



Disciplinary Policy

Date First Published	June 2016
Version	4
Last Approved Date	April 2022
Review Cycle	1 Year
Review Date	April 2023

“Learning together, to be the best we can be”

1. Context

- 1.1. Nexus Multi Academy Trust and its constituent academies are committed to a coherent approach to the safety, protection and wellbeing of members of the academy community, and to fairness and consistency in the way that disciplinary matters and staff grievances are handled.
- 1.2. This Disciplinary Policy will contribute to achieving this. It will be used alongside the academy policies on child protection and safeguarding, allegations of abuse against staff, whistleblowing, appraisal and capability and the employee handbook and code of conduct. The policy applies to all staff employed by the Trust.
- 1.3. The Trust expects staff to be professional and hardworking. It does not expect to have to discipline them for misconduct but disciplinary sanctions have to be in place should the need arise, if informal action has not been effective or is inappropriate. The Appraisal and Capability Policy provides information on how the Trust manages employee performance.

2. Scope

- 2.1 This policy relates to all academies and settings across Nexus MAT and supersedes any local policies and procedures that have been in use prior to the academy conversion. Where required, an individual Nexus MAT academy – in agreement with the Trust Chief Executive Officer - may publish a supplementary policy guidance document or procedure in line with this policy, to ensure that any idiosyncrasies associated with that specific academy are covered in their local policy library.

3. Staff conduct in our academies

- 3.1. **Staff** should ensure that their conduct in academies is in line with Trust and academy policy and sets a good example to pupils and students. This includes:
 - observing the terms and conditions of their contract;
 - attending work regularly and on time;
 - performing work duties to the high standard expected;
 - treating with respect everyone they come into contact with during the course of their work;

- complying with requirements relating to training and Continuing Professional Development, health and safety, and information sharing;
- alerting managers to any circumstances that may adversely affect their work;
- complying with the requirements of the Teacher and the Headteacher Standards.

3.2. Failure to maintain satisfactory standards of conduct may result in action being taken under this procedure.

3.3. **Leaders** have the additional responsibilities of:

- recruiting staff that they think are capable of working to the high standards expected across the Trust, and managing them effectively;
- monitoring staff conduct and taking action where conduct is unacceptable;
- encouraging staff to alert them to circumstances that may adversely affect their work;
- communicating the Trust policy and standard expectations to all staff, ensuring there is a clear understanding of both;
- providing effective feedback on the conduct, attendance and performance to individuals they are responsible for;
- ensuring that any actions taken as a result of staff misconduct or gross misconduct are carried out discreetly, fairly, and in confidence.

3.4. The **Chief Executive Officer** must adhere to the 7 principles of public life, and all leaders across the Trust are expected to conform to these standards. The principles are:

- **Selflessness** - Holders of public office should act solely in terms of the public interest.
- **Integrity** - Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.
- **Objectivity** - Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

- **Accountability** - Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
- **Openness** - Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.
- **Honesty** - Holders of public office should be truthful.
- **Leadership** - Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

3.5. This policy is published by the Trust Board.

3.6. The Trust Board has a responsibility to:

- treat all incidents of staff misconduct or gross misconduct fairly and in line with Trust policy;
- review this policy annually or after any incident of serious misconduct to ensure that it is effective, practicable and fair.

4. Types of misconduct

4.1. Listed below are some actions normally considered to be misconduct or gross misconduct that would be dealt with under this policy. The lists are a guide and are not exhaustive. The Trust has the right to discipline a member of staff for misconduct or gross misconduct even if the action they have taken is not listed below. Staff considered to have committed gross misconduct may be suspended before consideration for dismissal:

- Breaches of an employee's contract of employment;
- Breaches of the Trust or one of its academy's policies, including the sickness absence policy, IT user policy and health and safety policy;
- Unauthorised absence from work;
- Unauthorised use of Trust facilities – for example using the internet for excessive personal emailing;
- Persistent lateness, poor timekeeping or timewasting;
- Inappropriate or offensive behaviour – for example, using foul or abusive language;

- Intentionally disobeying the reasonable instructions of a senior member of staff;
- A breach of confidentiality or Trust regulations;
- Negligence in the performance of duties;

4.2. Gross misconduct is a serious breach of contract and includes misconduct, which in the opinion of Nexus Multi Academy Trust is likely to prejudice our reputation or irreparably damage the working relationship and trust between the Trust and the employee. Gross misconduct will be dealt with under this procedure and will normally lead to dismissal without notice or pay in lieu of notice. Gross misconduct may include:

- Harassment of or discrimination against a child or employee;
- Inappropriate conduct with children or young people, including failing to maintain appropriate professional boundaries;
- Failure to follow the academy's child protection procedures;
- Breaches of health and safety requirements;
- Physical assaults or threats to a colleague, pupil or member of the public;
- Actual or threatened violence, or behaviour which provokes violence;
- Unauthorised removal of Trust property, or malicious damage to Trust property or equipment;
- Criminal offences that in the Trust's opinion may undermine that employee's ability to do their job or adversely affect internal relations, staff or pupils;
- Dishonesty involving anything that relates to life in academies;
- Fraud or forgery, including falsification of documents such as expense claims, pupils' work, examinations or assessments;
- Theft;
- Being under the influence of alcohol, illegal drugs or other substances during working hours or not being capable of fulfilling duties because of their effects;
- Any action that harms the reputation of the Trust;
- Negligence or a deliberate breach of an employee's contract of employment;
- Failure to obey instructions, or any other act of insubordination;
- Accessing internet sites at work or at home, or using academies equipment, which contains pornographic, offensive or obscene material;

- Making a false declaration or failing to disclose information in relation to the disqualification from childcare requirements, or becoming disqualified from providing childcare;
- The disclosure of confidential information;
- Failure to ensure confidential information is kept securely;
- Possession, use, supply of illegal substances;
- Serious misuse of IT policies or systems.

5. Staff discipline procedures

5.1. It is the Trust policy to ensure that any disciplinary matter is dealt with fairly and that steps are taken to establish the facts and to give employees the opportunity to respond before taking any formal action. An employee may bring a trade union representative or a work colleague, Employees will not normally be dismissed for a first act of misconduct, unless the Trust decides that the conduct amounts to gross misconduct or the employee has not completed a probationary period.

5.2. Disciplinary investigations

5.2.1. When a manager thinks that misconduct has taken place, and where it is determined that an investigation is needed, the manager will determine if it is in the interest of the academy and/or the employee to suspend the individual on full pay without prejudice. HR advice should be taken at this time.

5.2.2. Once a decision has been made and action taken, the manager must then delegate authority to carry out an investigation. For a Headteacher, this delegated responsibility would usually be allocated to the Deputy Head in the first instance or another senior member of staff, who will keep written records of any meetings. The purpose of an investigation is to establish a fair and balanced view of the facts. It may involve interviewing the employee and any witnesses, and reviewing relevant documents or other information. The Headteacher will first and foremost inform the member of staff that they are going to initiate an investigation.

5.2.3. Where any allegation is made, the Headteacher should be informed and a meeting will be arranged with the member of staff in question. The Chief Executive Officer and/or local governance Chair may be

informed, and if the Headteacher is the person in question, the Chief Executive Officer **must be informed** and will arrange the meeting. This will take place immediately if there is concern that a child is at risk of harm, or normally within 7 days if this is not the case.

- 5.2.4. If an allegation is made against a trade union representative, no disciplinary action will be taken until an employed official of that trade union has been consulted.

5.3. Investigatory meeting

5.3.1. The Headteacher will listen and view any evidence presented including the details of the misconduct and any discussions which have followed. HR may be asked to attend by the Headteacher. A trade union representative or work colleague may be asked to attend by the employee. 7 days' written notice should be given of the investigatory meeting.

5.3.2. An investigation report will be written following the meeting which includes an introduction, executive summary, methodology, findings and potential further actions.

5.3.3. Further actions may include:

- no further action is taken or
- a disciplinary hearing should take place or
- that the misconduct refers to capability (see appraisal and capability policy)

5.4. No further formal action will be taken

5.4.1. If the senior leader has investigated the misconduct of a staff member and has made the recommendation that no further action be taken, or that informal action should be taken, the member of staff will be informed in writing within 7 days of the investigatory meeting. If the investigator believes that the misconduct was a one-off, a misunderstanding, or an act of poor judgement, they may wish to arrange a follow-up meeting to discuss this with the staff member and the implications of their conduct.

5.4.2. Senior leaders may use this follow-up meeting to draw up a personal plan to improve conduct, timekeeping or organisational skills. An improvement plan may be created with measurable improvements as targets and reasonable timescales in which to improve. These will be reviewed at the end of the agreed improvement period and if insufficient improvement has been made the manager may make the decision to take more formal action.

5.5. A disciplinary hearing will take place

5.5.1. In cases where an act of gross misconduct or incidents of misconduct have taken place, the manager may advise that a disciplinary hearing should take place to review the conduct of the member of staff and decide on a formal course of action. Persons who are considered to have committed misconduct may be suspended before consideration for dismissal.

5.5.2. The person who is the subject of the investigation will be informed as soon as a disciplinary hearing has been decided. If there has been an allegation made against them by a pupil, they will be informed only after the Headteacher has spoken to HR. The employee will then be advised what the next course of action will be. However, if the police or children's social care are to be involved, for example in a case of alleged sexual misconduct, they will be contacted before the employee and will advise on what information may be disclosed to the person under investigation.

5.5.3. In the case of an employee who has been accused of abuse, the academy will report through children's social care and will take their lead from these services, usually the Local Authority Designated Officer. If the employee is a member of a union or any other professional association, they should be advised to contact that body at the outset of the investigation.

5.6. Disciplinary hearings

5.6.1. When a manager has recommended disciplinary action, a disciplinary hearing will be convened. The purpose of the disciplinary hearing is to test the facts and probe the evidence through reviewing the investigation. Employees should be allowed to state their case and from this establish any mitigating circumstances.

- 5.6.2. The Disciplinary Hearing Panel will usually be made up of 3 governors. The Headteacher will act as an advisor to the panel, unless they have also been the investigating officer. The Trust's HR advisor or an executive officer may also advise the panel.
- 5.6.3. The employee will be notified in writing as soon as is practicable of the date, time and location of the hearing (at least 7 days' notice). The procedure and copies of relevant documentation that will be used - or may be useful or necessary to prepare a response - will be provided. The employee will be informed of the allegations against them, the basis for those allegations and the likely range of consequences if it is decided at the hearing that the allegations are true.
- 5.6.4. An employee may bring a companion to all meetings where a warning or dismissal may be an outcome, and this may be either a trade union representative or a work colleague. The employee will be informed of their right to be accompanied in the written notification of the hearing. Should they wish to bring a companion to the hearing, they will be responsible for making the necessary arrangements and providing them with copies of paperwork that they may require.

5.7. Process

- 5.7.1. The hearing will follow the following process:
- Investigating Manager outlines case
 - Employee given opportunity to state their case
 - Witnesses available for questioning
 - Opportunities for both sides to ask questions
 - Investigating manager summarises case
 - Adjournment
 - Decision
- 5.7.2. The Nexus Multi Academy Trust has a duty of care to its employees and will do all it can to minimise the stress of the disciplinary process.
- 5.7.3. The employee may need additional support and the employing academy will consider what would be appropriate. If there is a criminal investigation and the police are involved, they may provide this additional support. For more information on support, confidentiality,

suspensions, resignations and investigation processes that relate to allegations of abuse, please refer to the Trust's Allegations of Abuse Against Staff Policy.

5.8. Confidentiality

- 5.8.1.** The Trust will make every effort to protect the privacy of all parties during and after an investigation into misconduct. It is in everyone's best interest to maintain this confidentiality to ensure a fair investigation with minimum impact for all parties. All employees must treat information communicated to them in connection with an investigation or disciplinary matter as confidential.
- 5.8.2.** A breach of confidentiality will be taken seriously and may warrant its own investigation. It is a criminal offence to publish information that could lead to the identification of someone who is the subject of an allegation or a disciplinary hearing before they are charged or summonsed.
- 5.8.3.** Where the Trust is legally required or entitled to make a statement in relation to the outcome of disciplinary action, employees will be informed of this wherever possible.

5.9. Suspensions

- 5.9.1.** The Trust will not suspend a member of staff without serious consideration, and will not do it automatically when an allegation of abuse or misconduct is made. Depending on the nature of the case, it may be possible that alternative arrangements are made such as work location or reorganisation of duties, and these will be considered before a decision to suspend is made.
- 5.9.2.** Suspension is not a disciplinary penalty and does not imply that any decision has already been made about the allegations. Where an employee is suspended, they will receive confirmation in writing as soon as possible and will be informed of the reason for the suspension. The suspension will be for no longer than is necessary and will be kept under review. Employees will continue to receive full pay and benefits during any period of suspension.

5.10. Resignations

5.10.1. If an employee hands in their resignation when a disciplinary hearing has been ordered or during an investigation, the investigation may still continue until an outcome has been reached, with or without the person's cooperation. They will be given full opportunity to respond to the hearing. A referral to the Disclosure and Barring Service and Secretary of State will also be made where the thresholds for referral are met.

5.11. Record keeping

5.11.1. Detailed records of all investigations and outcomes should be kept securely, and in line with the Data Protection Act (1998) and General Data Protection Regulation (2018), in the personal file of the person who has been under investigation, who should be given a copy of the same information. This will enable the Trust to:

- provide all the necessary information for future employers if the individual requires a reference. Where DBS checks highlight allegations that did not result in any criminal charges, records will need to show exactly what happened, what points of action were taken during and after the investigation, and how the result of the investigation was reached;
- prevent unnecessary re-investigation in the future if an allegation re-surfaces.

5.12. Allegations or investigations that are proven to be malicious will not be kept on employment records or used in employee references.

5.13. Action on conclusion of the case

5.13.1. The employee will be informed in writing of the decision and the reasons for it, usually within 7 days of the hearing. Alternatively, the panel may give the employee a disciplinary first warning or final warning or dismiss them. It will be necessary to determine if the employee has an existing live warning on file before a decision is made.

5.13.2. The Disciplinary Committee may find that there is no case to answer and refer the case back to an informal process or the Trust's capability procedures.

5.13.3. Disciplinary action comes with the following timescales:

- A verbal warning - live on file for **6 months**
- Written warnings will set out the nature of the misconduct, the period for which the warning will remain active and the likely consequences of further misconduct in that active period. After the active period (**live on file for 9 months**), the warning will remain permanently on the employee's personal file but will be disregarded in deciding the outcome of future disciplinary proceedings.
- Final written warning - **18 months**

5.13.4. The panel will inform the Chief Executive Officer in writing if they choose to dismiss an employee with the reasons for the dismissal and the employee's contract of employment will be terminated.

5.13.5. Where an employee is dismissed, a referral to the Disclosure and Barring Service and Secretary of State will be made where the thresholds for referral are met.

5.13.6. If it is decided that the employee may return to work (after a suspension) then provisions will be put in place by the setting to ensure that the transition is as smooth as possible. This may involve a phased return for a trial period or use of another member of staff as a support system in the short term.

5.14. Appeals

5.14.1. Members of staff can appeal disciplinary action taken against them within 7 days of the date on which they were informed of the decision.

5.14.2. The appeal will be dealt with as impartially as possible and will be conducted by a panel of Directors not previously involved in the case. The Chief Executive Officer will act as an advisor to the panel, as will the Trust's Human Resources Advisor. The employee will be given written notice of the date, time and place of the appeal hearing no less than 7 working days before the hearing. They may bring a companion to the appeal hearing.

- 5.14.3. Following the appeal hearing, the panel may confirm or revoke the original penalty or substitute a different penalty. Ordinarily a penalty will not be increased on appeal unless there is new information or evidence that requires further investigation. The employee will be informed in writing of the decision and the reasons for it, usually within 7 working days of the hearing.
- 5.14.4. The decision of the appeals panel is final and there is no further right to appeal.