

# Disciplinary Procedure

## 1. Policy statement

1.1. Within the University the maintenance of good working practices is a fundamental prerequisite for good employee relations and the smooth running of the University.

1.2. To achieve and maintain good working practices there are rules and regulations covering conduct and behaviour which University staff are required to follow. It is recognised that the majority of University staff will conduct themselves in a professional manner in ways which will

attention of staff and for dealing with alleged failures to adhere to the required standards.

### 1.4.

this procedure. This will normally be expected to result in consistently satisfactory conduct but where improvement does not result, the application of the procedure may ultimately lead to termination of employment.

1.5. As far as reasonably practicable any member of staff who is involved in, or subject to this procedure, and his or her representative, must ensure that they maintain the confidentiality of the process and of University documents, as any unjustified breach of confidentiality may be treated as a separate disciplinary offence. This is subject to an individual's right to seek and obtain appropriate confidential advice or make a disclosure under the Public Interest Disclosure Act or otherwise as required by law or any statutory authority.

## 2. Scope

2.1. This procedure applies to all members of staff at the University regardless of the type of contract that they are employed under. For the avoidance of doubt this includes staff employed on indefinite, fixed term, sessional and other temporary contracts.

2.2. Any conduct which adversely affects the University, its employees, students, visitors or agents, such as negligence, breaches of work rules or unsafe practices may lead to disciplinary action.

2.3. Normal disciplinary standards apply to Trade Union representatives. No formal disciplinary process will be invoked against a member of staff who is a recognised Trade Union representative until the circumstances of the case have been notified to a full time Trade Union official, unless exceptional circumstances prevent this.

2.4. Where known, if any misconduct is in any way linked to a member of staff's physical or mental health this will be taken into account where relevant in any disciplinary decisions by the University and reasonable adjustments will be considered, as appropriate, to this disciplinary procedure.

### 3. Principles

#### 3.1. The principles of this procedure are to:

Set out a fair and consistent framework for dealing with all cases of alleged misconduct.  
Deal with disciplinary matters quickly and thoroughly.  
Take disciplinary action only where informal action fails to bring an improvement or where the offence is sufficiently serious to warrant formal disciplinary action.  
Offer support and assistance to employees whose actions fall below acceptable University standards.

3.2. The Human Resources Division is available to advise and assist line managers in dealing with matters of conduct and behaviour. Their involvement aims to assure fairness and consistency in application of this procedure throughout the University.

3.3. The Human Resources Division will also be responsible for monitoring and reviewing the effectiveness of this policy and procedure, and will provide training in management responsibilities established under this policy.

### 4. Informal Approach

4.1. Some cases of unsatisfactory conduct or very minor breaches of discipline can be resolved informally in the first instance by giving guidance or advice to the member of staff concerned. The manager/supervisor will ensure that the member of staff is aware of the area where misconduct has occurred and where improvement is required.

### 5. Investigation

5.1 Before deciding whether a formal disciplinary hearing is appropriate, the manager/supervisor may wish to instigate an investigation into the member of staff's alleged misconduct and the circumstances surrounding it. The HR Division will assist in this and the investigation will include a meeting with the member of staff in order to establish the full facts of the matter and allow the member of staff to comment on the case against them. Where the manager/supervisor determines that formal disciplinary action is necessary the procedure in Section 6 will be followed. If the manager/supervisor decides that no disciplinary action is required the member of staff will be informed of this. (See Appendix 1 for fact finding and investigation guidance).

### 6. Formal Procedure

6.1. The formal procedure may be implemented at any stage depending on the severity of the misconduct. There are three stages of the formal procedure:

Written warning  
Final written warning  
Dismissal



be University employees and will be advised to the manage

### 10.3. Stage 3 (Dismissal)

Dismissal may be considered as a potential sanction where a further similar disciplinary or other serious matter arises within a 12 month period or where the alleged misconduct is such



14.2. Where a member of staff is subject to a Police investigation the University reserves the right to continue and/or conduct its own investigation and take appropriate disciplinary action.

## 15. Review

15.1 This policy and procedure will be kept under regular review and may be amended or withdrawn following appropriate negotiations with campus trade unions to reflect changes in legislation or changing University requirements.

## Appendix 1 Fact finding and investigation