



**KALEIDOSCOPE**  
Multi Academy Trust

**GRIEVANCE RESOLUTION PROCEDURE**

**Based upon the North Somerset Model Policy**

**Approved by:** Kaleidoscope Trust Board  
**Next Review:** January 2025

**Date:** January 2023

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## **GRIEVANCE RESOLUTION PROCEDURE**

***Note: Please refer to this Grievance Resolution Procedure in conjunction with the accompanying Grievance Resolution Procedure (Manager's Guidance)***

### **1.0 INTRODUCTION**

- 1.1 Kaleidoscope Multi Academy Trust (KMAT) recognises the right of every employee to express a grievance and to be given a fair hearing. This Grievance Resolution Procedure exists to ensure fair and consistent handling of grievances. The governing body has a responsibility to ensure that all staff are aware of the Schools Grievance Resolution Procedure.
- 1.2 This procedure is written in line with current employment legislation, the ACAS Code of practice on disciplinary and grievance procedures and with the requirements of the School Staffing (England) Regulations 2009 (as amended).
- 1.3 Please note that where 'trade union representatives' or 'trade unions' are referred to in the text of this Policy, what is meant is the designated North Somerset Council Representative or Regional Official of each Recognised Trade Union (not the school-level representatives of those Trade Unions). The exception to this is where reference is made to employees having the right to be accompanied by a trade union representative, officially employed by a trade union or work colleague. In this instance, the choice of representative would be made by the individual employee in consultation with the trade union as necessary.

### **2.0 EMPLOYEES COVERED BY THIS PROCEDURE**

- 2.1 This procedure applies to all teaching and support staff at KMAT Schools.
- 2.2 The Grievance Resolution Procedure does not apply when:
  - The employee wishes to complain about an actual or possible dismissal including redundancy
  - The employee raises a concern as a 'protected disclosure' such as whistle blowing in compliance with the public interest disclosure provisions of the 1996 Act
  - The employee wishes to complain about action short of dismissal to which the Schools disciplinary or capability procedure applies, unless the grievance is that this involved unlawful discrimination or is not genuinely on grounds of conduct
  - The employee's complaint amounts to an allegation of misconduct: such allegations will be investigated and dealt with under the Disciplinary Policy
  - The issue raised is the subject of collective negotiation or consultation with recognised trade unions
- 2.3 The Grievance Resolution Procedure will apply when you as an employee or as part of a group of employees, have a concern, problem or complaint about work that you raise with the school / council as your employer.  
For example:
  - Interpretation of terms and conditions of employment

- Work relations
- Workplace behaviour amounting to bullying or harassment
- New working practices
- Work environment
- Organisational change
- Discrimination

### **3.0 GENERAL PRINCIPLES**

- 3.1 The Grievance Resolution Procedure will be available to all KMAT employees so that grievances can be properly considered.
- 3.2 A grievance is defined as 'a complaint by an employee about action which his/her employer has taken or is contemplating taking' (Dispute Resolution Regulations 2004). Employer can mean any representative of the employer (i.e. KMAT or the Local Authority).
- 3.3 Employees may wish to raise complaints about their employment. These can often be resolved informally by their immediate line manager and an expectation of this policy is that before individuals invoke the formal stages of this procedure, they first attempt to resolve their complaint informally. However, where an informal resolution has not been possible and an employee states in writing his/her wish to raise a formal grievance, this procedure must be followed.
- 3.4 A grievance may be raised by an employee personally. A Trade Union Representative may help the employee draft a grievance.
- 3.5 An employee raising a grievance has a right to be accompanied and/or represented by a trade union representative, officially employed by a trade union or a work colleague at meetings / hearings convened under this procedure.
- 3.6 An employee is not able to raise concerns on behalf of other colleagues.
- 3.7 If a collective grievance arises, involving a group of employees within the same school, but relating to the same issue, this may be dealt with through this policy and the group of staff may nominate a spokesperson to represent their case. Even though this will be dealt with as a collective grievance, the grievance statements must be submitted independently. When each person's grievance issue is the same in each case, it will be necessary to hold only one meeting or hearing at each stage. (By 'same issue' what is meant is the reason for the grievance (e.g. bullying rather than any individual incident needing to be the same.) The collective complainants will be notified individually of the outcome of their collective grievance.
- 3.8 Written records will be kept during the process and treated as confidential. Formal minutes will be given to the employee if taken.
- 3.9 In the event that the School determines, in the course of following this Grievance Resolution Procedure that there has been possible misconduct on the part of one or more employees it may be necessary to investigate these concerns separately under the

provisions of the Disciplinary Procedure before the Grievance Resolution Procedure has been concluded.

- 3.10 Time limits may be altered by mutual agreement.
- 3.11 As a general principle, confidentiality should be maintained during all stages throughout the Grievance Resolution Procedure. This will be done by ensuring that only those people who need to know through the course of their duties have access to the details of the grievance(s). Failure to comply with this requirement may lead to disciplinary action being taken through the Disciplinary Procedure.
- 3.12 However, there may be circumstances where it will be necessary in order to achieve the required resolution for other employees to be made aware of the nature of the complaint, or the school may have no alternative but to share information given in confidence in order to comply with its duties under the law.
- 3.13 In exceptional circumstances, particular evidence given by individuals during an investigation into an employee's concerns may have to remain confidential from the employee. Where such confidentiality is necessary, this will be explained to the employee who raised the concerns and an appropriate summary of the evidence gathered will be shared with them.
- 3.14 Employees and / or their representatives are not permitted to record electronically any meeting held informally or formally under this Grievance Resolution Procedure including investigation meetings. This is to encourage openness and full participation by all parties during meetings. Any breach of this provision may lead to disciplinary action against the employee concerned, up to and including dismissal.
- 3.15 Under the Equality Act 2010 employers are required to make reasonable adjustments which may include assisting employees to formulate a written grievance if they are unable to do so by themselves because of a disability.
- 3.16 The school expects that all concerns / grievances are raised in good faith. Any employee raising a concern which is considered to be vexatious or malicious may be subject to action under the disciplinary procedure.
- 3.17 Employees have a right not to suffer any detriment for raising a concern / grievance in good faith or for acting as a representative or witness of an employee who has raised a concern / grievance. If there is an allegation of victimisation against another employee by the employee who raised the concern / grievance or an employee acting as their representative or witness, action will be taken under the disciplinary procedure.
- 3.18 In seeking a resolution to concerns / grievances raised, it is important that no party is prejudged.
- 3.19 KMAT expects all parties involved to co-operate with the process of seeking a resolution.
- 3.20 All parties should be provided with support / contact from a manager who is not involved in the process.

- 3.21 Managers are advised to seek support from the Schools HR Advisory Service in relation to the Grievance Resolution Procedure, including conducting investigations and grievance meetings and hearings.

#### **4.0 DISCIPLINARY ACTION**

- 4.1 During the process of trying to achieve a resolution, if at any time Managers identify that a breach of the school's policies or Code of Conduct or any other misconduct by staff has occurred they should consider applying the Disciplinary Procedure (see the KMAT Disciplinary Policy).
- 4.2 Where it is decided to invoke the Disciplinary Procedure, management reserves the right to determine the level of confidentiality to be maintained regarding the outcome of the hearing. While it would be considered appropriate for the employee who raised the original concern / complaint to know there has been a disciplinary hearing / disciplinary action, in most cases, it would not be considered appropriate to report to the complainant the details of the disciplinary action taken.

#### **5. COUNTER COMPLAINTS**

- 5.1 Managers / Governors should be aware of the potential for counter complaints to be made by those against whom the original complaint has been made / grievance has been raised.
- 5.2 A process to seek a resolution to the original complaint should not be discontinued merely because a counter claim is raised subsequently. If possible, the two complaints / grievances should be considered together when seeking a resolution.

#### **6.0 PRE-PROCEDURAL RESOLUTION**

- 6.1 Staff can raise any issues with their line manager (or a more senior manager if the line manager is the subject of their concerns / complaint) on an informal basis, either orally or in writing. Open communication can often be the quickest and best way of resolving grievances, depending on the issues involved. An expectation of this procedure is that before individuals invoke the formal stages of this procedure, they first attempt to resolve their complaint informally by discussing their complaint with their line manager (or a more senior manager if the line manager is the subject of their concerns / complaint). However, if any employee feels that their grievance has not been resolved to their satisfaction through the informal approach they can then proceed to the formal procedure as detailed below.
- 6.2 Managers should be aware of, and be prepared to explore, alternative methods of resolving any complaints that arise by discussing the issue and examining a range of possible solutions with the employee and, as necessary, the subject(s) of the complaint.
- 6.3 The main informal options are a one to one meeting between the employee raising the concerns / complaint and the subject of those concerns / that complaint; a facilitated meeting between the parties, with a Line Manager, for example, in attendance to facilitate

the discussion or mediation. Mediation is an option that can be available to the employee, in appropriate circumstances, as an alternative way of resolving a grievance. Mediation is when an impartial, professionally trained, third party helps to facilitate discussion and seeks to support resolution between parties in order that working relationships can be maintained. If the employee raising the concerns / complaint wishes to seek mediation, they should make this known to their line manager. **The HR Advisory Service has qualified mediators and can provide mediation as an additional chargeable service.**

- 6.4 Please see Appendix 5 of this Procedure for further information about the three informal options referred to above.

## **7.0 REGISTERING A WRITTEN GRIEVANCE**

- 7.1 If the employee feels that their grievance has not been resolved to their satisfaction informally, the employee should put the grievance in writing, with the help of a Trade Union Representative if desired. The employee should complete a 'Notification of Grievance' form (attached as Appendix 1) and forward this to their line manager. A grievance should be raised as soon as possible after an event or incident. In circumstances where the grievance relates directly to the line manager the employee should put the grievance in writing to the Headteacher/Executive Headteacher/Head of School. Where the grievance relates to the Headteacher/Executive Headteacher/Head of School the employee should put the grievance in writing to the Chair of Governors.
- 7.2 On receipt of the Grievance Form, the Manager/Headteacher/Executive Headteacher/Head of School/ Chair of Governors should meet with the complainant as soon as possible, and usually within 5 working days. The purpose of this meeting is for the complainant to explain the nature of their complaint and what action they feel should be taken to resolve the matter. If another employee is the subject of the complaint, they will need to be advised of the specific concerns raised against them in writing and invited to a meeting to discuss the proposed resolutions. At these meetings, the options to resolve the matter informally (see Informal Resolutions above) will be discussed with all parties and, depending on the nature of the complaint, without the need to proceed to a formal Stage 1 grievance meeting. This is particularly important when the grievance appears to be concerned with a potentially minor issue which may not require pursuance through the formal Grievance Resolution Procedure.

If the matter is not successfully resolved informally, or if the grievance is in relation to a more serious matter, the grievance will proceed to a formal grievance meeting to be held by the Headteacher/Executive Headteacher/Head of School or a Governor.

## **8.0 INVESTIGATION**

- 8.1 Before proceeding to the formal stage 1 grievance meeting, the Manager/Headteacher/Executive Headteacher/Head of School/ Chair of Governors dealing with the grievance may decide that an investigation needs to be undertaken and they should identify an appropriate person not involved in the case to be the Investigating Officer and to investigate the concerns which the employee has raised, including the events surrounding or leading up to the submission of the grievance. Whether an

investigation is necessary will depend on the nature and complexity of the grievance. The Investigating Officer will be someone not involved in the case, usually the Head Teacher/Deputy Head, Assistant Head or Governor or an individual external to the school, e.g. a HR Adviser, or an appropriate person from a KMAT School). The Investigating Officer should interview the subject(s) of the grievance about the concerns raised about them and give them an opportunity to respond. Ordinarily the Investigating Officer will compile a report containing a written summary of their findings and details of any witnesses interviewed, including, where appropriate, interview notes. The report will be used as a basis for the discussion with the individual at the Grievance Meeting.

## **9.0 STAGE ONE - GRIEVANCE MEETING WITH HEADTEACHER/EXECUTIVE HEADTEACHER/HEAD OF SCHOOL NOMINATED GOVERNOR**

- 9.1 If the decision is taken to proceed to the formal stage 1 grievance meeting, the Manager/Headteacher/Executive Headteacher/Head of School/Chair of Governors will invite the employee in writing to the stage 1 grievance meeting. The meeting will take place at the earliest opportunity and, subject to the need to carry out an investigation, normally within 10 working days of receipt of the written grievance. Any evidence gathered in the course of an investigation into the concerns will be provided to all parties in advance of the meeting and will be used as a basis for the discussion at the meeting. The meeting will be conducted by the Headteacher/Executive Headteacher/Head of School or a Governors and may be attended by an HR Advisor. The employee will be informed of their right to be accompanied and/or represented by a trade union representative, official employed by a trade union or work colleague.
- 9.2 The employee will be asked to state his/her grievance at the meeting and the action they feel should be taken to resolve the matter.
- 9.3 During the meeting, the employee should be given every opportunity to explain their case fully, but should confine their explanation to matters directly related to their grievance. Complaints should not focus on irrelevant issues or incidents that took place long before the matters in hand as this can hinder the effective handling of their complaint. The Manager/Headteacher/Executive Headteacher/Head of School/ Governor/s conducting the hearing should intervene if they think the discussion is straying from the key issue or information is being introduced on behalf of a third party which is not relevant to the employee's grievance. The Manager/Headteacher/Executive Headteacher/Head of School/Governor should also intervene to ensure that the meeting can be completed within a reasonable timeframe, depending on the nature and complexity of the complaint.
- 9.4 If necessary the person meeting with the employee regarding the grievance may adjourn the meeting in order to investigate the matter further.
- 9.5 The person dealing with the grievance at this stage should invite the subject(s) of the grievance to a separate meeting(s) to discuss the findings of the investigation before they decide on the outcome to the grievance and any action that will arise from that outcome.
- 9.6 The person dealing with the grievance at this stage will respond to the employee's grievance in writing, within 5 working days of the meeting or reconvened meeting where



there has been an adjournment. The response will inform the employee of his/her right to appeal the decision if they are not satisfied with the response. The person dealing with the grievance at this stage must also inform the subject(s) of the grievance of the outcome and any action they propose to take as a result, where that action is relevant to the individual(s) concerned. The employee and the subject(s) of the grievance may discuss the outcome informally with their manager.

## **10.0 STAGE TWO - APPEAL**

- 10.1 Where the employee is dissatisfied with the outcome of the Grievance Meeting he/she may appeal. The employee must register his/her appeal by writing to the Chair of Governors within 10 working days of receiving the written outcome of the Grievance Meeting (or reconvened Meeting where there has been an adjournment). The employee must clearly state the grounds of their appeal on the Grievance Appeal form (i.e. the basis on which they believe that the outcome of the grievance was wrong and / or that the action taken as a result was inappropriate).
- 10.2 The Chair of Governors, will arrange for the appeal to be heard by a panel of 3 school governors (normally the Schools Appeal Panel). The purpose of the Appeal will be to consider the grounds of appeal that the employee has put forward and to assess whether the conclusion at the original grievance meeting (at Stage 1) was appropriate.
- 10.3 The Chair of Governors will arrange an Appeal Hearing and will inform the employee of his/her right to be accompanied and/or represented by a trade union representative, official employed by a trade union or work colleague. The Appeal hearing should be conducted in accordance with the Grievance Appeal protocol. At the Appeal the employee will be able to explain why he/she remains aggrieved and how he/she believes the grievance should be resolved.
- 10.4 The person who conducted the formal Stage 1 grievance meeting will normally attend the Appeal Hearing to explain his/her decision to the Governor Appeal Panel.
- 10.5 The employee and the person who dealt with the grievance at stage one are entitled to call other employees as witnesses but they are not obliged to attend the hearing.
- 10.6 During the hearing, the employee should be given every opportunity to explain their case fully, but should confine their explanation to matters directly related to their appeal. The Panel is entitled to intervene if they have reason to believe that the discussion is straying from the issues relevant to the appeal.
- 10.7 Where appropriate the Governor Appeal Panel may adjourn to investigate the matter further.
- 10.8 The chairperson of the Appeal Panel will notify the employee of the decision in writing, within 5 working days of the appeal or the reconvened appeal where there has been an adjournment. This decision will be final. The Appeal Panel must also inform the subject(s) of the grievance of the outcome of the appeal and any action they propose to take as a result, where that action is relevant to the individuals concerned. The employee

and the subject(s) of the grievance may discuss the outcome informally with their manager.

## **11.0 ATTENDANCE AT MEETINGS AND HEARINGS**

- 11.1 Employees are required to make all reasonable attempts to attend meetings / hearings and interviews convened under the Grievance Resolution Procedure. If it is not reasonable or practicable for an employee or their companion (see right to be accompanied) to attend a grievance meeting / hearing including the appeal hearing for a reason which was not foreseeable when the meeting / hearing was arranged, one further meeting / hearing will be arranged. Should the employee not attend a meeting / hearing without an explanation or if it appears they have not made sufficient effort to attend, the meeting / hearing will normally continue in the absence of the employee. Employees will be offered the opportunity to be represented in their absence or make a written submission.
- 11.2 If an employee is absent from work due to sickness and the absence is expected to continue to the date of a meeting / hearing, the meeting / hearing may still take place. A decision will be made taking full account of any medical view provided by the employees GP and/ or the school's occupational health service provider.

## **12. MONITORING THE RESOLUTION**

- 12.1 Managers should ensure that the dispute has been resolved and that no retaliation occurs against any of the parties.
- 12.2 It is advised that managers consider undertaking a meeting with all parties after 3 to 6 months to review the progress of the resolution.

## **13. RIGHT TO BE ACCOMPANIED**

- 13.1 Employees who wish to be accompanied at the meetings / hearings convened under the provisions of the Grievance Resolution Procedure have a right to be accompanied by a single companion who is either:
- a work colleague;
  - a trade union or workplace representative or
  - an official employed by a trade union.
- 13.2 Employees may alter their choice of companion should they wish.
- 13.3 The single companion must not be a legal representative. The employee should provide enough time for the school to deal with the companion's attendance at the meeting / hearing and should inform their Headteacher/Executive Headteacher/Head of School (or the Headteacher/Executive Headteacher/Head of School's representative) whether their companion is a fellow worker or trade union official or representative (and of their name where possible) prior to any meeting / hearing. In making their choice the employee should bear in mind the practicalities of the arrangements.

- 13.4 If the chosen companion is a work colleague, the work colleague may refuse the request to be a companion, however, should they accept they will be given paid time off to prepare for and to attend meetings / hearings.
- 13.5 It will be the responsibility of the employee to contact and liaise with their chosen companion. If the employee's chosen companion will not be available at the time proposed for the meeting / hearing by the school, the school will postpone the meeting / hearing to a time proposed by the employee provided that the alternative time is both reasonable and not more than 5 working days after the date originally proposed. Should the chosen companion not be available the meeting / hearing will be re-arranged once only.

## **14. EQUAL OPPORTUNITIES**

- 14.1 Managers must not discriminate on the grounds of race, age, gender, disability, sexual orientation, religion or belief, gender reassignment, marriage and civil partnership, pregnancy and maternity, or other grounds when dealing with any matters under the school's Grievance Resolution Procedure. Managers will also need to ensure that the needs of employees are given careful consideration when applying this policy.

## **15.0 DATA PROTECTION**

- 15.1 The school will process personal data collected during informal complaints and the formal Grievance Resolution Procedure in accordance with the GDPR, the Data Protection Act 2018 and its data protection policy. In particular, data collected as part of informal complaints and the Grievance Resolution Procedure will be held securely and accessed by, and disclosed to, individuals only for the purposes of responding to the complaints or conducting the Grievance Resolution Procedure. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the school's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the school's disciplinary procedure.

## **16.0 GRIEVANCES FROM EX-EMPLOYEES**

- 16.1 There is no legal requirement to deal with grievances raised by ex-employees. However, Headteacher/Executive Headteacher/Head of Schools may want to consider dealing with such grievances in order to identify possible employment tribunal complaints and, where possible and appropriate, prevent those grievances from becoming tribunal complaints. Advice can be sought from the Schools Human Resources Advisory Service.
- 16.2 If an employee wishes to raise a complaint having left employment, the employee should write to the Headteacher/Executive Headteacher/Head of School / Chair of Governors setting out their complaint as soon as possible after leaving.
- 16.3 Where a complaint is received from an employee who has left employment, the Headteacher/Executive Headteacher/Head of School / Chair of Governor / another appropriate Governor will send a written response to the complainant. Where the school decides to deal with the grievance, there will be no right of appeal.

## **17. The role of the Trust Board**

Where a Staff grievance occurs, the CEO will be notified by the Headteacher/Executive Headteacher/Head of School, who will inform the CEO of the issues and that actions taken follow the procedures detailed within this policy. The CEO will report this to the Trust Board. Trustees may become involved to be present at the Panel Meetings or arrange from Governors at other KMAT schools to attend if the school is unable to provide sufficient Governors for the Panel or Appeals Panel meeting. They also might act as the independent Officer if appropriate. The CEO will be notified of the outcome of panel meetings and if any disciplinary action is required. This information will be reported to the Trust Board.

**18. OTHER RELEVANT POLICIES/DOCUMENTS**

- Grievance Resolution Procedure (Manager Guidance)
- Grievance Resolution Procedure (Employee Guidance)
- Disciplinary Policy and Guidance
- Code of Conduct
- Bullying & Harassment

## **APPENDICES**

**APPENDIX 1**

**Employee Concern Form**

**PERSONAL AND CONFIDENTIAL**

- Please read the Grievance Resolution Procedure prior to completing this form.
- The expectation of the Grievance Resolution Procedure is that an attempt is made to resolve matters informally before taking formal action; we want you to sort things out by talking it through with the people concerned informally.
- If you have a concern relating to your employment at our school, you may wish to use this form to write down your concern. A written record helps those involved to understand your concerns and the outcome that you are seeking.

Name:	Job title:
Year / Role:	
In your own words, please explain the specific issue that is concerning you. Use another sheet of paper if you need to.	
Please state briefly who you have already spoken to about this issue in order to seek to resolve the concerns and what came out of those discussions.	
Please explain the actions you wish to be taken to resolve your concerns. and the outcome you are seeking	
Signed:	Dated:
<b>Once you have completed this form, please pass it to your Line Manager (a suitable alternative manager if your line manager is the subject of your concerns)</b>	

## APPENDIX 2

### Notification of Formal Grievance form

#### PERSONAL AND CONFIDENTIAL

To: The Headteacher/Executive Headteacher/Head of School / Chair of Governors

- Please read the Grievance Resolution Procedure prior to completing this form.
- If you have a grievance relating to your employment at our school we want to deal with it quickly and fairly and the expectation of the Grievance Resolution Procedure is that an attempt is made to resolve matters informally before taking formal action (see the Pre-Procedural Resolution section of the Grievance Resolution Procedure).
- If it has not been possible to resolve the issues / concerns informally, please use this form to write down your grievance. Having a written record helps those concerned to understand your grievance and what you would like to happen as a result of raising this concern.
- If you have difficulty or are uncomfortable in completing this form you can ask to see your Line Manager or a suitable alternative manager if your line manager is the subject of the grievance you raised, who will be able to help you complete the form. You may also want to seek help from a colleague or your Trade Union representative.
- Your Line Manager / appropriate Manager / Headteacher/Executive Headteacher/Head of School / Governor will ask to meet you to decide on the best way to handle your grievance.
- The response to your grievance will be written on this form, discussed and returned to you.
- If you wish to provide any relevant documents/statements alongside your form, you may do so.

I wish to register a formal grievance of the Model Grievance Resolution Procedure for Schools.

*The cause of my grievance is: (This should set out clearly the nature and extent of the problem and include any relevant details). Please include, where relevant, details such as dates and times, who is involved and what their relationship is to you.*

**I have taken the following steps to resolve the problem or grievance before invoking the formal Grievance Resolution Procedure:**

**I believe that my grievance could be resolved in the following way:**

NB: You may ask your Trade Union Representative to help you to complete this pro-forma. You may have your trade union representative or work colleague with you during any meetings / hearings related to your grievance. If you wish to be accompanied, please let us know here:

A school employee of my choice • OR my Trade Union representative •

Signed.....

Print Name:.....

Job

Title:.....

Line

Manager:.....



## APPENDIX 3

### Grievance Outcome Form

<p><b>OUTCOME OF FORMAL GRIEVANCE MEETING-</b></p> <p>(to be completed by the Manager / Headteacher/Executive Headteacher/Head of School / Governor hearing the grievance)</p> <p>The outcome of the meeting held on ...../...../..... (date) was that</p> <ul style="list-style-type: none"><li>• I have upheld the grievance</li><li>• I have not upheld the grievance</li><li>• Some other conclusion</li></ul> <p>because:</p>          <p>I have decided on the following actions in order to resolve the concerns:</p>          <p>Signed:.....(Manager / Headteacher/Executive Headteacher/Head of School / Governor)</p> <p>Date:.....</p> <p>(Please return this form to the Employee with a copy placed on file)</p>
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**APPENDIX 4**

**Grievance Appeal form**

**PERSONAL AND CONFIDENTIAL**

To: Chair of Governors

- Please use this form to write down the grounds for your appeal. Having a written record helps those concerned to understand your appeal and what you would like to happen as a result of raising this appeal.
- If you have difficulty or are uncomfortable in completing this form you can ask to see your line manager or a suitable alternative manager if your line manager is the subject of the grievance you raised, who will be able to help you complete the form. You may also want to seek help from a colleague or your Trade Union representative.
- Your Line Manager/ appropriate Manager / Governor may ask to meet you to decide on the best way to handle your appeal.
- If you wish to provide any relevant documents/statements alongside your form you may do so.

*In your own words, please set out the grounds for your appeal against the outcome of your formal grievance at stage 1 of the Grievance Resolution Procedure. Please explain the basis on which you believe that the outcome of the grievance was wrong or that the action taken as a result was inappropriate.*

Signed.....

Print Name:.....

Job Title:.....

Line Manager:.....

## **APPENDIX 5**

### **Guidance on Informal Resolution Options**

#### **Informal Option 1: One to One**

The complainant may choose to talk directly to the person who is seen to be causing the problem.

This may be appropriate when:

- there are times when the working relationship is acceptable;
- the problems are recent;
- both parties are assertive (i.e. not passive or aggressive).

This may not be appropriate when:

- there have been threats or threatening behaviour.

Before the meeting, the complainant should prepare by setting out in writing:

- the behaviour/working practice/dispute that is the source of the grievance;
- specific times, dates.

The complainant may find completing the Employee Concern Form (see Appendix 1) a helpful guide when setting out the problem in writing.

At the meeting, the complainant should be prepared to:

- clearly describe the behaviour/working practice/dispute that they are aggrieved about;
- explain why it is unacceptable;
- describe the behaviour/working practice/dispute that would be appropriate/acceptable;
- seek a resolution.

Benefits of this approach are:

- Issues can be resolved quickly.
- Relationships can be improved.

#### **Informal Option 2: Facilitation**

The complainant may prefer to talk directly to the person who is seen to be causing the problem, but with a Line Manager or HR Advisor in attendance to facilitate the discussion.

This may be appropriate when:

- there are times when the working relationship is acceptable;

- the problems are recent;
- both parties are assertive (i.e. not passive or aggressive).

This may not be appropriate when:

- the Line Manager is seen as causing the problem;
- there have been threats or threatening behaviour.

The complainant may find completing the Employee Concern Form (see Appendix 1) a helpful guide when setting out the problem in writing, including:

- the behaviour/working practice/dispute that is the source of the grievance;
- specific times, dates and send this to their Line Manager or an HR Advisor with a request for them to facilitate a one to one discussion with the person who is seen as causing the problem.

The benefits of this approach are that:

- it allows preparation time;
- it enables the complainant to state what they want;
- it provides the complainant with a third party who can help to ensure an open and fair dialogue;
- it acts as a record.

Please note: HR advisors can only facilitate these discussions with the express permission of the Chair of Governors or Headteacher/Executive Headteacher/Head of School.

### **Informal Option 3: Mediation**

Mediation is when an impartial, professionally trained, third party helps to facilitate discussion and seeks to support resolution between parties in order that working relationships can be maintained. If the employee raising the concerns / complaint wishes to seek mediation, they should make this known to their line manager, who may then explore options around mediation. The complainant may find completing the Employee Concern Form (see Appendix 1) a helpful guide when setting out the problem in writing. The HR Advisory Service has qualified mediators and can provide mediation as an additional chargeable service.

This approach is appropriate when:

- there is a need for support in dealing with a workplace dispute;
- there is agreement on the existence of a problem;
- both parties are willing to work for a win-win solution.

It would not be appropriate when:

- one or more people are unwilling to take part in the process;
- there has been serious bullying or victimisation;
- the parties are not able or prepared to negotiate.

The mediator will:

- identify what has happened by speaking confidentially to all parties separately;
- assess the best way to bring the parties together;
- hold a joint meeting;
- explore the issues;
- build the agreement for future working relationships.

The mediator will not:

- be able to solve the dispute;
- stick in the past;
- look to apportion responsibility/blame.

The benefits of this approach are that:

- it increases the likelihood of a resolution;
- it can improve working relationships.

A handwritten signature in blue ink that reads "Tristan Coy". The signature is fluid and cursive, with a long horizontal flourish extending to the right.

Trustee Board Chair

18/1/2023