



Resolving Issues at Work Policy and Procedure (formerly Grievance)

Document Control Sheet

Reference Number	HRRIAW
Version Number	01
Document Author	HR Business Partner
Lead SMB Member	Head of HR
Ratifying Committee	Policy & Resources
Date Ratified	
Date Policy Effective From	
Next Review Date	

Unless this copy has been taken directly from Ryedale District Council's intranet, there is no assurance that this is the most up to date version.

This policy supersedes all previous issues.

1. Purpose and Scope

- 1.1. This policy should be used to encourage all employees of Ryedale District Council to bring their individual concerns or complaints to the attention of management. The Council aims to address all issues at work quickly, fairly and consistently and seeks to resolve these at the earliest stage possible. All cases dealt with under this procedure, whether formal or informal, will be conducted in strictest confidence, unless otherwise agreed by all parties.
- 1.2. Some issues likely to be dealt with through this policy include;
 - Relationships at work (with colleague/manager)
 - Equalities e.g. discrimination
 - Harassment and bullying
 - Health and safety
 - Terms and conditions of employment
- 1.3. The policy should be used for resolution of all issues at work except grading and collective disputes. This policy does not apply to Chief Executives (please refer to the Officer Code of Conduct) or Elected Members. Should an employee wish to raise an issue regarding an Elected Member they must submit this in writing to the Monitoring Officer.
- 1.4. This policy must not be used in connection with issues currently being dealt with under separate policies and procedures e.g. discipline, harassment and bullying, grading appeals, collective disputes and/or as a mechanism for challenging an outcome from the use of such a policy.

2. Principles

- 2.1. The following principles will be applied to all Resolving Issues at Work matters;
 - Wherever possible issues raised should be dealt with quickly, informally and at the lowest managerial level possible at which the matter can be resolved.
 - The stages of the procedure must be followed in sequence.
 - Employees have the right to be accompanied by a Trade Union Representative, or a work colleague, at all formal stages of the procedure.
 - The outcome of a Resolving Issues at Work matter should not be decided until the employee has been provided with a proper opportunity to state their issues, and the issues raised have been adequately investigated and considered.

- However, there will be circumstances where stated timescales in the procedure cannot be met to enable full and detailed investigation of the issues raised by the employee. In such circumstances an explanation should be given with an indication of when a response may be expected.
- Employees will be clearly informed of the outcome of their Resolving Issues at Work matter in writing via email and/or letter.
- All records relating to proceedings and outcomes will be stored confidentially.
- The Investigating Officer hearing an employee's issues will need to be impartial. At each stage of the procedure the person investigating must not have been actively involved in any of the earlier stages.

3. Procedure

3.1. There are three stages of the Resolving Issues at Work procedure which are as follows;

- Stage 1 – Informal Approach
- Stage 2 – Formal Meeting with Action Plan
- Stage 3 – Appeal

4. Stage 1 – Informal Approach

- 4.1. In the first instance all issues should try to be dealt with informally. The issue should initially be raised with the immediate line manager who can try to resolve informally. If the issue is about the employee's immediate line manager then Stage 1 should be invoked through another manager to consider an informal resolution.
- 4.2. If the line manager deems an action plan to be appropriate at this stage then this can be completed as part of the informal process.
- 4.3. If after the informal approach the employee does not feel a suitable resolution has been met, or after initial consideration, an informal approach is not appropriate, (i.e. the matter is about the immediate line manager), then stage 2 may be initiated. 'Stage 2 – Formal Meeting'.
- 4.4. If the issue is dealt with informally then notes should be made by the manager and a record of the solution kept on the employees file for 6 months.

5. Stage 2 – Formal Meeting/Action Plan/Outcomes

- 5.1. If an employee wishes to proceed to a formal meeting they must have either exhausted the informal stage of this process or have concluded that it would

not be suitable to be dealt with informally.

- 5.2. The employee must put their issue in writing using the form at Appendix A, detailing the nature of their issues and what they believe to be the resolution to this. This should be sent to their immediate line manager. If the issue is about their line manager then it should be sent to their manager's manager instead.
- 5.3. The manager who is to investigate should then write to the employee to acknowledge receipt, and invite the employee to a meeting which is usually within 10 working days of receipt of the Resolving Issues at Work matter. They have the right to be accompanied by a Trade Union Representative or a work colleague.
- 5.4. Notes of the meeting will be taken and provided to the employee to verify and sign to ensure that an accurate record of the meeting has been taken.
- 5.5. During the investigation into the issue it may be appropriate for the manager carrying out the investigation to speak to other employees if they believe other employees may have information that could help. The other employees will also be notified in advance of the date, time and venue of the meeting and will have the right to be accompanied by either a Trade Union Representative or work colleague. Notes of this meeting will also be taken and then provided to the employee to verify and sign to ensure that an accurate record of the meeting has been taken.
- 5.6. Once the manager carrying out the investigation has concluded, they will send a written response to the Resolving Issues at Work matter, usually within 10 working days of the meeting. If this timescale is not reasonably practicable the manager will keep the employee fully informed.
- 5.7. An action plan (Appendix B) may be produced as a result of the Resolving Issues at Work matter if this is appropriate. The action plan should be written in conjunction with the employee wherever possible/reasonably practicable.

6. Stage 3 – Appeal

- 6.1. If the employee remains dissatisfied with the outcome at the conclusion of stage 2, they may appeal. This must be put in writing using Appendix C within 10 working days of the receipt of the outcome letter to Stage 2. The employee must outline their reasons for appeal. The employee's appeal letter must be sent to the investigating manager who dealt with the issue at the formal stage.
- 6.2. The manager (or nominated manager) will inform a member of the Senior Management Team (hearing officer) who will acknowledge the receipt of the appeal and if required make arrangements for the appeal hearing to take place. A member of Human Resources will be present at the appeal hearing.

- 6.3. The employee will be given at least 5 days' notice of the date, time and venue of the hearing.
- 6.4. Should the employee wish to present documentation or call any witnesses they should provide the documentation and notify of their intent to call witnesses to the hearing officer at least 5 working days prior to the date of the hearing.
- 6.5. Following the hearing, the hearing officer will respond in writing no more than 10 working days of the hearing.
- 6.6. Any employee(s) who raise a Resolving Issues at Work matter that is found to be vexatious may face disciplinary action. A vexatious matter is one which is fabricated for personal gain and/or the purpose is to harm the subject of the complaint or cause undue delay to a process.

DRAFT

RIAW: Employee pro-forma to outline issues and help discussions

Name		Contact No	
Job Title		Dept	

Please outline your issue/s with regard to:	
1. What is causing you concern?	
2. Who has been involved in this?	
3. What action have you taken to resolve it?	
4. Why has this not worked?	
Please outline how you think this situation could be resolved	
Please state if additional information has been supplied	

Employee signature	
Date	

Please send completed form to your line manager

RIAW: ACTION PLAN

Employee Name		Line Manager or Investigating Officer Name	
Informal or Formal (<i>circle as appropriate</i>)		Date	

	Issue raised	Action to take place	Dates of meetings/milestones	People involved	Outcomes
1					
2					
3					
4					
5					
6					
7					

Date for Review		<i>If applicable - informal process only</i>
------------------------	--	--

RIAW APPEAL FORM

Name		Contact No	
Job Title		Dept	

Please outline your reason for appeal:	
1. The RIAW has not been dealt with satisfactorily	
2. The procedure followed was wrong	
3. The procedure was unfair	
Please quantify the reason for appeal	
Please state if additional information has been supplied	

Employee signature	
Date	

Please send completed form to your line manager