

# Disciplinary Policy

## 1. Purpose

Safe Skills Training Ltd aims to maintain high standards of conduct, professionalism, safety, and compliance. This policy provides a fair, consistent approach to addressing conduct or performance concerns.

This policy:

- Supports early, informal resolution where possible
- Sets out a clear formal disciplinary process (for employees)
- Explains how concerns are managed for associates/subcontractors (contract management)

## 2. Scope

This policy applies to:

- **Employees** of Safe Skills Training Ltd (disciplinary procedure)
- **Associates/subcontractors** engaged by Safe Skills Training Ltd (contract management procedure)

This policy should be read alongside:

- Code of Conduct and Professional Standards Policy
- Equality, Diversity and Inclusion (EDI) Policy
- Safeguarding Policy
- Health and Safety Policy
- Data Protection Policy and Information Security Policy
- Malpractice and Maladministration Policy
- Staff Recruitment and Induction Policy
- Complaints Policy (where concerns are raised by clients/learners)

## 3. Principles

We will:

- Act fairly, promptly, and consistently
- Consider reasonable adjustments and accessibility needs
- Keep matters confidential as far as possible
- Keep clear records of concerns, actions, and outcomes

- Focus on improvement and learning where appropriate

Disciplinary action will be proportionate to:

- The seriousness of the issue
- The impact on learners/clients and safety
- Whether there is a pattern of behaviour
- Any mitigating circumstances

## 4. Definitions

- **Misconduct:** Unacceptable behaviour or breach of standards.
- **Gross misconduct:** Serious misconduct that may justify summary dismissal (employees) or immediate termination of engagement (associates).
- **Capability/performance:** Ability to do the role to the required standard (including competence, reliability, and quality).

## 5. Examples of misconduct

Examples may include (not exhaustive):

- Repeated lateness or failure to follow agreed processes
- Unprofessional conduct or poor communication
- Failure to follow reasonable instructions
- Breach of confidentiality
- Failure to follow health and safety procedures
- Inappropriate use of company systems or information
- Inappropriate behaviour towards learners, clients, or colleagues

## 6. Examples of gross misconduct

Examples may include (not exhaustive):

- Safeguarding breaches or behaviour that places a learner at risk
- Discrimination, harassment, bullying, or victimisation
- Violence, threats, or aggressive behaviour
- Serious breach of health and safety rules
- Deliberate falsification of records (e.g., attendance, assessment, certificates)
- Malpractice/maladministration (see Malpractice and Maladministration Policy)
- Theft, fraud, or deliberate misuse of funds
- Serious breach of data protection or information security
- Working outside competence in a way that creates significant risk

- Being under the influence of alcohol/drugs while working

## 7. Informal resolution (employees)

Where appropriate, we will try to resolve issues informally first. This may include:

- A private conversation to clarify expectations
- Coaching, retraining, or supervision
- Agreeing a short improvement plan with review dates

Informal action may be skipped where the issue is serious.

## 8. Formal disciplinary procedure (employees)

### 8.1 Investigation

Before any formal action, we will investigate to understand what happened. This may include:

- Gathering statements or evidence
- Reviewing records (e.g., emails, training paperwork, QA notes)
- Meeting with the employee to hear their account

Where appropriate, an employee may be suspended on full pay while an investigation takes place. Suspension is a neutral act and is not disciplinary action.

### 8.2 Notification

If a formal disciplinary meeting is required, the employee will be informed in writing of:

- The allegations/concerns
- The possible outcomes
- The date/time/location of the meeting
- Their right to be accompanied (see 8.3)
- Any evidence to be considered (where practical)

### 8.3 Right to be accompanied

Employees may be accompanied at a formal disciplinary meeting by a colleague or trade union representative.

### 8.4 Disciplinary meeting

The meeting will:

- Explain the concerns and evidence

- Give the employee a chance to respond
- Consider any mitigation and reasonable adjustments
- Consider whether further investigation is needed

## 8.5 Outcomes (employees)

Possible outcomes include:

- No further action
- Informal guidance/training
- **First stage warning (recorded)**
- **First written warning**
- **Final written warning**
- **Dismissal** (with notice, or without notice in cases of gross misconduct)

Warnings will normally remain active for:

- First stage warning (recorded): **6 months**
- First written warning: **12 months**
- Final written warning: **18 months**

These timeframes may be adjusted depending on the seriousness of the case.

## 8.6 Improvement plans and support

Where the issue relates to capability/performance, we may agree:

- Clear targets/standards
- Support or training
- Supervision/observation
- Review dates

## 8.7 Appeals (employees)

Employees have the right to appeal a formal disciplinary outcome.

- Appeals must be submitted in writing to [andy@safeskillstraining.com](mailto:andy@safeskillstraining.com) within **10 working days** of the decision.
- The appeal should set out the grounds (e.g., new evidence, procedural concerns, disproportionality).

Where possible, an appeal will be heard by someone not previously involved. In a small organisation this may not always be possible; in such cases, we will take extra care to ensure the appeal is considered fairly and objectively.

## 9. Contract management procedure (associates/subcontractors)

Associates/subcontractors are not employees. Concerns are managed through contract management and quality assurance.

### 9.1 Early resolution and support

Where appropriate, we will:

- Discuss the concern promptly and privately
- Clarify expectations and required standards
- Agree corrective actions (e.g., retraining, standardisation, supervised delivery)
- Set a review point

### 9.2 Formal action (associates/subcontractors)

Depending on severity and risk, we may:

- Require additional supervision/observation
- Restrict the scope of work (only deliver certain topics)
- Pause further bookings while concerns are reviewed
- Require remedial training or re-standardisation
- Issue a written notice of breach and required remedy

### 9.3 Immediate removal/termination

Where there is serious risk, gross misconduct, or a serious breach of contract/standards, we may:

- Remove the associate from delivery immediately, and/or
- Terminate the engagement in line with the associate agreement

This may include reporting matters to relevant bodies where required (e.g., safeguarding, serious data breach, criminal matters).

### 9.4 Right to respond

We will normally give the associate an opportunity to respond to concerns and provide their account, unless this would create unacceptable risk (e.g., safeguarding or safety concerns requiring immediate action).

## 10. Safeguarding, safety, and compliance overrides

Where a concern involves safeguarding or immediate safety risk:

- We may stop delivery immediately.

- We may remove an individual from contact with learners.
- We will follow the Safeguarding Policy and Health and Safety expectations.

## 11. Records and confidentiality

- Disciplinary and contract management records are stored securely.
- Information is shared only with those who need it to manage the issue.
- Records are retained in line with our retention approach and legal requirements.

## 12. Equality, diversity, and reasonable adjustments

We will:

- Consider reasonable adjustments during investigations/meetings
- Avoid assumptions and ensure decisions are evidence-based
- Not tolerate victimisation of anyone raising a concern in good faith

## 13. Review and version control

- **Policy owner:** Director/Lead Educator
- **Review frequency:** Annually, or sooner if business needs or legal expectations change

### Version control

Version

Version	Date	Summary of changes
1.0	19/04/2026	First issue
1.1	19/04/2026	Replaced “verbal warning” with “first stage warning (recorded)”

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