

DERBY COLLEGE GROUP POLICY



PROCEDURE

Disciplinary Procedure

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POLICY – PROCEDURES – GUIDELINES – RELATED DOCUMENTS

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1. Introduction

This document sets out the disciplinary procedures which Derby College Group (DCG) shall follow in the event of a breach of the Student Code of Conduct.

Intent

To clarify, define and structure the processes and steps of intervention taken when a student is in breach of the Student Code of Conduct. All interventions/steps, including disciplinary sanctions should be implemented in order to facilitate a learning opportunity that supports our students to meet our aspirational expectations as stated in *The 5 Ps* and the Student Code of Conduct.

Scope

This procedure applies to all students engaging in DCG activity (including Work Experience), College life (including outside of lessons) and on visits/trips (including abroad).

There may be specific circumstances, contexts and occasions when reasonable adjustments may need to be made for an individual who has disclosed specific needs and whose conduct and behaviour is affected by factors outside of their control. This will be considered on an individual basis by the Team/Curriculum Manager and Student Behaviour and Engagement Manager and Head of Student Development, in consultation with other relevant professionals, when appropriate.

In addition to these general rules, there are a number of other, more specific requirements which apply in certain working areas such as libraries, science laboratories, farms, workshops and other work-based areas. These specific rules will be made clear to the students working in the areas to which they apply.

Academic offences

The College may take action under these procedures for misconduct which amounts to an academic offence. In such instances, the person or committee hearing the case may, in addition to any penalties imposed under these procedures, refer the matter to the relevant Examination Board (whether internal or external) for further action. Plagiarism, cheating, collusion and attempting to obtain an unfair academic

advantage are forms of academic misconduct and are entirely unacceptable for any student. Please refer to the Academic Misconduct and Malpractice Policy.

2. Procedure – Study Programme

Purpose-Driven Model of Behaviour Intervention (PDM)

The PDM is a supportive approach to student behaviour that breaches the College's 5P expectations or Code of Conduct. All interventions, including sanctions, aim to create meaningful learning opportunities that help students grow into positive learners, citizens, and employees.

Recording Comments on ProMonitor – **FACT** Principles

All comments must be:

- Factual – based on observed behaviour, not opinion
- Accurate – detailed and evidence-based
- Concise – only include necessary information
- Thorough – ensure all relevant fields are completed (e.g., Enrolment link, Visible in ProPortal, Disciplinary Category)

ProMonitor Comment Categories

Low-level concerns can be recorded under:

- Behaviour improvement required
- Attendance improvement required
- Academic performance required
- ID badges

These should reflect non-threatening, non-destructive behaviours that disrupt learning but are not severe.

Referral Triggers

Once five comments are recorded in any category, an automatic referral is made to:

Category	Referral To
Behaviour	Behaviour & Engagement Manager
Attendance	Pastoral and Financial Support Manager
Academic Progress	Team Manager
Bullying & Harassment	Behaviour & Engagement Manager

The designated staff member will decide next steps using the PDM approach.

Escalation for Higher-Level Concerns

If a concern is more serious than low-level (regardless of previous comments), a direct referral should be made to the appropriate person or team for immediate action.

Investigation (investigation checklist and report)

Step	Details
Initiation	Incidents deemed more severe than Stage 2 will trigger an investigation under the supervision of the Behaviour and Engagement Manager or Head of Student Development.
Notification	Team/Curriculum Manager and/or Behaviour and Engagement Manager inform the student of the alleged misconduct.
Fair Process	No disciplinary action is taken until the circumstances are fully investigated and the student has had the opportunity to state their case.

Investigation	The investigation explores allegations and facts to determine necessary actions. Witness statements should be taken, dated, and signed where appropriate.
Conclusion	The investigating officer decides on appropriate action. Possible outcomes include: <ul style="list-style-type: none"> - No case to answer - Recommendations to student and staff - Reprimand with Student Expectation Agreement and mentoring - Formal Disciplinary with Next of Kin invited and student representation

3. Apprentice Disciplinary Procedure

Category	Details
Employment Context	An apprentice is employed by an organisation and must adhere to its policies and procedures.
Employer Misconduct	If an apprentice breaches company policy, the employer follows its disciplinary procedure and applies relevant sanctions.
Induction Expectations	The employer should provide the disciplinary and related policies during the apprentice's induction.
Training Centre Conduct	When DCG staff deliver training at the employer's premises, they follow the employer's behaviour policy and report misconduct to the supervisor. Issues are recorded on DCG's central system.
Day Release Conduct	While attending day release at DCG, apprentices are subject to DCG's

	<p>policies. Misconduct is recorded and reported to the employer.</p> <p>If misconduct is of a serious nature, DCG may discontinue as the provider.</p>
Safeguarding Breach	<p>If an apprentice breaches safeguarding policies or behaves unsafely, DCG's Positive Behaviour Policy is applied. A review determines whether DCG continues as the provider.</p>
Review and Continuation Decision	<p>The employer decides on further action based on DCG's report. DCG may discontinue provision depending on the outcome of the review.</p>

Disciplinary Sanctions

When deciding what disciplinary sanction is appropriate and what form it should take place, the disciplinary officer will bear in mind the need to act reasonably in all the circumstances. They must genuinely believe on reasonable grounds and having regard to the evidence, that the individual has committed the alleged misconduct and it justifies the sanction proposed.

Normally the procedure will be followed in order of stages set out below. However, offences of a serious nature may be brought into the procedure at any stage.

The following are the possible outcomes of a disciplinary hearing.

Stage 1: Verbal Warning

Any member of staff can give a verbal warning.

A verbal warning is essentially where an employee verbally informs a student that in the event that their work, behaviour, or actions within the learning environment/placement don't change or improve, the student may face further sanctions. However, there are two types of verbal warning: informal and formal. Typically, an **informal verbal warning** is often nothing more than a quiet chat between the students and any staff member in an attempt to quickly and amicably resolve a relatively minor issue of misconduct or unsatisfactory performance, without recourse to formal disciplinary proceedings. This informal stage will be recorded as a **reference comment on ProMonitor**.

That said, in cases where **formal proceedings** are deemed necessary, including a disciplinary investigation and hearing, DCG may still opt to issue a verbal warning, albeit formally, as an appropriate and proportionate means of disciplinary action in response to any findings made.

If a student has accrued **five behaviour improvements**, and it is deemed appropriate, they may be given a **formal Verbal Warning** to highlight that their persistent low-level disruption is being taken seriously and to give them a further opportunity to cease this behaviour.

Aspect	Details
Who Can Issue	Any member of staff.
Types of Verbal Warning	Informal (quiet chat) or Formal (recorded warning).

When It's Issued	After minor misconduct or persistent low-level disruption.
Examples of Misconduct	<ul style="list-style-type: none"> - Consistent lateness or absence - Refusal to follow instructions - Disruptive behaviour - Swearing, refusal to wear PPE or show ID - Use of phones/smart devices without consent - Smoking/vaping in non-designated areas
Support Offered	Support should be offered or revisited. SMART goals may be added to ILP on ProMonitor.
Student Notification	Student must be clearly informed and the warning recorded on ProMonitor.
Appeal	If not properly recorded or visible in ProPortal, any appeal will be upheld.
Expiry of Warning	After 6 months, if behaviour has been satisfactory.
Recording Requirements	All comments must follow FACT (Factual, Accurate, Concise, Thorough).

All comments should follow **FACT**.

Stage 2 - Written Warning.

Aspect	Details
Who Can Issue	Team Manager or Head.
How It's Communicated	Through a Formal Review meeting. Student gets at least 5 days' notice.

Meeting Arranged By	Administration Coordinators, notified by relevant Team Manager.
When It's Issued	After informal steps have been tried or for a serious breach of conduct.
Examples of Serious Breach	Verbal aggression, negligence causing risk, multiple conduct breaches,
Support Offered	Support reviewed or offered again; SMART goal added to ILP on ProMonitor.
Student Notification	Must be clearly told they've received a Written Warning; recorded on ProMonitor and confirmed in writing.
Appeal	If not recorded properly (comment, visibility, SMART target), appeal will be upheld.
Recording Requirements	Notes from Formal Review added to ProMonitor by Team Manager or Administration Coordinator.
Expiry of Warning	After 12 months, if behaviour has been satisfactory.

Stage 3 - Final Written Warning

Category	Details
Who Can Issue	Vice Principal, Assistant Principal / Head, Behaviour & Engagement Manager
Issuance Method	Must be issued during a Formal Review Meeting.
Student Preparation	Minimum 5 days' notice; student may invite representatives.
Meeting Invite Process	Sent by Administration Coordinators upon notification from relevant Team Manager.
Meeting Attendees	Assistant Principal, Team Manager, Head of Area, and/or Behaviour & Engagement Manager. [if required]
Criteria	Continued lack of improvement from previous warnings or single significant serious breach of Student Code of Conduct.
Examples of Serious Breaches	Discriminatory abuse, physical violence, intentional harm, under influence causing risk/injury.
Individual Consideration	Each breach must be assessed case-by-case.
Support Requirement	Support must be offered or revisited to help student meet behavioural expectations.
SMART Target	Must be recorded on ILP in ProMonitor, clearly stating expectations and actions for both student and DCG.

Student Notification	Student must be explicitly informed; warning recorded on ProMonitor and followed up in writing to home address.
Appeal Risk	If no ProMonitor comment, not visible in ProPortal, and no SMART target set, appeal will be upheld in student's favour.
ProMonitor Recording	Final Written Warning comment only after Formal Review; notes recorded by Team Manager present. All comments must follow FACT.
Warning Duration	Warning is spent after 12 months, subject to satisfactory conduct.

Stage 4 - Recommendation for Exclusion

Category	Details
Who Can Recommend	Behaviour and Engagement Manager, Vice Principals, Assistant Principal, or Head.
Required Documentation	Notes of incident(s), meetings held, support offered, and justification for exclusion.
Reasons for Recommendation	Extremely serious breach of College Code of Conduct and Positive Behaviour Policy, including bullying, harassment, substance abuse, violence, theft, vandalism, possession of weapons, unsafe practices, security or health and safety breaches.
Review Panel	Panel reviews recommendation and decides whether to uphold or explore other options.

	<p>Panel Members:</p> <p>Vice Principal – Student Experience and Pastoral Support</p> <p>Assistant Principal</p> <p>Team Manager</p> <p>Head of Student Development</p> <p>Behaviour and Engagement Manager</p> <p>Director of Health and Safety (DSL)</p>
Types of Exclusion	Fixed term (usually for an academic year) or permanent, based on risk assessment.
Notification Requirements	Student must be explicitly informed and notified in writing. Recorded on ProMonitor. Letter includes Positive Behaviour Policy and Disciplinary Procedure.
Appeal Process	Student may appeal in writing to the Deputy Chief Executive Officer.
If Recommendation Not Upheld	Formal Review scheduled within 5 working days to explore return to College, support needs, and agreements for continuation. May include course or campus change.
Re-enrolment Conditions	Fixed term exclusion requires full risk assessment by Leadership Panel before re-enrolment on another course.

Vulnerable Students

If a student has an **Education, Health and Care Plans** (EHCP), **Special Educational Needs or Disabilities** (SEND) or is a Looked **After Young Person**, this must be taken into consideration when implementing any disciplinary action, both formal and informal. The college has a legal responsibility to make reasonable adjustments. The approach towards a formal meeting for students with an identified support need must take into

consideration the needs and adjustments into account. The outcome of a formal meeting may be a recommendation around changes to support plans if these outcomes are not working for the students.

Time-Out

Category	Details
Who Can Issue	Team Manager, Director, Assistant Principal, Head, or Duty Safety Officer (DSO).
Reason for Issuance	Student poses physical or emotional risk to self or others, alleged bullying, or risk of further incidents.
Purpose	Cooling-off period and/or time for further investigation into events or allegations.
Attendance Restriction	Student cannot attend College until a Review Meeting has taken place.
Review Meeting Outcome	If breaches are found, a Formal Review is required with sanctions, support, and agreements before return.
Review Meeting Attendees	Issuing Manager/AP/Director/DSO, Curriculum Team Manager, and possibly Behaviour and Engagement Lead.
If No Breach Found	Student still attends Review Meeting to be informed of allegations and investigation outcomes.
Duration	Maximum of five College days; ideally shorter to minimize impact on progress.
Disciplinary Status	Not a disciplinary action; should not be confused with exclusion.

Student Work	Students should be issued work to complete at home during time-out.
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Disciplinary Appeals Procedure

Aspect	Details
Purpose	Ensure fairness in disciplinary procedures; students have the right to make representations and appeal.
Appeal Submission	Must be made in writing within 10 College days of being informed of disciplinary action.
Submission Details	Written appeal summarising grounds must be sent to the Deputy Chief Executive's or their nominee.
Grounds for Appeal	<ol style="list-style-type: none"> 1. New evidence 2. Decision did not take account of all relevant evidence
Appeal Review	Conducted as a review of the original decision unless otherwise determined by the Deputy Chief Executive Officer or representative.
Exclusion Appeals	Deputy Chief Executive Officer or representative will review the case and may speak to the student, other students, and involved employees.
Outcome Notification	Student will receive written outcome within 10 College days of appeal receipt.
Further Recourse	If student feels unfairly treated by the procedure, they may appeal to Department for Education.

Flow Chart for the student disciplinary procedure

