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Title: Grievance reporting and resolution Procedure

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Document type: Procedure

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1 Introduction

Our Journey to Change and Trust's Values set out how we will provide the best possible care to users of our services and how we will promote and strive a culture whereby we are all treating our patients and each other with compassion and respect at all times.

The Trust recognises that there may be occasions whereby staff feel dissatisfied and aggrieved by situations that may arise, which are linked to pay and working conditions, terms of employment and workplace rules. Such concerns will be dealt with, with respect and compassion at all times.

This procedure aims to provide a supportive framework that encourages and allows staff to raise their concerns in an informal setting, with the initial aim of resolving these informally, however also allows a more formal process to commence in the event that attempts at informal resolution are not successful.

2 Purpose

Having this procedure, will allow staff to raise their concerns, with the intention of resolving them at the earliest opportunity by:-

- Encouraging informal discussions and resolutions of problems at an early stage
- Outlines a number of mechanisms available to try and resolve concerns/grievances informally
- Outlines the formal process (when informal attempts have been unsuccessful)

In order for grievances to be resolved, they should be raised at the earliest opportunity and ideally within 12 months, however, consideration of historical concerns will be considered on a case by case basis.

3 Who this procedure applies to

This procedure applies to all employees of the Trust.

4 Related documents

This procedure also refers to:

- Bullying and Harassment Reporting and Resolution Procedure
- Whistle Blowing (Freedom to speak up: raising concerns for the NHS) Policy
- Managing Concerns of Potential Conduct Procedure
- Managing Concerns of Potential Poor Performance
- Staff Development Policy

5 Procedure

5.1 What is a Grievance?

Grievances typically cover the following areas:

- pay and working conditions
- terms of employment and workplace rules
- disagreements/relationship difficulties (not identified as potential bullying and harassment)



For concern about perceived bullying and/or harassment or bullying, The Trust's Bullying and Harassment Reporting and Resolution Procedure must be followed



Staff are encouraged to raise any concerns of

Risk, malpractice or wrongdoing that is felt to be harming the service we deliver, these should be raised in line with the Trust's Freedom to Speak up Raising a Concerns process

Examples being:

- unsafe patient care
- unsafe working conditions
- inadequate induction or training for staff
- lack of, or poor, response to a reported patient safety incident
- suspicions of fraud, corruption or bribery (which can also be reported to our local counter-fraud team)
- a bullying culture (across a team or organisation rather than individual instances of bullying).



For Doctors in Training who are raising a Grievance in relation to work schedules, please use the Exception Report form at [Appendix 3](#) and follow the procedure detailed at [Appendix 4](#)



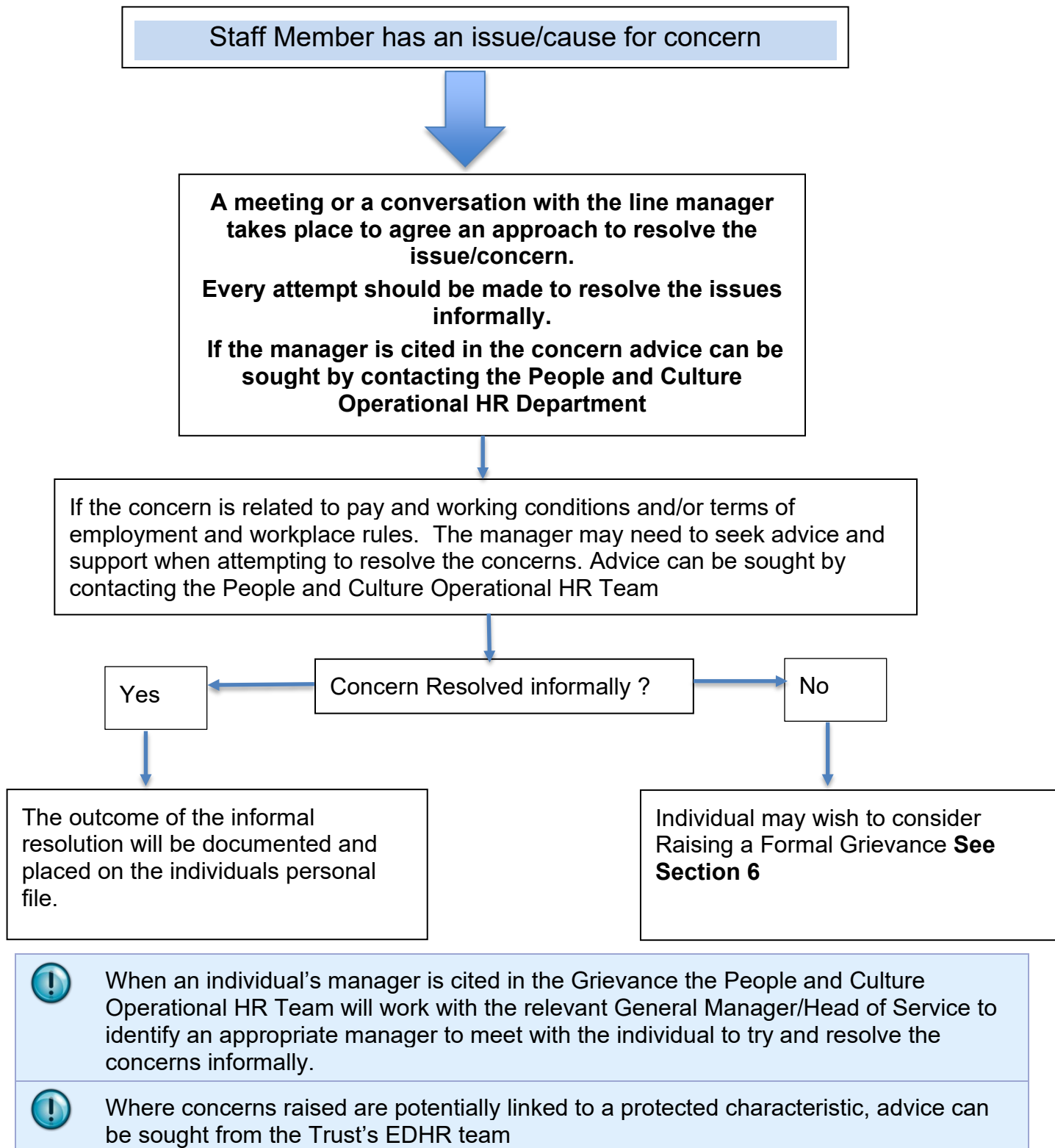
This procedure does not apply to Grievances about a Disciplinary process. Such concerns should be raised with the Commissioning Manager and/or addressed at the Disciplinary Hearing or Appeal and follow the Managing concerns of potential conduct (Disciplinary) Procedure. Staff in the Medical Staffing Directorate should refer to the Medical Remediation and Disciplinary Policy.

- If the Grievance is against the Chief Executive of the Trust, it must be made directly to the Director of People & Culture or the Chair of the Trust. The Chair or nominated deputy will consider the matter and the Director of People & Culture or nominated deputy will act in an advisory capacity. If the Grievance is against the Chair of the Trust, it must be made directly to the Senior Independent Director, details of which can be obtained from the Trust's Operational HR (Human Resources) Team in the People & Culture Directorate
- Information about a Grievance will be treated in confidence by everyone involved in the process. Grievances must not be made public by the Trust or by an employee, and any contact from the media must follow Trust processes. Advice can be sought from the Trust Communications Team.

5.2 Support for Staff

It is recognised that staff who feel they need to raise a grievance and those who may be subject to a grievance may find the process difficult and stressful. The Trust has in place a number of support mechanisms including support from Staff side Representatives, management support, Employee Support Services, Occupational Health, and Counselling Services. Full details on staff support can be found on the Trust Intranet - Staff Support Wellbeing and Support Section [Staff Wellbeing and support information | TEWV Intranet](#)

5.3 Raising Concerns Informally – Informal Resolution



6 Raising Concerns Formally (Formal Grievance)

6.1 All formal Grievances must be lodged in writing, by completing [Appendix 1](#) and be submitted to the HR Operational Team, People and Culture via TEAWVNT.HROperations@nhs.net



A formal Grievance should clearly outline the issue/s and/or cause of concern, what steps have been taken to address the concern/grievance informally, who has been involved in any attempts to resolve the Grievance informally, and a clear indication of what you require as a resolution to the Grievance.

If informal attempts have not been made, you may be asked if you wish to try to resolve the concerns/grievance informally prior to progressing to the formal process.

It is acknowledged that some staff may feel that they are unable to attempt an informal resolution. This does not prevent you raising a Grievance formally in the first instance.

Where a counter grievance is submitted, it may be appropriate for the same panel to hear both grievances. Advice can be sought from a People & Culture representative.

6.2 On Receipt of the Grievance the People and Culture - HR Operational Team will:

- Write to you (the complainant) and acknowledge receipt of the Formal Grievance, ideally within 7 days
- Send a copy of the Grievance to the appropriate Manager (i.e. General Manager), with a copy provided to the relevant People & Culture Representative
- Make arrangements for a Formal Grievance Hearing to take place – this should ideally be within 21 days of receipt of the formal Grievance Every effort will be made by all parties to avoid any delays; any delays will be documented by the People and Culture HR Operations Admin team with regular communication to the complainant and any staff member subject to grievance.

6.3 The appropriate Manager (i.e. General Manager) will:

- Assist in appointing a determining manager to chair the Grievance Hearing, who has the level of authority to agree a resolution
- Ensure that, if the Grievance is specifically about an individual(s), they will be afforded the right to respond (respondent), the appropriate manager must provide the respondent(s) with a copy of the Grievance (in a timely and sensitive manner). The respondents should also be advised that they will be invited to the Formal

Grievance Hearing, affording them full opportunity to respond to the concerns and any evidence presented against them

- ensure that both the individual (complainant) and the respondent(s) are provided with information on appropriate support available to them during the process

6.4 On behalf of the Determining Manager the People and Culture Operational HR Team will:

- Invite the complainant to a Formal Grievance Hearing, advising them of their right to be accompanied throughout the process by a companion
- Ensure the grievance panel, where necessary has panel members providing appropriate specialist advice for example Finance/Payroll, People and Culture – EDHR, IT, Nursing and Governance.
- Invite any respondents to the formal Grievance Hearing, advising them of their right to be accompanied throughout the process by a companion
- Invite any other individuals (participants) who may have been involved in any previous informal attempts to resolve the Grievance or who may be required to provide relevant information i.e. Payroll, People & Culture, IT, Nursing and Governance

7 Formal Grievance Hearing Process

The meeting will be chaired by an Appropriate Manager, supported by a People and Culture HR Operational Manager and if required a Professional Advisor (if required), including E&DHR if the concerns are linked to a potential protected characteristic

- The individual raising the concerns will be asked to provide the panel with details of their concerns. This will also include details of what attempts have been made to resolve the issues informally and how they think their concerns could possibly be resolved

- At this stage the individual raising the concern and their chosen companion/staff side representative, plus the panel will be the only individuals in attendance

- Any individuals involved in any informal attempts to resolve the concerns may be required to participate in the Formal Grievance hearing to explain how they have tried to resolve the concerns (participants)

- It is acknowledged as a way of resolving any concerns relating to disagreements/relationship difficulties (not raised as Bullying and Harassment) it may be of benefit if both/all parties are in the room together. Where this is felt to be the case, all parties will be asked prior to the hearing if they are willing for this to happen. If either party do not feel comfortable with this they can request (prior to the meeting) for the opposite party to not be present in the room at the same time. In the event of this, the panel will discuss and agree with all parties how best to facilitate the meeting to ensure that all parties are afforded full opportunity to present/hear/question the information being presented.
- The Determining Manager may request other individuals (participants) to attend and provide relevant information e.g. payroll, People & Culture, IT, Nursing and Governance (if not already an identified panel member)
- The full format of the Formal Grievance hearing, and appeal hearing is at [Appendix 2](#)

Potential Outcomes of the Formal Grievance Hearing

Decision Made

Based on the information presented, the Determining Manager may be in a position to come to a decision. Attempts will be made to provide you with this the same day as the Formal Grievance Hearing. If this is not possible then you will be notified of the decision within 7 days.

If you are satisfied with the outcome of the Formal Grievance Hearing – no further action is required.

If you are unsatisfied with the outcome of the Formal Grievance Hearing – You have the right to raise an appeal, See **Section 5.6**

Adjourn

Before making a decision; the Determining Manager may need more information and therefore suspend the Formal Grievance Hearing so information can be obtained.

The Determining Manager will:

- Adjourn the Formal Grievance Hearing
- Identify who will gather the additional information
- Identify likely timescales and agree them with the individual appointed to gather the information (this should be no longer than 6 weeks)
- All documentation to be used at the reconvened Formal Grievance Hearing must be received by the complainant at least 7 days before the Reconvened Grievance Hearing.

Decision Made

Based on all of the information presented during the course of the original and reconvened Formal Grievance Hearing a decision will be made. Attempts will be made to provide you with this the same day as the reconvened Formal Grievance Hearing, if this is not possible then you will be notified of the decision within 7 days.

If you are satisfied with the outcome of the Formal Grievance Hearing – no further action is required.

If you are unsatisfied with the outcome of the Formal Grievance Hearing – You have the right to raise an appeal, See **Section 5.6**



On conclusion of the Formal Grievance Hearing, the complainant will receive feedback from the Determining Manager along with a copy of the formal grievance hearing outcome letter. Any respondents will also receive a copy of the formal grievance hearing outcome letter. Outcome letters may need to be redacted if they contain information pertinent to other parties.

8 Raising an appeal

If you are unsatisfied with the outcome of the Formal Grievance Hearing, you must submit your appeal to the Operational HR Team within 7 days of receiving your outcome letter from the Formal Grievance Hearing.

When	Who	What
Within 7 days from Receipt of the Formal Grievance Hearing outcome letter	Individual (complainant)	<ul style="list-style-type: none"> You will be advised in your Formal Grievance Outcome letter who within the People & Culture Directorate an appeal should be addressed to Use form in Appendix 1 to submit a written appeal, clearly stating the reasons for your appeal

9 Grievance Appeal hearing

When	Who	What
On receipt of a Grievance appeal	Operational HR Team, People & Culture Directorate	<ul style="list-style-type: none"> Acknowledge receipt of the appeal in writing, ideally within 7 days Provide a copy to the Formal Grievance Hearing Determining Manager and People & Culture representative Invite the complainant to a Grievance Appeal Hearing Invite the Determining Manager from the Formal Grievance Hearing to a Grievance Appeal Hearing Invite any respondents or participants involved in the Formal Grievance hearing to the Grievance Appeal Hearing Advise the individual of their right to be accompanied by a companion
At least 2 weeks before the Grievance Appeal Hearing	Determining Manager from the Grievance Hearing	<ul style="list-style-type: none"> Submits their Grievance Hearing statement of case to the Operational HR Team, People & Culture Directorate
At least 7 days before the appeal hearing	Operational HR Team, People &	<ul style="list-style-type: none"> Sends all documents to be presented at the appeal hearing to all parties. Including

	Culture Directorate	any additional documents (gathered as additional information)
<ul style="list-style-type: none"> Full format of the Grievance Appeal hearing can be found at Appendix 2 		

10 Terms and definitions

Term	Definition
The “right to be accompanied”	<ul style="list-style-type: none"> Workers have a statutory right to be accompanied by a companion at a Grievance meeting which deals with a complaint about a duty owed by the employer to the worker. So this would apply where the complaint is, for example, that the employer is not honouring the worker's contract, or is in breach of legislation
Employee's Companion:	<p>‘The Chosen Companion may be a fellow worker, a trade union representative, or an official employed by a trade union. A trade union representative who is not an employed official must have been certified by their union as being competent to accompany a worker’</p> <p>(ACAS Code of Practice)</p> <p>A ‘fellow worker’ is an employee of the Trust.</p> <ul style="list-style-type: none"> The companion may address the hearing in order to present the employee's case, question witnesses, sum up the employee's case and respond on behalf of the employee to any view expressed at the hearing. The companion may not answer questions on behalf of the employee.

Grievance	Grievances typically cover the following areas <ul style="list-style-type: none"> o pay and working conditions o terms of employment and workplace rules disagreements
The Complainant	The individual who has raised the Grievance.
The 'Respondent(s)'	Individuals who have been identified specially by the complainant, i.e. who the Grievance is against.
Participants	Individuals who may be required to attend either the Formal Grievance Hearing or Appeal Hearing who have either been involved in any informal attempt to resolve the Grievance or who may be required to provide any relevant information.
Collective Grievance	May be raised when more than one employee has exactly the same Grievance. A collective Grievance is dealt with in the same way as an individual Grievance, following the same process. A nominated spokesperson and Trade Union Representative are to act on behalf of the collective group of employees during the Grievance process i.e. when dealing with communications related to the Grievance or attending a Grievance hearing.
Disputes	A Grievance that is raised by a number of Trade Unions or Professional Organisations against the Trust.
Mediation	<p>'A way of sorting out disagreements or disputes when a neutral third person works with those in the disagreement or dispute to help them reach an agreement that will resolve their problems'</p> <p>(ACAS)</p>

11 How this procedure will be implemented

<ul style="list-style-type: none"> • The Operational HR Team, People & Culture Directorate will produce a communication brief for the staff intranet, weekly all staff email
<ul style="list-style-type: none"> • This procedure will be published on the Trust's intranet and external website.
<ul style="list-style-type: none"> • Line managers will disseminate this procedure to all Trust employees through a line management briefing.

11.1 Training needs analysis

Staff/Professional Group	Type of Training	Duration	Frequency of Training
All staff	Training NA – Awareness required		

12 How the implementation of this procedure will be monitored

Number	Auditable Standard/Key Performance Indicators	Frequency/Method/Person Responsible	Where results and any Associate Action Plan will be reported to, implemented and monitored; (this will usually be via the relevant Governance Group).
1	Monitoring of informal and formal grievances	HR Operational Team - ongoing	Within People and Culture Reports distributed to Care Group General Managers, Care Group Directors and Care Group Board.

13 References

[ACAS Code of Practice](#)
[Employment Rights Act 1996](#)
[CIPD Best Practice](#)
[Data Protection Act 2018 \(GDPR\)](#)

14 Document control (external)

To be recorded on the policy register by Policy Coordinator

Date of approval	30 August 2024
Next review date	30 August 2026
This document replaces	Grievance Procedure HR-0002-v8.1
This document was approved by	HR Policy Working Group
This document was approved	30 August 2024
This document was ratified by	n/a
This document was ratified	n/a
An equality analysis was completed on this policy on	02 May 2023
Document type	Public
FOI Clause (Private documents only)	n/a

Change record

Version	Date	Amendment details	Status
v9	30 Aug 2024	<p>Full review of document with minor changes including:</p> <p>Reviewed in line with OJTC – Values</p> <p>Format changed in line with new template</p> <p>Staff Support Section – hyperlink to all available support added</p> <p>Emphasised Informal resolution options – brought to the forefront of the procedure</p> <p>Content Cross referenced against new changes to Bullying and Harassment procedure – Updated section 7</p> <p>Amendment of the HR Operations email address (noted at PWG)</p>	Approved

Appendix 1

TEES, ESK AND WEAR VALLEYS NHS FOUNDATION TRUST

Notification of Grievance* / Appeal against a Grievance outcome* (*delete as appropriate)

NAME(S): (of individual(s) raising Grievance or appeal) (the Complainant)

.....
.....

JOB TITLE(S):

DEPARTMENT(S):

BASE(S):

HOME ADDRESS/ADDRESSES FOR CORRESPONDENCE: (If more than one individual, please give the address/addresses of the nominated spokesperson(s) acting on behalf of and attending the Formal Grievance hearing on behalf of the collective group)

.....
.....
.....
.....
.....

NAME OF COMPANION:

NATURE OF GRIEVANCE OR REASONS FOR APPEAL: (please continue on a separate sheet if required)

DISCUSSIONS HELD TO DATE TO RESOLVE THE MATTER:

OUTCOME OF DISCUSSIONS HELD TO RESOLVE THE MATTER:

DESIRED RESOLUTION TO/OUTCOME OF THE FORMAL GRIEVANCE:

SIGNED: _____ DATE: _____

**ONCE COMPLETE PLEASE ADDRESS AND PROVIDE A SIGNED COPY
OF THIS FORM TO YOUR HEAD OF SERVICE**

*Please also provide a copy of this form to the Operational HR Team, People & Culture
Directorate:*

TEAWVNT.HROperations@nhs.net

Meeting Date:

.....

Who was present:

.....

Outcomes of Grievance:

.....

Appendix 2

Format for Formal Grievance Hearing

The complainant will state their case either personally or through their companion, calling any participants they feel necessary to support their case.

The respondent(s) will be invited to provide a response to the grievance.

Any other participants will be invited to provide any additional information if required.

The complainant or their companion will have the opportunity to ask questions of any respondents and participants.

The Formal Grievance Panel members will have the opportunity to question the complainant, their companion, the respondent or participants, throughout the process.

The Formal Grievance Hearing Panel (Determining Manager) will ensure that all parties have been afforded the opportunity to present all of the information they wish to be considered. The hearing will be adjourned for the panel to deliberate

Format for Grievance Appeal Hearing

The complainant will state their appeal case either personally or through their companion, calling any participants they feel necessary to support their case. The Determining Manager from the Formal Grievance Hearing will be given the opportunity to question the complainant, and any participants called.

The Determining Manager from the Formal Grievance Hearing will present their findings and rationale for the decision made at the Formal Grievance Hearing, calling the respondent and any participants as they feel necessary.

The complainant or their companion will have the opportunity to ask questions of the Determining Manager from the Formal Grievance Hearing, any respondents or participants.

Throughout the process the Grievance Appeal Panel will have the opportunity to ask questions of the complainant, their companion, the Determining Manager from the Formal Grievance Hearing, respondents and participants.

The Appeal Hearing Panel (Determining Manager) will ensure that all parties have been afforded the opportunity to present all of the information they wish to be considered.

Both parties will have the opportunity to sum up their case, the individual aggrieved or their companion will have the last word.

The Formal Grievance Hearing panel will deliberate in private, only recalling individuals to clear points of uncertainty on evidence already given. If during their deliberations the panel feel that further information is required, they may fully adjourn the hearing and arrange for the hearing to be reconvened.



Any further information gathered will be presented to the reconvened Formal Grievance Hearing, affording all attendees the opportunity to ask questions/points of clarity in relation to the additional information presented.



The Grievance Appeal Panel will deliberate in private, only recalling either party to clear points of uncertainty on evidence already given. If during their deliberations the panel feel that further information is required, they may adjourn the hearing and arrange for the hearing to be reconvened.



Any further information gathered will be presented to a reconvened Grievance Appeal Hearing all participants will be afforded the opportunity to ask questions/points of clarity in relation to the additional information presented.



Before making a decision at either the Grievance Hearing or Appeal Hearing, the Determining Manager should consider:

- The reasonableness of the actions taken or not taken at the previous stage
- Any mitigating circumstances which may have a bearing on the case
- Consistency is applied.
- Whether the proposed resolution/decision and action are reasonable in the circumstances

If a decision can be reached the same day this decision will be communicated verbally to both parties at the meeting. If this is not possible the decision will be communicated in writing by the Determining Manager to the manager and the employee. This document will include:

- the nature of the Grievance raised
- the findings of the Determining Manager
- the decision(s) of the Determining Manager
- the reasons for those decisions
- the proposed actions
- the timescale over which those proposed actions will take place, and a mechanism to ensure all actions have been completed, including any implications off non completion
- notification that the details of the Grievance will be retained on file

- notification of the right of appeal against the decision in accordance with the Grievance procedure (There is no right of appeal against a decision at a Stage 2 Hearing as this is the final stage in the process)

If it is not possible to reach a decision and communicate this **within 7 days** the reasons for the delay must be communicated to the employee and a timescale for response identified.

Appendix 3

TEES, ESK AND WEAR VALLEYS NHS FOUNDATION TRUST

JUNIOR DOCTOR 'EXCEPTION REPORTS' ONLY

Notification of Grievance*/Appeal against a Grievance Outcome* (delete as appropriate)

DOCTOR'S NAME raising Grievance or appeal:

.....

GRADE OF DOCTOR:

.....

SPECIALITY:

.....

LOCALITY:

.....

HOME ADDRESS FOR CORRESPONDENCE:

.....

.....

.....

NAME OF COMPANION (If applicable)

.....

NAME OF CLINICAL SUPERVISOR:

.....

NATURE OF GRIEVANCE OR REASON FOR APPEAL (please continue on a separate sheet if required)

PLEASE DETAIL THE OUTCOME YOU ARE SEEKING

OUTCOME OF PREVIOUS ATTEMPTS TO RESOLVE THE GRIEVANCE:

Meeting Date:

.....

Who Present:

.....?

Outcome(s) of Grievance:

.....

Signed: Date:

Please send this form to Medical Staffing Manager for actioning: TEAWVNT.medicalstaffing@nhs.net

Appendix 4

FOR JUNIOR DOCTORS IN RELATION TO 'EXCEPTION REPORTS' ONLY

'Exception Reporting' – where a doctor in training feels their workload or pattern of working is deviating significantly or routinely from their intended work schedule or they cannot access training as specified in their work schedule.

The following process should be followed for doctors in training only in relation to 'Exception Reporting'. Any Grievances other than 'Exception Reporting' should be dealt with using the Trust's general Grievance procedure at the front of this document.

Level 1 Process:

This is the informal stage where you will have discussed your issues or concerns detailed in your 'Exception Reports' with your Clinical Supervisor and only if you are dissatisfied with the outcome of that discussion would you proceed to Level 2 below (which is the formal Grievance process).

Level 2 Process:

- If doctor dissatisfied with outcome from Level 1 process, the doctor can request a Level 2 work review within 14 days of receiving notification of the outcome.
- A written request (complete [Appendix 1](#) of the Trust Grievance procedure), detailing the areas of your disagreement to the work schedule outcome and details of the outcome you are seeking. This should then be forwarded to the Medical Staffing Manager and copying in your Clinical Supervisor.
- A Level 2 review discussion should take place, no later than 21 days after receipt of the doctor's formal written request.
- A Level 2 review panel will be arranged and will consist of the following members:
 - Clinical Supervisor (for reference purposes only)
 - Doctor requesting review
 - Medical Education Manager or Medical Staffing Manager
 - Associate DME
 - Academic Supervisor (only doctors on integrated academic training pathway)
- Panel will consider the outcome from the Level 1 conversation and the outcome will be one of the following:
 - The Level 1 outcome upheld
 - Compensation of time off in lieu is required
 - No change to the work schedule is required
 - Prospective documented changes are made to the work schedule
 - Organisational changes such as review of the timings of ward rounds, handovers and clinics are needed.
- The panel will communicate their decision in writing.

If doctor is dissatisfied with the outcome from the Level 2 meeting, they may request a 'Final Stage Work Review' within 14 days of receiving notification of the decision.

Final Stage: (For LET employed doctors they need to follow their own Grievance Procedure at this point).

- The doctor must set out the areas of disagreement about the work schedule and detail the outcome they are seeking.
- The final stage for a work review is a 'Formal Hearing' under the Grievance procedure.
- The final stage review hearing will be arranged and will consist of the following members:
 - Clinical Supervisor (for reference purposes only)
 - Doctor requesting review
 - Associate Director of Medical Development
 - Director of Medical Education (if a training issue) or Guardian (if working hours issue) or both if applicable.
 - Academic Supervisor (only doctors on integrated academic training pathway)
- Panel will consider the outcome from the Level 2 meeting and the outcome will be one of the following:
 - The Level 2 outcome upheld
 - Compensation of time off in lieu is required
 - No change to the work schedule is required
 - Prospective documented changes are made to the work schedule
 - Organisational changes such as review of the timings of ward rounds, handovers and clinics are needed.
- The panel will communicate their decision in writing.

The decision of the panel will be final.

Appendix 5 – Equality Impact Assessment

Please note: The Equality Analysis Policy and Equality Analysis Guidance can be found on the policy pages of the intranet

Section 1	Scope
Name of service area/directorate/department	People & Culture
Title	Grievance Procedure
Type	Procedure
Geographical area covered	Trust wide
Aims and objectives	For the Trust to encourage informal discussion and resolution of issues at an early stage, however, this does not preclude an employee raising a formal Grievance whilst attempts to seek a resolution are ongoing,
Start date of Equality Analysis Screening	April 2022
End date of Equality Analysis Screening	May 2023

Section 2	Impacts
Who does the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan benefit?	The procedure's aim is to benefit all Trust Staff to support them to raise concerns at the earliest opportunity on either an informal or formal basis, to support staff with options in relation to informal resolution to their concerns and to support managers when dealing with concerns raised either informally or formally.
Will the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or	<ul style="list-style-type: none"> Race (including Gypsy and Traveller) NO

Business plan impact negatively on any of the protected characteristic groups?	<ul style="list-style-type: none"> • Disability (includes physical, learning, mental health, sensory and medical disabilities) NO • Sex (Men, women and gender neutral etc.) NO • Gender reassignment (Transgender and gender identity) NO • Sexual Orientation (Lesbian, Gay, Bisexual, Heterosexual, Pansexual and Asexual etc.) NO • Age (includes, young people, older people – people of all ages) NO • Religion or Belief (includes faith groups, atheism and philosophical beliefs) NO • Pregnancy and Maternity (includes pregnancy, women who are breastfeeding and women on maternity leave) NO • Marriage and Civil Partnership (includes opposite and same sex couples who are married or civil partners) NO • Veterans (includes serving armed forces personnel, reservists, veterans and their families) No
Describe any negative impacts	There have been no known reported cases whereby a staff member with a protected characteristic has felt the Grievance procedure negatively impacts upon them. However, People & Culture will continue to monitor this and make any recommendations if a case of this nature should arise.
Describe any positive impacts	The procedure encourages all staff to raise concerns at the earliest opportunity, focussing on attempts to resolve their concerns informally. However, this does not prevent staff from raising their concerns on a formal basis. The procedure provides means for anyone with a protected characteristic to raise concerns of unfair treatment.

Section 3	Research and involvement
------------------	---------------------------------

What sources of information have you considered? (e.g. legislation, codes of practice, best practice, nice guidelines, CQC reports or feedback etc.)	<p>ACAS Code of Practice, Employment Rights Act 1996</p> <p>Focus groups</p> <p>The Big Conversation</p> <ul style="list-style-type: none"> • Legislation • CIPD Best Practice • ACAS Code of Conduct • Trust Mediation Service • Feedback from previous Grievance processes • Grievance focus group • Data Protection Act 2018 (GDPR)
Have you engaged or consulted with service users, carers, staff and other stakeholders including people from the protected groups?	Yes/
If you answered Yes above, describe the engagement and involvement that has taken place	all staff were invited to attend a number of focus groups focussed on the HR Procedures. All staff were invited to comment on the Big Conversation – in relation to HR procedures
If you answered No above, describe future plans that you may have to engage and involve people from different groups	

Section 4	Training needs
As part of this equality analysis have any training needs/service needs been identified?	No formal training

Describe any training needs for Trust staff	Awareness information/sessions for existing managers. In-depth session for new managers (on all of the HR procedures) as part of their local induction.
Describe any training needs for patients	NA
Describe any training needs for contractors or other outside agencies	NA

Check the information you have provided and ensure additional evidence can be provided if asked

Appendix 6 - Approval checklist

To be completed by lead and attached to any document which guides practice when submitted to the appropriate committee/group for consideration and approval.

	Title of document being reviewed:	Yes / No / Not applicable	Comments
1.	Title		
	Is the title clear and unambiguous?	Yes	
	Is it clear whether the document is a guideline, policy, protocol or standard?	Yes	
2.	Rationale		
	Are reasons for development of the document stated?	Yes	
3.	Development Process		
	Are people involved in the development identified?	Yes	
	Has relevant expertise has been sought/used?	Yes	
	Is there evidence of consultation with stakeholders and users?	Yes	
	Have any related documents or documents that are impacted by this change been identified and updated?	Yes	
4.	Content		
	Is the objective of the document clear?	Yes	
	Is the target population clear and unambiguous?	Yes	
	Are the intended outcomes described?	Yes	
	Are the statements clear and unambiguous?	Yes	
5.	Evidence Base		
	Is the type of evidence to support the document identified explicitly?	Yes	
	Are key references cited?	Yes	
	Are supporting documents referenced?	Yes	
6.	Training		
	Have training needs been considered?	Yes	
	Are training needs included in the document?	Yes	

	Title of document being reviewed:	Yes / No / Not applicable	Comments
7.	Implementation and monitoring		
	Does the document identify how it will be implemented and monitored?	Yes	
8.	Equality analysis		
	Has an equality analysis been completed for the document?	Yes	
	Have Equality and Diversity reviewed and approved the equality analysis?	Yes	
9.	Approval		
	Does the document identify which committee/group will approve it?	Yes	
10.	Publication		
	Has the policy been reviewed for harm?	Yes	
	Does the document identify whether it is private or public?	Yes	
	If private, does the document identify which clause of the Freedom of Information Act 2000 applies?	Yes	