

# Student Behaviour Policy & Procedure 2023-24 (incorporating the Student Code of Conduct)

**Overall responsibility: Principal**

**Implementation: Deputy Principal**

**Date Issued: June 2023**

**Date for review: July 2024**

**Endorsed and approved by Strategy & Policy group: June 2023**



**Pat Brennan Barrett – Principal**

## Contents

1. Introduction .....	3
2. Purpose .....	3
3. Principles.....	3
4. Code of Conduct and Expectations.....	4
5. Failure to meet Academic Standards.....	5
6. The Disciplinary Procedure .....	6
7. Informal Stage.....	6
8. Formal Stage(s) .....	6
9. Disciplinary Meeting .....	7
10. Conveying the Decision .....	8
11. Suspension.....	8
12. Police Involvement .....	9
13. Additional information .....	9
14. Disciplinary Stages (see appendix 1).....	9
Informal/Verbal Warning .....	10
Stage 1 .....	10
Stage 2 .....	10
Stage 3 .....	11
Stage 4 .....	11
15. Appeals .....	12
16. Linked Policies / Procedures .....	12
17. Monitoring Procedure .....	13
Appendix 1: Summary .....	14
Appendix 2: Letter Template.....	18
Appendix 3: Letter Template (outcome with sanctions).....	19
Appendix 4: Letter Template (outcome with final warning).....	20
Appendix 5: Letter Template (outcome exclusion).....	21
Appendix 6: Guidance for the formal investigation of serious incidents that could lead to stage 3 or stage 4 disciplinary action being taken against a student .....	22
Appendix 7: The rules of natural justice .....	23
Appendix 8: Work based students .....	25
Appendix 9: Student Behaviour Policy and Procedure 2022/23: Guidance for Recording Disciplinary Meetings.....	26
Appendix 10: Communications Plan .....	29
Appendix 11: Equality & Diversity Impact Assessment .....	30
Appendix 11: Data Protection Impact Assessment .....	33

## 1. Introduction

- (1) Responsible student behaviour is important for everybody who visits, works and studies at any of Northampton College's campuses at Booth Lane, Lower Mounts and Daventry, including their surrounding areas. Anti-social or criminal behaviour can adversely affect other people, the other students, staff or local residents. It creates a great deal of work to address, and can create worry and distress for victims, some of whom are reluctant to raise it for fear of reprisal.
- (2) This policy and procedure covers all students enrolled at Northampton College including those enrolled and studying Further Education (FE), Higher Education (HE), Apprenticeship or work-based courses and programmes. We would expect any visiting students to adhere with this policy and for accompanying staff to ensure compliance. In cases of poor behaviour, the College will make representation to the appropriate representative of the visiting institution.
- (3) The behaviour of the vast majority of our students is exemplary - they are responsible and considerate. To deal with those who are not, the College has a disciplinary system, the purpose of which is to protect the College and wider community and to deter those who interfere with its work and activities. Students agree to abide by the College rules at the time they enrol, and these rules apply not just on campus but within our surrounding area, in any workplace related to their study programme or apprenticeship, on trips and visits and online as well. Students, visitors, parents, local residents, staff and employers all expect us to maintain a safe, orderly and harmonious environment - we take this very seriously.
- (5) All students enrolled at the College sign up to the **College Code of Conduct and Expectations** which can be found in the Student Guide given to students at induction.

## 2. Purpose

- (1) This policy is designed to ensure:
  - students are aware of the expectations of the College
  - fairness in the application of the process
  - that students are encouraged to meet acceptable standards of conduct whilst studying at the College, whilst on College premises and when they are out and about in the local community on work placement or apprenticeship employment or on College visits and trips so as not to bring the College into disrepute.
  - consistent and fair treatment for all regardless of age, ethnic origin, gender, disability, sexual orientation, religion or belief
  - All facts and evidence are established and, where appropriate, matters fully investigated *before* disciplinary action is taken.
- (2) Students, staff, visitors, employers or general members of the public are encouraged to report at the earliest opportunity any alleged breaches of the student code of conduct or alleged anti-social or criminal behaviour or behaviour which brings the College into disrepute.
- (3) Once reported, the College's staff (at an appropriate level depending on the nature of the offence) will take steps to investigate the alleged breach of the Code of Conduct.

## 3. Principles

- (1) If there is an allegation that a student has breached or broken the Code of Conduct (defined in the next section), this Disciplinary Policy and Procedure will apply. The procedure applies to students enrolled as Further Education, Higher Education or Apprentices of the College. Each case will be investigated on its own merits.
- (2) Students under the age of 18 (up to age 25 for students with an EHCP with the consent of the student) will normally be accompanied to a disciplinary interview or meeting by a parent or person with parental responsibility or support worker. Students over the age of 18 are entitled to be accompanied at a meeting by another member of the student body (who is not themselves involved), parent, carer, relative, support worker

or employer, at any disciplinary interview or meeting. Any student aged under 18 (up to age 25 for students with an EHCP with the consent of the student) whose parent or person with parental responsibility has confirmed to the College that they will not be attending may instead be accompanied by a representative from Student Services if appropriate. Where any student who is known to be a looked after child is subject to the College's Behaviour and Disciplinary policy, the Designated Person for Looked After Children should be informed prior to any action taking place

- (3) Under this procedure, the College has the authority to discipline students and to suspend or exclude any student for just cause, or to ban or exclude any student from any campus, specific buildings, or to ban their vehicle from entry to campus, even where the misconduct takes place outside of the teaching and learning environment.
- (4) The definition of misconduct is outlined in the Code of Conduct and relates to behaviour that:
  - Contravenes College policies / values, or
  - Damages the College or its reputation, and/or
  - Constitutes a criminal offence.
- (5) The Disciplinary Procedure seeks to ensure that in all decisions regarding student discipline, students are afforded a fair hearing and that penalties are proportionate and appropriate. In the event that gross misconduct or criminal behaviour is committed, a student can be suspended temporarily or excluded from College permanently, and the College may be required to inform the police or other appropriate authorities.
- (6) Where the need for a meeting or appointment is referenced in this document the College will, in most cases, seek to convene the meetings face to face. The College recognises that in some cases digital meetings may be appropriate and therefore retains the right to exercise its discretion. The College will endeavour to ensure that all students and their representatives at meetings are not disadvantaged in anyway by meetings held digitally.

## 4. Code of Conduct and Expectations

The Code of Conduct explains how students are expected to behave whilst on College premises or where students are taking part in College-related activities. The College also reserves the right to investigate incidents which occur off-site (e.g. in work placements and on trips or visits).

In agreeing to undertake a course at the College, all students agree to:

- Follow all instructions given by teachers, managers and other staff and abide by College policies.
- Behave safely at all times and comply with all health and safety requirements of the College.
- Only use mobile phone and other devices when specifically directed to by a member of staff.
- Engage with the College (e.g. through student forums).
- Be respectful and considerate of each other and the College environment, avoiding causing nuisance, upset or harm to others.
- Speak to one another and staff calmly and politely, avoiding words and actions that may be interpreted as abusive, offensive or threatening including swearing and discriminatory language.
- Remove caps, hats and hoods whenever you are in college.
- Attend (in person or online as per timetable) all lessons and other learning activities and arrive or log on for them in good time for the scheduled start.
- Attend work experience or industry placements or complete other activity to prepare for employment as arranged by the College and to follow all instructions given by the employer.
- Be properly prepared for classes, bringing the equipment you need including your college laptop or Chromebook which should be fully charged, pen, notepad, calculator, and any other equipment specified by your teachers. Equipment will not be available to loan.
- Complete all assignments and homework tasks within the timescale set by your teachers and attend all your examinations.
- Speak to your teacher(s) (and/or other staff as appropriate) if, for any reason, you are unable to attend College on time or follow any of the above points.
- Follow the College dress code (<https://www.northamptoncollege.ac.uk/student-life/dress-code>).

In addition to the Code of Conduct students:

- ✗ **Must not** consume alcohol or be in possession of alcohol whilst on College premises.
- ✗ **Must not** discriminate against others in any shape or form. Students are expected to fully comply with the law on discrimination and with the College's Equality Policy. By way of examples (not exhaustive) bullying, racial or sexual harassment will not be tolerated.
- ✗ **Must not** cheat in examinations or in course work.
- ✗ **Must not** bring, use, be in possession of or deal illegal or \*controlled substances (drugs), legal highs or any other substance which may impair their performance on College premises. The College strictly operates a zero tolerance to illegal drugs. (NB \*Medicinal drugs that are on the [Home Office's Controlled Drugs List](#) which are prescribed by a Medical Practitioner must be previously and voluntarily disclosed by a student to a member of staff and where required, stored appropriately.)
- ✗ **Must not** smoke/vape within College buildings or in the grounds.
- ✗ **Must not** bring the reputation of the College into disrepute through anti-social behaviour either on or off College premises.
- ✗ **Must not** display or circulate material which could cause offence or distress to others including using college resources to search or produce such items.
- ✗ **Must not** use foul, inappropriate or abusive language.
- ✗ **Must not** display violent, indecent, threatening or offensive behaviour towards staff, other students or visitors to the College.
- ✗ **Must not** carry or bring to the College any offensive weapons or any objects which may be reasonably deemed as offensive by the College.
- ✗ **Must not** make derogatory, obscene, distressing, malicious, or indecent remarks about the College, its staff or students, or employers linked to work placements or apprenticeships in any form including email, letter, phone, text message or on Social Networking sites (for example, Facebook)
- ✗ **Must not** cause litter, deface, or damage College property in any way.
- ✗ **Must not** impersonate other students or use their ID card to gain access to buildings, facilities or services or loan their ID card to enable other students to do this.

Behaviour that contravenes the Codes of Conduct and the College's expectations of behaviour will be dealt with through this Student Behaviour and Disciplinary Policy.

## 5. Failure to meet Academic Standards

All courses depend on a commitment and application to study and the production of required work. This will include, but not be limited to:

- Attendance and punctuality (face to face or online as per timetable) at all parts of a study programme or apprenticeship, including Maths/English and Work Placement and any additional catch-up activity on their timetable
- Bringing the appropriate equipment to all classes including their college laptop or Chromebook which should be fully charged.
- Completion of homework and research set to aid learning.
- Engaging with in class / online activities.
- Completing assessments in a timely manner as part of the assessed Curriculum (submitted within required guidelines).
- Attendance at Exams and formal assessments.

A student who fails to meet these requirements, without satisfactory explanation, will be regarded as neglecting their academic obligations. In the first instance this will normally be dealt with by the appropriate tutor / academic coach who will record actions on ProMonitor as a 'Cause for Concern.' Parents / carers / support workers / SAVS practitioner of under 18-year-old students (up to age 25 for students with an EHCP with the consent of the student) should be informed as should employers of apprentices. Where any student who is known to be a looked after child is subject to the College's Behaviour and Disciplinary policy, the Designated Person for Looked After Children should be informed prior to any action taking place

Where students continue to fail to meet the academic standards expected of them, they will be referred to the disciplinary procedure.

## 6. The Disciplinary Procedure

The disciplinary procedure will be invoked where there are indications that any part of the Code of Conduct has been breached. This policy applies to all students and covers all:

- Buildings on any of the College campuses or on any part of the estate owned by Northampton College;
- Social and sporting activities;
- Activities both on and off campus (including work placement, College trips and activities) where an incident involves dangerous or antisocial behaviour or behaviour which may bring the College into disrepute.
- Online and social media activity that brings the College into disrepute or is considered bullying or harassment of another member of the College community.

## 7. Informal Stage

Every effort will be made to avoid the use of formal disciplinary action where problems can be remedied informally. All staff carry the responsibility for the informal disciplining of students and for ensuring that misconduct or poor academic performance on the part of students is consistently dealt with in accordance with this policy. It is expected that teachers will contact parents (or person/s with parental responsibility) and / or support workers of under 18-year-old students (up to age 25 for students with an EHCP with the consent of the student), unless prevented by safeguarding issues, to ensure they are informed of (and involved in as appropriate) any disciplinary procedures from an early stage. If the student is an apprentice, the employer should be notified. All actions taken under the informal stage should be recorded in ProMonitor as a 'Cause for Concern.' For students with an EHCP, their SAVS practitioner should be informed. Where any student who is known to be a looked after child is subject to the College's Behaviour and Disciplinary policy, the Designated Person for Looked After Children should be informed prior to any action taking place

## 8. Formal Stage(s)

Where informal measures prove insufficient to establish a satisfactory standard of conduct, a verbal warning may be given. If there is no improvement, then four formal disciplinary stages may be invoked and may include the possibility of fixed period or permanent exclusion from parts of the college or the whole College.

**In all cases staff should identify whether a student has an Education Health & Care plan (EHCP), high needs, learning difficulty or disability which may affect the student. Advice and/or support should be sought, this should be done before implementing formal action. The student's SAVS practitioner should be kept informed at all times. Where any student who is known to be a looked after child is subject to the College's Behaviour and Disciplinary policy, the Designated Person for Looked After Children should be informed prior to any action taking place**

### Investigation

Every disciplinary hearing should be preceded by investigation of the facts leading to the request for a disciplinary hearing. Where a staff member believes a Stage 1 or above disciplinary should occur, evidence should be presented

to the Curriculum Manager or Apprenticeship Delivery Manager in the first instance to determine whether or not disciplinary action should be taken.

The manager responsible for the disciplinary hearing should ensure they have considered all relevant information and documentation related to the cause for the disciplinary hearing. Where it is decided that a formal investigation is appropriate at stages 3 or 4, the Curriculum Manager / Apprentice Delivery Manager (stage 3) or Assistant Principal / Director of Work Based Learning (stage 4) should liaise with the Assistant Principal for Teaching, Learning and Quality to agree the terms of reference and agree who should carry out the investigation. For students with an EHCP, their SAVS practitioner should be kept informed at all times. Where any student who is known to be a looked after child is subject to the College's Behaviour and Disciplinary policy, the Designated Person for Looked After Children should be informed prior to any action taking place.

In all cases all students involved should be asked to provide a written statement, this must contain their full name, student number, be signed and dated, any statements must be collated before a formal hearing takes place and where possible as soon as a student is made aware of an allegation. If the student has a learning difficulty and/or any disability a reasonable adjustment will be made. The College reserves the right to engage an external (independent of the College) investigator where the risk to the College or student is deemed sufficient to warrant this action. Further detail on carrying out investigations for stages 3 or 4 can be found in Appendix 6.

Students can be placed on any stage of disciplinary without having undergone the previous stage, the principle here being that the level of disciplinary action is determined by the alleged misconduct (see Appendix 1 for guidance).

**Please note: Before sending letters to parents, staff should be aware that students may have opted out of parental communication and therefore additional letters to parents will not be required.**

## 9. Disciplinary Meeting

A letter (sent electronically and by post) will be issued requesting the student attends a formal disciplinary meeting. For students with an EHCP, a copy of the letter should be sent to their SAVS practitioner. For a student who is known to be a looked after, the Designated Person for Looked After Children should be informed prior to any meeting taking place. The letter will set out in brief but sufficient detail for the student to understand the allegation to which they must respond. The letter should:

- communicate the date/time/ of the meeting and the method in which it will be convened.
- set out with sufficient detail, the allegation to which the student must respond, including the disciplinary stage that the hearing is based on.
- include a Guide to Student Behaviour Policy & Procedure containing the Codes of Conduct.
- Explain that the student may invite a representative to support them. The role of the representative is to assist the student to understand but must not answer questions put to them by a panel member. The representative can support and help to clarify.
- The only people who can be representatives are one of the following:
  - A member of College staff
  - A fellow student (i.e. a friend).
  - Parents or the person/s with parental responsibility or an official support worker.
  - Employer

At the meeting, the most senior member of staff in attendance should:

- Introduce themselves and others present
- Explain the purpose of the meeting
- Confirm with the student their receipt of a copy of the Student Behaviour Policy & Procedure and check their understanding of the Codes of Conduct
- State whether any others will be in attendance to give evidence in person
- Explain that the panel intend to arrive at an outcome with minimal delay

- Put the specifics of the allegation to them, then give the student the opportunity to put forward their version of events
- Record salient points (or have pre-arranged for a note taker to be present)
- Inform the student that a record will be made in ProMonitor, viewable by the student in ProPortal.

**Only where the student is under 18** (up to age 25 for students with an EHCP with the consent of the student) – the College will inform the student’s parents (or person with parental responsibility) in advance of the meeting so that they have the opportunity to participate with their son/daughter/young person being cared for, to the meeting.

**The failure by a student to attend a formal disciplinary meeting may result in a decision being taken in that student’s absence.**

## 10. Conveying the Decision

If possible, it is recommended that the panel take an adjournment to enable members to discuss what was said in order to arrive at a swift decision as to whether misconduct has occurred, taking into account the student’s own version of events. Re-convene where possible and practicable shortly thereafter to convey the decision verbally.

A panel member should record any action to be taken on ProMonitor, normally within five working days, or as soon as practicable, of the meeting and once the above is complete, the student should be issued with confirmation and formal outcome letter. Where the student is under 18 (up to age 25 for students with an EHCP with the consent of the student), a copy of the letter should be sent to the student’s parent/person with parental responsibility. For students with an EHCP, a copy of the letter should be sent to their SAVS practitioner. For any student who is known to be looked after, the Designated Person for Looked After Children should be provided with a copy of any correspondence.

## 11. Suspension

For the purposes of this policy the term suspension should not be confused with the term exclusion.

Suspension can be used as a precursor to disciplinary action during the investigative phase. It can also be used where it is considered it would be detrimental for a student to remain where the health, safety and welfare of themselves or others is compromised.

A period of suspension does not automatically presume guilt. A suspension should only be imposed where it is considered absolutely necessary, for example to enable an investigation to proceed unheeded where facts or evidence need to be gathered or where there is a safety consideration either for the student concerned or for others. Conditions may be attached to the period of suspension and if these are not adhered to, it is most likely to carry consequences for the student concerned if breached.

Any member of the College Management Team may suspend a student for a period not exceeding 24 hours. (To be used as a “Cool down” period only).

Only an Assistant Principal or member of EMT has the authority to approve a suspension greater than 24 hours. A period of suspension must be time-limited and should be for no more than 5 working days at the outset whilst an investigation takes place. The period must be kept under review by the person who approved the suspension. It can be extended but should be lifted once it is clear whether disciplinary action is to be taken or not.

Where a request is made to extend a suspension beyond 10 working days, the Deputy Principal and the Assistant Principal of Student Services will review the request and agree to either extend the suspension or refuse to extend the suspension. Where the suspension period is extended the length of time will be determined by the need for further investigation and reporting (a longer period may be imposed if the matter is being investigated as a criminal offence by the Police or Enforcing Authority).

The student concerned must be kept informed and should be provided with a named contact at the College. The named contact should either be a person from Student Services, their Academic Coach or Curriculum Manager.

If the student being suspended is under 18 at the start of their course (up to age 25 for students with an EHCP with the consent of the student), their parent/carer must be informed immediately of the suspension and the reasons for the suspension (unless the student has actively removed permission to contact). If a work based/placed learner is being suspended under this policy, the employer must be informed. For students with an EHCP, their SAVS practitioner should be kept informed at all times. Where any student who is known to be a looked after child is subject to the College's Behaviour and Disciplinary policy, the Designated Person for Looked After Children should be informed prior to any action taking place

Where an employer themselves suspends a student, the College will uphold the suspension in kind from College sites.

## 12. Police Involvement

Where any member of staff has reason to believe that a student may have committed a criminal offence the College may refer the matter to the police and may continue disciplinary proceedings under this procedure or suspend the student pending the outcome of police enquiries and any charges which may be brought against the student.

The Assistant Principal - Student Services will liaise with the police to confirm whether there is any reason why the disciplinary proceedings should not continue.

Where the student has been suspended under this provision, when the results of those enquiries and any criminal proceedings are known, the College reserves the right to recommence proceedings under this procedure in relation to the matter.

It is emphasised that in relation to the application of this procedure, the College is not bound by the results of any criminal proceedings against students.

## 13. Additional information

There may be occasions when a student is deemed to be in a condition that renders them unsuitable for study. Examples include, but are not limited to, being under the influence of alcohol, stimulants such as energy drinks or illegal substances. The first priority is safety, and the student should be removed from the classroom / teaching situation as quickly as possible.

If a student under the age of 18 (up to age 25 for students with an EHCP with the consent of the student) is to be sent home this should only be done with the knowledge of the parent/carer and ideally, they should collect the student. In the case of older students, a view should be taken on whether it is safe to send them home alone.

The Curriculum Manager / Apprenticeship Delivery Manager should deal with the matter wherever possible, in their absence the Assistant Principal - Student Services. Such exclusions are deemed temporary and will not automatically lead to disciplinary action. The Curriculum Manager / Apprenticeship Delivery Manager should discuss with their Assistant Principal / Director of Work Based Learning & Assistant Principal Student Services the action that should be taken on the student's return to college. For students with an EHCP, their SAVS practitioner should be kept informed at all times. For a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

## 14. Disciplinary Stages (see appendix 1)

There are four stages plus an appeal stage. Students may only request an appeal to be heard against sanctions or decisions made at stages 2, 3 and 4.

Disciplinary warnings and Informal warnings (causes for concern) are recorded centrally by a member of staff on ProMonitor so that staff can see whether any previous or current warnings have been issued and who issued them. This enables members of staff who are considering action to check whether any attempt has been made to correct previous misconduct and whether the previous warning/cause for concern should be taken into consideration.

Where action is taken, records are stored by student name, including all correspondence entered into.

Where a student is involved in more than one incident during their time at the College, all records are stored together in one file under the student's name. Copies of letters and other documentation should be uploaded to the student's ProMonitor ILP record.

Disciplinary warnings will remain active for a twelve-month period following a student completing or withdrawing from the College.

### **Informal/Verbal Warning**

Can be issued to address first time or minor incidents of classroom management issues or behaviour concerns within College. This should be logged by the person issuing it on ProMonitor within 24 hours. Actions to be monitored by the person issuing the warning.

### **Stage 1**

A formal hearing will be held between the Curriculum Manager/Apprentice Delivery Manager and the student normally within 7 working days. The hearing will be recorded on a Student Disciplinary Interview Record form (SDR) and recorded on ProMonitor, a copy of the SDR will be sent to the parent/carer/employer (where appropriate). For students with an EHCP, their SAVS practitioner should be kept informed at all times. For a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

The hearing will have 1 of 3 outcomes:

- Stage 1 confirmed
- Lower-level sanction confirmed
- No disciplinary action taken.

Where a disciplinary breach is confirmed, the record made on ProMonitor will contain a course of action for improvement within an agreed timescale (2/3 weeks) and outline the consequences of further misconduct or poor academic performance. This may include the setting of SMART targets in ProMonitor / ProPortal.

A meeting to review progress against the action plan and / or SMART targets will be conducted usually within 20 working days of the student receiving the official warning. Outcomes from that meeting will be logged on ProMonitor. For students with an EHCP, their SAVS practitioner should be kept informed at all times. For a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

### **Stage 2**

A formal hearing will be held between the Curriculum Manager /Apprentice Delivery Manager and the student normally within 7 working days. The hearing will be recorded on a Student Disciplinary Record form (SDR) and on ProMonitor. Parents/carers must be invited to attend the hearing (where student is under 18 at the start of their course and has not withdrawn permission, aged 25 for students with an EHCP with the consent of the student). Employers of Apprentices should be invited as should support workers where it is appropriate, confirmation of this requirement can be obtained from Student Services and the School of Academic and Vocational Support.

The hearing will have 1 of 3 outcomes:

- Stage 2 confirmed
- Lower-level sanction confirmed
- No disciplinary action taken.

Where a disciplinary is confirmed, staff will use ProMonitor to record a course of action for improvement within an agreed timescale (2/3 weeks) and outline the consequences of further misconduct or poor academic performance.

A meeting to review progress against the action plan will be conducted normally within 20 working days of the student receiving the official warning. Outcomes from that meeting to be logged on ProMonitor. For students with

an EHCP, their SAVS practitioner should be kept informed at all times. For a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

### Stage 3

A report will be prepared detailing the reasons for a stage 3 by the Curriculum Manager /Apprentice Delivery Manager or investigating officer, this report will be presented to the Assistant Principal for the School / Director of Work Based Learning. For example in the case of non-attendance or concern over academic progress this may be copies of ProMonitor comments and meetings along with attendance and progress records and a summary prepared by the Curriculum Manager / Apprentice Delivery Manager. Note that where it is decided that a formal investigation is appropriate at stage 3 e.g. in the case of a incidents between students such as arguments or possible bullying, Appendix 6 should be referred to regarding appointing an investigating officer, carrying out an investigation and producing a report. The investigating officer should liaise with the Assistant Principal for Teaching, Learning and Quality to agree the terms of reference of the investigation. Completed investigation reports will be presented to the Assistant Principal for the area / Director of Work Based Learning. For students with an EHCP, their SAVS practitioner should be kept informed at all times. For a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

An Assistant Principal / The Director of Work Based Learning will convene a panel hearing normally within 5 working days of the report being concluded. Parents/carers must be invited to attend the hearing (where student is under 18 at the start of their course and has not withdrawn permission, aged 25 for students with an EHCP with the consent of the student). Employers of Apprentices should be invited as should support workers where it is appropriate, confirmation of this requirement can be obtained from Student Services and the School of Academic and Vocational Support.

The panel will consist of the Assistant Principal of the school to which the student belongs / the Director of Work Based Learning and if appropriate, another Assistant Principal or manager may also be in attendance.

The hearing will have 1 of 4 outcomes:

- Stage 3 confirmed
- Lower-level sanction confirmed
- No disciplinary action taken
- Recommendation for stage 4 hearing

Where a disciplinary is confirmed, staff will use ProMonitor to record the SDR which will contain a course of action for improvement within an agreed timescale (2/3 weeks) and outline the consequences of further misconduct or poor academic performance. A meeting to review progress against the action plan will be conducted usually within 20 working days of the student receiving the official warning. Outcomes from that meeting should be logged on ProMonitor. For students with an EHCP, their SAVS practitioner should be kept informed at all times. For a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

### Stage 4

A report will be prepared detailing the reasons for a stage 4 by the Assistant Principal / Director of Work Based Learning recommending a stage 4 meeting. For example, in the case of non-attendance or concern over academic progress this may be copies of ProMonitor comments and meetings along with attendance and progress records and a summary prepared by the Assistant Principal / Director of Work Based Learning. Note that where it is decided that a formal investigation is appropriate at stage 4 e.g., in the case of a serious incident such as fights or bullying, Appendix 6 should be referred to regarding appointing an investigating officer, carrying out an investigation and producing a report. The Investigating Officer should liaise with the Assistant Principal for Teaching, Learning and Quality to agree the terms of reference for the investigation. Completed investigation reports will be presented to the Executive Office. For students with an EHCP, their SAVS practitioner should be kept informed at all times. For a

student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

A member of the College Executive Management Team (EMT) will convene a hearing normally within 5 working days of the report being concluded. Parents/carers must be invited to attend the hearing (where student is under 18 at the start of their course and has not withdrawn permission, aged 25 for students with an EHCP with the consent of the student). Employers of Apprentices should be invited as should support workers where it is appropriate, confirmation of this requirement can be obtained from Student Services and the School of Academic and Vocational Support.

The hearing will have 1 of 3 outcomes, students will be informed of this in writing with parents / carers / employers of under 18 students being copied in. The possible outcomes are:

- Exclusion confirmed
- Lower-level sanction confirmed
- No disciplinary action taken

Where a disciplinary is confirmed, staff will use ProMonitor to record the SDR which will contain a course of action for improvement within an agreed timescale (2/3 weeks) and outline the consequences of further misconduct or poor academic performance. A meeting to review progress against the action plan will be conducted usually within 20 working days of the student receiving the official warning. Outcomes from that meeting should be logged on ProMonitor. For students with an EHCP, their SAVS practitioner should be kept informed at all times. For a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

## 15. Appeals

There is a right of appeal at all stages of the formal procedure. For stages 1, 2 & 3 the student should submit their appeal, in writing, to the Quality Office ([qualityteam@northamptoncollege.ac.uk](mailto:qualityteam@northamptoncollege.ac.uk)) within 5 working days of the formal receipt of the outcome of their hearing. The Assistant Principal for the area of study / Director of Work Based Learning will hear the appeal at stages 1 and 2 and the Assistant Principal for Teaching, Learning and Quality will hear all appeals at stage 3, usually within 10 working days of receipt of the appeal.

For an appeal against a stage 4 decision or an exclusion, the student should submit their appeal, in writing, to the Principal within 5 working days of receiving the outcome of the stage 4 disciplinary meeting. The Principal will hear the appeal usually within 10 working days of receipt of the appeal.

This procedure lays down timeframes to which the College will seek to adhere to. However, there may be occasions where the time limits cannot be met for various reasons. In that eventuality, the College will keep the student fully informed of the reasons for this and when the hearings will take place.

There can be no further internal appeal against the decision of the Appeal made to the Principal.

If a student remains unsatisfied with the result of any interventions that have been made to address concerns about behaviour or conduct, then they have the right to complain using the College's complaints procedure. For further details of this process, please see the College's **Compliments, Concerns and Complaints Policy**.

## 16. Linked Policies / Procedures

- Assessment Appeals Procedures
- Safeguarding Children and Vulnerable Adults Policy
- Student Assessment Policy
- Compliments, Complaints and Comments Policy
- Malpractice, Maladministration and Plagiarism Policy

## **17. Monitoring Procedure**

All disciplinary action will be recorded on the approved College pro-forma and will be held on the student's digital file for inspection at any time.

All formal disciplinary records will be logged on ProMonitor

The Assistant Principal for Teaching, Learning and Quality will present a summary report annually.

## Appendix 1: Summary

STAGE	PROCESS	SANCTIONS	MISCONDUCT LEVEL	APPEAL
<b>Informal/Verbal Warning</b>	Course Tutor, Academic Coach or EDE will issue verbal warning to student and log interaction on ProMonitor (work based and work placed only – details of the warning will be discussed with the employer by the Apprentice Delivery Manager or Assessor where appropriate.)	None other than advised that if behaviour is repeated it may lead to formal disciplinary proceedings	Incident(s) of classroom management issues such as those listed below at Stage 1 plus any additional behaviour concerns witnessed throughout the College	None
<b>Stage 1</b>	<p>A Curriculum Manager/ Apprentice Delivery Manager, will conduct the hearing, following investigation, with the student within 7 working days.</p> <p>Parents/carers/employers will be informed of action.</p> <p>Outcome will be logged on ProMonitor</p>	<p>Stage 1 warning and action plan issued with appropriate SMART targets to be completed within 2/3 weeks.</p> <p>Additional sanctions and reparation as appropriate (e.g. limited access to IT, apologies to any inconvenienced individuals). Class Tutors to comment on positive and negative behaviours on ProMonitor during the action plan period. Personal tutors/Academic Coaches / EDEs to monitor.</p> <p>This stage can be repeated once only if appropriate but then escalation to stage 2 is required</p>	<p><b>Issues such as continuous/repeated:</b></p> <ul style="list-style-type: none"> <li>• disrespect towards staff or visitors</li> <li>• disruptive behaviour/unacceptable language</li> <li>• non-application to work in class</li> <li>• initial instance of bullying</li> <li>• unjustified absenteeism or lateness</li> <li>• poor attitude to completing work</li> <li>• regularly unprepared for lessons</li> <li>• minor breaches of College rules or the code of conduct – e.g. smoking in non-designated areas</li> <li>• inappropriate parking</li> </ul>	In writing to the Quality Office within 5 working days. Appeal will be heard within 10 working days by the Assistant Principal for the school the student belongs.
<b>Stage 2</b>	A Curriculum Manager/ Apprentice Delivery Manager will conduct the hearing, following investigation, with the student within 7 working days.	Stage 2 warning and action plan issued with appropriate SMART targets to be completed within 2/3 weeks	<p>Failure to achieve a stage 1 action plan.</p> <p>Issues such as the following should come straight to this level:</p> <ul style="list-style-type: none"> <li>• minor damage to property</li> </ul>	In writing to the Quality Office within 5 working days. Appeal will be heard within 10 working days by the Assistant Principal for the school the student belongs.

	<p>Parents/carers/employers will be informed of action.</p> <p>Outcome will be logged on ProMonitor</p>	<p>Other sanctions and reparations as appropriate</p> <p>Class Tutors to comment on positive and negative behaviours on ProMonitor during the action plan period. Personal tutors /Academic Coaches to monitor. This stage can be repeated once only if appropriate but then escalation to stage 3 is required</p>	<ul style="list-style-type: none"> <li>• minor levels of aggression/bullying/harassment towards other students or staff</li> <li>• minor health and safety infringements</li> <li>• discriminatory behaviour/comments of any kind</li> <li>• abuse of any college facilities</li> <li>• unacceptable behaviour towards College neighbours or their property</li> <li>• plagiarism</li> </ul>	
<b>Stage 3</b>	<p>Investigation for incidents of serious misconduct (in agreement with Assistant Principal for Teaching, Learning and Quality), (may be external investigator if deemed appropriate). Referral for failure to meet targets agreed at stage 2.</p> <p>Report prepared for reasons for stage 3 by Curriculum Manager/ Apprentice Delivery Manager/ investigating officer, presented to Assistant Principal / Director of Work Based Learning.</p> <p>Assistant Principal will convene a panel hearing. The panel will consist of the Assistant Principal to which the student belongs / Director of Work Based Learning and another Assistant Principal or college manager if appropriate.</p>	<p>Stage 3 warning and action plan issued or recommendation for stage 4 meeting.</p> <p>Other sanctions and reparations as appropriate. Class teachers to comment on positive and negative behaviours on eILP during the action plan period. Personal tutors to monitor.</p>	<p>Failure to achieve a stage 2 action plan. Issues such as the following should come straight to this level:</p> <ul style="list-style-type: none"> <li>• Failure to engage in all parts of a study programme including, Maths, English and Work Placement (where relevant)</li> <li>• Incapacity caused by being, or appearing to be, under the influence of alcohol, illegal drugs, or solvents (see Substance Misuse Policy)</li> <li>• Theft, fraud, deliberate falsification of records.</li> <li>• Deliberate damage to property owned by Northampton College, its staff, student, or visitors.</li> <li>• Behaviour likely to be offensive to public decency (including swearing and offensive language).</li> <li>• Refusal to follow any instruction of College staff (or emergency services staff)</li> </ul>	<p>In writing to the Quality Office within 5 working days. Appeal will be heard within 10 working days by the Assistant Principal for Teaching, Learning and Quality</p>

	Parents/carers/employers will be informed of action and invited to any formal meetings.		<p>relating to health and safety, or the orderly management of the College's business and its environment.</p> <ul style="list-style-type: none"> <li>• Behaviour prejudicial to the good name of the College, whether on or off the College premises.</li> <li>• Inappropriate use of technology or any of the College's computer equipment or facilities (see ICT Acceptable Use Policy).</li> </ul>	
<b>Stage 4</b>	<p>Following a recommendation for exclusion, a member of the Executive Management Team (EMT) will meet with the student to consider exclusion. Parents/carers/employers will be informed of action and invited to any formal meetings.</p>	Stage 4 warning and action plan issued or exclusion confirmed.	<p>These meeting will normally be preceded by a stage 3 hearing, however where the incident is deemed extremely serious a stage 4 hearing can be requested directly. Examples of serious behaviours include:</p> <ul style="list-style-type: none"> <li>• Physical or verbal assault on another student or member of staff or visitor, or threatening behaviour.</li> <li>• The possession, use or dealing of any illegal substances including alcohol.</li> <li>• The possession of any offensive weapon(s).</li> <li>• All forms of harassment whatever they are based upon (for example whether based on sex, race, sexual orientation, disability, age, health, appearance, background, personal or political beliefs or religion or any protected characteristic).</li> <li>• Any actions that break health and safety rules or place any member of the College</li> </ul>	<p>Appeal in writing to the Principal (where exclusion was the sanction) within 5 working days, appeal will be heard within 10 working days.</p> <p>Where sanction other than exclusion appeal in writing to the Quality Office within 5 working days. Appeal will be heard within 10 working days by the Assistant Principal for Teaching, Learning and Quality</p>

			community or general public at risk including the additional set of behaviours included in this policy for the management of COVID-19.	
--	--	--	--	--

## Appendix 2: Letter Template

(Invitation to meeting)

**Private and confidential**

[Student Name]

[Address]

[Date]

Dear [Name]

### Invitation to a disciplinary meeting

I have received a report of a recent allegations made against you, and in accordance with the Colleges Student Behaviour Policy & Procedure, I am writing to inform you that you are required to attend a stage (insert level) disciplinary meeting on [date \*should give 5 working days' notice], at [time], in [location/Platform]. You are able to bring an appropriate representative with you to this meeting should you wish to do so. (Include following line if stage 4 disciplinary) Your suspension will remain in place until the outcome of this meeting has been communicated.

At this meeting, I will consider the following allegations of misconduct made against you.

- [Insert allegations]\*\*.

I have enclosed details of the Colleges Student Behaviour Policy and Procedure that will be used to determine what action is required, if any, at the meeting. We will consider this document, together with any evidence I have been provided during the meeting. We will ask you to submit a statement for consideration prior to this meeting, please contact a member of staff in Student Services who will support you in with this.

Please note a decision on this will not be made until you have had a full opportunity to put forward your version of events and the meeting has been concluded.

I understand this can be an unsettling time and therefore if you wish clarification on any of the details in this letter or anything else around this subject, please do not hesitate to contact any member of staff in the Student Services Team who will support you.

Yours sincerely

[Name Disciplinary Manager]

[Job Title]

Cc: Student File/Parent Guardian (student under 18 only, age 25 for students with an EHCP with the consent of the student)/Employer/Sponsor (work-based students only), SAVS practitioner for students with an EHCP, Designated Person for Looked After Children for looked after children.

Enclosed: Copy of Short Guide to College Student Behaviour Policy & Procedure.

## Appendix 3: Letter Template (outcome with sanctions)

[Student ID No]

[Date]

**Private and confidential**

[Student Name]

[Address]

Dear [Student Name]

OUTCOME: STAGE 4 DISCIPLINARY MEETING

Thank you for attending the meeting with [names of attendees including staff] on [Date] which was convened to discuss the College's concerns regarding [details of allegation].

The College does not condone [detail what is not acceptable] in any circumstances.

Having heard your assurances of commitment to your course, I have decided to allow you to continue to attend College. Your progress will be closely monitored, and we will support you in every way we can to do well.

As with all students the expectations below need to be adhered to:

- Fully abide by all college rules
- Full attendance to all classes
- Exemplary punctuality
- Meet all progress targets within your course
- Abide by the Student Code of Conduct at all times.

A follow up meeting will be arranged in approximately 4 weeks to ascertain whether you have adhered to the above expectations.

Yours sincerely

[Name Disciplinary Manager]

[Job Title]

Copy to: Parent/Carer, Assistant Principal, Student Services, File

## Appendix 4: Letter Template (outcome with final warning)

[Student ID No]

[Date]

**Private and confidential**

[Student Name]

[Address]

Dear [Student Name]

Outcome of Stage 4 Disciplinary Meeting

I am writing to confirm the outcome of your disciplinary meeting held on [Date] attended by [names of attendees including staff]. In the meeting we discussed your [unacceptable behaviour/attitude]. I have noted the mitigating circumstance you put forward and the assurances that you have given

Having heard your assurances of commitment to your course I have decided to allow you to continue to attend College, however, this letter represents **a written warning**. This means that any further failure to keep to the college rules or any other inappropriate incident could result in your permanent exclusion from college. When you return to college your progress will be closely monitored and we will support you in every way we can to do well. Please find enclosed the College's Expectation leaflet explaining how we expect students to behave whilst in College.

There are conditions attached to your continuation at college which are as follows:

- Fully abide by all college rules
- Full attendance to all classes
- Exemplary punctuality
- Meet all progress targets within your course
- Abide by the Student Code of Conduct at all times.

A follow up meeting will be arranged in approximately 4 weeks to ascertain whether you have adhered to the above expectations.

Yours sincerely

[Name Disciplinary Manager]

[Job Title]

Copy to: Parent/Carer, Assistant Principal –, File, SAVS practitioner for students with an EHCP, Designated Person for Looked After Children for looked after children.

## Appendix 5: Letter Template (outcome exclusion)

[Student ID No]

[Date]

### Private and confidential

[Student Name]

[Address]

Dear [Student Name]

Outcome of Stage 4 Disciplinary Meeting

Thank you for attending a Stage 4 Disciplinary meeting with [names of attendees including staff] on [Date]. During the meeting we discussed [details of the reason for stage 4]. [There are several references to poor punctuality, absence and lack of positive engagement in your studies].

I am writing to inform you that I have decided on the basis of the evidence available at the meeting that you should be withdrawn from your current course. The outcome of this Stage 4 meeting is that you be permanently excluded from Northampton College.

The specific grounds for withdrawing you relate to [details] which is very poor and falls far short of the student Code of Conduct. This means that you cannot come onto the College premises (buildings or grounds) and so may not attend any further classes at College.

[Mark Owen our Assistant Principal – Student Services will be in touch to facilitate participation in an external support programme so that you stay connected with the college Mark can be contacted on 01604 734015 or by email [mark.owen@northamptoncollege.ac.uk](mailto:mark.owen@northamptoncollege.ac.uk)]

If you have any personal property left at the College please contact my assistant Jo Daly on 01604 734327 so that arrangements can be made for you to collect it.

You have the right to appeal to the Principal against this decision and this must be exercised within 5 working days after receipt of this letter.

Yours sincerely

[Name Disciplinary Manager]

[Job Title]

Copy to: Assistant Principal, Enrolments, File, SDS, Reception (BL), Estates Group, File, Parent/Carer, SAVS practitioner for students with an EHCP, Designated Person for Looked After Children for looked after children.

## **Appendix 6: Guidance for the formal investigation of serious incidents that could lead to stage 3 or stage 4 disciplinary action being taken against a student.**

Investigations should always be carried out by a member of the College Management Team (CMT). For potential stage 3 action this will usually be the Curriculum Manager / Apprentice Delivery manager of the area to which the student belongs unless they are directly connected to the cause for the request for the disciplinary action. For potential stage 4 action this will usually be the Assistant Principal of the school to which the student belongs unless they are directly connected to the cause for the request for the disciplinary action. If it is not appropriate for the Curriculum Manager / Apprentice Delivery Manager (stage 3) or Assistant Principal of the School / Director of Work Based Learning (stage 4) to carry out the investigation, the Assistant Principal for Teaching, Learning and Quality will appoint an investigating officer. In the absence of the Assistant Principal for Teaching, Learning and Quality a member of the EMT will assume this role. Note that for students with an EHCP, their SAVS practitioner should be kept informed at all times. Note that for a student known to be a looked after child, the Designated Person for Looked After Children should be kept informed at all times.

The procedures for carrying out an investigation are as follows:

- The investigating officer will be provided with a preliminary statement of the facts leading to the call for investigation as soon as is reasonably practicable.
- The investigating officer will be provided with names, addresses and contact details of the student(s) and any other relevant parties involved at the same time. Parents / carers of under 18 students should be made aware of the reasons for the investigation as should employers of apprentices and any appropriate support workers.
- If appropriate (e.g. in the case of serious incident) the investigating officer will agree terms of reference for investigation with the Assistant Principal Teaching, Learning and Quality.
- The investigating officer will arrange appointments with the person(s) involved within 5 working days of receiving the above information although this should be sooner wherever practicable. Written statements of any interviews should be made and stored on ProMonitor; these should be agreed by the parties present. It is not appropriate for any such interview to be recorded mechanically.
- Note that at all stages of the process, the student(s) will be advised of their right to have representation/ advocacy at any hearing.
- A written report should be sent to the convenor of the disciplinary hearing (generally Assistant Principal for stage 3 and Executive Office for stage 4) to confirm that disciplinary action will be taken. This report should include a summary of investigation activity undertaken along with appropriate evidence e.g. attendance records, incident reports etc. Note that it is not in the remit of the investigating officer to offer an opinion or recommendation regarding the outcome of any disciplinary action that may ensue. That responsibility lies with the manager responsible for the disciplinary hearing. It is their responsibility to state what, on the balance of probabilities, actually happened and who was responsible.
- The recommended timescale for the completion of the process is 10 working days from the date of incident or cause for disciplinary action although this should be sooner wherever practicable.

- Investigating officers should retain their notes of any meetings as per the Data Retention Guidelines (currently current academic year plus six years).

## **Appendix 7: The rules of natural justice**

- The following are guidelines of natural justice. If a member of staff is in any doubt as to the procedure, he/she is proposing to adopt he/she should take advice from the Assistant Principal of Student Services.

The rules of natural justice consist of the following elements:

- The right to a fair hearing; and
- The rule against bias

### **The Right to a Fair Hearing**

The right to a fair hearing requires that individuals shall not be penalised by a decision affecting their rights or legitimate expectations unless they have been given prior notice of the case against them, a fair opportunity to answer it and the opportunity to present their own case.

Each individual must have the opportunity to present their version of the facts and to make submissions on the relevant principles of the Code of Conduct and the allegations against them.

The right to a fair hearing involves the following:

#### **Prior notice of the hearing**

Natural justice generally requires that the person charged should be given adequate notice of the allegations against them and of the procedure for determining the alleged breaches of the Code of Conduct so that they may be in a position to make representations on their own behalf, to appear at the hearing, to effectively prepare their own case and to answer the case against them.

The time and location of the hearing must be notified to the person charged.

#### **The opportunity to be heard**

The person charged has a right to attend the hearing and be allowed to present their case.

#### **The conduct of the hearing**

The conduct of the hearing is a matter to be determined by the member of staff responsible for the conduct of the hearing. The overriding objective that should be borne in mind when deciding how the hearing should be conducted is that the person charged has a proper opportunity to consider, challenge or contradict any evidence, is fully aware of the nature of the allegations against them and has a proper opportunity to present their own case.

#### **The right to representation**

The person who is the subject of the hearing has an absolute right to be accompanied by a person of their choosing at all stages of the process. (Legal representation is not appropriate and is not permitted.)

Students under the age of 18 will normally be accompanied to a disciplinary interview or meeting by a parent or person with parental responsibility. Students over the age of 18 are entitled to be accompanied at a meeting by another member of the student body (who is not themselves involved) at any disciplinary interview or meeting. Any student aged under 18 whose parent or person with parental responsibility has confirmed to the College that they will not be attending may instead be accompanied by a representative from Student Services if appropriate.

***The decision and the reasons for it***

The member of staff responsible for the decision should give reasons for the decision and the sanctions being imposed.

***The rule against bias***

The two main aspects of this rule are that a person adjudicating on a dispute must have no pecuniary or proprietary interest in the outcome of the proceedings and must not reasonably be suspected, or show a real likelihood, of bias.

At all times, the member of staff responsible for conducting the hearing must be able to show that, having instigated the investigation, they have conducted a full enquiry into the circumstances involved before making their decision as to whether a breach of the Code of Conduct has occurred and, if so, what sanction should be imposed.

There should be no suggestion in the conduct of the hearing that prior to its commencement the member of staff has irrevocably decided the outcome.

## **Appendix 8: Work based students**

### **Work based student attendance**

Work based students in some sectors attend college 1 day per week, some attend one week in six and others do not attend college at any time during their apprenticeship as all delivery occurs in the workplace. If a student is absent from college which includes Functional Skills lessons without justification, or they miss one appointment in the workplace the assessor will speak to the employer to make them aware of this. If this occurs on a second consecutive occasion, then the Course Leader will speak to the student and employer. If this occurs again then a Stage 1 investigation will be held. This will be carried out in College by the Apprentice Delivery Manager. If the student fails to respond to the letter or attend the meeting, then it will be held in their absence and a decision will be sent to the student and employer. Records of these interventions will be kept in the Learner File.

### **Completion of Work for Assessment**

If a Work Based student fails to complete a piece of work by the deadline given without a reasonable explanation, then the assessor will speak to the employer, and this will be noted on the visit report. If this occurs for a second time, then the Course Leader will intervene and speak to the student and employer. The Course Leader will then monitor this weekly with the assessor and if this is still a cause for concern it will be reported to the Team Leader. The Team Leader can then instigate a Stage 1 investigation meeting which can be carried out in the workplace if the student and employer prefer. If the student fails to respond to the letter or attend the meeting, then it will be held in their absence and a decision will be sent to the student and employer. Records of these interventions will be kept in the Learner File.

### **Attendance at Scheduled Exams**

Work Based students are notified of an exam by letter and it is discussed during their sessions in college or the workplace. If a student fails to attend an exam without justification, then the assessor will report this to their employer. A second date will be set, and notification will be given as soon as possible, however in some cases the student may have to wait until the exam is scheduled to take place again. The college reserves the right to charge the student for exams that have been missed without reasonable justification.

Any other incidents that give cause for concern will be addressed through the Student Behaviour and Disciplinary Policy.

## Appendix 9: Student Behaviour Policy and Procedure 2023/24: Guidance for Recording Disciplinary Meetings

### Introduction

All stages of disciplinary action should be recorded in ProMonitor, starting with informal disciplinary action recorded using 'Student Comments,' through to all stages of Disciplinary Meetings recorded as 'Student Meetings.'

### Informal / Verbal Warning

- Logged on ProMonitor using:
  - o Appropriate comment type e.g., behaviour, punctuality, attendance
  - o Comment reason – 'Cause for Concern'
  - o SMART targets set as appropriate

### Stage 1

- NOTE: if under 18 and student has not withdrawn permission, parents/carers should be notified of the meeting and outcomes.
- NOTE: if an apprentice, a copy of actions will be provided to the employer.
- Formal meeting recorded on ProMonitor using:
  - o Meeting category – 'Disciplinary'
  - o Meeting type – 'Disciplinary'
  - o Reason for Meeting – 'Stage 1'
  - o In the meeting notes, include:
    - Meeting attendees
    - General notes
    - The outcome of the meeting e.g., Stage 1 warning issued, informal / verbal warning issued, no action taken. Include details of the consequences of further misconduct or poor academic performance.
    - Actions required e.g. around attendance, punctuality, completion of work, behaviour
    - SMART targets with a review date of around 2 or 3 weeks
  - o Around 20 working days after the initial meeting – set a review meeting up in ProMonitor. Outcomes to be recorded at meeting.

### Stage 2

- NOTE: if under 18 and student has not withdrawn permission (aged 25 for students with an EHCP with the consent of the student), parents/carers should be invited to the meeting and / or notified of the outcomes.
- NOTE: if an apprentice, a copy of actions will be provided to the employer.

- Formal meeting recorded on ProMonitor using:
  - o Meeting category – ‘Disciplinary’
  - o Meeting type – ‘Disciplinary’
  - o Reason for Meeting – ‘Stage 2’
  - o In the meeting notes, include:
    - Meeting attendees
    - General notes
    - The outcome of the meeting e.g. Stage 2 warning issued, lower level sanction issued, no action taken. Include details of the consequences of further misconduct or poor academic performance.
    - Actions required e.g. around attendance, punctuality, completion of work, behaviour
    - SMART targets with a review date of around 2 or 3 weeks
  - o Around 20 working days after the initial meeting – set a review meeting up in ProMonitor. Outcomes to be recorded at meeting.

### Stage 3

- Terms of investigation should be agreed with the Assistant Principal Teaching, Learning & Quality
- A report will be prepared by the Curriculum Manager / Apprentice Delivery Manager or investigating officer, this will then be presented to the appropriate Assistant Principal / Director of Work Based Learning.
- NOTE: if under 18 and student has not withdrawn permission, parents/carers should be invited to the meeting and notified of the outcomes.
- NOTE: if an apprentice, the employer should be invited to the meeting
- Formal meeting recorded on ProMonitor using:
  - o Meeting category – ‘Disciplinary’
  - o Meeting type – ‘Disciplinary’
  - o Reason for Meeting – ‘Stage 3’
  - o In the meeting notes, include:
    - Meeting attendees
    - General notes
    - The outcome of the meeting e.g. Stage 3 warning issued, lower-level sanction issued, recommendation for stage 4 hearing, no action taken. Include details of the consequences of further misconduct or poor academic performance.
    - Actions required e.g. around attendance, punctuality, completion of work, behaviour
    - SMART targets with a review date of around 2 or 3 weeks
  - o Around 20 working days after the initial meeting – set a review meeting up in ProMonitor. Outcomes to be recorded at meeting.

### Stage 4

- Terms of investigation should be agreed with the Assistant Principal Teaching, Learning & Quality
- Assistant Principal for School / Director of Work Based Learning prepares the report including appropriate statements (signed and dated) and evidence and submits to the Executive Office.
- Executive Office convenes the hearing (heard by member of EMT)

- NOTE: if under 18 and student has not withdrawn permission (aged 25 for students with an EHCP with the consent of the student), parents/carers should be invited to the meeting and notified of the outcomes.
- NOTE: if an apprentice, the employer should be invited to the meeting
- Formal meeting recorded on ProMonitor using:
  - Meeting category – ‘Disciplinary’
  - Meeting type – ‘Disciplinary’
  - Reason for Meeting – ‘Stage 4’
  - In the meeting notes, include:
    - Meeting attendees
    - General notes
    - The outcome of the meeting e.g. exclusion of the student, lower-level sanction issued 4 weeks by Assistant Principal or Curriculum Manager, no action taken. Include details of the consequences of further misconduct or poor academic performance.
    - Actions required linked to the outcome
    - SMART targets with a review date of around 2 or 3 weeks
  - A formal letter detailing the outcome will be sent from the Executive Office.
  - Around 20 working days after the initial meeting or as set as a meeting outcome, a review meeting should be set up in ProMonitor. Outcomes to be recorded at meeting.

## Appeal

- Stages 1,2,3: Submitted to the Quality Office
  - Stages 1,2 – heard by Assistant Principal for the area of study / Director of Work Based Learning
  - Stage 3 – heard by the Assistant Principal TLQ
- Stage 4 including exclusion: Submitted to the Principal
- When an appeal is received, a student meeting should be set up in ProMonitor:
  - Meeting category – ‘Disciplinary’
  - Meeting type – ‘Disciplinary’
  - Reason for Meeting – ‘Appeal’
- Details of the appeal hearing will be recorded in this meeting, including:
  - Meeting attendees
  - General notes
  - The outcome of the meeting e.g. appeal upheld, sanctions remain. Include details of the consequences of further misconduct or poor academic performance.
  - Actions required linked to the outcome
  - If appropriate, SMART targets with a review date of around 2 or 3 weeks
- A formal letter detailing the outcome will be sent from the person hearing the appeal.

## Appendix 10: Communications Plan

TITLE OF COLLEGE POLICY:	DATE APPROVED BY EMT/CORPORATION:
Student Behaviour and Disciplinary Policy	TBC

AUDIENCE (select appropriate with v)					
Managers		Curriculum teams		Business Support teams	
All staff	✓	Suppliers		Partners	✓
Other (please state)		Students	✓		

CHANNEL (select appropriate with v)					
Policy & Strategy Team (PST)		Quality Improvement Network (QIN)		Marketing team	
e.g. Meeting Email	✓	e.g. Meeting Email	✓	e.g. NC Update Managers' Update Intranet Website	✓  ✓
Individual team		Suppliers		Partners	
Document Library Noticeboards Team meeting Email	✓	Letter or email Meeting		Letter or email Meetings	
College Management Team		JCNC		CORPORATION	
Meeting Email		Meeting Email	✓ ✓	Meeting Email	✓

COMMUNICATIONS PLAN ACTIVATED BY:		
Name: Mark Owen	Job title: Assistant Principal - Student Services	Date: 20/6/22

## Appendix 11: Equality & Diversity Impact Assessment

This form should be used by managers and policy authors within their area of responsibility to carry out Equality & Diversity Impact Assessments (E&DIAs) in relation to protected characteristics including: Age, Sex, Disability, Gender/Trans, Racial or Ethnic Group, Religious Belief and Sexual Orientation.

The word 'policy' is taken to include strategies, policies, procedures and guidance notes; both formal and informal, internal and external.

The Impact Assessment may be carried out on any policy, service, function or plan you are engaged in, or are about to commence. All policies should be clearly stated. However, in reality, some policies are built into everyday procedures and customs, therefore not all policies are open to inspection and review. Any assessment of a policy should include these customs and practices as well as the formal written policy. 'Functions' means your duties and powers and includes internal and external functions, including service delivery.

### 1. Name of policy

Student Behaviour and Disciplinary Policy 2023/24

### 2. What is the aim(s), objective(s) and/or purpose of the policy?

To ensure behaviour and academic standards are met at Northampton College.

### 3. Who is the policy lead?

TBC

### 4. Which of the following groups could be affected by this policy? (Tick all that apply)

Students  Staff  Wider community

### 5. Team

Names and position of Impact Assessment Team (min of 3 preferably from areas across the College):

Name	Position
Jan Hutt	Vice Principal – Student Services Human Resources
Jenny Thorpe	Assistant Principal – Quality
Mark Owen	Assistant Principal – Student Services

Date EDIA undertaken: 22/6/21

EDIA undertaken as a result of:

Renewal / Revision of Policy / Procedure

New Policy / Procedure

SAR process

Other  Please state \_\_\_\_\_

Date of last EDIA (if applicable) \_\_\_\_\_

## 6. Complaints

Have complaints been received from anyone with one or more protected characteristic about the service provided? If yes then please give details.

N/A

## 7. The Impact

Four possible impacts should be considered as part of the assessment:

**Positive impact** – Where the policy might have a positive impact on a particular protected characteristic.

**None or little impact** – Where you think a policy does not disadvantage any of the protected characteristics.

**Some impact** – Where a policy might disadvantage any of the protected characteristics groups to some extent. This disadvantage may be also differential in the sense that where the negative impact on one particular group of individuals with protected characteristics is likely to be greater than on another.

**Substantial impact** – Where you think that the policy could have a negative impact on any or all of the protected characteristics. This disadvantage may be also differential in the sense that the negative impact on one particular protected characteristic is likely to be greater than on another.

Use the guidance provided above and complete the following table:

Gender/ Age	Positive impact	No or little impact	Some adverse impact	Substantial adverse impact
Women		x		
Men		x		
Age		x		

Disability	Positive impact	No or little impact	Some adverse impact	Substantial adverse impact
Visually impaired		x		
Hearing impaired		x		
Physical disability		x		
Specific Learning difficulties		x		
Global learning difficulties		x		
Autistic Spectrum Disorder		x		
Any other disability - various		x		

Race or Culture	Positive impact	No or little impact	Some adverse impact	Substantial adverse impact
White		x		
Other minority groups		x		

Other Factors	Positive impact	No or little impact	Some adverse impact	Substantial adverse impact
Religious Belief		x		
Sexual Orientation		x		

Trans				
-------	--	--	--	--

Please comment on any areas where some or substantial impact is indicated. Any resulting actions must be added to the attached action plan.  
 Policy has been updated to reflect changes in legislation and procedure. The procedure ensures a fair process is carried out for all staff and as such has a positive impact.

**8. Is there anything that cannot be changed?**

What cannot be changed?	Can this be justified?	If so, how?
E.g. Disabled people can be treated more favourably under the 2005 DDA. If a policy appears to treat disabled people more favourably than other equality groups, the disadvantage may be justifiable.		

Please list the main actions that you plan to take as a result of this assessment in your area of responsibility. (Continue on separate sheets as necessary)

**EQUALITY & DIVERSITY IMPACT ACTION PLAN FOR INCLUSION IN QUALITY IMPROVEMENT PLAN**

Area for Improvement and expected impact (linked to Corporate Objectives)	N/A
SMART actions/activities	N/A
Staff development or Resources required	N/A
Timescale including Milestones	N/A
Success Indicators and evaluation	N/A

DISTRIBUTION: Copies of the final E&dIA and QIP should be sent to:  
**Jan Hutt -Director of HR, Patrick Leavey - Deputy Principal – Teaching, Learning & Success and Caroline Banning/Jo Daly Executive Team Administrator**  
**And** to those whom this Impact Assessment will cause to have further work to do in either changing processes or re-writing the policy(s) concerned.  
 All actions recorded here should be carried forward into your QIP, so that actions can be monitored and evaluated to measure the impact. There will be random sampling of action plans through the Equality & Diversity Forum.

## Appendix 11: Data Protection Impact Assessment

### Data Protection Impact Assessment

#### Does this Policy

- require the collection and use of data in addition that normally collected by the College?
- **No**
- require the sharing of data with partners?
- **No**

1. Is additional data being collected? If so please detail:

No

Is data collected personal and/or sensitive?

How will you collect, use, store and delete data?

2. Will you be sharing data with anyone? Please detail what data, with who and confirm a **Data Sharing Agreement** is in place

No

**Describe the purposes of the processing / sharing:** What are the benefits of the processing/ sharing – for you, and more broadly?

**Consider how to consult with relevant stakeholders:** describe when and how you will seek individuals' views – or justify why it is not appropriate to do so.

**Describe compliance and proportionality measures, in particular:**

What is your lawful basis for processing?

**How will you ensure data quality and data minimisation?**

Only data collected by the systems are stored. This is overwritten/delete periodically.

**What information will you give individuals?**

Please attach a Risk Assessment if there are significant risks to data protection

**Signed by Data Protection Officer**

Name: Julian Wood  
Date: June 2023