



Global Spectrum Energy Services Plc

DOCUMENT TITLE

GRIEVANCE PROCEDURE

Rev.	Description	Date	Originator	Reviewer	Approver
Rev. 00	GMP	05.01.2021	EA	AO	CD
Rev. 02	Inclusion of External Party Complaints Procedure	31.07.2023	EA	CO	CD
INFORMATION FOR AUTHORIZED COMPANY USE ONLY		GSESPLC-GMP-001			

Policy on the Handling of Grievances

1. Policy Statement:

At **Global Spectrum Energy Services Plc**, we are committed to maintaining a positive and respectful work environment for all employees and providing excellent service to our external parties. We recognize that concerns and grievances may arise from time to time, and we are dedicated to addressing these matters promptly, fairly, and with utmost confidentiality. This policy outlines our approach to handling employee and external party grievances.

2. Scope

This policy applies to all employees of Global Spectrum Energy Services Plc, including full-time, part-time, temporary, and contract workers, as well as external parties such as customers, vendors, and other stakeholders.

Definition of a Grievance:

A grievance is any formal or informal concern, complaint, or dissatisfaction raised by an employee regarding their employment, working conditions, interactions with colleagues or management, or any other matter related to their employment with the company. Additionally, it includes complaints raised by external parties about our products, services, or business interactions

3. Harassment

- 3.1 When an employee feels they are being bullied and harassed by another member of staff, they should refer to the Global Spectrum's Bullying and Harassment Policy for Guidance. If an informal approach has not resolved matters, or the situation is too serious to be dealt with informally, then a formal complaint should be made using the Grievance Procedure using Appendix 11 and clearly annotating that the complaint is in relation to bullying and/or harassment. The Global Spectrum has a number of trained Harassment Advisers who can give confidential impartial advice to an individual who feels they are being bullied or harassed. The list of Advisers and contact details can be found on the Equality and Diversity section of the HR procedure.

4. Vexatious Claims

- 4.1 The Global Spectrum may apply the agreed Disciplinary Policy / Procedure against individuals who invoke grievances where there is evidence that the claim is vexatious. Vexatious grievances are those that are designed to harass or subdue another person, have insufficient or no evidence in support of the complaint, are repetitive or meritless.

Global Spectrum reserves the right not to investigate any grievance where there is clear evidence that the grievance is vexatious following referral to the Director of Human Resources who will make the decision.

5. Conduct of Parties Involved

- 5.1 All parties are expected to conduct themselves in an appropriate manner, maintain confidentiality, and any statements are to be made in good faith.

6. Occupational Health Opinion

- 6.1 The Grievance Procedure will only be interrupted on medical grounds after appropriate medical advice has been sought by Human Resources from the Global Spectrum's HSE Adviser. This advice will be sought immediately when it comes to the attention of Human Resources.

7. Timescales

- 7.1 The aim of the Policy is to resolve all grievances as close to their source and as quickly as possible. For any complaint or issue, informal or formal, that is brought to the attention of a Manager, it is important that it is dealt with as close to the source as possible and as quickly as possible.

8. Training

- 8.1 Mandatory training will be carried out for all members, and cascaded to other appropriate managers and supervisors, to ensure a common understanding and application of the Policy and associated Procedures. Human Resources will ensure that any individuals undertaking a management role have been trained.

9. Review

- 9.1 This Policy and Procedure is in line with current legislative requirements and will be subject to review, following legislative changes, or at the behest of the Joint Committee for management and representatives.

GRIEVANCE PROCEDURE

1. PROCEDURE FOR EMPLOYEE GRIEVANCES:

Informal Resolution:

Employees are encouraged to address their concerns informally whenever possible. If an employee has a grievance, they should discuss the matter with their immediate supervisor or manager. The supervisor will listen to the concern and make every effort to resolve the issue promptly and amicably.

Formal Grievance Filing:

If the employee is not satisfied with the outcome of the informal resolution or if they are uncomfortable discussing the matter with their supervisor, they may initiate a formal grievance by submitting a written complaint to the HR department. The written complaint should include:

- *A clear description of the grievance, including specific details and incidents.*
- *The date(s) and time(s) of the incident(s) giving rise to the grievance.*
- *Any relevant supporting documentation or evidence.*

Investigation:

Upon receiving the formal grievance, the HR department will appoint an impartial investigator to conduct a thorough investigation. The investigator may interview the complainant, any involved parties, and witnesses. The investigation will be carried out as promptly and discreetly as possible while ensuring a fair and impartial process.

Grievance Hearing/Meeting:

If deemed necessary, a grievance hearing or meeting will be scheduled. The complainant and any involved parties will have the opportunity to present their perspectives and provide any additional evidence or witnesses to support their case. An HR representative or another impartial person will oversee the meeting.

Resolution and Decision:

After the investigation and hearing, the HR department will review the evidence and reach a decision. The decision will be communicated in writing to the complainant and any involved parties. If the grievance is found valid, appropriate corrective actions will be taken.

Appeal Process:

If the complainant is dissatisfied with the decision, they may appeal the decision in writing to [Senior Management or Grievance Appeal Panel]. The appeal should clearly state the grounds for appeal and any additional information or evidence supporting their case.

Final Decision:

The decision reached through the appeal process will be considered final. The HR department will communicate the final decision in writing to the complainant and any involved parties. The matter will be considered closed after the final decision is communicated.

Vexatious Claims

- If, during the hearing of a grievance, at any stage; the formal stage or the appeal stage, the relevant manager, who is hearing the grievance, determines that the grievance is without substance or merit, and there is evidence that the aggrieved employee was dishonest or malicious or frivolous or vexatious, this finding will be referred to the Chairman (Quality) incorporating the role of Global Spectrum Secretary.
- The Global Spectrum Secretary will convene a Panel of 3, (2 senior managers not previously involved and a representative), to consider the evidence gathered. The Disciplinary Policy may be invoked against the person bringing the grievance on the basis of this evidence.
- The Global Spectrum reserves the right not to pursue grievances that are frivolous or vexatious, or that merely repeat complaints that have previously been made and considered.

2. PROCEDURE FOR EXTERNAL PARTY COMPLAINTS:

Complaint Submission: External parties who wish to file a complaint about our products, services, or business interactions can do so through multiple channels, such as:

- *Customer service/Contact email*
- *Online complaint as stated on our website*
- *Mailing the complaint to our company address*

Acknowledgment and Investigation:

Upon receiving an external party complaint, our Customer Service or appropriate department will acknowledge receipt promptly. An impartial representative will conduct an investigation into the matter.

Resolution and Response:

We will make every effort to resolve the complaint promptly and inform the external party of the outcome. If additional time is needed for a thorough investigation, we will provide regular updates to the complainant.

Appeal Process:

If the external party is dissatisfied with the resolution, they can request a review of the decision. The appeal process will involve a higher-level authority or management reviewing the complaint and providing a final decision.

Final Decision:

The decision reached through the appeal process will be considered final. We will communicate the final decision in writing to the external party. The matter will be considered closed after the final decision is communicated.

Confidentiality:

All parties involved in the grievance process, including employees, external parties, witnesses, and anyone conducting the investigation, must maintain strict confidentiality. Information obtained during the grievance process should only be shared with those directly involved in resolving the grievance.

Non-Retaliation:

Global Spectrum Energy Services Plc strictly prohibits any form of retaliation against an employee who raises a grievance in good faith or an external party who files a complaint. Any act of retaliation will be subject to disciplinary action.

Review of Policy:

This grievance policy and procedure, including the complaint mechanism for external parties, will be reviewed periodically to ensure its effectiveness and compliance with applicable laws and regulations.

Guidance on Vexatious Claims

1. False Allegations

Where an employee believes another employee is using the grievance procedure to make deliberately false allegations, or as a form of bullying against a colleague or manager, and this is proven by way of the investigation, this will be treated as a disciplinary matter, and in serious cases, may result in dismissal.

2. Frivolous or Trivial Grievances

If the grievance is clearly frivolous, and no supporting evidence has been provided, the Global Spectrum will inform the employee that it will not be dealt with under the grievance procedure unless the employee can provide evidence that it is based on a legitimate concern.

In this event the Human Resources Manager will write to the employee and explain this is why no further steps will be taken. The employee can resubmit the grievance with additional evidence, or explanation, which demonstrates that a substantive complaint is being made, but the submission must be made within 10 days of the notification to the employee from Human Resources

3. Grievances that Repeat Earlier Complaints

If a grievance is submitted on the same grounds as a previous grievance, the employee will be asked how this differs from the previous one and what new incident or evidence has come to light.

Where there is evidence that the process is being used inappropriately or maliciously, this will be treated as misconduct and will be investigated under the Disciplinary Policy.

Guidance Notes on Informal Grievances

1. Working Relationships

Performance and productivity are dependent on effective working relationships, and the fair and reasonable handling of concerns or grievances is an important element in creating and maintaining those relationships.

If a concern or grievance is raised this provides an opportunity for the line manager to resolve a workplace problem and improve working relationships and morale. Knowing about a problem is always better than remaining ignorant of the fact that an employee is unhappy or disgruntled.

Even if a concern/grievance appears to be trivial, line managers should recognise that it may not be trivial to the employee. If it concerns something minor the chances are that you will be able to resolve it quickly and easily. This is an opportunity that should not be missed as it will help to build trust and respect and enhance management/staff relationships.

Line managers should also maintain awareness that some employees may remain silent and dissatisfied rather than raising the matter. This may be because the employee:

- Thinks the manager is too busy
- Feels embarrassed, anxious or nervous of approaching the manager
- Fears criticism or rejection from the manager
- Believes that the manager may not take the matter seriously or,
- Worries that he/she may be seen as a trouble-maker.

Instead of waiting for an employee to come forward with an issue, you should:

- be maintaining regular contact with your team of staff about day to day workplace issues
- regularly ask questions about how your staff perceive various work-related matters
- listen actively to what employees say
- keep your eyes and ears open to any potential problems or rumblings of discontentment.

If you make an effort to instigate informal chats with employees on a regular basis it is much more likely you will pick up on any issues before they have the opportunity to escalate into a formal grievance.

2. Managers' Guide To Handling Informal Grievances/Concerns

When an employee makes a verbal complaint to his or her Line Manager this can be classed as an **informal grievance**. You must deal with the complaint irrespective of whether it is verbal or in writing. It is not helpful to insist that an employee who has raised a complaint verbally should also have to put it in writing as some employees may not wish to do so. It is better to deal with the issue and resolve it as soon as possible.

The Line Manager should arrange to meet with the employee to understand why they are concerned or dissatisfied and look for a solution to the problem. The discussion/meeting should be to:

- Ensure the employee can fully explain why they have a concern
- To find a way to resolve the concern to the employee's satisfaction.

A record of any such meetings **must be made**. A written response/summary of the meeting, such as an e-mail, should be sent to the employee as feedback. It is essential that following any such meetings and written summaries, that the subject of the informal grievance is made aware of the concerns as soon as possible.

3. Keeping Records

Retain records of any informal issues brought to you and the action you have taken, including any follow-up actions such as staff development etc.

4. Timescales

Where an employee has raised an informal grievance, it is important the matter is dealt with promptly. This does not mean it should be dealt with in haste, but the line manager should make themselves available to discuss the matter without undue delay. Any delay in dealing with the matter is likely to make matters worse and may:

- Make the employee feel anxious
- Have an escalating negative impact on the employee's performance and productivity
- Create resentment
- Demotivate the member of staff who may believe that the line manager does not care about them and their concern
- Any relevant documents may have been discarded or lost.

When a Grievance has been raised against an Individual

If someone raises a formal grievance against another member of staff, Human Resources will write to this individual to advise them of this and to ensure they receive a copy of the complaint made against them.

If an individual raises a counter-grievance this will be dealt with within the same investigation.

It can be very stressful to be the subject of a grievance. If an individual is a member of a Trade Union they should arrange to speak to a Trade Union Representative as soon as possible to arrange representation.

The individual will be invited to a meeting with the investigating team to allow an opportunity to present their version of events. It is recommended that individuals arrange to be accompanied to these meetings by a friend from within the Global Spectrum or a Trade Union Representative to give support.

During the meeting a series of questions will be asked and the meeting is normally recorded by a HR Assistant who will then type up the notes which will be sent out for checking and signature to confirm accuracy.

When the investigation has concluded both parties are invited to attend meetings to be advised of the outcome, and this will be followed-up in writing.

If the outcome of the investigation is that action is required to be taken this action will be discussed with the individual at the outcome meeting.

If the outcome of the grievance is that the complaint is dismissed, the matter will be closed and no record will be retained. However, the complainant does have a right of appeal, and if they do appeal, Human Resources will write to the subject of the grievance to advise them of this.

There is no right of appeal against the outcome of the investigation by the person against whom the grievance has been made.

1. Guidance on Carrying Out an Investigation

It is the responsibility of the relevant Line Manager to lead the grievance investigation, supported and advised by a Human Resources Manager.

A grievance may raise matters about which the line manager is uncertain or does not have all the background facts. The grievance may also involve allegations about, for example, bullying. Such matters need to be investigated promptly, impartially and thoroughly.

An investigation may involve:

- Checking the wording of policies or procedures
- Talking to the HR Department
- Reviewing any other relevant documentation
- Interviewing witnesses to establish the facts.

2. Interviewing Witnesses

As part of the process of an investigation into a grievance it may be necessary for other employees, managers and, possibly, people from outside the Global Spectrum to be interviewed. To ensure that this is done effectively and fairly, the investigating manager should:

- Prepare a list of questions in advance of each interview
- Present the facts of the employee's complaint objectively and without embellishment and ask for comments
- Avoid making assumptions
- Point out and question any discrepancies in the evidence
- Not be afraid to question what the interviewee is saying
- Be careful not to express disapproval or pass judgment
- Make sure the whole story is uncovered
- Keep a record.

An investigating manager should always remain open-minded when looking into the substance of a grievance. He or she should be careful not to make assumptions or jump to premature conclusions about the employee's motives, the reasons for making the complaint, or who is to blame for a particular problem.

3. Conducting the Meeting

When you are conducting the meeting you must:

- Listen to what the employee has to say
- Make sure there are no interruptions
- Ask questions to clarify the facts and explore the matter fully
- Gain a clear understanding of why the grievance has arisen

- Distinguish between matters of fact and opinion
- Ask how the employee would like the grievance to be resolved.

Managers need to:

- Listen actively and without bias
- Remain objective when hearing points of view that do not match your own
- Ask open and probing questions
- Show empathy
- Avoid expressing emotional reactions
- Be direct and honest without alienating the employee
- Reassure the employee you will do whatever is reasonable and practicable to resolve the grievance
- Not be afraid to point out any discrepancies or to question what the employee is saying
- At the end of the meeting confirm what has been discussed, check understanding and advise what will happen next.

Letter Inviting Employee to a Grievance Meeting

Dear

Invitation to a Grievance Investigation

I am writing to confirm receipt of your formal grievance dated (date) against..

In accordance with the Global Spectrum's Grievance Procedure, which is enclosed, I am writing to invite you to attend a meeting to discuss the issues that you have raised. This meeting has been arranged for (date) at (time). The meeting will be held at (location).

The investigation will be conducted by (name of manager) and (name of HR Representative). You are entitled to be accompanied at the meeting by a friend from within the Global Spectrum or a Trade Union Representative.

The purpose of this meeting is to allow you to explain your grievance and discuss how it can be resolved. If you wish to rely on any written material or documents, you may bring them to the meeting. However, it would be helpful if you could send copies to HR in advance.

If you are unable to attend the meeting, please inform HR as soon as possible. If your chosen companion is not available, we will endeavor to re-arrange the date and time.

If you have any queries about the process, please let HR know who will be happy to discuss the arrangements with you.

Yours sincerely

Letter Informing the Subject of the Grievance

Dear

Grievance

I am writing to inform you that a grievance has been raised against you by (name).

The nature of the allegation is (give full details).

I would like to assure you that management has not at this stage made any judgement on the validity of the grievance and the matter will be fully and impartially investigated before any decision is made as to what, if any, action needs to be taken.

A meeting has therefore been arranged for you to discuss with us your version of events and this meeting will be on (date) at (time) in (location). You are entitled to be accompanied at the meeting by a friend from within the Global Spectrum or a Trade Union Representative. If you have any written material or documents which may assist with the investigation you should bring these to the meeting.

If you have any queries, please do not hesitate to contact HR.

Yours sincerely

Letter advising Grievance will not be Investigated

Dear

Grievance

I confirm that on (date) we received your (form/letter) dated (date) raising a formal grievance about (detail).

The Grievance Procedure is an important way of making sure that genuine concerns and complaints raised by employees are investigated and fairly dealt with. The Procedure deals with all complaints of genuine substance but we do not believe that your complaint falls into this category and we do not propose to take any further action in relation to it.

I would suggest that issues such as the one you have raised can best be dealt with through informal conversation with your manager or colleague. We remain committed to dealing fairly and thoroughly with legitimate grievances and concerns. If there are circumstances that you have not mentioned that make your complaint more serious than it currently appears, please let me know.

I hope that, on reflection, you will see that the Grievance Procedure is not an appropriate avenue to pursue the matter you have raised but if you would like to discuss this in more detail, please do not hesitate to contact me.

Yours sincerely

Human Resources Manager

Grievance Outcome Letter

Dear

Outcome of Grievance

Following the meeting held with you on to discuss the grievance you raised against (name of person) or you, I am now writing to advise you of the outcome.

After listening carefully to everything that you have said, the investigating team have reached the following conclusions:

1.
2.
3. etc.

It is acknowledged that

As a result of our findings, we have recommended etc
I hope this outcome assists you in understanding etc.

However, if you wish to Appeal against the outcome, you may do so by setting out the grounds of appeal, in writing to the Vice-Chancellor, copied to Juliet Amos, Director of Human Resources, within 10 working days of receipt of this letter.

Yours sincerely

Line Manager

Letter Inviting Employee to a Grievance Appeal Hearing

Dear

Grievance Appeal Hearing

I am writing to confirm receipt of your notice of appeal dated (date) in relation to the outcome contained in the letter dated (date).

In accordance with the Grievance Procedure, I am now inviting you to attend a hearing to discuss your appeal. The meeting has been arranged for (date) and will begin at (time) in (location).

The meeting will be attended by (management attendees). You are entitled to be accompanied at the meeting by a friend from within the Global Spectrum or a Trade Union Representative. The purpose of the meeting is to allow you to explain the grounds on which you believe the findings of the original grievance were wrong. If you are unable to attend the meeting on this date, please let HR know as soon as possible to allow an alternative date to be arranged.

Yours sincerely

Grievance Procedure – Documentation for Formal Stage

Confidential

Name:

Name of person(s) against whom the grievance is to be invoked:

Working Relationship of person(s):

Solution being sought:

Details of Grievance: (e.g. Dates, Event etc.) Please use additional sheet if necessary and attach copies of any relevant letters or memos.

Explain outcome of mediation process and reasons why you felt the decision was unsatisfactory:

When completed this form should be forwarded to the Director of Human Resources, and a copy should be sent to the person against whom you are aggrieved who will then forward a copy onto the person whom the grievance is against.

Signature

Date
