

**EMLC
Academy
Trust**

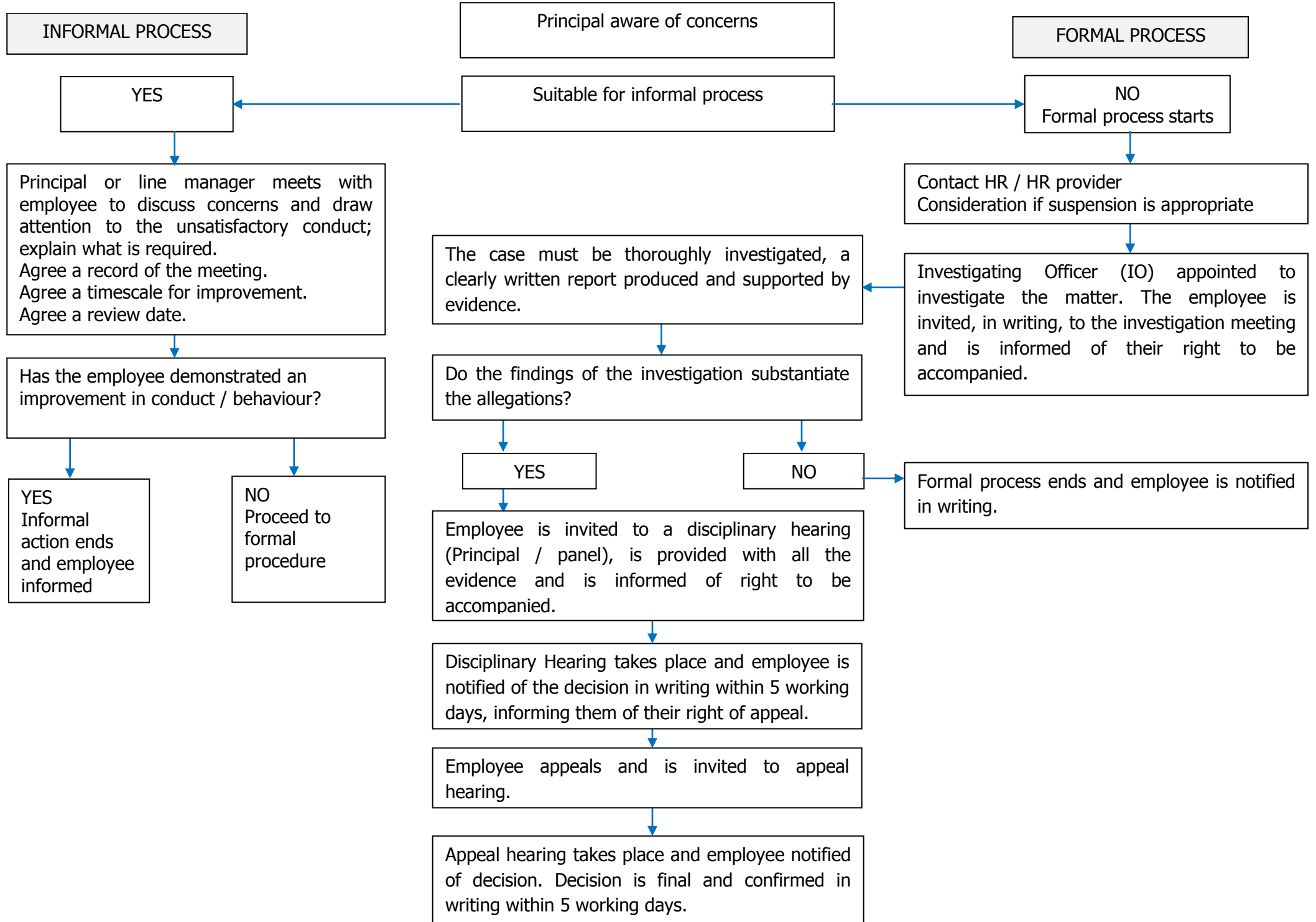
**Disciplinary
Policy
2015/17**

‘Every child deserves to be the best they can be’

Scope: EMLC Academy Trust & Academies within the Trust	
Version: V3 14/10/15	Filename: EMLC AT Disciplinary Policy
Approval: This policy was ratified by the EMLC Academy Trust on:	Next Review: <i>This policy will be reviewed every 2 years by the Strategic Board.</i>
Owner: EMLC AT Strategic Board	Union Status: Agreed - 11 November 2015

Policy type:	
Statutory	Replaces Academy's current policy

Disciplinary Process – an overview



DISCIPLINARY POLICY AND PROCEDURE

1 Introduction

EMLC Academy Trust expects all its employees to recognise their obligations to their Academy, the public, pupils and other employees and to conduct themselves properly at all times and in accordance with the Trust's Code of Conduct and all other policies and procedures. Appendix 1 gives examples of gross misconduct and misconduct but these lists are not to be treated as exhaustive.

This procedure is designed to reflect the employee's right to natural justice, including the rights identified in the Human Rights Act, and the law as set out in Employment Acts and regulations, specifically the Employment Relations Act 1999.

Where allegations are made against an employee, he / she should be informed of his / her rights to be represented at all meetings and related hearings by a recognised trade union representative or other Academy employee.

Any Disciplinary action being contemplated in respect of staff representatives of recognised trade unions within this procedure should not be instigated without notification in advance to the full-time official or nominee of the appropriate Trade Union.

This Policy is in line with the ACAS code of practice on Disciplinary Procedures.

The policy does not replace the normal interaction between line manager and employee and recognises that minor breaches of conduct should be dealt with promptly and informally without referring to formal disciplinary procedures.

Action under this policy relates both to conduct at work and instances where conduct outside work has a direct relationship to the Academy Trust, Academy or employee's duties. This includes action or conduct that is likely to bring the school into disrepute or raises concerns about an employee's suitability to continue to work in a position of trust.

2 Purpose

To achieve centres of excellence in education and foster good employee relations, this procedure aims to:

- improve conduct primarily by advice and correction rather than by disciplinary measures;
- work in a collaborative and supportive manner with all employees and provide a fair method of dealing with any allegations of breaches in standards of conduct.

3 Scope

This procedure applies to all employees (teaching and support staff) employed within EMLC Academy Trust Academies who either have a permanent contract of employment, or have more than three months' continuous service. It does not apply to employees subject to

probation or induction, who are subject to separate procedures i.e. probationary procedures. No action should be initiated against a Principal under the disciplinary procedure without the Chair of Governors referring the matter to the Chief Executive of the EMLC Academy Trust.

Any proposed disciplinary action against a Trade Union officer will not be taken without EMLC HR first consulting with and notifying in writing a full time Trade Union official.

4 Equal Opportunities

The disciplinary procedure must always be applied fairly and in accordance with employment law and Equalities Legislation. The provisions of the Equality Act 2010 will be applied throughout the implementation of this Policy.

5 Governance

The Local Governing Board (LGB) is a committee of EMLC Academy Trust. The LGB is responsible for implementing the disciplinary rules and procedures for staff, in the context of any procedures and / or guidance issued by the EMLC Academy Trust Board. However, they may delegate these matters (including the power to suspend any person employed at the Academy where, in the opinion of the Principal, his / her exclusion from the Academy is required) to either:

- the Principal;
- a sub-committee of the LGB; or
- a sub-committee and the Principal.

Therefore, where this procedure refers to the LGB representative, this can be any one of the above.

6 General Principles

Academies will adhere to a number of principles, which ensures that any individual who is subject to disciplinary action will receive consistent and fair treatment. These principles are as follows:

- The procedure will be applied objectively to all members of staff concerned and is designed to ensure that all members of staff are treated consistently and in accordance with Equalities Legislation.
- It is a fundamental principle that disciplinary matters are dealt with at the lowest level possible, appropriate to the disciplinary matter under investigation.
- The procedure should be used primarily to help and encourage employees to improve rather than as a way of imposing a punishment.
- Managers will clearly define the Trust's standards of conduct and performance required and ensure members of staff are aware of them.

- The employee should be informed of any complaint / allegation against them and be provided with as much information as deemed appropriate without compromising the investigation.
- All allegations will be confirmed in writing and substantive evidence provided to any employee who may be the subject of disciplinary action.
- Any decision to take formal action against a member of staff will be taken only after a full investigation and with proper safeguards for the individual. No disciplinary action will be taken until the employee has been informed of the nature of the problem and given the opportunity to make representation.
- The employee should be provided with an opportunity to state their case before decisions are reached.
- Each employee / representative has the right to be accompanied and represented by a recognised Trade Union official or by a work colleague of their choice at any stage during the procedure.
- All meetings held within this procedure will be arranged at a mutually agreed date, time and venue.
- Issues should be raised and dealt with promptly and should not unreasonably delay meetings, decisions or confirmation of those decisions.
- If, without good cause, the employee is unable or unwilling to attend a disciplinary hearing on more than 2 occasions, the matter will be heard in their absence and a decision made based on all the evidence available.
- Where possible, the Hearing Officer (Principal /Senior Leader) should not have had any prior involvement with the investigation. Those conducting an appeal should not have had any prior involvement with the investigation or the disciplinary hearing.
- All employees have the right of appeal against any action taken against them at any of the formal stages of this procedure.
- No employee will be dismissed for a first disciplinary offence except in the case of gross misconduct, when the penalty could be dismissal without notice or pay in lieu of notice.
- Where an employee has been warned before about their conduct or behaviour, it should be made clear at that time that if there is a further instance of misconduct, formal disciplinary action could be taken.
- Any action taken should be reasonable in the circumstances of the case.

7 Responsibilities

The LGB is responsible for maintaining fair, consistent and objective procedures for matters relating to staff discipline in each Academy.

Employees and the employer have a joint responsibility to maintain good employment relationships.

Employees are expected to observe all Trust rules, policies and procedures.

8 Timing

Disciplinary matters should normally be conducted within the timescales laid down in the procedure. However, if there is a valid reason to do so, timescales can be varied. If this is initiated by management, the employee should be given an explanation and informed when a response or meeting can be expected.

All efforts should be made by employees to attend meetings that constitute part of this procedure. When there are valid reasons to reschedule meetings then these should be rearranged without undue delay.

9 Informal Action

Less serious breaches of conduct should be dealt with informally by meeting with and discussing the matter with the employee.

This involves drawing the employee's attention to the unsatisfactory conduct, explaining what conduct is required, and setting a clear and reasonable timescale for the employee's conduct / behaviour to improve.

Consideration should be given to any difficulties which an employee may be facing and a genuine attempt should be made to help the employee to overcome them. Where considered appropriate, managers should seek Occupational Health advice when managing staff who may be suffering from mental illness or alcohol or substance abuse.

In some cases, it may be beneficial for the employee to contact the Employee Support Programme for advice and guidance, if available.

The line manager is required to keep notes of the date and content of the informal discussion. If no further action is taken after a period of 12 months then these should be destroyed.

10 Formal Action

If there has been no improvement in conduct, or the matter is of a serious or gross misconduct nature, it will be necessary to commence the formal procedure. Before holding a formal disciplinary hearing, an investigation should be carried out by the Principal or nominated officer to determine the most appropriate action.

In very serious or complex cases such as suspected fraud, theft, accusations of any form of racial or severe harassment, or where criminal proceedings may ensue, a detailed formal disciplinary investigation will need to be conducted. EMLC Academy Trust will advise the academy on the processes for setting up independent, formal investigations and will suggest suitable qualified people to undertake the work, depending on the individual circumstances of the investigation.

A member of staff may be suspended from work during a formal disciplinary investigation (see section below on suspension).

11 Investigation

The Principal or his / her nominee is responsible for appointing an Investigating Officer who must be trained and competent to undertake the role. The Investigating Officer should familiarise themselves with EMLC Academy Trust's Management Guidance on Disciplinary Policy.

Investigations should normally be carried out by the appropriate line manager. If this is impractical or inappropriate, another Investigating Officer should be chosen. Alternatives to the line manager could include an employee of equal or more senior status within the Academy, or as nominated by EMLC Academy Trust.

The process must be completed as quickly as possible, and should usually take no more than 10 days, ensuring that all parties have the opportunity to present their evidence.

The case must be thoroughly investigated, have a clearly written investigation report and supporting evidence.

12 Timescales for Investigations

All allegations and complaints against employees must be investigated without delay (particularly in cases of potential gross misconduct). The Principal or his / her nominee should ensure the Investigating Officer has reasonable time off from normal duties to complete the investigation promptly.

As a guide, from the time the Investigating Officer begins their investigation, the investigation report should be completed without delay, and normally within 15 working days, for allegations of misconduct and other cases where the fact finding is relatively straightforward. For allegations of gross misconduct and more complex cases, the investigation process should take no longer than 20* working days. In very complex cases or exceptional circumstances, a reasonable timescale will be agreed by EMLC Academy Trust in consultation with the employee and their representative.

On completing the investigation, the Investigating Officer will recommend to the Principal or his / her nominee whether a formal disciplinary hearing is necessary and, if so, on what basis.

The allegations must be confirmed in writing within 5 working days of the completed investigation.

13 Employee Representation

Where allegations are made against an employee, he / she should be informed in writing of their right to be represented at all meetings and related hearings by a recognised trade union representative or other Academy employee.

14 Suspension

The suspension of a member of staff should only be used to enable a matter to be investigated, or, in the interests of protecting children and / or staff, while a matter is investigated pending any further action that may be necessary. Suspensions are a precautionary measure and should not be regarded as prejudging the matter. If at any stage during, or at the end of, the investigation, or at any stage of the disciplinary procedure, it is considered that this suspension should be lifted by the Principal or the Chair of the subcommittee of the LGB (where the LGB has delegated this authority to them), the employee will be informed immediately.

Suspension from duty is a 'working arrangement' whereby the employee must not enter any Academy building and consideration will be given to restricting contact with any Academy employee without the express permission of the Principal. Nor must a suspended employee contact pupils or their parents or anyone else with whom they would come into contact during the course of their duties. Failure to observe this requirement may render them liable to disciplinary action.

The Academy should appoint a named representative to keep the person who is the subject of the allegation informed of the progress of the case and consider what other support is appropriate for the individual.

Where an employee is suspended and needs to contact witnesses to provide evidence at a hearing, then this may be considered on a case by case basis, and achieved via their trade union representative or by a request to the Principal.

The LGB may delegate responsibility for formally suspending a member of staff to either a Sub-Committee of the LGB or the Principal. Only the Chief Executive of the EMLC Academy Trust or his / her nominee may suspend the Principal.

An employee may be suspended on full pay when an act of gross misconduct is either suspected or alleged to have been committed or for "other good and urgent cause", which is normally taken as when the employee is suspected of, or has been arrested for, doing something which would render him or her unsuitable to remain in the Academy. The period of suspension should be as brief as possible and should be kept under review.

Where the power of suspension has not been delegated to the Principal, the Principal or his / her nominee can send a member of staff home, pending ratification.

Where suspension occurs, this should be confirmed in writing giving the details of the allegation(s). In all cases, the Chief Executive of EMLC Academy Trust needs to be informed. (See Appendix 3 for letter templates.)

15 Disciplinary Hearings

Where the results of the investigation recommends that there are reasonable grounds to suggest misconduct or gross misconduct, a Disciplinary Hearing should be arranged as soon as possible but normally within 20 working days of completion of the investigation. Reasons for any delay in convening a Hearing must be clearly communicated to the employee in writing.

The Investigating Officer's report and all relevant documentation should be sent to the employee and their representative with a letter specifying the date, time and place for the hearing, giving no less than five working days' notice. The letter must contain sufficient information on the alleged misconduct and its possible consequences.

The letter should inform the employee of their right to be accompanied by a trade union representative or work colleague. If an employee's companion cannot attend on a proposed date, the employee can suggest another date so long as it is reasonable. Where every effort has been made to re-organise the hearing, the employee should be informed that it may then proceed in his / her absence, with or without their representative being present.

16 Disciplinary Sanctions

A decision on disciplinary action will be made in the light of what is believed, on the balance of probabilities, to have occurred, and in reaching a decision about appropriate sanctions the Chair will take account of any mitigating or aggravating circumstances. The nature of any disciplinary action taken will be proportionate to the seriousness of the case and its surrounding circumstances and will reflect a conclusion that any reasonable employer could have been expected to reach.

The following formal stages of disciplinary action can be taken for breaches of conduct (see Appendix 1):

Warnings are progressive from First to Final except for:

- Cases of gross misconduct (which, if substantiated through the disciplinary process, may result in summary dismissal with no entitlement to statutory notice);
- Cases which are less serious than gross misconduct but warrant a Final Warning being issued regardless of prior formal warnings.

Disciplinary Action	Authority to issue	Duration of warning on personnel file
Oral warning	As delegated by the LGB	6 months
First written warning	As delegated by the LGB	9 months
Final written warning	As delegated by the LGB	12 months
Dismissal	As delegated by the LGB	-

Further misconduct may occur during the term of a first written warning. Where this results in a formal hearing and a final written warning is issued, the duration of the final written warning will supersede that of the first written warning.

Upon expiry, all disciplinary warnings will be expunged from record except for warnings relating to the safety and welfare of children or young people that fall under safeguarding issues.

An employee with a final written warning on file who is alleged to have committed a further occurrence of misconduct must be treated as if the allegation was of gross misconduct. This is because if the allegation is substantiated, the employee will be dismissed. Therefore letters to the employee should include the warning of dismissal (as for allegations of gross misconduct).

Where a member of staff is dismissed, misconduct cases that relate to the safety of children and young people will be referred to the Disclosure and Barring Service. This will be dealt with by the Director of Operations for EMLC Academy Trust. All other cases of teacher misconduct resulting in dismissal will be referred to the National College for Teaching and Leadership (NCTL) on behalf of the Secretary of State for Education.

17 The Disciplinary Panel

As delegated by the LGB, the person(s) hearing the disciplinary will write to the employee giving details of the hearing, normally allowing 10 working days' notice.

A representative from EMLC Academy Trust or HR provider will be present at any hearing where dismissal is a possibility. This hearing should not include the Chair of Governors.

For all meetings, a note-taker will attend to take minutes of the proceedings. It is their role to minute the significant points of the hearing and the decision of the panel but not to produce a verbatim record.

18 Conducting the Hearing

At the Hearing, all parties present will be given an opportunity to ask questions or challenge the reports / evidence submitted by all witnesses.

The employee and their representative should be informed of the decision of the Disciplinary Hearing as soon as possible (unless there is an adjournment to clarify any facts) and the Chair of the Panel / the Principal hearing the allegation will confirm this in writing within five working days. The letter must also confirm the individual's right of appeal and of the right to be represented by a work colleague or trade union representative at any appeal hearing.

19 Appeals Procedure

Employees have the right to Appeal against any sanction.

Appeals will be heard by the Appeals Sub-Committee of the LGB, or by EMLC Academy Trust in the case of a Principal. See Appendix 2 for details on the appeal hearing.

Appeals must be registered in writing with the Principal, or to EMLC Academy Trust in the case of a Principal, within ten working days of the employee being notified in writing confirming the disciplinary decision. Appeals received after this period will not be heard.

A quorum of the Appeals Panel will be three.

Employees / appellants may present any further evidence which was unavailable at the time of submission of the appeal documentation at least five working days prior to the Appeal Hearing so that management has an opportunity to respond.

Appeals against the outcome of any disciplinary action may be considered by the Appeals Sub-Committee, or EMLC Academy Trust in the case of the Principal, in relation to one or more of the following grounds:

- i) The **PROCEDURE** – the grounds of appeal should detail how any procedural irregularities prejudiced the disciplinary decision;
- ii) The **FACTS** – the grounds of appeal should detail how the facts do not support the decision or were misinterpreted or disregarded. They should also detail any new evidence to be considered;
- iii) The **DECISION** – the grounds of the appeal should state how the act(s) of misconduct did not justify the level of disciplinary action taken or the act was one of misconduct rather than gross misconduct.

Appeal hearings will be convened as soon as is reasonably practicable and the employee / appellant will be given no less than 10 working days' notice of the time and place of the Appeal hearing.

The Appeal will concentrate on the area(s) of dispute only and will not be a re-run of the whole disciplinary hearing. Accordingly, it is important that the employee is explicit about the grounds for appeal and must provide clear and specific reasons in writing. Such written notice of the Appeal must include reference to any new facts the employee / appellant intends to raise at the Appeal.

The result of the Appeal and the reasons for the decision will be conveyed to the appellant as soon as possible. Normally this will be on the same day as the appeal hearing, but in exceptional circumstances this may not be possible. In all cases the appellant and his/her representative will be notified within 5 working days of the appeal meeting in writing by the Chair of the Appeals Sub-Committee, or by EMLC Academy Trust in the case of the Principal.

20 Safeguarding

If allegations are made against staff which involve safeguarding issues, the Academy's Safeguarding Policy and procedure must be followed, irrespective of how the allegation arises. Employees may be suspended on full pay pending the outcome of the Safeguarding Policy and procedure; however, suspension should not be the default option. If the relevant safeguarding agencies decide not to pursue action against the employee, the matter will be referred back to the Academy for consideration under the appropriate procedure.

If the Safeguarding Policy and procedures are involved, other disciplinary procedures will begin only if and when the matter has been referred back to the Academy. The fact that external agencies have not taken action should not be taken as an indication of the employee's innocence or guilt.

The Academy will operate within statutory guidance when handling cases of safeguarding.

21 Monitoring

The Academy will monitor cases in line with Equalities Legislation to ensure consistency and fairness in its application.

22 Special Situations

Grievances raised during the course of the disciplinary procedure

Sometimes an employee may raise a grievance during the course of a disciplinary case. Where this happens, and depending on the circumstances, it may be appropriate to suspend the disciplinary procedure for a short period until the grievance can be considered. The employee will however have to raise the grievance in accordance with the EMLC Academy Trust Grievance Procedure.

Depending on the nature of the grievance, the Academy may need to consider bringing in another manager to continue to hear the disciplinary case.

23 Review

This policy will be reviewed every two years in consultation with the recognised trade unions.

APPENDIX 1: GROSS MISCONDUCT AND MISCONDUCT

GROSS MISCONDUCT

Gross misconduct is defined as misconduct of such a serious nature that the employer is no longer prepared to tolerate the employee's continued presence at the place of work. Where allegations are substantiated they may lead to a hearing panel being convened and dismissal proceedings invoked.

The following are examples of gross misconduct, but are not intended to be exhaustive:

- Prolonged unauthorised absence from work (at least 10 working days without contact);
- While purporting to be absent sick, working or engaging in activities which are likely to be inconsistent with the reason for absence and / or which are unlikely to be conducive to recovery;
- Inappropriate conduct towards, or contact with, pupils;
- Serious acts of insubordination;
- Serious breaches of the Academy's Financial Regulations or individual Academy's Code of Conduct;
- Theft or misappropriation of, or failure to account for, or falsely claiming entitlement to, the property, assets or funds of the academy or its employees;
- Fighting or acts of violence at the work place, serious threatening or abusive behaviour towards, pupils, parents or fellow employees;
- Criminal offences outside work (including fraudulent activities) which may affect the individual's employment suitability;
- Unauthorised removal and use of Academy property;
- Failure to report or record any serious matter which it is the employee's contractual duty (either expressed or implied) to report;
- Falsification of documents likely to be of financial benefit to the employee or other persons e.g. time sheets, bonus / expense claims, qualifications etc.;
- Obtaining a job by lies or deception in the course of selection procedures;
- Making false claims under any of the Academy's policies and / or procedures;
- Discrimination / harassment against a pupil, employee or parent, on the grounds of sex, trans-gender status, sexual orientation, religion or belief, marital status, civil partnership status, age, race, colour, nationality, national origins, ethnic origin or disability;
- Bullying;
- Being incapable of adequately performing duties as a result of the intake of alcohol or misuse of drugs;
- Serious breaches of the Academy's Health and Safety policies or practice;
- Serious contravention of the Academy's Policy on Internet Access;
- Acts or omissions that would expose the Academy or EMLC Academy Trust to criticism or cause reputational damage;
- Disorderly or indecent conduct, whether at the Academy or otherwise; and

- An act committed outside the place of work where the act has an adverse bearing on the employee's suitability for the job or which would bring the Academy into disrepute.

MISCONDUCT

The following are examples of misconduct, but are not intended to be exhaustive:

- Regular lateness for work;
- Regular failure to follow employment rules e.g. reporting absence;
- Refusal to obey a reasonable instruction of a manager;
- Negligence at work leading to loss, damage or wastage of academy or other property;
- Improper, disorderly or unacceptable conduct at, in or near the Academy;
- Wilfully inadequate work performance (poor performance or lack of capability will normally be the subject of Capability procedure);
- Private trading.

APPENDIX 2: A GUIDE TO CONDUCTING THE DISCIPLINARY HEARING AND APPEAL

1 Introductions

The Chair introduces him / herself and allows an opportunity for all those present to do so. The Chair ensures that all procedural steps have been adhered to and confirms the order of the agenda with all those present.

2 Nature of the complaint

The Chair checks that all parties have the relevant documents and identifies the specific allegation / complaint.

3 Representation by management

The Chair asks the Investigating Officer / management to present the case (including questions of witnesses).

4 Questions by employee

The Employee and / or representative may ask points of clarification from management or witnesses after they have given evidence.

5 Questions by Chair or panel

Panel members may ask points of clarification from management or witnesses.

6 Presentation by employee

The employee and / or their representative will present his / her case, including calling any witnesses.

7 Questions by management

Management may ask points of clarification from the employee / representative including any witnesses after they have given evidence.

8 Questions by Chair of panel

Panel members may ask points of clarification from the employee / representative including each of the employee's witnesses after they have given evidence.

9 Re-examination of witnesses

Both parties may re-examine their witnesses after they have been asked questions by the other party.

10 Questions by Chair of panel

Panel members may wish to ask further questions of either side.

11 Final statement by management

The investigator may make a final statement.

12 Final statement by employee

The employee and / or representative may make a final statement.

13 Withdrawal

Both parties withdraw to allow the panel to discuss the findings and come to a decision. The HR adviser and note-taker to the panel will remain. Both parties may be asked to remain available in case the committee need to clarify any points.

14 Adjournments

Either party may ask for an adjournment during the course of the hearing

15 Sufficient Breaks

The Chair should ensure that there are sufficient breaks. If new information is presented during the course of the hearing, the Chair of the panel may decide to adjourn to allow all parties to consider it.

16 Minutes

Minutes of the meeting should be taken by either the Clerk to the Governing Body or a person experienced in taking detailed and accurate minutes. These will be circulated to all parties and will be part of any documentation used as part of an appeal.

The Appeal

The agenda for an appeal hearing will follow the same format as outlined above, except the employee will be asked to state their case first.

The Chair of the panel for the first hearing will respond by addressing the grounds of appeal and explaining the rationale behind the decision of the panel. He / she may be supported by the HR adviser who advised the panel at the first hearing and may ask the person who presented the management case in the first hearing to appear as a witness.

The Appeal panel will be advised by an HR adviser; the hearing must be minuted.

All parties should be given the documents presented in the first hearing, along with a copy of the minutes from the first hearing, a copy of the outcome letter from the Chair of the first panel and a copy of the letter of appeal from the employee.



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The decision of the appeals panel is final and the outcome communicated in writing within five working days by the Chair of the appeal panel.

APPENDIX 3: TEMPLATE LETTERS

Model Letter - Notifying Suspension

Private & Confidential

Name
Address

Date

Dear

Notification of Suspension

It is with regret that I write to inform you that you have been suspended from your work at.....Academy with effect from..... You will receive your full pay throughout the period of your suspension.

Your suspension has been occasioned by the need to investigate the following allegations made against you / incident in which you were involved.....

Your suspension is a neutral act and does not imply that any decisions have been taken regarding the allegations made against you. However, we advise you to arrange for a member of your trade union to support you during the suspension period. I have asked to keep you informed of the general activities taking place at the Academy until your suspension comes to an end.

You will be kept informed of the progress of the investigations. You will be notified once they are completed and invited to a meeting as part of these investigations. You may be accompanied by your trade union representative at that meeting.

You are not permitted under any circumstances to visit the Academy without prior permission of the Principal. If any of your personal possessions still remain on site you should contact the Principal in order to make a convenient appointment to come into the Academy to collect them.

As acknowledgement of receipt of this letter, please sign and return to me the enclosed copy within 5 working days. Failure to return the copy does not invalidate any possible disciplinary procedures.

Delete as appropriate If you require any additional support you can contact the Employee Assistance Programme if available on.....

Yours sincerely

Chair of LGB/Chair of Subcommittee / Principal *

(*Signature will depend on delegated responsibilities for suspension)

Model Letter - Invitation to an Investigation Meeting

Private & Confidential

Name
Address

Date

Dear

Investigation Meeting

I have been asked by the Principal to investigate the following allegations that have been made against you which could potentially constitute misconduct / gross misconduct:

The purpose of the investigation is to gather information and to ascertain whether there will need to be any further action taken under the disciplinary procedure (copy enclosed). You have the right to be accompanied by a trade union representative or colleague for support. The meeting will be held *time, date, venue*.

If you have any questions then please do not hesitate to contact me.

Yours sincerely

Investigating Officer

Enc.: Copy of the Academy Disciplinary Procedure

Model Letter to Request Attendance at a Formal Disciplinary Hearing

Private & Confidential

Name
Address

Date

Dear.....

Formal Disciplinary Meeting

I am writing to advise you that as a result of the investigations into allegations that *(set out summary details of alleged misconduct)* you are required to attend a formal disciplinary hearing.

The hearing will take place on.....(date) at.....(venue) at.....(time).

It will be conducted by *Principal* or *name of the delegated LGB representative if panel.*
Delete as appropriate

You have the right to be accompanied by your trade union representative or a work colleague.

You also have the right to produce written statements and to invite witnesses to give evidence in support of your case. You should ensure that copies of written statements upon which you wish to rely on at the hearing are given to me by *(date 5 days before the hearing)* together with the names of any witnesses that will be attending on your behalf.

Management will be calling the following witnesses to the hearing

I enclose / will forward an indexed bundle of statements and other documents which management will be presenting at the hearing.

If there is any aspect of this letter, or the procedure, to the extent that it applies to you, that you do not understand, please contact me.

As acknowledgement of receipt of this letter, please sign and return to me the enclosed copy. Failure to return the copy does not invalidate any possible subsequent disciplinary procedures.

Delete as appropriate If you require any additional support you can contact the Employee Assistance Programme on

Yours sincerely

Chair of Subcommittee / Principal *

(*Signature will depend on who is chairing the hearing. Please note it cannot be the Principal if they are the Investigating Officer)

Model Letter Stating Outcome of Formal Disciplinary Hearing

Private & Confidential

Name
Address

Date

Dear.....

Outcome of Formal Disciplinary Meeting

Following the formal disciplinary hearing held on.....(date), I write to confirm that I / the panel have determined that:

the allegations against you have not been substantiated and no further action will be taken;

or

the allegations made against you were deemed to be substantiated;

or

the following allegations (give details) have been upheld against you but I / the panel concluded that allegations that you (give details) were not substantiated

(Record the findings of fact reached by the Panel and the reasons for reaching the decision)

As a result (my / the panel's) decision that you (give details of misconduct), (I / the panel) have / has decided that:

you should receive a first / final written warning, and this letter constitutes notice of the same;

or

you are to be dismissed and your employment terminated with effect from (date)

or

no formal action will be taken on this occasion but I / the panel requires you to (details of standards of conduct required) and remind(s) you that failure to maintain such standards may result in further disciplinary action being taken against you.

The warning will remain on file for **6 / 9 / 12 (delete as appropriate)** months from this date.

You have the right to appeal against this decision. If you wish to appeal, you must do so in writing stating the grounds of appeal within 10 working days of receipt of this letter.



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If there is any aspect of this letter you do not understand or on which you require further clarification, please contact me.

As acknowledgement of this letter, please sign and return to me the enclosed copy within 5 working days. Failure to return the copy does not invalidate either the duration of the warning, the length of time it will remain on your file or any possible subsequent disciplinary procedures.

Yours sincerely

Chair of Panel

Model letter notifying an appeal hearing

Private & Confidential

Name
Address

Date.....

Dear.....

Appeals [Sub-Committee] Hearing

In response to your letter of.....(date) stating that you wish to appeal against the decision of the Principal / Panel notified to you on(date), I write to inform you that the appeal hearing will be held at.....(time) on(date) in(venue).

During the hearing you have the right to be accompanied by your trade union representative or work colleague.

I enclose / will forward copies of the documents to be presented to the appeal panel. If you wish to submit any new papers please send these to me by.....

The names of those who will be hearing your appeal are(names)

As acknowledgement of receipt of this letter, please sign and return to me the enclosed copy. Failure to return the copy does not invalidate the proceedings of the appeal hearing.

Yours sincerely

Chair of Appeal Panel

Model letter stating outcome of appeal hearing

Private & Confidential

Name
Address

Date.....

Dear

Outcome of appeal hearing

Following the appeal hearing held on.....(date) attended by(names), I write to inform you of the outcome of the hearing.

On the evidence presented to the [Appeals Sub-Committee / EMLC Academy Trust], it was found that.....(it is important to detail the findings of fact and reasons for reaching the decision).

On the evidence presented to the Panel it was decided that:

the decision made by the Disciplinary Panel is upheld and your dismissal is confirmed;

or

the decision made by the Disciplinary Panel is upheld but that the sanction imposed will remain or be reduced to.....;

or

[the Appeals Sub-Committee / EMLC Academy Trust] decided not to uphold the decision of the Disciplinary Panel. Therefore no further action will be taken and the matter is closed.

The decision of [the Appeals Sub-Committee / EMLC Academy Trust] is final.

Yours sincerely

Chair of Appeal Panel