

RESOLUTION PROCEDURE

1. INTRODUCTION

This procedure details how an employee can seek to resolve concerns, problems or complaints (otherwise known as a grievance) they have regarding their employment and which an employee (or group of employees) feels need to be resolved to enable them to be able to effectively undertake their role.

The University aspires to continuously evolve and improve and as such, supports a resolution framework, which encourages positive early resolution. This approach will increase employee engagement and encourage an atmosphere in which workplace problems can be discussed as early as possible and resolved through open communication. When situations of concern are managed well, they can lead to healthy and resilient relationships.

1.1 Purpose

- 1.1.1 This resolution procedure is intended to assist in the resolution of grievances, concerns, problems and complaints (hereafter referred to as concerns) in a fair, consistent, and effective manner.
- 1.1.2 This resolution procedure provides a structure to help deal with individual and collective concerns¹ consistently, fairly, promptly, and wherever possible, to encourage and facilitate a timely resolution and as close to the point of origin as possible.
- 1.1.3 The University encourages open communication so that questions and difficulties arising during employment can be brought into the open and resolved quickly. If a staff member has a concern, problem or complaint associated with their work, the staff member should in the first instance, talk it over with their manager, wherever possible. It may be possible to agree an informal solution and resolve concerns. This is often quicker and more responsive than pursuing what can be a lengthy and involved formal process.
- 1.1.4 This procedure supports communication through timely, open and honest conversations. Early resolution encourages all individuals to hold themselves accountable for their actions or behaviours that may have contributed to the situation. Having quality conversations will provide constructive opportunities to

¹ The principles for “collective concerns” can be found at Annex A.

Speak openly and honestly about any concerns to stop situations escalating and provide solutions to all involved.

- 1.1.5 If the matter is more serious, or if informal interventions have been unsuccessful, it may be appropriate to raise the matter formally through this procedure.

1.2 Scope

- 1.2.1 This procedure applies to all staff, however for Academic staff whose employment is governed by the University Statute 31², the stages up to and including Stage 2 of this procedure are treated as the informal stages under the Statute (clauses 33.1-33.5). Thereafter Academic staff will follow the formal stages identified under Statute 31.
- 1.2.2 This procedure will be applied fairly and consistently to all staff at all times, in accordance with the University's commitment to Equity, Diversity and Inclusion.
- 1.2.3 Staff may raise a concern as an individual or collectively as a group of staff. Please refer to Appendix A for explanation of a collective concern.
- 1.2.4 This procedure may not be used to resolve issues of bullying and harassment. The University Dignity and Respect Policy Statement and Procedure for a Member of Staff to Raise a Complaint of Bullying or Harassment sets out how complaints of bullying, harassment and victimisation will be addressed. Where complaints concern sexual misconduct, the Sexual Violence and Misconduct Policy and Sexual Violence and Misconduct Procedure should be applied.
- 1.2.5 If a concern is raised by a member of staff which is material to a disciplinary case, it will be considered within the context of the disciplinary investigation and the relevant disciplinary procedure. Additionally, concerns relating to the handling or outcome of any other process, particularly where the process provides a right of appeal, should be dealt with in accordance with the relevant procedure and will not be considered separately under the Resolution Procedure.
- 1.2.6 If a concern relates to a matter for which the University has specific procedures e.g. whistleblowing, the matter will be dealt with under the relevant procedure.
- 1.2.7 The fact that an employee has raised a concern under this procedure will not preclude the University from commencing, continuing or concluding another University process or procedure (e.g. disciplinary or capability).
- 1.2.8 Issues that are the subject of collective negotiation or consultation with the campus trade unions will not be considered under the resolution procedure.
- 1.2.9 In the event of a concern being raised, there is an expectation that every effort will be made to resolve the matter through informal discussion in the first instance.

² The employment of Academic staff on grade 7a is not governed by Statute 31.

1.2.10 Employees must endeavour to raise any concerns they have in a prompt and timely manner and without unreasonable delay (ideally within 3 months of their concern arising/ date of the last incident occurring) to try and facilitate a resolution as soon as possible. Employees are also asked to consider, and outline from the outset of this procedure, the nature of the resolution sought. It is considered that focusing on a desired resolution is more likely to lead to a prompt resolution. If the concern relates to historical issues it will be important for the investigating officer to understand the reasons for the delay in raising concerns.

2. PROCEDURE

2.1 Informal Resolution – Stage 1

2.1.1 Employees are encouraged to use the information resolution stage prior to the formal process. It is in the interests of all involved if concerns can be resolved without moving to a formal process. Raising concerns at the earliest possible opportunity can help to prevent positions become entrenched and avoid the situation escalating. Focusing on resolving workplace issues constructively and in a timely manner when they arise, helps to create and sustain a positive working environment.

2.1.2 All attempts should always be made to resolve matters informally and promptly in the first instance. This will normally involve a discussion between the individual and their immediate line manager as early as possible, to explain the problem and the proposed resolution.

2.1.3 Where a staff member's concerns relate to the actions of their immediate manager, and where they feel unable to discuss the matter with the individual directly, the staff member may wish to discuss this informally with the line manager of their immediate manager. Where individuals have concerns about approaching their manager, they can seek advice and guidance from the Employee Relations team (Directorate of People and Organisational Development) They will not be able to resolve the problem in isolation, but can discuss concerns about raising matters with their line manager or senior manager

2.1.4 The relevant manager should allow the staff member to explain their concerns and ask the individual how they would like to see the matter resolved. The focus of informal resolution is on attempting to resolve the issue through discussion/informal intervention and in particular on ways of avoiding similar issues arising in the future.

2.1.5 The manager may need to adjourn the meeting to further consider the concern and/or fact finding to establish what happened and explore a way forward. The manager will respond as quickly as possible detailing the steps taken to resolve the concern. This will be confirmed in writing.

2.2 Formal Resolution Procedure - Stage 2

- 2.2.1 Prior to any formal process, the expectation is that the informal stage has been undertaken and there should be evidence that informal resolution has been explored. Where a concern is not resolved informally, or it is a serious issue such as discrimination, the individual should raise the matter formally in writing and without unreasonable delay with their Head of School or Professional Service area, or senior (second line) manager³ where appropriate, with a copy also being sent to Employee Relations. Where a concern is raised by a Head of School or Professional Service area, or more senior staff member, it should be submitted to the Employee Relations Manager who will discuss concerns with the appropriate manager.
- 2.2.2 Please note that for Academic staff whose employment is governed by Statute 31, both Stage 1 and Stage 2 are in accordance with the informal stage. Should matters remain unresolved following Stage 2, they may be raised at Stage 3 as outlined in section 2.6.
- 2.2.3 The written concern at Stage 2 should be submitted on the Formal Resolution - Stage 2 form contained in Annex C and outline clearly the nature of the concern(s) (including any relevant facts, dates, and names of individuals involved or witnesses), include evidence where available, detail actions taken to attempt to resolve the concern(s) informally and should, where appropriate, specify the preferred resolution sought and rationale for the preferred resolution. Further guidance on this matter can be sought from People and Organisational Development. Where a resolution isn't specified, the concern will not be progressed and individuals will be asked to review and resubmit the concern.
- 2.2.4 The receiving manager will review the submission and discuss with a member of the People & Organisational Development team, as necessary, to determine if the concern may be considered under this procedure. Where an individual has not first raised concerns through informal resolution, the receiving manager and People & Organisational Development will determine whether consideration should be given to resolving the matter informally and will discuss this with the staff member. Individuals will be encouraged to raise concerns via informal resolution before the formal process is instigated wherever possible, noting however that an attempt at informal resolution may not always be appropriate due to the nature of the concern or complaint. Additionally, if the proposed resolution can be adopted without the need for formal meetings, the manager will invite the individual to discuss alternative ways of resolving the concern.
- 2.2.5 The receiving manager will inform the staff member if the concern will not be considered under this procedure. For example, if a concern is a repeat of a matter that has been raised before and the circumstances haven't changed, if the matter is addressed via another process, or if a resolution can be provided without the need for formal meetings.

³ See section 2.2.3

- 2.2.6 Where a matter is to be taken forward as a formal stage 2 resolution, an appropriate manager will be appointed (hereafter referred to as reviewing manager).
- 2.2.7 At all formal stages of the procedure a staff member has the right to be accompanied by a representative of a recognised trade union or by a colleague employed by the University. The staff member should advise the reviewing manager and People & Organisational Development lead whether their representative should be sent copies of all relevant documentation.
- 2.2.8 Individuals absent due to sickness during a resolution process may be invited to participate in formal meetings, however individual circumstances will be taken into consideration at the time and advice may be sought from Occupational Health and/or the individual's GP on a case by case basis.
- 2.2.9 Where a formal resolution is raised during a notice period it may be directed to the leaver's procedure and an exit interview held to understand more about concerns. This may result in the concern being reviewed following the employee's departure. In such instances no outcome will be provided following employment, however, where necessary, appropriate recommendations will be implemented to prevent the concern from occurring again in the future. Similarly, if a concern is raised post-employment, whilst the University reserves the right to investigate concerns to take any necessary action, this will not be conducted according to the resolution procedure.

2.3 Resolution Meeting

- 2.3.1 Normally within 10 working days of the staff member submitting their written statement, and which is appropriate to be considered in accordance with this process, they will be invited to a resolution meeting. The date of this meeting will be as soon as is reasonably practicable, however the individual will normally be given at least 7 calendar days' notice of the meeting (this should be extended for University closure days). Where further time is required to consider evidence or to seek clarification, the staff member will be kept informed of likely timescales.
- 2.3.2 It is recognised that processes of this nature are difficult for all concerned and it is important to proceed promptly, to ensure swift and appropriate resolution wherever possible. Support will be provided to enable individuals to attend meetings where requested and it is important for individuals to engage fully with the process. It is acknowledged that whilst individuals may find proceedings distressing, delaying the process may be more detrimental than continuing with it. Where appropriate to do so, the lead manager will make any required adjustments to enable matters to be progressed. Where an individual(s) raising concerns fail to attend meetings, it may lead to the complaint being closed. Individuals will be warned that this is a potential outcome where it is necessary to consider such action.
- 2.3.3 A member of People & Organisational Development may be present during formal meetings to advise the manager chairing the resolution meeting. The staff member raising the concern will be able to be accompanied at the

meeting by a Trade Union representative or University employed colleague. The chosen representative must not have been involved or witness to the concern as they may need to be spoken to as a potential witness and this may pose a conflict of interest. Where the manager considers the chosen representative may compromise the resolution process the employee will be informed of the reasons why and be advised of their right to source an alternative.

- 2.3.4 At the resolution meeting the staff member raising concerns will be given the opportunity to explain their concerns, what action they consider should be taken to resolve the matter and why they believe such a resolution to be appropriate.
- 2.3.5 The focus of the resolution procedure is to seek to resolve concerns or complaints and so the resolution meeting will focus on both seeking to understand the concern in more detail and also moving towards a resolution. This may necessitate the manager understanding in full the rationale behind a suggested resolution sought, and to manage the individual's expectations where a resolution may not be deemed appropriate.
- 2.3.6 Following the meeting the reviewing manager considering the matter may need to conduct further investigations, which may involve gathering documents to be reviewed or speaking to potential witnesses. During an investigatory meeting with witnesses, they will be provided with sufficient and relevant information about the complaint to assist them in understanding the nature of the matter and to enable them to respond.
- 2.3.7 On conclusion of the investigation the reviewing manager shall prepare a written document summarising the nature of the concern, the investigation (where applicable) the decision and the reasons for the decision, along with any recommendations or resolution.
- 2.3.8 If at any point during the investigation, evidence comes to light which leads the reviewing manager to believe that the matter is unfounded, vexatious or trivial, the manager may decide to reject the submitted concerns. The manager will meet with the individual raising the concerns prior to making any such decision.
- 2.3.9 Outcomes will normally be communicated without unreasonable delay, usually within 14 calendar days after the meeting (this period should be extended for closure days). However, should further time be required to investigate matters this timescale will be extended as appropriate. The staff member raising the concern will be kept apprised of likely timescales at agreed intervals. The outcome letter will be copied to the Head of School or Head of Professional Service area, or if they were the subject of the concern, to the Dean or Director.
- 2.3.10 If the complaint was about another staff member, they will also be written to confirming the outcome. They will not be provided with the full detail, but given details of any actions to be taken to resolve the concerns which specifically relate to them.

2.3.12 If during the course of the investigation, or upon conclusion, the reviewing manager decides that there is sufficient evidence that issues are serious and there is a case of misconduct, the matter will be referred to the appropriate staff disciplinary and appeals procedure.

2.3.13 Employees will be informed of their right to appeal the outcome following Stage 2, if the matter remains unresolved. Details of the Appeal Manager, to whom any appeal should be addressed will be included in the written outcome letter. Further details are contained in section 2.4 below.

2.4 Appeal to Council – Stage 3

2.4.1 If following Stage 2 the employee feels that their formal concern has not been satisfactorily resolved, the matter may be referred to appeal at Stage 3.

2.4.2 Appeals should normally satisfy one or more of the following criteria:

- there was a failure to follow the procedure, which had a material impact on the outcome;
- the outcome and action taken was unreasonable or disproportionate to the concern;
- new information that has come to light that should be considered that was not available at the time of the resolution process.

2.4.3 Should the employee wish to progress the matter to Stage 3, they should write to the Secretary to Council within 10 days of the formal notification of the outcome of Stage 2 stating the grounds for appeal, detail the resolution sought and why they believe such a resolution to be appropriate. Note for Academic staff whose employment is governed by Statute 31, the employee should write to the Vice-Chancellor to progress the matter to Stage 3.

2.4.4 The decision at Stage 3 is final.

2.5 Procedure for Academic staff whose employment is governed by Statute 31

2.5.1 Please note that for Academic staff whose employment is governed by Statute 31, Stage 3 of these Procedures will follow the procedure set out in Part VI of Statute 31 which, for ease of reference, is replicated below and adopts the numbering of the Statute. The complete text of the University Statutes is available from the University website.

Statute 31, Part VI - Grievance Procedures

Purpose of Part VI

31. The aim of this part is to settle or redress individual grievances promptly, fairly and so far as may be, within the Board, Faculty, School, Institute, Delegacy, Department or other relevant area by methods acceptable to all parties.

Application

32. The grievances to which this Part applies are ones by members of the academic staff concerning their appointments or employment where those grievances relate –

- a) to matters affecting themselves as individuals; or
- b) to matters affecting their personal dealings or relationships with other staff of the University, not being matters for which express provision is made elsewhere in this Section.

Exclusions and Informal Procedures

33.1 If other remedies within the school, department or other relevant area have been exhausted the member of the academic staff may raise the matter with the Head of the Board, Faculty, School, Institute, Delegacy, Department or other relevant area.

33.2 If the member of the academic staff is dissatisfied with the result of an approach under sub-clause (1) or if the grievance directly concerns the Head of the Board, Faculty, School, Institute, Delegacy, Department or other relevant area, the member may apply in writing to the Vice-Chancellor for redress of the grievance.

33.3 If it appears to the Vice-Chancellor that the matter has been finally determined under Part III, IV or V or that the grievance is trivial or invalid, the Vice-Chancellor may dismiss it summarily, or take no action upon it. If it so appears to the Vice-Chancellor they shall inform the member and the Grievance Committee accordingly.

33.4 If the Vice-Chancellor is satisfied that the subject matter of the grievance could properly be considered with (or form the whole or any part of) –

- a) a complaint under Part III;
- b) a determination under Part IV; or
- c) an appeal under Part V

the Vice-Chancellor shall defer action upon it under this Part until the relevant complaint, determination or appeal has been heard or the time for instituting it has passed and the Vice-Chancellor shall notify the member and the Grievance Committee accordingly.

33.5 If the Vice-Chancellor does not reject the complaint under sub-clause (3) or if they do not defer action upon it under sub-clause (4) they shall decide whether it would be appropriate, having regard to the interests of justice and fairness, for them to seek to dispose of it informally. If the Vice-Chancellor so decides they shall notify the member and proceed accordingly.

Grievance Committee Procedure

34. If the grievance has not been disposed of informally under clause 33(5), the Vice-Chancellor shall refer the matter to the Grievance Committee for consideration.

35. The Grievance Committee to be appointed by the Council shall comprise

- a) a Chair; and
- b) one member of the Council not being a person employed by the University; and
- c) one member of the academic staff nominated by the Senate.

Procedure in Connection with Determinations; and Right to Representation

36. The procedure in connection with the consideration and determination of grievances shall be determined in Ordinances in such a way as to ensure that the aggrieved person and any person against whom the grievance lies shall have the right to be heard at a hearing and to be accompanied by a friend or representative.

Notification of Decisions

37. The Committee shall inform the Council whether the grievance is or is not well-founded and if it is well-founded the Committee shall make such proposals for the redress of the grievance as it sees fit.

2.5.2 Procedure in Connection with Determinations; and Right to Representation

Section 36 of Statute 31 states that University Ordinances must set out the procedure to be followed when considering grievances. University Ordinance D2 has therefore been replicated below.

Ordinance D2: Staff Grievance Procedures

1. This Ordinance applies to Grievances lodged under Part VI of Statute 31.

2. Procedures

a) Representation

At any formal hearing of a grievance, both the aggrieved person and any person against whom the grievance lies is entitled to be accompanied by a friend or a representative.

b) Oral Hearing

No grievance shall be determined without an oral hearing at which both the aggrieved person and the person against whom the grievance lies are entitled to be present and, with the consent of the Vice-Chancellor acting under Statute 31.33 or of the Grievance Committee set up under Statute 31.35, to call witnesses.

c) Notification

Following reference of a grievance to the Grievance Committee under the provisions of Statute 31.34 the Secretary to Council or their nominee shall within 10 days of such referral arrange for a hearing of the Committee giving the members of the Committee clear details of the grievance: All parties to the grievance shall be given at least 21 days notice of any hearing of the Grievance Committee and all written evidence to be relied upon by both sides shall be exchanged not later than seven days prior to the hearing. The Secretary to Council or their nominee shall inform the aggrieved person and those persons against whom the grievance lies of their entitlement subject to the consent of the Grievance Committee to call such witnesses as they may think fit provided that they inform the Secretary to Council at least seven days in advance of the date of the meeting of the Grievance Committee of the names of the witnesses. The Secretary to Council shall inform the aggrieved person and any persons against whom the grievance lies of their entitlement to be represented at the hearing of the Grievance Committee by a friend or representative.

2.5.3 The Secretary of Council (or nominee) will act as advisor to the Panel. The Director of People, People and Organisational Development, (or nominee) can attend in a professional advisory capacity.

2.6 Procedure for staff whose employment is not governed by Statute 31

2.6.1 The Director of People, People & Organisational Development, will liaise with the Secretary of Council who will convene an Appeal Panel to consider the matter in accordance with Ordinance D3. The Panel will normally comprise two lay members of Council and one member of Academic Staff. The Chair of the Panel will be one of the lay members of Council.

2.6.2 The Secretary of Council (or nominee) will act as advisor to the Panel. The Director of People & Organisational Development, (or nominee) can attend in a professional advisory capacity.

2.6.3 Based on the appeal case presented and the associated evidence the Appeal Panel will make recommendations to Council on whether or not the whole or any part of the concern may be upheld and if so, to recommend a remedy or range of remedies.

2.6.4 The staff member will be informed of the appeal outcome in writing usually within 14 calendar days. If timescales are longer, this will be communicated.

3. Record Keeping

- 3.1 A record of any formal concerns raised by an individual under this procedure will be placed on their employee file along with a record of any decisions taken, resolution achieved and any other notes or documentation compiled during the process. This will be processed in accordance with the University's Records Retention Schedule.

4. RELATED POLICIES AND PROCEDURES

- Disciplinary and Appeal Procedure (Academic Staff)
- Disciplinary and Appeals Procedure (Staff)
- Dignity and Respect Policy Statement and Procedure for a Member of Staff to Raise a Complaint of Bullying or Harassment
- Whistleblowing
- Records Retention Schedule
- Sexual Violence and Misconduct Policy
- Sexual Violence and Misconduct Procedure (Staff)

5. ROLES AND RESPONSIBILITIES

- 5.1 For the avoidance of doubt, where a role title, department, faculty or professional service area is named and it is no longer in existence, it should be read as the equivalent role or department, faculty or professional service area. Should individuals remain uncertain, clarification can be sought from a senior member of staff within the management line.
- 5.2 All relevant parties are expected to try and resolve the issue informally wherever possible and show respect for others by communicating professionally, clearly and fairly, listening to others' perspectives and views with the intention of seeking to mutually resolve the issue as soon as possible.
- 5.3 The University has a responsibility to ensure that managers operating this procedure have the necessary skills and support.
- 5.4 People and Organisational Development will provide full guidance and support to managers in using this procedure.
- 5.5 The Employee Relations team may be consulted for advice and information on the operation and application of this procedure at any stage.
- 5.6 A staff member may seek the support and advice of their trade union at any stage of the procedure.
- 5.7 All parties involved must fully engage with the process. This may include attendance at meetings and responding to related communications in a timely way.
- 5.8 All parties involved in these procedures must ensure that they maintain, as appropriate, the confidentiality of the process within and outside the University.

6. SUPPORT

- 6.1 It is acknowledged that processes such as this can be difficult for all involved. Employees (both the individual(s) raising concerns and anyone against whom concerns are raised), managers and colleagues may benefit from support at various points in the process. Support and advice is available from the following sources:
- Line Manager – can provide appropriate workplace support, including consideration of a Stress Risk Assessment, where it is appropriate.
 - Trade Unions – at the informal stages Trade Unions may be available to members to provide support and suggest potential resolution. At formal stages a Trade Union representative may be invited to attend meetings at the employee's request.
 - Employee Assistance Programme (EAP) – confidential counselling is available to all employees through the University's EAP. Further details can be found [on the Health Assured and the Wisdom App intranet page](#).
 - Directorate of People and Organisational Development –the Employee Relations team can provide support and advice on the application of this procedure.

7. REVIEW, APPROVAL & PUBLICATION

- 7.1 As a general principle, the procedure will be reviewed by People & Organisational Development, in consultation with recognised Trade Unions after three years or where operational and/ or legislative requirements change. Any revisions will be approved in accordance with UEC and Council procedures, where applicable.
- 7.2 This procedure is not contractual and is not intended to be incorporated into individual terms and conditions of employment. It may be subject to review, amendment or withdrawal.
- 7.3 This procedure will be published on the University policy zone web page and will also be accessible via this People & Organisational Development web pages.
- 7.4 Equality issues have been taken into account during the development of this procedure and all protected characteristics have been considered as part of the Equality Analysis undertaken.

8. ANNEXES

Annex A – Collective Concerns

Annex B – Summary of the Resolution Procedure

Annex C – Formal Stage 2 Form

9. DOCUMENT CONTROL INFORMATION

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|---|--|
| Document Name | Resolution Procedure |
| Owner | Chief People Officer, People & Organisational Development |
| Version Number | 1.0 |
| Equality Analysis Form Submission Date | 19 May 2026 |
| Approval Date | 30 April 2026 |
| Approved By | Council |
| Date of Commencement | 19 May 2026 |
| Date of Last Review | April 2026 |
| Date for Next Review | April 2029 |
| Related University Policy Documents | <ul style="list-style-type: none"> • Disciplinary and Appeal Procedure (Academic Staff) • Disciplinary and Appeals Procedure (Staff) • Dignity and Respect Policy Statement and Procedure for a member of staff to raise a complaint of bullying or harassment • Whistleblowing • Records Retention Schedule • Sexual Violence and Misconduct Policy • Sexual Violence and Misconduct Procedure (Staff) |
| <i>For Office Use – Keywords</i> | |

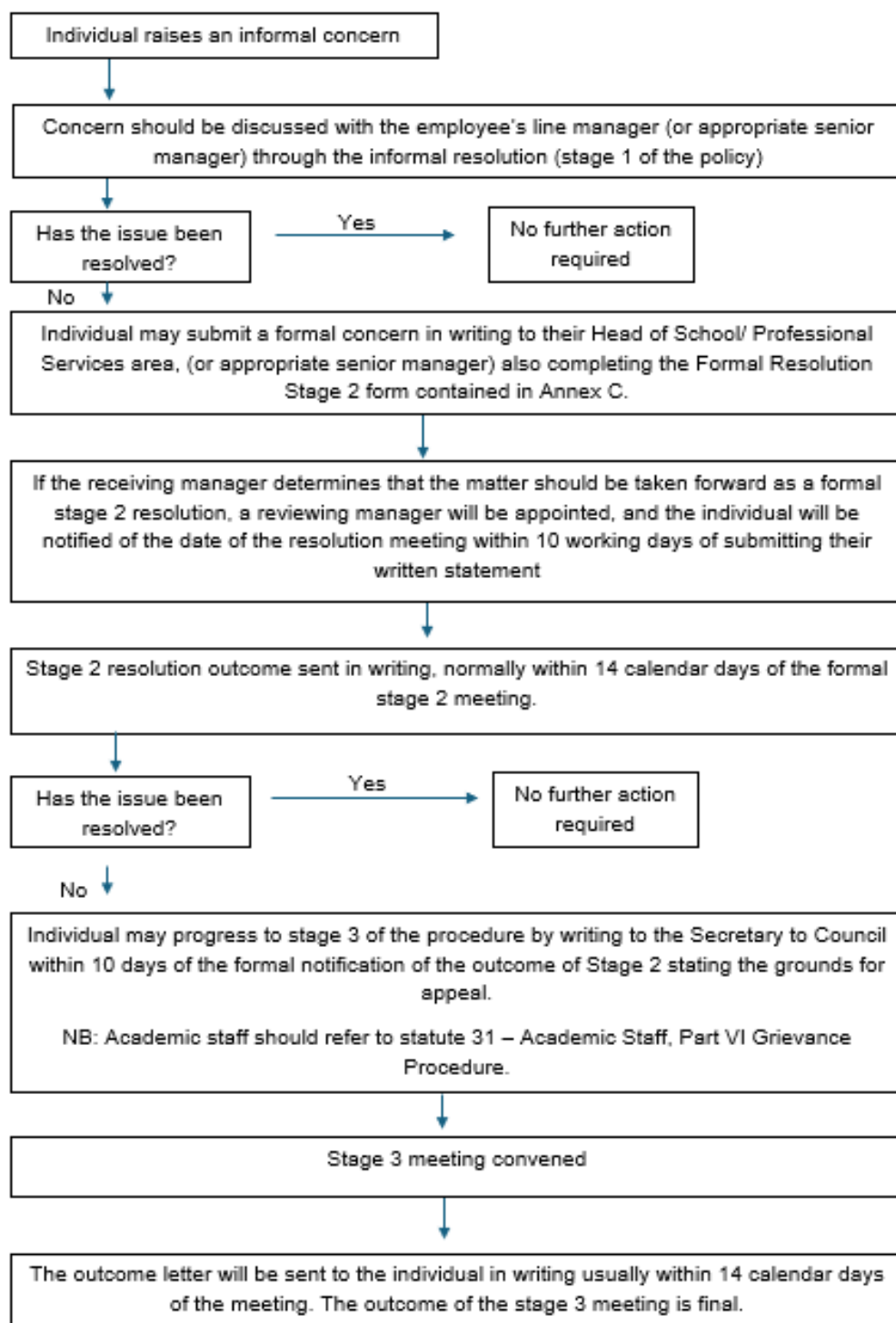
ANNEX A COLLECTIVE CONCERNS

1. PRINCIPLES

- 1.1 When two or more employees wish to raise a concern which is common to them both/all it may be addressed as one “collective concern” and the procedure detailed in the body of this document will apply with the following variations.
- 1.2 To ensure collective concerns are dealt with as effectively as possible, a maximum of two of the members of staff raising the collective concern, will be allowed to attend any meetings held under this procedure. At meetings held under the formal and appeal stages, a Trade Union representative (if applicable) may also attend.
- 1.3 When a collective concern is raised by more than two members of staff, the complaint should be documented on the Formal Stage 2 Form and agreed by all employees raising the collective concern. The form should ordinarily be submitted by email, copied to all staff members raising the concern. The group will be required to nominate two individuals to act on behalf of the group through the resolution process. The collective concern must identify who has been appointed to be the nominated representatives, representing the parties submitting the concern and to attend meetings held during the procedure on behalf of the group.
- 1.4 The nominated representatives will be invited to attend one collective resolution meeting. They will be entitled to be accompanied by one Trade Union or workplace colleague. Following consideration of the concern there will be one collective resolution(s) presented.
- 1.5 If any of the employees are not satisfied with the outcome an appeal may be submitted as outlined in section 2.5. The appeal must be submitted in one collective document and should be headed ‘formal collective appeal’. It must clearly identify those withdrawing from the process (where applicable) and signed by those wishing to appeal. It should also identify the two individuals nominated as the representatives.

ANNEX B – SUMMARY OF THE RESOLUTION PROCEDURE

This diagram provides a general overview of the resolution process and should be read in conjunction with the Resolution Procedure.



Annex C – Formal Stage 2 Form

Please refer to the Resolution Procedure before completing this form.

| Section 1: Personal Details | |
|------------------------------------|--|
| Name: | |
| Employee Number: | |
| School/ Department: | |
| Job Title: | |
| Work Email Address: | |

| Section 2: Steps Taken to Resolve your concerns | |
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| If you have not already explored informal resolution an appropriate manager may discuss this as an alternative to proceeding with a formal complaint | |
| Have you tried to resolve the matter informally? What was the outcome and why has this not resolved matters for you? | |
| If you have not tried to resolve matters on an informal basis, briefly explain why not. | |

| Section 3: Concerns | |
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| Please provide a description of your concerns, being as specific as possible. Please include any evidence available. | |
| Please summarise the concern raised (what are the key issues) | |
| When did the issue/ incident causing concern first occur? If a series of events, please list them. | |
| If the issue(s) occurred more than 3 months ago, what are the reasons for not raising it sooner? | |
| Who else was involved and what was their role (where applicable)? | |
| Were there any witnesses to the issue/ incident? If yes, please provide details. | |
| Please list and attach any additional evidence and documents you are submitting. | |

| Section 4: Preferred Resolution |
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| Please consider carefully the outcome you are seeking. |

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| Please describe your preferred resolution and rationale for the preferred solution. | |
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| Section 4: Collective Concern (this section to be completed where the matter is being raised by two or more employees as a collective concern) | |
| Please list the names and email addresses of all staff members who are raising the collective concern. Once completed the form may be submitted by email. Please ensure that all named staff members are copied into the email submission. | |
| Please provide the names of the two staff members who have been nominated to act on behalf of the group. Further details can be found in Annex A. | |

I confirm that the information I have provided is factual and accurate.

Name:

Date:

You must submit this form to your Head of School/ Head of Professional Service Area unless they are the subject of your concern. In that case you should submit the form to the Dean or Director. A copy should also be sent to a member of the Employee Relations team. A Head of School/ Head of Professional Service Area or other more senior staff member raising concerns may submit the form to the Employee Relations Manager.

The manager receiving this form will discuss its content with Employee Relations and a reviewing manager may be appointed and this information shared with them prior to responding to you. Information will be handled sensitively and in accordance with the Resolution Procedure.