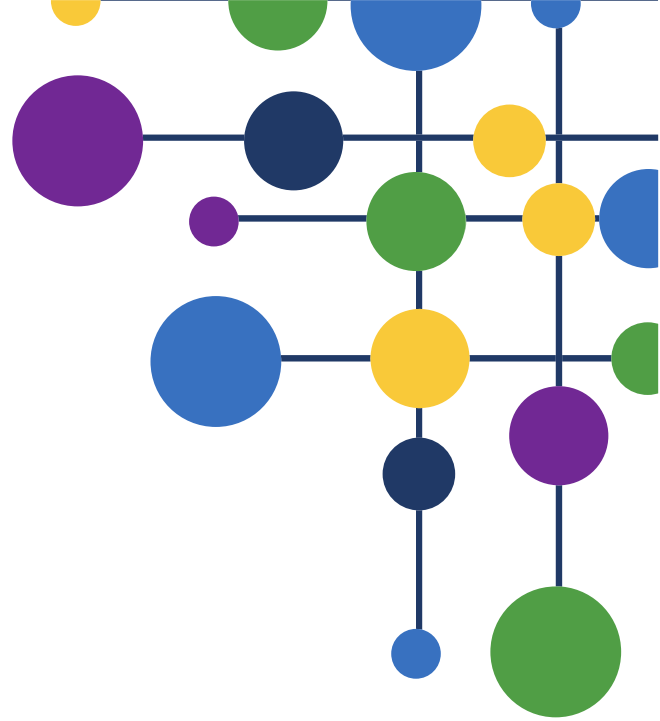


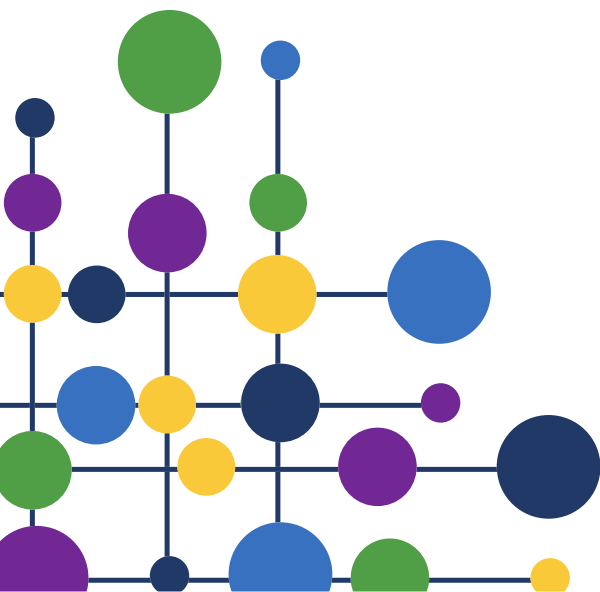


**SHARE**  
MULTI-ACADEMY TRUST



## GRIEVANCE POLICY & PROCEDURE

Version	5.4
Name of policy writer	Debbie Howard
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## 1. Introduction

- 1.1 Employees are entitled to receive a written statement of particulars in relation to their employment. This statement must include reference to a grievance policy, and more specifically should clarify the arrangements in place for an employee to complain about (or appeal against) the outcome of a grievance process.
- 1.2 The ACAS Code defines grievances as “concerns, problems or complaints that employees raise with their employers”. These may be either:
- matters affecting themselves as individuals; or
  - matters affecting their personal dealings or relationships with other employees.
- 1.3 In relation to grievances, it is stated by ACAS that ‘... *fairness and transparency are promoted by developing and using rules and procedures for handling grievance situations*’. Such rules and procedures should be set down in writing and should be both clear and specific.
- 1.4 Staff grievances can arise from a variety of sources within the workplace and it is desirable therefore that a staff grievance procedure fulfils two key purposes:
- to enable a grievance to be resolved informally, and as near to the point of origin as possible
  - to set out a formal procedure that can be followed where the informal approach is either inappropriate or has been tried and failed.
- 1.5 Grievances may be raised either informally (not necessarily in writing) or formally (which must be in writing).
- 1.6 The staff grievance procedure must be followed by any member of staff having an employment-related grievance. Ideally, no grievance should be raised except through this procedure.
- 1.7 In the event of a grievance being submitted by a staff member against the headteacher in person, the role of the latter, throughout this policy, will be performed by the CEO. Where it is in relation to the CEO, this will be performed by the chair of directors.

## 2. Purpose and scope

- 2.1 This procedure applies to all staff employed at the Trust, including those employed temporarily. It may be used to deal with allegations of sexual, racial and other forms of harassment and bullying although the trust’s bullying and harassment policy may be a more appropriate vehicle to address such issues.
- 2.2 Grievances may be about terms and conditions of employment, relationships at work or the behaviour of colleagues. These issues may relate to (the following list is not exhaustive), matters such as:
- working practices
  - health and safety issues
  - organisational change



- equal opportunities.

- 2.3 Some grievances are minor or straightforward while others may be more difficult to resolve or may concern fundamental issues.
- 2.4 It is important to draw a distinction between concerns relating to a personal grievance and concerns of whistleblowing. The latter is relevant only to matters which are **in the public interest** and which warrant a 'protected disclosure' to an appropriate authority. Personal issues (such as, for instance, those related to discrimination, bullying, harassment etc.) do not qualify as whistleblowing as they are **not** covered by the relevant legislation.
- 2.5 The aim of this policy is to achieve a fair and prompt resolution to individual grievances and to do so (where possible) at an informal level and, in all cases, as speedily as possible.

### 3. Matters beyond the scope of a grievance procedure

- 3.1 The grievance procedure cannot be used to challenge formal outcomes of other procedures which have their own appeal process.
- 3.2 These include the following:
- disciplinary procedure
  - capability procedure
  - attendance management procedure
  - flexible working request
  - redundancy procedure.
- 3.3 Similarly, the grievance procedure is not applicable to collective disputes (which are normally dealt with through a collective dispute process).
- 3.4 Other than in extenuating circumstances, all grievance should be submitted within three months of their occurrence, and the trust is under no obligation to investigate matters which are not raised within this timescale.

### 4. General principles of a grievance procedure

- 4.1 All documentation and discussion at meetings within the grievance procedure are to be treated completely confidentially.
- 4.2 At all stages in the procedure, the member of staff raising the grievance should have the right to be accompanied by a trade union representative or work colleague.
- 4.3 An employee may not be represented by a person who has a conflict of interest.
- 4.4 The formal procedure for dealing with grievances is as follows:
- the employee should set out in writing the nature of the grievance
  - the employer should hold a meeting with the employee (at which the latter must be permitted to be accompanied as detailed above)



- the employer must decide on appropriate action.

4.5 At any meeting convened under this procedure, reasonable adjustments may be indicated (and should always be considered) for an employee with a disability (for example, the provision of a support worker or representative with knowledge of the disability and its effects) and access to an adjournment (irrespective of disability (should not be unreasonably refused)

## 5. What constitutes a grievance?

5.1 In considering whether the grievance procedure has been triggered, the following points should be noted:

- a grievance may be raised by e-mail, in a letter from the employee, in an informal 'note', or in a letter from a third-party representative such as a union representative
- a grievance may also be raised in communication dealing with another matter or making an application of some kind (for example, a flexible working request) or in a resignation letter.

5.2 In other words, **a communication does not have to be headed as a 'grievance' for it to be considered as such.**

5.3 The intention of the employee is not directly relevant, and the employee is not required to indicate that the complaint may be taken further. It is therefore recommended that senior management treat all written complaints from employees (or their representatives) as potential employee grievances, as failure to do so could result in an increase in any compensation subsequently awarded to the claimant at an employment tribunal. Should the matter progress to that level.

5.4 If the complaint is set out in a resignation letter the employee should be invited to a meeting to discuss the issues raised. However, if the employee does not attend such a meeting the employer should write to the employee with an outcome, based on the available evidence (and where appropriate this may be following an investigation into the issues raised).

## 6. Overlapping grievance and disciplinary cases

6.1 If a grievance is raised by an employee after disciplinary proceedings against them have commenced, and the grievance relates to the disciplinary case (unrelated cases can proceed in parallel), a decision will be taken **either** to suspend the grievance until after the disciplinary issue has been dealt with **or** to hear the grievance at the disciplinary hearing.

6.2 Only in exceptional circumstances will a disciplinary hearing be suspended to deal with a grievance that has been raised after disciplinary process has commenced.

6.3 Depending upon the nature of the grievance, the headteacher may need to consider bringing in another manager to hear the disciplinary case.

6.4 It is advisable that an HR Advisor is present at all formal grievance (and/or disciplinary) hearings to support management as appropriate.

## 7. Grievance procedure – informal stage



- 7.1 If a member of staff has a grievance with a colleague, they should endeavour to resolve the matter by direct approach to that colleague, or by arranging a meeting (which has no formal status) through their head of department or other appropriate senior colleague and making it clear that a concern is being raised informally.
- 7.2 Where the grievance is against the headteacher, deputy headteacher or other manager, the member of staff should similarly attempt to resolve the matter by a direct approach to the individual, or by bringing it to the attention of a senior manager.
- 7.3 As and when deemed appropriate, the headteacher may elect to appoint an investigating officer to look into the matter more deeply. The person appointed to this role must, whenever possible, complete their investigation within a maximum of ten working days.
- 7.4 The headteacher may also arrange for mediation should this be felt appropriate.
- 7.5 Following an informal meeting and/or (if appropriate) investigation (or mediation), a written outcome letter will be provided to the employee within a reasonable period of time. This should be no longer than five working days after the initial informal meeting took place, unless there is a delay to allow an investigation (or mediation) to take place.
- 7.6 Every attempt should be made by those involved to resolve a grievance at an early stage and through normal line management processes. Only when these have been unsuccessful should the formal process be followed. If at the informal stage an issue remains unresolved it may be appropriate for the employee to seek advice and/or assistance from a senior manager prior to progressing to the formal stage.
- 7.7 If a written grievance is received where there has been no attempt to resolve the issue on an informal basis, it may be appropriate to enquire of the aggrieved individual whether there is a reason why they have not attempted to do so. In certain circumstances there may be benefit from requiring them to do this before escalating the matter to formal process, unless there is good reason (such as fear of victimization or the seriousness of the issue) to omit this stage.
- 7.8 If the employee is dissatisfied with the outcome of the informal stage (or the complaint is regarded as being sufficiently serious) he or she may proceed to the formal stage without unreasonable delay (and in all cases this should be no later than three months after the relevant event/incident occurred).

## **8. Grievance Procedure – formal stage**

- 8.1 Where the grievance has not been resolved at the informal stage (or the informal grievance procedure is deemed inappropriate) the aggrieved employee should be requested to submit a 'Formal Grievance Form' (Appendix 1) to the headteacher or put their grievance in writing.
- 8.2 It is highly desirable that the recipient of the grievance (or the person delegated to deal with the grievance) not only has a full understanding of the aggrieved employee's concern(s) but also of their perception as to how the grievance might



be satisfactorily resolved (which may include an insight into their desired mechanism of redress).

- 8.3 To this end it is constructive for the aggrieved employee to complete the appropriate form as requested. However, the trust undertakes to address all grievances appropriate (even in the absence of the preferred official form to be completed)
- 8.4 Following receipt of a formal grievance the headteacher may wish to arrange a meeting with the aggrieved employee to discuss the grievance and how they think it should be resolved. The employee is not obliged to meet with the headteacher (in which case the grievance must still be explored in accordance with policy) but if any formal meeting does take place (whether at this stage or later) the employee is entitled to be accompanied by either a work colleague or a trade union representative.
- 8.5 The headteacher may, at their discretion, choose to delegate a senior manager to undertake the task of dealing with the grievance (and accordingly the term 'headteacher' in the following paragraphs should be interpreted as including any person to whom this responsibility has been delegated). This option is not open to the chair of governors who may not delegate this responsibility although the governing body may, in the absence or indisposition of the chair, nominate another governor to deal with a grievance against the headteacher.
- 8.6 At this point, an investigation may be appropriate in which case the headteacher is responsible for appointing an investigating officer (this may be an individual external to the academy) who should be impartial and who has had no previous involvement with the grievance. This is most often indicated in matters considered to be complex and/or sensitive.
- 8.7 The investigating officer will not be party to any decision on either the grievance or any related disciplinary procedure. The investigation must be completed as soon as is practically possible and a report prepared and sent to the headteacher.
- 8.8 At this point it may be appropriate for the headteacher to arrange a meeting with the aggrieved employee in which the investigation report will be presented. This meeting gives the aggrieved employee the opportunity to discuss the content of the report before the headteacher reaches a final decision. A detailed record should be kept of any such meeting.
- 8.9 After consideration of the issues, the headteacher will communicate their conclusions to the aggrieved employee in writing. This correspondence should include any recommendations or proposals designed to resolve the issue(s).
- 8.10 Where the aggrieved member of staff does not accept the outcome of the grievance they may appeal against the decision to a separately constituted appeal panel. Any appeal should be submitted in writing within five working days.
- 8.11 The employee's written submission should explain the basis of the appeal by identifying:
- the specific element(s) of the outcome which they wish to dispute
  - the grounds on which they are disputing such element(s)
  - how they wish the grievance to be resolved.



8.12 Ideally, the form provided at Appendix 2 (entitled Grievance appeal proforma) should be completed and sent to the headteacher who will then arrange an appeal hearing.

## 9. Appeal Hearing

9.1 On receipt of a written appeal from the employee, a hearing will be arranged, in which the aggrieved employee may appeal in person to the CEO who has had no previous involvement in the matter. In the event the CEO has chaired the hearing, the appeal will be heard by the chair of directors. (for clarity hereinafter, the word panel or chair should be taken to include the CEO or the chair of directors who may be hearing the case alone).

9.2 The panel should be provided with the written outcome of the grievance, and the headteacher (or other person delegated to deal with the matter) should be invited to attend the appeal hearing.

9.3 Every effort should be made to accommodate the employee's trade union representative or work colleague at the appeal hearing, including rescheduling of the hearing if the original date proposed is not acceptable to all parties. The rearranged appeal hearing should take place within five working days of the original date proposed.

9.4 The appeal will focus on specific reasons for not accepting the previous decision. Appeals which fail to identify any actual legitimate grounds for appeal should be rejected.

9.5 Appeals against grievance decisions will usually only be considered by the panel in relation to one or more of the following grounds, and accordingly the appeal should detail:

*(in relation to **procedure**)*

- how procedural irregularities prejudiced the grievance decision

*(in relation to **facts**)*

- how the facts do not support the decision or were misinterpreted or disregarded – the appeal should also detail any new evidence to be considered in cases where this is admissible\*

*\*additional written evidence should only be admissible at the appeal stage if it could not reasonably have been submitted for consideration at the formal stage.*

*(in relation to **proposed action or sanction**)*

- how the proposed action or sanction is inappropriate given the circumstances of the case.

9.6 The order of the appeal hearing should be as follows:

- i. the chair of the panel explains the process (advised by the HR Advisor)
- ii. the employee presents their appeal
- iii. questions may be asked by the headteacher (or other management representative) and/or the panel



- iv. the headteacher (or other management representative – possibly the investigating officer gives its response
- v. questions may be asked (through the chair) by the employee and/or the panel
- vi. both employee and management are entitled to call witnesses (who should be held available for questioning)
- vii. once all the evidence has been presented, the chair of the panel will adjourn the hearing
- viii. the panel will also consider, in addition to oral evidence, any written evidence presented (where this is admissible\*) before making their decision.

*\*additional written evidence should only be admissible at the appeal stage if it could not reasonably have been submitted for consideration at the formal stage.*

- 9.7 Notes should be taken of the hearing (clerk to governors may perform this role), and during the hearing either employee or management may request an adjournment at any point.
- 9.8 The decision of the appeal committee will be communicated in writing to the employee within a reasonable timescale following the appeal hearing (usually within five working days).
- 9.9 The decision of the appeal committee is final, and this represents the conclusion of the grievance process.

## **10. Grievance submitted at the end of employment contract**

- 10.1 If an employee raises a grievance and subsequently gives notice that they are leaving, or that their employment is to be terminated, every effort should be made to investigate the grievance before they leave. If it is not possible to fully investigate the grievance before the end of their employment contract, then a written response should be sent to the employee.
- 10.2 If a grievance is raised by an ex-employee following the end of their employment contract, the principal/headteacher (or designated manager) will provide a written response based on the submission. However, grievances submitted over 12 weeks after the end of the employment contract will not normally be considered.
- 10.3 If the grievance raised by an ex-employee relates to the actions of the headteacher, the Executive Head or CEO should provide a written response following an internal investigation (which could involve a meeting with the headteacher to ascertain the circumstances).

## **11. Non-attendance during grievance investigation or appeal**

- 11.1 If an employee is unable or unwilling, without good reason, to attend meetings concerning the resolution of a grievance and/or to communicate with the headteacher (or designated manager), the latter may proceed to make a decision (in determining the grievance) based on the available evidence.





11.2 If an employee is unable or unwilling, without good reason, to attend a grievance appeal hearing, the panel may proceed to make a decision (in determining the appeal) based on the available evidence.

## **12. Other policies and procedures**

12.1 This policy will be supported by the following policies and procedures:

- Bullying and Harassment Policy



# Appendix 1: FORMAL GRIEVANCE

## Section 1: Employee Details

Name: .....

Post: ..... Location: .....

Contact details: Telephone: ..... Email: .....

## Section 2: Employee Representation Details

Please provide contact details for your trade union representative (you are entitled to be represented by a trade union representative or work colleague at any stage of the formal procedure).

Name: .....

Name of trade union: .....

Contact details: Telephone: ..... Email: .....

## Section 3: Grievance Details

Please detail your grievance giving full details of dates, incidents, parties involved, witnesses, circumstances etc.

Additionally, where possible, please ensure that you include or reference the following specific details:

- the date that this issue commenced
- whether this is a one-off issue, or part of a sequence of events
- which policies, procedures or employment terms do you believe have been breached?
- what action/steps you have taken to resolve the issue informally, when and who with?
- copies of any relevant documentary information
- what are you looking for in terms of a redress/satisfactory outcome?

*Note: this procedure is intended to support the resolution of any grievance(s) as quickly and fairly as possible to avoid any minor issues developing into more serious matters.*



**Please state your grievance:**

*(continue on a separate sheet if necessary)*

**Please state what you are seeking as a satisfactory outcome to your grievance:**

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Signed: .....Date: .....

Name (Printed): .....



## Appendix 2 – GRIEVANCE APPEAL

### Section 1: Employee Details

Name: .....

Post: ..... Location: .....

Contact details: Telephone: ..... Email: .....

### Section 2: Employee Representation Details

Please provide contact details for your trade union representative (you are entitled to be represented by a trade union representative or work colleague at any stage of the formal procedure).

Name: .....

Name of trade union: .....

Contact details: Telephone: ..... Email: .....

### Section 3: Appeal

As you are appealing against the outcome of the formal stage of the grievance procedure, you must ensure that you state why you are dissatisfied with the manager's decision. Your appeal should focus on specific reasons for not accepting the previous decision.

Appeals which fail to identify any actual grounds of appeal may be rejected, and appeals against grievance decisions will usually only be considered by the panel in relation to one or more of the following grounds, and accordingly the appeal should detail:

*(in relation to **procedure**)*

- how procedural irregularities prejudiced the grievance decision

*(in relation to **facts**)*

- how the facts do not support the decision or were misinterpreted or disregarded – the appeal should also detail any new evidence to be considered in cases where this is admissible\*

*\*additional written evidence should only be admissible at the appeal stage if it could not reasonably have been submitted for consideration at the formal stage.*

*(in relation to **proposed action or sanction**)*

- how the proposed action or sanction is inappropriate given the circumstances of the case.



**Please state your reasons for appealing against the previous outcome:**

**Please state what you are seeking as a satisfactory outcome:**

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Signed: ..... Date: .....

Name (Printed): .....