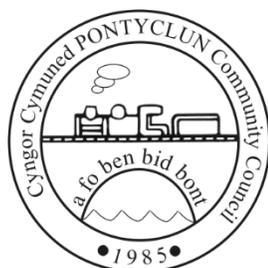


Cyngor Cymuned Pontyclun Community Council

Disciplinary Policy

Reviewed Sept 2019



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Disciplinary procedures

1. Purpose and scope

The purpose of the Council's Disciplinary Procedure is to help and encourage all employees and workers to achieve and maintain required standards of conduct, job performance and good discipline. This procedure applies to all staff except for those in their probationary period.

It aims to enable the individual whose performance and/or conduct has failed to reach the required standard, to make the necessary improvement through guided instruction. The aim is also to ensure that the Council's interests are safe guarded while staff are treated fairly and equitably, with an emphasis on correction rather than punishment.

The purpose of this procedure is to clarify the rights and responsibilities of management and workers in respect of disciplinary action. Its objective is to provide a fair and consistent means by which disciplinary rules are observed and standards of work performance and conduct are maintained. It provides a method for dealing with alleged breaches of organisational policies, rules and procedures; cases of alleged misconduct; or persistent poor performance. It ensures that disciplinary action, if taken, is appropriate to the circumstances.

2. Principles

The Council has a responsibility to ensure that staff members for whom they are responsible are aware of general and specific rules, standards and procedures laid down for the regulation of work and conduct. Workers are required to familiarise themselves with these standards and procedures and to co-operate with their immediate supervisors to ensure that they are adhered to.

In cases of minor misconduct or unacceptable performance or behaviour, immediate supervisors should exhaust all other means of achieving the required standards before formal disciplinary action is taken. This will include setting clearly defined objectives and standards, monitoring them over a reasonable time period and providing additional coaching or training. In some cases, this may also include reference to other appropriate sources of counselling and assistance such as mediation.

No disciplinary action will be taken until a case has been thoroughly investigated. When commencing an investigation into an allegation of misconduct there shall be no assumption that disciplinary action will automatically follow. The investigation is purely a fact-finding exercise and will be carried out in a fair and objective manner.

At every stage of the procedure, workers will be advised of the nature of the complaint against them and will be given the opportunity to state their case before any decision is made.

The Clerk or Chairman investigating a case must decide if further action should follow and assess the level at which the disciplinary hearing should be held. They must ensure that it is conducted by a Council's representative (whether Clerk or Chairman) authorised to take appropriate disciplinary action if the allegation is substantiated. A table showing the levels of management authorised to impose sanctions appears in section 15.

Disciplinary action will only take place where it is decided, following a disciplinary hearing, that misconduct had occurred, and disciplinary action is appropriate.

Workers have the right to be accompanied by a trade union representative or work colleague of their choice at all stages of this procedure, including an investigatory, disciplinary, review or appeal hearing.

Workers will not be dismissed for a first breach of discipline, except in the case of gross misconduct, when the penalty will be dismissal without notice and with or without payment in lieu of notice.

The procedure may be implemented at any stage if the alleged misconduct warrants such action.

Workers have the right to appeal against any disciplinary penalty imposed to the appeals committee (see Section 16 below).

At all stages of the disciplinary procedure both immediate supervisor and the individual concerned must ensure the confidentiality of events and discussions. This will not preclude sharing such confidence when seeking advice. Any discussions with witnesses should be confined to the specific areas on which the witnesses may have information. Any unreasonable breach of confidence may itself be treated as a disciplinary case of misconduct.

All formal letters sent to a worker under the terms of this procedure shall either be handed to them personally or sent by Recorded Delivery. Copies of all correspondence shall be sent to their representative unless indicated otherwise by the worker.

Written warnings will cease to be 'live' following the specified period of satisfactory conduct or performance and will be disregarded for future disciplinary purposes.

3. The procedure

Where discussion, coaching, training or other informal action fails to achieve the required improvement in performance or behaviour, or where the matter is more serious, the following procedure shall be undertaken:

- (i) The Clerk or Chairman will identify and clarify the issue by establishing the essence of the problem. The matter must be investigated in a systematic and thorough manner by gathering information promptly, establishing relevant facts and taking into account statements of witnesses if appropriate.

The worker will be expected to attend any investigatory hearing called. S/he may be accompanied by a trade union representative or work colleague. The meeting will be recorded, and a written statement taken.

- (ii) In serious cases, (the Clerk or Chairman) will have the power to suspend the worker, with full pay, pending investigation of the allegations. Suspension in these circumstances does not constitute disciplinary action. (See note in section 7 below)

- (iii) Following the investigation, the worker should, without unavoidable delay, be given a written

statement of the allegation, the possible consequences and be advised of the intention to hold a disciplinary hearing. This will state their rights under this procedure, including the right to be accompanied by a trade union representative or work colleague.

- (iv) At the same time the worker will be provided with copies of all documentation and supporting evidence to be presented at the hearing.
- (v) The worker will be given time to prepare their case and the disciplinary hearing will normally be held not earlier than the fifth and not later than the tenth working day following notification. The disciplinary hearing shall be conducted in accordance with the procedure described in section 15 below.
- (vi) If following the disciplinary hearing it is decided to institute disciplinary action, one of the sanctions below may be applied.

4. Disciplinary sanctions

The immediate supervisor applying a disciplinary sanction should also give the employee specific guidance to encourage improvement.

Any recorded disciplinary sanction must contain:

- details of actions to be taken to enable the worker to achieve improvement
- a set timescale within which improvement is expected to take place
- a plan for review to monitor and discuss progress with the worker.

Actions may involve training, counselling or some other form of assistance that the Clerk or Chairman will provide. Depending on the circumstances, the following range of disciplinary sanctions may be applied:

Stage 1 - Written Warning

If conduct does not meet acceptable standards the worker will normally be given a written warning by the Clerk or Chairman. S/he will be advised of the reason for the warning, that it is the first stage of the disciplinary procedure and of their right of appeal. A copy of this written warning detailing the complaint; the change in behaviour required; and dates for review will be kept in the worker's personal file but will be disregarded for disciplinary purposes after 6 months.

Or

Improvement Note for Unsatisfactory Performance

If performance does not meet acceptable standards the worker will normally be given an improvement note by the Clerk or Chairman. S/he will be advised of the reason for the note and of their right of appeal. A copy of this note detailing the performance problem; the improvement required; the set timescale for improvement; and dates for review will be kept in the worker's personal file but will be considered spent after 6 months – subject to achieving and sustaining satisfactory performance.

Stage 2 – Final Written Warning

If performance is still unsatisfactory or if a further misconduct occurs, or if the misconduct is sufficiently serious to warrant only one written warning but insufficiently serious to justify dismissal (in effect both first and final written warnings), the worker will be given a final written warning.

This will give details of the complaint

- the improvement required
- the set timescale for improvement
- dates for review.
- It will warn that dismissal may result if there is no satisfactory improvement and will advise of the right of appeal.

A copy of this final written warning will be kept on file but will be disregarded for disciplinary purposes after 12 months (in exceptional cases duration may be longer) subject to achieving and sustaining satisfactory conduct or performance.

Stage 3 - Dismissal

If conduct or performance is still unsatisfactory and the worker fails to reach the prescribed standards, or if the offence constitutes gross misconduct, dismissal will normally result. The worker will be provided as soon as reasonably practicable with written reasons for dismissal, the date on which their employment will terminate and be advised of the right of appeal.

Stage 4 - Action Short of Dismissal

In cases of a serious nature where dismissal is considered but it is decided to impose disciplinary action other than dismissal - such as temporary or permanent disciplinary transfer to alternative job or location, temporary or permanent disciplinary demotion - it may also be decided to retain a final warning permanently on the worker's personal file and the worker will be advised that any recurrence will lead to dismissal.

Where temporary or permanent disciplinary transfer is imposed, the worker will not suffer any disadvantage which is in breach of their terms and conditions of employment as to make the Council liable to a constructive dismissal claim. Disciplinary demotion will only be implemented with the worker's **written agreement** obtained **prior** to such action taking place.

5. Disciplinary offences guideline

Misconduct is defined as failure in personal conduct, persistent poor performance or deliberate infringement of policies, rules and procedures. In order that a consistent approach is made in treatment of disciplinary cases, a suggested list of possible disciplinary offences follows.

The list is provided as a guideline. The decision to take disciplinary action or the sanction imposed may vary according to the exact circumstances of the case. Reasons for disciplinary action may include but are not limited to:

- dishonesty.
- breach of confidentiality.
- negligent use, misuse or unauthorised use of the Authority's property, including equipment, materials and information.
- health and safety issues, for example:

- threatened physical assault.
- abusive behaviour, offensive or obscene language or gestures directed at employees; members of the Management Committee; members of the public.
- deliberate or reckless damage to the Council's property.
- failure to observe established health, fire and safety rules and to report accidents or injuries whilst on duty.
- smoking in any other than designated areas.
- creating or contributing to unsanitary conditions.
- entering or leaving the Council's property except by designated entrances and exits.
- performance related issues, for example:
 - serious neglect of duty which undermines the organisation.
 - failure over a period of time to perform work to satisfactory standards.
 - (with reference to the Council's Alcohol/Drug Abuse policy), failure to carry out duties effectively while under the influence of alcohol or drugs, other than medically prescribed.
 - refusal to carry out a reasonable order of a manager.
 - misuse of the individual's employed position towards a fellow employee or a member of the public, including oppressive or abusive conduct; bullying, harassment or victimisation.
- infringement of terms and conditions of service, for example.
 - persistent lateness.
 - absence from duty without permission of supervisor, Clerk or Chairman (director or Chair).
 - excessive sickness absences with no appropriate certificates or authorisation.
 - failure to comply with policies, procedures and regulations as laid down by the Council from time to time.
 - engaging in or knowledge of activities on or off the premises which could be considered a discredit to the Council or its employees.
 - undertaking additional employment which would counter the interests of the Council or would conflict with the employee's own position.
 - making unauthorised statements to the press or news media relating to the Council's business.
 - making a false statement of any kind within the realms of the Council's employment, knowing it to be false or having reckless regard as to either the validity or falseness of the statement.

6. Gross misconduct

Gross misconduct is defined as misconduct serious enough to destroy the employment contract between the Council and the employee/worker which makes further working relationship and trust impossible. Gross misconduct is normally restricted to serious offences. The principal reasons for summary dismissal could include but are not limited to:

- criminal offence which affects the individual's ability to carry out their job.
- physical assault by an employee on any other person.
- theft, misappropriation or unlawful destruction of property: The Council's, employees' or others'.
- serious infringement of safety rules or negligence which causes unacceptable loss, damage or injury.
- supplying security access codes to any unauthorised person.
- unauthorised disclosure of information or misuse of trust of a serious nature.
- making malicious or unfounded allegations of a serious nature.
- deliberate falsification of any documents or claims, including time sheets, overtime or expense forms.

- misconduct at work or away from work of such a serious nature as to bring into disrepute either the employee's position or the organisation.
- sexual/racial discrimination.
- harassment of a serious nature.
- deliberately accessing internet sites containing pornographic, offensive or obscene material.
- persistent alcohol or drug abuse.
- engaging in unauthorised employment during hours when contracted to work for the Council or during periods of designated leave, for example annual or sick leave, time off for training, etc.
- failure to disclose unspent criminal conviction(s) or any convictions, whether spent or not, in respect of posts exempt under the terms of the Rehabilitation of Offenders Act 1975.
- providing false information on a job application form.

7. Suspension

Suspension is not a disciplinary action and shall be on full pay. It should only take place where the allegation being investigated would, if substantiated, constitute gross misconduct or where it was considered in the best interest of all parties if the worker was not to remain at work. Such suspension will only be imposed after careful consideration and will be reviewed to ensure it is not unnecessarily protracted.

Normally the worker will be informed of their suspension at an interview with the Clerk or Chairman and transport to the worker's home will be arranged. S/he is entitled to have a union representative or work colleague present at the meeting. In any case, the Clerk or Chairman will inform the worker in writing that s/he is to be suspended immediately: stating the nature of the alleged offence, the purpose of suspension, and its anticipated duration. A copy of this letter will be provided to the worker's representative.

Suspension in these circumstances should normally be for a period of no more than five working days. However, in exceptional circumstances, the period may be extended. The worker will be informed in writing specifying the duration of the extension and the reasons for it. In cases of alleged gross misconduct suspension may continue until the appeal process, if pursued, has been concluded.

If, on completion of the investigation and the full disciplinary procedure, the organisation is satisfied that gross misconduct has occurred, the result will normally be summary dismissal without notice or payment in lieu of notice.

8. Criminal Offence

A worker will not be dismissed or otherwise disciplined simply because s/he has been charged with or convicted of a criminal offence. The consideration will be whether the conduct warrants action because of its employment implications. However, where the conduct requires the Council's prompt attention, there will be no need to await the outcome of the prosecution before taking reasonable action.

Where the police are called in, they will not be asked to conduct any investigation on the Council's behalf; nor will they be present at any disciplinary hearing or interview.

9. Trade Union representative

No disciplinary action shall be taken against a trade union representative until the circumstances have been discussed with a full-time official of the trade union concerned.

10. Probationary employees

This full procedure does not apply to probationary employees. However, in cases of dismissal or gross misconduct, the minimum statutory requirements as outlined in the ACAS Code of Practice on Disciplinary and Grievance Procedures should be followed. See more below.

The immediate supervisor of a probationary employee will assess the employee's performance through the probationary assessment process. Lack of capability during the probationary period should not be viewed as a disciplinary offence, although due warnings must be given prior to any final action being taken. The disciplinary procedure can be used as guidance for dealing with such matters.

In cases of misconduct, which justify taking disciplinary action, a probationary employee shall not be dismissed, except in the case of gross misconduct, without having received on a previous occasion one recorded warning giving the consequences of further misconduct. The warning should be for a suitable duration, depending on the period of probation to be completed.

Where the probationary employee is to be dismissed due to unsatisfactory performance or conduct, or in cases of gross misconduct, the minimum statutory requirements will be followed: the employee will be notified in writing of the problem, the time and venue for the disciplinary meeting, their right to be accompanied and the potential dismissal outcome; a meeting will be held (along the lines of a disciplinary hearing described in this document) and the employee will be entitled to appeal (see section 16).

11. Failure to attend a disciplinary hearing

If a worker is unable to or decides not to take part in any of the meetings under this procedure, s/he must notify the person responsible for conducting the meeting in writing, specifying the reasons for non-attendance. This must be done 48 hours in advance of the meeting.

If sickness prevents a worker from attending, then normal procedures for informing sickness absence apply.

If a worker does not attend a disciplinary hearing and does not provide prior written explanation giving reasonable justification of non-attendance, the Clerk or Chairman will send the worker a recorded delivery letter. The letter will instruct them to attend a hearing at a new date which may include an additional charge of failure to attend and inform.

If the worker does not attend the disciplinary hearing at this new date and time and does not provide prior written explanation giving reasonable justification for non-attendance, the Clerk or Chairman will proceed to hold the hearing at the set date inviting the worker's representative to be present. Such a hearing will normally include the additional charge of failure to attend and inform.

12. Appeal

A worker may appeal against any formal disciplinary action taken under this procedure to the Council's Appeals Committee. An appeal may be lodged against the decisions of the disciplinary hearing as regard to the finding and/or outcome. It may also be lodged against failure to follow this procedure adequately.

A worker wishing to appeal against a disciplinary decision, must do so in writing to the Chairman of the Appeals Committee within ten working days of receiving written notification of the disciplinary action, stating the reasons for the appeal. Any documents submitted in support of the appeal must be attached.

Arrangements for the appeal hearing will be made by the Chairman of the Committee. The appeal shall be conducted in accordance with the procedure detailed in section 16 below.

13. Employment Tribunal

Nothing in this procedure shall affect a worker's right to make a complaint to an Employment Tribunal in accordance with relevant employment legislation.

It is recommended that before taking such action the worker seeks appropriate legal advice.

14. Disciplinary Sanctions Table

Sanction	Lowest Level of Management Authorised to Impose Sanction
Informal Action	Clerk or Chairman
Suspension	Clerk or Chairman
Extension of Suspension period	Chairman
Written Warning	Clerk or Chairman
Final Warning; dismissal of probationary employees	Chairman with the authority of the Council
Dismissal; Action short of dismissal: disciplinary transfer, disciplinary demotion	Three members of the Council including the Chairman

15. The Disciplinary Hearing

The Clerk or Chairman (as authorised within the structure described in 14 above) will conduct the disciplinary hearing.

The person who has conducted the investigation will be the Presenting Officer responsible for presenting the case against the employee.

The worker has the right to be accompanied and assisted by a trade union representative or work colleague.

Where possible, a note-taker, who must be uninvolved in the case, will take down a record of the proceedings.

Witnesses should not be present throughout the hearing. They should be called in, one by one, to give their evidence and asked to withdraw once they have done so.

- I. The Chairman of the Disciplinary Panel will open the proceedings with an explanation of the purpose of the hearing and the procedure to be followed, introducing those present. S/he will read aloud the

allegations and ask the worker if he/she wishes to take the opportunity to admit or deny them.

- II. If the worker admits the allegations, s/he will be asked if they or their representative wish to offer any explanation for the misconduct or to have any mitigating circumstances taken into account.
- III. The hearing will then proceed to stage (xv) below.
- IV. If the worker denies the allegations, the following steps will take place:
 - V. The Presenting Officer will state the case against the worker in the presence of the worker and their representative.
 - VI. The worker or their representative shall be given an opportunity to reply to the allegations and ask questions of the Presenting Officer.
 - VII. The Presenting Officer may call witnesses.
 - VIII. The worker or their representative shall have the opportunity to question any witnesses called by the Presenting Officer.
 - IX. The Panel may ask questions for clarification of the Presenting Officer and any witnesses.
 - X. The worker or their representative shall put the worker's case in the presence of the Presenting Officer.
 - XI. The Presenting Officer shall have the opportunity to ask questions of the worker, their representative and of any witnesses called by the worker.
 - XII. The Panel may ask questions for clarification of the worker, their representative and any witnesses called by the worker.
 - XIII. The Presenting Officer shall have the opportunity to sum up the case against the worker but may not introduce any new material.
 - XIV. The employee or their representative shall have the opportunity to sum up the worker's case but may not introduce any new material.
 - XV. The worker, their representative, the Presenting Officer, and note-taker shall withdraw.
 - XVI. If recall is necessary, both parties are to return regardless of the point giving rise to doubt.
 - XVII. The Disciplinary Panel shall consider the case in private:

S/he (they) must first decide whether on the balance of probabilities, taking due regard of all the facts, the case against the worker is proven.

If the case against the worker is proven, and before imposing a disciplinary penalty s/he (they) must consider:

- the level of disciplinary penalty indicated by the procedure.
- any special, mitigating circumstances which might make it appropriate to lessen the penalty.
- the worker's disciplinary record, general record, position and length of service.
- whether there are any other 'live' warnings.
- how the Council has dealt with similar cases in the past.
- whether the proposed penalty is reasonable in view of all the circumstances.

xviii. The Panel shall inform the worker of the decision at the conclusion of the deliberations, if practicable. In any case, s/he shall provide the worker with written confirmation of the decision within five working days of the hearing. This will include notifying the worker of their right of appeal and the procedure to be followed.

If at any time during the proceedings it becomes apparent that there is no case for the worker to answer, an immediate adjournment may be called by the Presenting Officer.

The hearing may be adjourned by either side or by the Panel Chairman, if it is considered necessary to gather further information or evidence or clarify any issue. The hearing will be reconvened as soon as possible.

16. Appeals procedure

A worker may appeal against any formal disciplinary action taken under this procedure to the Council's Appeals Committee. An appeal may be lodged against the decisions of the disciplinary hearing as regard to the finding and/or outcome. It may also be lodged against failure to follow this procedure adequately.

Where a probationary employee is dismissed, s/he shall have the right of appeal against this decision.

A worker wishing to appeal against a disciplinary decision, must do so in writing to the Chairman within ten working days of receiving written notification of the disciplinary action, stating the reasons for the appeal. Any documents submitted in support of the appeal must be attached.

Arrangements for the appeal hearing will be made by the Chairman who will ensure that a minute-taker is present. The appeal shall be conducted in accordance with the procedure set out below.

The Appeals Committee of the Council, excluding those who were members of the Disciplinary Panel who made the decision which is subject of the appeal, or the Chair where s/he has been involved at an earlier stage of the disciplinary procedure.

The worker may be accompanied by a union representative or a work colleague of their choice at any appeal hearing.

The management representative at the appeal hearing will be the Disciplinary Officer responsible for the decision which is subject of the appeal. Depending on the stage of the disciplinary procedure implemented in the relevant case, this may be the Clerk or Chairman.

The appeal will be heard as soon as possible but not later than 20 working days from the date of receiving the employee's request for appeal.

The date and time of any appeal hearing shall be agreed between the employee, the union representative/work colleague, the management representative and the Committee members.

The appeals process provides the opportunity for the Appeals Committee to consider any new evidence not previously presented; whether the decision of the disciplinary hearing was reasonable in the circumstances; or whether the disciplinary procedure was followed adequately.

Conduct of Appeal Hearings

The Chairman of the Appeals Committee will conduct the hearing as follows:

- (i) The Chairman of the Committee will open the proceedings with an explanation of the purpose of the hearing and the procedure to be followed, introducing those present. S/he will read aloud the employee's reason for lodging an appeal as submitted in writing to the Chairman.
- (ii) The employee and/or their representative will put their case in the presence of the management representative outlining the grounds for the appeal and the reasons why they feel the original decision was incorrect. The employee or their representative shall call any witnesses or refer to any documents as necessary. Witnesses shall be called in turn and for each witness the procedure shall be:
 - (a) the employee or representative question the witness
 - (b) the management representative questions the witness
 - (c) the Appeals Committee question the witness
- (iii) The management representative will ask questions of the employee and/or representative.
- (iv) The Appeals Committee will ask questions of the employee and/or representative.
- (v) The management representative will put the case for disciplinary action in the presence of the employee and their representative calling witnesses and referring to documents, as necessary. Witnesses shall be called in turn and for each witness the procedure shall be as in (ii) above.
- (vi) The employee and/or representative will ask questions of the management representative.
- (vii) The Appeals Committee will ask questions of the management representative.
- (viii) The management representative and the employee and/or their representative will sum up their respective cases and then withdraw.
- (ix) The Appeals Committee will consider the case in private. The decision of the Committee shall be notified to the employee verbally at the end of the Hearing in the presence of the management representative and shall be confirmed in writing within five working days of the hearing.
- (x) The decision of the Appeals Committee shall be final.

17. Records

Records will be kept detailing:

- the nature of any breach of disciplinary rules or unsatisfactory performance.
- the worker's defence or mitigation.
- the action taken and the reasons for it.
- whether an appeal was lodged and its outcome.
- any grievances raised during the disciplinary procedure.
- any subsequent developments.
- copies of all correspondence relating to this procedure including recorded written warnings; and
- notes of any formal meetings.

These records will be kept confidential and retained in accordance with this disciplinary procedure and the General Data Protection Regulations 2018. Workers will be entitled to have access to their own records in accordance with the Act. Copies of any hearing records will be given to the worker concerned. In certain circumstances (for example to protect a witness) the employer might withhold some information.