



Grievance
Investigation
Manager Checklist



CHECKLIST

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CHECKLIST

As an accompaniment to the Grievance Policy and Procedure, managers conducting an investigation as a result of a grievance/grievance appeal compliant being submitted should use this checklist to guide them through the process.

INVESTIGATION

- Read a copy of the **Grievance Policy and Procedure** and **Manager Fact Sheet**, and please contact [My HR Help](#).
 - Clearly define the complaint in need of investigation.
 - Consider the nature and likely scope of the investigation based on the complaint.
 - Decide how to best conduct the investigation. In some cases this may be a simple/quick process, however, this will depend on the specific circumstances of the case, e.g. whether the facts are disputed or clear and the seriousness of the matter. An investigation can simply be the gathering of facts, looking at existing documentation. In other instances it may require the planned and systematic gathering of data, interviewing relevant witnesses and analysing relevant documents, records, recordings, policies etc. to determine next steps.
 - Consider what information you need to gather, from whom and how this will be obtained.
 - Consider the timescales of the investigation, taking into consideration where appropriate, the need to conduct interviews, collate witness statements, gathering information and writing a report.
 - Identify if there are any potential barriers to obtaining information and how these can be addressed.
 - If appropriate identify any witnesses who could help with the investigation, determining whether these should be interviewed or whether a written statement should be sought. Initial contact with a potential witness is often in the form of a telephone conversation or face to face to check their potential relevance and seek their agreement to participate with the process.
 - Consider any resources you may need during the investigations (i.e. note-taker)
 - If appropriate prepare witness investigation meeting questions, and consider the specific issues that need to be explored during these meetings.
 - Book suitable meeting rooms that are convenient for attendance of witnesses.
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- Ensure that notes are taken during meetings with witnesses.
 - Take steps to ensure the confidentiality of the investigation process.
 - Any evidence collated during the investigation should be shared with the employee for comment prior to reaching a decision.
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INVESTIGATION/SUMMARY REPORT

- Following the completion of your investigations complete an investigation/summary report highlighting your findings, outcome and recommendation.
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PDR GRIEVANCES/APPEALS

QUESTIONS TO CONSIDER WHEN INVESTIGATING A GRIEVANCE/APPEAL FROM A MANAGER GRADE EMPLOYEE WHO DISAGREES WITH THEIR MID-YEAR OR YEAR-END PERFORMANCE RATING:

- The key principle of a Performance Management is '**No Surprises**' - if there are performance issues they should not be finding this out for the first time at their mid or year-end review.
- Was the employee aware that their performance was not meeting the required standard?
- Were there meetings or emails where their performance was discussed where performance feedback was given?
- Were they aware that they have not met their objectives?
- Had examples of poor behaviours been brought to their attention?
- How did their performance compare with their peers?

KEY POINT TO REMEMBER

If the performance management process was not fully followed this does not automatically mean the grievance is to be upheld. Consider all the evidence. Is the PDR rating warranted? Has the manager held the appropriate meetings and taken the appropriate action to ensure no surprises?