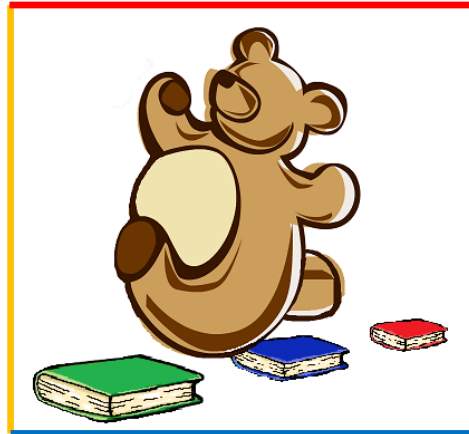


GRIEVANCE, STAFF DISCIPLINARY AND ANTI-BRIBERY POLICY



Stepping Stones

Updated: January 2021

Grievance Policy

At Stepping Stones Nursery we follow our legal obligations as an employer at all times including hearing and investigating grievances. We have the following policy and procedures that set out our process.

Legal obligations

Our obligations as an employer are detailed in the ACAS Code of Practice on disciplinary and grievance procedures (2015). A full copy of the ACAS Code of Practice and the accompanying guidance can be obtained from the ACAS website www.acas.org.uk

Objectives and guiding principles

We recognise that an employee needs to feel that his or her grievance has been fully investigated and has received a fair hearing. The employee also needs to understand the reasons for the decision made by the manager who heard their grievance. The employee should then be given the opportunity to appeal against the decision. Their appeal should be submitted in writing and should be investigated and heard by someone more senior to the person who heard the initial grievance. The person allocated to hear the employee's appeal should be able to take a fresh and independent look at the issue. In our organisation the individual's immediate line manager deals with the grievance initially separately before being passed on to the owner/manager of the nursery.

ACAS advocates the use of mediation to resolve grievances, in an attempt to maintain a good working relationship and resolve issues within the workplace. We may decide to use such mediation where appropriate using ACAS support and guidance.

Our grievance procedure does not form part of any employees' contract of employment. It may be amended at any time, and we may depart from it depending on the circumstances of any case.

This procedure applies to all employees regardless of length of service.

Our nursery believes that all employees should be treated fairly and with respect. We encourage all employees to try to resolve any grievance with the individual concerned on an informal basis, as most grievances can be resolved quickly through discussion. Your line manager will assist you with this if you feel this is the best route for you.

If this does not resolve the complaint/issue/problem, the formal process below is initiated.

Grievance process

Stage 1

Making your grievance

- You should put your grievance in writing and forward it to your line manager
- This written statement will form the basis of any investigations and the subsequent hearing, so it is important that you set out clearly the nature of your grievance and any dates and names of individuals involved. You should also indicate the outcome that you are seeking. If your grievance is unclear, you may be asked to clarify your complaint before any meeting takes place
- If your complaint relates to an issue with your line manager, the grievance may be sent to the director/deputy manager.
- Before proceeding to a full grievance hearing, it may be necessary to carry out investigations of any allegations made by you. If any evidence is gathered in the course of these investigations, you will be given a copy in advance of the hearing and appropriate time for you to consider your response. In exceptional circumstances, the evidence given by individuals may have to remain confidential. Where confidentiality is necessary, this will be explained to you and an appropriate summary of the evidence gathered will be given to you.

Stage 2

The grievance hearing

The hearing will be held as soon as is reasonably possible following any investigations, and within five working days of the receipt of your written complaint. It will be conducted by your line manager or another nominated manager if your complaint relates to an issue with your line manager. You are entitled to bring a companion to the grievance meeting if you make a reasonable request to do so. This request must be in advance of the meeting and you should tell us the name of your chosen companion. The companion may either be a trade union representative or a work colleague.

You should ensure that you attend the meeting where possible. If you are unable to attend because of circumstances beyond your control, you should inform your line manager as soon as possible and a further meeting will be re-arranged as soon as possible. If you fail to attend without explanation, or if it appears that you have not made sufficient attempts to attend, the hearing may take place in your absence.

During the hearing you will be given the opportunity to explain your complaint. Your explanations should focus on the complaint and not on irrelevant issues. The manager conducting the hearing will inform you if they believe the key issues are not being focused on. They may also set a reasonable timeframe for the meeting; this will be determined by the nature and complexity of your complaint.

The hearing may be adjourned to allow further investigations to take place. Following the meeting, you will be informed in writing of the outcome within ten working days, where reasonably practicable, and told of any action that the nursery proposes to take as a result of your complaint, if applicable. If it is anticipated that further investigation is required and therefore the outcome cannot be provided within this timeframe, we will inform you as to when you can expect to receive the outcome.

If you are dissatisfied with the outcome, you may make a formal appeal in writing to the manager/director stating your full grounds of appeal, within five working days of the date on which the decision was sent or given to you.

Stage 3

We will hold an appeal meeting within 14 working days of receiving the appeal, where reasonably practicable. This will be dealt with impartially by a more senior manager, where applicable who has not previously been involved in the case. You will have the right to bring a companion, as explained above.

We will confirm our final decision in writing, usually within ten working days of the appeal hearing, where reasonably practicable. There is no further right of appeal.

Grievances linked to disciplinary matters

Complaints that you may have about any disciplinary action taken against you should be dealt with as an appeal under the disciplinary procedure.

Grievances raised while you are subject to disciplinary proceedings will usually be heard when the disciplinary process has been completed.

If a grievance has any bearing on the disciplinary proceedings, it will be dealt with as part of the disciplinary hearing or disciplinary appeal, as appropriate.

Staff Disciplinary Policy

At Stepping Stones Nursery we follow our legal obligations as an employer at all times including dealing with any disciplinary matter in a fair and consistent manner. We have the following policy and procedure that sets out our process.

Legal obligations

Our legal obligations as an employer are detailed in the ACAS Code of Practice on disciplinary and grievance procedures (2015). A full copy of the ACAS Code of Practice and the accompanying guidance can be obtained from the ACAS website <http://www.acas.org.uk>.

Objectives and guiding principles

The objective of this procedure is to set out the standards of conduct expected of all staff and to provide a framework within which our managers can work with employees to maintain satisfactory standards of conduct and to encourage improvement where necessary.

It is our policy to ensure that any disciplinary matter is dealt with fairly and consistently. We will take the necessary steps to establish the facts and to give employees the opportunity to respond before taking any formal action.

This procedure does not form part of any employee's contract of employment and it may be amended at any time. We may also vary this procedure, including any time limits, as appropriate in any case.

The procedure applies to all employees regardless of length of service.

Minor conduct issues can often be resolved informally between the employee and their line manager. These discussions should be held in private and without undue delay whenever there is a cause for concern. Where appropriate a note of any such discussions may be held on the employee's personnel file, but will be ignored for the purpose of future disciplinary issues.

Formal steps will be taken under this procedure if the matter is not resolved, or if informal discussion is not appropriate (due to the serious nature of the allegation against you).

The employee will not normally be dismissed for a first act of misconduct, unless it is decided it amounts to gross misconduct or the employee has not yet completed their probationary period.

Our Setting will maintain a well-motivated, highly skilled and professional staff team. However, occasionally action will need to be taken to encourage improvement in individual behaviour and performance.

The Manager will provide a fair and consistent method of dealing with disciplinary incidents. Our aim is always to support and encourage staff, while promoting good employment relations.

If a member of staff is subject to disciplinary action, fair and consistent procedures will be employed:

- The incident will be fully investigated and the facts established.
- Investigations will be non-discriminatory and apply equally to all staff irrespective of sex, marital status, sexual preference, race or disability.
- At every stage, the member of staff concerned will be advised of the nature of the complaint and given an explanation for any penalty imposed.
- Staff will be given the opportunity to state their case during the disciplinary process.
- The staff member may choose to be accompanied by a colleague, a Trade Union representative or an official employed by a Trade Union, during the first written warning and final written warning stages of the disciplinary process. This does not include the investigation stages.
- Staff will not be dismissed for a first breach of discipline except in the case of gross misconduct (see below).
- Staffs have a right to appeal against any disciplinary action taken against them.
- Investigations will be conducted by either the Manager or the Registered Person.

The Staff Disciplinary Procedure operates as follows:

Informal Discussion

Before taking formal disciplinary action, the Manager will make every effort to resolve the matter by informal discussions with parties concerned. Only where this fails to bring about satisfactory improvement or outcomes will disciplinary procedures be formally implemented.

Formal Verbal Warning

Once a formal warning has been given by the Manager, the member of staff in question will be notified of this and given an explanation for the warning. A brief note of the warning will be kept on the Nursery's records. This will be disregarded after 3 months, subject to satisfactory conduct and/or performance. The employee will be informed of their right of appeal.

Written Warning

If, following a formal verbal warning, there is insufficient improvement in standards, or if a further incident occurs, a written warning will be issued. This will state the reason for the warning and that, if there is no satisfactory resolution after 6 months, a final written warning will be given. A copy of this first written warning will be kept in the Nursery's records, but will be disregarded after 12 months, subject to satisfactory conduct and/or performance.

Note that prior to a formal verbal warning, an investigation may take place. This will likely involve the Manager/Director in order to gather facts for the case. Employees will be given an invitation to investigation letter which will inform them of the investigator, the reason for investigation, the date of the investigation meeting and confidentiality reminders. The Manager/Director will usually conduct interviews or gather statements from witnesses as part of the investigation. Employees should ensure that the matter, and anything discussed at the investigation meeting should be kept confidential. Any breach of confidentiality may be considered to be a disciplinary matter. This is to ensure that the investigation can be conducted as fairly as possible.

Final Written Warning

If the member of staff's conduct or performance remains consistently unsatisfactory, or if the misconduct is sufficiently serious, a final written warning will be given making it clear that any further breach of the standards, or other serious misconduct, may result in the employee's dismissal. A copy of the warning will be kept in the Nursery's records, but will be disregarded after 12 months, subject to satisfactory conduct and/or performance. The warning will state clearly that dismissal will result from a failure to comply.

In certain exceptional circumstances, a member of staff may receive a Final Written Warning that will remain on the Nursery's records indefinitely. This course of action will follow when a member of staff has only avoided dismissal due to extenuating or mitigating circumstances.

A final written warning may be authorised by the Manager/Director. It will usually be appropriate for:

- misconduct where there is already an active written warning on the employee record,
- misconduct that we consider is sufficiently serious, to warrant a final written warning even though there are no active warnings on the employee record

Levels of authority

Nursery Managers (including officer in charge) have the authority to suspend an employee pending investigation. Only the Nursery Manager (including officer in charge) and higher management has the authority to dismiss an employee as set out above.

Alternatives to dismissal

In some cases, the nursery may, at the setting's discretion, consider alternatives to dismissal. These must be authorised by the Director and will usually be accompanied by a final written warning. Examples include:

- Demotion/Loss of seniority
- Change to job role
- A period of suspension without pay
- Loss of additional hours/overtime.

Gross Misconduct

In the case of gross misconduct, the nursery reserves the right to dismiss an employee without notice (or payment in lieu of notice) if, after investigation and a hearing, the management are satisfied that there is sufficient justification for so doing.

Examples of what would constitute a gross misconduct offence include:

- Failure to inform the employer of a disqualification, either personally or a person living in the same household as the registered provider, or a person employed in that household
- Theft or the unauthorised possession of property belonging to the nursery, its employees or customers
- Assault on any employee or persons associated with the nursery
- Breach of confidence i.e. the divulging of confidential information relating to the nursery, its employees or clients
- Dishonesty, including the use of any funds, expenses or allowances for any other purpose than that for which they have been delegated by the nursery
- Being under the influence of drugs or alcohol whilst on duty
- Serious or persistent breaches of safety rules
- Fraud including falsification of work records and expense claims
- Signing/clocking in or out for another employee
- Physical assault/punishment or abuse towards a child e.g. hitting a child in chastisement or harsh disciplinary actions and/or threatening the use of corporal punishment which could adversely affect a child's well-being
- Discrimination/harassment in any way against a child/person
- Persistent failure to follow nursery documentary systems and procedures
- Unauthorised absence from work/unacceptable attendance levels
- Obscene language or other offensive behaviour
- Negligence in the performance of the employee duties.

While the alleged incident of gross misconduct is being investigated, the individual concerned is likely to be suspended, during which time normal pay levels will prevail. Such suspension is not to be regarded as a form of disciplinary action and will be for as short a period as possible. Any decision to dismiss will be taken only after a full investigation.

If the staff member has been found to have committed an act of gross misconduct, they will be dismissed without notice.

Examples of misconduct

Examples of what would constitute a misconduct offence include:

- Minor breaches of our policies including the Sickness Absence Policy, Mobile Phone, Smartwatches and Social Networking Policy, and Health and Safety Policies
- Minor breaches of the employee contract
- Minor damage to, or unauthorised use of nursery property
- Poor timekeeping
- Time-wasting
- Refusal to follow instructions
- Excessive use of our telephones for personal calls
- Excessive personal email or internet usage
- Smoking in no smoking areas.

N.B. Some of the misconduct offences above may, dependent on the circumstances and having followed a detailed investigation, also be classed as gross misconduct offences.

As an organisation we take the health and wellbeing of staff and children seriously. As such, we would expect all members of staff working within the setting to abide by any government recommendations, laws and guidelines set for example rules on social distancing whether at work or in their private lives. Any breaches of government guidelines will be dealt with in accordance with our disciplinary procedures and may also be treated as misconduct.

Allegations against Staff

All staff are advised to minimise time spent alone with children and be aware of the potential risks in doing so (for further details refer to the Child Protection policy).

If an allegation of abuse has been made against a member of staff, the Manager will follow the procedures of the Child Protection policy

If an allegation of abuse is made against the Manager, then another designated member of staff will report the matter directly to the Registered Person, local Social Services department and Ofsted.

Appeals

Staff wishing to appeal against a disciplinary decision, must do so in writing and within 10 working days of the decision being communicated. Appeals will be dealt with as quickly as possible and within at least a further 15 working days. If possible, the Registered Person, or a senior member of staff who was not involved in the original disciplinary action will hear the appeal and impartially adjudicate the case.

At all stages of the procedure, the right to appeal will be confirmed as part of the warning, suspension or dismissal letter.

Anti-Bribery Policy

Legislation

The Bribery Act 2010 creates an offence which can be committed by an organisation which fails to prevent persons associated with them from committing bribery on its behalf but only if that person performs services for you in business. It is unlikely that the organisation will be liable for the actions of someone who simply supplies goods to you.

There is full defence if it can be shown that there are adequate procedures and risk assessments in place to prevent bribery.

At Stepping Stones Nursery we have adopted this policy to ensure that we have adequate procedures in place that are proportionate to the bribery risks we face.

It is our policy to conduct all of our business in an honest and ethical manner. We take a zero-tolerance approach to bribery and corruption and are committed to acting professionally, fairly and with integrity in all our dealings wherever we operate. We are also committed to implementing and enforcing effective systems to counter bribery.

What is a bribe?

A bribe is a financial or other advantage offered or given:

- to anyone to persuade them to or reward them for performing their duties improperly or;
- to any public official with the intention of influencing the official in the performance of his/her duties.

Gifts and hospitality

A 'gift' is defined as any item, cash, goods, or any service which is offered for personal benefit at a cost, or no cost, that is less than its commercial value.

You should consider the following if a gift is offered:

- Whether it is appropriate to accept it:
- Decline gifts unless to do so would cause serious embarrassment; and
- Discuss the position with the manager or owner if the gift clearly has a value in excess of £25

Parents/carers may wish to thank nursery staff for looking after their children with Christmas gifts or gifts when the child moves on from a particular room or leaves the nursery. This is perfectly understandable. Each staff member is reasonable for deciding if this gift is appropriate to accept and if it should be shared with the wider team. If in any doubt staff should discuss this with the nursery manager.

The nursery will not accept gifts from service providers. This may be deemed as a bribe to maintain a contract. The nursery will remain transparent and open at all times. Any gifts received deemed doubtful will be recorded in the central gift register under the nursery anti-bribery and corruption procedures.