



**THE DOVER FEDERATION FOR THE ARTS
MULTI ACADEMY TRUST**

**STAFF
DISCIPLINE AND
CONDUCT
(POLICY AND PROCEDURE)**

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Guidance Note:

This model policy and procedure has been developed by SPS / KCC for use in Academies in Kent and adopted by The Dover Federation for the Arts Multi Academy Trust (DFAMAT).

This document has been developed to comply with legal requirements and is in accordance with ACAS guidance.

There has been a full consultation process with all KCC recognised professional associations and Trade Unions.

Part A – Policy

1 Policy Statement

The DFAMAT expects that Employees will maintain appropriate standards of conduct and behaviour at all times. The Academy also requires all Employees to comply with relevant DFAMAT rules, working practices and conditions of service.

The Disciplinary Policy and Procedure provides a means by which shortcomings in conduct can be addressed and Employees encouraged to rectify their behaviour.

Whilst concerns regarding misconduct may be addressed informally by managers, there are occasions when an individual's conduct may warrant formal action.

This policy recognises the principles of natural justice and fair process and is committed to ensuring that confidentiality is maintained for all parties.

No formal disciplinary action will be taken against an Employee until the matter has been fully investigated. Disciplinary investigations will be undertaken without undue delay. The DFAMAT will undertake as thorough an investigation of the alleged misconduct as is reasonable and appropriate given the circumstances in order to establish the facts relating to the allegation(s).

An Employee will be advised of the allegation(s) against them and be given an opportunity to state their case and any mitigating circumstances.

Where a case to answer is found in relation to misconduct this may be addressed by a formal disciplinary hearing and, should on the balance of probabilities the case be proven, a formal sanction may be imposed.

The nature of the sanction will be determined by the circumstances of the case. A sanction at any level may be imposed should the alleged misconduct warrant.

An Employee will not usually be dismissed for the first incident of misconduct other than in the case of gross misconduct where an Employee may be dismissed without notice.

An Employee is entitled to appeal against any formal sanction.

This procedure has been developed to comply with legal requirements and is in accordance with ACAS guidance.

This procedure explains:

- How the Employer will address matters relating to conduct and behaviour in a fair, consistent and structured manner
- What is expected from Managers and Employees with regards to the management of such issues.

2 Scope

This Policy and Procedure applies to all Employees of the DFAMAT.

Reference to acts of 'misconduct' in this procedure relates to behaviour which may be reasonably defined as willful or negligent acts or omissions on the part of the Employee. Concerns relating to performance and capability should be addressed under a separate procedure.

This policy does not include misconduct related to allegations against children for which a separate procedure applies.

3 Adoption Arrangements and Date

This procedure is reviewed by the Board of Directors annually and supersedes any previous discipline and conduct policy and procedure.

Any changes involve consultation with the recognised unions through KCC.

4 Responsibilities of the DFAMAT

- To make expectations clear regarding conduct and behaviour at work
- To ensure consistency and fairness in the way conduct issues are addressed
- To advise an Employee if their conduct or behaviour is unsatisfactory and give the Employee the opportunity to state their case.

5 Responsibilities of the Employee

- To ensure they maintain appropriate standards of conduct at all times and comply with any relevant DFAMAT rules, working practices and conditions of service
- To cooperate with any action taken under this procedure
- To maintain confidentiality in respect of any action taken under this procedure in the interests of all parties involved in the dispute.

6 Delegated responsibility

Guidance Note:

Under the School Staffing Regulations 2009, dismissal decisions, may be delegated to either:

- The Principal
- The Chief Executive Officer
- One or more Directors
- One or more Directors acting together with the Principal.

However Academies are not obliged to follow the School Staffing Regulations and Directors may therefore determine delegation arrangements for formal hearings within their own Academy.

The management of conduct and discipline issues is delegated to the Principals and CEO.

Informal Action

Informal action may be delegated to line managers, where appropriate.

Formal Action

Formal hearings to consider matters short of dismissal may be delegated to another manager by the Principal or CEO.

Where matters are heard by a manager - appeals against any sanction imposed will be heard by the Principal. Where the Principal has considered the matter – appeals will be heard by the CEO or a panel of one or more Directors.

Dismissal Decisions

In this The DFAMAT responsibility for dismissal decisions has been delegated by The Board of Directors to the CEO and Principals, therefore formal hearings to consider dismissal may be heard solely by the Principal.

A panel of one or more Directors may be convened to hear the matter in situations where it is not appropriate for the CEO or Principals to perform this function.

Appeals will be heard by a panel of one or more Directors who have had no prior involvement in the matter under consideration.

It will be usual for a Director panel to be comprised of not less than two members, although this may vary depending on the circumstances.

Staff Directors should not usually be a member of a Director panel and where they are must ensure that they can deal with the matter impartially and objectively.

The following table sets out the provisions which would normally apply.

Informal Action taken by	Formal hearing heard by	Appeal heard by
Line Manager	Another more senior Manager or Principal - for matters short of dismissal	CEO, Principal or 1 or more Directors
	CEO or Principal - where dismissal is a possible outcome	1 or more Directors
Principal	CEO, another Principal or 1 or more Directors	1 or more Directors

In instances where there are insufficient Directors available to sit on a hearing or appeal panel, the DFAMAT may co-opt other individuals suitable to hear the case.

7 Timescales

Guidance Note:

These are suggested timescales. Academies may choose to adopt alternative reasonable timescales should they wish.

ACAS guidance suggests issues should be dealt with promptly. Meetings and notification of decisions should not be unduly delayed.

Concerns regarding conduct will be addressed promptly and without undue delay in achieving an outcome.

Timescales stated are for guidance and may vary depending on the circumstances of the case.

Employee notified of investigation outcome	Within 5 working days of the conclusion of the investigation
Hearing	At least 10 working days' notice given of hearing date
Written outcome of hearing given	Within 5 working days of the date of the hearing
Appeal to be made	Within 5 working days of receipt of the written outcome of the hearing
Appeal to be heard	Within 10 working days from receipt of written appeal
Written outcome of appeal given	Within 5 working days of the date of the appeal

For the purpose of this procedure 'working day' will normally refer to the 195 days of the DFAMAT year for teachers employed under the terms of the School Teachers' Pay and Conditions Document.

For support staff employed on a term time only basis working days will normally refer to the days worked under their contract or for staff employed on contracts outside of the DFAMAT term will mean all days excluding weekend and bank holiday days.

8 Right to Representation

Guidance Note:

An employee has a statutory right to representation at a formal hearing or appeal. An employee may be accompanied to other meetings, including investigation meetings, at the discretion of the DFAMAT – this is not a statutory right but is generally recognised as good practice.

An Employee has the right to be accompanied to a formal hearing or appeal meeting by either a workplace colleague or trade union representative.

A workplace colleague or trade union representative may also attend a disciplinary investigation meeting.

Due and careful consideration will also be given to any request from an Employee to be accompanied by a workplace colleague or trade union representative at informal meetings.

However it should be noted that the presence of a representative does not make the meeting formal.

Part B - Procedure

9 Informal Management Action

Guidance Note:

It is preferred and best practice to make provision for issues to be resolved informally where appropriate.

Where an allegation of misconduct is made consideration will be given as to whether it is appropriate to address the matter informally by means of 'management action'.

In determining whether an informal approach should be taken the Principal will take into account the seriousness of the alleged misconduct and whether previous informal action to address the issue has been unsuccessful.

Where an informal approach is taken the Principal will usually meet with the Employee to establish the facts, events and/or actions, discuss the concerns, and give the Employee the opportunity to state their case. The Principal may agree future expectations with the Employee – including measures to support an improvement in conduct – and, if appropriate, agree a review period and arrangements for monitoring conduct.

There is no requirement for a workplace colleague or trade union representative to be present at such a meeting although it may be advisable. The Principal may consider inviting the Employee to be accompanied when discussing concerns informally, however the presence of a trade union representative/workplace colleague does not in itself make the meeting formal.

It should be noted that if during the discussion it becomes apparent that the matter may be more serious – the meeting may be adjourned and the matter investigated under the formal disciplinary procedure.

The outcome of the discussion will be confirmed in writing and a record placed on the Employee's file. This may be termed an 'informal warning'. However it should be made clear to the Employee that such informal action will not form part of the Employee's disciplinary record.

There is no right of appeal against informal action.

It is expected that informal action will resolve most minor concerns however an Employee should be advised that if there is a repetition of such misconduct formal disciplinary action may be taken.

10 Notifying an Employee of an allegation(s) against them

Guidance Note:

Employees should be made aware of the nature of the complaint against them.

In cases where a formal investigation or disciplinary action is proposed written notification should be provided.

An Employee will be notified of all allegation(s) or complaint(s) made against them at the earliest practical opportunity and advised of the procedure that will be followed.

Prior to investigating an allegation it may not be possible or appropriate to be specific about the precise nature of the complaint at the outset – however the Employee will be given a broad indication of the nature of the complaint.

Should the matter be addressed through a formal investigation or formal disciplinary action – then the Employee will be advised of the nature of the complaint in writing. They will also be advised that, should the complaint be upheld, formal disciplinary action may be taken.

Should further allegations come to light during the course of the investigation which is also to be investigated – the Employee will be advised of these in writing.

11 Suspension

Guidance Note:

Suspension should always be at full pay, be reviewed regularly and not continue for longer than is necessary. Consideration should be given to alternatives to suspension.

Academies may determine their own terms for suspension.

There may be occasions when it is appropriate to suspend an Employee on full pay pending the outcome of an investigation and/or conclusion of any disciplinary action.

Suspension is not a sanction in itself and does not represent any prejudgement of the outcome of the process.

Suspension should only be initiated after careful consideration and where all other alternatives have been explored – such as arranging a period of authorised absence or temporary change in duties or place of work.

As a guide suspension may be instigated where:

- Children are considered to be at risk
- The Employee is considered to be at risk
- Where there is evidence to suggest that the Employer's or Employee's reputation may be at risk
- Where the presence of the Employee may impede the investigation or be a disruptive influence in the workplace
- Where the allegations against the Employee may amount to gross misconduct or gross incompetence.

This list is not exhaustive.

Where practicable a meeting will be arranged with the Employee and their workplace colleague or trade union representative to explain the reason for the suspension and the conditions that will apply. The details of the suspension will be confirmed in writing with the Employee, usually within 5 working days.

In some instances where it is not practicable or possible for the Employee's representative to be present the meeting may still proceed in their absence. In exceptional circumstances where it is not possible or appropriate for the Employee to attend a meeting at the DFAMAT – suspension may be made in writing.

In certain instances it may be necessary for the suspension to be made in writing or without the presence of the Employee's representative.

Suspension will not continue for longer than is necessary and will be kept under review. Where possible the Employee will be given an indication of how long the suspension is likely to last and will be advised should these timescales change.

An Employee should be contactable by telephone or other agreed means during their normal working hours while suspended.

An Employee who is suspended must not discuss the details of the allegation(s) with other members of staff (except their workplace colleague or trade union representative), Directors, pupils or parents in such a way which could compromise their position or integrity of the investigation without the prior permission of the Principal or Chairman of the Board of Directors. This does not prevent an Employee discussing matters with their representative. Clarification should be sought from the Principal or Chairman of the Board of Directors if required.

A suspended Employee will be provided with a named contact in the DFAMAT to keep them informed of matters arising during their absence. This individual will not be able to discuss any aspects of the disciplinary investigation.

In addition a suspended Employee may be allocated a named contact from the DFAMAT's personnel provider who will be able to provide advice about procedural aspects of the process.

Care will be given to ensuring a suspended employee receives information from staff meetings during their absence and consideration will be given to alternative arrangements for events such as inset training and CPD.

Suspensions may be made by the Principal, CEO or Board of Directors. An Employee may be suspended at any point during the investigation should the circumstances warrant.

Suspension may be lifted at any point should the situation change. Suspension may only be ended formally by the CEO or Board of Directors. However the Principal may provisionally lift the suspension, pending approval of the either the CEO or Board of Directors, so as not to delay a return to work.

12 Investigating the allegation

Guidance Note:

It is advised that employers should carry out any necessary investigations to establish the facts of the case and that an employee should have an opportunity to put their case before any decision is made.

Before any formal disciplinary action is taken, allegations of misconduct will be thoroughly and objectively investigated. Investigations will be undertaken without undue delay. The nature and extent of the investigation will be determined by what is reasonable given the circumstances.

The purpose of the investigation is to establish the facts, events and/or actions to determine whether there is a case to answer and not to make any decision about the outcome.

The Principal or other appropriate manager will appoint an independent investigating officer. The investigating officer will not have had any prior involvement in the case. On occasion it may be appropriate to identify more than one investigating officer.

The Employee will be invited to a formal investigation meeting with reasonable notice during working hours. At this meeting the Employee will be given a full and fair opportunity to respond to the allegation(s), explain his/her conduct and, where the concern is admitted, any mitigating circumstances. Depending on the circumstances it may be necessary to conduct more than one investigation meeting. A workplace colleague or trade union representative may accompany an Employee to an investigation meeting.

In addition to attending an investigation meeting, the Employee may also make a written statement or present any other relevant written documents that they may wish to be considered as part of the investigation.

The investigating officer may also conduct a formal investigating meeting with other relevant witnesses as soon as possible. The Employee will be given the opportunity to identify witnesses they wish to be interviewed as part of the process.

Witnesses providing evidence to an investigation will be advised that their statement may be shared with the Employee and they may be called to present this and may be questioned regarding their evidence at a disciplinary hearing.

All witnesses should be aware of the confidential nature of investigations and should not discuss any aspect of the meeting or matters under consideration with anyone outside of investigation meeting.

Interviews with pupils will only be conducted with the parent or guardian's consent and they should be given the opportunity to accompany the pupil to the meeting.

The investigating officer may also review documents and other evidence relevant to the allegation.

A written, signed and dated record will be made of all interviews conducted as part of the investigation. The Employee will have the opportunity to check the notes/minutes and comment on the accuracy. Where there are discrepancies between the Employer and Employee that cannot be resolved both version of the minutes will be held on record. An audio record may also be made with the prior consent of the Employee and a summary transcript shared with the Employee.

13 Investigation Outcome

A written report will be produced of the investigation findings and shared with the Principal

Based on the findings of the investigation, the Principal will determine which course of action is most appropriate:

- That there is no case to answer and no further action is taken
- That a minor concern is identified which is to be addressed through informal action
- That there is a case to answer on a matter of misconduct which warrants consideration of formal disciplinary action.

The investigation outcome will be communicated to the Employee in writing without undue delay and usually within 5 working days of the Principal determining the appropriate course of action.

Where informal action is proposed a follow up meeting will be arranged without undue delay to discuss any appropriate management action. The outcome of this discussion may be confirmed in writing and a record placed on the Employee's file – although such a discussion and letter does not constitute a formal disciplinary record.

The investigation report will only be shared with the Employee should formal action be instigated.

14 Notification of a Disciplinary Hearing

Guidance Note:

ACAS advises that should there be a case to answer an employee should be notified of this in writing and be provided with the information specified below. Relevant documentation should be shared in advance by both parties and advance notification given of any witnesses who will be present.

Where the matter is to be considered by a formal disciplinary hearing, arrangements for this will be communicated in writing.

This notification should specify:

- The allegation(s) to be considered at the hearing
- The time, date and venue of the hearing
- The possible consequences should the case be upheld and, if appropriate that dismissal may be an outcome
- The procedure to be followed
- That the Employee may be accompanied by their workplace colleague or trade union representative.

The Employee will be given reasonable notification of the date of the hearing to allow them sufficient time to prepare their case. This will usually be not less than 10 working days, however this may be varied by mutual agreement or should the circumstances dictate.

Wherever possible the DFAMAT will provide the Employee with copies of all relevant documents which will be referred to during the hearing, including a copy of the investigation report and statement of case with the notification of the disciplinary hearing. Should this not be possible the DFAMAT will provide the employee with this information no later than 10 working days before the hearing.

The Employee is required to provide no later than 5 working days before the hearing:

- The name of their trade union representative or workplace colleague
- The name(s) of any witnesses they are calling

- Any relevant documentation they wish to be considered.

If a late submission is received the panel has discretion as to whether to accept this and make provision for an adjournment during the hearing to consider this. However the panel reserves the right to disregard this information

15 Disciplinary Hearings

Guidance Note:

The precise format of a hearing may vary however in all cases the Employer should present the allegations against the Employee and the evidence gathered. The Employee should be allowed to explain their case, respond to allegations, present any evidence and call witnesses. The Employee should also have an opportunity to ask questions.

The purpose of the disciplinary hearing is for the DFAMAT to present the case against the Employee and for the Employee to be given the opportunity to respond.

The role of the manager hearing the case/panel is to consider the evidence presented and decide whether, on the balance of probabilities:

- The case against the Employee has been established, and
- Whether it is appropriate and reasonable to issue a formal sanction against the Employee.

The manager hearing the case/panel should also consider whether an appropriate and sufficient investigation has been undertaken and a fair and reasonable procedure followed.

The case for the DFAMAT will usually be presented by the person who commissioned the investigation, or their nominee. The Employee will have an opportunity to present their case. Witnesses may be presented by either party.

A workplace colleague or trade union representative may accompany an Employee to the hearing.

The arrangements for hearings are set out in Appendix B

16 The Outcome of the hearing and Disciplinary Sanctions

Guidance Note:

Academies may determine their own sanctions and expiry period. ACAS guidance advises that there should be provision for a first and final level warning in addition to dismissal.

Based on the evidence presented, the panel may determine the following outcomes:

- There is insufficient evidence against the Employee and the matter should be concluded with no further action
- The case against the Employee is proven on the balance of probabilities and a decision made to give the Employee a formal warning
- The case against the Employee is proven on the balance of probabilities and a decision made to dismiss the Employee with or without notice
- The case is proven on the balance of probabilities and some other formal action is appropriate

If proven and depending on the circumstances of the case, the panel may impose a range of sanctions, including dismissal as follows:

Level of Sanction	Normal Expiry Period
First Level Written Warning	After 6 months
Second Level Written Warning	After 12 months
Final Written Warning	After 18 months
Dismissal with contractual notice	
Gross Misconduct Summary Dismissal without notice	

An Employee will not usually be dismissed for the first incident of misconduct other than in the case of gross misconduct. Where an Employee's first incident of misconduct is sufficiently serious – it may be appropriate to issue a final written warning. The duration of other sanctions will be determined by the circumstances of the case.

Should gross misconduct be found, and dismissal is determined, this is usually without notice (Summary Dismissal). In cases of dismissal arising from misconduct notice would normally be given. Where notice is given this is the greater of the Employee's statutory or contractual notice entitlement.

A list of actions which may constitute Gross Misconduct and Misconduct is at Appendix A.

In determining the nature of the sanction consideration will be given to:

- Whether the proposed penalty is reasonable in view of all the circumstances – with reference to the examples of behaviours which constitute gross misconduct and misconduct within this procedure

- The nature, severity and impact of the misconduct
- The circumstances in which the misconduct occurred and any mitigating factors or the explanations given by the Employee
- The Employee's previous conduct, position, seniority, and length of service and their attitude towards the misconduct
- Any relevant Employer rules and procedures and whether the Employee was aware that their conduct contravened these
- The penalty imposed for similar offences in the past
- Whether any other action could be taken to encourage the Employee to improve their conduct such as training or additional support.

In certain instances, and where appropriate to the concerns, the panel may recommend to the Principal that other action be considered such as:

- Downgrading
- Transferring the Employee to another role
- Withholding Pay Progression
- Requiring the Employee to undertake certain specified training
- Refer the matter for consideration under another procedure, if appropriate

Alternative action such as this would only be taken where it is judged reasonable and viable for the DFAMAT to implement.

17 Communicating the Decision

Guidance Note:

The outcome of a disciplinary hearing should be confirmed in writing and contain the information set out below.

Where possible the Employee will be advised verbally of the outcome following the conclusion of the process and the Panel's deliberations. In all circumstances the Employee will be advised in writing of the outcome of the hearing usually within 5 working days of the decision being made.

The notification should specify:

- The outcome
- The reasons for the outcome and, the nature of any misconduct that has been found
- The nature of any sanction and how long it will last
- If dismissed – the reason for the dismissal, whether notice will be given and the termination date
- Any period of time given for improvement, a review date if appropriate, and the required improvement expected
- Any support that the Employer will provide to assist the Employee, if relevant;
- The likely consequences of any further misconduct

Should a sanction be imposed Employees should be advised of the timescales and procedure for making an appeal.

It will be deemed sufficient for the DFAMAT to issue the written confirmation of the decision to the Employee's last known address.

18 Appeal

Guidance Note:

There is no statutory right of appeal against dismissal but it is widely regarded as best practice and advised. Appeals should be heard, wherever possible, by an individual who has had no prior involvement in the matter.

The Employee may register an appeal in writing to the Company Secretary or nominated person, within 5 working days of written receipt of the outcome of the hearing.

The appeal should be on one or more of the following grounds:

- Unfairness of decision
- That the sanction imposed was unreasonable
- That new evidence has come to light

- Significant procedural irregularities

The letter of appeal should include full details of the reasons for the appeal. The Employee should ideally also include any supporting information they wish to rely on at the appeal hearing with their letter of appeal.

In instances where the grounds for appeal are not stated the DFAMAT will ask the Employee to confirm these to enable all parties to give due consideration to the issues prior to the appeal meeting.

Any supporting information must be submitted by the Employee no later than the deadline for receipt of an appeal.

If a late submission is received the panel has discretion as to whether to accept this and make provision for an adjournment during the hearing to consider this. However the panel reserves the right to disregard this information.

The DFAMAT will provide the Employee with copies of any documents which will be referred to during the appeal, including the notes of the disciplinary hearing and witness statements, in advance and usually no later than 5 working days before the appeal meeting.

A workplace colleague or trade union representative may accompany an Employee to an appeal.

The Appeal panel has discretion to consider allowing new evidence and witnesses but only if this is strictly relevant to the grounds of appeal.

The panel will identify a chair who will have responsibility for facilitating the hearing.

The arrangements for hearings are set out in further detail in Appendix B

19 The Outcome of the Appeal

In the case of appeals the role of the panel is to review the original on the basis of the grounds presented for appeal by the Employee. The outcome may be to:

- To uphold the previous decision in full
- To uphold the previous decision in part – but to reduce the level of the sanction or amend other elements of the decision
- To uphold the Employee’s appeal in full and withdraw the sanction in its entirety.

The panel may not impose a higher level of sanction than reached previously.

The appeal panel decision is final, even in instances of a full re hearing.

20 Communicating the Appeal Decision

The Employee will be advised in writing of the outcome of the appeal hearing usually within 5 working days of the decision being made.

The notification should specify:

- The outcome
- The reasons for the outcome reached
- Where the level or nature of the sanction is reduced – the nature of any revised sanction and how long it will last
- That the panel's decision is final and there is no further right of appeal.

It will be deemed sufficient for the Employer to issue the written confirmation of the decision to the Employee's last known address.

21 Further misconduct

Where a sanction short of dismissal is imposed and there is further proven misconduct within the period that the sanction is 'live', a further panel may extend the warning or issue a higher sanction, including dismissal.

The period of extension will be determined by the circumstances of the case. As a guide warnings may be extended by up to 6 months from the original expiry date.

22 Absence during the duration of the sanction

In cases where an Employee has been absent for a significant part of the period for which the sanction was imposed – the lifespan of the warning may be extended by the amount of time the Employee has been absent. Any decision to extend the lifespan of a warning should be made with reference to the panel/individual who determined the original sanction.

23 Non Attendance at Hearing or Appeal Meetings

Where an Employee or their representative is unavailable to attend, they should inform the Company Secretary at the earliest opportunity.

If an Employee's representative is unavailable the hearing/appeal may be deferred by up to 5 working days from the date of the original hearing.

The Principal/Panel will give due consideration to any request for postponement taking into account the individual circumstances, reason for non-attendance and the seriousness of the allegations.

Other than in exceptional circumstances only one postponement will be granted.

The Principal/Panel reserves the right to hold a hearing in the Employee's absence where all reasonable efforts to secure attendance have been unsuccessful. In this event the Employee will be given the opportunity to make written representations to the hearing or for their representative or workplace colleague to make representations either to the meeting or in writing on their behalf.

If no submissions are received the panel may make a decision based on the available information.

24 Minuting Hearing and Appeal Meetings

Minutes should be taken of all submissions to the hearing – including Employer, Employee and witness statements, any questioning of the parties and the panel's decision statement. The panel's deliberations should not be minuted.

Minutes should be shared with the Employee as soon as practicable. The Employee will have the opportunity to check the minutes and comment on the accuracy of the minutes. Where there are discrepancies between the Employer and Employee that cannot be resolved both version of the minutes will be held on record.

An audio record may also be made with the prior consent of the Employee. Where this is the case, the prior agreement of the Employee will be sought. In these instances a summary transcript will be shared with the Employee.

Covert recordings of meetings or hearings are expressly prohibited. Any recording of a meetings or hearing must be with the prior consent of all parties.

25 Disclosure of formal sanctions in employment references

Should an Employee have an unexpired formal disciplinary sanction on file – this will be disclosed, upon request, in any reference provided by the Employer to a prospective Employer.

Expired sanctions will not be disclosed – unless these relate to matters which the Employer is required to share in accordance with Child Protection/Safeguarding Procedures.

26 Malicious and Vexatious Allegations

Where an allegation of misconduct against an Employee is found to be vexatious or of malicious intent, this may be examined in accordance with the DFAMAT's disciplinary procedures.

27 Advice and support to Employees during the process

Employees are advised to seek support from their Trade Union or Professional Association in the first instance. Employees may address questions about the procedure to the Principal or other delegated staff member.

In instances where the investigation is prolonged or the Employee is suspended, the DFAMAT will, as far as is practicable, make arrangements to keep the Employee informed with the progress of the investigation and timescales for conclusion.

28 Ill health and sickness absence during the process

The ill health of an Employee will not usually be grounds for ceasing any ongoing investigation or disciplinary process.

Where the absence is likely to be short, the DFAMAT may pause the process until the Employee recovers. Where the absence is ongoing, the DFAMAT may seek guidance from an occupational health advisor to determine whether or not the Employee is sufficiently fit to take part in the process. It is expected that Employees will consent to a referral being made to an occupational health advisor in such circumstances.

Upon receipt of occupational health advice consideration may be given to any measures that can be put in place to enable the process to proceed. This may include giving the Employee the opportunity to make written representations to an investigation or hearing or for their trade union representative or workplace colleague to make representations on their behalf.

29 Concurrent investigations by other agencies

Certain allegations of misconduct may initially be investigated under a different procedure or as a part of criminal investigation.

In these circumstances an investigation under the Employer's Disciplinary Procedure may take place concurrently, unless the Employer is otherwise instructed by other agencies.

Any disciplinary hearing held in relation to acts of misconduct will be independent of the timing or outcome of other procedures.

30 Allegations relating to financial irregularities

In instances where an allegation of theft, fraud or other financial irregularity is made – the issue may be referred to the DFAMAT's auditors. Advice can also be sought from the Education Funding Agency.

31 Allegations against Trade Union Representatives

Guidance Note:

ACAS advises the following approach

No formal disciplinary action or formal disciplinary investigation will be taken against a trade union representative until the circumstances of the case have been discussed with a full time official of their union.

32 Criminal Proceedings

A criminal charge or conviction for actions outside of the workplace may result in disciplinary proceedings being taken where it is judged that the Employee's action:

- Affects or is likely to affect the suitability of the Employee for the post for which s/he is employed;
- Impacts on the operation or reputation of the DFAMAT;
- Seriously undermines the trust and confidence that the DFAMAT has in the Employee.

Each case will be considered on its own merits with regards to the circumstances of the case and following such investigation as is appropriate.

33 Other concurrent processes

In the event that an Employee raises a grievance or a complaint of harassment or bullying in the course of a disciplinary process, both processes may continue concurrently.

However each case will be considered on its own merits to ensure that the DFAMAT is acting reasonably.

34 Referral to other agencies

Guidance Note:

These are statutory requirements and should be adhered to in all cases.

Where a teacher is dismissed for serious misconduct (or may have been dismissed for serious misconduct had they not resigned) the DFAMAT will consider whether to make a referral to the

National College for Teaching and Leadership (formerly the Teaching Agency) in accordance with Education Act 2011 and The Teachers' Disciplinary (England) Regulations 2012.

Under the Safeguarding Vulnerable Groups Act (2007) a referral may also be made to the Disclosure and Barring Service where an Employee is dismissed (or would have been dismissed had they not resigned) because they have been cautioned or convicted of a relevant offence or behaved in a manner that has put at risk of harm/harmed a child.

35 Retention of Records

In the event that the matter under consideration is dropped due to insufficient or inconclusive evidence, all documentation should be destroyed immediately. It may be appropriate to keep a basic confidential record of the concern raised, date and the fact the matter was dropped due to insufficient or inconclusive evidence.

If formal disciplinary action is taken, the details of the complaint, investigation findings, hearing and appeal minutes plus a copy of the outcome letter and the details of any sanction, should be retained confidentially on the Employee's personnel file.

At the expiry of any sanction, all documentation should be removed from the Employee's personnel file. A minimal confidential record may be retained. This will only be referred to in future cases of a similar nature for the purpose of evidencing a pattern of misconduct or countering an Employee's subsequent assertion that there have been no previous misconduct issues.

When the matter relates to a child protection issue a factual written record of the details of the allegations and outcome will be retained in all instances.

In certain limited instances it may be appropriate to retain records for longer than the retention period for example in cases related to child protection concerns or where the case is awaiting decision from an employment tribunal.

All records will be treated as confidential and processed in accordance with the Data Protection Act 1998, which provides individuals with the right to request and have access to certain data.

36 Confidentiality

All parties are required to respect the confidentiality of all information relating to the disciplinary process.

All records and information, including those relating to any sanction imposed, are a matter of confidence between the DFAMAT and the Employee. In certain limited circumstances this information may be shared by the DFAMAT - for example in accordance with Child Protection/Safeguarding Procedures.

Appendix A: Disciplinary Rules

Guidance Note:

The DFAMAT may determine its own disciplinary rules. It is advisable to state examples of behaviour which is likely to be regarded as gross misconduct and misconduct.

The following examples give an indication of the DFAMAT's position as to the types of behaviour which constitute misconduct. It is not possible to specify all forms of behaviour that will result in disciplinary action.

Each case will be judged in the light of the circumstances and context surrounding it. Varying circumstances may well allow different disciplinary actions or no disciplinary action at all to be taken for what are similar offences.

The examples are not exhaustive and omissions from the list are not in themselves grounds for appeal.

In addition, Employees should, so far as is reasonably practicable, be familiar with the DFAMAT rules, working practices and conditions of service procedures relating to their own School/College and their particular area of work. Teachers should be familiar with Part Two of the Teachers' Standards which set out the expectations with regards to personal and professional conduct. Employees should be familiar with any 'Code of Conduct' in place for whole DFAMAT staff.

Gross Misconduct

Gross misconduct is an act which may render it inappropriate for the Employee to be allowed to remain in their job. If on the balance of probabilities, this is decided gross misconduct may lead to a summary dismissal without notice for a first offence.

Examples of actions that are likely to be treated as gross misconduct include – but are not limited to:

Dishonesty

- Theft of DFAMAT/pupil/employee's property
- Falsification of documents, records, claims – whether for personal gain or not
- Fraud or Corrupt Practices
- Failure to disclose if asked criminal convictions not exempt under the terms of the Rehabilitation of Offenders Act 1975 and Amendment 2013

- Withholding significant and relevant information that the DFAMAT could have reasonably required the employee to have disclosed
- Breaking statutory provisions that would render the Board of Directors or DFAMAT Trust liable to prosecution.

Conduct giving rise to a child protection issue

- Inappropriate or sexual relationship with a pupil
- Contact with a pupil via phone/text/online of an inappropriate nature and/or content
- Act of sexual misconduct by an employee where that misconduct could have a detrimental impact on students or on the employee's position within the DFAMAT
- Misuse of the ICT to view or distribute obscene, pornographic, defamatory or otherwise unacceptable material
- Inappropriate physical contact or restraint of a pupil
- Persistent and significant failure to exercise proper control or supervision of pupils.

Conduct placing others at risk

- Acts of violence
- Malicious or willful damage to property
- Willfully or negligently ignoring responsibilities/instructions thus placing other members of staff/pupils at risk
- Serious breach of health and safety rules
- Attending work or undertaking duties whilst under the influence of alcohol, drugs or other substances which may inhibit the ability to keep self or others safe.

Conduct in the Workplace

- Deliberate and significant refusal to carry out a reasonable, lawful and safe instruction or the normal agreed defined duties of the post
- Significant gross negligence in failing to attend or carry out the agreed duties of the post
- Persistent and substantial failure to follow procedures, regulations and policies either by deliberate act or omission

- Serious and/or persistent acts of harassment, bullying or victimisation of other employees
- Acts which amount to willful discrimination or incitement to discriminate
- Serious and unlawful breach of confidentiality or data protection obligations
- Serious breach of any relevant code of conduct or professional standards
- Making a false or vexatious allegation against another member(s) of the DFAMAT community
- Abusive/offensive language or behaviour towards a member of the DFAMAT community
- Acts which are incompatible with the ethos of the DFAMAT, or in the case of a Church Academy, its religious character
- Serious insubordination – undermining the authority of senior staff.

Actions outside of the workplace

- Criminal offences which are relevant to the post occupied by the Employee, whether or not a criminal conviction occurs
- Actions outside of the workplace that could be so serious as to fundamentally breach the trust and confidence placed in the Employee.

Misconduct

Misconduct is an act of a degree less serious than that which would warrant immediate dismissal for a first offence but which could nevertheless lead to dismissal if persistent.

Acts listed under the heading of gross misconduct where the impact and implications are less serious may also be considered as misconduct.

Occasionally an act of misconduct might be so serious as to justify dismissal. Normally, however, only when it can be shown that the warnings have not been heeded or there is a pattern of misconduct for a variety of reasons will misconduct lead to dismissal.

Dismissal for misconduct will be with notice.

Examples of actions that are likely to be treated as misconduct include – but are not limited to:

- Unauthorised absence from work

- Failure to follow absence notification and/or certification requirements
- Poor time keeping
- Refusal/failure to follow reasonable management instruction
- Breach of one or more DFAMAT policies or procedures either by deliberate act or omission
- Failure to adopt safe working practices either by a deliberate act, negligence or omission
- Serious neglect of duty
- Negligent use of DFAMAT property
- Acts of dishonesty such as making unauthorised private phone calls/sending personal mail at the DFAMAT's expense or unauthorised use of the internet
- Insubordination.

Appendix B: Guidance for Hearings and Appeals

General

- Hearings and Appeals should take place at a reasonable time and place usually during the Employee's normal working hours and, in the case of Employees who work term time only, during the DFAMAT term. These arrangements may be varied by mutual agreement
- Consideration should be given to the venue for the hearing. There should be adequate rooms for the parties and arrangements to ensure that the hearing is conducted with discretion and confidentiality maintained. A venue away from the DFAMAT site may be appropriate in certain circumstances.

The precise procedure to be followed will vary depending on the particular circumstances of each case, but in general the following will apply:

Role of the Panel/Manager Hearing the Case

It is the role of the panel/manager hearing a case to consider the evidence presented and decide whether on the balance of probabilities:

The case against the Employee has been established.

Whether it is appropriate and reasonable to issue a formal warning or dismiss the employee.

Should an Employee appeal the outcome of the hearing it is the role of the panel/manager considering the appeal to review the original decision on the basis of the grounds for appeal presented by the Employee and consider whether the original outcome was within a range of reasonable responses given the circumstances.

If the case is to be heard by a panel, a chair will be identified who will have responsibility for facilitating the hearing.

The Role of the Representative

The Employee has the right to be accompanied to a hearing or appeal meeting by either a workplace colleague or recognised trade union representative.

The representative may address the hearing to put and sum up the Employee's case, respond on behalf of the Employee at the hearing and confer with the Employee during the hearing. The representative does not have the right to answer questions on the Employee's behalf, address the hearing if the Employee does not wish it or prevent the Employer from explaining their case.

The Role of the HR Advisor

The DFAMAT may request that a HR Advisor attends a hearing or appeal meeting whose role is to advise the panel on the procedure and any points of employment law.

A further HR Advisor may also be in attendance to support the DFAMAT in the presentation of their case.

The HR Advisor may be allowed to ask questions and clarify issues on behalf of the party they are supporting.

Witnesses

Witnesses may be called by either party. Details of the proposed witnesses should be communicated in advance no later than 5 working days before the date of the hearing/appeal. The role of the witness is limited to giving evidence and responding to questions.

The Employee is responsible for ensuring that any witnesses they call can attend on the relevant date. In the event that a witness cannot attend they may make a written statement which should be provided to the DFAMAT no later than 5 working days in advance of the hearing/appeal.

All witnesses should be aware of the confidential nature of hearings and should not discuss any aspect of the meeting or matters under consideration with anyone outside of the hearing.

Procedure for Hearings

- The manager hearing the case/chair of the panel will introduce those present and their roles, explain the case to be considered, the procedure to be followed and the format of the hearing
- The DFAMAT's representative presents their case including calling any witnesses and referring to written submissions/evidence. The Employee and their representative and panel may ask questions of the DFAMAT's representative or any witnesses
- The Employee or their representative presents their case including calling any witnesses, referring to written submissions and presenting any mitigating circumstances. The DFAMAT's representative and panel may ask questions of the Employee and their representative or any witnesses
- Adjournments may be requested by both parties or by the manager/panel during the hearing
- Both parties have the opportunity to sum up their cases, with the Employee or their representative having the final word

- The hearing will then be adjourned whilst the manager/panel deliberates over the evidence. If further clarity is required both parties or witnesses may be recalled and the hearing reconvened so that all parties may hear any additional evidence
- The hearing is reconvened and the outcome is communicated verbally to the Employee. This should also be confirmed in writing. On occasion it may not be possible for the panel to reach a decision on the day of the hearing in which case the hearing may be reconvened or all parties may agree for the outcome to be communicated in writing within 5 working days of the decision being made.

Procedure for Appeals

- The manager hearing the case/chair of the panel will introduce those present and their roles, explain the case to be considered, the procedure to be followed and the format of the meeting
- The Employee or their representative shall put the case in support of the grounds for appeal, including any mitigating circumstances. This may include referring to written submissions and evidence. Witnesses may be recalled only where this is strictly relevant to the grounds of the appeal. The DFAMAT's representative and panel may ask questions of the Employee and their representative
- The DFAMAT's representative presents the case for upholding the previous committee's decision and refers to written documentation. Witnesses may be called only where this is strictly relevant to the grounds of appeal. The Employee and their representative and panel may ask questions of the DFAMAT's representative
- The panel will invite both parties to sum up their cases, with the Employee or his/her representative having the final word. The hearing will then be adjourned whilst the panel deliberates over the evidence
- Adjournments may be requested by both parties or by the panel during the appeal hearing. If new evidence is presented the appeal may need to be adjourned while this is investigated
- The appeal hearing will then be adjourned whilst the panel deliberates over the evidence. If further clarity is required both parties or witnesses may be recalled and the hearing reconvened so that all parties may hear any additional evidence
- The appeal hearing is reconvened and the outcome is communicated verbally to the Employee. This should also be confirmed in writing. On occasion it may not be possible for the panel to reach a decision on the day of the hearing in which case the appeal may be reconvened or all parties may agree for the outcome to be communicated in writing within 5 working days of the decision being made