

The logo for Lincoln UTC is a stylized graphic composed of several 3D, L-shaped blocks. The top block is blue, and the bottom block is green. They are arranged to form a larger, abstract shape that resembles a stylized 'L' or a corner.

LINCOLN
UTC
A University
Technical College

***Working together to develop the skills
for success in industry and university***

Specialists in science, technology, engineering and maths
in partnership with industry and the University of Lincoln

Disciplinary Policy and Procedure

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1. Policy statement

- 1.1 The aims of this Disciplinary Procedure and its associated Disciplinary Rules are to set out the standards of conduct expected of all staff and to provide a framework within which the Principal, Managers and Directors can work with employees to maintain satisfactory standards of conduct and to encourage improvement where necessary.
- 1.2 It is the UTC's policy to ensure that any disciplinary matter is dealt with fairly and that steps are taken to establish the facts and to give employees the opportunity to respond before taking any formal action.
- 1.3 This procedure does not form part of any employee's contract of employment and it may be amended at any time following consultation. We may also vary application of this procedure, including any time scales for action, as appropriate. The policy has been implemented following consultation with staff. It has been formally adopted by the Board of Directors.

2. Scope and purpose of policy

- 2.1 The procedure applies to all employees regardless of length of service excluding those in their probationary period where separate arrangements apply. It does not apply to agency workers or self-employed contractors.
- 2.2 This procedure is used to deal with misconduct. It does not apply to cases involving genuine sickness absence, proposed redundancies or poor performance. Such cases will be dealt with using the relevant policy.
- 2.3 Minor conduct issues can often be resolved informally between employees and their line manager. These discussions should be held in private and without undue delay whenever there is cause for concern. Where appropriate, a note of any such informal discussions may be placed on the employee's personnel file. In some cases an informal verbal warning or instruction may be given, which will not form part of the disciplinary records. Formal steps will be taken under this procedure if the matter is not resolved, or if informal discussion is not appropriate (for example, because of the seriousness of the allegation).
- 2.4 Employees will not normally be dismissed for a first act of misconduct, unless the Directors decides that the conduct amounts to gross misconduct or the employee has not completed a probationary period.
- 2.5 As recognisable figures in the local community the behaviour and conduct of staff in the UTC and outside of work can impact on their employment. Therefore conduct outside work may be treated as a disciplinary matter if it is considered that it is relevant to the employee's employment (see disciplinary rules).

3. Confidentiality

- 3.1 It is the aim of the UTC to deal with disciplinary matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with an investigation or disciplinary matter.
- 3.2 Employees, and anyone accompanying them (including witnesses), must not make electronic recordings of any meetings or hearings conducted under this procedure.
- 3.3 Employees will normally be told the names of any witnesses whose evidence is relevant to disciplinary proceedings against them, unless there is good reason that a witness's identity should remain confidential.

4. Allegations

- 4.1 Allegations may be brought to the UTC's attention in a number of ways and through a variety of sources. Appendix 1 sets out the disciplinary rules. As with disclosures made by children and young people, adults need to be aware that in making an allegation it is not always possible to

keep the matter confidential. The Principal will need to decide upon the most appropriate course of action and may choose to proceed with an investigation even if the person making the allegation does not want them to.

- 4.2 Allegations which involve issues of child protection and/or abuse of children by staff should be referred immediately to the Local Authority Designated Officer (LADO). See Appendix 2 for further guidance on the management of this type of allegation. No further action under this procedure will usually be taken until the LADO has been consulted.

5. Investigations

- 5.1 Upon receiving any allegations against employees it is likely that further information will be required to establish what the next course of action should be. The Principal should seek to establish the basic facts of the situation; this may involve looking at records, speaking to witnesses, reviewing CCTV etc.

5.2 Preliminary Investigation meeting

A preliminary investigation meeting may be held with the employee to establish the basic facts of the circumstance and to enable the Principal to determine whether further investigation is required. Such a meeting can sometimes give a reasonable explanation in response to allegations which then enables the matter to be concluded. A preliminary meeting will not be required in all cases and it is for the Principal to decide if this is appropriate.

5.3 Investigating Officer

After a preliminary investigation where it is determined that there is a need for investigation, or if the concerns are serious enough to warrant a full investigation immediately, the Principal will usually appoint an Investigating Officer to carry out the investigation. This will be an appropriate person to the nature of the allegations and the role of the employee. In the case of allegations made against the Principal, the Chair of Directors will be responsible for the management of the procedure and determining an appropriate investigating officer, either internally or externally.

5.4 Further investigation

The purpose of an investigation is to establish a fair and balanced view of the facts relating to any disciplinary allegations made 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 may involve interviewing and taking statements from the employee and any witnesses, and/or reviewing relevant documents and other information.

5.5 Interviewing witnesses/employees

It may be necessary to interview witnesses and work colleagues who may have information that is relevant to the allegations. A record of the meeting will be made and the witness will have the opportunity to review the record, make amendments for clarification purposes and sign and date the record. The UTC recognises that some employees may find this difficult or worrying, however all employees are expected to fully participate in any such investigation.

- 5.6 Investigation meetings 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. Employees do not normally have the right to bring a companion to an investigation meeting. A record of the meeting will be made and the employee will have the opportunity to review the record, make amendments for clarification purposes and sign and date the record.

- 5.7 Employees must co-operate fully and promptly in any investigation. This will include providing the names of any relevant witnesses, disclosing any relevant documents or information and attending investigative interviews if required. As each investigation will vary in length and complexity it will be completed in as short a time frame as possible.

6. Criminal charges

- 6.1 Where conduct is the subject of a criminal investigation, charge or conviction the facts will be investigated before deciding whether to take formal disciplinary action. Disciplinary action will not be automatic and will depend upon the circumstances. Employees should inform their Principal immediately if they are involved in a criminal investigation, or are subject to a charge or conviction.
- 6.2 The UTC will not usually wait for the outcome of any prosecution before deciding what action, if any, to take. Where employees are unable or have been advised not to attend an investigation meeting or disciplinary hearing or say anything about a pending criminal matter, a decision may have to be made based on the available evidence.
- 6.3 A criminal investigation, charge or conviction relating to conduct outside work may be treated as a disciplinary matter if it is considered that it is relevant to the employee's employment.
- 6.4 Where a criminal investigation relates to allegations of abuse of children or young people the UTC will co-operate and share information about the employee with other relevant agencies as appropriate.

7. Suspension

- 7.1 In some circumstances it may be necessary to suspend the employee from work. The suspension will be for no longer than is necessary to investigate the allegations and conclude the disciplinary process. The arrangements will be confirmed to the employee in writing as soon as possible.
- 7.2 Suspension of this kind is not a disciplinary penalty and does not imply that any decision has already been made about the allegations. Employees will continue to receive full salary and benefits during the period of suspension.
- 7.3 Alternatives to suspension, for example re-organisation of duties, work location, temporary redeployment to another role etc will be explored where relevant before a decision to suspend is made. The nature and severity of the allegations will need to be considered as will the employee's role within the UTC.
- 7.4 Where allegations are made that involve the protection of children suspension will not be considered to be automatic. A reasoned decision will be made based on all available information. Additional information on the management of these allegations is available in Appendix 2.
- 7.5 The suspension will be kept under review as the investigation progresses. As information is gathered it may become appropriate to lift the suspension during the course of the investigation or prior to any disciplinary hearing.
- 7.6 The decision to suspend an employee can be made by the Principal.

8. Disciplinary hearing

- 8.1 Following any investigation, if there are grounds for disciplinary action, the employee will be required to attend a disciplinary hearing. The employee will be informed in writing of the allegations against them, the basis for those allegations, and what the likely range of consequences will be if it is decided at the hearing that the allegations are true. The following will also be included 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 as much information as possible will be provided while maintaining confidentiality.
- 8.2 Five working days written notice of the date, time and place of the disciplinary hearing will be given to provide the employee with a reasonable amount of time to prepare their case based on

the information that they have been provided with. The hearing will be arranged as soon as is practicably possible.

- 8.3 The Principal will be responsible for ensuring that all of the arrangements for the hearing are made and that the employee receives the appropriate paperwork and notice of the hearing.

9. Role of Companion at Meetings and Hearings

- 9.1 An employee may bring a companion to some meetings under this policy. The companion may be either a trade union representative or a work colleague. The employee should inform the Principal conducting the meetings who their chosen companion is, in good time before the hearing.
- 9.2 Should the employee choose to bring a companion to the hearing they will be responsible for making these arrangements and for providing their companion with any paperwork that they require for the hearing. Acting as a companion is voluntary and your colleagues are under no obligation to do so. If they agree to do, so they will be allowed reasonable time off from duties without loss of pay to act as a companion.
- 9.3 If the choice of companion is unreasonable the employee can be asked to choose someone else, for example:
- (a) if they have a conflict of interest or may prejudice the meeting; or
 - (b) if the companion works at another site and someone reasonably suitable is available at the site at which the employee works; or
 - (c) if the companion is not available at the time a meeting is scheduled and will not be available for more than five working days afterwards.
- 9.4 A companion may make representations, ask questions, and sum up the employee's position, but will not be allowed to answer questions on the employee's behalf. The employee may confer privately with their companion at any time during a meeting

10. Procedure at disciplinary hearings

- 10.1 If the employee and/or their companion cannot attend the hearing they should inform the Principal immediately and consideration will be given to arranging an alternative time. Employees must make every effort to attend the hearing and failure to attend without good reason may be treated as misconduct in itself. Failure to attend without good reason, or persistent inability to do so (for example for health reasons), will lead to a decision being taken based on the available evidence.
- 10.2 If the employee chooses not to attend the hearing they may choose to send a written statement for consideration at the hearing.
- 10.3 The Principal will chair the hearing. The Investigating Officer and a member of the Human Resources department/provider will also be present.
- 10.4 At the disciplinary hearing the Investigating Officer 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 evidence of his or her own. The companion may make representations to the Principal and ask questions, but should not answer questions on the employee's behalf. The employee may confer privately with the companion at any time during the hearing.
- 10.5 Relevant witnesses may be asked by the Investigating Officer or the employee to appear at the hearing. The employee must give sufficient advance notice if they wish to call witnesses to ensure that there is time to arrange their attendance. The employee will be given the opportunity to respond to any information given by a witness. However, the employee will not normally be permitted to cross-examine witnesses unless, in exceptional circumstances, the Chair decides that a fair hearing could not be held otherwise.
- 10.6 The Chair may adjourn the disciplinary hearing if there is a need to carry out any further investigations such as re-interviewing witnesses in the light of any new points that have been

raised at the hearing. The employee will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.

- 10.7 The employee will be informed in writing of the decision and the reasons for it, usually within 5 working days of the disciplinary hearing. Where possible this information will also be explained to the employee in person.

11. Disciplinary penalties

- 11.1 The Principal may find that there is no case to answer and may refer the case back to an informal process. Alternatively the Principal may give the employee a disciplinary warning or dismiss them.
- 11.2 The usual penalties for misconduct are set out below. No penalty should be imposed without a hearing. The UTC 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.
- 11.3 First written warning. A first written warning may be authorised by Principal. It will usually be appropriate for a first act of misconduct where there are no other active written warnings on the employee's disciplinary record.
- 11.4 Final written warning. A final written warning may be authorised by Principal. It will usually be appropriate for:
- (a) Misconduct, where there is already an active written warning on the employee's record; or
 - (b) Misconduct, that is considered sufficiently serious to warrant a final written warning even though there are no other active warnings on the record.
- 11.5 Dismissal. Dismissal may be authorised by Director's Staff Disciplinary Panel. It will usually only be appropriate for:
- (a) any misconduct during the probationary period;
 - (b) further misconduct where there is an active final written warning on the record; or
 - (c) any gross misconduct regardless of whether there are active warnings on the record. Gross misconduct will usually result in immediate dismissal without notice or payment in lieu of notice (summary dismissal).
- 11.6 Alternatives to dismissal. In some cases the Director's Staff Disciplinary Panel may, at its discretion consider alternatives to dismissal. These will be authorised and will usually be accompanied by a final written warning. Examples include:
- (a) Demotion;
 - (b) Transfer to another department or job;
 - (c) Loss of seniority; or
 - (d) Reduction in pay.

12. The effect of a warning

- 12.1 Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain active, and the likely consequences of further misconduct in that active period.
- 12.2 A first written warning will usually remain active for six months and a final written warning will usually remain active for 12 months. In exceptional cases verging on gross misconduct a final written warning may state that it will remain active indefinitely. The conduct will be reviewed

at the end of a warning's active period and if it has not improved sufficiently the active period may be extended.

- 12.3 After the active period, the warning will remain permanently on the employee's personnel file but will be disregarded in deciding the outcome of future disciplinary proceedings.

13. Appeals against disciplinary action

- 13.1 The employee has the right to appeal against the disciplinary action taken against them. This must be in writing, stating the full grounds of appeal and sent to the Principal within 5 working days of the date on which the employee was informed of the decision.
- 13.2 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 they will be reinstated with no loss of continuity or pay.
- 13.3 If any new matters are raised in the appeal hearing further investigation may need to be carried out. The Chair may adjourn the appeal hearing if there is a need to carry out any further investigations such as re-interviewing witnesses in the light of any new points that have been raised at the hearing. If any new information comes to light this will be provided to 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 is reconvened.
- 13.4 The employee must be given written notice of the date, time and place of the appeal hearing. This will normally be no less than two working days. The employee may bring a companion to the appeal hearing (see paragraph 9).
- 13.5 Where possible, the appeal hearing will be conducted by a different panel of Directors not been previously involved in the case. The hearing will 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 Directors' discretion depending on the circumstances of the case. In any event the appeal will be dealt with as impartially as possible.
- 13.6 Following the appeal hearing the panel may:
- (a) confirm the original decision;
 - (b) revoke the original decision; or
 - (c) substitute a different penalty. Ordinarily a penalty will not be increased on appeal unless there is new information or evidence being available that requires further investigation
- 13.7 The employee will be informed in writing of the decision and the reasons for it, usually within 5 working days of the appeal hearing. Where possible this information will also be explained to the employee in person. There is no further right to appeal.

14. Referrals to external bodies

In cases where employees are dismissed or resign during a disciplinary process a referral to the Disclosure and Barring Service and Secretary of State will be made where the thresholds for referral are met.

15. Review of policy

This policy is reviewed and amended annually by the Board of Directors. We will monitor the application and outcomes of this policy to ensure it is working effectively.

Appendix 1 - Disciplinary rules

1 Policy statement

- 1.1 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 the Principal and line managers can work with staff to maintain those standards and encourage improvement where necessary.
- 1.2 If any employee is in any doubt as to their responsibilities or the standards of conduct expected they should speak to their line manager.

2 Rules of conduct

- 2.1 While working for UTC you should at all times maintain professional and responsible standards of conduct. In particular you should:
 - (a) observe the terms and conditions of your contract, particularly with regard to:
 - (i) hours of work;
 - (ii) confidentiality;
 - (b) observe all of the UTC's policies, procedures and regulations which are notified to you from time to time by means of notice boards, e-mail, the intranet or otherwise;
 - (c) take reasonable care in respect of the health and safety of colleagues, pupils and third parties and comply with our Health and Safety Policy;
 - (d) comply with all reasonable instructions given by the Principal and managers; and
 - (e) act at all times in good faith and in the best interests of the UTC and those of our pupils and staff.
- 2.2 Failure to maintain satisfactory standards of conduct may result in action being taken under the Disciplinary Procedure.

Misconduct

- 2.3 The following are examples of matters that will normally be regarded as misconduct and will be dealt with under the Disciplinary Procedure:
 - a) Minor breaches of the Trust's policies including the Sickness Absence Policy, Electronic Information and Communications Systems Policy, and Health and Safety Policy;
 - b) Minor breaches of an employee's contract of employment;
 - c) Damage to, or unauthorised use of, UTC property;
 - d) Poor timekeeping or time wasting;
 - e) Unauthorised absence from work;
 - f) Refusal to follow instructions;
 - g) Excessive use of the UTC telephones, email or internet usage for personal reasons;
 - h) Inappropriate or other offensive behaviour, including using obscene language, victimisation or harassment of other members of staff;
 - i) Negligence in the performance of duties;
 - j) Smoking in no-smoking areas; or
 - k) Poor attendance.

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

Gross Misconduct

- 2.4 Gross misconduct is a serious breach of contract and includes misconduct which, in the opinion of the UTC, is likely to prejudice its business or reputation or irreparably damage the working relationship and trust between the UTC and the employee. Gross misconduct will be dealt with under the Disciplinary Procedure and may lead to dismissal without notice or pay in lieu of notice (summary dismissal).
- 2.5 The following are examples of matters that are normally regarded as gross misconduct:
- a) Theft, or unauthorised removal of property or the property of a colleague, contractor, pupil or member of the public;
 - b) Fraud, forgery or other dishonesty, including fabrication of expense claims and time sheets, pupil's work, examinations or assessments;
 - c) Actual or threatened violence, or behaviour which provokes violence;
 - d) Deliberate damage to the buildings, fittings, property or equipment of the UTC, or the property of a colleague, contractor, pupil or member of the public;
 - e) Inappropriate conduct with children or young people, including failing to maintain appropriate professional boundaries;
 - f) Serious failure to follow the UTC's child protection procedures;
 - g) Serious misuse of the UTC's property or name;
 - h) Deliberately accessing Internet sites at work or at home, using UTC equipment, which contain pornographic, offensive or obscene material;
 - i) Repeated or serious failure to obey instructions, or any other serious act of insubordination;
 - j) Bringing the UTC into serious disrepute;
 - k) Being under the influence of alcohol, illegal drugs or other substances during working hours or not being capable of fulfilling your duties because of the effects of alcohol or illegal drugs or other substances.
 - l) Causing loss, damage or injury through serious negligence;
 - m) Serious or repeated breach of health and safety rules or serious misuse of safety equipment;
 - n) Unauthorised use or disclosure of confidential information or failure to ensure that confidential information in your possession is kept secure;
 - o) Acceptance of bribes or other secret payments;
 - p) Conviction or caution for a criminal offence that in the opinion of the UTC
 - q) may affect our reputation or our relationships with our staff, pupils, parents or the public, or otherwise affects your suitability to continue to work for us;
 - r) Possession, use, supply or attempted supply of illegal drugs;
 - s) Serious neglect of duties, or a serious or deliberate breach of your contract or operating procedures;
 - t) Unauthorised use, processing or disclosure of personal data contrary to our Data Protection Policy;

- u) Harassment of, or discrimination against, employees, pupils, parents or members of the public, related to any of the protected characteristics contrary to our Equal Opportunities Policy or our Anti Bullying Policy
- v) 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;
- w) Giving false information as to qualifications or entitlement to work (including immigration status);
- x) Making a disclosure of false or misleading information under our Whistleblowing Policy maliciously, for personal gain, or otherwise in bad faith;
- y) Making untrue allegations in bad faith against a colleague;
- z) Victimising a colleague who has raised concerns, made a complaint or given evidence information under the Whistleblowing policy, Anti Bullying policy, Grievance Procedure, Disciplinary Procedure or otherwise;
- aa) Serious misuse of our information technology systems (including misuse of developed or licensed software, use of unauthorised software and misuse of email and the internet)
- bb) Undertaking unauthorised paid or unpaid employment during your working hours;
- cc) Deliberately misleading, falsifying or providing known inaccurate information to a member of the Senior Leadership Team when questioned.

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

In some instances, offences, which would normally constitute gross misconduct, may be considered as misconduct because of mitigating circumstances. Similarly, issues that would normally be treated as misconduct may, in certain circumstances, may be considered so serious that they constitute gross misconduct.

Appendix 2 - Managing allegations of abuse against teachers and other staff

In dealing with allegations of abuse against employees there is guidance that needs to be followed to ensure that children and young people are not at risk of harm as well as supporting employees through the relevant processes.

1. Scope

- 1.1 This guidance will be used alongside the Disciplinary Procedure where allegations have been made that might indicate a person would pose a risk of harm if they continue to work in regular or close contact with children in their present position, or in any capacity.
- 1.2 It will be used in respect of all cases in which it is alleged that an employee has:
 - behaved in a way that has harmed a child, or may have harmed a child;
 - possibly committed a criminal offence against or related to a child; or
 - behaved towards a child or children in a way that indicates that they would pose a risk of harm if they work regularly or closely with children.
- 1.3 As with other conduct issues the behaviour of employees outside of work may impact on their role within the UTC. Therefore if concerns are brought to the UTC's attention about an employee's behaviour in regard to their own children or any other child/ children outside of the UTC, consideration will be given to any implications for children with whom the employee has contact with at work.

2. Initial considerations

- 2.1 Where the Principal determines that the allegations meet the criteria above they will immediately contact the Local Authority Designated Officer (LADO) and provide them with all relevant information.
- 2.2 The LADO and the Principal will consider the nature, content and context of the allegation and agree a course of action. The LADO may ask for further relevant information to be provided or obtained such as previous history, whether the child or their family have made similar allegations, and the individual's current contact with children.
- 2.3 Outcomes of initial considerations;
 - 2.3.1 No further action by external agencies or the Trust is to be taken in regard to the individual facing the allegation. The decision and reasons for this will be recorded. The Principal will agree with the LADO what information should be put in writing to the employee and what if any action is appropriate to take in respect of the person making the allegation. After consulting the LADO the Principal will inform the employee about the allegation and provide them with as much information as possible at the time.

3. Suspension

- 3.1 Suspension will not be an automatic response when an allegation is reported and alternative arrangements will be considered. The risks of the employee remaining in the UTC during any process of investigation will be carefully evaluated. In cases where there is cause to suspect children at the UTC are at risk of significant harm, or the allegation warrants investigation by the police, or is so serious that it might be grounds for dismissal the employee will usually be suspended.
- 3.2 Suspension will be managed as per the Disciplinary Procedure.
- 3.3 The Principal will consider the advice of the Local Authority children's social care services or the police with regard to suspension, but will make their own informed decision with regard to the suspension of any employee.

4. Support for Staff

- 4.1 Where an employee is the subject of an allegation of abuse the UTC recognises that in most circumstances this will be a time of stress and anxiety. Employees are advised to seek support from their trade union representative or an appropriate colleague. If the employee feels it is beneficial a referral to the UTC's occupational health provider will be arranged.
- 4.2 The employee will be kept informed of the likely course of action as the case progresses unless there is an objection by the Local Authority social care services or the police.

5. Confidentiality

The provisions in the Disciplinary Procedure regarding confidentiality apply to cases where allegations of abuse are made. The UTC will make every effort to maintain confidentiality and guard against unwanted publicity. During the process of managing these types of allegation the UTC will only release information to the wider community for the purposes of reducing speculation.

6. Investigations

6.1 Investigations under the Disciplinary Procedure will not usually commence until agreement from the LADO and any other external agencies involved in dealing with the allegations have agreed that the College can proceed. The provisions in the Disciplinary Procedure regarding investigations apply where allegations of abuse are made. Those undertaking investigations into allegations of abuse should be alert to any sign or pattern which suggests that the abuse is more widespread or organised than it appears at first sight, or that it involves other perpetrators or institutions. It is important not to assume that initial signs will necessarily be related directly to abuse, and to consider occasions where boundaries have been blurred, inappropriate behaviour has taken place, and matters such as fraud, deception or pornography have been involved.

6.2 **Interviewing pupils.** The Investigating Officer will avoid interviewing pupils unnecessarily. Information will be gathered from the Local Authority social services and the police where available and accessible.

6.3 **Photographing pupils.** The Investigating Officer or any other person at the College will not take photographs of pupils to support allegations of abuse. In cases where the Principal determines it appropriate to record injuries to a pupil they will use the appropriate procedure, eg body mapping, or refer to the LADO, the Local Authority social services or the police for advice. Photographs and other information provided by external agencies may be used as a part of the investigation process if appropriate and authorised by the relevant agency.

7. Malicious allegations

The UTC consider the making of malicious allegations to be unacceptable. Any allegations found to not have been made in good faith by a pupil, parent, other employee or any other person may result in action being taken. Any allegation that is found to be malicious will be removed from the file of the employee that has been accused.

8. Records and references

A record of the allegations, any investigation and the outcome will be kept on the employee's file. The employee will be provided with copies of any records held. These records will remain on file until normal retirement age or for a period of 10 years from the date of the allegation if that is longer. Details of allegations that are proven to be unsubstantiated, unfounded or malicious will not be referred to in any reference that the UTC provides for the employee concerned.



Committee on Standards
in Public Life

Guidance

The Seven Principles of Public Life

Published 31 May 1995

The Seven Principles of Public Life (also known as the Nolan Principles) apply to anyone who works as a public office-holder. This includes all those who are elected or appointed to public office, nationally and locally, and all people appointed to work in the Civil Service, local government, the police, courts and probation services, non-departmental public bodies (NDPBs), and in the health, education, social and care services. All public office-holders are both servants of the public and stewards of public resources. The principles also apply to all those in other sectors delivering public services.

1 Selflessness

Holders of public office should act solely in terms of the public interest.

2 Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

3 Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

4 Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

5 Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.¹

6 Honesty

Holders of public office should be truthful.

1.7 Leadership

Holders of public office should exhibit these principles in their own behaviour and treat others with respect. They should actively promote and robustly support the principles and challenge poor behaviour wherever it occurs.

Policy review date:

October 2027

A handwritten signature in black ink, appearing to read 'Stuart Hamer'.

Stuart Hamer
Principal

A handwritten signature in black ink, appearing to read 'Andrew Ogg'.

Andrew Ogg
Chair of Governors