

Disciplinary and Grievance Policy

1. Purpose and Scope This policy outlines the standards of conduct expected from all employees and the procedures the Company will follow when employee conduct or performance falls below expectations. It also describes how employees can raise grievances concerning their employment. This policy applies to all employees regardless of position or length of service and is in line with the Employment Rights Act 1996, the Equality Act 2010, and the ACAS Code of Practice.

2. Disciplinary Policy

2.1 Principles

- The aim is to encourage improvement and ensure fairness and consistency, not to punish.
- Disciplinary procedures will be applied reasonably, taking into account the circumstances, employee history, and severity of the matter.
- No disciplinary action will be taken without a fair investigation and a formal hearing.
- Employees will have the right to be accompanied by a fellow employee or a certified trade union representative at all formal disciplinary hearings.
- Employees will have the right to appeal any formal disciplinary decision.

2.2 General Disciplinary Rules While not exhaustive, the following examples of unacceptable conduct include but are not limited to:

- Breaches of company policies and procedures
- Failure to meet performance standards
- Unsafe behaviour or breach of health and safety regulations

2.3 Examples of Misconduct and Unsatisfactory Conduct Examples include:

- Breach of health and safety regulations
- Smoking in prohibited areas
- Consumption of alcohol on Company premises without authorisation
- Persistent lateness or absenteeism
- Rude, harassing, or bullying behaviour
- Misuse of Company time or resources
- Failure to follow reasonable instructions
- Negligent damage or unauthorised use of Company property
- Failure to report incidents or damage
- Driving-related infractions where driving is a job requirement

2.4 Serious Misconduct These are significant breaches that may justify a final written warning or dismissal if repeated. Examples include:

- Gross negligence
- Reckless behaviour with mitigating factors

2.5 Gross Misconduct Gross misconduct is conduct so serious it may justify summary dismissal (i.e., dismissal without notice), following a fair investigation and hearing. Examples include:

- Theft or fraud
- Acts of violence or bullying
- Wilful property damage
- Serious discrimination or harassment
- Possession or use of illegal drugs at work
- Health and safety breaches endangering others

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2.6 Disciplinary Procedure Framework

Type of Offence	1st Occasion	2nd Occasion	3rd Occasion	4th Occasion
Unsatisfactory Conduct	Formal verbal warning	Written warning	Final written warning	Dismissal
Misconduct	Written warning	Final written warning	Dismissal	
Serious Misconduct	Final written warning	Dismissal		
Gross Misconduct	Dismissal (following investigation and hearing)			

Note: The Company may move to a later stage depending on the nature of the offence and employee's prior conduct.

2.7 Authority Levels

- All disciplinary sanctions will be administered by a Director or an authorised senior manager:
 - Formal verbal warning – Director or authorised senior manager
 - Written warning – Director or authorised senior manager
 - Final written warning – Director
 - Dismissal – Director

2.8 Validity Period of Warnings

- Formal verbal warning – expires after 6 months
- Written warning – expires after 12 months
- Final written warning – expires after 12 months

2.9 Additional Disciplinary Measures

- In exceptional cases, demotion may be considered as an alternative to dismissal (only where permitted by contract or with employee agreement).
- Suspension pending investigation will be on full pay and for as short a period as possible.
- Employees have the right to appeal any disciplinary outcome.

3. Disciplinary and Capability Appeals Procedure

- Employees may appeal against any disciplinary or capability decision.
- Appeals should be submitted in writing to the person specified in the employee's Statement of Main Terms, stating the grounds (e.g., severity, factual errors, or procedural concerns).
- Appeals will be heard by someone not previously involved.
- Appeal hearings will be arranged promptly and the outcome communicated in writing within five working days.
- Employees have the right to be accompanied by a fellow employee or trade union representative.

4. Grievance Policy

4.1 Purpose To provide a framework for employees to raise concerns regarding their work or treatment in a fair and structured manner.

4.2 Informal Resolution Employees are encouraged to raise concerns informally with their line manager where appropriate.

4.3 Formal Grievance Procedure

1. Submit a grievance in writing to the person specified in your Statement of Main Terms.
2. A meeting will be arranged within 5–10 working days to discuss the issue.
3. A written outcome will be provided normally within 10 working days.

4.4 Grievance Appeals

1. Submit an appeal within five working days to a Director.

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2. A further meeting will be held, ideally with a more senior manager.
3. A final written decision will be issued within 10 working days.

4.5 Right to be Accompanied Employees have the right to be accompanied at all stages of the formal grievance process by a colleague or trade union representative.

5. Policy Review This policy will be reviewed annually or sooner if required to reflect changes in legislation or company practices.

Approved

Managing Director



CAPITAL SHIELD SECURITY LTD

This policy is reviewed on 01/01/2026