### Flowchart on Staff Grievance Procedures

### Informal Resolution

(Submission time limit: within 90 calendar days of alleged incident)

# Formal Complaint

(Submission time limit: within 30 calendar days of notification of unsuccessful informal resolution)

#### **First Contact Point**

- Complainant discusses with his/her immediate supervisor/other levels of supervisor/Head of Department/Office ("HoD"). [Remark 1]
   (Time limit\*: within 90 calendar days of alleged incident)
- Supervisor/HoD clarifies/confirms case information and attempts to resolve complaint.
- Resolution or consent not to proceed further
- Keep a record of the resolution in writing and forward a copy to HRO for record

## Stage 1: Filing a Formal Complaint

- Complainant submits a completed Complaint Form to the HoD. [Remark 1] (Time limit\*: within 30 calendar days of notification of unsuccessful informal resolution)
- After confirmation of complaint-related matters, HoD informs Respondent of the formal complaint.

(Time limit: normally within 7 working days after confirmation)

(Time limit: normally within 15 working days of receipt of complaint)

#### **Stage 2: Mediation (Optional)**

 Mediation is conducted by an accredited mediator or an internal staff member as agreed by Complainant and Respondent. [Remark 2]

(Time limit\*: confirm whether to attempt mediation within 7 working days and completes normally within 30 calendar days from the date of first meeting)

Resolution with settlement agreement or consent not to proceed further

#### Stage 3: Preliminary Inquiry by HoD and HRO

- HoD and a representative from HRO conduct preliminary inquiry and submit a report to
  President, who may fully/partially delegate a Vice President to handle the case.
  (Time limit: normally within 30 calendar days of receipt of complaint/unsuccessful mediation)
- President/delegated Vice President endorses the following recommendation(s) of the Panel or takes other appropriate actions:
  - (1) referring the grievance to Grievance Committee
- (2) referring the grievance to a law enforcement agency
- (3) dismissing the grievance (Complainant is informed of the initial decision, recommended by the preliminary inquiry panel and agreed by the President/delegated Vice President, with reasons and given 10 working days for submission of new evidence and other information/material relevant to the case)
- (4) other appropriate actions to resolve grievance (Time limit: normally within 10 working days)

### Mediation (Optional)

- At any stage of formal complaint proceedings, Complainant and Respondent may agree to attempt mediation
- Complainant withdraws complaint if case resolved
- Law enforcement agency
- Dismissal of complaint
- Other appropriate actions to resolve complaint

## Stage 4: Inquiry by the Grievance Committee ("Committee")

- The Committee conducts investigation, determines if complaint is substantiated and decides the course(s) of action.
- The Committee prepares an interim report with a copy given to Complainant and Respondent. (Time limit: normally within 90 calendar days from the date of first meeting)
- Upon receipt of the report, Complainant or Respondent may submit new evidence and other information/material relevant to the case to the Committee via the Secretary for its consideration. (Time limit\*: within 10 working days of written notice)
- The Secretary notifies both Complainant and Respondent of the Committee's decision in writing.
   President/delegated Vice President involved in Stage 3 is notified of the decision.

# Appeal

(Submission time limit: within 20 working days of notification of the Committee's decision)

#### **Appeal**

- Complainant or Respondent may lodge an appeal in writing to Chairman of Staff Appeal Subcommittee. [Remark 3]
- (Time limit\*: within 20 working days of notification of the Committee's decision)
- Appeal will be allowed only where there is procedural irregularity
- If appeal is allowed, appeal authority decides on appropriate course of action.
   (Time limit: normally within 30 calendar days after receipt of appeal)

### Remark

- The University may exercise discretion to extend time limit under exceptional circumstances.
- The grievance should be directed to:
  - (a) Faculty Dean or relevant Vice President if HoD is Respondent:
  - (b) Vice President (Academic) if Faculty Dean is Respondent;
  - c) Vice President (Administration) if a staff member reporting directly to the President is Respondent;
  - d) The President if Vice President is Complainant/Respondent (President may consult the Chairman of the Staffing Committee to conduct an informal resolution, mediation or inquiry);
  - (e) The Chairman of Council (via Secretary to Council) if the President is Complainant/Respondent (Chairman of Council may ask the Chairman of the Staffing Committee to conduct an informal resolution, mediation or inquiry);
  - (f) The immediate supervisor, other levels of supervisor or HoD of the Respondent for cases when the Complainant and the Respondent are from different departments.
- Staff who have undergone the 40-hour mediation training and/or with accreditation are preferred.
- 3. If Complainant/Respondent is the President or Vice President, the appeal should be lodged with the Chairman of Council (via Secretary to Council).