinary procedure you will inform the member of staff that they will receive a letter from HRConnect which will confirm details of the disciplinary allegations, the investigation process and the formal disciplinary meeting that may follow.

The investigation

Step 1 Provide input to Departmental HR

In cases where the facts are unclear, a thorough investigation of the case will be conducted. Once the investigation is complete, a full investigation report will be prepared and forwarded on to Departmental HR. The report will provide details of the case and a recommended course of action in relation to any charges that might be appropriate. This will be based on:

- [6.03, Discipline policy](#)
- Findings of the investigation
- Previous decisions made in similar circumstances to ensure consistency in the way the policy is applied
- The staff member’s previous disciplinary record, if appropriate

Departmental HR will review the report and hold any further meetings and/or interviews considered appropriate in order to decide on the charge(s) to be made against the member of staff. This may include a decision to take no further action.

It is for the Decision Officer to decide on the disciplinary charge (s). However DHR may require input from you or other relevant parties.

It is likely that during this period, Departmental HR will require input from you and other relevant parties. ***Input into this decision must be provided by a Line Manager Level***

2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.

Step 2 Advise member of staff of outcome of investigation

If, following the review of the investigation report, Departmental HR decides not to take any further action HRConnect will generate the appropriate correspondence and forward this to you for issue to the member of staff. This letter will confirm that no further action is to be taken and if appropriate, it will also confirm the end of any suspension period. You will be required to arrange a meeting with the member of staff to advise them of the outcome of the investigation and issue them with this correspondence. ***This meeting must be conducted by a Line Manager Level 2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.*** There may be circumstances where it is more appropriate for Departmental HR to inform the member of staff of the decision.

If further action is considered necessary, a formal meeting with the member of staff and other relevant parties will be arranged and HRConnect will issue the member of staff with written confirmation as follows:

- Details of charge(s) against them
- Date, time and venue of disciplinary meeting
- Who will be chairing the meeting
- Who will be attending the meeting
- Their right to be accompanied by a Trade Union representative or work colleague of their choice
- Request to notify HRConnect of their nominated companion before they attend the meeting
- Details of how they can submit a written response to the charge(s) made against them

The disciplinary meeting

Step 1 Provide input to disciplinary meeting as appropriate

Departmental HR will hold the disciplinary meeting, requesting input from you and other parties as appropriate. ***Input into this meeting must be provided by a Line Manager Level 2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.***

The purpose of the disciplinary meeting will be to:

- Ensure all aspects of the case are presented by the Departmental HR officer conducting the meeting
- Provide the member of staff with the opportunity to respond to the evidence presented and present any mitigating factors or other relevant evidence they feel is appropriate to their case.

A written summary will be taken during the meeting and should be agreed by all attendees following the meeting. Where the summary is not agreed, notes will be made of the areas in dispute and attached to the document for future reference.

Step 2 Advise member of staff of outcome of meeting

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Where appropriate, you will receive a letter from HRConnect advising you of the outcome of the meeting along with a copy of the letter to be issued to the member of staff confirming this outcome. You may be required to arrange to meet with the member of staff to confirm the outcome of the formal meeting and to issue them with a letter confirming the action to be taken. ***This meeting must be conducted by a Line Manager Level 2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.***

You may decide in certain circumstances if employee is not at work whether to post to home address by recorded delivery or delivery by hand. (E.g. sick absence, suspension, etc.)

It should be noted, however, that in cases of serious misconduct such as fraud, this meeting will be conducted by Departmental HR and you will be advised by HRConnect accordingly.

Where a member of staff has been suspended without pay as a result of a disciplinary penalty, they may be eligible to claim Social Security benefits. As this information is required for payroll purposes, HRConnect will send a Statement of Social Security Allowances request to the individual.

Internal appeals

Step 1 Provide input to appeal meeting

The appeal meeting will normally be held by an officer from Departmental HR at least one grade above the officer who took the disciplinary decision. Where appropriate, the officer holding the meeting may seek your input into the appeal meeting. ***Input into this meeting must be provided by a Line Manager Level 2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.***

Step 2 Advise member of staff of outcome of the appeal

In most cases, you will receive written confirmation from HRConnect advising you of the outcome of the appeal meeting along with a copy of the letter to be issued to the member of staff confirming this decision. You will be required to arrange a meeting with the member of staff to confirm the outcome of the appeal meeting and issue them with written confirmation of the decision of the appeal meeting. ***This meeting must be conducted by a Line Manager Level 2 or above. If you are not a Line Manager Level 2 or above, you must re-assign this task to an appropriate Line Manager.*** There may be circumstances where it is more appropriate for Departmental HR to inform the member of staff of the decision.

6.02 Disciplinary (Non-Industrial)

User guide for Departmental HR (Non-Industrial Staff)

Initiating the disciplinary process

Step 1 Identify issue and inform line management

Based on day to day observations and/or evidence from other sources within the Service, you may identify perceived unacceptable misconduct by a member of staff. You will need to inform their Line Manager of this to initiate the disciplinary process.

Step 2 Provide guidance to Line Management in dealing with a case at the informal meeting stage

Where an issue of misconduct has been identified by Line Management, you may be requested by Line Management to provide advice and/or guidance in dealing with this case at the informal meeting stage.

In cases where Line Management has identified an issue of serious misconduct such as fraud, Line Management is instructed to consult with Departmental HR in the first instance.

Step 3 Decide whether there is a formal case to answer

If the informal process fails to resolve the issue Line Management will consult with Departmental HR to decide whether or not to initiate a formal investigation into the matter.

In considering whether to initiate a formal investigation, Departmental HR will consider the following in consultation with Line Management:

- [6.03, Discipline policy](#)
- Decisions made in similar circumstances, to ensure consistency in the way the Disciplinary policy is applied
- The staff member's previous disciplinary record, if appropriate

Departmental HR will record this decision on an Instruction to Investigate form provided by HRConnect and return it for processing as soon as possible.

Step 4 Provide guidance to Line Management advising staff of decision to proceed or otherwise

Following a discussion with Departmental HR, Line Management will meet with the member of staff again. This meeting will either confirm that Departmental HR has been advised about the misconduct issue, but has decided that no formal action is to be taken at this stage, further fact finding by the line manager is required or that a formal investigation is to be carried out by HRConnect.

Line Management may seek advice and/or guidance in respect of holding this meeting with the member of staff.

The member of staff will normally be informed of the decision by the Line Manager; however there may be situations where it is more appropriate for Departmental HR to inform the member of staff by writing, telephone (in exceptional circumstances) or meeting

The investigation

Step 1 Decide the disciplinary charges

In cases where the facts are unclear, a thorough investigation of the case will be conducted by HRConnect. Once the investigation is complete, an investigation report will be prepared and forwarded to Departmental HR. The report will provide full details of the case and the recommended course of action to be followed. This recommendation will be based on:

- [6.03, Discipline policy](#)
- Findings of the investigation
- Previous decisions made in similar cases to ensure consistency in the way the policy is applied
- The staff member's previous disciplinary record, if applicable

Departmental HR will review the report and hold any further meetings and/or interviews considered appropriate in order to decide the charge(s) to be made against the member of staff. This may include a decision to take no further action.

This decision will be recorded on an Investigation Outcome form provided by HRConnect and returned for processing as soon as possible.

Where no further action is considered appropriate, Line Management will inform the member of staff of the outcome of the investigation.

The member of staff will normally be informed of the decision by the Line Manager; however there may be situations where it is more appropriate for Departmental HR to inform the member of staff by writing, telephone (in exceptional circumstances) or meeting.

Where it has been decided to proceed to a formal disciplinary charge, HRConnect will write to the member of staff directly to advise them of this outcome and instruct them to attend at a disciplinary meeting. This letter will include the following:

- Details of charge(s) against them
- Date, time and venue of the disciplinary meeting
- Who will be chairing the meeting
- Who will be attending the meeting
- Their right to be accompanied by a Trade Union representative or work colleague of their choice
- Request to notify HRConnect of their nominated companion before they attend the meeting
- Details of how they can submit a written response to the charge(s) made against them

The disciplinary meeting

Step 1 Hold disciplinary meeting

Prior to the meeting HRConnect will provide Departmental HR, the member of staff and their nominated companion with case papers for reference during the meeting.

The purpose of this meeting will be to:

- Ensure that all aspects of the case are presented by the officer conducting the meeting
- Provide the member of staff with the opportunity to respond to the evidence and present any mitigating factors or other relevant evidence they feel is appropriate to their case

A written summary will be taken during the hearing and copied to the member of staff to comment on accuracy.

In the event that further investigation, evidence or documentation is required by the officer hearing the case, the meeting may be adjourned and re-convened at a later date or even later during the day, if appropriate. In the event that the meeting is to be re-convened later in the day, the officer holding the meeting will inform the member of staff. In the event that the meeting is to be re-convened at a later date, the member of staff will be notified in writing of the date, time and venue by HRConnect.

At the end of this meeting, the officer from Departmental HR is responsible for ensuring all case papers held by all parties other than the member of staff are returned to HRConnect.

Step 2 Agree the outcome of the meeting

The officer will record their decision on the Disciplinary Meeting Outcome form provided by HRConnect and return it for processing as soon as possible. This should include who will hear the appeal.

Line Management will normally inform the member of staff of the outcome of the disciplinary meeting. However, in cases of serious misconduct this meeting will be held by the Departmental HR officer who conducted the disciplinary meeting.

Departmental HR will receive a copy of the letter issued from HRConnect and will review and insert Reasons for decision.

Internal appeals

Step 1 Receive written notice of appeal

In the event that the member of staff appeals against the disciplinary action taken, they will lodge written notice of appeal with Departmental HR. This should be checked to ensure it is received within the specified time limit.

If the notice of appeal is received outside of the time limits, Departmental HR must consider whether there are acceptable grounds for the late receipt of the appeal. If it is believed that there are no sufficient grounds to accept the appeal Departmental HR will

inform HRConnect who will inform the member of staff of the decision in writing. This will end the internal appeal process.

If the appeal is to be heard, the officer who held the formal meeting will determine who will be responsible for hearing the appeal. Normally, this will be an officer at least one grade above the officer who took the disciplinary decision. All notice of appeal documentation including details of the officer who will hold the appeal will then be submitted to HRConnect as soon as possible.

On receipt of the appeal documentation HRConnect will issue an acknowledgement letter to the member of staff and, subject to the appeal being held, write to the member of staff providing details of:

- Charge(s) against them
- Disciplinary action taken
- Date, time and venue of appeal meeting
- Who will chair the appeal meeting
- Who will attend the appeal meeting
- Their right to be accompanied by a Trade Union representative or work colleague of their choice
- Request to notify HRConnect of their nominated companion before they attend the meeting
- If applicable, reason for accepting the late appeal

Step 2 Hold appeal meeting

Prior to the appeal meeting HRConnect will provide the officer holding the appeal with case papers for reference during the meeting. The officer should decide which of these documents will be sent to the member of staff and their companion prior to the appeal meeting and inform HRConnect accordingly.

The purpose of the meeting will be for the member of staff to state the grounds of their appeal against the disciplinary decision taken. The officer holding the appeal will then consider all relevant factors including a review of the procedure followed and the fairness of the original decision. Based on this information the officer will decide whether or not the disciplinary decision taken was appropriate. A written summary will be taken during the hearing and copied to the member of staff to comment on accuracy.

In the event that additional evidence or documentation is required at the appeal meeting, the meeting may be adjourned and re-convened at a later date or even later in the day, if appropriate. In the event that the meeting is to be re-convened later in the day, Departmental HR will inform the member of staff directly. In the event that the meeting is to be re-convened at a later date, Departmental HR will notify HRConnect who will then send out written notification of the date, time and venue of the meeting to the member of staff.

At the end of this meeting, the officer hearing the appeal is responsible for ensuring all case papers held by all parties other than the member of staff are returned to HRConnect.

Step 3 Decide the outcome of the appeal



The officer will record their decision on the Appeal Outcome form provided by HRConnect and return it for processing as soon as possible.

Line Management will normally inform the member of staff of the outcome of the appeal. However, in cases of serious misconduct this meeting will be conducted by the Departmental HR officer who conducted the appeal meeting. It should be noted, however, that in some cases of serious misconduct such as fraud, it may not be possible to meet with the member of staff.

This concludes the internal appeal process.