

LANESEND PRIMARY SCHOOL  
LOVE LANE, COWES  
ISLE OF WIGHT PO31 7ES  
TEL & FAX: 01983 293 233  
E: ADMIN@LANESENDPRI.IOW.SCH.UK  
WWW.LANESENDPRIMARY.IK.ORG

# Lanesend Primary School

## Disciplinary Procedure

Isle of Wight Policy  
Statutory Policy

Signed: ..... Date:  
(Headteacher)

Signed: ..... Date:  
(Chair of Governors)

**Review Date:** June 2018 (Every 3 Years)

**Reviewed By:** Isle of Wight Council and agreed by Full  
Governing Body

# 1 Document Information

**Title:** Disciplinary Procedure  
**Status:** Approved

<b>Current Version:</b>	<b>V 0.9</b>
<b>Author:</b>	Liz Maidment, Senior Human Resources Business Partner Human Resources & Organisational Change ✉ <a href="mailto:liz.maidment@iow.gov.uk">liz.maidment@iow.gov.uk</a> ☎ (01983) 821000 ext 6289
<b>Sponsor:</b>	Claire Shand, Head of Human Resources & Organisational Change Human Resources & Organisational Change ✉ <a href="mailto:claire.shand@iow.gov.uk">claire.shand@iow.gov.uk</a> ☎ (01983) 821000 ext 6283
<b>Consultation:</b>	Taken place with Trade Unions
<b>Approved by:</b>	Claire Shand
<b>Approval Date:</b>	5 July 2015
<b>Review Frequency:</b>	Every three years
<b>Next Review:</b>	June 2018

Version History		
Version	Date	Description
0.1	December 2010	Initial Draft
0.2	February 2011	Second Draft
0.3	April 2011	Third Draft
0.4	September 2011	Fourth Draft
0.5	November 2011	Fifth Draft
0.6	October 2012	Final Draft
0.7	January 2013	Final version
0.8	March 2014	Updated to reflect the endorsed recommendation of Employment Committee by Full Council on 26 February 2014 to refer appeals against dismissal to a panel of elected members.
0.9	June 2015	Updated to reflect change in legislation relating to disciplinary procedure for Statutory Officers and inclusion of security breaches process

## 2 Contents

1	Document Information .....	2
2	Contents.....	3
3	Introduction .....	4
3.1	The Purpose of the Procedure.....	4
3.2	The Scope of the Procedure .....	4
4	Flowchart of the Procedure .....	5
4.1	Information Action / Formal Disciplinary Procedure Stage 1 .....	5
4.2	Formal Disciplinary Procedure Stage 2 – Appeal.....	6
5	Informal Action .....	7
5.1	Addressing Disciplinary Issues Informally .....	7
5.2	Reviewing Conduct and Behaviour .....	7
6	Formal Disciplinary Procedure – Stage 1 .....	8
6.1	Referral to the Formal Disciplinary Procedure .....	8
6.2	Suspension From Work .....	8
6.3	Investigation .....	9
6.4	Investigation Report.....	10
6.5	Formal Disciplinary Hearing.....	10
6.6	At the Hearing .....	12
6.7	Possible Disciplinary Sanctions .....	12
6.8	Fraud, Safeguarding and Security Breaches .....	13
6.9	Misconduct and Gross Misconduct .....	14
7	Formal Disciplinary Procedure – Stage 2 .....	15
7.1	Making an Appeal.....	15
7.2	At the Appeal Hearing.....	16
7.3	Keeping Written Records.....	16
8	Appendix A – Misconduct / Gross Misconduct.....	17
9	Appendix B – Order of Events at a Formal Disciplinary Hearing .....	20
10	Appendix C – Protect-Personal – Improvement Action Plan .....	22
11	Appendix D – Guidelines Concerning Allegations of Fraud.....	23
12	Appendix E – Procedure for Statutory Officers .....	24
13	Related Documents.....	27
14	Glossary of Terms .....	28

---

## 3 Introduction

### 3.1 The Purpose of the Procedure

The purpose of the Disciplinary Procedure is to provide a framework through which shortcomings in an employee's conduct or behaviour can be addressed, to help the person to achieve and maintain the standards expected of them.

The aim is to ensure consistent and fair treatment for all staff across the Council / School.

The Council reserves the right to implement the procedure at any stage, taking into account the nature and seriousness of the employee's alleged misconduct.

### 3.2 The Scope of the Procedure

This procedure applies to all employees of the Isle of Wight Council / School and is non-contractual. For clarification, this also includes:

- all employees of the Isle of Wight Fire and Rescue Service who are covered by Grey or Gold book conditions;
- all School employees, including Support Staff, Teachers and Headteachers;
- Chief Officers.

The procedure does not cover the following:

- issues of attendance or capability, for which there are separate procedures;
- termination during or at the end of a probationary period of service (including any extended probationary period of employment);
- termination of employment by mutual consent.

NB: No disciplinary action should be taken against an accredited recognised Trade Union representative (except where suspending the employee in a case of suspected gross misconduct) until the circumstances of the allegation have been discussed with a full-time official of that Union.

## 4 Flowchart of the Procedure

(The numbers against each heading refer to the relevant section of the procedure.)

### 4.1 Information Action / Formal Disciplinary Procedure Stage 1

#### Deciding on appropriate action

Manager to make a judgement on the seriousness of the issue and whether it should be dealt with informally or formally and whether the misconduct requires suspending the employee from work.

#### (5) Informal action

The line manager attempts to address the misconduct or poor behaviour through informal action, agreeing an Improvement Action Plan where appropriate.

**Q. Has the required improvement been achieved?**

NO

YES

No further action necessary

#### (6) Formal action Stage 1

The manager holds a meeting with the employee to discuss the problem and decides whether there is a possible disciplinary case to answer.

**Q. Is there a disciplinary case to answer? (6.1)**

YES

NO

No further action necessary

Arrange a meeting with HR to discuss case and agree any further action.

YES

#### (6.2) Investigation

HR and the manager agree whether the manager investigates the problem, OR refers the matter to the Head of Service (or Headteacher), who may appoint an independent investigator to carry out a detailed investigation.

**Q. IS FURTHER INVESTIGATION NECESSARY AND IS THE CASE SERIOUS ENOUGH TO REQUIRE AN INDEPENDENT INVESTIGATION?**

**Q. SHOULD THE EMPLOYEE BE SUSPENDED FROM WORK?**

If yes, 6.2 "Suspension from work" applies.

YES

#### (6.3) Investigation Report

The manager OR the independent investigator produces a report, which is sent to the manager and HR for review.

**Q. Is there a disciplinary case to answer? (6.1)**

NO

#### (6.5) Disciplinary Hearing

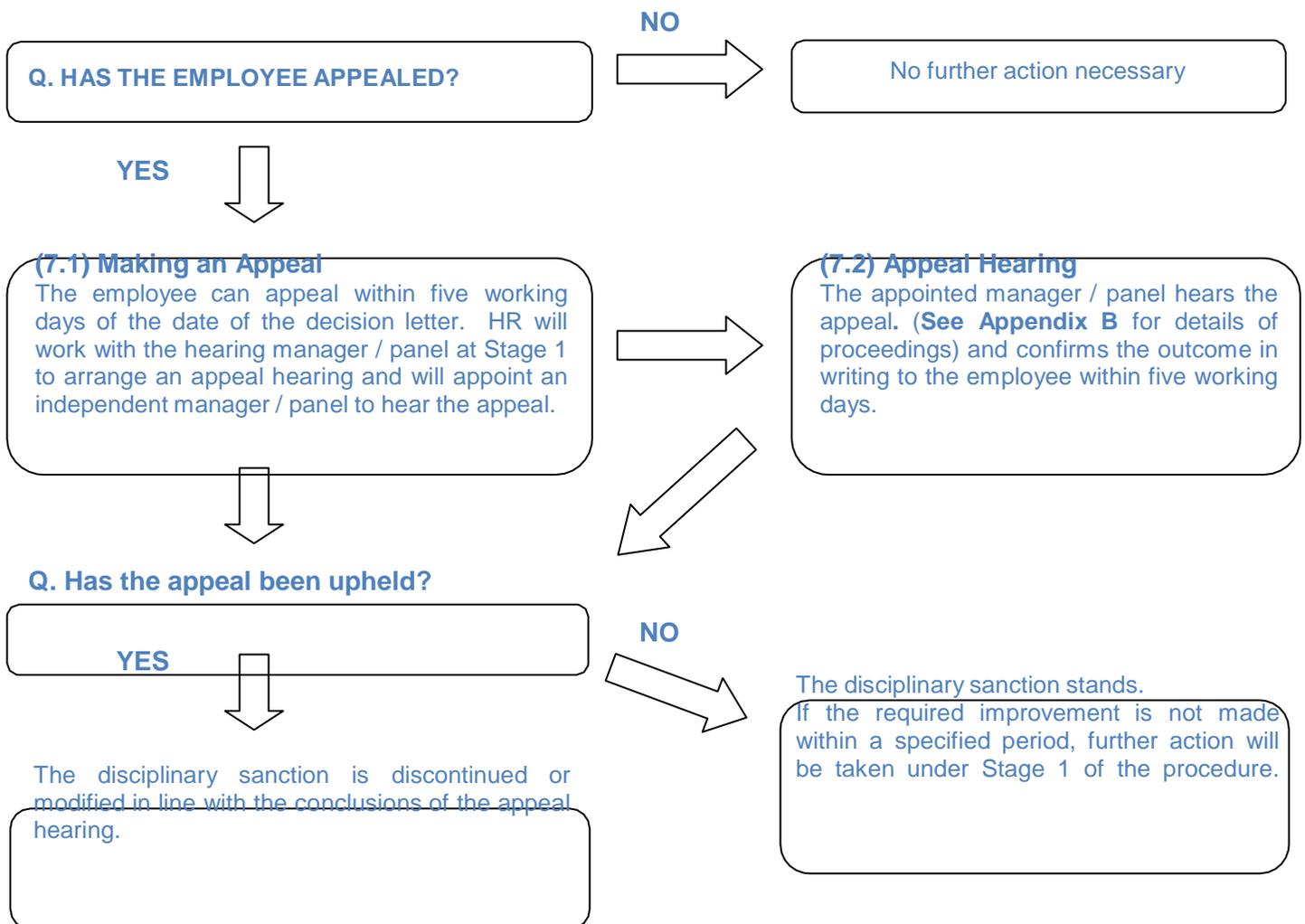
The employee is invited to attend a formal disciplinary hearing by the manager.

The appointed manager / panel hears the case, (see **Appendix B** for details of proceedings) and decides what, if any disciplinary sanction should be applied (see 6.7 "Possible disciplinary sanctions").

The hearing manager's decision is made and confirmed in writing to the employee within five working days. The employee has the right of appeal.

No further action necessary. Employee must be informed in writing.

## 4.2 Formal Disciplinary Procedure Stage 2 – Appeal



## 5 Informal Action

### 5.1 Addressing Disciplinary Issues Informally

Managers should deal with minor acts of misconduct informally wherever possible and / or appropriate. However, failure to improve, further misconduct or more serious misconduct may lead to formal disciplinary action being taken.

The manager's role is to:

- Meet promptly with the employee to discuss the misconduct or behavioural issue in detail. Factual examples of the behavioural or misconduct issue(s) should be given.
- Give the employee the opportunity to explain her / his conduct or behaviour.
- Investigate the matter further where necessary.
- Outline the required standard of conduct or behaviour, explain the apparent shortfall and define the improvements required.
- Agree any appropriate future action with the employee, including additional support (e.g. coaching, mentoring), development and / or training.
- Define a timescale for monitoring and reviewing progress. Where appropriate, this review period may be included within a structured written Improvement Action Plan (IAP: see Appendix C) developed with the employee, which will also include establishing monitoring processes. A copy of the IAP paperwork will be given to the employee.
- Explain that further instances of misconduct or lack of improvement in behaviour may result in formal disciplinary action.

The manager should confirm the above points to the employee in writing.

### 5.2 Reviewing Conduct and Behaviour

If the employee's conduct during the review period is satisfactory, the manager should meet with the employee to inform them of this. This should be confirmed to the employee in writing within five working days of the meeting.

If the employee's conduct is not satisfactory by the end of the review period, the manager will meet with the employee to explain the shortcomings and allow the employee to respond. The manager may decide to extend the review period if they feel that this could address the problem satisfactorily. However, if the manager considers that the employee has failed to attain the required standard without justifiable reason, and / or the poor standards of conduct or behaviour are therefore likely to continue, the matter will be referred to the formal stage of this procedure (see **6: Formal Procedure**).

The manager may invoke the formal procedure prior to the end of the review period if the misconduct or behaviour issue becomes serious enough to warrant it.

NB: The line manager should keep a record of all conversations with the employee and should also retain examples of where the misconduct or behaviour issue is evidenced.

## 6 Formal Disciplinary Procedure – Stage 1

*(Please also refer to Disciplinary Procedure – Additional Guidance on [iwight.com](http://iwight.com) or [Wightnet](http://Wightnet) : Documents.)*

### 6.1 Referral to the Formal Disciplinary Procedure

If informal action has not resulted in the desired improvement, the manager will invite the employee to a meeting.

Where the nature of the alleged misconduct or behaviour is serious enough, the formal disciplinary procedure will be initiated without any preceding informal action. The manager will meet with the employee to discuss the problem with them and allow them to explain. If the manager decides that there is a possible disciplinary case to answer, they should inform the employee that the problem is being referred to the formal disciplinary procedure.

The manager should ensure that the employee has a copy of this procedure.

### 6.2 Suspension From Work

There may be circumstances when the manager or Headteacher (in consultation with HR) needs to consider suspending the employee from work on full pay, e.g.

- where serious or gross misconduct is alleged; or
- where it is considered that the employee's presence in the workplace may hinder the investigation; or
- where it is necessary to comply with the requirements of an external regulating body.

Suspension must only be used as a last resort and after due consideration has been given to possible alternatives and the implications of suspension. Suspension must be authorised in advance, following completion of the suspension checklist in conjunction with HR, by;

- a Head of Service; or
- by the Chair of the Governing Body; or
- in the case of a Chief Officer, by the Managing Director; or
- in the case of a Headteacher, by the Chair of the Governing Body.

Any decision to suspend will be confirmed in writing to the employee by the line manager within three working days.

Suspension is a precautionary, not a disciplinary action pending the outcome of disciplinary proceedings. If serious misconduct is not initially suspected or believed to have occurred, but during the course of an investigation the investigator forms the opinion that a serious breach of discipline may have occurred, the employee may then be suspended, but in accordance with the procedure outlined above.

An accredited recognised Trade Union representative should not be suspended until the circumstances of the allegation have been discussed with a full-time official of that Union.

If suspension is considered necessary the well-being of the individual should be taken into account and the employee will be given a nominated contact person during their suspension.

Further advice, support and guidance can be obtained from the HR Business Partner and Occupational Health if necessary.

The period of suspension should be kept to a minimum and will be reviewed regularly by the Isle of Wight Council's Sickness, Case and Monitoring Group or the School's Headteacher in conjunction with the Chair of Governors.

Whilst on suspension the employee is required to be available to assist with any investigation at any time within normal working hours, unless they have agreed annual leave commitments.

The employee must not enter any work establishment without the prior permission of the line manager and must not contact any employees, clients, pupils or their parents, councillors or governors regarding the disciplinary case other than through a nominated officer or manager, the Headteacher, and / or their nominated Trade Union representative or workplace colleague. The person conducting the investigation is exempted from this sanction.

Should the employee need access to work related documents in order to prepare their case, they should make a request for this information to a senior manager (e.g. Head of Service) or the Headteacher and / or the Chair of the Governing Body.

Employees will be asked to return all work equipment / property when suspended, including any security passes, keys, etc, or as soon as possible after the suspension at an agreed time with their manager.

### **6.3 Investigation**

The purpose of an investigation is to establish the facts of the case as far as possible and decide whether there is a disciplinary case to be answered at a formal hearing.

The manager must contact their HR Business Partner at this stage if they haven't already, to discuss the concerns and to agree who would be appropriate to undertake an investigation.

The manager will normally carry out any necessary investigations into the alleged misconduct or behaviour issue, which will include meeting with the employee to allow them to state their case.

However, if the manager and HR believe that the alleged misconduct or behaviour is of a more serious nature, they should refer the matter to the relevant Head of Service, or in the case of schools, to the Headteacher. In the case of the Headteachers, the matter should be referred to the Chair of the Governing Body. That person may then nominate an appropriate independent person to conduct a formal investigation into the case. The appointment of an investigator will be based upon an assessment of whether the appropriate skills are held but with the level of seniority also being a factor in the consideration of suitability. Within schools this will normally be a Deputy Headteacher. Within the Fire Service this will normally be a member of the Service of at least Station Manager level or above. The Council, Fire Service or School reserves the right however, to nominate any appropriate person to conduct the investigation without referral to the employee or their Trade Union representative or work colleague.

In the case of statutory roles, which includes the Head of Paid Service, Monitoring Officer and Section 151 Officer, please refer to Appendix E which sets out the appropriate procedure to be followed.

The employee must be informed as soon as possible that the investigation is to be undertaken and who will be conducting it.

The manager or independent investigator must:

- Review any informal action already taken.
- Meet with the employee to allow them to explain their side of the case.
- Tape record each interview that is undertaken unless any objection is received and provide a copy of the recording to the interviewee and a written summary of the key points being provided for the purposes of the investigation
- Explore the issue further as necessary, which may include speaking to other members of staff and other witnesses, looking at written evidence (e.g. emails, records etc) and / or seeking advice (e.g. from HR).
- Meet with the employee towards the end of the investigation to discuss the evidence they have gathered and give the employee an opportunity to state their case in light of that evidence. Although not a statutory right, the employee may be accompanied at this investigation meeting by a Trade Union representative or work colleague if they wish; however, the provision to be accompanied must not delay the prompt progress of the investigation.

Within schools the Headteacher will normally carry out investigations into allegations against a Deputy Headteacher. A member of the Governing Body, other than the Chair of Governors, will carry out investigations into allegations against the Headteacher.

#### **6.4 Investigation Report**

On completion of the investigation the manager or independent investigator will produce a report of their findings including whether there is a potential disciplinary case to answer. The report will be reviewed by HR with the manager, or School Business Manager and Headteacher (in the case of schools).

Where the investigation determines there is a potential case to answer, a formal disciplinary hearing will be arranged.

Where the investigation has established that there is no disciplinary case to answer the employee must be informed accordingly in writing by the manager.

#### **6.5 Formal Disciplinary Hearing**

If the manager or Headteacher and or the Chair of the Governing Body decides in conjunction with HR that there is a disciplinary case to answer, they will:

- agree with HR an appropriate person to hear the case (see 6.5.1 below);
- arrange a hearing date and venue, ensuring that the appropriate people are available to attend (ie the investigator, the person(s) hearing the case and their administrative support and an HR Adviser);
- prepare all documentation that will be referred to at the hearing, including the investigation report, any witness statements and a management statement;
- write a covering letter to the employee inviting them to a formal disciplinary hearing, providing at least seven working days notice. The letter must contain enough information about the nature of the alleged misconduct or poor performance to enable the employee to prepare to answer the case at the hearing. The letter will also give details of the

sanctions that will be considered at the hearing, along with the names of any witnesses the manager wishes to call.

The hearing will consider any written representations from the employee and / or their representative. The employee must be given the opportunity to provide any supporting evidence to the person(s) hearing the case at least three working days prior to the hearing date. The employee must also provide the names of any witnesses they wish to call to the hearing within the same timescale.

The employee and the manager will receive copies of any evidence to be presented to the person(s) conducting the hearing by the other party at least two working days prior to the hearing.

The employee has a right to be accompanied at the hearing by their Trade Union representative or a work colleague whose presence would not prejudice the case in any way. The employee must take all reasonable steps to attend the hearing. Account will be taken of any reasonable adjustments required under the Equality Act 2010.

Where either the employee and / or their work colleague / representative is unable to attend a hearing and provides a good reason for failing to attend, the hearing will be reconvened within five working days of the original hearing date or on another date which is mutually agreed by the parties. In circumstances where the employee is unable to attend a hearing for a genuine reason (e.g. health), the employee's chosen representative may attend the hearing in the employee's absence and will be provided with the opportunity to present the employee's case. The employee will also be allowed to make written submissions to be considered in their absence. If the employee and / or their representative are persistently unable or unwilling to attend a disciplinary hearing, a decision will be made in their absence.

The procedure for the hearing will normally follow the procedure outlined at **Appendix B**.

#### **6.5.1 Appropriate Person(s) to Hear the Case**

The hearing should be chaired by a senior manager who has not previously been closely involved with the case or investigation (e.g. the line manager's manager, Head of Service, Headteacher). When a possible sanction to be considered is dismissal, a manager no lower than Strategic Manager or Headteacher level must hear the case.

In schools, the Headteacher will normally hear the case, however, where a Headteacher has been directly involved in the case in some way, or is a witness of particular conduct which may constitute grounds for dismissal, any action beyond a final written warning will be referred to a Panel of Governors, which will be appointed and authorised by the Governing Body for this purpose. Where the disciplinary case involves a Headteacher, the Chair of Governors will conduct the disciplinary hearing.

In the case of a Chief Officer, a Panel of Members will conduct the hearing. The Panel should include no fewer than three elected members and should not include any member or officer with direct involvement in the matter, or who participated in the preliminary investigation.

## 6.6 At the Hearing

The manager, Headteacher or Panel of Members / Governors conducting the hearing will:

- fully investigate the evidence presented, including that of any witnesses;
- provide the employee with the opportunity to state their case fully, including an explanation of their conduct or any mitigating factors;
- make a judgement as to what happened, based on the balance of probabilities, and what, if any disciplinary action is to be taken.

The chairperson conducting the hearing may adjourn proceedings if this is considered to be necessary and the employee (and their Trade Union representative or work colleague) will be informed of the period of any adjournment. If further information is to be gathered, the employee will be allowed a reasonable period of time, together with their work colleague or representative, to consider the new information prior to the reconvening of proceedings.

As soon as possible after the conclusion of the hearing, the person chairing the hearing will convey the decision verbally to the employee and to the manager who presented the disciplinary case.

After the hearing has been concluded, the employee will be informed in writing of the conclusions of the hearing within five working days. This will include the nature of the misconduct or poor behaviour, the change in behaviour or improvement required (with timescale), and any disciplinary action that will be taken as a result of the hearing (**see 6.7: Possible Disciplinary Sanctions**). The employee will also be informed of the consequences of further misconduct or failure to improve behaviour.

The employee will be informed of their right of appeal to a named relevant person and the time period in which they must make the appeal.

## 6.7 Possible Disciplinary Sanctions

### 6.7.1 First Written Warning

This applies where it is found that the employee's behaviour or conduct fails to meet acceptable standards. This will document the nature of the problem, the improvement that is required, the timescale necessary, details of any help that will be provided and the right of appeal. Failure to improve may lead to a final written warning if there is no sustained satisfactory improvement or change. A record of the warning will be held on the employee's HR file, but it will be disregarded for disciplinary purposes after a specified period (normally six months from the date the warning is issued), subject to the employee sustaining satisfactory conduct or behaviour.

### 6.7.2 Final Written Warning

If the offence is sufficiently serious, or if there is further misconduct or a failure to improve behaviour during the currency of a prior warning, a final written warning may be given to the employee. In serious cases this could be the first warning given under the procedure. The final written warning will give details of the complaint, the improvement required and the timescale. It will also warn that failure to improve may lead to dismissal, or some other action short of dismissal and will refer to the right of appeal. A copy of this final written warning will be held on the employee's HR file, but will be disregarded for disciplinary purposes after a specified

period (normally twelve months from the date the warning is issued), subject to the employee sustaining satisfactory conduct or behaviour.

### 6.7.3 Dismissal or Other Sanction

If there is still further misconduct or failure to improve behaviour, or if it has been found that there has been gross misconduct, then dismissal or some other sanction short of dismissal will take place. Some examples of other sanctions are demotion, disciplinary suspension or transfer, loss of increment (as allowed in the contract of employment). The employee will be informed in writing of the reasons for the dismissal, the date on which their employment contract will end, the appropriate period of notice (unless summarily dismissed for gross misconduct) and the right of appeal. If some sanction short of dismissal is imposed, the procedure will be as detailed in 6.7.2, including the right of appeal.

Where a school member of staff has been dismissed, the Headteacher or Clerk to the Governors must notify the Senior Officer responsible for Schools, in writing as soon as reasonably practicable confirming the reasons for dismissal. Where a social worker has been dismissed, the manager must notify the Managing Director in writing as soon as reasonably practicable confirming the reasons for dismissal. The manager, school business manager or HR must also notify the relevant registration / regulatory authority in force at the time.

A record of written warnings will be kept on the employee's personnel file within HR, but will be disregarded for disciplinary purposes after a period specified on a case-by-case basis by the person conducting the disciplinary hearing.

**NB: Any dismissal of School staff within Community and CE Controlled schools must be confirmed by the named Director responsible for Schools.**

### 6.8 Fraud, Safeguarding and Security Breaches

In cases of alleged fraud, the Internal Audit Service must be informed (see Appendix D for the procedure that is to be followed in these circumstances).

In cases of allegations where an employee who works with children has:

- behaved in a way that has harmed a child or may have harmed a child;
- behaved towards a child or children in a way that indicates that they are unsuitable to work with children;
- possibly committed a criminal offence against or related to a child.

Department for Education procedures relating to the safeguarding of children will take precedence. Similarly, any procedures put in place regarding the protection of vulnerable adults for allegations against staff will take precedence.

The Council or school will comply with any duties to disclose suspected disciplinary offences at investigation stage that may be required by external regulatory bodies.

Any disciplinary sanction relating to staff working with vulnerable adults or children must be notified to the relevant registration / regulatory authority in force at the time.

In cases of allegations where an employee may have committed a security breach involving personal data, the Corporate Information Unit (CIU) must be informed. Please refer to the

Information and Data Protection Incident Management Policy for further information. As well as disciplinary action, breaches of information security may amount to a criminal offence. Where there is evidence of a criminal offence, the issue will be reported to the police for them to take appropriate action. The council will co-operate with the police and other appropriate external agencies in the investigation of any alleged offence.

## **6.9 Misconduct and Gross Misconduct**

See **Appendix A** for examples of what the Council, Service or School considers potential acts of misconduct and potential acts of gross misconduct.

## 7 Formal Disciplinary Procedure – Stage 2

### 7.1 Making an Appeal

An employee has the right to appeal against any sanction imposed at any stage of the formal disciplinary procedure, including dismissal. The request for an appeal must be made in writing to HR or the Clerk to the Governors in the case of schools.

The appeal must be made within five working days of the date of the decision letter and must state clearly the grounds upon which an appeal is being made. Save in exceptional circumstances, the employee may only make an appeal on the following grounds:

- the decision: the evidence did not support the conclusion of the manager; and / or
- the penalty: this was too severe given the circumstances of the case; and / or
- new evidence: evidence has come to light since the disciplinary hearing and was not reasonably available at the time of that hearing; and / or
- it is considered that the Disciplinary Procedure was not followed correctly.

The appeal will normally take place within fifteen working days of receipt of the employee's written notice of appeal, or on a date which is mutually agreed by the parties.

HR will work with the person who conducted the previous Disciplinary Hearing to arrange the appeal hearing. The appeal will be heard by a more senior manager than the person who conducted the disciplinary hearing at Stage 1. In the case of dismissal an appeal will be referred to a panel of elected members.

In the case of schools, the appeal will be heard by an Appeals Committee consisting of three Governors, who will not have been involved in any part of the proceedings to date. Staff, governors and others who participated in previous proceedings may attend to give evidence, but must be excluded during the consideration of the decision by the Committee.

In the case of Chief Officers, the right of appeal will be to another Panel of Members. Members who participated in previous proceedings may attend to give evidence, but must be excluded during the consideration of the decision by the Committee.

HR or the Clerk to Governors will write to the employee to invite them to attend an appeal hearing. The employee will have the right to be accompanied by a Trade Union representative or work colleague. They must take all reasonable steps to attend. Account will be taken of any reasonable adjustments required under the Equality Act 2010.

The appeal hearing will consider any representations from the employee and / or their representative. The employee must provide any supporting evidence for the basis of their appeal to HR or the School's Clerk to the Governors, at least seven working days prior to the appeal hearing date. The employee must also provide the names of any witnesses they wish to call.

The manager who made the decision at Stage 1 will be required to attend the appeal hearing to respond to the grounds of the appeal. They may wish to call the manager who presented the case at the Disciplinary Hearing as a witness.

All parties will receive copies of the evidence to be presented at the appeal hearing at least two clear working days prior to the hearing.

The procedure for the hearing will normally follow the procedure outlined at **Appendix B**.

## **7.2 At the Appeal Hearing**

The appeal manager or committee (e.g. the School's Governing Body's Appeals Committee or Panel of Members) will:

- consider all the evidence, including any new evidence presented;
- determine whether the grounds for the previous disciplinary sanction are valid;
- determine whether the sanction remains the same or should be increased, reduced or removed.

The chairperson conducting the hearing may adjourn proceedings if this is considered to be necessary and the employee (and their companion or representative) will be informed of the period of the adjournment. If further information is to be gathered, the employee will be allowed a reasonable period of time, together with their companion or representative, to consider the new information prior to the reconvening of proceedings.

As soon as possible after the conclusion of the appeal hearing, the person chairing the hearing will convey the decision verbally to the employee and to the manager who presented the case.

The appeal manager will confirm their decision in writing to the employee within five working days of the appeal hearing; the employee will also be informed of the reasons for the decision and that the decision is final.

## **7.3 Keeping Written Records**

HR (or in the case of schools the Clerk to the Governors or Business Manager) will keep a written record of the case, which will include:

- The nature of the disciplinary case;
- What was decided and actions taken;
- The reason for the actions;
- Whether an appeal was lodged;
- The outcome of the appeal;
- Any relevant subsequent developments.

Records will be kept no longer than necessary in accordance with the Data Protection Act 1998.

Where applicable, copies of meeting records will also be given to the employee during the procedure, however, in certain circumstances (for example to protect a witness) some information may need to be withheld.

## 8 Appendix A – Misconduct / Gross Misconduct

### MISCONDUCT

The Council / School has an established Code of Conduct which sets standards of behaviour and conduct for all its employees and all employees are expected to familiarise themselves with it. The Code is intended to:

- ensure a safe and efficient workplace and to promote positive working relationships;
- meet the high standards of conduct required of employees providing a public service;
- protect public confidence in the Council / School.

In addition, the examples set out below represent potential acts of misconduct and / or gross misconduct that may lead to disciplinary action being taken, including instances where the potential act(s) take place outside normal hours of work. The list is not exhaustive as the investigation of each alleged incident will be based on its individual circumstances.

Misconduct normally applies where there has been a breach of rules and / or procedures and / or unsatisfactory conduct or behaviour. Matters that the Council views as amounting to misconduct include:

- Discrimination or harassment against another employee or a member of the public on the grounds of gender, disability, health including mental health, race, colour, nationality, ethnic or national origin, age, HIV status, social or economic status, legal immigration status, marital status, sexual orientation, religion, political beliefs, Trade Union membership, carer responsibilities and irrelevant criminal records and convictions.
- Bullying or other unacceptable behaviour towards another person.
- Repeated refusal to obey a reasonable and lawful instruction from a manager, Headteacher or Governing Body.
- Negligence of duties or responsibilities at work leading (or potentially leading) to either personal injury to another person (e.g. employee, pupil, member of the public) and / or loss or damage to the Council, Service or School, whether to services, property or reputation.
- Misuse of the Council, Service or School facilities, including unauthorised or deliberate misuse of computers / systems, e-mail, social networking sites, and the Internet, as referred to in the Council's or School's ICT Electronic Communications Policy.
- Improper disclosure of personal information about another employee, a pupil or parent, a Council Member, a client and / or a member of the public which contravenes the Council's, Service's or School's Code of Conduct.
- Disclosure of information to the media or other external agency which is potentially damaging to the employer's reputation.
- Facing an allegation of a criminal offence either inside or outside their employment which would make the employee unsuitable for their type of work.
- Abuse of, or inappropriate use of authority vested in any employees by the Council, Service or School.
- Unauthorised absence.
- Consistently poor timekeeping.
- Behaviour which causes upset, disruption or offence to others.
- Undertaking unauthorised employment.
- Being under the influence of alcohol, drugs or other substances whilst on work duties.

- Breach of the Council's, Service's or School's policies.
- Smoking on work premises.
- Failure to report any matter which they are required to report.
- Failure to wear in full, or as modified by management instruction, issued uniform and items of protective clothing.

NB: This is not an exhaustive list.

## **GROSS MISCONDUCT**

Gross misconduct is defined as misconduct of such a serious nature that the employer can no longer tolerate the employee's continued presence at the place of work. Gross misconduct may result in immediate dismissal (i.e. without notice) for a first offence.

Matters that the Council, Service or School views as amounting to gross misconduct include:

- Serious and / or persistent acts of discrimination or harassment against another person on the grounds of gender, disability, health including mental health, race, colour, nationality, ethnic or national origin, age, HIV status, social or economic status, legal immigration status, marital status, sexual orientation, religion, political beliefs, Trade Union membership, carer responsibilities and irrelevant criminal records and convictions.
- Fighting with, assault on, or seriously abusive or threatening behaviour towards another person.
- Serious or repeated bullying or other unacceptable behaviour towards another person, including pupils.
- Sexual misconduct at work.
- Any sexual approach or response to a school pupil, or the development of an intimate relationship with a pupil, whatever the provocation.
- Sexual offences, sexual insults or sexual discrimination against another person, including pupils.
- Stealing, or attempting to steal from others during the course of employment.
- Unauthorised removal and subsequent serious misuse of Council, Service or School property.
- Serious unauthorised or deliberate misuse of computers / systems, e-mail, social networking sites, and the Internet, as referred to in the Council's or School's ICT Electronic Communications Policy.
- Breaches of confidentiality as a result of inappropriate access to records held by the Council or School.
- Serious improper disclosure of sensitive personal information about another employee, group of employees, pupils, parents, Council members or clients, or which contravenes the Council's or School's Code of Conduct and compromises the Council's or School's position.
- Failure to declare an interest, direct or indirect, in any Council contract which has been, or is proposed to be, entered into by the authority.
- Making false representations which could potentially result in substantial personal gain.
- Falsification of records, reports, expense claims or self certification forms, whether or not for personal gain.
- Criminal conviction for an offence, either inside or outside their employment, which would make the employee unsuitable for their type of work with the Council, Service or School.

- Serious abuse of or inappropriate use of authority vested in any employee by the Council, Service or School.
- Acceptance of bribes or other corrupt practices.
- Serious breaches of safety rules or policies affecting the safety of pupils or other persons, including deliberate damage to or misappropriation of safety equipment.
- Being untruthful and / or engaging in deception in matters of importance within the work context.
- Holding unauthorised employment.
- Being seriously under the influence of alcohol, drugs or other substances whilst on work duties.
- Possession, custody or control of illegal drugs on work premises.
- Refusal to settle a debt owed to the Council or School.
- Falsification of a qualification that is a stated requirement of the employee's employment.
- Making malicious or vexatious grievance allegations (including bullying and harassment claims).
- Conduct which substantially brings the name of the Council, Service or School into disrepute, or which seriously undermines confidence in the employer. This includes disclosure of information to the media or other external agency and other inappropriate actions of like kind.
- Gross negligence.

NB: This is not an exhaustive list.

## 9 Appendix B – Order of Events at a Formal Disciplinary Hearing

### ORDER OF EVENTS AT A FORMAL DISCIPLINARY HEARING

The purpose of a formal disciplinary hearing will be to establish the facts about the employee's conduct or behaviour and decide what, if any disciplinary action should be taken.

The format for the Formal Disciplinary Hearing will normally be as follows:

1. The Chairperson leading the hearing will introduce the parties and then explain the purpose of the hearing and how it will be conducted. The Chairperson will state that the hearing is being conducted as part of the Council's formal disciplinary procedure and confirm that a written record of the hearing is being made.
2. The Chairperson will invite the manager to state the case against the employee. As part of the management case any witnesses (e.g. the investigator) may be called into the hearing one at a time to present their evidence. The Chairperson, Committee or Panel members and the employee, their representative or work colleague, may ask any questions of the witnesses. The witness will then withdraw. The manager will then complete their case.
3. The Chairperson and the employee, and / or their representative or work colleague, may ask any questions about the management case in order to establish all the relevant facts, background and surrounding circumstances.
4. The Chairperson will invite the employee to state their case. With the employee's approval, or in the absence of the employee, the employee's representative may do this on their behalf. As part of the employee's case any witnesses may be called into the hearing one at a time. The Chairperson, Committee or Panel members, and the other party will ask any questions of the witnesses. The witness will then withdraw and the employee or their representative will then complete their case.
5. The Chairperson, Committee or Panel members, and the other party (i.e. manager) may ask any questions about the employee's presentation in order to establish all the relevant facts, background and surrounding circumstances.
6. At any point during the hearing, the Chairperson may adjourn the proceedings if it appears necessary or desirable to do so, including for the purpose of gathering further information. The employee or manager may also request an adjournment at any time during the hearing.
7. Once all the evidence has been heard, the manager and then the employee may wish to sum up the key points of the hearing.
8. The Chairperson will then adjourn the hearing to deliberate with their HR Business Partner. The Chairperson will try to reach a decision on the same day. If this is not possible they will inform the employee of their decision within five working days. This will be confirmed in writing to the employee and the manager by the Chairperson.

9. The Chairperson will inform the employee of their right to appeal against the outcome of the hearing.

#### **ORDER OF EVENTS AT AN APPEAL HEARING**

The purpose of an Appeal Hearing will be to establish whether any of the grounds for the appeal should be upheld or not.

The order of events will be the same as for the Formal Disciplinary Hearing, except that at (2) the Chairperson will invite the employee to state the grounds for their appeal first and at (4) the manager who heard the disciplinary case at Stage 1 will then state their case.

The decision of the appeal hearing will be final and there will be no further right of appeal.

## 10 Appendix C – Protect-Personal – Improvement Action Plan

Name of employee:

Job Title:

Section:

Name of line manager:

1. Does the employee hold an up-to-date copy of her / his:
  - a. Job description YES / NO
  - b. Person specification YES / NO
  - c. Personal Development Review record/CPD YES / NO
2. Summarise the nature and extent of the improvement required:
3. Summarise any new objectives and targets set for the employee:
4. Summarise any proposed new learning activities and / or personal support to assist the employee to achieve the required behavioural standard(s):
5. Outline the timescale in which the behavioural standard(s) must be achieved by the employee:
6. Outline the monitoring process during the review period (e.g. 1:1 progress discussions):
7. Summarise any other issues raised:

Line Manager's signature:

Date:

Employee's signature:

Date:

## 11 Appendix D – Guidelines Concerning Allegations of Fraud

In accordance with the Council's Counter Fraud and Corruption Strategy, the Internal Audit Service is responsible for ensuring all allegations of fraud which may be identified by a manager, received from employees or members of the public (known as Whistleblowing) are properly investigated. Fraud may also be identified through routine audit reviews.

### THE ROLE OF THE INTERNAL AUDIT SERVICE

Where an alleged fraud is identified it must be reported to the Head of Service, or Headteacher who must immediately inform the Section 151 Officer or the Business Effectiveness Manager, in their capacity as the client manager for Internal Audit.

The Section 151 Officer will work with HR to ensure that any allegation of fraud is independently investigated.

Where a decision is then made to conduct a disciplinary hearing, a representative from Internal Audit may appear as a witness but will not conduct or hear the case.

There may be circumstances involving potential criminal actions where the investigation interview is recorded and conducted under caution (Police and Criminal Evidence Act 1984).

The Section 151 Officer, together with the relevant Head of Service or Headteacher, in consultation with the Managing Director and the Monitoring Officer, may decide to refer any financial impropriety or any other matter which is against the law to the Police for investigation. Such referral will not prohibit action by the Council, Service or School under its Disciplinary Procedure.

## 12 Appendix E – Procedure for Statutory Officers

### 1. SCOPE

This procedure should be used only when relating to those employees carrying out one of the following Statutory roles either in a full or deputy capacity and only in relation to conduct issues:

Head of Paid Service

Section 151 Officer

Monitoring Officer

This procedure applies only to those employees who also carry out one of the specified Statutory Officers function or in relation to the deputies if the allegation of misconduct is in any way related to the exercise of the specified Statutory Officers function. All other employees are dealt with under the procedure in the main body of this policy, even if they are also carrying out a statutory function. In the event that a situation arises where it is not clear whether the allegation relates to the specified statutory role or not then an initial meeting will be held between the employee and the Strategic Manager for Human Resources, following which a determination will be made by the Strategic Manager for Human Resources as to which procedure will be followed.

Where an allegation is made relating to the conduct or capability of the Statutory Officer or there is some other substantial issue that requires investigation, the matter will be considered by a sub-committee of the Employment Committee, appointed by the Employment Committee in accordance with the Council's Constitution or Standing Orders.

If the matter involves the proposed termination of a Statutory Officer, it will be determined by Full Council.

Where time limits are referred to in the course of this procedure, they may be varied by consent between both parties. Unless specifically stated below the procedure and process to be followed is that set out in the main body of this policy.

### 2. COUNCIL'S RESPONSIBILITIES

The Employment Committee sub-committee as set out in the Officer Employment Rules of the Council's constitution will consider allegations against the Statutory Officer. The remit of the committee is:

- To consider whether the protected officer should be suspended, or where suspension has already taken place, to review the suspension as necessary;
- To review the results of any investigation to consider what disciplinary action, if any, is appropriate after hearing the views of the protected officer and report its recommendations;
- Where dismissal is its recommendation, to refer the matter to Full Council alongside the sub-committee's report for the authority to vote on whether it approves the proposal to dismiss;
- Where the authority approves dismissal, to action the dismissal by issuing notice of dismissal;

- Where action short of dismissal or no disciplinary action at all is appropriate, to put that in place as appropriate.

The sub-committee will consist of five people and will include at least two relevant Independent Persons (IPs). This committee must be in a position to take decisions, and appropriate actions as a matter of urgency.

In the event that the matter involves the proposed dismissal of a Statutory Officer, the sub-committee will be appointed at least 20 working days prior to a meeting of Full Council to determine the matter.

### **3. INVESTIGATOR**

If an investigation is required the process will take place in accordance with para 6.3 as set out in the Disciplinary procedure. The investigator will be appointed by the appropriate manager of the Officer to be investigated and may be another senior officer within the Council or an independent person as deemed appropriate. For the avoidance of doubt in the case of Head of Paid Service the appropriate manager would be the Council Leader. If an independent person carries out an investigation, they may not then sit on the Employment Committee sub-committee that conducts the hearing.

### **4. RELEVANT INDEPENDENT PERSONS**

The Council's constitution sets out the rules for appointing a relevant independent person (IP). S. 28(7) Localism Act 2011(b) sets out the definition of an independent person. Relevant IPs are IPs who have been appointed by the Employment Committee or another Council in the event of an appeal. They will be invited to be appointed to the Committee in the following priority order, as set out in the Council's constitution:

- (a) a relevant IP who has been appointed by the Council and who is a local government elector;
- (b) any other relevant IP who has been appointed by the Council;
- (c) a relevant IP who has been appointed by another council or councils.

### **4. STATUTORY OFFICER RESPONSIBILITIES**

Statutory Officers are responsible for making sure they are fully aware of Council policies and procedures, and for maintaining appropriate standards of conduct and behaviour as set out in the Code of Conduct and for co-operating with the implementation of this procedure e.g. take all reasonable steps to attend any scheduled disciplinary investigation, hearings and/or appeal hearings. The Statutory Officers are entitled to be represented by a Trade Union Representative or a work colleague.

### **5. SUSPENSION FROM WORK**

Where it is believed that suspension is a consideration in accordance with paragraph 6.2 in this procedure, the sub-committee will need to consider whether it is appropriate to suspend.

The relevant Statutory Officer shall be informed of the reason for the proposed suspension and will have the right to present information before such a decision is taken.

The Council Leader in conjunction with the Chair of the Employment sub-committee (or their nominated deputy/s if they are unavailable) will jointly hold the delegated power to suspend a

relevant Statutory Officer immediately if an exceptional situation arises whereby allegations of misconduct by a relevant Statutory Officer are such that his/her remaining presence at work poses a serious risk to the health and safety of others or the resources, information or reputation of the Council.

All other aspects relating to the suspension should be carried out in accordance with 6.2 of the Disciplinary Procedure.

## **6. ACTION SHORT OF DISMISSAL**

Where the decision is to take action short of dismissal the sub-committee will impose the necessary sanction.

## **7. THE ROLE OF FULL COUNCIL (PROPOSED DISMISSAL)**

Following full consideration of the evidence the sub-committee will inform the Proper Officer (as set out in the constitution) when it is proposing to Full Council that the relevant Statutory Officer be dismissed.

Prior to taking a vote on the proposed dismissal of the relevant Statutory Officer, Full Council will consider:

- The advice, views or recommendations of the Investigator and Employment Sub-Committee;
- The conclusions of any investigation into the proposed dismissal; and
- Any representations from the relevant Statutory Officer.

All of the above information and representations may be made in writing or in person as the relevant officer decides. Full Council will then vote to determine the proposed dismissal of the relevant Statutory Officer.

## **8. APPEAL**

If the appeal relates to an appeal against a sanction that is not dismissal the appeal will be heard by another sub-committee formed from members of the Employment Committee and at least two independent persons who did not sit on the previous sub-committee that imposed the sanction.

If the appeal relates to an appeal against the dismissal which was imposed by full council the Statutory Officer may appeal to an appeals panel formed from a neighbouring Local Authority under sharing arrangement in accordance with Section 101 Local Government Act 1972. The appeals panel will consider any investigative report(s) and any other information considered relevant by the sub-committee. This may include, but is not limited to, new information, relevant objections, and the outcome of further investigations. The Statutory Officer will have the opportunity to state his/her case.

The appeals panel will give careful consideration to these matters and request any further investigation it considers necessary to reach a decision.

**The decision of the appeals panel will be final.**

## 13 Related Documents

- Sustainable Community Strategy - *Eco-Island* [www.eco-island.org.uk](http://www.eco-island.org.uk)
- Corporate Plan [www.iwight.com/council/documents](http://www.iwight.com/council/documents)
- Safeguarding Adults Policy and Procedures Sections 1, 2, and 3  
<http://wightnet.iow.gov.uk/documentlibrary/view/safeguarding-adults-policy-and-procedures-section-1-of-3>  
<http://wightnet.iow.gov.uk/documentlibrary/view/safeguarding-adults-policy-and-procedures-section-2-of-3>  
<http://wightnet.iow.gov.uk/documentlibrary/view/safeguarding-adults-policy-and-procedures-section-3-of-3>
- Local Safeguarding Children Boards [www.4lscb.org.uk](http://www.4lscb.org.uk)

## 14 Glossary of Terms

<ul style="list-style-type: none"><li>• <b>Non-Contractual</b></li></ul>	<p>The procedure does not form part of employees' contracts of employment.</p>
<ul style="list-style-type: none"><li>• <b>Probationary Period</b></li></ul>	<p>A specific period of employment at the beginning of an employee's contract, during which both the employee and the organisation decide if the job is suitable for the employee and the employee is suitable for the job.</p>
<ul style="list-style-type: none"><li>• <b>HR</b></li></ul>	<p>Human Resources</p>
<ul style="list-style-type: none"><li>• <b>Occupational Health</b></li></ul>	<p>An external agency which provides a medical and health advisory service to the Council and its employees.</p>
<ul style="list-style-type: none"><li>• <b>Employee Assistance Programme</b></li></ul>	<p>An external agency which provides impartial and confidential advice and support to employees and their family members.</p>
<ul style="list-style-type: none"><li>• <b>Gross Negligence</b></li></ul>	<p>A conscious and voluntary disregard of the need to use reasonable care, which is likely to cause foreseeable injury or harm to persons, property, or both.</p>
<ul style="list-style-type: none"><li>• <b>Sanction</b></li></ul>	<p>An action which constitutes a penalty of some kind e.g. written warning, dismissal.</p>
<ul style="list-style-type: none"><li>• <b>Immediate Dismissal</b></li></ul>	<p>Immediate dismissal without notice or pay in lieu of notice.</p>