Disciplinary Policy

Version 3.1 / April 2023

1. Purpose

This policy is designed to help employees to achieve and maintain standards of conduct, performance, and adherence to regulations and policies consistent with their terms and conditions of service. The aim is to ensure prompt, consistent and fair treatment for all employees and to enable both the individual and the University to be clear about the expectations of both parties. At the same time, the University and the recognised Trade Unions agree that this policy should not be used as a substitute for promoting and maintaining good informal relationships which exist throughout the University.

2. Scope

This policy applies equally to all employees with the sole exception of the Vice Chancellor and the Secretary. Disciplinary allegations regarding the Vice Chancellor and the Secretary will be heard by the Board of Governors.

3. Principles

3.1 The University expects professional standards of behaviour, attendance and adherence to regulations from all its employees. It is part of the normal Line Management process that when there is a lapse in professional standards, employees are reminded of what is required of them. This policy and procedure provides a method of dealing with any apparent shortcomings in conduct and can help an employee to become effective again.

3.2 The University will treat any behaviour which may bring the University into disrepute or impede the proper execution of its business, very seriously. Such behaviour may be considered either misconduct or gross misconduct. Any

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3.6 Wherever possible, problems should be resolved informally without recourse to formal procedures. Where it is not possible for a problem to be resolved informally, or the severity of an allegation warrants it, the formal procedure detailed below will be followed. The University however, reserves the right to commence investigation into a disciplinary matter, without notice, in exceptional circumstances.

3.7 There is a right of appeal against any level of disciplinary action, including dismissal.

3.8 No disciplinary action will be taken against a Trade Union representative in matters connected with the exercise of their official responsibilities until the circumstances of the case have been conveyed to a full time official of the union concerned. Before any interview in respect of an allegation of a disciplinary matter is held involving a Trade Union representative, management will seek to discuss the circumstances of the case with a relevant full-time official. These discussions, however, must not

and scope of their investigative actions, dependent on the nature, seriousness and sensitivities of the case, to ensure that they can deal with it in a fair, proportionate and efficient manner. Training, guidance and support will be provided by the University to Managers who are appointed to deal with investigations or chair disciplinary meetings or appeal panels.

Responsibilities of the Witness

Reasonable requests made by an IO of an employee to attend a fact finding meeting and / or provide a statement (see Appendix 5) to assist the investigation of a case, should be met, unless there are reasonable grounds for not meeting with such a request. These reasons must be given to the IO without undue delay. Witnesses may also be called to attend or provide statements to a Disciplinary Meeting. Witness evidence must be provided in good faith. If such evidence is found to be malicious or vexatious, it may be necessary to take disciplinary action.

Responsibilities of the Companion including Trade Union Representatives

The companion and / or Trade Union (TU) Representative's role in the process is to support their work colleague or member (see Appendix 3). On occasions the companion and / or TU Representative may act as advocate for their work colleague or member.

Manager and the employee should keep a written record of their discussions and outcomes.

6.2 Where this fails to resolve the matter or it is sufficiently serious to warrant the formal process from the outset, the following process should be followed.

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- The name of the IO and the PPC Representative present at the meeting, and their roles

8. The Fact Finding Meeting

Purpose: For the IO to establish the nature of the allegation, find the facts of the case, listen to the employee and others, and determine if there is a case to answer.

8.1 Any meeting with the employee will be held by the IO without undue delay. A member of PPC will be present in an advisory capacity.

8.2 At any fact finding meeting, the employee will be given the opportunity to present their response to the allegation in a calm, fair and objective manner.

8.3 The IO, advised by PPC will consider the facts of the case, and decide if there is a case to answer. Factors to be taken into consideration when making such a decision include:

- What actually occurred?
- Whether there is evidence to substantiate the allegation
- Any precedent(s) W2 Tm[(.)0.9 (d by)-1 (t)-et /C2t cons-3 (h)5 [(w) 3 F1/B (es)-1 (pons)-1u-3 (t)3 BDC /9 (

10.7

The first written warning will be effective for a maximum of 6 months from the date of the letter following the disciplinary meeting. After that time it will be disregarded subject to satisfactory conduct. If during the 6 months matters deteriorate further then disciplinary action at the next level will be considered.

If the employee has been absent from work for a significant period during the 6 months, the period may be extended, at the discretion of the Line Manager, by no more than the period of absence from work.

Please provide a detailed explanation here of the basis of your appeal

Please outline how you would like your appeal to be resolved

17. Appendix 3

The role of the companion under this policy

The companion may be a Trade Union (TU) representative or work colleagc 0 Tn

18. Appendix 4

Misconduct:

- Insubordination
- Wilful minor damage to University property
- Minor breach of any University regulation or the most up to date policy
- Improper conduct which may bring the University into disrepute
- Vexatious use of the University's complaints procedures
- Breach of Policy and Regulations on Relationships between staff and students
- Breach of the Policy on Acceptable Use of ICT and misuse of University telephones, computers or other University equipment or vehicles, including private use or use for gain
- Unauthorised absence from work
- Persistent lateness
- Smoking in contravention of the University's Policy
- Disruptive behaviour
- Gross misconduct
- Unprovoked assault or intimidation of other employees, students, visitors

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- Serious misuse of University computer systems, including offensive e-mails, electronic texts, accessing, distributing, producing improper pornographic or offensive images
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19. Appendix 5

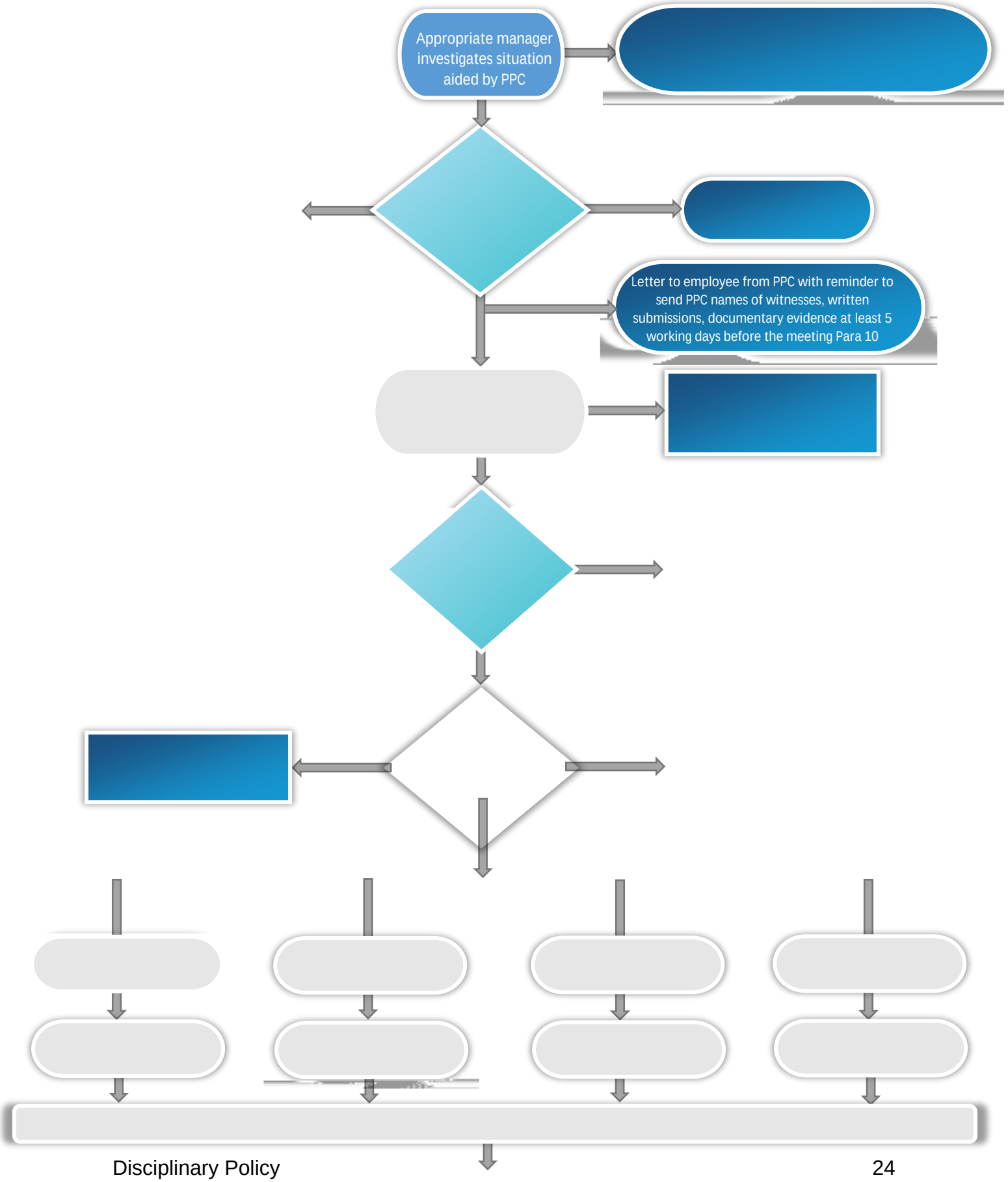
Discplinary Witness Statement Form

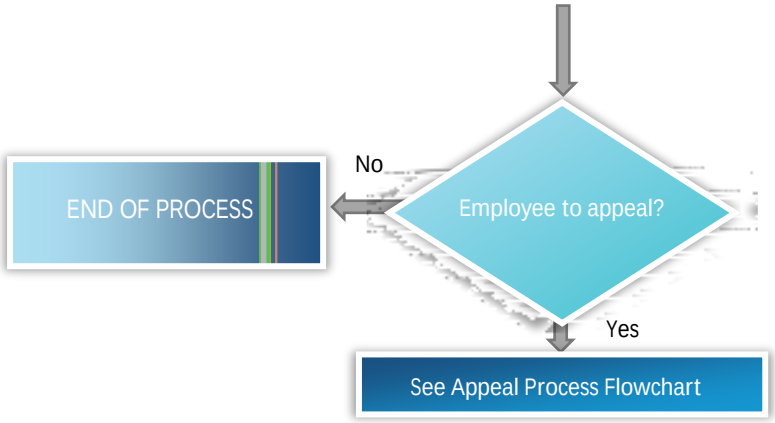
To be completed by the witness and sent to the Department of PPC.

Please ensure you have read the Disciplinary Policy before completing this form.

21. Appendix 7a

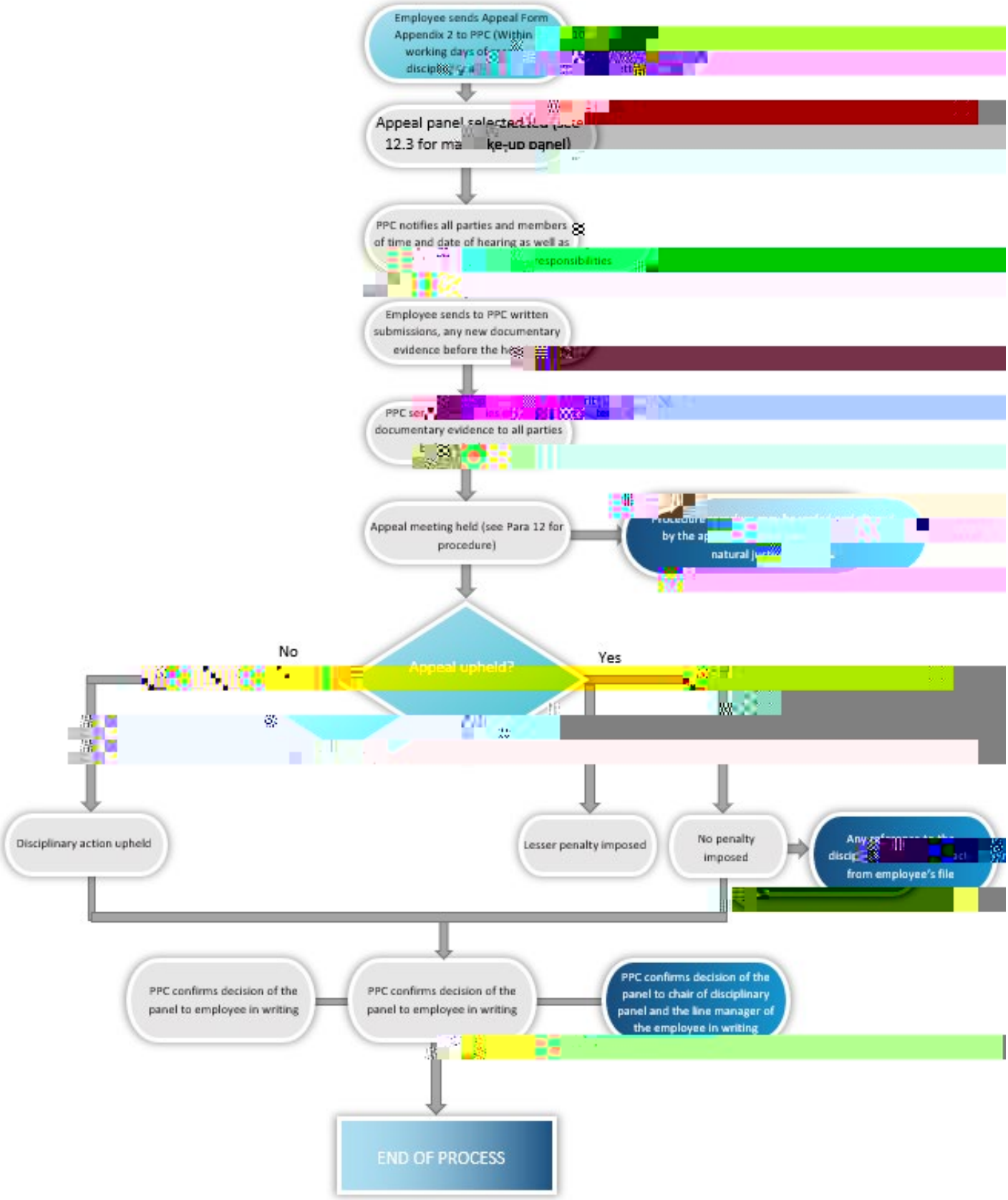
Disciplinary Procedure Flowchart




END OF PROCESS
No
Employee to appeal?
Yes
See Appeal Process Flowchart

22. Appendix 7b

Appeal Process Flowchart



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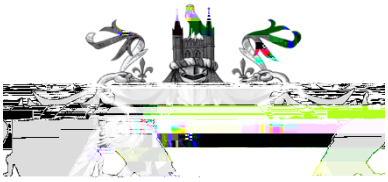
Owner	Last Reviewed
Operations	April 2023