
Disciplinary Policy & Procedure

September 2026

Disciplinary Policy & Procedures

Scope

This policy is applicable to all employees of Danny Sullivan Group Limited (DSG) and its subsidiaries (Danny Sullivan & Sons Ltd, Diamond Construction & Engineering Recruitment Limited, and Danny Sullivan Group Academy Limited)

It does not apply to agency workers, agents, consultants, self-employed contractors, volunteers or interns unless otherwise specified in their contracts.

This policy does not form part of your contractual terms and conditions of employment, and DSG reserves the right to amend this policy at any time.

Overview

The aim of the Disciplinary Policy and Procedures is to help and encourage employees to improve, achieve and maintain standards of conduct, attendance and job performance.

It also enables management to deal effectively with those employees who do not comply with the Company standards of conduct, attendance and performance in the workplace.

Equally, the policy and procedure are designed in a manner which is non-discriminatory and which is fair, consistent and effective. It must also be applied in a timely manner and without undue delay.

Introduction

1) It is necessary to have a minimum number of rules in the interests of the whole organisation.

2) The rules set standards of performance and behaviour whilst the procedures are designed to help promote fairness and order in the treatment of individuals. It is our aim that the rules and procedures should emphasise and encourage improvement in the conduct of individuals, where they are failing to meet the required standards, and not be seen merely as a means of punishment. We reserve the right to amend these

rules and procedures where appropriate.

3) Every effort will be made to ensure that any action taken under this procedure is fair, with you being given the opportunity to state your case and appeal against any decision that you consider to be unjust.

4) The following rules and procedures should ensure that:

- a) the correct procedure is used when requiring you to attend a disciplinary hearing;
- b) you are fully aware of the standards of performance, action and behaviour required of you;
- c) disciplinary action, where necessary, is taken speedily and in a fair, uniform and consistent manner;
- d) you will only be disciplined after careful investigation of the facts and the opportunity to present your side of the case. On some occasions we may implement temporary measures in order that an uninterrupted investigation can take place. These measures may include, for example:
 - working in a different department, or from a different office or site
 - a change to your usual duties
 - working with different customers/clients, or away from customers/clients
 - working from home
 - suspension on contractual basic rate pay.

This list is not exhaustive, and we may implement other measures which are appropriate to the circumstances. None of these measures are to be regarded as disciplinary action or a penalty of any kind.

Where an employee on temporary suspension tells us that they are sick, the employee will be considered to be on sickness absence, rather than suspension, until the employee notifies us that they are no longer sick, at which point suspension will resume where appropriate;

- e) other than for an "off the record" informal reprimand, you have the right to be accompanied by either a fellow DSG employee or a trade union representative at all stages of the formal disciplinary process;
- g) if you are disciplined, you will receive an explanation of the penalty imposed and you will have the right to appeal against the finding and the penalty.

Disciplinary Rules

It is not practicable to specify all disciplinary rules or offences that may result in disciplinary action, as they may vary depending on the nature of the work. In addition to the specific examples of unsatisfactory conduct, misconduct and gross misconduct shown in this handbook, a breach of other specific conditions, procedures, rules etc. that are contained within this handbook or that have otherwise been made known to you, will also result in this procedure being used to deal with such matters.

Rules Covering Unsatisfactory Conduct and Misconduct

These are examples only and not an exhaustive list.

You will be liable to disciplinary action if you are found to have acted in any of the following ways:

- a) breach of Company regulations, e.g. financial regulations, health and safety, confidentiality of personal records;
- b) smoking in designated non-smoking areas;
- c) incapability as a result of being under the influence of alcohol or illegal drugs at work;
- d) absenteeism and lateness, e.g. frequent late arrival at work; failure to comply with requirements to notify sickness absence; unauthorised absence from the workplace;
- e) unsatisfactory standards or output of work;
- f) unreasonable or unacceptable conduct, e.g. abusive language or behaviour;
- g) rudeness towards clients, members of the public or other employees, objectionable or insulting behaviour, harassment, bullying or bad language;
- h) threatening violence whilst at work to a colleague, customer, supplier or members of the public;
- i) failure to devote the whole of your time, attention and abilities to our business and its affairs during your normal working hours;
- j) abuse of the email, social media and/or other online systems
- k) failure to carry out all reasonable instructions or follow our rules and procedures;
- l) failure to carry out the normal duties of the post;
- m) unauthorised use or negligent damage or loss of our property;
- n) misuse of facilities, loss, damage or misuse of Company property or equipment through wilfulness, negligence or carelessness;
- o) failure to report immediately any damage to property or premises caused by you;
- p) use of our vehicles without approval or the private use of our commercial vehicles without authorisation;

- q) failure to report any incident whilst driving our vehicles, whether or not personal injury or vehicle damage occurs;
- r) driving whilst using a mobile phone;
- s) if your work involves driving, failure to report immediately any type of driving conviction, or any summons which may lead to your conviction;
- t) carrying unauthorised goods or passengers in our commercial vehicles or the use of our vehicles for personal gain; and
- u) loss of driving licence where driving on public roads forms an essential part of the duties of the post.
- v) breach of Client policies which are also applicable to DSG employees
- w) accepting significant gifts (i.e. a series of presents) or hospitality from contractors, customer, suppliers or members of the public without authorisation;
- x) (if you are an apprentice) failure to attend an examination or assessment; and
- y) (if you are an apprentice) failure to pass an examination or assessment.

Serious Misconduct

- 1) Where one of the unsatisfactory conduct or misconduct rules has been broken and if, upon investigation, it is shown to be due to your extreme carelessness or has a serious or substantial effect upon our operation or reputation, you may be issued with a final written warning in the first instance.
- 2) You may receive a final written warning as the first course of action, if, in an alleged gross misconduct disciplinary matter, upon investigation, there is shown to be some level of mitigation resulting in it being treated as an offence just short of dismissal.

Rules Covering Gross Misconduct

Occurrences of gross misconduct are very rare because the penalty is dismissal without notice and without any previous warning being issued. It is not possible to provide an exhaustive list of examples of gross misconduct. However, any behaviour or negligence resulting in a fundamental breach of contractual terms that irrevocably destroys the trust and confidence necessary to continue the employment relationship will constitute gross misconduct.

Examples of offences that will normally be deemed as gross misconduct include

serious instances of:

- a) possession, or being under the influence, of drugs* at work and/or testing positive for drug use in a random sample drug test in line with our policy; and

*For this purpose, the term 'drugs' is used to describe **both** illegal drugs and other psychoactive (mind-altering) substances which may or may not be illegal

- b) theft or misappropriation or malicious damage to property of the Company, fellow employees, customers or suppliers;
- c) falsifying records or expenses claims which result in gain to the individual, e.g. registers, time sheets, car expenses, overtime, flexitime, sickness claims;
- d) physical violence towards colleagues, customers, suppliers or other members of the public;
- e) serious incapability as a result of being under the influence of alcohol or illegal drugs at work;
- f) discriminatory behaviour relating to sexual orientation, race, gender, disability, religion or belief against other employees, customers, suppliers or members of the public. The Company operates a zero-tolerance approach;
- g) serious or deliberate unauthorised absence from work, including absence without notification or reasonable explanation, or deliberately providing false or misleading information in relation to absence;
- h) fraudulent or false claims of harassment or victimisation;
- i) bribing or attempting to bribe another individual, or personally taking or knowingly allowing another person to take a bribe;
- j) serious breach of Company regulations, e.g. financial regulations;
- k) serious negligence which causes substantial loss, damage or injury;
- l) non-compliance with health and safety rules and regulations where it endangers the well-being of the employee or others;
- m) deliberate damage to property;
- n) unauthorised use of Company vehicles, materials, equipment, facilities or labour for private purposes and/or personal gain;
- o) unauthorised deliberate access to information held by the Company whether held on electronic or manual systems;

- p) unauthorised disclosure of information classified as confidential by the Company;
- q) falsification or omission of information for personal gain, for example, on an application form, medical questionnaire, etc.;
- r) downloading inappropriate information from the internet, e.g. pornography;
- s) victimisation or bullying (either in person or via email, etc.); and
- t) improper use of position as an employee for personal gain.
- u) deliberate concealment or failure to disclose a conflict of interest in line with the Conflict of interest policy

(The above examples are illustrative and do not form an exhaustive list.)

Criminal Offences

Disciplinary action should not be taken automatically against an employee because

he/she has been arrested, charged or convicted of a criminal offence, as the matters may not be work-related and may have no relevance or impact within the workplace.

Each case must be carefully considered by managers according to the circumstances.

Disciplinary action may be considered in circumstances where, for example, the employee has been convicted and the nature of the conviction or sentence or both:

- Impairs the business or reputation of the Company and/or;
- Makes the individual unsuitable for continued employment given the nature of the business of the Company or the employee's role;
- Would be unacceptable to other employees.

Should disciplinary action be progressed, the normal investigative policy and procedure of investigation is to be followed to address the issue, as described in the Policy and Procedure.

Where an employee is unable to attend work because they are under arrest or remanded in custody, disciplinary action should not be commenced as the employee may ultimately be innocent. The position should be addressed by consideration of special or unpaid leave until the position is clarified.

Suspension

Suspension is not in itself regarded as a disciplinary action and does not involve

any prejudgement or imply that any misconduct has taken place. It is a neutral act to enable an investigation of the allegations made.

A short period of suspension with full pay may be helpful or necessary, although it should only be imposed after careful consideration. It should also be kept under review and brought to an end as quickly as possible allowing for full investigation.

In cases of alleged gross misconduct or when other circumstances dictate that it is inappropriate for the employee to remain at the normal place of work, the relevant

manager will consider whether suspension is appropriate in the circumstances. Where it is found there is a case to answer, a formal disciplinary meeting will be convened. Examples of circumstances that may warrant suspension include, fighting or violence between colleagues, alleged criminal offences or sensitive situations, e.g. alleged sexual assault.

An employee suspended from duty will be notified of the suspension and the reason for this action. Whilst on suspension, an employee must remain contactable and must be available to attend for any investigation/disciplinary meeting during normal

working hours, unless mutually agreed otherwise. An employee who is suspended from duty shall, throughout the period of suspension, continue to receive full pay.

Whilst an employee is on suspension, they should not attempt to contact colleagues connected to the case with the exception of their Trade Union representative, work colleague (who is to accompany them at any subsequent meeting, if proven that there is a case to answer) or their line manager.

Disciplinary Procedure

The following sanctions may be applied as follows:

Level of Warning	Length of issue	Possible Sanction
Verbal Warning		In cases of an initial or minor issue, the verbal warning is appropriate
First Written Warning	A first written warning will normally be valid for 6 months from the date of the disciplinary meeting	If the issue is more serious or if there is still an active Verbal Warning in place and insufficient improvement has been made or further misconduct occurs, a First Written Warning will normally be issued.
Final Written Warning	A final written warning will normally be valid for 12 months from the date of the disciplinary meeting. In exceptional cases validity may be longer.	If the issue is even more serious or if there is still an active First Written Warning in place and insufficient improvement has been made or further misconduct occurs, a Final Written Warning will normally be issued.
Dismissal with Notice		If within 12 months of the issue of a

		Final Written Warning further misconduct occurs or insufficient improvement has been made, the employee will normally be dismissed with notice. The employee will be provided with written reasons for dismissal, the date on which the employment will terminate, their entitlement to pay, and the right of appeal. The Company reserves the right to make a payment in lieu of notice.
Summary Dismissal		Where behaviour or misconduct is sufficiently serious to constitute gross misconduct, the employee will normally be summarily dismissed - i.e. without notice. The employee will be provided with written reasons for dismissal, the date on which the employment will terminate and the right of appeal.

Expiry of warnings

A record of any disciplinary sanction will be placed on the employee's personal file. A sanction will be considered to be spent and the record removed from the file provided that the employee's conduct has been considered to be satisfactory throughout the period following the imposition of the sanction.

Dismissal

The decision to dismiss an employee may only be taken by a person designated by the Company to have such authority or the instruction of a person so designated. No dismissal may take place without consultation with and the involvement of Senior Manager.

Where dismissal occurs, whether with notice or summary, following the establishment of gross misconduct, the employee will be provided with a letter setting out the Company's decision. The letter, must give details of those present at the disciplinary meeting, excluding witnesses, details of the allegation(s) and the evidence presented, the terms of the decision to dismiss and the reasons and the date on which the employment will terminate and if a dismissal with notice, the notice period. In all cases, the right of appeal will be specified.

1) We retain discretion in respect of the disciplinary procedures to take account of your length of service and to vary the procedures accordingly. If you have a short

amount of service, eg less than 2 years, we reserve the right to not apply this

disciplinary process and full and you may not be in receipt of any warnings before dismissal.

2) If a disciplinary penalty is imposed it will be in line with the levels outlined above, which may encompass a formal verbal warning, written warning, final written warning, or dismissal, and full details will be given to you.

4) In all cases warnings will be issued for misconduct, irrespective of the precise matters concerned, and any further breach of the rules in relation to similar or entirely independent matters of misconduct will be treated as further disciplinary matters and allow the continuation of the disciplinary process through to dismissal if the warnings are not heeded.

Appeals

Any employee who receives a disciplinary warning, other sanction or notice of dismissal has the right of appeal. Appeals must be lodged in writing with Head Office (contact point to be specified in the letter of notification) within 5 working days of the date of the written notice of the sanction. This period may be extended only in exceptional circumstances. The notice of appeal must state the grounds of the appeal.

Where possible, appeals will be heard within 5 working days of the receipt of the notice of appeal by a more senior manager than the person taking the action at first instance.

Where possible, an appeal will be heard by a Director. Both parties to the appeal must provide a full written statement of the case including the grounds upon which the appeal is made/resisted together with copies of any documents to which reference will be made. All documents and the details of witnesses, if any must be notified to all parties, 5 working days before the hearing takes place.

The decision of the Appeal Hearing is final.

General Notes

1. If you are in a supervisory or Managerial position, then demotion to a lower status at the appropriate rate may be considered as an alternative to dismissal except in cases of gross misconduct. In exceptional circumstances, suspension from work without pay for up to five days as an alternative to dismissal (except dismissal for gross misconduct) may be considered by the person authorised to dismiss.
2. Gross misconduct offences will result in dismissal without notice.
3. You have the right to appeal against any disciplinary action.



A handwritten signature in black ink, appearing to read "RS", is positioned below the logo.

Russell Deards
General Counsel & Company Secretary
1 September 2026