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**GOVERNMENT NOTICE
GOEWERMENSKENNISGEWING**

**DEPARTMENT OF CORRECTIONAL SERVICES
DEPARTEMENT VAN KORREKTIEWE DIENSTE**

No. R. 687

3 August 2007

CORRECTIONAL SERVICES ACT, 1997

PROMULGATION OF REGULATIONS

The Minister of Correctional Services has under section 134 of the Correctional Services Act, 1998 (Act No.111 of 1998) amended the regulations in the Schedule published on 30 July 2004 in Government Gazette No. 26626 by deleting schedule A and B and replacing it with the new Schedule A to commence on 23 July 2007.

**BMN BALFOUR
MINISTER OF CORRECTIONAL SERVICES**

DISCIPLINARY CODE AND PROCEDURE FOR EMPLOYEES OF THE DEPARTMENT OF CORRECTIONAL SERVICES (LEVELS 2 TO 12)

1. PURPOSE AND SCOPE

The purpose of this Code and Procedures is:

- 1 To promote constructive labour relations in the DCS;
- 1.2 To promote mutual respect among employees and between employees and employer;
- 1.3 To ensure that managers and employees share a common understanding of misconduct and discipline;
- 1.4 To promote acceptable conduct;
- 1.5 To provide employees and the employer with a quick and easy reference for the application of discipline;
- 1.6 To avert and correct unacceptable conduct; and
- 1.7 To prevent arbitrary or discriminatory actions by managers toward employees.
- 1.8 To act in a preventative, progressive manner with the aim to correct unacceptable behavior.
- 1.9 It must be noted that this document is a collective agreement and that no party will deviate from all the provisions of this code.

2. PRINCIPLES

The following principles are embraced in the Code and Procedure and must inform any decision to discipline an employee.

- 2.1 Discipline is a corrective measure and not a punitive one.
- 2.2 Discipline must be applied in a prompt, fair, consistent, uniform, timely, impartial, confidential and progressive manner.
- 2.3 Discipline is a line management function.
- 2.4 A disciplinary code is necessary for the efficient delivery of service and the fair treatment of employees, and ensures that they:
 - 2.4.1 Have a fair hearing in a formal or informal setting;
 - 2.4.2 Are timeously informed of allegations of misconduct made against them;
 - 2.4.3 Receive written reasons for a decision taken; and
 - 2.4.4 Have the right to appeal against any decision.
- 2.5 As far as possible, disciplinary procedures shall take place in the place of work and be understandable to all employees.

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- 2.6 If an employee commits misconduct that is also a criminal offence, the criminal procedure and the disciplinary procedure will continue as separate and different proceedings.
- 2.7 Disciplinary proceedings do not replace or seek to imitate court proceedings.
- 2.8 The Disciplinary Code and Procedures constitutes a framework within which departmental policies may be developed to address appropriate circumstances, provided such policies do not deviate from the provisions of the framework.
- 2.9 In the event that the employee denies an allegation of less serious misconduct, a formal disciplinary hearing may be instituted.
- 2.10 Employees can only be disciplined for work related conduct

3. SCOPE OF APPLICATION

This Disciplinary Code and Procedure is applicable to all employees (levels 2 to 12) of the Department of Correctional Services employed in terms of the Correctional Services Act, Act 111 of 1998 and the Public Service Act, 1994.

4. CODES, RULES AND STANDARDS

- 4.1 The Code of Good Practice: Dismissal contained in Schedule 8 of the Labour Relations Act, 1995, insofar as it relates to discipline, constitutes part of this Code and Procedure.
- 4.2 Employee conduct that may warrant a disciplinary action is listed in Annexure A. This list is not exhaustive. Management may discipline an employee in respect of other conduct, if the employee knew, or could be reasonably expected to have been aware, that the conduct constituted grounds for disciplinary action.
- 4.3 In applying Annexure A, management must assess the seriousness of the alleged misconduct by considering:
- 4.3.1 The nature of the employee's work and responsibilities;
 - 4.3.2 The extent of the alleged misconduct or any dishonesty displayed by the employee;
 - 4.3.3 The actual or potential impact of the alleged misconduct on DCS, the employee's component, colleagues and/or the public;
 - 4.3.4 The regularity of the misconduct;
 - 4.3.5 The circumstances in which the misconduct occurred;
 - 4.3.6 Any other factor which, in the light of the peculiar circumstances prevailing at the place and time where the misconduct was committed, should be taken into consideration;
 - 4.3.7 Whether, objectively seen, the employer/employee relationship has been damaged or has become intolerable.

5. PROCEDURES: DISCIPLINARY ACTIONS

Less serious misconduct

In the event of less serious misconduct, the supervisor may invoke any one of the procedures outlined in clauses 5.1 to 5.5 which he or she deems appropriate.



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- 5.1 **Corrective counseling.** In cases where the seriousness of the misconduct warrants counseling, the manager of the employee must:
- 5.1.1 Bring the misconduct to the employee's attention;
 - 5.1.2 Determine the reasons for the misconduct and give the employee an opportunity to respond to the allegations, through himself/herself or by a union representative;
 - 5.1.3 Seek to get agreement on how to remedy the conduct; and
 - 5.1.4 Take steps to implement the agreed course of action.
- 5.2 **Verbal warnings.** In cases where the seriousness of the misconduct warrants a verbal warning, the supervisor/manager of the employee may give a verbal warning. The steps in clauses 5.1.1 and 5.1.2 must be followed. The supervisor/manager must inform the employee that further misconduct may result in more serious disciplinary action, and record the warning. The verbal warning will only be valid for 03 months.
- 5.3 **Written warnings.** In cases where the seriousness of the misconduct warrants a written warning, the supervisor/manager may give the employee a written warning. The steps in clause 5.1.1 and 5.1.2 must be followed. The following provisions apply to written warnings:
- 5.3.1 The written warning may use the form of Annexure B.
 - 5.3.2 The supervisor/manager must give a copy of the written warning to the employee, who must sign receipt of it. If the employee refuses to sign receipt, the supervisor/manager must hand the warning to the employee in the presence of another employee; both the supervisor and the other employee must sign in confirmation that the written warning was conveyed to the employee.
 - 5.3.3 The written warning must be filed in the employee's personal file.
 - 5.3.4 A written warning remains valid for six months. At the expiry of the six months, the written warning must be removed from the employee's personal file and destroyed.
 - 5.3.5 If during the six-month period, the employee is subjected to disciplinary action on a same or related offence, the written warning may be taken into account in deciding an appropriate sanction.
- 5.4 **Final written warnings.** In cases where the seriousness of the misconduct warrants a final written warning, the manager may give the employee a final written warning. The steps in clause 5.1.1 and 5.1.2 must be followed. The following provisions apply to final written warnings:
- 5.4.1 The final written warning may use the form of Annexure C.
 - 5.4.2 The manager must give a copy of the final written warning to the employee, who must sign receipt of it. If the employee refuses to sign receipt, the manager must hand the warning to the employee in the presence of another employee; both the supervisor and the other employee must sign in confirmation that the final written warning was conveyed to the employee.
 - 5.4.3 The final written warning must be filed in the employee's personal file.
 - 5.4.4 A final written warning remains valid for six months. At the expiry of the six months, the final written warning must be removed from the employee's personal file and destroyed.

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If during the six-month period, the employee is subject to disciplinary action on a same or related offence, the final written warning may be taken into account in deciding an appropriate sanction.

- 5.5 For the purpose of determining appropriate disciplinary actions, valid warnings for similar offences by the employee shall be taken into account.

6. SERIOUS MISCONDUCT

If the alleged misconduct justifies a more serious form of disciplinary action than provided in paragraph 5, the employer must initiate a disciplinary enquiry. The employer must appoint an employee as a representative (Initiator) in writing, who as far as possible should be the manager/ supervisor of the employee, to initiate the enquiry.

7. DISCIPLINARY HEARING

7.1 Notice of hearing

- 7.1.1 The employee must be given notice at least seven working days before the date of the hearing.

The employee must sign receipt of the notice. If the employee refuses to sign receipt of the notice, it must be given to the employee in the presence of a fellow employee who can sign in confirmation that the notice was conveyed to the employee.

The written notice of the disciplinary meeting must use the form of Annexure D, and provide:

- 7.1.3.1 A clear description of the allegations of misconduct and the main evidence on which the employer will rely;

- 7.1.3.2 Details of the time, place and venue of the hearing; and

- 7.1.3.3 Information on the rights of the employee to representation by a fellow employee or a representative or officials of a recognized trade union, and to bring witnesses to the hearing;

- 7.1.3.4 A summary of the investigation report and statements to be used by the employer.

NB: SUMMARY of the investigation report should contain the following: the facts established, a conclusion and a decision.

NNB: Finalization of investigation shall be the date on which the delegated authority takes the decision whether to charge or not to charge the employee.

7.2 Precautionary suspension

- 7.2.1 The employer may suspend an employee on full pay or transfer the employee if

- 7.2.1.1 The employee is alleged to have committed a serious offence; and

- 7.2.1.2 The employer believes that the presence of an employee at the workplace might jeopardize any investigation into the alleged misconduct, or endanger the well being or safety of any person or state property.

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7.4.1.6 Demotion by a post level as an alternative to dismissal, such demotion shall be consented to by the employee

7.4.1.7 Dismissal.

(7.4.1.5; and 7.4.1.6 as alternatives to dismissal)

The employer shall not implement the sanction during an appeal by the employee.

The chairperson must communicate the final outcome of the hearing to the employee within five (5) working days after the conclusion of the disciplinary hearing, and the outcome must be recorded on the personal file (and the relevant Registration file and Persal records must be updated) of the employee.

8. Appeal

8.1 An employee may appeal a finding or sanction by completing Annexure E.

The appeal shall be in the form of a documentary (paper appeal).

8.2 The employee must, within five working days of the receiving notice of the final outcome of a hearing or other disciplinary procedure, submit the appeal form to her or his Personnel Office or to her or his manager/supervisor, who must acknowledge receipt thereof and who shall then forward it to the appeal authority.

8.3 The appeal authority may, on good cause shown, condone the late lodging of an appeal.

8.4 The appeal authority, who shall consider the appeal in non-dismissal cases, shall be:

8.4.1 A manager of higher grade than the chairperson of the original hearing; and

8.4.1.1 Who was not involved in the decision to institute the disciplinary proceeding.

8.5 The appeal authority, who shall consider the appeal in dismissal cases, shall be:

8.5.1 The Deputy Regional Commissioner/Deputy Commissioner may be assisted by the Regional Head Corporate Services and Regional Coordinators of Employee Relations and Legal Services, and who

8.5.1.1 Was not involved in the decision to institute the disciplinary proceeding.

8.6 If the persons referred to in paragraphs 8.4 and 8.5 require a hearing [new evidence], she or he shall notify the employee of the date and place.

8.7 The appeal authority may:

8.7.1. Find the appellant not guilty and set aside the verdict and sanction; or

Cor firm the verdict of the disciplinary hearing and reduce the sanction; or


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- 8.7.3. Confirm the verdict and sanction of the disciplinary proceeding; or
- 8.7.4. Order a hearing de novo i.e. a complete re-hearing by a new impartial chairperson, only if found that the initial hearing contained gross procedural errors that were material to the employee's dismissal.

The appeal authority must provide reasons for his or her decision.

The Department must finalize appeals within 30 working days from the date of the receipt of the appeal, failing which, in cases where the employee is on suspension after dismissal, he/she (after the expiry of the 30 working days) must resume duties immediately and await the outcome of the appeal. The Area Commissioner shall decide on the placement of the employee.

9. General

9.1 Desertion/abscondment

An employee who absents him/herself for 30 consecutive (calendar) days without permission or without notifying the employer shall be summarily dismissed. However, before dismissing the employee, the employer must endeavor to establish the whereabouts of the employee. Upon the employee's reappearance after desertion, he/she may not be reinstated. The employee must make written representations to the delegated authority within 5 days from his/her reappearance should he/she wishes reinstatement/re-employment to be considered.

DEFINITIONS

In this procedure, references to the male gender include the female gender.

"employer" means the head of department or any member of his/her department designated to perform the specific action, unless the context indicates otherwise.

"fellow employee" means an employee from the same office/institution/Management Area than the employee charged with misconduct, except full-time shop stewards.

"recognized trade union" means all the unions admitted to the DCS Bargaining Chamber and recognized in the DCS.

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ANNEXURE A

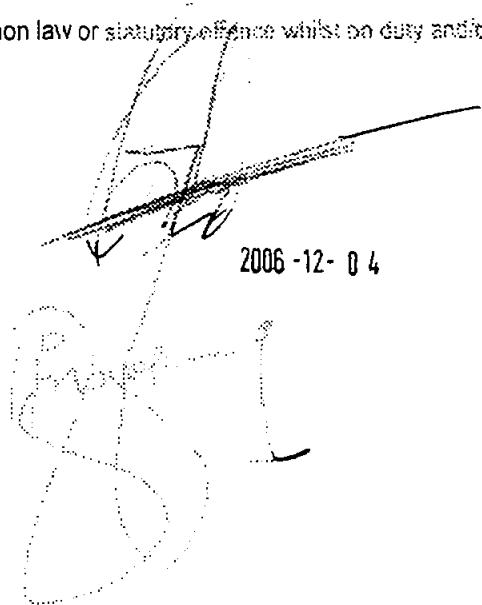
CODE OF CONDUCT / ACTS OF MISCONDUCT

An employee will be guilty of misconduct if she or he, among other things (this list is not exhaustive):

- (a) Fails to comply with, or contravenes an Act, regulation or legal obligation.
- (b) Mismanages the finances of the State.
- (c) Without permission possesses or wrongfully uses the property of the State, another employees and/or a visitor.
- (d) Misuse/abuse of movable/immovable property of the State.
- (e) Damage to and or cause loss of state property.
- (f) Endangers the lives of self or others by disregarding safety rules or regulations.
- (g) Prejudice the administration, discipline or efficiency of a department, office or institution of the State.
- (h) Misuse of position in the DCS to promote or to prejudice the interest of any political party organization, company or individual.
- (i) Theft, bribery, fraud, corruption or any combination thereof.
- (j) Accepts any compensation in cash or otherwise from a member of the public, another employee or an offender for performing her or his duties without written approval from the department.
- (k) Fails to carry out a lawful order or routine instruction without just or reasonable cause.
- (l) Absence or repeated absence from work without a valid reason or permission.
- (m) Commits an act of sexual harassment.
- (n) Discriminates on the basis of race, gender, disability, sexuality or other grounds outlawed by the Constitution.
- (o) Poor or inadequate performance for reasons other than incapacity.
- (p) Dereliction of duties.
- (q) Allowing a disciplinary hearing to fall away (Refer to clause 7.3.2 of the Procedure).
- (r) Performing of work for compensation in a private capacity for another person or organization either during or outside working hours without written approval.
- (s) Breaching the conditions pertaining to authorized private work.
- (t) Sleeping on duty.
- (u) While on duty, is under the influence of an intoxicating, illegal, unauthorized, habit-forming and/or stupefying drug, including alcohol.

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- (v) Being in possession of alcohol in the workplace.
- (w) Being in possession of illegal, unauthorized, habit-forming and/or stupefying drug on departmental premises.
- (x) Permitting an offender to take alcohol or any prohibited drug or to have these substances in his/her possession.
- (y) While on duty, conducts herself or himself in an improper, disgraceful and unacceptable manner.
- (z) Contravention of the DCS Code of Conduct.
- (aa) Assault, attempt or threatens to assault, another employee or person while on duty.
- (bb) Incites other personnel to unprocedural and unlawful conduct.
Displays disrespect towards others in the workplace or demonstrates abusive or insolent behaviour.
- (dd) Intimidation or victimization of fellow employees or other persons.
- (ee) Prevents/force other employees from belonging/not belonging to any trade union or employee organization.
- (ff) Operates any money lending scheme for employees for own benefit during working hours in the workplace.
- (gg) Carries or keeps firearms or other dangerous weapons in the workplace without the written authorization of the employer.
- (hh) Misuse of firearms and/or other dangerous weapons in the workplace
- (ii) Breaching of security measures.
- (jj) Furnishing of false statements or evidence in the execution of his or her duties.
- (kk) Falsification of records or any other documentation.
- (ll) Participation in unprocedural, unprotected and/or unlawful industrial action.
- (mm) Commitment of a common law or statutory offence whilst on duty and/or on state premises.



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ANNEXURE B

WRITTEN WARNING

[DATE]

[NAME OF EMPLOYEE]

[PERSONAL DETAILS OF THE EMPLOYEE]

This is a written warning in terms of the disciplinary procedure. Should you engage in further misconduct, the written warning may be taken into account in determining a more serious sanction. The written warning will be placed in your personal file and will remain valid for a period of six months from the date of the written warning. After six months the written warning will be removed from your personal file and be destroyed.

The nature of the misconduct is:

If you object the warning, you may direct an appeal to [name] within five working days.

The nature of the misconduct is:

SIGNATURE OF EMPLOYEE

DATE

SIGNATURE OF MANAGER

DATE

SIGNATURE OF WITNESS (if applicable)

DATE

The signature section contains two handwritten signatures. The first signature is a large, stylized cursive signature, with a date '2008-08-06' written below it. The second signature is another large, stylized cursive signature, with a date '2008-08-06' written below it.

A small, dark handwritten mark or signature is located at the bottom right of the page, below the signature section.

ANNEXURE C

FINAL WRITTEN WARNING

[DATE]

[NAME OF EMPLOYEE]

[PERSONAL DETAILS OF THE EMPLOYEE]

This is a written warning in terms of the disciplinary procedure. Should you engage in further transgressions, it could lead to formal misconduct proceedings being instituted against you.

This final written warning will be placed in your personal file and will remain valid for a period of six months from the date of the written warning. After six months the written warning will be removed from your personal file and be destroyed.

The nature of the misconduct is;

If you object the warning, you may direct an appeal to [name] within five working days.

SIGNATURE OF EMPLOYEE

DATE

SIGNATURE OF REPRESENTATIVE OF THE EMPLOYER

DATE

SIGNATURE OF WITNESS (If applicable)

DATE

The image shows two handwritten signatures in cursive script. The top signature is more complex and larger, while the bottom signature is simpler and smaller. Between the two signatures, there is a date stamp that reads "2008-12-04".

ANNEXURE D

NOTICE OF DISCIPLINARY MEETING

[DATE]
[NAME OF EMPLOYEE]
[PERSONAL DETAILS OF THE EMPLOYEE]

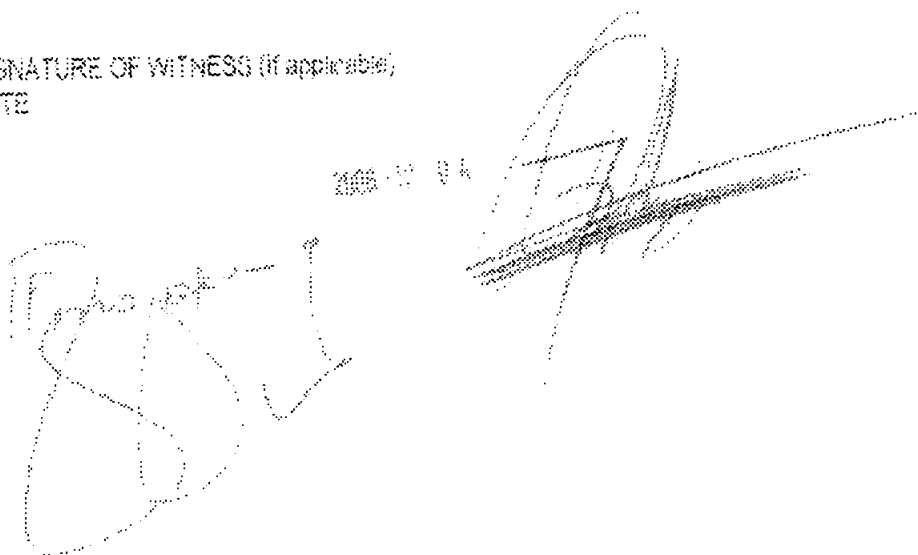
You are hereby given notice to attend a disciplinary hearing in terms of clauses 6 and 7 of the Disciplinary Code.
The alleged misconduct and the available evidence are:

[A DETAILED DESCRIPTION OF MISCONDUCT MAY BE ATTACHED].
The meeting will be held at _____ [PLACE] on _____ [DATE] at _____ [TIME]. If you do not attend and cannot give reasonable grounds for failing to attend, the meeting will be held in your absence.
A fellow employee or a representative or official of a recognized union may represent you.
You may give evidence to the hearing in the form of documents or through witnesses. You will be entitled to question any witness introduced by the department.
If the enquiry holds that you are guilty of misconduct, you may present any relevant circumstances in determining the disciplinary sanction.

SIGNATURE OF EMPLOYEE
DATE

SIGNATURE OF REPRESENTATIVE OF THE EMPLOYER
DATE

SIGNATURE OF WITNESS (if applicable)
DATE

Handwritten signatures and a date stamp '2008-08-04'.

ANNEXURE E

NOTICE OF APPEAL

[DATE]

[NAME OF APPEAL AUTHORITY]

I, _____, [NAME OF EMPLOYEE] am hereby appealing against a disciplinary action imposed on _____ [DATE] at _____ [PLACE].

I attach a copy of the notice of the disciplinary enquiry and/or the written warning. [THIS APPEAL REQUEST IS NOT VALID UNLESS THESE DOCUMENTS ARE ATTACHED]

My reasons for appeal are:

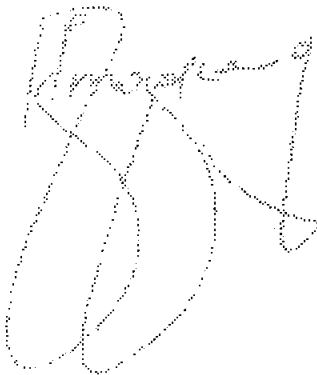
The desired outcome of the appeal is:

I wish/do not wish [CHOOSE ONE] to provide additional evidence not available at the time of the disciplinary proceeding.

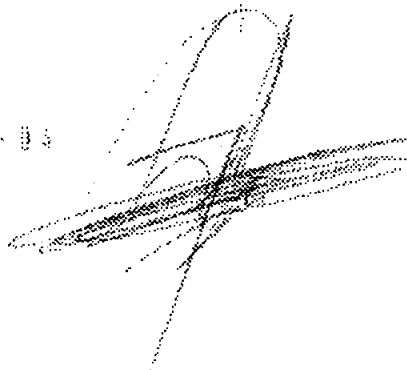
SIGNATURE OF EMPLOYEE

DATE

[PERSONAL DETAILS OF THE EMPLOYEE]



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