



Bishop Chadwick

Catholic Education Trust

DISCIPLINARY POLICY AND PROCEDURE

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Adopted / Reviewed by Governing Body:	24 January 2022
Date of Next Review:	Spring 2024

BISHOP CHADWICK CATHOLIC EDUCATION TRUST

DISCIPLINARY POLICY AND PROCEDURE

Commitment to equality:

We are committed to providing a positive working environment which is free from prejudice and unlawful discrimination and any form of harassment, bullying or victimisation. We have developed a number of key policies to ensure that the principles of Catholic Social Teaching in relation to human dignity and dignity in work become embedded into every aspect of school life and these policies are reviewed regularly in this regard.

This Disciplinary Policy and Procedure has been approved and adopted by Bishop Chadwick Catholic Education Trust following consultation with employees and trade union representatives on xxxxx and will be reviewed on xxxx.

Signed by Director of the Academy Trust Company:

Signed by CEO:

DISCIPLINARY AND PROCEDURE

1. DEFINITIONS

In this Disciplinary Policy and Procedure, unless the context otherwise requires, the following expressions shall have the following meanings:

1.1 'Academy' means the academy named at the beginning of this Disciplinary Policy and Procedure and includes all sites upon which the Academy undertaking is, from time to time, being carried out.

1.2 'Academy Trust Company' means the company responsible for the management of the Academy and, for all purposes, means the employer of staff at the Academy.

1.3 'Board' means the board of Directors of the Academy Trust Company.

1.4 'Chair' means the Chair of the Board as appointed from time to time.

1.5 'Clerk' means the Clerk to the Board as appointed from time to time.

1.6 'Companion' means a willing work colleague not involved in the subject matter of the disciplinary proceedings against an employee under this Disciplinary Policy and Procedure, or a trade union official, an accredited representative of a trade union or other professional association of which the employee is a member, who should be available for the periods of time necessary to meet the timescales under this Disciplinary Policy and Procedure.

1.7 'Diocesan Schools Commission' means the education service provided by the diocese in which the Academy is situated, which may also be known, or referred to, as the Diocesan Education Service.

1.8 'Directors' means directors appointed to the Board from time to time.

1.9 'Governing Board' means the body carrying out the employment functions of the Academy Trust Company in relation to the Academy and such term may include the Board and/or the Local Governing Committee of the Academy.

1.10 'Governors' means (if appropriate to the context), the governors appointed and elected to the Local Governing, from time to time.

1.11 'Headteacher' means the most senior teacher in the Academy who is responsible for its management and administration. Such teacher may also be referred to as the Head of School or Principal.

1.12 'Local Governing Committee' means (if appropriate to the context), the Governors appointed to carry out specified functions in relation to the Academy as delegated by the Academy Trust Company.

1.13 'Misconduct' means any action or inaction which may contravene the provisions of the employee's contract of employment, the rules laid down by the Academy Trust Company and/or any Professional Code of Conduct and Practice. In such cases the Disciplinary Policy and Procedure will apply and the Capability Policy and Procedure may also apply.

1.14 'Vice-Chair' means the Vice-Chair of the Board as elected from time to time.

1.15 'Working Day' means any day on which you would ordinarily work if you were a full-time employee. In other words, 'Working Day' will apply differently to teaching and non-teaching staff. However, part-time and full-time staff will not be treated differently for the purposes of implementing this Disciplinary Policy and Procedure.

1.16 In the event of suspension or procedures as outlined within this policy, this should be addressed as follows;

- In the case of the Chief Executive Officer, the Chair of the Board or nominated Director will be responsible for any disciplinary matters, including suspension.
- In the case of a member of the central team, the Chief Executive Officer or nominated senior member of staff will be responsible for any disciplinary matters, excluding suspension which would be conducted by the Chief Executive Officer and only delegated in exceptional circumstances, in consultation with the Chief Executive Officer.

2. SCOPE

2.1 This Disciplinary Policy and Procedure applies to you if you are an employee or worker at the Academy (hereinafter referred to as an "employee" or "you").

2.2 The purpose of this policy is to provide a structure to address any issues or concerns that the Academy Trust Company may have relating to an employee's conduct.

- 2.3 An employee is entitled to have access, by arrangement, to their personnel file and to request the deletion of time-expired records in line with the provisions of the General Data Protection Regulation (GDPR) and the Data Protection Act 2018.
- 2.4 The Academy Trust Company delegates its authority in the manner set out in this policy.
- 2.5 There may be some occasions where an employee's lack of capability could also be described as lack of competence. This Disciplinary Policy and Procedure and the Academy Trust Company's Capability Policy and Procedure may be used concurrently whilst the Academy Trust Company endeavours to ascertain if the employee's lack of capability is due to Misconduct, (for example, where the employee is capable of reaching the required standard but has taken active steps not to do so), or lack of competence.
- 2.6 There may be occasions where an employee's conduct could relate to their health. This Disciplinary Policy and Procedure may be used concurrently with the Academy Trust Company's Sickness Absence Policy and Procedure. In particular, if an employee is absent from work on sick leave following this Disciplinary Policy and Procedure being invoked, the Academy Trust Company may use its Sickness Absence Policy and Procedure if it is appropriate in the specific circumstances, assessed on a case by case basis. The process of managing unsatisfactory behaviour using this Disciplinary Policy and Procedure will not necessarily cease where the employee is absent on the grounds of illness.
- 2.7 Subject to Paragraphs 1.5(a) and (b) of the Academy Trust Company's Grievance Resolution Policy and Procedure, there may be occasions when an employee brings a grievance pursuant to the Academy Trust Company's Grievance Resolution Policy and Procedure in connection with actions taken under this Disciplinary Policy and Procedure. This shall not lead to any automatic delay or pause in the conduct of any matters under this Disciplinary Policy and Procedure. In such circumstances, the employee and the Headteacher, or in the case where the disciplinary matter relates to the Headteacher, the Chair, will meet to discuss whether or not the Disciplinary Policy and Procedure should be suspended whilst the grievance is dealt with. The final decision as to whether or not to suspend the Disciplinary Policy and Procedure in such circumstances will be taken by the Headteacher or the Chair (as appropriate) and their decision shall be final.
- 2.8 There may be occasions where this procedure needs to be modified, for example to comply with the requirements of the Academy Trust Company's Child Protection and Safeguarding Policies, for example, by allowing the Local Authority Designated Officer to offer advice to the Board at appropriate stages or where an employee has a disability which means that reasonable adjustments need to be made to this procedure. Where the Academy Trust Company's Child Protection and Safeguarding Policies are invoked, this Disciplinary Policy and Procedure may be suspended until such time as the Academy Trust Company determines, in its sole discretion, that it is appropriate to resume it.
- 2.9 The Academy Trust Company is committed to ensuring respect, objectivity, belief in the dignity of the individual, consistency of treatment and fairness in the operation of this Disciplinary Policy and Procedure. This commitment extends to promoting equality of opportunity and eliminating unlawful discrimination throughout the Academy community which includes all of the academies in the Academy Trust Company's group.

- 2.10 This Disciplinary Policy and Procedure offers opportunities to ensure justice for teachers, support staff and pupils alike and has the potential for the expression of Christian qualities such as honesty, self-knowledge, respect for others and their gifts, recognition of the needs and achievements of others, challenge of self and others, personal growth and openness.
- 2.11 The Academy Trust Company's Appraisal Policy and Procedure and Capability Policy and Procedure do not form part of this Disciplinary Policy and Procedure but relevant information from the appraisal and/or capability process, including Appraisal Reports, may be taken into account in relation to the operation of this Disciplinary Policy and Procedure if appropriate.
- 2.12 The management of disciplinary issues and related investigations will be treated in confidence as far as possible by all parties involved at all stages of this Disciplinary Policy and Procedure.
- 2.13 The Academy Trust Company will maintain records of all interviews and reviews which take place under this Disciplinary Policy and Procedure for a period of up to 12 months or longer where necessary and where there is an applicable lawful basis under the GDPR for extending the retention period. All data and evidence collected is to be shared between all the relevant parties, including the employee, where there is an applicable lawful basis under the provisions of the GDPR.
- 2.14 Where possible, 'working days' will be based on the employees working days. Where other employees or Directors/Governors are involved in the application of this policy, the timescales may be amended and the employee will be notified.

3. INFORMAL ADVICE AND GUIDANCE

- 3.1 Sometimes potential disciplinary issues can be resolved informally in the workplace. This involves drawing the employee's attention to the perceived unsatisfactory conduct, discussing the situation and agreeing an appropriate way forward including any improvement required.
- 3.2 Your line manager may give you informal advice and guidance at any time about any conduct falling short of the standard expected and in many cases the right word at the right time and in the right way may be all that is needed. Where appropriate, support will be provided by your line manager.
- 3.3 Informal advice and guidance may be provided verbally or in writing but will always be noted in writing on your personnel records. Where informal advice and guidance is provided verbally and noted on your personnel records you will be provided with a copy of the note. The provision of informal advice and guidance may be referred to at a later stage to evidence that an informal approach was attempted and to demonstrate the success or failure of such an approach. Except in exceptional circumstances, records of the provision of informal advice and guidance will not be referred to after 6 months. The provision of informal advice and guidance is not a disciplinary sanction.
- 3.4 Failure to comply with any informal advice and guidance provided will not, on its own, be used as justification for issuing a higher form of sanction than would otherwise have been imposed under the formal process.
- 3.5 Consideration will be given to any difficulties which an employee may be facing, and the Academy Trust Company will provide reasonable support and assistance to help the employee

to overcome them. Such support and assistance may include, where appropriate, the Academy Trust Company seeking appropriate medical or other advice regarding the effective management of any disciplinary issues.

4. **SUSPENSION**

- 4.1 In cases where the Investigating Manager (as appointed in line with Paragraph 5.1) considers that it is appropriate, after consultation with the CEO and HR, the Headteacher may take the decision to suspend an employee. In the case of a decision regarding the suspension of the Headteacher, the Chair of the Board of Directors may take the decision to suspend. Any suspension will be reviewed regularly by the Headteacher or the Chair of the Board of Directors.
- 4.2 Where the circumstances allow, the employee will be given the opportunity to attend a suspension meeting. The employee may be accompanied by a Companion during the suspension meeting, where practicable. There will be no opportunity to respond to the allegations during this meeting.
- 4.3 A record will be kept of the determined purpose for the suspension for a period of up to 12 months and of any alternatives to suspension that were considered.
- 4.4 The Headteacher must consult the Chief Executive Officer of the decision to suspend. Where it is the Headteacher who has been suspended, the Chief Executive Officer must inform the Board (excluding any staff Directors if there are any).
- 4.5 Only the Chief Executive may end a suspension. Where it is the Headteacher who has been suspended, only the Chair of the Board may end the suspension (excluding any staff Directors if there are any).
- 4.6 Notification of suspension should ideally be undertaken in person but may, where the circumstances dictate, be notified to the employee in writing. If notification of suspension is undertaken in person it will be confirmed in writing.
- 4.7 ACAS suggests that suspension may, whilst investigations are carried out, be appropriate where:
- (a) relationships have broken down;
 - (b) gross Misconduct is alleged;
 - (c) there are reasonable concerns that evidence or witnesses could be prejudiced by the employee's presence during the investigation;
 - (d) there are responsibilities to other parties;
 - (e) it is necessary for the protection of pupils, staff or property; and/or
 - (f) the presence at work of the employee under investigation may be an obstacle to a proper investigation.
- 4.8 Suspension does not constitute a disciplinary sanction. It is a neutral act intended to ensure an effective investigation can take place. You will receive full pay and benefits during any period of suspension (unless you are otherwise absent from work due to sickness or other leave and have exhausted the pay entitlements connected to such absence). Periods of suspension will be as brief as possible and will be kept under review.
- 4.9 During a period of suspension, the Academy may require that you do not:

- (a) attend the Academy at any time (except with the prior agreement of the Headteacher or Chair);
 - (b) communicate in any way with parents, pupils, Directors, Governors or any other third party connected to the Academy or the Academy Trust Company except:
 - i. with the prior written agreement of the Headteacher/Chair; or
 - ii. where following an investigation you are called to a formal Disciplinary Meeting, when you may then approach parents, pupils, Directors, Governors or any third party connected to the Academy or the Academy Trust Company as potential witnesses but this must be done via the Investigating Manager to avoid any data breach or breach of confidentiality;
 - (c) discuss the fact of your suspension or the fact, or nature, of the allegations against you with any member of staff except:
 - i. with the prior written agreement of the Headteacher/Chair;
 - ii. for communication with your Companion; where your Companion is a Trade Union representative;
 - iii. where you are called to an interview with the Investigating Manager, a Disciplinary Meeting or a suspension meeting, when you approach a Companion who is a colleague; or
 - iv. where you are called to a formal Disciplinary Meeting you may approach work colleagues as potential witnesses in support of your case, but this must be done via the Investigating Manager to avoid any data breach or breach of confidentiality.
- 4.10 During periods of suspension, the Academy Trust Company may suspend your access to your email account and to the Managed Learning Environment (MLE)/Virtual Learning Environment (VLE).
- 4.11 During periods of suspension, the Academy Trust Company may take such steps as are necessary to cover your workload.
- 4.12 During any period of suspension your contractual duties to the Academy and to Academy Trust Company (whether express or implied) remain in force and enforceable. During a period of suspension you should remain available to assist in the disciplinary investigation, attend investigation or disciplinary meetings, or respond to any work-related questions.
- 4.13 During periods of suspension, the Headteacher will appoint an appropriate member of staff to act as a point of contact for the suspended employee. Where it is the Headteacher who has been suspended, the Chair, will appoint a member of the Board to act as a point of contact. This point of contact will not be able to discuss the disciplinary issue with the employee, but will be responsible for keeping you informed of any relevant workplace developments and maintaining your relationship with the Academy and to aid in supporting the staff member with their wellbeing.

5. INVESTIGATING, DISCIPLINARY AND APPEAL MANAGERS

5.1 The table below sets out the persons to be appointed throughout the stages of the disciplinary procedure depending on the person who is the subject of the disciplinary proceedings:

<i>Employee Level</i>	<i>Investigating Manager</i>	<i>Disciplinary Manager for sanctions up to and including final written warning</i>	<i>Disciplinary Manager for dismissals</i>	<i>Appeal Manager</i>
Headteacher	Chair of LGC or a non-staff governor appointed by the Chair or CEO	Directors' Disciplinary Panel or CEO	Directors' Disciplinary Panel	Directors' Appeal Panel
All other School Staff	The Headteacher or a sufficiently senior member of staff appointed by the Headteacher	Headteacher or LGC Disciplinary Panel	Directors' Disciplinary Panel	LGC Appeal Panel (up to and including final written warning) or Directors' Appeal Panel (for dismissal)
CEO	Chair of The Board or Director appointed by the Chair	Directors' Disciplinary Panel	Directors' Disciplinary Panel	Directors' Appeal Panel
COO/CFO	CEO or Director appointed by the Chair	Directors' Disciplinary Panel	Directors' Disciplinary Panel	Directors' Appeal Panel
All other Central Trust Staff	A sufficiently senior member of staff appointed by the CEO	CEO, COO or Directors' Disciplinary Panel	Directors' Disciplinary Panel	CEO or Directors' Appeal Panel

Please note that it may be appropriate for a sufficiently senior member of staff to be delegated to support in any Academy across the Trust throughout the disciplinary process.

6. FORMAL PROCESS

6.1 **Step 1 – Investigation**

- 6.1.1 The Investigating Manager will conduct an investigation into the alleged misconduct in a timely manner. The Investigating Manager should not have any previous involvement in the matter.
- 6.1.2 The Investigating Manager should seek advice from HR before commencing any investigation. They may appoint any other person from within the Academy and/or the Academy Trust Company or, in exceptional circumstances, an external third party to assist in the investigation.
- 6.1.3 The Investigating Manager will notify the employee in writing of the investigation and they will provide the employee with a copy of this Disciplinary Policy and Procedure. The investigation will include a face to face interview with the employee apart from in exceptional circumstances. In the event of a face-to-face interview the employee will be notified at least 5 Working Days beforehand.
- 6.1.4 The employee is required to co-operate fully with the Investigating Manager to ensure that the investigation can be completed as swiftly and thoroughly as possible and, in any event, within a reasonable timeframe.
- 6.1.5 As part of the investigation, the Investigating Manager may gather relevant witness statements and interview witnesses where appropriate.
- 6.1.6 At the conclusion of the investigation, the Investigating Manager will produce an Investigation Report setting out, in detail, the allegations made in respect of the employees conduct, the evidence considered and a recommendation that either:
- (a) a Disciplinary Manager be appointed and a Disciplinary Meeting be convened in accordance with Step 2 below; or
 - (b) there is insufficient evidence to support the allegations of misconduct to proceed in accordance with Step 2 below and no further action will be taken under this Disciplinary Policy and Procedure; or
 - (c) a Disciplinary Meeting is not required despite evidence to support the allegations of misconduct, but informal advice and guidance should be issued to the employee in accordance with the provisions of Paragraph 3 of this Disciplinary Policy and Procedure;
 - (d) there is no case to answer.
- 6.1.7 In all circumstances, the employee will be sent a copy of the investigation outcome as soon as is reasonably practicable following the end of the investigation.

6.2 **Step 2 – Disciplinary Meeting**

- 6.2.1 If the investigation report contains a recommendation that the employee must attend a formal disciplinary meeting (“the Disciplinary Meeting”) with the Disciplinary Manager appointed, the Investigating Manager will write a letter to you confirming the outcome of the investigation.

6.2.2 The Disciplinary Manager will notify the employee in writing of the arrangements for the meeting, they will provide the employee with a copy of this Disciplinary Policy and Procedure. The employee will be notified at least 5 Working Days beforehand.

If dismissal is a possible outcome this will be stated in the disciplinary meeting invite letter. The letter shall state that any documentation the employee wishes to rely on must be submitted at least 2 working days in advance of the Disciplinary Meeting.

6.2.3 In advance of, and at the Disciplinary Meeting, the Disciplinary Manager shall consider:

- (a) evidence presented in support of the allegations of misconduct against the employee;
- (b) evidence presented in defence of the allegations of misconduct against the employee; and
- (c) where misconduct is admitted, whether in whole or in part, any evidence you have in mitigation.

6.2.4 The Disciplinary Manager may adjourn the Disciplinary Meeting to allow for further investigations in the light of your evidence or any other matter that may arise during the meeting and will reconvene the Disciplinary Meeting to give the employee an opportunity to comment on any further evidence produced by further investigations. The employee will be provided with at least 5 Working Days written notice of any reconvened Disciplinary Meeting.

6.2.5 Written or oral evidence can be presented at a Disciplinary Meeting. If written evidence is to be relied upon, the employee will be provided with it prior to the Disciplinary Meeting and the employee will be given a reasonable opportunity to comment on it during the Disciplinary Meeting if the employee attends the meeting. If the employee does not attend the Disciplinary Meeting, the employee will be given an opportunity to provide written responses to any written evidence presented prior to the disciplinary meeting.

6.2.6 If oral evidence is heard at the Disciplinary Meeting, the employee will be given an opportunity to comment on it at the Disciplinary Meeting.

6.2.7 Once all the evidence has been considered, the Disciplinary Manager will confirm the outcome of the Disciplinary Meeting in writing to the employee within 5 Working Days of the date of the Disciplinary Meeting or any adjourned Disciplinary Meeting. ("the Disciplinary Decision Letter"). The potential outcomes of a Disciplinary Meeting are as follows:

- (a) the imposition of a formal disciplinary sanction in accordance with Paragraph 7; or
- (b) that, on balance, there is insufficient evidence to substantiate the allegations made against the employee and so the disciplinary proceedings will be terminated and no further action will be taken under this Disciplinary Policy and Procedure; or
- (c) a formal disciplinary sanction is not required despite evidence to support the allegations of misconduct, but informal advice and guidance should be issued to the employee in accordance with the provisions of Paragraph 3 of this Disciplinary Policy and Procedure; or
- (d) there is no case to answer.

6.3 **Step 3 – Appeal**

6.3.1 In the event that the employee is dissatisfied with the decision of the Disciplinary Manager as set out in the disciplinary decision letter, the employee can appeal to the Appeal Manager in writing to the Clerk within 10 working days of the date of the disciplinary decision letter.

6.3.2 The appeal letter must clearly set out the grounds of the appeal. The appeal will be a review of any formal disciplinary sanction imposed. When preparing the appeal letter, the employee may wish to consider the following grounds:

- (a) that the action taken was unfair;
- (b) that this disciplinary policy and procedure was applied defectively or unfairly;
- (c) that new evidence has come to light which was not available when the relevant decision was made by the Investigating Manager or Disciplinary Manager;
- (d) that the sanction was overly harsh in all the circumstances.

6.3.3 The Appeal Meeting will normally be held within 20 Working Days of the appeal letter being received by the Clerk. School closure periods are categorised as non-working days. The employee will be given at least 5 Working Days' notice of the Appeal Meeting.

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

6.3.5 Written or oral evidence can be presented at an Appeal Meeting. If written evidence is to be relied upon, the employee will be provided with it prior to the Appeal Meeting and the employee will be given a reasonable opportunity to comment on it during the Appeal Meeting if you attend the meeting.

6.3.6 If oral evidence is heard, you will be given an opportunity to comment on it either by attending the Appeal Meeting. The Appeal Manager will consider all of the evidence provided in order to determine whether the relevant decision was fair and reasonable.

6.3.7 The Appeal Manager will confirm the outcome of the Appeal Meeting in writing to you within 5 Working Days of the date of the Appeal Meeting. The decision of the Appeal Manager is final and there will be no further right of appeal. The potential outcomes of the Appeal Meeting are that:

- (a) the Appeal Manager may uphold the decision of the Disciplinary Manager and any formal disciplinary sanction imposed by the Disciplinary Manager will be upheld; or
- (b) the Appeal Manager may uphold your appeal and overturn the decision of the Disciplinary Manager and any formal sanction imposed by the Disciplinary Manager will be overturned and/or
- (c) the Appeal Manager may impose a lesser formal disciplinary sanction to that imposed by the Disciplinary Manager.

7. FORMAL SANCTIONS

The Disciplinary Manager (and Appeal Manager where appropriate) may impose the following sanctions:

7.1 A First Written Warning

7.1.1 A First Written Warning will remain live for 6 months from the date of the First Written Warning.

- 7.1.2 For a first disciplinary offence, a First Written Warning will be the normal response unless the Misconduct is serious as set out in Paragraph 7.2.3 below.
- 7.1.3 A First Written Warning will set out the nature of the Misconduct and the change in behaviour needed (with a suitable timescale).
- 7.2 A Final Written Warning
- 7.2.1 A Final Written Warning will remain live for **12** months from the date of the Final Written Warning.
- 7.2.2 A Final Written Warning will normally be given for a second disciplinary offence committed or discovered during the currency of a live First Written Warning (even if that First Written Warning related to a different type of Misconduct, if appropriate in the circumstances).
- 7.2.3 A Final Written Warning can be given for serious Misconduct regardless of previous disciplinary history if the conduct is sufficiently serious.
- 7.2.4 A Final Written Warning will set out the nature of the Misconduct and the change in behaviour needed (with a suitable timescale). A Final Written Warning will also confirm the consequences of further Misconduct.
- 7.3 Dismissal on notice
- 7.3.1 Dismissal on contractual notice may be given for a disciplinary offence (other than an act of gross Misconduct) committed or discovered during the currency of a live Final Written Warning, following investigation and any appropriate disciplinary process (even if the Final Written Warning related to a different type of Misconduct, if appropriate in the circumstances).
- 7.3.2 For the avoidance of doubt the notice period commences immediately and does not await the outcome of any appeal.
- 7.3.3 In the event that your employment is terminated in accordance with this Paragraph 7.3:
- (a) Garden leave may be considered where appropriate so that you are not required to attend the academy during your notice period but remain employed and so bound by the terms of your contract of employment until the expiry of the notice period;
 - (b) Payment in lieu of notice may be considered to bring your contract to an end with immediate effect.
- 7.4 Dismissal without notice or termination payment
- 7.4.1 Dismissal without notice or termination payment (also known as Summary Dismissal) will only occur if you have committed an act of gross Misconduct or otherwise have destroyed the trust and confidence required between an employee and their employer, in this case between you and the Academy Trust Company. For the avoidance of doubt, where appropriate, dismissal without notice or termination payment may occur regardless of previous disciplinary history.
- 7.4.2 For the avoidance of doubt your dismissal takes effect immediately and does not await the outcome of any appeal.

7.4.3 The following is a **non-exhaustive** list of matters which the Academy Trust Company considers may amount to gross Misconduct:

- (a) Conduct incompatible with, or prejudicial to, the religious character of the Academy Trust Company and/or the Academy or the precepts or tenets of the Catholic Church.
- (b) Conduct that is likely to bring the Academy Trust Company and/or the Academy or the Church into disrepute
- (c) Conduct giving rise to any Child Protection issue including, but not limited to, a change in your DBS status during the course of your employment
- (d) Failure to disclose your DBS status/submit to a DBS check where requested to do so by the Headteacher and/or the Academy Trust Company
- (e) A serious breach of any relevant code of conduct or professional standards
- (f) Theft of any property
- (g) Malicious or wilful damage to any property
- (h) Knowingly or recklessly falsifying, or knowingly or recklessly causing falsification of, any documents whether for personal gain or not
- (i) Ordering any goods or services on behalf of the Academy Trust Company and/or the Academy from a supplier in which you or a relative have a personal interest (whether financial or not) without declaring that interest and without the permission of the Board
- (j) Dishonesty
- (k) Violence to any person
- (l) Unlawfully restraining a pupil
- (m) Abusive, threatening or offensive language or behaviour to any person
- (n) Discrimination or harassment
- (o) Bullying
- (p) Disclosing the contents of any live examination paper or assessment in advance to any pupil or parent
- (q) Concealing any actual or attempted cheating by any pupil or colleague, including participating in or concealing any actual or attempted exam misconduct
- (r) Attending work or undertaking duties whilst under the influence of alcohol or unlawful substances
- (s) Misuse of the Academy Trust Company's and/or the Academy's ICT (including internet and email access and breaches of the Academy Trust Company's social networking policy) to view or distribute obscene, pornographic, defamatory or otherwise unacceptable material
- (t) Supplying your personal contact details to a pupil without express authorisation from the Headteacher
- (u) Interacting with a pupil online out of school hours other than through the Managed Learning Environment
- (v) Making any sexual or romantic contact with any pupil whatever the age of the pupil
- (w) Breaching the confidentiality or data protection obligations surrounding the Academy Trust Company, the Academy, a parent, pupil, colleague, Director or Governor
- (x) Covert recording of any meetings without the knowledge or consent of all persons present
- (y) Serious breach of health and safety procedures
- (z) Serious negligence (whether or not leading to any actual loss)
- (aa) Criminal activity during the course of employment
- (bb) Making a false, malicious or vexatious allegation against the Academy Trust Company, the Academy, a parent, pupil, colleague, Director or Governor
- (cc) Repeated acts of less serious Misconduct which collectively may amount to gross Misconduct.

7.5 Voluntary demotion as an alternative to higher formal sanction

7.5.1 There may be a situation where the Disciplinary Manager considers that a recent promotion or job change has been a contributory factor in your Misconduct.

7.5.2 Where paragraph 7.5.1 applies, the Disciplinary Manager may offer you the option of agreeing to voluntarily give up a promotion or job change as an alternative to a higher formal disciplinary sanction. Any such offer shall be made in writing and will only be an appropriate option to consider if there is a suitable vacancy within the Trust. Should the option of voluntary demotion or job change be accepted this will not need to be a post with equivalent terms and conditions and protection of salary will not apply. For the avoidance of doubt, whether such an offer is made will be at the sole discretion of the Disciplinary Manager. There may be circumstances where it is not appropriate to make such an offer, for example, gross misconduct, where there has been a safeguarding issue or where an allegation of bullying has been proven.

8. **DIRECTORS' PANELS**

8.1 Directors' Disciplinary and Appeal Panels shall comprise three non-staff Directors not previously involved in the matter.

8.2 In the exceptional event that there are insufficient numbers of Directors available to participate in a Directors' Disciplinary or Appeal Panel, the Academy Trust Company may appoint associate members solely to participate in the appropriate Panel.

9. **COMPANION**

9.1 If you are the subject of disciplinary allegations which lead to you being invited to an interview or meeting pursuant to this Disciplinary Policy and Procedure, you may be accompanied at such interview or meeting by a Companion as outline in paragraph 1.6.

9.2 You must let the relevant Manager know who your Companion will be at least one Working Day before the relevant interview or meeting.

9.3 If you have any particular need, for example, because you have a disability, you can also be accompanied by a suitable helper where this is deemed as reasonable and appropriate.

9.4 Only a Trade Union representative can address the relevant interview or meeting in order to:

- (a) put your case;
- (b) sum up your case;
- (c) respond on your behalf to any view expressed at the relevant interview or meeting; and
- (d) ask questions on your behalf.

9.5 A companion can confer with you during the relevant interview or meeting.

9.6 A Companion has no right to:

- a) answer questions on your behalf;
- b) address the relevant interview or meeting if you do not wish it; or

c) prevent you from explaining your case.

9.7 Where you have identified your Companion and they have confirmed in writing to the relevant Manager that they cannot attend the date or time set for the relevant interview or meeting, the relevant interview or meeting will be postponed for a period not in excess of five Working Days from the date set by the Academy Trust Company to a date and time agreed with your Companion. Should your Companion subsequently be unable to attend the rearranged date, the meeting may be held in their absence or written representations will be accepted.

10. TIMING OF INTERVIEWS AND MEETINGS

10.1 The aim is that interviews and meetings under this Disciplinary Policy and procedure will be held at mutually convenient times but depending on the circumstances, interviews and meetings may:

- (a) need to be held when you were timetabled to teach (if that is appropriate to your role);
- (b) exceptionally be held during planning, preparation and administration time if this does not impact on lesson preparation (if that is appropriate to your role);
- (c) exceptionally be held after the end of the Academy day;
- (d) not be held on days on which you would not ordinarily work;
- (e) be extended by agreement between the parties if the time limits cannot be met for any justifiable reason.

10.2 Where an employee is persistently unable or unwilling to attend an interview or meeting without good cause the relevant manager will make a decision on the evidence available.

11. VENUE FOR INTERVIEWS OR MEETINGS

11.1 If the allegations are sensitive the relevant Manager may hold the interview or meeting off the Academy site to minimise any distress to the employee.

12. ASSISTANCE

12.1 In any case concerning the religious character of the Academy Trust Company and/or the Academy, the Diocesan Schools Commission must be notified immediately the Academy Trust Company and/or the Academy becomes aware of the allegations and it may be represented at any relevant interview or meeting to advise the Investigating Manager, Disciplinary Manager or Appeal Manager.

12.2 In all cases involving any disciplinary sanction in relation to the Headteacher, the Diocesan Schools Commission may send a representative to advise the Disciplinary Manager or Appeal Manager.

13. TRADE UNION OFFICERS

13.1 The Academy Trust Company notes and adopts the ACAS Code of Practice's statement "Where disciplinary action is being considered against an employee who is a trade union representative the normal disciplinary procedure should be followed. Depending on the circumstances, however, it is advisable to discuss the matter at an early stage with an official employed by the union, after obtaining the employee's agreement."

14. REFERRALS

- 14.1 Where a teacher is dismissed for serious Misconduct (or may have been dismissed for serious Misconduct if the teacher had not resigned) the Academy Trust Company must consider whether to refer the circumstances to the Department for Education and Teaching Regulation Agency.
- 14.2 Where a person working for the Academy Trust Company (whether a teacher or not) is dismissed or would have been dismissed if they had not resigned because that person committed conduct:
- (a) which endangered a child or was likely to endanger a child;
 - (b) which, if repeated against or in relation to a child, would endanger that child or would be likely to endanger them;
 - (c) involving sexual material relating to children (including possession of such material);
 - (d) involving sexually explicit images depicting violence against human beings (including possession of such images);
 - (e) of a sexual nature involving a child

the Academy Trust Company must refer that person to the Disclosure & Barring Service (“DBS”).

15. REVIEW OF THIS PROCEDURE

- 15.1 This policy is the adapted version of the model procedure which was produced by the Catholic Education Service (CES) in September 2013, updated in June 2016, May 2018 and September 2020 for use in Catholic Voluntary Academies in England following consultation with the national trade unions. Directors will review this policy in line with updates from the CES.

Appendix A

Disciplinary Meeting Process

1. Introductions
2. The Investigation Manager presents the case and calls witnesses on behalf of the Academy Trust Company
 - a. The Employee questions The Investigation Manager and witnesses
 - b. Disciplinary Manager questions The Investigation Manager and witnesses
 - c. Additional questions asked by Employee if necessary
 - d. Additional questions asked by the Disciplinary Manager if necessary
3. The Employee presents their case and calls their witnesses
 - a. The Investigation Manager questions Employee and witnesses
 - b. Disciplinary Manager questions Employee and witnesses
 - c. Additional questions asked by The Investigation Manager if necessary
 - d. Additional questions asked by Disciplinary Manager if necessary
4. Summaries
 - a. The Investigation Manager summarises the Academy Trust Company's case
 - b. The Employee summarises their case
5. The Disciplinary Manager deliberates in private and provides the outcome to the employee in writing within 5 Working Days of the Disciplinary Meeting.