



## DISCIPLINE AND GRIEVANCE POLICY

High standards are expected of Waller Associates Limited employees that uphold our company vision and core values with individual standards defined within annual objective and appraisal meetings.

Should grievance and discipline issues arise within the workplace these are generally best resolved informally and can usually be quickly and confidentially addressed by giving advice, coaching and/or additional training.

If informal action does not bring about an improvement or the misconduct is considered too important to be minor then formal action as listed below will be needed depending on the circumstances of the particular case.

### Discipline

When a discipline issue occurs within the workplace:

- **Issues will be raised promptly** without unreasonable delay of meetings, decisions or confirmation of those decisions and will be handled consistently.
- **Facts will be established** by carrying out necessary investigations such as investigatory meetings or collation of evidence.
- **Employees will be notified of any disciplinary case in writing** including evidence about the alleged misconduct or poor performance and its possible consequences to allow employees to answer the case at a disciplinary meeting. This will also give details of time and venue for the disciplinary meeting and the right to be accompanied at the meeting.
- **A disciplinary meeting to discuss the problem** will be held without unreasonable delay whilst allowing the employee reasonable time to prepare their case.
- **Employees may be accompanied** at the meeting by a fellow worker, or an official employed by a trade union. This statutory right must be reasonably requested. The companion will be allowed to address the hearing, sum up and respond on behalf of the employee if required by the employee. This right is applicable where the disciplinary meeting could result in a formal warning being issued; or the taking of some other disciplinary action: or the confirmation of a warning or some other disciplinary action.
- **Action resulting from the meeting will be informed in writing.** In the event of confirmed misconduct or serious unsatisfactory performance this will usually result in a written warning. This will set out the nature of misconduct or poor performance and the change in behaviour or improvement required with timescales. The consequences of failure to improve will also be advised. A further act of misconduct or failure to improve performance within a set period will normally result in a final written warning. Where an employee is persistently unable or unwilling to attend a disciplinary meeting without good cause a decision will be made based on the evidence available.
- **Gross misconduct or serious unsatisfactory performance may result in a final written warning or dismissal** without notice for a first offence.



[www.wallerservices.com](http://www.wallerservices.com)  
email: [sales@wallerservices.com](mailto:sales@wallerservices.com)



INVESTOR IN PEOPLE

- Gross misconduct includes the following:
  - Theft or unauthorized possession of company or worker's property
  - Fraud, deceit, dishonesty or deliberate falsification of records
  - Physical violence
  - Bullying or harassment (including that based on sex, race, disability, gender reassignment, religion, religious belief, sexual orientation or age)
  - Deliberate damage to property
  - Insubordination, including failure to follow a reasonable request from a more senior colleague
  - Misuse of Company's property (including vehicles, telephone and plant) or name
  - Bringing the Company into disrepute
  - Consumption, acquisition or provision of illegal substances on Company or client premises
  - Incapability whilst on duty brought on by alcohol, illegal drugs or other harmful substances
  - Negligence which causes or might cause unacceptable loss, damage or injury
  - Conduct of any kind which endangers the health and safety of others
  - Breach of confidence (subject to the Public Interest Disclosure Act 1998)
  - Failure to complete compulsory training courses, such as Health and Safety
  - Failure to follow any regulatory requirements of which you have been made aware of or which you would be reasonably expected to be aware

**The Right of Appeal** exists where an employee feels that the disciplinary action taken against them is wrong or unjust. The grounds for appeal must be made in writing and a meeting will be scheduled to hear the appeal without unreasonable delay at an agreed place and time. You may be accompanied at an appeal hearing. The outcome will be informed in writing as soon as possible.

### Grievances

A grievance is defined as a problem or concern about your work, working conditions or relationships with colleagues that you wish to discuss with management. When a grievance occurs within the workplace that cannot be resolved informally the process below will be followed:

- **Advise of the nature of the grievance** formally in writing without reasonable delay if it is not possible to resolve this informally.
- **A formal meeting to discuss the grievance** will be arranged without unreasonable delay. Any necessary investigation will take place prior to the meeting.
- **Employees may be accompanied** at the meeting by a fellow worker, or an official employed by a trade union. This statutory right must be reasonably requested. The companion will be allowed to address the hearing, sum up and respond on behalf of the employee if required by the employee.
- **Action resulting from the meeting will be informed in writing** setting out the action that will be taken to resolve the grievance.
- **The Right to appeal** exists without unreasonable delay at a time and place notified in advance. Every effort will be made for the appeal to be held by an impartial party. You may be accompanied at an appeal hearing. The outcome will be informed in writing as soon as possible.

This policy exists to ensure to fairness and transparency for the treatment of disciplinary and grievance situations in the workplace.



S P WALLER  
Director  
July 2011