

# DDAT Disciplinary Procedure Policy



## Proverbs 18:15

**An intelligent heart acquires knowledge and the ear of the wise seeks knowledge.**

**The Governors are committed to supporting the school in its endeavours and to ensuring that this policy is achieved in the light of its vision,**

Derby Cathedral School is a community that welcomes students, families and visitors of all faiths and none. The diversity and richness of such a family brings depth and a vibrancy to our core. Underpinning and permeating our community are fundamental Christian values, of which we are proud. In line with the teachings of the Church of England we ask;  
“for individuals to be the best they can be”.

We ask that all stakeholders of Derby Cathedral School uphold this philosophy through  
their ACTIONS,  
their ASPIRATIONS,  
and their ACHIEVEMENTS.

Through our curriculum, our enrichment opportunities, our pastoral House programme, our guidance and our role modelling, we aim to enable all members of our community to fulfill and exceed their potential.

Policy Status	Date	Chair of Governors	Review Date
Approved by LGB	17/10/2019		Autumn Term 20

## **1. Introduction**

The main purpose of the disciplinary procedure is to encourage an employee whose conduct is unsatisfactory to improve. The standards of conduct expected of all employees are set out in the Disciplinary Rules contained in Appendix 1. The procedure serves to ensure that any disciplinary matter is dealt with fairly and consistently and that steps are taken to establish the facts and to give the employees the opportunity to respond before taking any formal action. This procedure has been developed in line with ACAS guidance. It shall apply to all staff employed by DDAT, regardless of length of service and shall be exercised sensitively and with due respect for the privacy of any individuals involved.

This procedure is used to deal with misconduct. It does not apply to cases involving genuine sickness absence, proposed redundancies or poor performance. In those cases reference should be made to the appropriate policy or procedure.

The disciplinary procedure is not contractual and may be varied by the Trust through genuine and meaningful consultation. It has been implemented following consultation with all recognised trade unions and staff.

If an employee has difficulty at any stage of a procedure due to a disability, they should discuss the situation with their line manager or a member of the Trust Board as soon as possible.

The disciplinary procedure is strictly confidential and all aspects, including all documentation and records, shall be treated as such.

- In minor cases of alleged misconduct the manager should initially seek to resolve the matter informally by discussion with the employee and provide informal support where appropriate. These discussions should be held in private and without undue delay whenever there is cause for concern. Where appropriate, a note of such informal discussions may be placed on the employee's personnel file.
- The disciplinary procedure is to be used where an employee's conduct is alleged to be unsatisfactory.
- Each step and action under the procedure must be taken without unreasonable delay by either the Trust or the employee.
- The timing and location of meetings must be reasonable.

## **2. Powers**

Where disciplinary action is being considered by the Trust, it will appoint a panel of appropriate status and seniority to hear the case, consisting of at least one director or governor.

Before any disciplinary decision is made the employee will be advised of the allegations against him/her and will be given the opportunity to state his/her case. The employee will be notified in writing of the allegations to be answered (plus any documentary evidence) before the disciplinary hearing.

The employee must make every effort to attend an investigative interview or disciplinary hearing and failure to attend, without good reason, may be treated as misconduct in itself. If the employee fails to attend without good reason, or if he/she is persistently unable to do so (for example for health reasons), the Trust may have to take a decision based on the available evidence.

At any disciplinary hearing or appeal hearing the employee will have the right to put forward his/her case. The Trust will only consider evidence presented by the employee which is relevant to the allegations.

The decision and the reasons shall be communicated in writing to the employee.

An employee will be advised of his/her right of appeal and how to exercise that right.

### **3. The right to be accompanied**

The employee has a statutory right to bring a companion to any disciplinary or appeal hearing. The companion may be either a trade union representative or a work colleague. The employee must tell the disciplinary panel who his/her chosen companion is, in good time before the hearing.

A companion is allowed reasonable time off from their duties without loss of pay but no-one is obliged to act as a companion if they do not wish to do so.

If the choice of companion is considered, when exercising fair discretion, to compromise the fairness and impartiality of the process in any way, the Trust may ask for the employee to choose someone else. For example:

- if in the Trust's opinion the employee's companion may have a conflict of interest or may prejudice the hearing; or
- if the companion is unavailable at the time a hearing is scheduled and will not be available for more than 5 working days afterwards.

The Trust may, at its absolute discretion, allow the employee to bring a companion who is not a work colleague or union representative (for example a member of family) if this will help the employee overcome a disability.

At any meeting under this procedure, the companion may make representations to the Trust and ask questions, but should not answer questions on the employee's behalf. The employee may confer privately with his/her companion at any time during a meeting.

An employee, companion or any other person attending a meeting under this policy must not make electronic recordings of any meetings or hearings.

### **4. Trade Union Officials**

Although normal disciplinary standards will apply to their conduct and performance as employees, no disciplinary action or suspension will be taken until the circumstances of the case have been discussed with an appropriate full-time official. In the case of suspension this may not be practical and should not prevent the Trust taking action.

### **5. Suspension**

In certain circumstances, such as, for example, where the allegations relate to serious misconduct, safeguarding issues or where the employee's continued presence may prejudice an investigation, consideration may be given to suspending the member of staff from their place of work at the outset of the investigation or at any stage during the course of the investigation. Suspension should be undertaken by a director of the Trust or a suitably appointed person by a director.

The suspension will be for no longer than is necessary and the Trust will confirm the arrangements to the employee in writing.

The decision to suspend may only be taken by the Board. Where the Headteacher is suspended the Chief Executive or Chair of Trustees only has the power to do so and must notify the full Board of Chair of Trustees. Where the Chief Executive is suspended the Chair of Trustees only has the power to do so and must notify the full Board of Chair of Trustees. In other cases the Trust Board should be informed through the Chief Executive/Chair of Trustees. Wherever possible, the decision to suspend an employee should be communicated to them at the School in person. The decision and terms of any period of suspension should always be confirmed in writing.

While the employee is suspended, he/she should not, without the express permission of the Trust, visit the Campus or contact any of its students, parents, governors, Chair of Trustees, contractors, directors, members or colleagues, unless the employee has been authorised to do so by the Headteacher. The employee will be provided with details of a contact officer during the period of suspension, with whom to correspond.

Suspension of this kind is a neutral act and not a disciplinary penalty and does not imply that any decision has already been made about the allegations or imply any guilt. The employee will continue to receive his/her salary during the period of suspension.

Every effort will be made to avoid lengthy periods of suspension. The decision to suspend and the conditions of suspension will be reviewed periodically by the Trust and the employee will be updated as and when necessary.

## **6. Investigations**

The purpose of an investigation is for the Trust to establish a fair and balanced view of the facts relating to any disciplinary allegations against an employee, before deciding whether to proceed with a disciplinary hearing. The amount of investigation required will depend on the nature of the allegations and will vary from case to case. It will involve interviewing and taking statements from the employee and any relevant witnesses, and/or reviewing relevant documents.

Investigative interviews are solely for the purpose of fact-finding and no decision on disciplinary action will be taken until after a disciplinary hearing has been held. The investigation officer will have no further role in the case aside from the investigation, save where they are required to present their findings or answer queries at a disciplinary or appeal hearing and will not be appointed on a disciplinary or appeal panel relating to the allegations.

An employee may be accompanied to an investigative interview by a work colleague or trade union representative.

Any employee required to attend an investigatory meeting will be invited in writing by the Trust, informing them of their right to be accompanied by a work colleague or Trade Union representative.

The employee must co-operate fully and promptly in any investigation. This will include informing the Trust of the names of any relevant witnesses, disclosing any relevant documents to the Trust and attending investigative interviews if required. Failure to comply may lead to disciplinary action.

It is incumbent on the employee, during the investigation stage, to raise details of additional witnesses whom the Trust should interview during the investigation.

Minutes should be taken of all investigatory meetings and these should be signed and dated by all attending parties.

## **7. Notification of a disciplinary hearing**

Following any investigation, if the Trust considers there are grounds for disciplinary action, the employee will be required to attend a disciplinary hearing. The Trust will inform the employee of the allegations against them, the basis for those allegations and what the likely consequences will be if it is decided after a disciplinary hearing that the allegations are true. The Trust will also include the following where appropriate:

- (a) A summary of relevant information gathered during the investigation;
- (b) A copy of any relevant documents which will be used at the disciplinary hearing; and
- (c) A copy of any relevant witness statements, except where a witness's identity is to be kept confidential, in which case the Trust will provide as much information as possible whilst maintaining confidentiality.

The Trust will provide written notice of the date, time and place of the disciplinary hearing. The hearing will be held as soon as reasonably practicable but the employee will be given at least 5 working days' notice.

If the employee or their companion cannot attend the hearing, the employee should inform the Trust immediately and it will arrange an alternative time. The employee must make every effort to attend the meeting and failure to attend without good reason may be treated as misconduct in itself. If the employee fails to attend without good reason or is persistently unable to do so (for example, for health reasons), the Trust may have to take a decision based on the available evidence.

## **8. Criminal Charges**

Where the employee's conduct is the subject of a criminal investigation, charge or conviction, the Trust will investigate the facts before deciding whether to take formal disciplinary action.

The Trust will not usually wait for the outcome of any prosecution before deciding what action, if any, to take. Where the employee is unable or has been advised not to attend a disciplinary hearing or say anything about a pending criminal matter, the Trust may have to take a decision based on the available evidence.

A criminal investigation, charge or conviction relating to conduct outside work may be treated as a disciplinary matter if the Trust considers that it is relevant to the employee's employment.

## **9. Procedure at Disciplinary Hearings**

At the beginning of the hearing, the disciplinary panel will introduce those present and the purpose of the meeting. The employee will be reminded of his/her right to be accompanied (if the employee has not chosen to be accompanied by a trade union representative or a work colleague).

The disciplinary panel will go through the allegations against the employee and the evidence that has been gathered. The employee will be able to respond and present any relevant evidence.

The employee will be given a full opportunity to ask questions and put forward any mitigating factors which he/she believes are relevant to the allegations.

Once the employee has been afforded an opportunity to explain their position, the disciplinary panel will either:

- give the decision and explain the reasons for the decision, and confirm it as soon as possible in writing; or
- carry out further investigation as is reasonably necessary and convene a further meeting if appropriate (the employee will be given a reasonable opportunity to consider any new information obtained before the hearing is re-convened); or
- inform the employee that the decision will be given in writing as soon as possible.

The disciplinary panel may adjourn the disciplinary hearing if the Trust needs to carry out any further investigations in light of any new points the employee has raised at the hearing. The employee will be given a reasonable opportunity to consider and comment on any new information obtained before a decision is given.

## **10. Levels of Disciplinary Action**

There are four stages, each of which is designed to cover the varying seriousness of the cases. The stages give a proper sequence for persistent cases. Where the case is of sufficient importance or seriousness to use the procedure, disciplinary action will be taken at whatever stage appears appropriate to the circumstances.

The Trust aims to treat all employees fairly and consistently and a penalty imposed on another employee for similar misconduct will usually be taken into account but should not be treated as a precedent. Each case will be assessed on its own merits.

No employee will be dismissed for a first breach of discipline except in the case of gross misconduct when the penalty may be dismissal without notice and without pay in lieu of notice.

Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain live and the likely consequences of further misconduct in that active period.

The following decisions will be confirmed in writing and usually within 5 working days of the disciplinary meeting:

### **The decision to issue no warning or exoneration from the allegations or to provide informal support.**

**Level 1 - A first warning** may be given where the case is of sufficient importance or seriousness to bring to the attention of the employee formally.

**Level 2 - A written warning** may be given where the case has already involved a first warning and insufficient improvement has been made, where further misconduct has occurred, or where the case is of sufficient importance or seriousness.

**Level 3 - A final warning** may be given where the case has already involved a written warning and insufficient improvement has been made, where further misconduct has occurred or where the case is of sufficient importance or seriousness, also where gross misconduct may not warrant dismissal, for example, due to mitigating circumstances.

**Level 4 - Dismissal.** An employee is likely to be dismissed where the case has already involved the final warning and insufficient improvement has been made, where further misconduct has occurred, where the case is so serious as to constitute gross misconduct, or where there is some other substantial reason. For cases of misconduct, dismissal will be with notice.

For cases of gross misconduct, the dismissal may be regarded as summary and there will be no entitlement to notice. In the case of other misconduct, appropriate notice will be given. Where appropriate the employee may be offered pay in lieu of notice or may not be required to attend work during the notice period.

## **11. Alternatives to dismissal**

In some cases, the Trust may at its discretion consider alternatives to dismissal. These will usually be accompanied by a final written warning. Examples include:

- demotion;
- transfer to another department or job;
- loss of seniority;
- reduction in pay;
- loss of future pay increment.

## **12. The Decision Letter**

A letter detailing the decision will be given to the employee and a copy placed on their personnel file, if a warning is issued, as soon as possible after the disciplinary meeting has concluded.

Following the outcome of the hearing the decision letter will state:

- The decision (i.e. that there is no case to answer or the findings and the appropriate level of disciplinary sanction).
- The reason for the decision.
- The course of action to be followed by the employee.
- The time scale in which improvement is required, if applicable.
- Where assistance is required, the assistance which will be made available to the employee (e.g. training and guidance).
- The date on which the warning will elapse.
- That further disciplinary action will be considered if there is further misconduct or insufficient improvement within the time scale of the warning.
- The right of appeal against the decision and how to exercise that right.
- **If the warning is a final warning** it will also state that if the employee's conduct continues to be unsatisfactory or if there is further misconduct it may lead to dismissal.

## **13. Time Limit for Warnings**

All formal warnings shall normally expire after a period of satisfactory conduct of 12 months (written and final written) but this period can be reduced at the discretion of the Trust. In exceptional circumstances the Disciplining panel may consider that the disciplinary warning period should exceed this.

Details of spent warnings shall remain on personal files but shall be disregarded for the purposes of any future disciplinary proceedings, except in exceptional circumstances e.g. where they demonstrate patterns of behaviour which give rise for concern.

Breaches of discipline will be disregarded after the specified period of satisfactory conduct, but will remain permanently on the employee's personnel file. A spent disciplinary warning shall not be referred to on any reference provided by the Trust to a prospective employer. If enquiries are made about spent warnings by a prospective employer, the Trust shall decline to answer such.

#### **14. Right of Appeal**

All employees have the right of appeal.

Appeals must be lodged in writing to the Headteacher within five working days of the decision being communicated to the employee (i.e. usually within five working days of the date of the outcome letter).

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

If the employee raises any new matters in his/her appeal, the appeal panel may need to carry out further investigation. If any new information comes to light the appeal panel will provide the employee with a summary including, where appropriate, copies of additional relevant documents and witness statements. The employee will have a reasonable opportunity to consider this information before the hearing.

The Trust will give the employee at least 5 working days' written notice of the date, time and place of the appeal hearing.

The appeal hearing may be a complete re-hearing of the matter or it may be a review of the fairness of the original decision in the light of the procedure that was followed and any new information that may have come to light. This will be at the Trust's discretion depending on the circumstances of the case. In any event the appeal will be dealt with as impartially as possible.

The appeal hearing will be conducted impartially and where possible, the panel shall be chaired by a more senior person that has not been previously involved in the case. The employee may bring a work colleague or trade union representative to the appeal hearing.

The appeal panel may adjourn the appeal hearing if the Trust needs to carry out any further investigations in the light of any new points the employee has raised at the hearing. The employee will be given a reasonable opportunity to consider any new information obtained before a decision is given.

The appeal panel may:

- confirm the original decision;
- revoke the original decision / exonerate the employee from the allegations; or
- substitute a different penalty (if the penalty is increased, the employee shall be given a further right of appeal against the new penalty).

The appeal panel will inform the employee in writing of the final decision as soon as possible and usually within 5 working days of the hearing.

There will be no further right of appeal.



## **Appendix 1 - Disciplinary rules**

### **Policy statement**

These Disciplinary Rules should be read in conjunction with our Disciplinary Procedure. The aim of the Disciplinary Rules and Disciplinary Procedure is to set out the standards of conduct expected of all staff and to provide a framework within which line managers can work with staff to maintain those standards and encourage improvement where necessary.

It is our policy to ensure that any disciplinary matter is dealt with fairly and in accordance with the Disciplinary Procedure.

If you are in any doubt as to your responsibilities or the standards of conduct expected you should speak to your line manager or a member of the Trust Board.

These rules have been agreed following consultation with all recognised trade unions and staff.

We may amend our Disciplinary Rules at any time following consultation with all recognised trade unions and staff.

### **Rules of conduct**

While working for the Trust, you should at all times maintain professional and responsible standards of conduct. In particular you should:

- observe the terms and conditions of your contract, particularly with regard to:
  - *hours of work;*
  - *safeguarding;*
  - *teachers standards;*
  - *confidentiality;*
- ensure that you understand and follow our Code of Conduct which is available in the staff handbook;
- observe all our policies, procedures and regulations which are included in the Staff Handbook or notified to you from time to time by means of notice boards, e-mail, the intranet or otherwise;
- take reasonable care in respect of the health and safety of colleagues and third parties and comply with our Health and Safety Policy;

- comply with all reasonable instructions given by managers; and
- act at all times in good faith and in the best interests of the pupils, parents / carers, staff and others visiting the site.

Failure to maintain satisfactory standards of conduct may result in action being taken under our Disciplinary Procedure.

### **Misconduct**

The following are examples of matters that will normally be regarded as misconduct and will be dealt with under our Disciplinary Procedure:

- Minor breaches of our policies including the Sickness Absence Policy, Electronic Information and Communications Systems Policy, and Health and Safety Policy;
- Minor breaches of your contract;
- Damage to, or unauthorised use of, our property;
- Poor timekeeping;
- Time wasting;
- Unauthorised absence from work;
- Refusal to follow instructions;
- Excessive use of our telephones for personal calls;
- Excessive personal e-mail or internet usage;
- Obscene language or other offensive behaviour;
- Negligence in the administration of exams or statutory tests;
- Failure to act in a professional manner with colleagues, pupils, parents, governors, members of the public or other third parties;
- Negligence in the performance of your duties; or
- Smoking in no-smoking areas.

This list is intended as a guide and is not exhaustive.

### **Gross misconduct**

Gross misconduct is a serious breach of contract and includes misconduct which, in our opinion, is likely to prejudice reputation or irreparably damage the working relationship and trust between us. Gross misconduct will be dealt with under our Disciplinary Procedure and will normally lead to dismissal without notice or pay in lieu of notice (summary dismissal).

The following are examples of matters that are normally regarded as gross misconduct:

- Theft, or unauthorised possession or removal of our property or the property of a colleague, contractor, pupil, parent, governor or member of the public;
- Fraud, forgery or other dishonesty, including fabrication of records, expense claims and time sheets;
- Physical violence or bullying;
- Deliberate and serious damage to property;
- Serious misuse of our property or name;
- Deliberately accessing internet sites containing pornographic, offensive or obscene material;
- Repeated or serious failure to obey instructions, or any other serious act of insubordination;
- Unlawful discrimination or harassment;
- Bringing the organisation into serious disrepute;
- Being under the influence of alcohol, illegal drugs or other substances during working hours;
- Causing loss, damage or injury through serious negligence;
- Serious or repeated breach of health and safety rules or serious misuse of, damage to or misappropriation of safety equipment;
- Unauthorised use or disclosure of confidential information or failure to ensure that confidential information in your possession is kept secure;
- Accepting or offering a bribe or other secret payment;
- Accepting a gift above the value of £50.00 from a parent, supplier, contractor or other third party in connection with your employment without prior consent from your line manager;
- Conviction for a criminal offence that in our opinion may affect our reputation or our relationships with our staff, pupils, governors, parents or the public, or otherwise affects your suitability to continue to work for us;

- Possession, use, supply or attempted supply of illegal drugs;
- Serious neglect of duties, or a serious or deliberate breach of your contract or operating procedures;
- Knowing breach of statutory rules affecting your work;
- Unauthorised use, processing or disclosure of personal data contrary to our Data Protection Policy;
- Harassment or bullying of, or discrimination against, employees, contractors, pupils, parents, governors or members of the public, related to gender, marital or civil partner status, gender reassignment, race, colour, nationality, ethnic or national origin, disability, religion or belief or age;
- Refusal to disclose any of the information required by your employment or any other information that may have a bearing on the performance of your duties;
- Giving false information as to qualifications or entitlement to work (including immigration status) in order to gain employment or other benefits;
- Knowingly taking parental, paternity or adoption leave when not eligible to do so or for a purpose other than supporting a child;
- Abuse of a service user;
- Making a disclosure of false or misleading information under our Whistleblowing Policy maliciously, for personal gain, or otherwise in bad faith;
- Making untrue allegations in bad faith against a colleague;
- Victimising a colleague who has raised concerns, made a complaint or given evidence or information under our Whistleblowing Policy, Anti-corruption and bribery policy, Anti-harassment and Bullying Policy, Grievance Procedure, Disciplinary Procedure or otherwise;
- Serious misuse of our information technology systems (including misuse of developed or licensed software, use of unauthorised software and misuse of e-mail and the internet) contrary to our Information and Communications Systems Policy;
- Undertaking unauthorised paid or unpaid employment during your working hours;
- In respect of employees whose posts are subject to Criminal Records Checks or other clearances, failure to notify line management of any activity likely to result in subsequent criminal investigation, conviction or police caution being served;
- Failure to meet the registration requirements of a statutory body;
- Serious maladministration of exams or statutory tests;
- Abuse of your position to obtain a personal advantage or benefit, or an advantage or benefit for someone else;

- Unauthorised entry into an area of the premises to which access is prohibited.

This list is intended as a guide and is not exhaustive.

## Appendix 2 – template letters

### Letter 1 - Suspension

Dear [EMPLOYEE'S NAME],

#### Suspension pending disciplinary investigation

Following our meeting of [DATE] I am writing to confirm that, as of the date of this letter, you have been suspended from work until further notice pending investigation into an allegation of **[gross]** misconduct **[namely INSERT DETAILS OR as set out in our letter of [DATE]]**. We reserve the right to change or add to these allegations as appropriate in the light of our investigation.

Your suspension is a neutral act and does not constitute disciplinary action. Further, it does not imply any assumption that you are guilty of any misconduct and you therefore have no right of appeal against this decision.

We will keep the matter under review **[with a formal review after one month]** and will aim to make the period of suspension no longer than is necessary. **[There will be an initial review within 5 working days and you will be contacted as soon as possible to make the necessary arrangements.]** Your suspension may be lifted at any time and with immediate effect.

During your suspension, we shall continue to pay your salary in the normal way. You are also entitled to your normal contractual benefits.

[NAME] has been appointed as your Contact Officer in relation to this matter. [NAME]'s contact details are: [TELEPHONE NUMBER], [E-MAIL ADDRESS].

You will continue to be employed by us throughout your suspension and you remain bound by your terms and conditions of employment. In particular, you are reminded that you must not disclose any confidential information regarding this matter and/or the Trust, contact any employees, governors, parents or pupils, contractors or other associated agencies or undertake any other paid employment.

You are required to co-operate in our investigations and may be required to attend for investigative interviews or disciplinary hearings. However, you are not otherwise required to carry out any of your duties and you should not attend the Academy unless authorised by [NAME] to do so. However, you are required to be available to answer any work-related queries.

Please read and ensure you understand our Disciplinary Procedure and Disciplinary Rules, which are enclosed. When we have completed the investigation, we will notify you in writing of the details of our investigation and whether you will be required to attend a disciplinary hearing. If we consider that there are grounds for disciplinary action we will inform you of those grounds in writing and you will have the opportunity to state your case at the hearing, in accordance with the Disciplinary Procedure.

**[Please return [TRUST PROPERTY] to [NAME] as soon as possible.]**

If you know of any documents, witnesses or information that you think will be relevant to the matters under investigation please let me know as soon as possible. If you require access to the Academy or the Academy computer systems for this purpose, please let me know as we may agree to arrange this under supervision.

If you have any queries about this matter or the terms of your suspension please feel free to contact me or your Contact Officer.

We also advise that you obtain advice from your Trade Union.

Yours sincerely,

**[NAME]**

**On behalf of [NAME OF EMPLOYER]**

## Letter 2 – Invitation to disciplinary meeting

[DATE]

Dear [EMPLOYEE'S NAME],

### Disciplinary hearing

I am writing to inform you that having completed our investigation, we consider that there are sufficient reasonable grounds for the allegation of [misconduct **OR** gross misconduct] against you to be pursued, and therefore, the formal Disciplinary Procedure will be implemented.

You are therefore required to attend a disciplinary hearing in [PLACE] on [DATE] at [TIME]. The purpose of the hearing is to consider an allegation of [misconduct **OR** gross misconduct] against you.

The allegation is that [SET OUT ALLEGATION].

The basis for this allegation is that [GIVE SUMMARY OF INFORMATION OBTAINED AS A RESULT OF INVESTIGATIONS INTO THE ALLEGATION].

I enclose a summary of the findings of the investigation, which sets out further detail of the allegations and copies of relevant witness statements and other documents which may be used at the disciplinary hearing.

If there are any further documents you wish to be considered at the hearing, please provide copies as soon as possible. If you do not have those documents, please provide details so that they can be obtained.

The hearing will be held in accordance with the Disciplinary Procedure which is attached. If you are found guilty of misconduct we may decide to [issue you with a written warning or a final written warning **OR** dismiss you with notice or pay in lieu of notice]. [If you are found guilty of gross misconduct, you may be dismissed without notice or pay in lieu of notice.]

The hearing will be conducted by [NAMES] and the following people will also be present in an administrative capacity. You are entitled to bring a colleague or a trade union/professional association representative [or other chosen representative] to the meeting in accordance with our Disciplinary Procedure. [Your companion may assist in the presentation of your case]. If you wish to bring a companion, please let me know their name as soon as possible.

[Your suspension on full pay will continue pending the outcome of the disciplinary hearing.]

[You have the right of appeal against any disciplinary action which may be taken against you.]

Please confirm that you have received this letter and that you will attend at the time stated above. If, for any unavoidable reason, you or your companion cannot attend at that time please contact me as soon as possible. If you fail to attend a disciplinary hearing without good reason, it may be considered as an offence for which further disciplinary action may be taken, and this may result in the disciplinary hearing being held in your absence.



If you have any specific needs at the hearing as a result of a disability, or if you have any other questions, please also contact me as soon as possible.

Yours sincerely,

**[NAME]**

**On behalf of [EMPLOYER]**

**Letter 3 – Written / Final Written warning**

**[DATE]**

Dear **[EMPLOYEE'S NAME]**,

**[Final] written warning**

Following the disciplinary hearing held on **[DATE]** in the presence of **[NAMES]** and careful consideration of the evidence collated in relation to this matter, the decision was taken to give you a [final] written warning under the disciplinary procedure.

The reason for this [final] written warning is that your conduct has been unsatisfactory [and you were previously given a written warning about your conduct on **[DATE]**, which has not yet expired].

The details of your misconduct are as follows: **[SET OUT MISCONDUCT]**.

At the hearing we discussed the standards of conduct expected of you and we expect you to maintain the following standards of conduct: **[SET OUT EXPECTED IMPROVEMENTS INCLUDING ANY TIMESCALE IF RELEVANT]**.

[It has also been decided that **[SET OUT DETAILS OF ANY OTHER ACTION THAT WILL BE TAKEN]**.]

This warning shall be placed on your personnel file and on the Register of Disciplinary Action maintained by the Headteacher (where your record may be inspected) but shall be disregarded for disciplinary purposes after 12 months from the date of the warning, provided [there is no further misconduct within that time **OR** the improvements set out above are achieved and maintained throughout that time]. **OR** This warning will not automatically be disregarded after 12 months, but will be reviewed in **[TIMEFRAME]**. You will have the right to make representations for it to be disregarded.

It is our policy to provide employees with access to their reference.

Further misconduct during that time is likely to result in a disciplinary hearing which may lead to [further disciplinary action] [your dismissal].

If you wish to appeal against this decision you should inform **[NAME]** in writing by **[DATE]**, stating your grounds of appeal in full within 5 working days of the date of this letter.

If you have any questions regarding this warning please contact **[NAME]**.

Yours sincerely,

**[NAME]**

**On behalf of [NAME OF EMPLOYER]**

## Letter 4 – Dismissal

[DATE]

Dear [EMPLOYEE'S NAME],

### Confirmation of summary dismissal

I am writing to confirm that, following the disciplinary hearing held on [DATE] in the presence of [NAMES], and after careful consideration and in view of the seriousness of this matter, it has been decided that your employment with [NAME OF EMPLOYER] should be terminated for gross misconduct without notice and without any [further] warnings.

The reason for your dismissal is that [SUMMARISE FINDING IN RESPECT OF EACH ALLEGATION AND REASON FOR FINDING OF GROSS MISCONDUCT FROM INVESTIGATION AND DISCIPLINARY HEARING].

[You were previously given warnings on [DATES] about your conduct. In your final written warning on [DATE] you were told that you were likely to be dismissed if your conduct did not improve.]

You have the right to appeal against your dismissal. If you wish to appeal, you must do so in writing to [NAME] within 5 working days of the date of this letter, stating your grounds of appeal in full. You will then have a full opportunity to present your case at an appeal hearing in accordance with our disciplinary procedure. You may be accompanied at the hearing by a fellow employee or a trade union/professional representative. Lodging an appeal will not delay the dismissal taking effect but if you are subsequently reinstated any lost pay will be reimbursed.

The following arrangements apply with immediate effect (but may be varied or revoked in the event of a successful appeal):

- (a) Your dismissal takes effect immediately and your final day of employment is therefore [DATE].
- (b) You are not entitled to any period of notice or payment in lieu of notice.
- (c) [You will be reimbursed for any genuine expense claims submitted by [DATE] with your final payment of salary.]
- (d) You must return any property including [INSERT LIST OF PROPERTY SUCH AS LAPTOP, MOBILE PHONE, CONFIDENTIAL DOCUMENTS] belonging to us in good condition by [DATE].
- (e) Your final salary payment (for the period up to [DATE]) will be made on [DATE] subject to normal deductions of tax and National Insurance contributions. We shall forward your P45 to you in due course.
- (f) You will remain bound by clauses [INSERT CLAUSE NUMBERS] of your contract of employment in respect of confidentiality.

It is our policy to provide employees with access to their reference.

We have a duty to report circumstances where the employment of a teacher is terminated on the grounds of misconduct or for a failure to comply with their statutory duties and/or responsibilities. Such a disclosure will only be made following termination and the conclusion of any subsequent appeal.

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

Yours sincerely,

**[NAME]**

**On behalf of [NAME OF EMPLOYER]**