

Grievance Policy

**NHS West Essex Clinical Commissioning Group Policy Reference Number:
WECCG41**

Policy Title Grievance Policy V1.0 Hertfordshire, Bedfordshire, West Essex and Luton Clinical Commissioning Groups	Page 1 of 37
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v1.0	April 2017	Human Business Partner Team	Adapted for use as the Shared Service Policy.

Implementation Plan:

Development and Consultation	
Dissemination	This policy will communicate to staff representatives. It will be communicated electronically to all staff and managers and will be published on the CCG's intranet.
Training	There are no specific training requirements in order to implement this policy. However, managers will be able to access advice from the HR Department on the implementation and interpretation of this policy.
Monitoring	The CCG proactively monitors and reports on number of grievances. The data identified from monitoring will be used to update the policy and ensure best practice as necessary.
Review	Every 2 Years
Equality, Diversity and Privacy	17/05/2017 - Equality Impact Assessment

Associated Documents	<ul style="list-style-type: none"> ▪ ▪ ▪
References	<ul style="list-style-type: none"> ▪ ▪ ▪

Document Status:

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1.0 Introduction

NHS Bedfordshire, NHS East and North Hertfordshire, NHS Herts Valleys, NHS west Essex and NHS Luton Clinical Commissioning Groups (respectively referred to as ‘the CCG’) recognise the contribution of employees and are committed to providing good working conditions and standards.

In addition the CCG recognises that an agreed and practical procedure for the settling of grievances can contribute significantly to promoting and maintaining good employment relationships.

2.0 Scope

This policy applies to all CCG staff members, including Governing Body Members and Practice Representatives, whether permanent, temporary or contracted-in (either as an individual or through a third party supplier).

3.0 Definitions

Grievances are concerns, problems or complaints raised by a staff member with management. Anybody may at some time have problems or concerns with their working conditions or relationships with colleagues that they wish to raise.

4.0 Policy Statement

- 4.1 This Grievance Policy sets out the CCG's policy and procedure by which employees' grievances are resolved as fairly, equitably and as quickly as possible.
- 4.2 The purpose of this policy is to ensure the CCG complies with the statutory grievance procedure, as set out in the ACAS Code of Practice (Advisory, Conciliation and Arbitration Service - www.acas.org.uk).
- 4.3 When handling concerns raised under this policy (whether individual or collective), the following guiding principles will always apply:
- 4.3.1 **Partnership approach with joint responsibility for resolution** – employees and their representatives will be treated as equal partners in the resolution of concerns. This will mean working together constructively and positively to identify solutions and to resolve problems.
 - 4.3.2 **Openness, transparency and confidentiality** – all issues raised under this policy will be handled in confidence, involving only those required for resolution.
 - 4.3.3 **Fairness and equity** – any group of employees raising issues under this policy will be treated with fairness and equity.

4.3.4 **Resolution of issues as informally as possible** – it is in the interests of all parties that any issues raised are resolved at the earliest opportunity, using informal approaches wherever possible.

4.3.5 **Timely resolution** – where issues have been raised, these will be dealt with in a timely manner.

4.4 Representation

All staff have the right to be accompanied at each stage of the formal process by a recognised trade union representative, professional organisation representative or a work colleague

4.5 Confidentiality

4.5.1 All matters relating to the application of the grievance procedure will be treated as strictly confidential.

4.5.2 It may however be necessary to disclose the fact and/or relevant documents in order to comply with legal requirements, such as requests under the Data Protection Act, or Freedom of Information Act; as well as for the purpose of Employment Tribunals and/or High Court and/or submissions to regulatory bodies.

4.6 'Status Quo'

Once a grievance has been formally raised in line with this policy, in certain circumstances the status quo (the working and management arrangements which applied before the grievance) will apply until the procedure has been completed or the grievance resolved. This is provided that this would not be prejudicial to the service needs of the CCG.

4.7 Alternative Dispute Resolution (ADR)

4.7.1 At any stage of the procedure, either the CCG or the employee can propose an ADR with regards to the resolution of a grievance, for example, mediation or conciliation.

4.7.2 ADR will only be progressed with the agreement of both parties.

4.7.3 If both parties agree to ADR, then the formal grievance process may be halted, whilst mediation/conciliation takes place.

4.7.4 If after one month following mediation/conciliation, the intervention is deemed to be unsuccessful by the person who originally raised the grievance, then the grievance procedure will recommence at the point at which it was halted.

5.0 Roles and Responsibilities

5.1 Managers are responsible for:

- Ensuring that employees are aware of this Policy
- Seeking support regarding the application of this policy from Human Resources as appropriate.
- Gaining a thorough understanding of the nature of the employee's concern being raised and seek to agree a resolution.

- Advising the employee of the next stage of the process, should they feel their grievance has not been resolved.
- Maintain a record of informal grievances and resolutions.

5.2. Human Resources are responsible for:

- Providing advice to managers and employees concerning the application of this procedure where appropriate.
- Monitoring the application of the policy to ensure it is applied in a fair and consistent manner to each concern

5.3 Employees are required to:

- Familiarise themselves with the content of this document;
- Engage in any attempts to resolve their grievance informally;
- Raise concerns as soon as possible to allow matters to be resolved as quickly as possible using this policy and accompanying procedure;
- Keep records where possible of any incidents and potential witnesses;

6.0 STANDARD GRIEVANCE PROCEDURE

6.1 INFORMAL PROCEDURE – Stage 1

- 6.1.1 Employees should raise grievances informally, giving their line manager the opportunity to resolve their grievance informally as many problems can be raised and settled during the course of everyday working relationships. This also allows problems to be resolved quickly.
- 6.1.2 Normally a grievance will be raised verbally as early as possible by the member of staff after the event taking place (in order for the matter to be dealt with swiftly it is recommended that no later than four weeks after the event or feeling of concern has occurred). This allows for early intervention and could be resolved by way of informal mediation which involves a third party. Mediation works best in resolving relationship issues between people and should be carried out by someone totally impartial who will work with both parties to resolve the issues
- 6.1.3 Exceptionally, there may be instances where an employee believes it is inappropriate to speak directly with their line manager. In these circumstances the employee should raise the grievance informally with the manager at the next level, their trade union representative or another manager in the organisation.
- 6.1.4 Within **7 calendar days** (where possible) the manager will respond by taking such steps as are necessary and/or meeting the employee concerned. During the meeting the manager must understand the nature of the concern being raised and seek to agree a resolution with the member of staff. A written record of the main points and outcome of the discussion must be completed by the manager and placed on the employee's file.
- 6.1.5 If resolved, the matter ends and, in normal circumstances, the manager will write to the employee within **14 calendar days** to confirm that the matter has been concluded.
- 6.1.6 The manager should maintain a record of informal grievances and resolutions, as they may be required for future reference.

- 6.1.7 If a solution cannot be found through Stage 1 of the process, the employee can progress to Stage 2 of the procedure (a Stage 2 grievance must only be pursued if the matter has not been satisfactorily resolved through Stage 1). Stage 2 will be conducted by the next level manager and will be supported by a Human Resources representative.
- 6.1.8 If the employee wishes to proceed to Stage 2 of the procedure they should do so within **14 calendar days** of the final informal procedure being concluded. These timescales can be extended which must be mutually agreed by all parties.

6.2 FORMAL PROCEDURE – Stage 2

- 6.2.1 Where an informal resolution has not been reached and the employee wishes to progress to the Formal Procedure – Stage 2 - a **Notification of Formal Grievance form (Appendix 1) should be completed by the employee.**
- 6.2.2 The form should be submitted within **14 calendar days** of the conclusion of the informal procedure. The employee should progress the grievance with the next level of management who will consider the matter.
- 6.2.3 The **Notice of Formal Grievance form** indicates that the employee is invoking the formal grievance procedure; the form should be signed by the employee and forwarded to the employee's line manager or, in cases where the grievance is against the line manager, to that person's line manager. A copy of the completed form must also be sent to the relevant HR Business Partner. The form should contain a brief description of the reasons for the complaint, including relevant facts, dates and names of individuals involved and the desired outcome of their grievance.
- 6.2.4 The employee must take all reasonable steps to attend any scheduled grievance meetings. If the employee or representative cannot attend at the time specified for a meeting, the employee should inform the meeting organiser at the earliest opportunity. Reasonable efforts will be made to agree an alternative meeting date.

- 6.2.5 At any stage of the grievance procedure, the manager may decide to carry out further enquiries and investigations and/or hold further meetings as they consider appropriate.
- 6.2.6 On receiving a formal grievance the manager will arrange a formal meeting with the person raising the grievance (the employee) as quickly as possible. This will normally take place within **7 calendar days, but no longer than 14 calendar days (see appendix 2 - template letter of invite to grievance meeting)**. At the meeting, the manager will be joined by a member of Human Resources and the employee has the right to be represented by an accredited trade union representative, a professional association representative or a workplace colleague.
- 6.2.7 Opportunities to discuss any potential witnesses or documentation that may be relevant should be taken during this investigation stage.
- 6.2.8 The approach at this meeting will be supportive and sympathetic with the aim of identifying the reasons for the grievance and reaching a resolution to the satisfaction of all parties.
- 6.2.9 Both parties will have the opportunity to ask each other questions in relation to the information they present and to sum up at the end
- 6.2.10 At this meeting the manager will record the date of receipt of the grievance, the date(s) of any informal meetings, the nature of the grievance and any action taken to resolve the grievance.
- 6.2.11 Following this meeting the manager may need to carry out enquiries and investigations with additional parties as considered appropriate (depending on the nature of the grievance). This should be completed within **10 calendar days** of the first formal meeting, where practicable, unless an extension to the timescales is agreed by both parties.
- 6.2.12 Once all enquiries and investigations have been carried out, a further meeting will be arranged with the employee to discuss the outcome and any resolutions. Depending on the outcome of the investigations, all parties concerned may be invited to attend the formal meeting with a view to resolving the issue(s) raised.

- 6.2.13 The outcome of the meeting will normally be confirmed in writing to the employee **within 7 calendar days** (see **appendix 3** – template letter Confirmation of Formal Grievance Outcome).
- 6.2.14 If, in the view of the employee the grievance remains unresolved, then the employee has the right to proceed to **Stage 3** and should declare their intention to do so in writing within **5 calendar days** of receipt of the letter confirming the outcome at **Stage 2**. If the grievance is not referred to the next level by the employee (or their representative) within **5 calendar days**, it will be accepted that the grievance has been resolved and the grievance process will come to an end.
- 6.2.15 During the course of dealing with the grievance, if it becomes apparent that the behaviour involved has breached the disciplinary rules, the process will continue until concluded and the outcome may result in the matter being dealt with under the CCG's Disciplinary Policy and Procedures.

6.3 RIGHT OF APPEAL – Stage 3

- 6.3.1 Where the employee feels that their grievance has not been satisfactorily resolved following the formal process, they have the right to appeal. This should be in writing by completing the **Grievance Right of Appeal form (appendix 4)** and submitted to the **Assistant Director of HR and ODL** and within **5 calendar days** following receipt of the decision letter from the Formal Stage 2, summarising the grounds for their appeal. This is the highest level at which a referral can be made; the appeal hearing will constitute the end of the procedure.
- 6.3.2 The purpose of the appeal will be to determine:
- Whether the procedures were followed correctly;
 - If the grievance outcome decision was reasonable;
 - If consideration should be given to the relevance of further evidence that has come to light after the conclusion of Stage 2.

- 6.3.3 An Appeal Hearing will be arranged as soon as practicable, (normally within 28 calendar days - **see appendix 5 - template letter of invite to Stage 3 Grievance Appeal Hearing**). An Appeal Panel will consist of the next level manager and a Human Resources representative, neither of whom will have previously been involved in the case. If appropriate, a representative with specialist knowledge and skills on the subject of the grievance may join the panel in an advisory capacity.
- 6.3.4 Before any appeal hearing the following documents should be sent to all attendees by the relevant HR representative no later than **5 working days** before the hearing date:
- **A written statement of case:** this will be prepared by the manager who heard the case and should present the circumstances of the case and the action taken to date, including reasons why the earlier decisions were made. This should list the key documents to be presented at the appeal hearing as well as any witnesses that may be called.
 - **Employee's statement via the Stage 3 – Grievance Appeal Form. (see appendix 4).** This document may be prepared in conjunction with the employee's representative and will state the reasons why the appeal is being made and must state clearly the grounds for appeal which should fall within the definitions contained in 6.4.2 above.
- Copies will be circulated to the relevant parties. (No material, which did not form part of the evidence at the formal hearing, will be introduced at an Appeal Hearing without the agreement of all parties concerned).
- 6.3.5 Whenever possible an appeal will be heard within **14 days** of the issue of the appeal to the CCG. All parties will be updated if it is not possible to arrange a hearing within the six week timeframe.
- 6.3.6 The employee should normally be given a minimum of **5 working days'** notice in writing of the date, time and location of the Appeal Hearing (see appendix 5 – template letter Invite to Stage 3 Grievance Appeal Hearing). This notice period can be reduced if all parties are in agreement.

- 6.3.7 At the Appeal Hearing, the employee will be required to present their case first. The conduct of the meeting will be at the discretion of the appeal Chair, who may decide to vary proceedings if reasonable in the circumstances to do so.
- 6.3.8 Following an adjournment, the Chair of the appeal panel will either recall both parties and announce the decision verbally or communicate the decision in writing at a later date. In either event, the outcome will be confirmed in writing to the appellant no later than five working days after the appeal hearing date (see appendix 7 – template letter confirming outcome of grievance appeal hearing).
- 6.3.9 The outcome of the appeal against the Formal Grievance outcome may be one of the following:
- That the appeal is not upheld and the Stage 2 grievance outcome decision is confirmed;
 - That the appeal is upheld.
- 6.3.10 In the event that the appeal is upheld, the Chair of the appeal panel may direct further action to be taken in relation to the grievance.
- 6.3.11 If the appellant fails to attend the hearing, without good reason or prior notification the appeal may either be considered to have been withdrawn or may proceed in their absence.
- 6.3.12 Should the appellant not adhere to the appeals criteria as outlined in section 6.3.2, the panel may decide not to proceed with the appellant's appeal.
- 6.3.13 The Appeal Hearing will not be a re-hearing of the original grievance, but rather a consideration of the specific areas with which the employee was dissatisfied in relation to the original grievance. The Chair of the Appeal Panel may therefore confine discussion to those specific areas rather than reconsider the whole matter afresh.
- 6.3.14 The decision of the Appeal Panel is final and there is no further Right to Appeal against this decision under the Grievance Policy

6.4 Collective Grievances / Collective Disputes

6.4.1 Collective grievances and disputes are defined as those arising between groups of staff and the CCG; this policy sets out the options open to groups of staff who wish to seek ways and means of rectifying a situation which is causing them concern or appears unsatisfactory to them.

6.4.2 The following general points will relate to all stages of the collective grievance and dispute procedure:

- a) The aggrieved group of staff should appoint a maximum of 3 representatives to present the grievance issue(s) on behalf of the group.
- b) Aggrieved groups of staff will have the opportunity to consult with or be accompanied by recognised Trade Union, Staff Side representatives or a member of their Professional Association to discuss their grievance. Staff representatives may act as an advocate on the group's behalf.
- c) At all stages of the grievance procedure, the aggrieved group of staff must inform their immediate manager (or the deputy manager) of any action they wish to take and obtain permission if they wish to be absent from work to attend meetings during work time. Permission should not be unreasonably withheld, however, service needs will dictate whether this would be possible.
- d) Each stage of the procedure must be completed without unreasonable delay on the part of either party; however, it must be recognised that time limits may be extended, for example to take absence into account.

6.5 Grievances Raised During Disciplinary, Sickness Absence or Managing Work Performance Proceedings

6.5.1 If a grievance is raised in respect of an ongoing disciplinary, sickness absence or work performance capability process, the grievance will usually be heard only when the disciplinary or capability process has been completed.

- 6.5.2 Where it is considered that the grievance has a significant bearing on the disciplinary or capability proceeding, it can be raised as a relevant issue in the course of those proceedings.
- 6.5.3 In exceptional circumstances, where the grievance is clearly impeding the progress of the disciplinary or capability procedure, consideration may be given to suspending the disciplinary or capability procedure for a period of not more than 14 calendar days whilst the grievance is dealt with.
- 6.5.4 Throughout each of the following stages of the procedure, the guidelines apply to both individual and collective grievances.

Appendix 1

NOTIFICATION OF STAGE 2 FORMAL GRIEVANCE FORM

This Form must be used to raise a **Formal Grievance** under the Stage 2 Formal Grievance Procedure.

On completion the form must be signed and forwarded to the employee's line manager or, in cases where the grievance is against the line manager, to that next level manager.

The employee must send a copy of the completed form to the Human Resources department.

Strictly Private & Confidential

To:..... (name of Line Manager)

Line Manager Job title:

Copy to:..... (HR representative)

From:..... (name of Employee)

Job title/Band:

Department:

Contact address:

Contact email:

Contact telephone number:

1.0 Details of Your Grievance

Please describe the nature of your grievance in as much detail as possible. Please include dates, locations and time; names of witnesses (if applicable), relevant background information leading to your grievance that may give the person appointed to investigate your grievance a better understanding of your issues. Continue on separate sheet if necessary

2. How would you like your grievance to be resolved?

Please describe the outcome you are seeking:

3. Informal Action Taken to Date

Please describe the informal action that has been taken to try and resolve your grievance to date.

--

Employee: *(Please sign and date this form)*

Your Signature:	Date Submitted:
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Receiving manager *(Please sign and date this form)*

Name:	Department:
Post title:	
Signature:	Date:

Appendix 2

Template Letter – Invite to Formal Stage 2 Formal Grievance Meeting

Via First Class Post and Recorded Delivery

Date

Strictly Private & Confidential – Addressee Only

[name]

[home address]

Dear Mr/Mrs/Miss/Ms/Dr [surname]

Further to your recent submission of a Stage 2 Formal Grievance relating to [*insert detail of grievance*], I am writing to advise you that I would like to meet with you to discuss your grievance.

In order to investigate your concerns, a formal Stage 2 Grievance meeting has been arranged to discuss your concerns in accordance with the CCG's Policy.

You are required to attend the meeting which has been arranged for [*full date*] at [*time*] in [*location*]. I have invited [*HR representative name and title*] to join us in accordance with the CCG's Grievance Policy and you also have the right to be accompanied by an accredited Trade Union representative or a workplace colleague

The issues to be discussed at the grievance meeting are as follows:

- [*insert points raised by grievance*].

Written confirmation of the outcome of your grievance will normally be sent to you within 5 working days of the Stage 2 formal Grievance meeting unless further investigation is required in which case you will be notified and an extended time scale advised.

Please confirm your attendance at the meeting by contacting [*name, telephone number*] by (*date*).

Yours sincerely

[*manager's name*]

[*manager's job title*]

cc HR Representative

Appendix 3

Template Letter – Confirmation of Stage 2 Formal Grievance Meeting Outcome

Via First Class Post and Recorded Delivery

Date

Strictly Private & Confidential – Addressee Only

[name]

[home address]

Dear Mr/Mrs/Miss/Ms/Dr [surname]

Re: Formal Stage 2 Grievance Outcome

Further to the Stage 2 formal grievance meeting held on [*date of meeting*] to discuss your grievance and following further investigation, I am writing to confirm my decision.

At the meeting you were accompanied by [*name*] (if applicable) and [*HR representative*] was also present.

Your grievance related to [*detail grievance points*].

I considered the following [*detail what information you took into account*]

I have [*upheld / not upheld *delete as appropriate*] your grievance and would like to outline the reasons for this decision as follows:

Should you believe that your grievance has not been satisfactorily resolved, you have the right to appeal. This should be in writing by completing the Stage 3 Grievance Appeal form found in **Appendix 4** of the CCG's Grievance Policy. This form should be submitted to the **Associate Director of Human Resources and ODL** within **14 calendar days** following the date of the decision letter, summarising the grounds for your appeal.

Yours sincerely

[*Manager's name*]

[*Manager's job title*]

cc HR Representative

Appendix 4
STAGE 3 - GRIEVANCE APPEAL FORM

This Form must be used to **appeal against an outcome of a Stage 2 Formal Grievance.**

On completion the form must be signed and forwarded to the AD of HR and ODL
c/o Herts Valleys CCG, 2nd Floor, Hemel One, Boundary Way, Hemel Hempstead
HP2 7YU

Strictly Private & Confidential

From: (name of Employee)

Job title/Band:

Department:

Contact telephone number:

Contact address:

Contact email:

Name of representative (if appropriate):

Contact number of representative:

1. Details of Your Appeal against Stage 2 Formal Grievance Outcome

Please describe the nature of your appeal against the stage 2 formal grievance outcome in as much detail as possible. Please include dates and times and specific description of events – continue on separate sheet if necessary.

2. How would you like your grievance to be resolved?

Please describe the outcome you are seeking:

3. Previous Informal Action

Please describe the previous informal action that has been taken to try and resolve your grievance.

4. Stage 2 Formal Actions

Please describe the Stage 2 formal action that has been taken to try and resolve your grievance.

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Employee: *(Please sign and date this form)*

Your Signature	Date Submitted
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Appendix 5
Template Letter – Invite to Stage 3 Grievance Appeal Hearing
By Hand / via First Class Post and Recorded Delivery

Private & Confidential – Addressee Only

Full name and postal address must be entered here

Date

Dear NAME,

Re: Invite to Stage 3 Formal Grievance Appeal Hearing

I am writing to confirm receipt of your notice of appeal dated [date] in relation to the outcome of the Stage 2 formal Grievance meeting held with you on [date], the outcome of which was sent to you on [date].

In accordance with the Grievance Policy, I now invite you to attend a hearing to discuss your appeal. The hearing has been arranged for:

Date:

Time:

Venue:

Manager Name, Manager Job Title and HR Rep Name, Job Title will present the management side case to me and *HR Panel Name, HR Business Partner*.

You are entitled to be accompanied by a Trade Union representative or a workplace colleague.

The purpose of the hearing is to allow you to explain your grounds for appeal in relation to the outcome of the original grievance.

I would be grateful if you would contact *name* on *number* by *Date* to confirm your attendance at this meeting and whether or not you will be accompanied.

If you are unable to attend this hearing, under the terms of the procedure you must inform us of this fact as soon as possible. Please be aware that if you fail to attend this hearing, without good reason, or prior notification, the appeal will be considered to have been withdrawn.

I appreciate that this may be a difficult time for you. Should you feel you need any further support, please do not hesitate to contact the CCG's free and confidential employee wellbeing programme on(insert relevant details)

Yours sincerely

[Panel Manager Name]

[Panel Manager Job Title]

c.c. *HR Panel Name, Human Resources Business Partner*
Presenting Manager Name, Job Title
HR Rep Name, Job Title

Appendix 6

Template Letter – Outcome of Stage 3 Formal Grievance Appeal Hearing

Private & Confidential – Addressee Only

Full name and postal address must be entered here

Date

Dear NAME,

Outcome of Stage 3 Formal Grievance Appeal Hearing

This letter confirms the outcome of the formal stage 3 grievance appeal hearing held under the provisions of the CCGs Grievance Policy on [date]

Manager Name, Job Title and HR Business Partner Name, Job Title presented a summary of the stage 2 grievance outcomes to myself and *HR Panel Rep Name, Job Title*. You were accompanied at the meeting by *name/You were advised of your right to be represented at the meeting but chose to proceed unaccompanied*

During the course of the hearing, the panel considered evidence that *summary of management case*.

You were given the opportunity to put your case forward, and you stated *details of the Staffside case*.

After considering the case presented by you and the management side, I have concluded that the outcome of the original stage 2 grievance meeting should be upheld.

My reasons for this conclusion are as follows:

[Insert reasoning behind rejecting the appeal.]

[OR

After considering the case presented by you and management side, I have concluded that the outcome of the original stage 2 grievance meeting should not be upheld. My reasons for this conclusion are as follows:

[Insert reasoning behind upholding the appeal.]

As a result, I am now directing that the following action should be taken [*explain action to be taken as a result of the appeal being allowed*].

There is no further right to appeal against this decision under the Grievance Policy.

Yours sincerely

[Panel Manager Name]
[Panel Manager Job Title]

cc *HR Panel Name, Human Resources Business Partner*
Presenting Manager Name, Job Title
HR Rep Name, Job Title

Appendix 7
Equality Impact Assessment Stage 1 Screening

Title of policy, service, proposal etc being assessed:
Grievance Policy

<p>What are the intended outcomes of this work? Include outline of objectives and function aims</p> <p>This Grievance Policy sets out the CCG’s policy and procedure by which employees’ grievances are resolved as fairly, equitably and as quickly as possible. The purpose of this policy is to ensure the CCG complies with the statutory grievance procedure, as set out in the ACAS Code of Practice (Advisory, Conciliation and Arbitration Service - www.acas.org.uk).</p>
<p>How will these outcomes be achieved? What is it that will actually be done?</p> <p>When handling concerns raised under this policy (whether individual or collective), the following guiding principles will always apply:</p> <ul style="list-style-type: none"> • Partnership approach with joint responsibility for resolution – employees and their representatives will be treated as equal partners in the resolution of concerns. This will mean working together constructively and positively to identify solutions and to resolve problems. • Openness, transparency and confidentiality – all issues raised under this policy will be handled in confidence, involving only those required for resolution. • Fairness and equity – any group of employees raising issues under this policy will be treated with fairness and equity. • Resolution of issues as informally as possible – it is in the interests of all parties that any issues raised are resolved at the earliest opportunity, using informal approaches wherever possible. • Timely resolution – where issues have been raised, these will be dealt with in a timely manner.
<p>Who will be affected by this work? e.g. staff, patients, service users, partner organisations etc. If you believe that there is no likely impact on people explain how you’ve reached that decision and send the form to the equality and diversity manager for agreement and sign off</p> <p>Staff</p>

Evidence

What evidence have you considered? Against each of the protected characteristics categories below list the main sources of data, research and other sources of evidence (including full references) reviewed to determine impact on each equality group (protected characteristic).

This can include national research, surveys, reports, research interviews, focus groups, pilot activity evaluations or other Equality Analyses. If there are gaps in evidence, state what you will do to mitigate them in the Evidence based decision making section on page 9 of this template.

If you are submitting no evidence against a protected characteristic, please explain why.

Age Consider and detail age related evidence. This can include safeguarding, consent and welfare issues.

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Disability Detail and consider disability related evidence. This can include attitudinal, physical and social barriers as well as mental health/ learning disabilities.

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Gender reassignment (including transgender) Detail and consider evidence on transgender people. This can include issues such as privacy of data and harassment.

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Marriage and civil partnership Detail and consider evidence on marriage and civil partnership. This can include working arrangements, part-time working, and caring responsibilities.

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Pregnancy and maternity Detail and consider evidence on pregnancy and maternity. This can include working arrangements, part-time working, and caring responsibilities.

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Race Detail and consider race related evidence. This can include information on difference ethnic groups, Roma gypsies, Irish travellers, nationalities, cultures, and language barriers.

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Religion or belief Detail and consider evidence on people with different religions,

<p>beliefs or no belief. This can include consent and end of life issues. No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.</p>
<p>Sex Detail and consider evidence on men and women. This could include access to services and employment. No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.</p>
<p>Sexual orientation Detail and consider evidence on heterosexual people as well as lesbian, gay and bisexual people. This could include access to services and employment, attitudinal and social barriers. No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.</p>
<p>Carers Detail and consider evidence on part-time working, shift-patterns, general caring responsibilities. No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.</p>
<p>Other identified groups Detail and considers evidence on groups experiencing disadvantage and barriers to access and outcomes. This can include different socio-economic groups, geographical area inequality, income, resident status (migrants, asylum seekers). No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.</p>

<p>Engagement and involvement</p>
<p>How have you engaged stakeholders with an interest in protected characteristics in gathering evidence or testing the evidence available? Policy Forum established. Members include representatives of CCGs and Trade Unions</p>
<p>How have you engaged stakeholders in testing the policy or programme proposals? Policy Forum established. Members include representatives of CCGs and Trade Unions</p>
<p>For each engagement activity, please state who was involved, how and when they were engaged, and the key outputs: Policy Forum established. Members include representatives of CCGs and Trade Unions</p>

Summary of Analysis

Considering the evidence and engagement activity you listed above, please summarise the impact of your work. Consider whether the evidence shows potential for differential impacts, if so state whether adverse or positive and for which groups and/or individuals. How you will mitigate any negative impacts? How you will include certain protected groups in services or expand their participation in public life?
No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Now consider and detail below how the proposals could support the elimination of discrimination, harassment and victimisation, advance the equality of opportunity and promote good relations between groups (the General Duty of the Public Sector Equality Duty).

Eliminate discrimination, harassment and victimisation

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Advance equality of opportunity

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Promote good relations between groups

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Next Steps

Please give an outline of what you are going to do, based on the gaps, challenges and opportunities you have identified in the summary of analysis section. This might include action(s) to eliminate discrimination issues, partnership working with stakeholders and data gaps that need to be addressed through further consultation or research. This is your action plan and should be SMART.

New HR monitoring system being developed

How will you share the findings of the Equality analysis? This can include sharing through corporate governance or sharing with, for example, other directorates, partner organisations or the public.

Publication alongside the policy

Health Inequalities Analysis

Evidence

1. What evidence have you considered to determine what health inequalities exist in relation to your work? List the main sources of data, research and other sources of evidence (including full references) reviewed to determine impact on each equality group (protected characteristic). This can include national research, surveys, reports, research interviews, focus groups, pilot activity evaluations or other Equality Analyses. If there are gaps in evidence, state what you will do to mitigate them in the Evidence based decision making section on the last page of this template.

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Impact

2. What is the potential impact of your work on health inequalities? Can you demonstrate through evidenced based consideration how the health outcomes, experience and access to health care services differ across the population group and in different geographical locations that your work applies to?

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

3. How can you make sure that your work has the best chance of reducing health inequalities?

No local assessment. Policy based on other CCG's policies and best practice. Also considered was the relevant Luton And Dunstable University Hospital policy.

Monitor and Evaluation

4. How will you monitor and evaluate the effect of your work on health inequalities?

New HR monitoring system being developed

Quality Impact Initial Assessment.

Quality can be defined as embracing three key components:

- Patient Safety – there will be no avoidable harm to patients from the healthcare they receive. This means ensuring that the environment is clean and safe at all times and that harmful events never happen.
- Effectiveness of care – the most appropriate treatments, interventions, support and services will be provided at the right time to those patients who will benefit.
- Patient Experience – the patient’s experience will be at the centre of the organisation’s approach to quality.

What is the impact on:

Patient Safety?	Positive <input type="checkbox"/>	Negative <input type="checkbox"/>	Neutral <input checked="" type="checkbox"/>
Patient Experience?	Positive <input type="checkbox"/>	Negative <input type="checkbox"/>	Neutral <input checked="" type="checkbox"/>
Clinical Effectiveness?	Positive <input type="checkbox"/>	Negative <input type="checkbox"/>	Neutral <input checked="" type="checkbox"/>

If any there is any negative impact please complete seek advice from the Nursing and Quality Team and a full Quality impact assessment will need to be completed.

Name of person(s) who carried out these analyses: Paul Curry
Date analyses were completed: 17 May 2017

