



Disciplinary procedure flowcharts

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Document summary

This series of flowcharts sets out the key principles managers should follow to apply the disciplinary policy.

This document is part of a series of toolkit documents that support the [Disciplinary Policy](#) and it should be used in conjunction with the policy and the rest of the toolkit which is available on the intranet and the Webshop.

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About this document:

<p>Enquiries: Advisory Team Author: Personnel and Training Telephone: 01273 481300 Email: ~dbspathrstrategyteam@eastsussex.gov.uk</p> <p>Download this document From: Personnel/Managingstaff/Disciplinary SchoolPersonnel/Performance/Disciplinary</p>	<p>Version number: 02 Related information:</p> <p>Disciplinary Policy Disciplinary letter templates Interviewing for disciplinary procedures Disciplinary investigation checklist</p>
<p>Accessibility help</p> <p>Zoom in or out by holding down CTRL and turning the mouse wheel. CTRL and click on the table of contents to navigate. Press CTRL and Home key to return to the top of the document Press Alt-left arrow to return to your previous location. References shown in blue text are available on the Intranet and/or the Webshop. References shown in underlined blue text are hyperlinks to other parts of this document.</p>	

Key points

- These flowcharts set out the actions that managers should take in applying the [Disciplinary Policy](#) and they should only be used in conjunction with that policy document.
- They set out key principles and approaches that will apply to most situations, but every case will be different and may require an approach that is not set out in these flowcharts.
- Queries should be directed to the Advisory Team in Personnel and Training

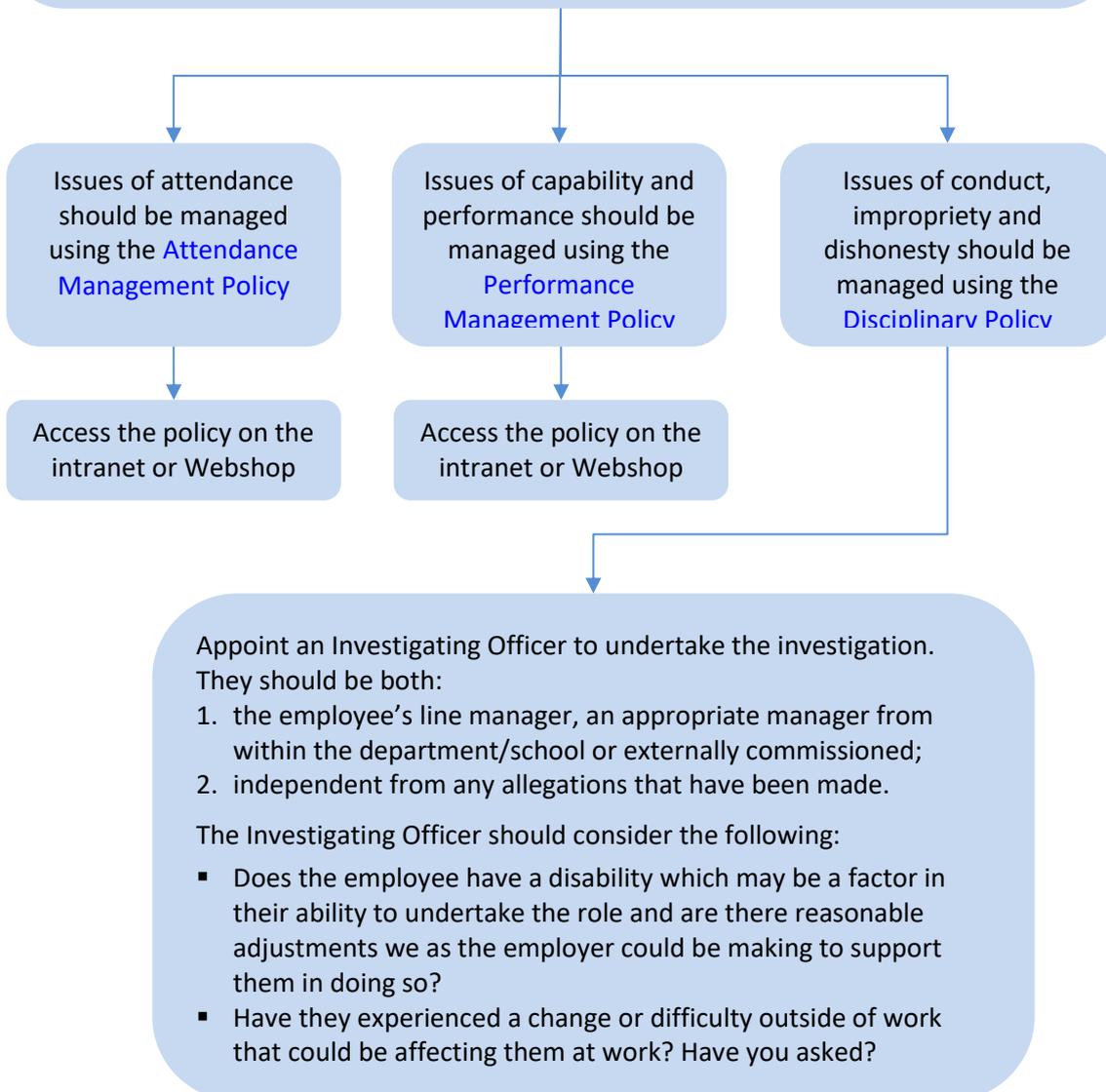
1. Initial considerations

Flowchart 1: Initial considerations

Are you sure this is a disciplinary matter? Consider the following:

1. Is it about their conduct or is it about the quality of their work?
2. Would you characterise the situation as being about their capability (“can’t do”) or their conduct (“won’t do”)?
3. Have they done something they know they shouldn’t have or is it a genuine mistake?
4. Persistent sickness absence is only likely to be a disciplinary matter if the sickness isn’t genuine.

Take action using the appropriate policy/procedure:



2. Determining level of investigation

Flowchart 2: Determining level of investigation

Determine level of consequence

This will require the Investigating Officer to exercise their judgement. In making this determination, as well as whether PAT Advisory Team involvement is required, they should consider the risk table below.

The probability of the incident happening again is measured from top to bottom and the impact or severity of the incident from left to right.

		Impact			
		Insignificant	Minor	Moderate	Major
Probability	Unlikely				
	Possible				
	Likely				
	Almost certain				

Green

Amber

Red

The manager should notify the PAT Advisory Team they will be undertaking an **informal investigation**.

The only potential sanction will be standard setting.

Go to Flowchart 3.

The manager should contact the PAT Advisory Team for guidance in whether to pursue an **informal investigation or a formal investigation**.

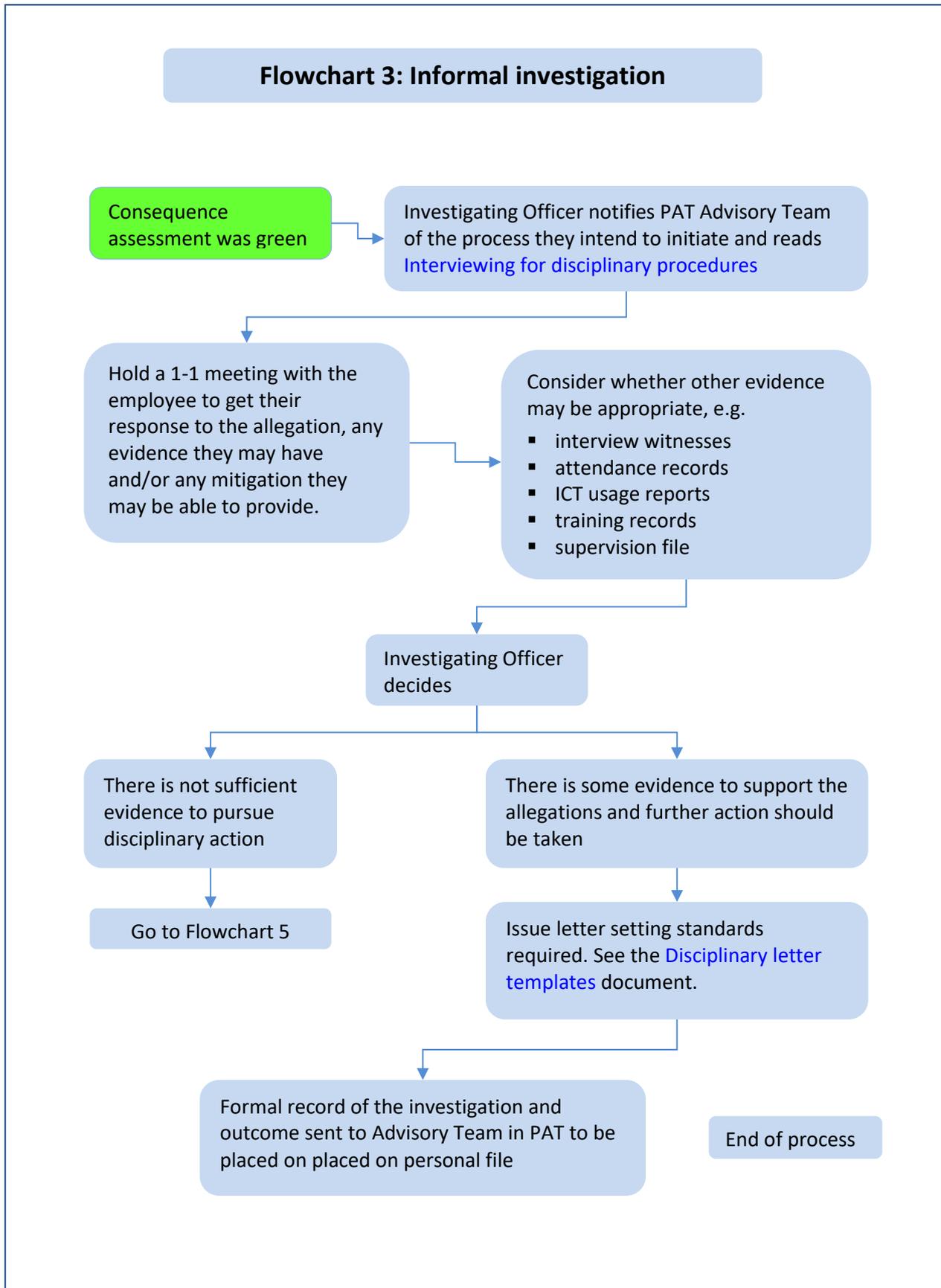
Examples may include:

- gross misconduct (see the [Disciplinary Policy](#) for examples);
- safeguarding concerns;
- fraud, theft or similar dishonesty;
- police involvement or criminal acts;
- the employee has a live warning on file;
- the employee may need to be suspended.

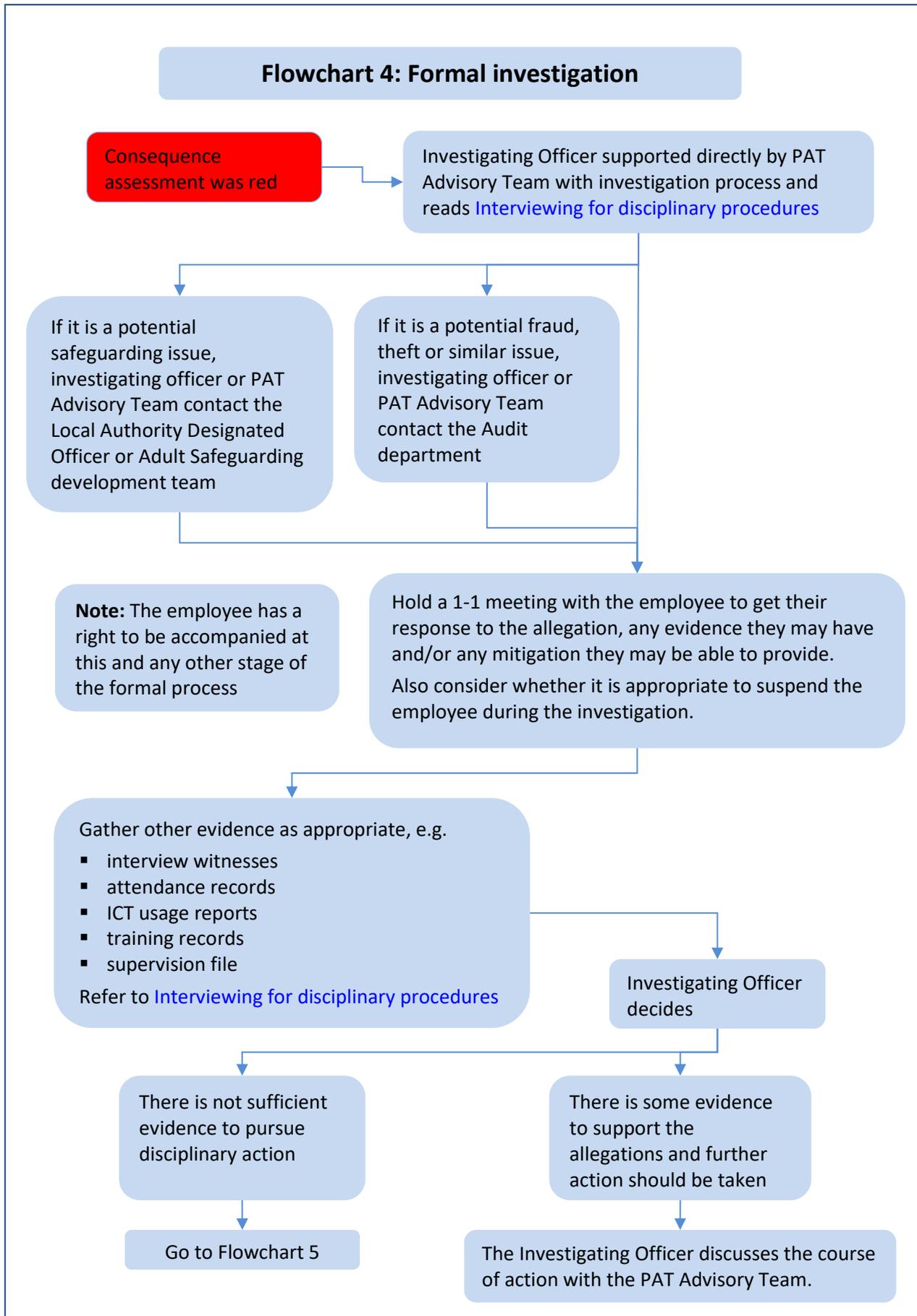
The manager should notify the PAT Advisory Team as soon as possible.

This will be a **formal investigation**, go to Flowchart 4.

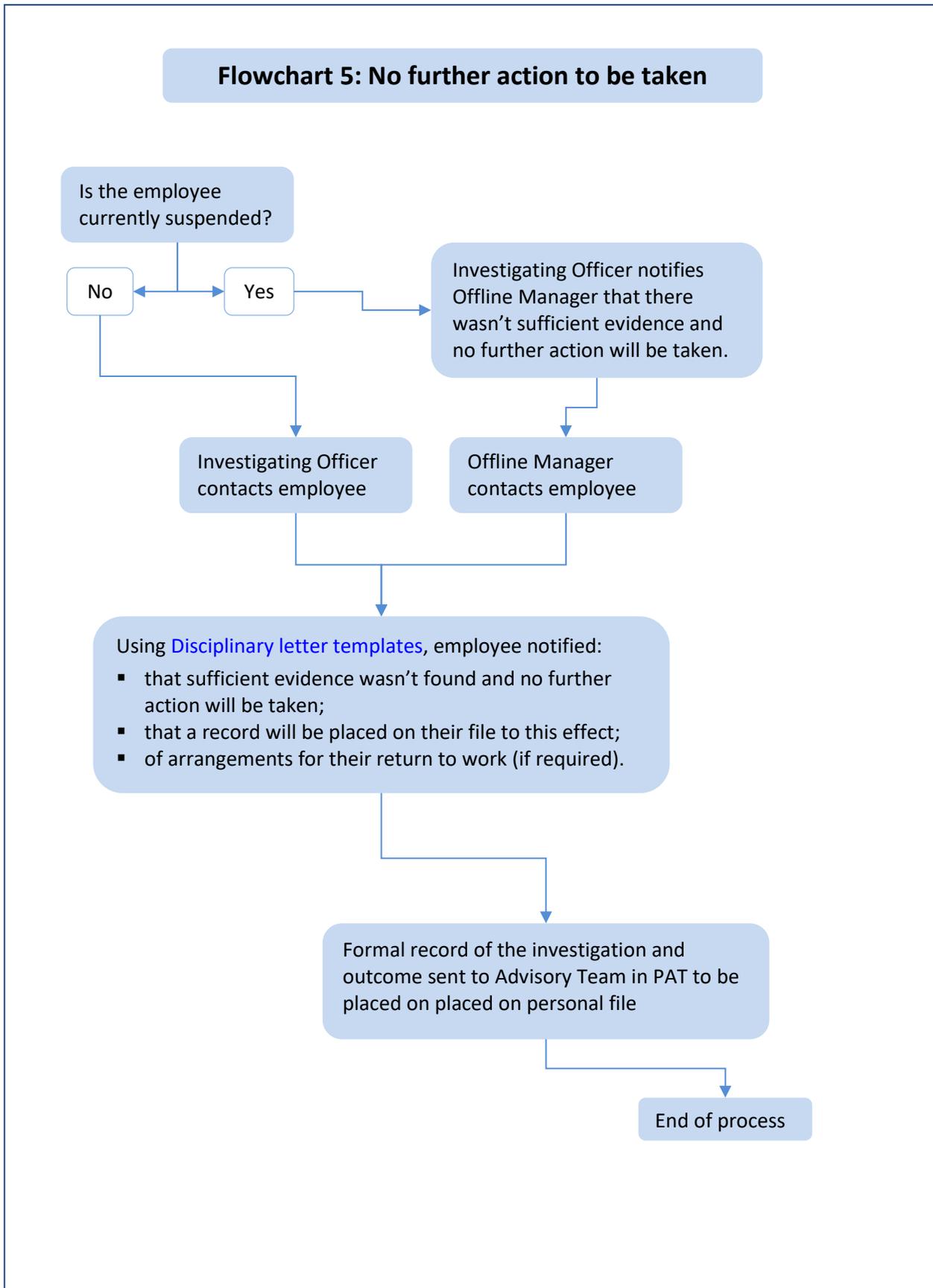
3. Informal investigation process



4. Formal investigation process



5. No further action required



6. Taking formal action

