



Department of
Education

WA DEPARTMENT OF EDUCATION GRIEVANCE FRAMEWORK

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Introduction

All employees have a responsibility to maintain positive and respectful work relationships and contribute to equitable and inclusive schools and workplaces. Employees are encouraged to cooperate to resolve grievances and conflicts in a professional manner, at the earliest opportunity, directly with the person concerned, or with line manager assistance where this is not possible.

Principals and line managers should develop a workplace culture where employees are able to raise issues, concerns and grievances and have them addressed as soon as practicable, using fair and equitable processes.

Purpose

This Framework outlines:

- grievance resolution options available to employees;
- informal and formal grievance resolution processes;
- responsibilities of employees, principals and line managers; and
- resources, professional learning and support for employees, principals and line managers or delegate.

Scope

This Framework applies to all staff and all grievances that are not excluded under Appendix A.

Grievances under this Framework typically involve:

- conflict between employees;
- staff behaviour; and
- workplace decisions, processes or practices.

As all industrial Awards and Agreements are required to have a clause detailing a Dispute Settlement Procedure, employees should in the first instance view the clause in their Award and/or Agreement to determine if it applies to the grievance.

Definitions

Complainant: A person who has made a grievance.

Informal Grievance: An informal grievance resolution process:

- focuses on personal or facilitated discussion between the complainant/s and respondent/s to address issues; and
- wherever possible, aims to reach a resolution acceptable to all parties.

Formal Grievance: A formal grievance resolution process:

- requires the grievance be submitted in writing (including details of the issue/s or incident/s and any supporting information);
- involves an assessment of the grievance through collection of information/evidence;
- requires a report detailing the findings and outcome/s; and
- entails written notification to complainant/s and respondent/s regarding grievances.

Grievance: An issue, concern or complaint raised by an employee that relates to actions or behaviour of another employee, a part of the organisation, a policy or a decision.

Mediation: Mediation is a structured discussion between the complainant/s and respondent/s designed to work through issues in a process to reach a resolution. Mediation may not be appropriate in all cases and is a voluntary resolution option.

Procedural Fairness: Includes processes which result in decisions that may adversely impact on a person's rights or interests. It applies to complainants, respondents and informal and formal grievance resolution processes.

Procedural fairness requires:

- the decision-maker acts fairly, without bias and does not have an actual or perceived conflict of interest;
- the respondent be informed about the grievance, given a reasonable opportunity to respond to those allegations or decisions affecting them, and have their response genuinely considered before a decision is made;
- inquiries are undertaken to inform the assessment of the grievance; and
- decisions are logical and based on documented evidence, with all relevant information considered.

Resolution Agreement: Outcomes that have been agreed to by the parties involved in the grievance.

Resolution Decision: Outcomes to resolve the grievance as determined by the principal or line manager.

Respondent: Employee who is the subject of a grievance.

Reviewable Decision: A decision made by an employing authority as a result of the completion of a process to which a Public Sector Standard applies.

Superordinate: The person to whom an individual's line manager reports or a more senior manager.

Support person: A person who the complainant or respondent elects to be supported by in the grievance resolution process. The support person does not participate in the process but can be present at meetings or interviews.

Compliance Requirements

Grievance resolution processes under this Framework must comply with procedural fairness, legislative and public sector requirements.

Grievance Resolution Standard

The [Public Sector Grievance Resolution Standard](#):

“The minimum standard of merit, equity and probity is met for grievance resolution if:

- *employees are informed of their rights and responsibilities in the grievance resolution process;*
- *the process is based on a proper consideration of the facts and circumstances prevailing at the time of the grievance; and*
- *decisions are impartial, transparent and capable of review.”*

Responsibilities

Confidentiality

All employees are required to maintain confidentiality in relation to a grievance, with information kept in trust and divulged to those involved in the grievance process. This does not prevent employees from seeking advice or discussing the matter with a support person or counsellor.

Employee Responsibilities

- Be informed about relevant policies and identify the type of grievance or issue and related resolution options (see Appendix A).
- At the earliest opportunity, attempt informal resolution with the employee/s concerned, where possible and appropriate.
- Participate in grievance resolution processes and comply with Resolution Agreements or Resolution Decisions.
- Refrain from making false, vexatious or frivolous grievances or victimising any parties related to a grievance.
- Seek support as required (see *Contact Information*).

Principal and Line Manager Responsibilities

Principals and line managers:

- manage employee grievance or declare a conflict of interest/bias and refer the grievance to an appropriate person;
- ensure grievance management processes are procedurally fair and comply with the [Grievance Resolution Standard](#);
- inform employees of support services and grievance resolution information, including the Grievance Resolution Standard, at induction and regular intervals;
- use professional learning and performance management to assist staff to:
 - contribute to a positive workplace culture
 - promptly manage interpersonal conflicts in the workplace;
- monitor the workplace to ensure conflict and potential staff issues and concerns are effectively addressed and high standards of conduct are demonstrated;
- report incidences or allegations that may constitute misconduct to the Standards and Integrity Directorate 1800 655 985;
- are informed about considerations related to employees from equity groups who may require support to raise or address issues or concerns (view [Cultural Considerations](#)); and
- may delegate the assessment of a grievance but retain responsibility for the process undertaken and related resolution decisions.

Mandatory Notification of the Grievance Resolution Standard

At the conclusion of a formal grievance resolution process with a Reviewable Decision, the principal or line manager must inform complainants and respondents in writing:

- that a breach claim may be lodged if an employee considers the formal grievance resolution process breached the [Grievance Resolution Standard](#) and they have been adversely affected by the breach; and
- how to lodge a breach claim and the lodgement date (10 full working days (to midnight) after the employee receives notification of the decision).

[See [Managing a Breach of a Public Sector Standard Claim Policy](#).]

Records Management

Principals, line managers or delegate need to keep records that detail the grievance resolution process undertaken.

Documentation:

- of unsubstantiated grievances should not be attached to employees' personnel files; and
- is kept on confidential files
 - two years after the action has been completed for informal grievances; and
 - seven years after the action has been completed for formal grievances.

Informal Grievances

An informal grievance may only require diary notes of discussions with employees concerned and any Resolution Agreement, Resolution Decision or outcome. As an informal grievance may escalate into a formal grievance, this information may become part of the formal grievance and be viewed by other parties.

Formal Grievances

A formal grievance requires comprehensive documentation to be kept related to the process undertaken and any relevant supporting information and evidence.

GRIEVANCE Resolution Processes

A flowchart outlining the grievance resolution options and process is available in Appendix B.

In determining whether to resolve a grievance informally or formally, the complainant should consider the following information.

Informal Grievance Resolution

Informal resolution is the preferred method for resolving grievances, where appropriate.

Informal resolution provides a forum where:

- issues and concerns can be raised and promptly addressed with minimal formalities;
- parties can gain an understanding of each other's perspective;
- issues can be addressed before they escalate;
- employees may find agreement, where possible, to resolve the issues; and
- actions to prevent and resolve future conflicts can be established.

Informal options can include the complainant:

- documenting incident/s or issue/s;
- discussing grievance with the other party to gain an understanding of their perspective; and
- requesting the principal/line manager takes action to resolve the matter (or where the principal or line manager is the subject of the grievance, refer the grievance to the principal's or line manager's superordinate). A Resolution Agreement or Resolution Decision should be documented and provided to all parties.

Appendix C outlines a suggested process for principals and line managers in managing informal grievances.

Formal Grievance Resolution

A formal grievance may be appropriate where:

- informal resolution is not suitable; or
- the grievance has not been resolved informally.

Formal options include, the complainant lodging a grievance with:

- the principal or line manager (or superordinate where the principal or line manager is the subject of the grievance or has a conflict of interest);
- superordinate of the principal or line manager, if the complainant or respondent considers the grievance has not been adequately resolved; or
- an external agency. The type of grievance will usually determine with which agency a complaint may be lodged (eg Equal Opportunity Commission or Australian Human Rights Commission for grievances relating to discrimination and harassment).

Some external agencies may require staff attempt to resolve the matter through the employer's grievance resolution processes before a complaint will be accepted. Information about lodging a complaint is provided on agencies' websites.

Appendix D outlines a suggested process for principals and line managers in managing formal grievances.

Where grievance is not resolved

Where behavioural matters have not been resolved or the Resolution Agreement or Resolution Decision is not complied with, further action is required by the principal or line manager. The course of action will be informed by the nature of the matter and the action undertaken to date, and may involve issuing a formal directive (contact Employee Relations before issuing a formal directive 9264 4728).

If further facts are identified that suggest misconduct or the respondent victimises the complainant, the principal or line manager should consult with the Standards and Integrity Directorate 1800 655 985.

Review of the GRIEVANCE Resolution Process

If the complainant or respondent has concerns regarding the formal grievance resolution process at its conclusion, review options include:

- submitting a breach claim against the [Grievance Resolution Standard](#) (page 4) if they consider the process breached the Standard and they have been adversely affected by the breach*; or
- lodging a complaint with the Ombudsman, Western Australia. Complaints will only be accepted after the employee has completed the Department's formal grievance resolution process.

The formal grievance resolution process is reviewed, not the grievance itself.

*Breach claims can be emailed

to: Workforcepolicyandcoordinationbosc@education.wa.edu.au.

Related Policies

- [Code of Conduct](#)
- [Equal Opportunity, Discrimination and Harassment](#)
- [Employee Performance](#)
- [Managing Breach of Public Sector Standard Claims](#)
- [Records Management Policy](#)
- [Staff Conduct and Discipline](#)
- [Workplace Bullying](#)

Related Documents

- [A Guide to the Management of Staff Misconduct Complaints](#) Standards and Integrity Directorate
- [Complaints Categorisation Schedule](#) Standards and Integrity Directorate
- [How to Comply with our Code of Conduct](#) Standards and Integrity Directorate
- [Managing Workplace Behaviour A Guide for Agencies](#) Public Sector Commission
- [Prevention of Workplace Bullying in the WA Public Sector](#) Public Sector Commission
- [Procedural Fairness](#), Ombudsman WA
- [Public Sector Code of Ethics](#)
- [Public Sector Grievance Resolution Standard](#)

Contact Information

- **[Employee Assistance Program](#)**

The Department offers a counselling service to all employees, their partners and dependent children under 25 years of age, who are entitled to six free sessions annually. This is an independent and confidential service. Appointments are available face-to-face, via telephone or Skype, 1300 307 912. [Employee Assistance brochure](#)

The Manager Assistance Program is a telephone advisory service for managers dealing with difficult or complex people issues, 1300 307 912. [Manager Assistance Program- Brochure](#)

- **[Employee Relations](#)**

Principals and line managers: For information regarding *School Education Act (Teachers and Administrators) General Agreement* Grievance Resolution Procedure; industrial issues, 9264 4728.

- **[Equal Opportunity Contact Officers](#)**

EOCOs provide information about resolving discrimination, harassment and workplace bullying issues and may act as a support person. [EOCO Contact List](#).

- **[Mediation Service: Nipping it in the Bud](#)**

Principals and line managers may access consultancy and coaching via telephone or email to facilitate mediation at the local level, 1300 361 008.

Mediation training is available for principals and line managers.

Independent mediators are available to conduct mediation between employees. Refer to website regarding costs that may apply. For a referral, contact the [Employee Support Bureau](#), 9264 8632.

- **[Standards and Integrity Directorate](#)**

Complaints Advice Line and Assessment Team, 1800 655 985.

- **[Workforce Policy and Coordination](#)**

Information about Public Sector Standards and breach claims is available from [Breach claim webpage](#) and [Managing a Breach of a Public Sector Standard Claim Policy](#).

For information regarding this Framework, workplace bullying, equal opportunity, discrimination and harassment, cultural considerations, meeting diversity needs and breach of [Grievance Resolution Standard](#) claims, 9264 5081.

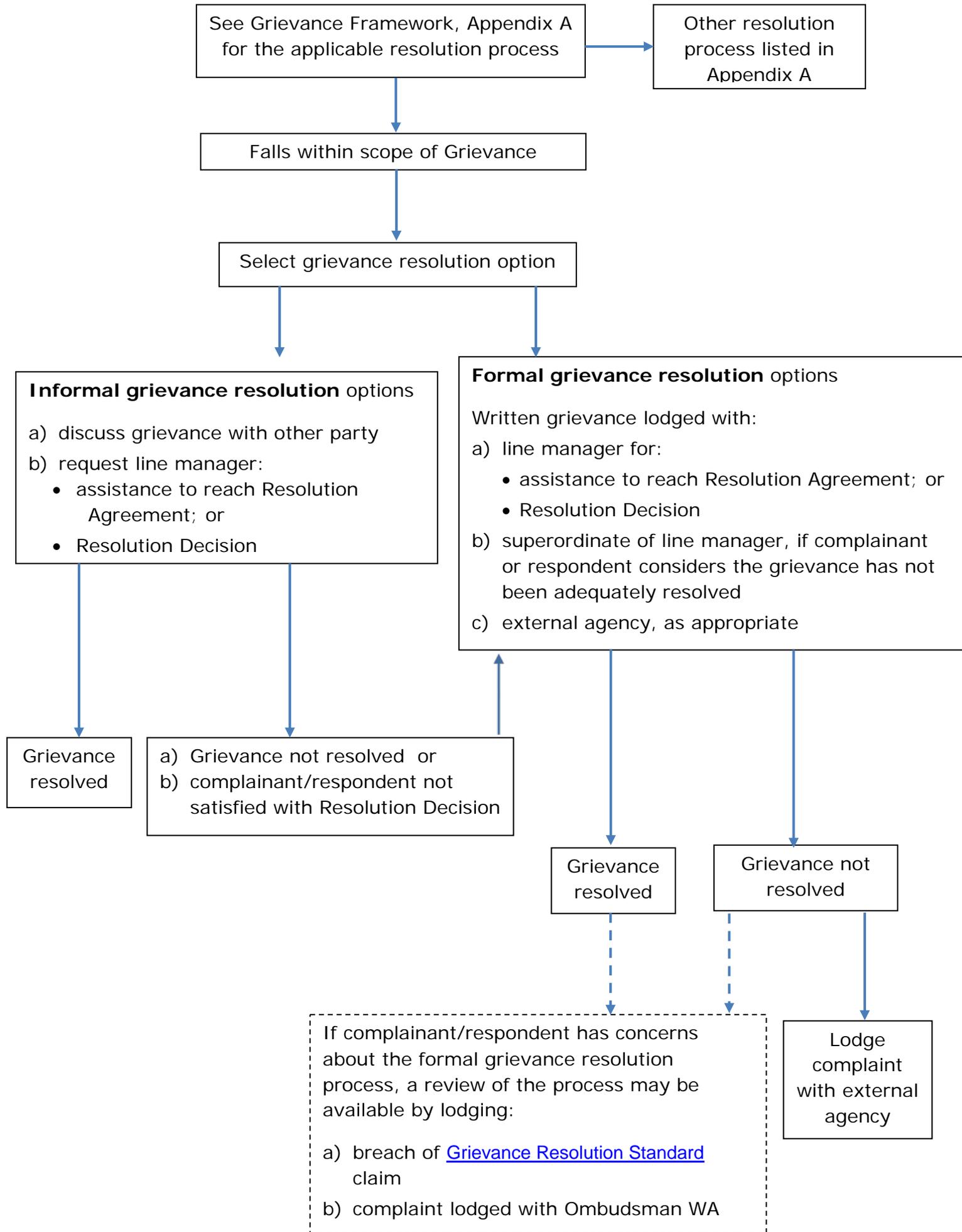
Appendix A: Type of Grievance/Issue and Resolution Processes

Type of grievance/issue	Policy, Authority, Industrial Award or Agreement	Resolution Process
<p>Teachers – all matters unless exclusions apply under the Agreement</p> <p>Swimming instructors – all matters</p>	<p><u>School Education Act Employees' (Teachers and Administrators) General Agreement</u></p> <p><u>Industrial Advice No. 10 of 2016</u></p>	<p>Teachers are required to follow:</p> <ul style="list-style-type: none"> • Clause 41 of the Agreement. This does not apply if: <ul style="list-style-type: none"> ○ the respondent is not a teacher; or ○ the matter is excluded by clause 41.2 of the Agreement. Exclusions include: <ul style="list-style-type: none"> – sexual harassment; – equal opportunity; – occupational health and safety (including bullying); – Public Sector Commission – Commissioner Instructions or Code of Ethics; – performance and disciplinary matters; and – criminal behaviour. <p>In the above cases, the grievance will be managed under this Framework or referred to Standards and Integrity Directorate.</p> <ul style="list-style-type: none"> • Clause 42 Dispute settlement procedures, as applicable. <p>Swimming instructors use the grievance resolution procedures under 39.5 of the Agreement.</p>
Bullying	<u>Workplace Bullying Policy and Procedures</u>	Grievance Framework.
Code of Conduct, Code of Ethics, discipline, misconduct	<u>Staff Conduct and Discipline Policy</u>	<ul style="list-style-type: none"> • Breach of discipline, disciplinary process as per policy.
Criminal matters		<ul style="list-style-type: none"> • Western Australian Police • Standards and Integrity Directorate and reported to line manager where appropriate.
Discrimination, harassment and equal opportunity issues	<u>Equal Opportunity, Discrimination and Harassment Policy and Procedures</u>	Grievance Framework.
Housing for Country Employees (eligible staff)	<u>Housing for Country Employees Policy</u>	Appeals forwarded to the Director, Staff Recruitment and Employment Services, as per policy.

Type of grievance/issue	Policy, Authority, Industrial Award or Agreement	Resolution Process
Occupational Safety and Health	Occupational Safety and Health Policy	The occupational safety and health issues resolution process is contained in Appendix G of the policy.
Performance Management	Employee Performance Policy	<ul style="list-style-type: none"> • Grievance Framework. • Lodge a breach of Standard claim against the Performance Management Standard.
Public Interest Disclosures	Public Interest Disclosure Policy	Disclosures are made to the Public Interest Disclosure officers as per the policy.
Questions, difficulties or disputes arising under an industrial instrument (e.g. employment conditions)	Industrial Awards and Agreements	<ul style="list-style-type: none"> • Initial grievance lodged with the principal or line manager or superordinate, as per Grievance Framework. • Dispute settlement procedure in applicable Industrial Agreement.
Redeployment and Redundancy	Part 6, Public Sector Management Act 1994 Public Sector Management (Redeployment and Redundancy) Regulations 2014	<ul style="list-style-type: none"> • Refer to information in the letter of notification from the Director, Staff Recruitment and Employment Services, as per Regulation 8(4). • Lodge the relevant form on the WA Industrial Relations website to determine whether: <ul style="list-style-type: none"> – the Regulations have been fairly and properly applied; – the employee has been afforded benefits to which they are entitled.
Redeployment - internal	Redeployment Standard (refer to <i>Scope and Application</i> for details)	<ul style="list-style-type: none"> • Lodge a breach claim against the Redeployment Standard which applies only to the movement of an employee, together with the movement of their office, post or position within departments. (Refer to <i>Scope and Application</i>.) <p>The Redeployment Standard does not apply to matters covered by Part 6, Public Sector Management Act 1994 or the Public Sector Management (Redeployment and Redundancy) Regulations 2014.</p>

Type of grievance/issue	Policy, Authority, Industrial Award or Agreement	Resolution Process
Reviewable and notifiable employment decisions under the Public Sector Standards in Human Resource Management : <ul style="list-style-type: none"> • Employment • Grievance Resolution • Performance Management • Redeployment Standard • Termination Standard 	Managing Breach of Public Sector Standard Claims Policy	Lodge a breach of Standard claim for a review of the process, as per the policy. Information is available from Public Sector Standards in HRM webpage. Claims can be emailed to: Workforcepolicyandcoordinationbosc@education.wa.edu.au .
Termination of employment	Termination Standard Industrial Relations Act 1979	<ul style="list-style-type: none"> • Grievance Framework. • Lodge a breach claim against the Termination Standard, (where applicable view the <i>Explanatory Notes</i>). • Lodge the relevant form on the WA Industrial Relations website (Guide available).
Workplace decisions, processes or practices not addressed above		<ul style="list-style-type: none"> • Grievance Framework.

APPENDIX B: Grievance Framework Flowchart



APPENDIX C: MANAGING AN INFORMAL GRIEVANCE

Suggested elements of an informal grievance resolution process for principals and line managers or delegate are outlined below. It is important to ensure the grievance resolution process is conducted without unnecessary delay to minimise potential for harm and ongoing conflict.

The [Grievance Framework Generic Informal Template Letters](#) are available on the [Grievance Resolution](#) webpage. The letters support principals and line managers communicate key aspects of the resolution process.

Acknowledge grievance	Promptly acknowledge receipt of the grievance.
Meet with complainant/s to clarify grievance	<p>When arranging a meeting with complainant, inform them of the option to have a support person present.</p> <p>Document and clarify the grievance (if it is verbal) and the complainant's preferred solution/outcome and develop an understanding of key issues and the context of the grievance.</p>
Identify issue/s and seek information	<p>Identify any legislative, policy or industrial aspects of the grievance and seek information or advice to clarify if the grievance involves a breach of policy, Code of Conduct, legislation, employment or work practices. (Refer to Appendix A and Policies website.)</p> <p>If the grievance involves potential misconduct or breach of discipline, contact Standards and Integrity Directorate 1800 655 985.</p>
Meet with respondent/s	<p>When arranging a meeting, inform respondent/s of option to have a support person present.</p> <p>In the meeting:</p> <ul style="list-style-type: none"> • inform the respondent of the grievance; • explain rights, responsibilities and the grievance process; • provide the respondent with sufficient time to respond or where suitable, discuss and document the respondent's perspective; and • develop an understanding of key issues and the context of the grievance.
Assessing conflicting versions of events	<p>Where the complainant and respondent disagree on elements of the grievance:</p> <ul style="list-style-type: none"> • ask both parties to identify any persons or provide information, documents or communications that support their version of events; • seek other relevant information as required; and • assess the information gathered and determine to what extent it supports the complainants or respondents version of events.

<p>Determine outcomes</p>	<p>If there is a perception of a breach of policy, Code of Conduct, legislation, employment or work practices occurred, consider:</p> <ul style="list-style-type: none"> • what actions (if any) are required to address or rectify the matter; • how can future occurrences be prevented or managed; and • if the employees (or all staff) would benefit from provision of information/policies, or professional learning to prevent or self-manage conflict/issues or improve workplace communications, practices or culture. <p>Options:</p> <p>a) If seeking to develop/implement a Resolution Agreement:</p> <ul style="list-style-type: none"> • facilitate a discussion between the employees: <ul style="list-style-type: none"> – conciliate between parties (focuses on building a positive relationship between the employees); – mediation (the mediator assists the employees to identify the disputed issues, develop options, consider alternatives and endeavour to reach an agreement). Mediation is voluntary for both parties. (See <i>Contact Information</i>.) <p>b) Otherwise, where it is determined a Resolution Decision is required:</p> <ul style="list-style-type: none"> • meet with the complainant and respondent separately to inform them of the proposed outcome to resolve the issue. <p>Finalise documentation of the grievance.</p> <p>Inform the complainant/s and respondent/s of the Resolution Agreement or Resolution Decision in writing and offer to meet separately to address any questions or concerns they may have.</p> <p>Where appropriate, use the performance management process to address and monitor the matter.</p>
<p>Follow up and review</p>	<p>Follow up with the employees to confirm no further incidents have occurred, both parties are complying with the Resolution Agreement or Resolution Decision and/or the grievance is resolved.</p> <p>If necessary, review relevant workplace practices to prevent recurrences.</p>
<p>Grievance not resolved</p>	<p>The complainant can lodge a formal grievance if a Resolution Agreement is unable to be reached by the parties or the complainant is not satisfied with the Resolution Decision.</p> <p>The respondent can lodge a formal grievance if dissatisfied with the Resolution Decision.</p>

APPENDIX D: MANAGING A FORMAL GRIEVANCE

Information outlined below details suggested elements related to undertaking a formal grievance resolution process for principals, line managers or delegate. It is important to ensure the grievance resolution process is conducted without unnecessary delay to minimise potential for harm and ongoing conflict.

An assessment report will be based on information gathered and decisions made throughout each stage of the process.

The [Grievance Framework Generic Formal Template Letters](#) are available on the [Grievance Resolution](#) webpage. The letters support principals and line managers communicate key aspects of the resolution process.

Grievance notifications and assessment

<p>Acknowledge grievance</p>	<ul style="list-style-type: none"> Promptly acknowledge receipt of grievance. Letter: Advising formal grievance received, future interview to discuss grievance
<p>Grievance context and background</p>	<ul style="list-style-type: none"> Check any relevant background or contextual information related to the grievance and the potential bearing on the grievance assessment process. Identify any conflict/s of interest, existing or perceived, that may affect the management of the grievance. These may need to be discussed with the superordinate, with issues addressed, to ensure procedural fairness.
<p>Grievance appraisal</p>	<p>Clarify grievance</p> <ul style="list-style-type: none"> Identify any legislative, policy or industrial aspects that may apply to the grievance; e.g. Equal Opportunity Act 1984, Workplace Bullying Policy. Seek further information, where relevant, to clarify issues/concerns raised in the grievance. This may include a discussion with the complainant or policy clarification from Workforce Policy and Coordination Directorate, 9264 5081. If the grievance involves potential misconduct, discussion and/or referral to the Standards and Integrity Directorate may need to occur, 1800 655 985. <p>Plan assessment approach</p> <ul style="list-style-type: none"> Establish an approach to the assessment; including how the process will be conducted, by whom and a completion timeframe. This will depend on the nature and complexity of the grievance. The person undertaking an assessment process needs to understand: <ul style="list-style-type: none"> their role (if assessment is delegated); the scope of the assessment required; and how to undertake the process, applying procedural fairness and consideration of relevant policy and/or legislation. Consider whether any temporary alternative work arrangements are required during the process of assessing the grievance to minimise potential conflict and/or risk. Contact Employee Relations Directorate, 9264 4728. Consider whether the nature of the grievance and related assessment process impacts on other individuals in the workplace. Strategies may need to be implemented to ensure minimal impact on workplace culture and operations and, where necessary, support provided. <p>Record and store information appropriately</p> <ul style="list-style-type: none"> Set up a record keeping system to ensure comprehensive records of the

	<p>assessment process are maintained. Records may include:</p> <ul style="list-style-type: none"> – information about how the process is undertaken; – discussions, phone calls, emails and correspondence; – interview records/notes and documents submitted by parties involved; – advice sought and received; – actions undertaken during the assessment process; – strategies put in place during the assessment process (e.g. support, alternative reporting arrangements); – observations, decisions and conclusions made during the course of the assessment. <ul style="list-style-type: none"> • Store information securely to prevent unauthorised access and to maintain confidentiality.
Notify respondent	<ul style="list-style-type: none"> • Notify the respondent of the grievance. This can be verbally undertaken in the first instance, followed by a letter: Letter: Advising formal grievance received, interview or written response to grievance required
Inform all parties to grievance	<ul style="list-style-type: none"> • At the commencement of the grievance resolution process all parties need to be informed of the process being undertaken.

Obtain evidence and information

<p>Plan and conduct interviews</p> <p>Locate relevant information</p>	<ul style="list-style-type: none"> • Determine who will be interviewed. The rationale for interviewing individuals needs to be documented. • Notify individuals via a letter/email. Letter: Complainant Scheduling interview Letter: Respondent Scheduling interview • Where the respondent declines an interview, request a written response. Provide sufficient time for the response, depending on the nature/complexity of the grievance.
	<ul style="list-style-type: none"> • Prepare interview focus areas related to the issues within the grievance. Interviews should include: <ul style="list-style-type: none"> – relevant parties to the grievance; and – other individuals able to validate information, if required. • Establish an interview structure to ensure coverage of information and to keep interviews on track; e.g. introductory comments, acknowledging individuals present (e.g. support person), referring to the Department's Employee Assistance Program, policy relevant to the grievance. • Conduct interviews, documenting key information. An executive officer may be useful to take notes, depending on the nature of the grievance and interview process. • Further interviews may be needed with the parties or new individuals identified during the interview process to follow-up or verify information. • Any conflicting and/or new information central to the resolution of the grievance should be put to the respondent in order that they have a reply to that information. • Every effort should be made to interview individuals that could inform the assessment. If this is not possible, interview attempts and/or reasons for not conducting an interview need to be documented.

	<ul style="list-style-type: none"> • Confirm individual interview records with each party to ensure key relevant information is correctly captured. Confirmation can be by an individual signing interview notes or via email response.
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Compiling and evaluating information

Assess information	<ul style="list-style-type: none"> • Ensure all relevant information is collected to inform decision-making. It is useful to summarise the information, aligning it to the grievance elements, and if there are gaps, further information can be sought. • Analyse information and consider to what extent the grievance is valid and/or substantiated and what information/evidence confirms this or not.
Findings	<ul style="list-style-type: none"> • Findings draw together the analysis of information and/or evidence to determine outcomes. There needs to be a logical link between information/evidence gathered and findings. • Findings should focus on each allegation/issue and whether they are: <ul style="list-style-type: none"> – substantiated (supported by evidence/information) – not substantiated (based on evidence/information or if there is none) – inconclusive (there is some evidence/information, but not sufficient to make a conclusion).
Consider outcomes	<ul style="list-style-type: none"> • Outcomes relate to any actions proposed as a result of findings. • If the findings are of serious nature, outcomes may include recommendations warranting discussion/further action/referral to another area of the Department. This should be discussed with the principal's or line manager's superordinate.

Prepare the assessment report

Assessment report	<ul style="list-style-type: none"> • The assessment report sets out: <ul style="list-style-type: none"> – the grievance; – how the assessment process was conducted; – relevant facts, information and evidence; – a summary and analysis of information; – findings made; and – outcomes and/or recommendations. • The report may be read by different parties and may be subject to external review. It needs to be transparent and capable of review. • Quality assure the report ensuring: <ul style="list-style-type: none"> – all aspects of the assessment process are detailed; – information in the report relates to the issues raised in the grievance; – information is accurate and validated, if possible; – the findings are based on information and evidence collected throughout the process; – the report is free from bias, commentary or information unrelated to the grievance; – reference is made to any relevant legislation, policy or other frameworks
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	<p>applied during the process; and</p> <ul style="list-style-type: none"> – documentation is referenced and attached. • If the report is lengthy and complex, an executive summary may be useful.
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Communicate findings and implement outcomes and recommendations

Communicate findings	<ul style="list-style-type: none"> • Communicate findings to the complainant and respondent. This can be verbally communicated, followed by a letter: Letter: Complainant Advising of findings of formal assessment and outcome Letter: Respondent Advising of findings of formal assessment and outcome
Implement outcomes or recommendations	<ul style="list-style-type: none"> • Determine how the outcomes or recommendations will be implemented, establishing a process and timeframe for this to occur. • Set up relevant support for individuals involved and appropriate monitoring and follow-up.
Formal mediation	<ul style="list-style-type: none"> • Formal mediation may be conducted by the principal or line manager or outsourced.