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| Title: | Rotherham CCG – Grievance Policy and Procedure |
| Reference No: | To be applied upon ratification by AQuA then the Governing Body |
| Owner: | Chief Officer |
| Author: | HR Manager |
| First Issued On: | 19-9-13 |
| Latest Issue Date: | 28-10-13 |
| Operational Date: | |
| Review Date: | 31-3-14 |
| Consultation Process: | Operational executive, Staff organisation lead. |
| Ratified and Approved by: | |
| Distribution: | |
| Compliance: | Mandatory for all permanent and temporary employees of Rotherham CCG. |
| Equality & Diversity Statement: | In applying this policy, the Organisation will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation, in addition to offending background, trade union membership, or any other personal characteristic. |

Grievance Policy and Procedure

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| SUMMARY | |
| AUTHOR | |
| VERSION | |
| EFFECTIVE DATE | |
| APPLIES TO | |
| APPROVAL BODY | |
| RELATED DOCUMENTS | |
| REVIEW DATE | |

THIS POLICY HAS BEEN SUBJECT TO A FULL EQUALITY IMPACT ASSESSMENT

VERSION CONTROL SHEET

| Version | Date | Author | Status | Comment |
|----------------|-------------|---------------|---------------|----------------|
| Draft 1 | 11-9-13 | P Smith | Draft | |
| Draft2 | 28-10-13 | P Smith | Final | |
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1. POLICY STATEMENT

- 1.1 The Organisation recognises that an agreed and practical procedure for the settling of grievances can contribute significantly to promoting and maintaining good employment relations.
- 1.2 This policy applies to all employees and is in accordance with the Organisations policy relating to Equality and Diversity.
- 1.3 The purpose of this policy is to ensure that all grievances are resolved as quickly as possible and also, wherever practicable, at the level at which they arise without the fear of recrimination.
- 1.4 For clarity, the term grievance means a source of dissatisfaction to an individual regarding their employment or the application and/or interpretation of their terms and conditions of employment, including any policies. As an example, an employee may raise a grievance on any reasonable grounds relating to his/her employment, for example, new working practices, the way in which you have been treated by the organisation or managers acting on its behalf.
- 1.5 Any employee, or group of employees, who wishes to raise a grievance directly relating to their employment has the right to express that grievance. This policy and the supporting procedure provide the machinery for resolving a grievance as speedily as possible.

2. PRINCIPLES

- 2.1. Any matter raised under this policy will be dealt with promptly and confidentially
- 2.2. An employee has the right to be accompanied by their Trade Union representative or a work colleague at all formal stages of the procedure.
- 2.2 The manager will be supported by a Human Resources representative at every stage of the procedure
- 2.3 Wherever possible, normal working will continue throughout the grievance process until resolution has been reached. Where this is considered not possible, or there is disagreement, the matter should be referred to a HR Representative.
- 2.4 Complaints about any disciplinary action should be dealt with as an appeal under the disciplinary procedure.
- 2.5 Grievances raised by an employee whilst subject to disciplinary proceedings will usually be heard only when the disciplinary process has been completed. In instances where the grievance has bearing on the disciplinary proceedings, it can be raised as a relevant issue in the course of the proceedings and disciplinary proceedings may be suspended. Where an initial investigation into the complaint finds that the grievance and disciplinary cases are related it may be appropriate to deal with both matters concurrently. If the grievance complaint is found to have no bearing on the matters being investigated under the disciplinary process the disciplinary proceedings will continue.
- 2.6 Data is held and destroyed in accordance with provisions of the Data Protection Act 1998 and any Authority policy which derives from that Act.

- 2.7 The Organisation will ensure that all managers who may be involved in grievance matters are suitably trained and supported and have the necessary knowledge and skills required to carry out their role.
- 2.8 Where appropriate and practicable the working and management arrangements which applied before the grievance or dispute should operate until this procedure has been exhausted. If the time limits for exhausting the procedure are exceeded, the position will be jointly reviewed by the management and staff sides.

3. PROCEDURE

The procedure is detailed in PART 2

4. SUPPORT AND ADVICE

The Organisation encourages informal resolution of grievances, wherever possible, and as such there are other informal interventions available, for example Mediation. At any point either before raising a grievance or at any stage in this procedure an employee may wish to involve a Trade Union, HR representative or work colleague who will be able to provide help and advice.

5. SCHEME OF DELEGATION

Each policy will contain a scheme of delegation specific to the stages and actions associated to the policy. All Schemes will adopt the levels as outlined below therefore ensuring consistency throughout all policies and clarity within the organisation

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| Informal procedure | Line Manager or equivalent level manager from elsewhere within the organisation |
| Stage 2 - Formal Resolution | Line manager or equivalent level manager from elsewhere within the organisation or the line managers direct manager if the line manager has been previously involved or implicated |
| Appeal following Stage 2 – Formal Resolution | Line Managers manager or equivalent who has not previously been involved or implicated |

6. EQUALITY STATEMENT

In applying this policy, the Organisation will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation, in addition to offending background, trade union membership, or any other personal characteristic.

7. MONITORING AND REVIEW

- 7.1 The policy and procedure will be reviewed periodically by the Operational Executive in conjunction with Trade Union representatives. Where review is necessary due to legislative change, this will happen immediately.
- 7.2 The implementation of this policy will be audited on an annual basis by the Operational Executive.

PART 2 – PROCEDURE

1. Stage 1 – Informal Resolution

- 1.1 Any employee who wishes to express a grievance should first discuss the issue with their immediate line manager. This provides an opportunity for issues to be resolved without recourse to the formal procedure. If the individual feels unable to raise the issue with their line manager, they should speak to another manager within the department. Informal grievances should be handled promptly to prevent further issues arising.
- 1.2 Employees are encouraged to address issues informally wherever possible and are invited to consider alternative interventions. Dependant upon the nature of the grievance, examples of alternative interventions may include: Mediation, Coaching, and Mentoring. To understand more about what interventions may be beneficial the employee should discuss this with the HR manager or another manager within the organisation.

2. Stage 2 – Formal Resolution

- 2.1 Should the matter not be resolved informally at Stage 1, or where the issue is felt to be more serious, then the employee has the right to raise the matter formally. To do this, the employee should set out the details of the grievance and desired outcome in writing and send the written complaint to their line manager. Should they feel unable to do this, the grievance should be submitted to their manager's manager and/or the HR Manager.
- 2.2 Any manager receiving a formal grievance must act upon the matter promptly and must also notify the HR Manager.
- 2.3 Attempts must be made to resolve the matter informally, depending on the nature of the employee's complaint. However if the employee remains dissatisfied with the outcome they may insist on the matter proceeding to a full grievance hearing.
- 2.4 The manager dealing with the grievance must invite the employee to a formal meeting, to allow the employee to discuss their grievance. The employee must inform the employer of the basis for the grievance.
- 2.5 This meeting should be held as soon as possible, ideally within 5 working days of, but no later than 10 working days after receipt of the grievance. All parties must take all reasonable steps to attend this meeting. If this cannot be achieved, the reasons for delay are to be recorded. The timing and location of the meetings must be reasonable to all parties.
- 2.6 Wherever possible it is expected that resolutions will be presented at the meeting by the manager hearing the grievance. However it may be necessary to adjourn the meeting to further investigate the issues.
- 2.7 Where it is not possible to meet this timescale because further investigation is required, any extension to the deadlines set out in this procedure should, if possible, be agreed with the complainant. Reasons for the extensions must be recorded and an estimation of the revised timescale given.
- 2.8 The grievance will be fully investigated and the employee informed of any decision in writing within a further 10 working days of the meeting.

- 2.9 Parties to the grievance are required to take all reasonable steps to meet the timescales outlined. Where this is not possible, the parties must keep each other informed and proceed without delay.
- 2.10 All meetings will be conducted in a manner which enables both sides to put forward their cases. Where necessary, managers should seek advice from a HR Representative who will attend the meeting.
- 2.11 In cases where two or more employees raise a grievance on the same issue, this will be known as a "Collective Grievance". In such cases, an appropriate representative may set out details of the grievance in writing on behalf of the employees. An appropriate representative shall be defined as Trade Union Representative or a nominated employee representative.

3. Mediation

- 3.1 Mediation is a voluntary process and may be considered at any stage of this procedure to help resolve issues between individuals. It may be used in situations such as:
- dealing with conflict between colleagues or between a line manager and employee;
 - rebuilding relationships after a formal dispute has been resolved;
 - Addressing a range of issues including relationship breakdown, personality clashes, communication problems etc.
- 3.2 It should be noted that not all cases will be suitable for mediation and that both parties must be in agreement for it to go ahead.
- 3.3 Should mediation be considered an option, this should be discussed with the HR Manager who may suggest an independent mediator to take the matter forward.
- 3.4 The mediator is in charge of the process of seeking to resolve the issue but not the outcome, which will be agreed by the individuals.

4. APPEAL

- 4.1 If the employee considers that the grievance has not been satisfactorily resolved, then they must inform the employer that they wish to appeal against the grievance panel's decision. An appeal must be made in writing, stating the grounds on which the appeal is being made and received by the employer within 5 working days of the employee being informed of the decision. The appeal should be sent to the HR Manager.
- 4.2 Should the appeals procedure be invoked, the employee will be invited to an appeal hearing. The appeal meeting will be chaired by an appropriate manager in line with the scheme of delegation (see Appendix A). This meeting should take place as soon as possible but no later than 10 working days following receipt of the application to appeal. Where this is not possible, reasons for the delay are to be recorded and agreed.
- 4.3 The employee should be informed of the outcome of the appeal in writing within 5 working days of the appeal meeting taking place. There is no further right of appeal.
- 4.4 In the case of a collective grievance which has not been resolved at Appeal level and where the group of staff remains aggrieved, a referral to ACAS may be made. In the interests of resolving the issue(s) all parties will co-operate in any such conciliation process and any outcome will be mutually acceptable. Either party may seek arbitration as a final

means of resolving any grievance but arbitration will only be instigated by the agreement of all parties, with written terms of reference.

5. GRIEVANCE APPEAL PROCEDURE

Appeals will normally be heard by the line manager or a more senior manager to, the person(s) who were involved in the original investigation. All appeals will include a HR Representative.

The procedure for an appeal hearing is as follows:

1. The employee(s) will present their case first, explaining the outstanding issues that are unresolved from their perspective and call any witnesses.
2. The management side will then be able to ask any questions about the case the employee(s) have presented.
3. The appeal panel members will also have an opportunity to ask any questions.
4. The management side will then be asked to present their case to the panel, explaining the reasons for the action they have taken, including calling of any witnesses.
5. The employee side may then wish to ask the appellant any questions about their case.
6. The appeal panel members will also have the opportunity to ask any questions.
7. Both parties may call an adjournment with the agreement of the panel members.
8. Both parties will have the chance to sum up their case.
9. There will then be an adjournment when both sides will be asked to leave the room while the appeal panel consider the information they have heard and reach their decision.
10. The decision of the panel will be communicated to both parties verbally, following the adjournment wherever possible, and in any case will be confirmed later in writing (again to both parties), no later than 5 working days after the Appeal Hearing.

Equality Analysis Initial Assessment

Title of the change proposal or policy:

Grievance

Brief description of the proposal:

To ensure that the policy is fit for purpose, that the policy is legally compliant, complies with NHS LA Standards and takes account of best practice.
The policy should allow employees' to raise issues or concerns to be addressed formally through the organisations management structure.

Name(s) and role(s) of staff completing this assessment:

Name – Peter Smith

Name – Sarah Whittle

Date of assessment: 11th September 2013

Please answer the following questions in relation to the proposed change:

Will it affect employees, customers, and/or the public? Please state which.

Yes it will affect all employees.

Is it a major change affecting how a service or policy is delivered or accessed?

No

Will it have an effect on how other organisations operate in terms of equality?

No

If you conclude that there will not be a detrimental impact on any equality group, caused by the proposed change, please state how you have reached that conclusion:

No detrimental impact expected.

Please return a copy of the completed form to the Equality & Diversity Manager