



Aquatic Control Engineering

Disciplinary and Grievance Policy & Procedure

Date Reviewed: 06.07.2026

Next Scheduled Review: 06.07.2027

Purpose and Scope

This policy outlines Aquatic Control Engineering's approach to managing disciplinary and grievance matters in accordance with the ACAS Code of Practice. It ensures all employees are treated fairly, consistently, and promptly, and that issues are resolved at the lowest appropriate level.

This policy applies to all employees of Aquatic Control Engineering.

For the avoidance of doubt, all suppliers and subcontractors working in conjunction with Aquatic Control Engineering are adhering to specific service level arrangements, commercial terms or specific contractual terms.

Principles

- All concerns will be handled promptly, fairly, and consistently.
- No disciplinary action will be taken until a full and fair investigation has been completed.
- Employees have the right to be accompanied at all formal disciplinary and grievance meetings by a fellow employee or trade union representative.
- Confidentiality will be maintained throughout all processes.
- Reasonable adjustments will be made for employees with disabilities or additional needs.
- Records will be kept securely and in line with GDPR requirements.

Informal Resolution

Where appropriate, managers will attempt to resolve issues informally through discussion, coaching, or mediation. Informal action does not form part of the formal disciplinary process. The company has a Whistleblowing and Open Door Policy.

Investigation Process

Before any formal action is taken, an investigation will be conducted to establish the facts. This may involve:

- Interviews with the employee and witnesses
- Reviewing documents, CCTV, or digital evidence
- Gathering written statements

Investigations will be conducted by the Head of People or an appointed manager. Employees may be asked to attend an investigatory meeting; this is not a disciplinary meeting and there is no statutory right to be accompanied, though this may be allowed at the company's discretion.

Suspension

Suspension may be considered in cases of alleged gross misconduct or where it is necessary to protect the integrity of the investigation. Suspension:

- Is not a disciplinary sanction
- Will be on full pay
- Will be kept as short as possible and reviewed regularly
- Will be confirmed in writing

Employees must not contact colleagues or enter company premises during suspension unless authorised.

Disciplinary Procedure

Aquatic Control Engineering is committed to ensuring that all disciplinary matters are managed fairly, consistently, and in accordance with the ACAS Code of Practice. The disciplinary procedure is designed to address concerns relating to conduct or behaviour that falls below the standards expected of employees.

1 Notification of Allegations

Where formal disciplinary action is being considered, the employee will receive a written notification outlining:

- The specific allegations being made
- The evidence gathered during the investigation
- The potential outcomes of the disciplinary hearing
- The date, time, and location of the hearing
- Their statutory right to be accompanied by a fellow employee or trade union representative

The employee will be provided with reasonable notice to prepare for the hearing and will receive copies of all relevant documentation.

2 Conducting the Disciplinary Hearing

The disciplinary hearing will be chaired by an appropriate manager who has not been involved in the investigation. A representative from HR may also attend to support the process and ensure procedural fairness.

During the hearing, the employee will be given the opportunity to:

- Respond fully to the allegations
- Present evidence or mitigating circumstances
- Call witnesses, where appropriate
- Ask questions and challenge evidence presented

The chairperson may adjourn the hearing if further investigation is required.

3 Decision Making

Following the hearing, the chairperson will consider all evidence presented before reaching a decision. Decisions will be based on the balance of probabilities and will take into account:

- The seriousness of the misconduct
- Any previous warnings
- The employee's length of service and overall record
- Any mitigating factors

The outcome will be confirmed in writing, including the rationale for the decision and details of the employee's right to appeal.

4 Disciplinary Outcomes

Possible outcomes include:

- No formal action
- Informal management guidance
- Verbal warning
- Written warning
- Final written warning
- Demotion or transfer
- Dismissal (with notice or summary dismissal for gross misconduct)

Warnings will remain active for the following periods:

- Written warning: 6 months
- Final written warning: 12 months

Expired warnings may be retained on file for record-keeping purposes but will not be used in future disciplinary decisions.

5 Summary Dismissal

In cases of gross misconduct, the Company reserves the right to dismiss the employee without notice or payment in lieu of notice. Summary dismissal will only occur following a full investigation and a formal disciplinary hearing.

6 Right to Appeal

Employees have the right to appeal any disciplinary decision. Appeals must be submitted in writing within five working days of receiving the outcome. The appeal will be heard by a manager not previously involved in the case, ensuring impartiality.

Appeal outcomes may include:

- Upholding the original decision
- Overturning the decision
- Reducing the sanction
- Requesting further investigation

The appeal decision is final.

Gross Misconduct

Gross misconduct may result in summary dismissal. Examples include (but are not limited to):

- Theft or fraud
- Physical violence or threats
- Serious bullying or harassment
- Being under the influence of alcohol or illegal drugs at work
- Serious breach of confidentiality
- Criminal activity on company premises
- Gross insubordination

Appeals

Employees may appeal any disciplinary decision. Appeals must be submitted in writing within five working days. Appeals will be heard by a manager not previously involved in the case.

Possible appeal outcomes:

- Uphold the original decision
- Overturn the decision
- Reduce the sanction
- Request further investigation

The appeal decision is final.

Grievance Procedure

1 Informal Resolution

Employees should raise concerns informally with their manager where possible.

2 Formal Grievance

If informal resolution is not appropriate or successful, employees should submit a written grievance.

3 Grievance Meeting

Employees will be invited to a meeting to discuss the grievance. They have the right to be accompanied.

4 Outcome

A written outcome will be provided, including:

- Findings
- Any actions to be taken
- Right of appeal

5 Grievance Appeal

Employees may appeal within five working days. A further meeting will be held, and a final decision issued.

6 Overlapping Grievance and Disciplinary Cases

If an employee raises a grievance during a disciplinary process, the disciplinary may be paused if the grievance relates to:

- The manager handling the case
- Bias or discrimination
- The disciplinary process itself

Otherwise, both processes may run concurrently.

Confidentiality and Record Keeping

All records will be:

- Kept securely
- Retained in line with GDPR and company retention schedules
- Shared only with those who need to know

Wellbeing and employee support

Aquatic Control Engineering understands the employee's wellbeing and mental health is important and this situation can be very stressful.

The Company is mindful of all employees during every stage of the Disciplinary and Grievance procedure and will look out for the wellbeing of all involved whilst also offering support to all involved.

Support during these processes may be adjustments to meeting formats and locations of meetings, additional breaks given and signposting to external support services.

Signed:



Stephen Randall
Managing Director