



UNIVERSITY OF LINCOLN

Disciplinary Policy and Procedure

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A1 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.

A2 Aim

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.

A3 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 commission of an act(s) of misconduct or gross misconduct by an employee, whether listed or not (illustrative but not exhaustive examples are given at Appendix 4 of this document), will result in appropriate disciplinary action.

3.3 If, it appears that failure to meet standards may be due to lack of capability on the part of the employee then this will not be pursued as a disciplinary matter and the University's separate policy on Capability will be followed. A capability issue occurs where an employee is motivated to carry out his/her role but for some reason cannot, and the failing of an employee cannot be characterised as wilful.

3.4 In making regulations relating to the conduct of employees, the Senior Management Team has regard to the need to ensure where applicable, academic freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of sanction by the University.

3.5 The University will not victimise any employee who either represents a colleague or acts as a witness in support of a colleague in disciplinary cases.

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 his/her 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, will not unduly delay the date of any meetings.

A4 Responsibilities under this Policy

Employee Responsibilities

4.1 All employees have a responsibility to conduct themselves in a professional, consistent and respectful manner and with consideration for others. All employees have a responsibility to familiarise themselves with, and adhere to, the University's regulations and policies which are provided to them on appointment and are available on the University portal or from their line manager.

Management Responsibilities

4.2 All managers are responsible for monitoring and reviewing employee performance and conduct, addressing problems without undue delay, and for taking appropriate action. Problems should, wherever possible be resolved by line managers informally. They will receive appropriate training and professional support.

Responsibilities of the Human Resources Department (HR)

4.3 HR is responsible for providing advice and guidance to managers, and has a specific role to provide professional support during the formal stages of the Disciplinary procedure.

Responsibilities of the Investigation Officer (IO)

4.4 An independent IO (a University manager) is appointed by the complainant's line manager and HR and in consultation with HR will consider the facts of the situation. It is the IO's role to determine whether there is a case to answer. The IO will consider the initial information about the allegation. He/she will determine the level 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

4.5 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

4.6 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.

A5 Interaction with the Grievance Policy

Where, after investigation, a grievance against an employee is upheld, it may be necessary to take disciplinary action as at B3 of this policy. In such cases it will not be necessary to conduct another fact finding meeting.

A6 Informal Resolution

6.1 Where there is minor concern about an employee's conduct or performance, it should be dealt with informally. Where appropriate, the line manager should have a two-way discussion, clearly stating the shortcomings, exploring ways that the employee could improve and for the improvement to be sustained. Both the line 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.

B1 The Formal Process

Invitation to the Fact Finding Meeting (s)

1.1 If a complaint against an employee has been formally investigated under the Grievance Policy and the outcome is that disciplinary action will be taken, it will not be necessary to investigate it again – you should proceed to the stage outlined at B3 of this policy.

1.2 In all other cases where an allegation of a disciplinary matter is raised against an employee, it will be necessary for an IO to conduct a Fact Finding meeting as detailed below at B2.

1.3 HR reserves the right to intervene in the process, to appoint an external investigator in cases where it deems this is necessary. This will only be done in exceptional circumstances and after consultation with the employee's line manager.

1.4 An independent IO (a University manager) is appointed by the complainant's line manager and HR. The IO in consultation with HR, will investigate the facts of the situation. The objective will be to (a) establish the nature of the allegation(s), and whether there is a case to answer, and (b) give the employee the opportunity to comment on the issues under investigation.

1.5 Investigations will be conducted objectively, fairly, reasonably and lawfully. They will be conducted as quickly as possible without compromising their completeness.

1.6 The nature of the alleged misconduct may result in suspension of the employee at any stage in the investigation (See Appendix 1). Suspension is a neutral act and there is no implication of guilt or wrongdoing in any suspension from work.

1.7 A letter along with a copy of this policy will then be sent by HR on behalf of the IO to the employee who is the subject of the allegations – see 1.8 below

1.8 The letter to the employee may inform him/her of the need to hold a Fact Finding Meeting. If so, the letter will include:

- the date, time, location and purpose of the meeting (which will be held without undue delay whilst also giving the employee sufficient time to prepare for the meeting)
- the nature of the allegation(s) against the employee;
- the right to be accompanied by a companion and the need to notify HR of the name of the companion in advance of the meeting (See Appendix 3)
- the name of the IO and HR representative present at the meeting, and their roles;

B2 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.

2.1 Any meeting with the employee will be held by the IO without undue delay. HR will be present in an advisory capacity.

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

2.3 The IO, advised by HR 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 precedents;
- Any mitigating circumstances.

2.4 The IO may wish to, at any point during this fact finding process, reconvene the meeting if new facts have arisen and further time or information is required to consider the case. This will be done without undue delay.

B3 After the Fact Finding Meeting

3.1 After the fact finding meeting, the IO will, without undue delay, write a report on the outcome of the findings, and send it to the line manager (in cases where an independent IO has been appointed) and HR.

3.2 HR will inform the employee, in writing, of the outcome of the investigation. If it is concluded that there is substance to the allegation(s) then the matter will progress to a Formal Disciplinary Meeting which will be held as set out in B4 below. If it is found that there is no substance to the allegation(s), then the employee will be notified accordingly.

3.3 The non-exhaustive examples provided at Appendix 4, are intended to illustrate what can constitute misconduct or gross misconduct. The boundary between misconduct and gross misconduct cannot be rigidly defined; therefore each alleged breach will be carefully considered and judged on individual circumstances before any disciplinary action is decided.

B4 The Formal Disciplinary Meeting

Purpose: To listen to the allegation(s), to provide the employee with an opportunity to respond and present his/her case and to consider what disciplinary action, if any, is appropriate.

4.1 If there is reasonable evidence from the fact finding meeting that there is a disciplinary case for the employee to answer, a formal disciplinary meeting will be held.

4.2 A letter will be sent by HR without undue delay to the employee, informing him/her of:

- the date, time, location and purpose of the meeting (to be held without undue delay whilst giving the employee sufficient time to prepare);
- the nature of the allegation(s) and that the meeting is to be a disciplinary one;
- the possible level of seriousness implied by the alleged misconduct;
- the right to be accompanied by a companion and the need to notify HR of the name of any companion in advance of the meeting (see Appendix 3);
- the names and roles of the people who will be present at the meeting;
- any witness statements that were disclosed at the fact finding meeting ; and the need for the employee to submit any queries about the witness statements in advance so that responses can be prepared for the meeting
- the need for the employee to provide the names of any new witnesses or new written witness statements to HR for circulation in advance of at least 5 working days before the meeting.

4.3 The disciplinary meeting will be conducted by a Disciplinary Panel comprising an appropriate manager more senior than the employee concerned and not previously involved in the matter (who will act as Chair) and ideally a member of HR not previously involved with the case. All present are requested to conduct themselves in a formal, polite and respectful manner.

4.4 The Disciplinary Panel will consider the findings from the fact finding meeting, and will decide if they need to interview and put further questions to the IO.

4.5 The employee and/or his/her companion will be entitled to present his/her case, and respond to the allegation(s).

- 4.6 The Disciplinary Panel will question the employee and any new witnesses. The employee and/or his/her companion will be entitled to put forward any questions or responses to witnesses or witness statements.

All parties should conduct themselves politely and respectfully during this process. The Chair may make directions to ensure that all parties comply with these requirements.

- 4.7 The employee will be asked to summarise his/her case and then leave the meeting. If at any time, evidence arises which needs further investigation, the Disciplinary meeting will be adjourned to a later date. If further time is required for consideration of the case, the Disciplinary Panel will meet again (without undue delay) and the employee will be sent a letter by HR advising him/her of the new date. If the employee is unable to attend he/she will be informed of the decision taken at the meeting, in writing.

- 4.8 The Disciplinary Panel will, after due reflection and proper consideration, decide, based on the balance of probabilities, on all available evidence, whether the employee did or did not act or behave as alleged in the way cited. It will also determine what level of disciplinary action should be taken (if any).

- 4.9 Factors to be taken into consideration when making such a decision on disciplinary action are:

- the gravity of the case (Is disciplinary action warranted? If so, at what level?);
- any precedents;
- the employee's disciplinary and service record;
- any relevant mitigating circumstances

- 4.10 The Chair will inform him/her of the decision, which may be sent in writing.

- 4.11 The IO and line manager (where the IO is not the employee's line manager) will also be notified of the decision in writing by HR.

- 4.12 Section C below outlines the levels of disciplinary action that may be taken. Where disciplinary action is to be taken, the employee will be informed of the level of the action, the timescale in which this is to be achieved, the likely consequence of failure to improve, and of his/her right to appeal against the decision.

- 4.13 HR will notify the employee of the decision on behalf of the Chair of the Disciplinary Panel, as soon as possible after the disciplinary meeting. The letter will include:

- the date of the meeting and names/titles of those present;
- details of the allegation(s) that are/are not well-founded, on the balance of probabilities;
- the level of disciplinary action and the supporting reasons;
- the timescale that any warning will remain current;
- the improvement required of the employee, which will be monitored by his/her line manager;
- any timescale within which improvement must be achieved
- the right to appeal

- 4.14 The letter will be sent by recorded post to his/her home address. A certificate of recorded delivery will constitute evidence of receipt. A copy of this letter will be sent to the employee's University email account. A copy of this letter will also be sent to the employee's line manager.

- 4.15 Where a disciplinary warning has not been given, the employee will be formally notified in writing by the Chair of the Panel as soon as possible after the disciplinary meeting.

- 4.16 HR will keep records of the disciplinary case and any disciplinary action taken.

C Levels of Disciplinary Action

Verbal Recorded Warning

1.1 In appropriate circumstances the employee will be given a verbal recorded warning if his/her conduct does not meet acceptable standards. This will normally be delivered verbally and confirmed in writing.

The employee will be advised:

- of the reason for the warning, the improvements required and the timescale for improvement;
- of the right to appeal;
- that, if there is no satisfactory improvement, further disciplinary action will be considered at the next level.
- The verbal 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.

First Written Warning

1.2 A first written warning may be given where:

- the employee's misconduct is serious enough to warrant it and/or;
- a verbal recorded warning is still current and there has been no significant improvement and/or;
- a further related breach of the University's rules occurs.

The employee will be advised:

- of the reason for the first written warning, the improvements required and the timescale for improvement;
- of the right to appeal;
- that, if there is no satisfactory improvement, further disciplinary action will be considered at the next level.

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.

Final Written Warning

1.3 A final written warning may be given where:

- the employee's misconduct is serious enough to warrant it and/or;

-the first written warning is still current and there has been no significant improvement and/or;

-a further related breach of the University's rules occurs.

The employee will be advised:

-of the reason for the final written warning, the improvements required and the timescale for improvement;

-of the right to appeal;

-that, if there is no satisfactory improvement, a recommendation for dismissal will result.

The final written warning will normally be effective for a maximum of 12 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 12 months matters deteriorate further then dismissal will be considered. In exceptional circumstances, where there has been insufficient improvement and the decision is not to dismiss the employee, it may be extended for a further period at the discretion of the Dean/Service Director.

If the employee has been absent from work for a significant period during the 12 months, the period may be extended, at the discretion of the Dean /Service Director, by no more than the period of absence from work.

Dismissal

- 1.4 If the employee's misconduct, failure of application to role, or non-adherence to regulations and policies is serious enough to warrant it, or if a final written warning is still current and there has been no significant improvement or a further related breach of the University's rules occurs, he/she may be dismissed. In cases of gross misconduct the employee may be dismissed summarily without notice. Previous warnings need not have been given.
- 1.5 Dismissal on the grounds of gross misconduct may occur for acts or omissions not mentioned at Appendix 4 but which are sufficiently grave. Other substantial acts or omissions may also lead to dismissal. For example, when the contractual relationship between the University and the employee has broken down or when the relationship between an employee(s) and another employee(s) has become untenable and the cause can be attributed, on the balance of probabilities and all available evidence, to a specific employee(s).
- 1.6 The employee will be provided with written reasons for dismissal, the date on which employment is terminated, and the right of appeal. If the dismissal is 'with notice', the notice period will be as stated in the employee's contract of employment, but the University may make a payment in lieu of notice.
- 1.7 In any case of dismissal the employee has a right to appeal as set out in D below.

D The Appeal Process

- 1.1 An appeal against the decision of the Disciplinary Panel can be submitted using the Appeal Form at Appendix 2 to HR. This must be done within 10 working days from receipt of the decision letter confirming the disciplinary action –see B4 4.14 and 4.15.
- 1.2 The appeal procedure will normally be carried out as soon as practicable thereafter.
- 1.3 An appeal will be heard by a Panel that has not been previously involved in the matter, comprising:
 - usually a more senior manager who will act as chair;
 - an HR Representative

- 1.4 The purpose of the appeal meeting is not to reinvestigate the case but to establish the grounds for appeal and ensure:
- the original decision was reached in a procedurally correct way
 - the action taken was reasonable
 - the proportionality of any penalty to the offence.
- It will consider any new relevant evidence.
- 1.5 The Appeal Panel will consider the findings from the Disciplinary Meeting, and will decide if they need to interview and put further questions to the Chair of the Disciplinary Meeting.
- 1.6 HR will write to the employee and members notifying them of the time and date of the meeting. The employee will also be reminded of his/her rights and responsibilities in relation to access to documents and to their response to witness statements (as outlined in B4.4.2).
- 1.6 HR will send, without undue delay, copies of any written submissions and documentary evidence to all parties before the meeting.
- 1.7 This procedure may, in the interest of the principles of fair treatment, be altered by the Appeal Panel. If it appears that accidental errors have been made in any of the documents submitted, the Appeal Panel may, with the agreement of the parties, correct such errors.

E Appeal Meeting

Purpose: To hear the employee's arguments and determine whether the outcome of the Disciplinary Meeting was procedurally correct and to decide whether the outcome of the Disciplinary Meeting was appropriate to the facts of the case.

- 1.1 The meeting should proceed in a formal, polite and respectful manner. The employee will have the right to be accompanied by a companion. The employee, and/or his/her companion, first presents his/her case to the Panel.
- 1.2 Members of the Appeal Panel may put questions to the employee. Questions may also be put to the chair of the Appeal Panel by the employee, and/or his/her companion.
- 1.3 The employee, or his/her companion, will present their final submission to the Appeal Panel.
- 1.4 The Appeal Panel will consider its decision in private. HR will notify the decision to the employee on behalf of the Chair of the Panel, as soon as possible after the Appeal meeting.
- 1.5 The letter will be sent by recorded post to his/her home address. A certificate of recorded delivery will constitute evidence of receipt. A copy of this letter will be sent to the employee's University email account. The decision of the Appeal Panel will also be conveyed to the chair of the Disciplinary Meeting and the line manager, in writing, by HR.
- 1.6 Where an appeal against disciplinary action is successful and the decision is not to impose any penalty, the reference to the disciplinary action concerned will be removed from the employee's file and the employee will be notified accordingly in writing. Where the appeal decision is to substitute a lesser penalty than that previously imposed, the employee's file will be noted and the employee will be notified accordingly in writing.
- 1.7 Where an appeal against disciplinary action is not successful, there will be no change in the level of action previously decided upon at the conclusion of the Disciplinary Meeting at B4 above.

F Exclusions

- 1.1 The provisions of this policy will not apply to employees who have less than 12 months' service. If difficulties are experienced with the employee's conduct during the probationary period, this will be dealt with under the Probationary Procedure.

Review Date April 2014

Appendix 1

Suspension from Duty

Suspension from duty may be imposed by a senior manager pending investigation into cases of alleged misconduct or other good and urgent cause.

Suspension is a neutral act and not a penalty. The period of suspension will be as brief as possible and will be with pay.

If an employee is to be suspended he/she will be told so orally by the Dean /Director of Service with a member of HR present. The employee will be advised of the reason for the suspension, that the period of suspension will be as brief as possible, and where necessary it will be reviewed after 3 weeks. Suspension from duty is not a pre-determination of disciplinary action. A letter advising of the date of commencement of the suspension, the reason for it and confirming basic pay will not be affected, will be handed to the employee at this meeting or sent as soon as possible afterwards.

APPEAL FORM

To be completed by the employee and copies sent to line manager and Human Resources. Please keep a copy for your records.

Please read this Disciplinary Policy and Procedure before completing this form.

Employee's Name:	Faculty/Service Department:
Please indicate here what decision you are appealing against:	
<p>Grounds for Appeal: The time limit for lodging an appeal is 10 working days from the receipt of the letter of the decision of the Disciplinary Panel</p> <p>An appeal can be made if you are disputing any of the following:</p> <ul style="list-style-type: none"> -Original decision was reached in a procedurally correct way -The action taken was reasonable -The proportionality of the penalty to the offence <p>On which of the three points above are you appealing?</p> <p>If none of the above, what new evidence have you got to form the basis of your appeal?</p> <p>How and why is it relevant to your appeal?</p> <p>Please provide a detailed explanation here of the basis of your appeal.</p>	
I provide this information in good faith. Signature	Date

Notes to employees

(i) Whilst the appeal is being considered, at whatever stage, you will be required to continue working normally wherever possible. If you feel you cannot do so, please discuss this with your line manager or their line manager.

(ii) Raise questions which are only related to your employment.

(iii) Your Trade Union representative or work colleague can support you.

Appendix 3

The role of the companion under this policy

The companion may be a Trade Union representative or work colleague.

The role of the companion is to assist and support the employee by acting as a friend and advisor.

The companion may provide a written submission to a meeting/hearing on behalf of the employee.

The companion may put the employee's case or summarise it at the end. He/she may also ask questions to clarify understanding of the situation, and ask to confer with the employee outside the room with the employee's agreement.

The employee must notify HR in advance of the meeting, who they have chosen as a companion. It is not reasonable for the employee to insist on being accompanied by a colleague whose presence would prejudice the meeting or who might have a conflict of interest.

Where a companion is a witness (or is otherwise involved, or is potentially involved) in the investigation of a disciplinary matter, the employee will be advised by HR to select a different companion on the grounds that the presence of that individual would represent a conflict of interest.

The companion may not however, act in such a way that it prevents anyone else at any meeting from explaining his/her case or making a contribution.

Colleagues who do not wish to accept an invitation to act as a companion are not obliged to do so.

Companions may attend meetings during working hours without loss of pay and will be given reasonable time to familiarise themselves with the matter and confer with the employee both before and after meetings.

The companion may assist in the preparation and presentation of the employee's case.

Employees are responsible for ensuring their companions are willing to support them and attend meetings/hearings.

Employees may not appoint a legal representative or anyone external to the University, other than a recognised TU official, to act as a companion.

Appendix 4 Examples of unacceptable behaviour

Misconduct:

1. Insubordination.
2. Wilful minor damage to University property.
3. Minor breach of any University regulation or the most up to date policy.
4. Improper conduct which may bring the University into disrepute.
5. Vexatious use of the University's complaints procedures.
6. Breach of Policy and Regulations on Relationships between staff and students
7. 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.
8. Unauthorised absence from work.
9. Persistent lateness.
10. Smoking in contravention of the University's Policy.
11. Disruptive behaviour.

12. Gross misconduct:

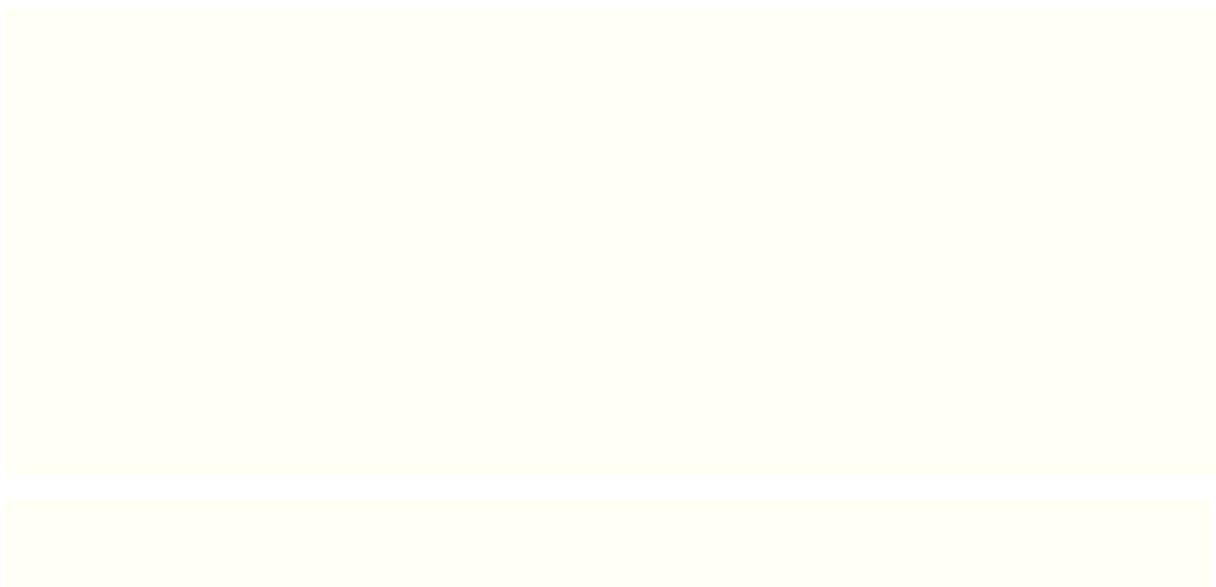
13. Unprovoked assault or intimidation of other employees, students, visitors to the University, or members of the public, during working hours or at the work place or at a work-related event.
14. Wilful or deliberate damage/ sabotage to University property or that of other employees.
15. Disorderly/ indecent conduct during working hours, at the workplace or a work related event
16. Serious professional misconduct, including failure to discharge professional responsibilities.
17. Serious breach of any University regulation.
18. Unauthorised destruction, mutilation, alteration, addition to, or erasure of, official documents.
19. Any wilful act or omission in breach of safety regulations endangering life or limb.
20. Reporting for duty (or driving a University vehicle) whilst under the influence of non-medically prescribed drugs or alcohol.
21. Acts of incitement, harassment or actual acts of discrimination on the grounds of age, gender, disability, sexual orientation, gender reassignment, race, ethnic origin, religion or belief.
22. Theft or falsification of records, including infringement of copyright.
23. Any act of financial dishonesty.
24. Breach of duty regarding confidential information or failure to declare an interest which may be contrary to the best interests of the University.
25. Serious misuse of University computer systems, including offensive e-mails, electronic texts, accessing, distributing, producing improper pornographic or offensive images.
26. Convictions for any serious criminal offences whilst an employee of the University.
27. Making a false declaration on any job application form.

Any act or omission of a kind not mentioned above could be regarded as either misconduct or gross misconduct, depending on its gravity.

**Appendix 5 UNIVERSITY OF LINCOLN
WITNESS STATEMENT FORM**

To be completed by the witness and sent to Human Resources. Please read this Policy and Procedure before completing this form.

Witness Name:	Faculty/Service Department:
You have been named as a witness in a Disciplinary case regarding : (name of employee to be completed by HR)	
<p>Section 1 - Description of Allegation: (HR will provide an outline or details of case if available)</p> <p>Please answer the questions as outlined below as this will help the case to be dealt with more effectively:</p> <p>A description of what you saw or heard or how you are involved with this case</p> <p>Please provide the date (s) when the incident(s) occurred</p> <p>Please provide the time (s) on the date (s) the incident (s) occurred</p> <p>Please explain what, if any action you took in response to the incident(s)</p> <p>Please provide evidence, where applicable, in support of your statement.</p>	
I provide this information in good faith, and am aware that it will be disclosed to relevant people connected to this case	
Signature	
Date	



Appendix 6

Inability to attend the Formal Disciplinary Meeting or Disciplinary Appeal Hearing

The University is committed to completing the disciplinary process promptly and without undue delay, so that employees are confident that issues will be dealt with in a timely manner. It expects all employees involved in the process to abide by this principle. The University therefore accepts that attendance at a fact finding or disciplinary appeal meeting should normally take precedence over other commitments

An employee who cannot attend a meeting should inform Human Resources, in advance whenever possible, and another date will be set. Pre-arranged annual leave periods will be respected in this process.

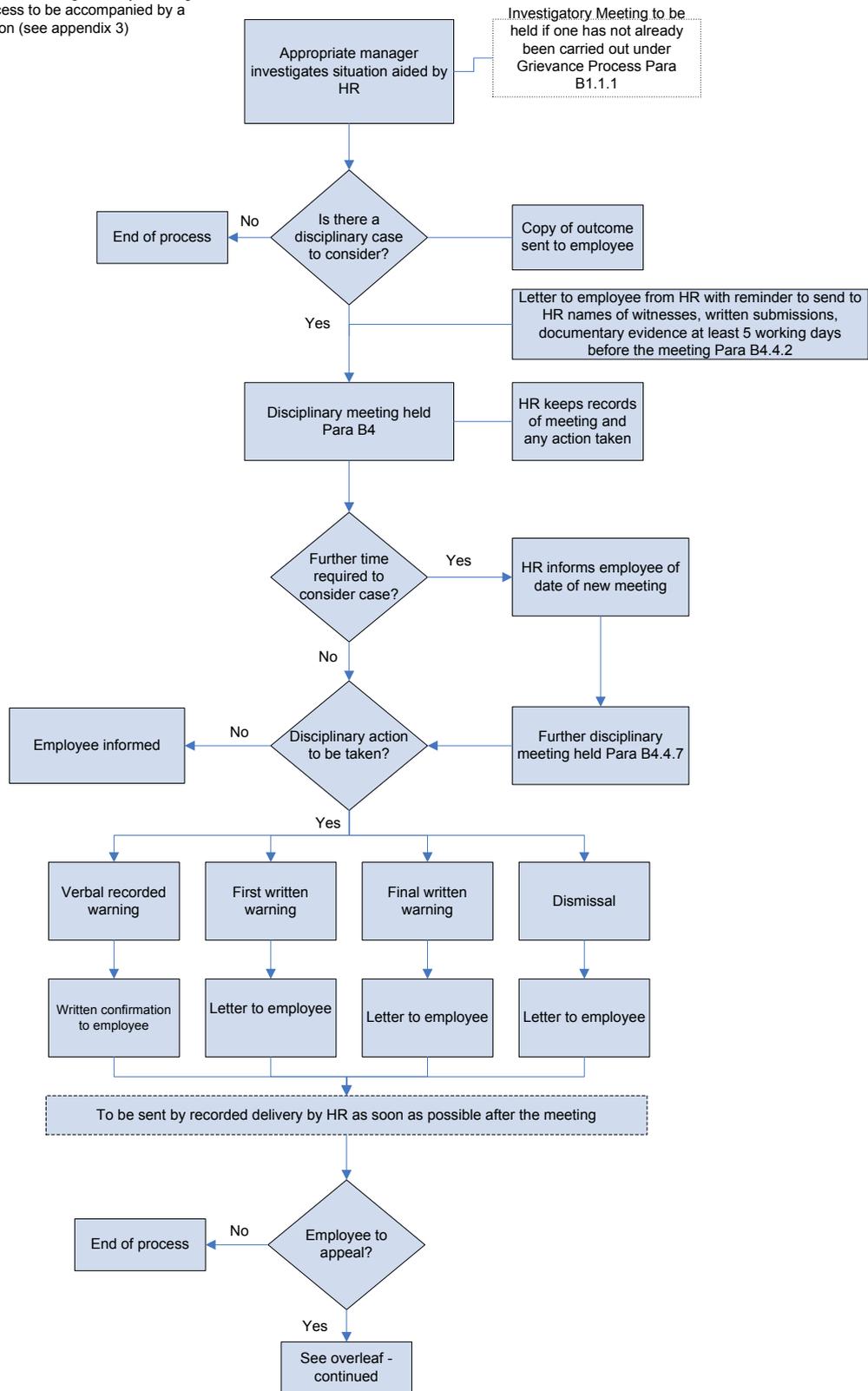
If an employee cannot attend a re-arranged meeting/appeal hearing within a reasonable period of time, and with reasonable justification, the meeting will be held in his/her absence. Where he/she has chosen to be accompanied the companion will be invited to attend on his/her behalf and/or the employee may wish to send a written submission. A decision may be taken in the employee's absence if he/she fails to attend the re-arranged meeting and causes undue delay, without reasonable justification.

Employees are responsible for ensuring their companions are willing to support them and attend meetings/hearings. If an employee's companion cannot attend on a proposed date the employee should notify HR, in writing, as soon as possible. The employee can suggest another date so long as it is not more than 5 working days after the date originally proposed. The University reserves the right to determine the length of an extension to this time limit in cases where it considers this necessary.

Appendix 7a Disciplinary Procedure

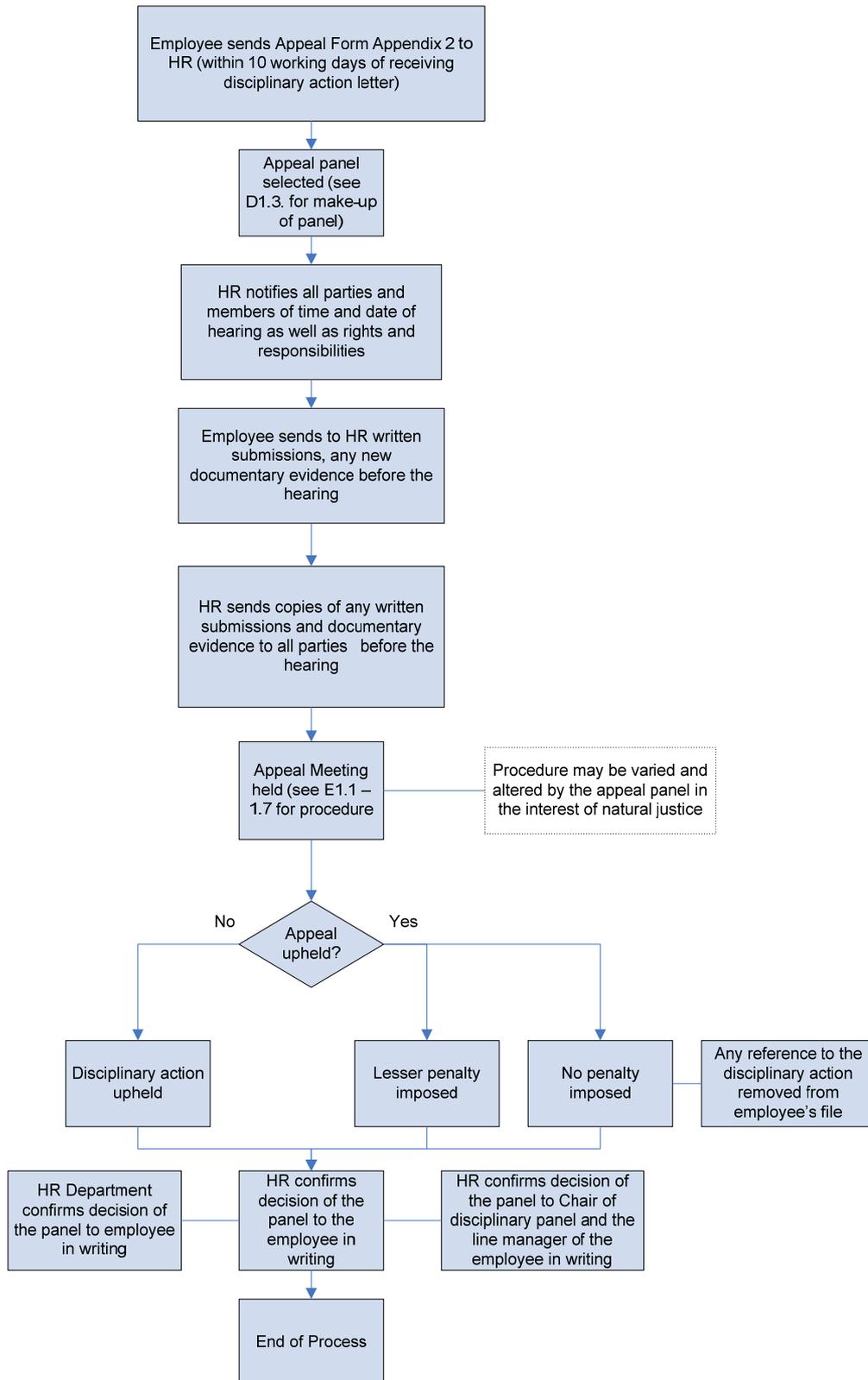
Disciplinary Procedure

Note: the employee has the right at any meeting
In the formal process to be accompanied by a
companion (see appendix 3)



Appendix 7b Appeal Process

Appeal Process



DISCIPLINARY POLICY

POLICY SCHEDULE

POLICY TITLE	DISCIPLINARY POLICY
POLICY OWNER	HR
POLICY LEAD CONTACT	HR
APPROVING BODY	SMT
DATE OF APPROVAL	JULY 2011
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