

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

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Supporting documents, procedures & forms of this policy	

CONTENTS

CLAUSE	PAGE
1 SCOPE AND PURPOSE	ERROR! BOOKMARK NOT DEFINED.
2 WHO IS COVERED BY THIS POLICY.....	1
3 WHO IS RESPONSIBLE FOR THE POLICY	1
4 DEFINITIONS.....	2
5 INFORMAL ACTION	2
6 INVESTIGATING, DISCIPLINARY AND APPEAL MANAGERS.....	2
7 SUSPENSION.....	3
8 FORMAL PROCESS	5
9 FORMAL SANCTIONS	7
10 GOVERNOR/TRUST DIRECTOR PANELS.....	8
11 RIGHT TO BE ACCOMPANIED	8
12 TIMING OF MEETINGS	9
13 VENUE FOR MEETINGS	9
14 TRADE UNION OFFICERS	9
15 CRIMINAL OFFENCES	9
16 REFERRAL	10
APPENDIX 1 - DISCIPLINARY HEARING PROCEUDRE	

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

1 SCOPE AND PURPOSE

- 1.1 The purpose of the procedure is to give a structure to improve conduct to the standards expected and to facilitate the fair dismissal of those who have not improved or whose conduct is so unacceptable as to warrant dismissal without notice.
- 1.2 This policy must be read in conjunction with the Code of Conduct which sets out the standards to be expected of each employee.
- 1.3 The Heath Family (NW) Multi Academy Trust delegate their authority in the manner set out in this procedure.
- 1.4 There may be some occasions where an employee's behaviour could also be described as incapability. This Disciplinary Policy and the relevant Heath Family (NW) Multi Academy Trust's Capability Procedure may be used concurrently whilst the School/Trust endeavours to ascertain if the behaviour is misconduct or incapability.
- 1.5 There may be occasions where an employee's conduct could relate to their health. This Disciplinary Policy may be used concurrently with the Heath Family (NW) Multi Academy Trust's Sickness Absence Policy. In particular if an employee goes off sick following the use of this Disciplinary Policy The Heath Family (NW) Multi Academy Trust may use its Sickness Absence Policy.
- 1.6 There may be occasions when an employee attempts to use the Heath Family (NW) Multi Academy Trust's Grievance Policy in connection with actions taken under this Disciplinary Policy. This shall not lead to any delay or pause in the conduct of any matters under the Disciplinary Policy.
- 1.7 There may be occasions where this procedure needs to be modified, for example to comply with any requirements in relation to pupil safeguarding.
- 1.8 This policy does not form part of any employee's contract of employment and it may be amended at any time following consultation with the recognised Trade Unions.
- 1.9 In this policy references to personnel/bodies are to the personnel/bodies present within the school at which the particular member of staff reviewing the policy is engaged.

2 WHO IS COVERED BY THIS POLICY

This policy covers all employees at all levels and grades, including senior managers, officers, employees, trainees, part-time and fixed-term employees (collectively referred to as employees in this policy). It does not apply to agency staff and self-employed contractors.

3 WHO IS RESPONSIBLE FOR THE POLICY

- 3.1 The Heath Family (NW) Multi Academy Trust has overall responsibility for the effective operation of this policy and for ensuring compliance with the relevant statutory framework. The Heath Family (NW) Multi Academy Trust has delegated day-to-day responsibility for operating the policy and ensuring its maintenance and review to the School Principal/Head of School.
- 3.2 The School Senior Leadership Team has a specific responsibility to ensure the fair application of this policy and all members of staff are responsible for supporting colleagues and ensuring its success.

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

4 DEFINITIONS

In this policy **working day** means any day on which you would ordinarily work if you were a full time employee. In other words it will be different for teaching and non-teaching staff but will not be different on the basis of whether an employee is full-time or part-time.

5 INFORMAL ACTION

- 5.1 The School/Trust will, where appropriate, try and deal with matters on an informal basis. It is often the case that minor issues of conduct can be resolved informally between an employee and their manager and in many cases this will be the appropriate way to address any concerns.
- 5.2 An employee's manager may give him/her informal warnings at any time about any conduct or performance falling short of the standard expected.
- 5.3 Informal warnings may be recorded in writing and referred to at a later stage to evidence that an informal approach was attempted and the success or failure of such an approach.
- 5.4 Failure to comply with informal action should not on its own be used as justification for issuing a higher form of sanction than would otherwise have been imposed under the formal process.
- 5.5 It is also possible for the parties to agree an outcome to a formal process and sanction prior to a formal disciplinary meeting being held. Any such agreement will be recorded in writing.

6 INVESTIGATING, DISCIPLINARY AND APPEAL MANAGERS

- 6.1 The personnel responsible for each stage of this policy depends on the role the relevant employee performs.
- 6.2 The following table describes the normal course of action although this may be subject to change depending on the circumstances of the individual case.

Employee Level	Investigating Manager	Disciplinary Manager	Appeal Manager
Principal/Head of School	the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board or a non-staff Governor/ Trust Director nominated by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board	Governor/ Trust Directors' Disciplinary Panel appointed by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board	Governor/ Trust Directors' Appeal Panel appointed by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

Employee Level	Investigating Manager	Disciplinary Manager	Appeal Manager
Other Leadership Spine and School Business Manager	Principal/Head of School	the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board or a non-staff Governor/ Trust Director nominated by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board	Governor/ Trust Directors' Appeal Panel appointed by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board
Other Teaching Staff	Member of School Leadership Team (other than Principal/Head of School) appointed by the Principal/Head of School	Principal/Head of School	Governor/ Trust Directors' Appeal Panel appointed by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board
Other Support Staff	A person appointed by the Principal/Head of School	Principal/Head of School	Governor/ Trust Directors' Appeal Panel appointed by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board

7 SUSPENSION

- 7.1 In cases where it is justified, after a preliminary investigation, the Principal/Head of School or the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board may suspend an employee for a reasonable period of time.
- 7.2 The Principal/Head of School must inform the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board of the suspension or in the event of suspension by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board the Chair/CEO must inform the Governing Body/the Heath Family (NW) Multi Academy Trust (excluding staff Governors/Trust Directors).
- 7.3 This period of suspension must be reviewed by the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board at weekly intervals and must be no longer than is required depending on the circumstances.
- 7.4 Suspension should ideally be undertaken in person but may be undertaken in writing. If it is undertaken in person it will be confirmed in writing. Where practicable, the employee will be entitled to be accompanied by their Trade Union representative but their non-availability will not delay a suspension meeting.

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

- 7.5 Suspension may be justified in cases where:
- 7.5.1 Relationships have broken down.
 - 7.5.2 Gross misconduct is alleged.
 - 7.5.3 There are reasonable concerns that evidence or witnesses could be interfered with.
 - 7.5.4 There are responsibilities to other parties.
 - 7.5.5 To protect pupils or property.
- 7.6 Suspension is a neutral act and is not a disciplinary sanction. It does not imply that any decision has already been made about the allegations. An employee will receive full pay and benefits during a period of suspension (unless you are otherwise absent from work due to sickness or other leave and have exhausted the pay entitlements connected to your absence). The employee will also receive details of a named contact during any period of suspension.
- 7.7 During a period of suspension the [Academy/Trust/School] may require an employee not:
- 7.7.1 to attend School at any time (except with the prior agreement of the Principal/Head of School or the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board
 - 7.7.2 to communicate in any way with colleagues, parents, pupils and/or governors except:
 - 7.7.2.1 with the prior agreement of the Principal/Head of School or the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board
 - 7.7.2.2 where following the investigation an employee is called to a formal disciplinary meeting, when he/she may then approach governors parents or pupils as potential witnesses but this must be done via the Investigating Manager to avoid any breach of the Data Protection Act or confidentiality.
 - 7.7.3 to discuss the fact of an employee's suspension or the fact of or nature of the allegations against him/her with any member of staff except:
 - 7.7.3.1 with the prior agreement of the Principal/Head of School or the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board
 - 7.7.3.2 for communication with his/her union representative;
 - 7.7.3.3 where he/she is called to an interview with the Investigating Manager or a disciplinary meeting when he/she may approach work colleagues for the purposes of identifying a willing work workplace colleague but only if he/she does not have a trade union representative, or
 - 7.7.3.4 where he/she is called to a formal disciplinary meeting he/she may approach work colleagues as potential witnesses in support of his/her case.
- 7.8 During a period of suspension the School/Trust may suspend an employee's access to his/her email account/intranet.

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

- 7.9 During a period of suspension the School/Trust may take such steps as necessary to cover an employee's lessons or other commitments.

8 FORMAL PROCESS

8.1 Step 1 - Investigation

- 8.1.1 The Investigating Manager will conduct an investigation into the alleged conduct. The purpose of an investigation is for the School to establish a fair and balanced view of the facts relating to any disciplinary allegations against an employee, before deciding whether to proceed with a disciplinary hearing. The amount of investigation required will depend on the nature of the allegations and will vary from case to case.
- 8.1.2 The Investigating Manager may appoint any other person from within the School/Trust or externally to assist in the investigation.
- 8.1.3 The investigation may include a face to face interview with you but are not mandatory. Investigative interviews are solely for the purpose of fact-finding and no decision on disciplinary action will be taken until after a disciplinary hearing has been held. An employee may if he/she wishes provide a written statement or response to the Investigating Manager instead.
- 8.1.4 An employee is required to co-operate fully with the Investigating Manager to ensure that the investigation can be completed as swiftly and thoroughly as possible.
- 8.1.5 The Investigating Manager will normally produce an Investigation Report setting out evidence and detailed allegations and a recommendation on whether there is a potential disciplinary case to answer.
- 8.1.6 An employee will be sent a copy of the Investigation Report.
- 8.1.7 The Investigating Manager may be required to attend a formal disciplinary meeting to present the findings of their investigation.

8.2 Step 2 – Disciplinary Meeting

- 8.2.1 If the Investigation Manager recommends that the matter should proceed to a formal disciplinary meeting, the employee shall be required to attend a formal disciplinary meeting with the Disciplinary Manager.
- 8.2.2 The disciplinary meeting shall take place at least 2 days after the Investigation Report was sent to the employee.
- 8.2.3 The Disciplinary Manager shall consider all the evidence presented and the employee shall have an opportunity to present evidence in his/her defence and any evidence in mitigation.
- 8.2.4 The Disciplinary Manager may adjourn the disciplinary meeting to allow further investigations in the light of the employee's evidence and may reconvene to give him/her an opportunity to comment on any further evidence produced by further investigations.

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

8.2.5 The Disciplinary Manager is not required to hear oral evidence and may rely on written evidence.

8.2.6 If the Disciplinary Manager does decide to hear oral evidence, the employee will be given an opportunity to comment on it during the meeting.

8.3 Step 3 - Appeal

8.3.1 If the Disciplinary Manager decides to impose a formal disciplinary sanction the employee will have the right to appeal to the Appeal Manager provided that he/she does so in writing to the Disciplinary Manager within 10 working days of the written notification of the disciplinary decision.

8.3.2 An appeal must set out the grounds of appeal in detail. This will enable the Disciplinary Manager and Appeal Manager to determine if the appeal is to be by way of a rehearing of the case or by way of a review of the case.

8.3.3 If the employee is appealing against dismissal, the date on which the dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful the employee will be reinstated with no loss of continuity of service or pay.

8.3.4 The Appeal meeting will normally take place within 20 working days of the notice of appeal being received by the Disciplinary Manager.

8.3.5 The Appeal Manager may not impose a more severe sanction than that imposed by the Disciplinary Manager.

8.3.6 The Appeal Manager may consider any new evidence produced by the employee not available to the Disciplinary Manager.

8.3.7 The Appeal Manager may only consider new evidence produced by the Disciplinary Manager if it touches upon your credibility in relation to evidence he/she has already given or if it rebuts any new evidence produced by him/her or any assertions made by him/her in your grounds of appeal.

8.3.8 If the Appeal Manager considers that any new evidence from whatever source would warrant a more severe sanction the Appeal Manager shall refer the matter to the original Disciplinary Manager for consideration and the Disciplinary Manager may impose a more severe sanction. If there was an appeal against such an increased sanction, it would be heard (where possible) by a different Appeal Manager.

8.3.9 The Appeal Manager is not required to hear oral evidence and may rely on written evidence.

8.3.10 If the Appeal Manager does decide to hear oral evidence, the employee will be given an opportunity to comment on it during the meeting.

8.3.11 The employee will be informed in writing of the Appeal Manager's decision as soon as possible, and usually within 14 days of any appeal meeting. There is no further right of appeal.

9 FORMAL SANCTIONS

The Disciplinary Manager may impose the following sanctions:

9.1 A Verbal Warning

- 9.1.1 A Verbal Warning will remain live for **6** months from the date that the Disciplinary Manager's written decision was sent to the employee.
- 9.1.2 For a first disciplinary offence (ignoring any informal action), a Verbal Warning would be the normal response.
- 9.1.3 Once a Verbal Warning has expired it will be removed from an employee's formal record (with the exception of any issues relating to safeguarding) and disregarded in deciding the outcome of any future formal procedure.

9.2 A First Written Warning

- 9.2.1 A First Written Warning will remain live for **12** months from the date that the Disciplinary Manager's written decision was sent to the employee.
- 9.2.2 A First Written Warning would normally be given for a second disciplinary offence committed or discovered during the currency of a live Verbal Warning (even if that Verbal Warning related to a different type of misconduct).
- 9.2.3 A First Written Warning could be given for serious misconduct regardless of previous disciplinary history if the conduct is sufficiently serious.
- 9.2.4 Once a First Written Warning has expired it will be removed from an employee's formal record (with the exception of any issues relating to safeguarding) and disregarded in deciding the outcome of any future formal procedure.

9.3 A Final Written Warning

- 9.3.1 A Final Written Warning will remain live for **18** months from the date that the Disciplinary Manager's written decision was sent to the employee.
- 9.3.2 A Final Written Warning would normally be given for a third disciplinary offence committed or discovered during the currency of a live First Written Warning (even if that First Written Warning related to a different type of misconduct)
- 9.3.3 A Final Written Warning could be given for serious misconduct regardless of previous disciplinary history if the conduct is sufficiently serious.
- 9.3.4 Once a Final Written Warning has expired it will be removed from an employee's record (with the exception of any issues relating to safeguarding) and disregarded in deciding the outcome of any future formal procedure.

9.4 Dismissal on notice

- 9.4.1 Dismissal on contractual notice would be given for a disciplinary offence (other than an act of gross misconduct) committed or discovered during the currency of a live Final Written Warning (even if the Final Written Warning related to a different type of misconduct).
- 9.4.2 For the avoidance of doubt the notice commences immediately and does not await the outcome of any appeal.
- 9.4.3 If the employee's contract contains a payment in lieu of notice clause the School/Trust may exercise that clause to bring an employee's contract to an end with immediate effect.

9.5 Dismissal without notice or compensation

- 9.5.1 Dismissal without notice or compensation (also known as Summary Dismissal) will only occur if an employee has committed an act of gross misconduct or otherwise has destroyed the trust and confidence required between the employee and the School/Trust.
- 9.5.2 For the avoidance of doubt the dismissal takes effect immediately and does not await the outcome of any appeal.
- 9.5.3 The Code of Conduct contains a **non-exhaustive** list of matters which the School/Trust considers may amount to gross misconduct.

9.6 Voluntary demotion as an alternative to higher formal sanction

- 9.6.1 The Disciplinary Manager may offer an employee the option of taking a voluntary demotion as an alternative to a higher formal sanction.

10 GOVERNOR/ TRUST DIRECTOR PANELS

- 10.1 Governor/ Trust Director Disciplinary and Appeal Panels shall comprise two/three non-staff governors/directors not previously involved in the matter.
- 10.2 In the event that there are insufficient numbers of Governor/ Trust Directors available to participate in a Panel, the Chair of Governors/ Chief Executive Officer/Chair of The Trust Board as appropriate may appoint associate members to solely participate in the appropriate Panel.

11 RIGHT TO BE ACCOMPANIED

- 11.1 If an employee is the subject of disciplinary allegations leading to a disciplinary interview by the Investigation Manager or a meeting with the Disciplinary Manager or Appeal Manager he/she may be accompanied at such interview or meeting by a companion who must be either a willing work colleague not involved in the substance of the allegations against the employee or an accredited trade union representative. . A Trade Union representative is anyone appearing on the certification officers list of a Trade Union
- 11.2 The employee must let the relevant Manager know who his/her companion will be at least one working day before the interview or meeting.

The Heath Family (NW) Multi Academy Trust
Disciplinary Policy

- 11.3 If the employee has any particular need, for example, a disability which causes him/her a substantial disadvantage, adjustments may be made to the procedure to allow him/her to participate and in limited circumstances this may include allowing the employee to be accompanied by someone other than is listed in clause 11.1.
- 11.4 The companion can address the meeting in order to:
- 11.4.1 put forward the employee's case
 - 11.4.2 sum up the employee's case
 - 11.4.3 respond on behalf of the employee to any view expressed at the interview meeting.
- 11.5 The companion can also confer with the employee during the interview meeting.
- 11.6 The companion has no right to answer questions on the employee's behalf, or to address the interview meeting if the employee does not wish it, or to prevent the employee from explaining his/her case.
- 11.7 Where the employee has identified a companion to the relevant Manager and the companion has confirmed in writing to the relevant Manager that they cannot attend the date or time set for the interview meeting, the relevant Manager may postpone the interview meeting provided that the employee has suggested an alternative date within 5 working days of the original date set by the School/Trust, to a date or time agreed with the companion provided that it is reasonable.

12 TIMING OF MEETINGS

- 12.1 Interviews or meetings under this procedure may:
- 12.1.1 need to be held when an employee is timetabled to teach
 - 12.1.2 exceptionally be held during planning preparation and administration time if this does not impact on lesson preparation
 - 12.1.3 be held after the end of the School day
 - 12.1.4 not be held on days on which an employee would not ordinarily work.

13 VENUE FOR MEETINGS

If the allegations are sensitive the relevant Manager may hold the interview or meeting off the School/Trust site.

14 TRADE UNION OFFICERS

Where disciplinary action is being considered against an employee who is a trade union representative the normal disciplinary procedure should be followed. Such matters should be discussed at an early stage with an official employed by the union, after obtaining the employee's agreement.

15 CRIMINAL OFFENCES

- 15.1 If an employee is charged with, or convicted of, a criminal offence (outside of employment) this will not normally in itself be considered a reason for disciplinary action. In such circumstances, the facts of the case would be clarified through a formal investigation and then consideration would be given as to whether the matter warrants formal disciplinary proceedings, having taken into account whether the

alleged incident, act, or behaviour affects an employee's suitability for their job and/or the reputation of the School/Trust. In the case of teachers the content and effect of the Teachers Standards will be taken into account when deciding whether, or not, the matter may warrant formal disciplinary sanctions.

16 REFERRAL

- 16.1 Where a teacher is dismissed for serious misconduct (or may have been dismissed for serious misconduct if the teacher had not resigned) the School/Trust must consider whether to refer the circumstances to the National College for Teaching and Leadership under section 141D of the Education Act 2002 which came into force on 1 April 2012
- 16.2 Where a person working within the School/Trust (whether a teacher or not) is dismissed or would have been dismissed if they had not resigned) because that person committed conduct:
- 16.2.1 which endangered a child or was likely to endanger a child
 - 16.2.2 which if repeated against or in relation to a child, would endanger that child or would be likely to endanger him/her
 - 16.2.3 involving sexual material relating to children (including possession of such material)
 - 16.2.4 involving sexually explicit images depicting violence against human beings (including possession of such images)
 - 16.2.5 of a sexual nature involving a child
 - 16.2.6 the School/Trust must refer that person to the Disclosure and Barring Service under section 35 of the Safeguarding Vulnerable Groups Act 2006.

Appendix 1 – Disciplinary Hearing Procedure

1. The employee and his/her representative and the manager or other person presenting the case shall attend the hearing simultaneously to present their respective cases.
2. The Disciplinary Manager will perform the necessary introductions.
3. The Investigating Manager will present the findings of the investigation and may call witnesses.
4. The employee and/or the employee's representative may put appropriate questions to the Investigation Manager regarding the investigation.
5. The employee and/or the employee's representative will present the employee's case and may call witnesses.
6. If a witness gives evidence orally at the disciplinary hearing the other party may put appropriate questions to it (with the exception of child witnesses).
7. The Disciplinary Manager may ask questions of the Investigation Manager, any witnesses or the employee at any point during the hearing.
8. The employee and/or the employee's representative will have an opportunity to sum up the employee's case.
9. The hearing will then be adjourned for the Disciplinary Manager to deliberate, review the evidence and make a decision on the outcome.