

Disciplinary Policy

Pocket Money Adventures CIC | Version 1.1

Effective: 2 October 2026 | Review: 2 October 2027 or sooner on relevant change

Policy owner: Nathan Waldron, Director | Signatories: Nathan Waldron and Bernadette Houlton | Approved policy issue

Adopted by Pocket Money Adventures CIC on 2 October 2026.

Signed electronically: Nathan Waldron, Director and Designated Safeguarding Lead.

Signed electronically: Bernadette Houlton, Director and Deputy Designated Safeguarding Lead.

Typed electronic signatures in the established policy format.

Current operating requirements

Fair process and records

Apply the current Acas Code as applicable to employees and workers, with investigation, written allegations/evidence, a fair hearing, applicable accompaniment rights, reasoned outcome and independent appeal. Suspension is proportionate, reviewed and not automatic or a finding of guilt. Contractor contractual rights are considered separately. Warning expiry means no longer relied on for disciplinary escalation; it does not automatically require deleting every case record. Retention is justified by purpose, legal duties and holds, not permanent by default.

Detailed policy and procedures

Disciplinary Policy and Procedure

Registered office: 68 Nottingham Road, Eastwood, Nottingham, NG16 3NQ Company No. 16994988 • ICO Registration No. ZC124930 General contact: hello@pocketmoneyadventures.co.uk Safeguarding contact: safeguarding@pocketmoneyadventures.co.uk Data Protection contact: dpo@pocketmoneyadventures.co.uk Designated Safeguarding Lead: Nathan Waldron Deputy DSL: Bernadette Houlton

1. Purpose and scope

This policy sets out PMA's approach to managing conduct and performance issues in a fair, consistent, and proportionate manner. It applies to all directors, employees, contractors, and volunteers. The aim of this policy is to maintain good standards of conduct and to help individuals understand what is expected of them. PMA follows the ACAS Code of Practice on Disciplinary and Grievance Procedures 2015.

2. Principles

- Investigations are conducted without prejudice and with an open mind
- Individuals will be informed of concerns before any formal meeting takes place
- Individuals have the right to be accompanied at any formal stage by a colleague, trade union representative, or other support person
- No disciplinary action will be taken without a reasonable investigation

- Disciplinary decisions are made without discrimination or bias
- Individuals have the right to appeal a disciplinary decision

3. Informal resolution

Minor conduct or performance issues will first be addressed informally by the Director through a private conversation. The purpose of this conversation is to clarify the issue, understand the individual's perspective, and find a resolution. A note of the informal discussion will be kept. This stage aims to resolve issues quickly, collaboratively, and without formal procedures.

4. Formal disciplinary procedure

If informal resolution fails or the conduct is more serious, the formal disciplinary procedure will be followed:

Step 1: Written notification

The individual is given written notice of the concern, the evidence supporting the concern, and an invitation to a formal meeting. The letter will specify the alleged breach of conduct, the potential consequences, and the right to be accompanied.

Step 2: Formal disciplinary meeting

A formal meeting is held with the Director, or with a person appointed by the Board if the Director is involved in the matter. The individual has the right to be accompanied. At the meeting, the allegation will be presented, evidence will be reviewed, and the individual will have the opportunity to respond and present their case.

Step 3: Disciplinary decision

Following the meeting, the Director will consider the evidence and reach a decision on the appropriate action. The individual will be notified in writing within five working days of the decision and the reasons for it.

Step 4: Appeal

The individual may appeal the disciplinary decision within ten working days. The appeal will be heard by a different director or by an independent person appointed by the Board. The appeal decision is final.

5. Disciplinary outcomes

The following outcomes may be applied, depending on the severity of the conduct and the individual's disciplinary history:

- No action required
- Informal guidance
- Written warning (first)
- Written warning (final)
- Dismissal or termination of engagement (with or without notice depending on circumstances)

6. Gross misconduct

The following conduct is classified as gross misconduct. Gross misconduct warrants immediate suspension pending investigation and may result in termination of employment or engagement without notice:

- Theft, fraud, or dishonesty
- Violence, threatening behaviour, or aggression
- Serious breach of health and safety procedures

- Serious breach of safeguarding policy or procedures relating to children or adults at risk
- Unauthorised disclosure of confidential information
- Discrimination, harassment, or bullying
- Bringing PMA into serious disrepute
- Criminal conviction rendering the individual unsuitable for their role
- Serious breach of data protection obligations

7. Safeguarding and DBS considerations

Where a disciplinary matter involves safeguarding concerns about a child or adult at risk, the Safeguarding Policy and the applicable child LADO or adult safeguarding/positions-of-trust referral process takes precedence and will run concurrently with the disciplinary process. If a safeguarding concern arises, PMA will make an immediate referral to the relevant Local Authority and will

cooperate fully with any investigation. The Deputy DSL (Bernadette Houlton) assumes operational lead if the concern involves the Director.

8. Records

Written warnings are kept on file for a specified period after which they are disregarded. A first written warning is removed from the individual's file after 12 months of satisfactory conduct. A final written warning is removed after 24 months of satisfactory conduct. Gross misconduct and dismissal records follow a justified retention schedule, normally reviewed against six years after exit or case closure and longer only where a documented legal or safeguarding reason requires.

9. Application to contractors

This policy applies to contractors with the following modifications: termination of the services agreement replaces dismissal; notice periods are those specified in the contractor's services agreement; and the contractor's right to be accompanied applies in the same way as for employees.

10. Linked policies and references

- Children and Adult Safeguarding Policy v1.7
- Safeguarding Handbook v1.5
- Grievance Policy v1.1
- Whistleblowing Policy v1.2
- Anti-Bribery and Gifts Policy v1.1
- Anti-Money Laundering Policy v1.1

Issue control: current approved issue dated 2 October 2026. Earlier issues are archived. Policy approval does not complete host agreements, individual acknowledgements or venue checks.