EPM Model Disciplinary Procedure

[School/Academy Name]

[Please note prior to adopting this policy you should:

* Ensure you have adapted it where necessary to fit the requirements of your School/Trust
* Follow your usual governance process to be approved by Governors/Trustees
* Follow your usual process to consult on new or amended HR policies with trade unions

If you are part of a multi-academy trust, please check with your Trust prior to adopting any new or amended policies.]

EPM Model Disciplinary Procedure

1. Introduction
	1. This disciplinary procedure must be read and applied in conjunction with [Trust name’s] Staffing Policy Statement.
	2. The aim of this procedure is to help and encourage all employees to achieve and maintain standards of conduct and to ensure consistent and fair treatment for all employees in the Trust.
	3. Examples of the type of conduct that is misconduct or gross misconduct, which could lead to action under this procedure, are set out in the disciplinary rules and should be read in conjunction with this procedure.
	4. This procedure may be implemented at any stage, as set out below, considering the alleged misconduct of an employee. Employees will not normally be dismissed for a first act of misconduct unless it is decided that it amounts to gross misconduct.
2. Informal Procedure
	1. Managers should seek to resolve minor misconduct informally and as soon as it occurs. Management advice may be given to the employee by [Tier]. Action will be taken under the formal procedure set out in Part B below if the matter is not resolved or, there is repeated minor misconduct or, where informal action is not appropriate (for example, because of the seriousness of the allegation).
	2. There is no appeal against management advice given, which will not be placed on the employee’s disciplinary record but should be confirmed in a written memorandum.
	3. The written memorandum will set out the misconduct, the improvement that is required and, if appropriate, how this will be reviewed and during what timeframe. The employee may make a written comment on the memorandum if they have any objection to the informal action taken. A copy of the memorandum or a note of any informal discussions may be placed on the employee’s personnel file**.**
3. Formal Procedure - Disciplinary Hearing
	1. If following appropriate investigation by the Investigating Officer, the [Tier] considers based on the facts that formal disciplinary action for misconduct is necessary, they will write to the employee to inform them that a disciplinary hearing will take place.
	2. A disciplinary hearing constitutes a formal meeting and should be arranged in conjunction with [Trust name’s] Staffing Policy Statement.
	3. The employee will be advised of their right to call witnesses on their behalf and will be required to provide name/s and make arrangements for their attendance.
	4. At the disciplinary hearing before the [Tier],the employee, and their companion will be given a reasonable opportunity to state their case, to question the Investigating Officer where possible and any witnesses and, to call any witnesses and raise points about any information provided by witnesses.
	5. When confirming the outcome of the disciplinary hearing, [Tier] will include:
* The sanction (if any) and the period this will remain current.
* The reasons for the decision
* The change in behaviour required (if relevant) and the likely consequences of further misconduct.
* Right of appeal
1. Formal Procedure – Disciplinary Action
	1. First Written Warning
		1. The [Tier] may give the employee a first written warning which will include a statement that any further complaint of misconduct occurring within the next twelve months that is found justified after a disciplinary hearing, will lead to a final warning unless there are mitigating circumstances.
	2. Final Written Warning
		1. If a further complaint is made about the employee’s conduct before the first written warning has expired, the same procedure (as in 3 above) will be followed.
		2. The [Tier]may give the employee a final written warning, which will include a statement that any further complaint of misconduct occurring within the next twelve months that is found justified after a disciplinary hearing, will lead to dismissal unless there are mitigating circumstances.
		3. If the complaint is considered serious enough, a final written warning may be issued without previous warning.
	3. Dismissal
		1. If a further complaint is received before the final written warning has expired, the complaint will be referred to a hearing before the [Tier] following the same procedure as in paragraph 3 above.
		2. If the [Tier]decides the complaint is justified, they may decide to dismiss the employee.
2. Gross Misconduct
	1. If the complaint is considered so serious that it may amount to gross misconduct, justifying dismissal without previous warning and without notice (see disciplinary rules), the employee may be informed by the [Tier]that they are suspended on full pay pending further investigation of the complaint. A decision to suspend will only be taken after full consideration of the facts and associated risks and consideration of alternative options.
	2. If, following an investigation, the Investigating Officer considers that the facts of the case amount to a prima facie case of gross misconduct, the matter will be referred to [Tier].

5.3. Following the same procedure as in paragraph 3 above, if on conclusion of the disciplinary hearing the [Tier] considers the complaint constitutes gross misconduct, they may decide to dismiss the employee without notice or pay in lieu of notice.

5.4. Where a suspension has taken place that suspension may only be lifted by the [Tier].

1. Right of Appeal
	1. The employee has a right of appeal against a decision to issue a warning or to dismiss.
	2. Appeals against formal written warnings or dismissal should be submitted to [Tier].
	3. An appeal against a written warning will be heard by [Tier]. The outcome may be to confirm the written warning, reduce a final written warning to a first written warning, or cancel the written warning.
	4. An appeal against dismissal will be to [Tier]. The outcome may be to confirm the dismissal, revoke the dismissal and issue a lesser sanction, or revoke the dismissal and issue no sanction.
2. Variation in Disciplinary Action
	1. If appropriate, the [Tier] may decide to take informal action (as in Paragraph 2 above) instead of giving a first written warning.
	2. The [Tier] may decide the misconduct is so serious that it justifies a final written warning, without any previous written warning having been given.
	3. Rather than dismiss, the [Tier] may decide to issue no sanction or a lesser sanction.
	4. In determining an appropriate sanction, consideration may be given to a change to role/duties which may impact on remuneration.