



# **DIGNITY AT WORK AND STUDY POLICY & PROCEDURES (BULLYING & HARASSMENT)**

Note: Further information about Dignity at Work and Study is available at:  
[ulster.ac.uk/about/governance/equality-diversity/dignity-at-work](http://ulster.ac.uk/about/governance/equality-diversity/dignity-at-work)

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# CONTENTS

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## PART 1:

### DIGNITY AT WORK AND STUDY POLICY

<b>INTRODUCTION</b>		1
Section 1	<b>DEFINITIONS</b>	
	1.1 Bullying	3
	1.2 Harassment	4
	1.3 Victimisation	5
	1.4 At work	5
	1.5 At study	5
Section 2	<b>THE UNIVERSITY'S RESPONSIBILITIES</b>	5
Section 3	<b>MANAGERS' AND SUPERVISORS' RESPONSIBILITIES</b>	6
Section 4	<b>STUDENTS' UNION REPRESENTATIVES RESPONSIBILITIES</b>	7
Section 5	<b>EMPLOYEES' AND STUDENTS' RESPONSIBILITIES</b>	8
Section 6	<b>EMPLOYEES' AND STUDENTS' RIGHTS</b>	9
Section 7	<b>HARASSMENT ADVISORS</b>	9
Section 8	<b>MEDIATION</b>	10
Section 9	<b>VEXATIOUS OR MALICIOUS ALLEGATIONS</b>	11
Section 10	<b>REVIEW</b>	11

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# CONTENTS

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## PART II:

### PROCEDURES FOR DEALING WITH COMPLAINTS OF BULLYING OR HARASSMENT

Section 11	INITIATING COMPLAINTS OF BULLYING OR HARASSMENT	13
Section 12	CONFIDENTIALITY	13
Section 13	PROCEDURE FOR DEALING WITH COMPLAINTS ABOUT STAFF	14
Section 14	STAGE I - <b>INFORMAL COMPLAINTS</b>	14
Section 15	STAGE II - <b>FORMAL COMPLAINTS</b>	15
Section 16	STAGE III – <b>APPEAL</b>	17
Section 17	PROCEDURE FOR DEALING WITH COMPLAINTS ABOUT STUDENTS	20
Section 18	STAGE I – <b>INFORMAL COMPLAINTS</b>	20
Section 19	STAGE II – <b>FORMAL COMPLAINTS</b>	21
Section 20	STAGE III – <b>APPEAL</b>	22
Section 21	SUPPORT FOLLOWING AN INVESTIGATION	23
Section 22	COMPLAINTS TO THE FAIR EMPLOYMENT TRIBUNAL/ INDUSTRIAL TRIBUNAL/COURT	23

# **PART I:**

## **DIGNITY AT WORK AND STUDY POLICY**

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## INTRODUCTION

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### UNIVERSITY COMMITMENT TO DIVERSITY AND DIGNITY AT WORK AND STUDY

Ulster University is committed to creating and sustaining a welcoming, inclusive and accessible learning and working environment which is free from all and any forms of bullying and harassment.

This is supported and underpinned by the University's mission, which is to:

“transform lives, stretch minds, develop skills and raise ambitions, deliver globally significant research with local relevance, encourage a diverse university community and make a lasting contribution to society as a whole.”

The University's Core Values are:

- **integrity**, which means that we are **respectful**;
- **spirit**, which means that we are **inspiring**;
- **living knowledge**, which means that we are **relevant**;
- **unity**, which means that we are **collaborative**;
- **openness**, which means that we are **engaging**;  
and
- **fresh thinking**, which means that we are **pioneering**.

### POLICY STATEMENT

As part of its overall commitment to the promotion of equality of opportunity and good relations, and in support of its core values, Ulster University is fully committed to promoting a good and harmonious learning and working environment in which no member of staff or student feels under threat or intimidated on grounds of religious beliefs, political opinion, sex or gender identity, marital status, having or not having dependants, sexual orientation, disability, race, ethnic origin, or age and where every employee and student is treated with respect and dignity.

**The University has a zero tolerance attitude to Bullying and Harassment.** It is the University's policy to ensure that all staff and students are made aware of this policy and of their responsibilities. All staff and students are expected to comply with the policy, and to assist in the promotion of a good working environment free from any form of bullying and harassment. The aim of this policy and the accompanying procedures is to try to ensure that Bullying or Harassment does not occur and, if it does occur, to ensure that appropriate procedures are readily available to resolve the problem and prevent recurrence.

Bullying and Harassment detracts from a productive working and learning environment and can affect the health, integrity, confidence, morale and performance of those affected, including those who witness or know about such unwanted behaviour. This can have a direct impact on the motivation and attendance of staff and students, and consequently on the productivity and economic efficiency of the organisation.

Bullying and Harassment can be experienced by a group of people as well as by individuals. This policy recognises this and where the singular is used, it is accepted that the circumstances may also be applicable to a group of people. Bullying and Harassment can also be carried out by a group of people against an individual.

Bullying and Harassment in any form is unacceptable behaviour and will not be permitted or condoned. Sexual, sectarian and racial harassment and harassment on the grounds of disability or sexual orientation constitute discrimination and are unlawful under the sex discrimination, fair employment, race relations, disability, sexual orientation and age legislation. Harassment is also a criminal offence under the Protection from Harassment (NI) Order 1997 and it may contravene the Health and Safety at Work (NI) Order 1978.

There is no excuse for Bullying and Harassment within the University. It is inappropriate behaviour and it will be treated by the University as a disciplinary offence, which may include gross misconduct warranting suspension, dismissal or expulsion. All employees and students must comply with this policy.

The recognised Trades Unions and the Students' Union have been fully consulted in drawing up this policy. The University, in conjunction with the Unions, will engage in an awareness raising exercise in order to facilitate the implementation of this policy. Staff who may have to investigate complaints, will also be provided with training and must be fully aware of their responsibilities.

The University's Staff and Student Social Media Policies should be read in conjunction with this policy.

# 1. DEFINITIONS

## 1.1 Bullying

Bullying is unacceptable, offensive behaviour. It is often an abuse of power or position where the targets can experience difficulty in defending themselves. It can be defined as unfair treatment, excessive criticism, or persistent nit-picking, intimidating, aggressive or undermining behaviour, which makes the recipient(s), feel upset, humiliated, threatened or vulnerable and undermines their self-confidence and integrity. Some examples could include a combination of:

- Aggression, threats and shouting;
- Belittling, marginalising or ridiculing;
- Excessive criticism about minor things;
- Inappropriate removal of areas of responsibility, or deliberately impeding the work of another employee;
- Excessive monitoring of someone's work or inaccurate accusations about quality of work;
- Public humiliation, sending abusive emails or texts directly or by posting nasty comments or humiliating images for others to see;
- Taking credit for someone's work but never taking the blame if something goes wrong;
- Twisting things someone says or does;
- Withholding information from or deliberately supplying incorrect information to employees so they are less able to do their job;
- Setting impossible objectives or constantly changing someone's work remit;
- Isolation or non-co-operation at work, exclusion from social activities or conversation;
- Spreading malicious rumours;
- Failure to deal with the issue of an individual consistently being given an excessive workload compared with colleagues;
- Preventing individuals from progressing, by intentionally blocking promotion or training opportunities.

Bullying can also be more subtle and insidious, and can gradually wear someone down. Often it takes place when there are no witnesses, and the victim is afraid to complain through fear of not being believed and of the bullying getting worse. Bullying has an extremely negative effect on the individual and ultimately on the organisation and can cause stress and anxiety which can lead to physical ill health and mental distress. The University recognises the effect that this can have on staff and students and this is addressed in its Stress Management Policy. The University will therefore investigate any complaints of bullying thoroughly.

## 1.2 Harassment

Harassment is unwanted conduct of a sexual/sectarian/racist nature or other conduct based on sex, sexual orientation, religious belief, political opinion, race/ethnic origin<sup>1</sup>, marital or family status<sup>2</sup>, which has the purpose or effect of violating the dignity of women and men or creating an intimidating, hostile, degrading, humiliating or offensive environment. Harassment can also be unwanted conduct aimed at an individual's disability or based on an individual's age, social status or Trades Union membership. Harassment can include unwelcome physical, verbal or non-verbal conduct. Such behaviour is unacceptable where it is unwanted, unreasonable and offensive to the recipient. **It is also important to note that it is the purpose or effect of the behaviour rather than the motive, which must be considered.**

Some examples are given below but many forms of behaviour can constitute harassment:

- Physical conduct ranging from touching to serious assault;
- Oral and written harassment through jokes, offensive language, racist remarks, gossip and slander, sectarian songs, threats, letters;
- Visual displays such as of posters, graffiti, obscene gestures, flags, buntings or emblems or any offensive material, including electronically generated material;
- Isolation or non-co-operation at work, exclusion from social activities or conversation;
- Coercion, including pressure for sexual favours, pressure to participate in political/ religious groups; and
- Intrusion by pestering, spying, following etc.

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1 Race/ethnic origin also includes colour, nationality and national origin. The Irish Travellers are also recognised as being a racial group.

2 This includes both people with, and people without dependants.

### **1.3 Victimisation**

Harassment also covers victimisation, which is defined in law as:

‘When a person is treated less favourably than another because that person has, for example, asserted rights under any of the discrimination laws or has helped another person to assert such rights or given information to the relevant statutory body, or because it is suspected that the person might do any of these things.’

The University’s policy also extends this definition to bullying.

### **1.4 At work**

‘At work’ includes any place where the occasion can be identified with either the requirements of the University, or with the social events linked to it. This includes work Christmas parties, training events or conferences.

The University continues to have a duty of care for staff when they are on secondment, but as employees of another organisation, University policies are not applicable. Whilst University staff are still available to give advice and assistance to staff who feel they are a victim of either harassment or bullying within the secondment organisation, staff should refer to the secondment organisation’s policies.

### **1.5 At study**

‘At study’ includes any place where the occasion can be identified with either the requirements of the course, or with social events linked to the same course. This includes incidents outside of the University that clearly happen because of the association at the University (i.e. living in University residences, field-trips, and course related social events) and is associated with unacceptable behaviour at the University.

Whilst on a work placement the University continues to have a duty of care for students but as employees of another organisation, University policies are not applicable. However, University staff are still available to give advice and assistance to students who feel they are a victim of either harassment or bullying within the work placement organisation.

## **2. THE UNIVERSITY’S RESPONSIBILITIES**

The University has a legal and moral responsibility to ensure that any form of bullying or harassment is stopped effectively. Research indicates that bullying and harassment thrive in workplace cultures where it is ignored rather than challenged. Therefore this policy and procedures will be communicated effectively to all employees and students and the University will continue to ensure that all

employees and students are aware of their responsibilities. In addition, managers and supervisors and Students' Union representatives have specific additional responsibilities. Appropriate training will be provided including training on induction and management courses.

Harassment Advisors have been designated to provide advice and assistance to employees and students who are subjected to bullying and harassment and their names have been circulated to all employees and students (for a list of current advisors contact the Policy Implementation Unit or your Faculty/Department office). The list is also available on the University's website at: [ulster.ac.uk/secretary/policyimplementation/policies/b&h\\_advisors.pdf](http://ulster.ac.uk/secretary/policyimplementation/policies/b&h_advisors.pdf).

Employees and students may contact anyone on the list. All complaints of Bullying and Harassment will be dealt with promptly, seriously and confidentially.

All those involved in an official role in any complaints will receive appropriate training. This will include Trades Union representatives.

The University will support victims of Bullying and Harassment by the provision of counselling or other appropriate help. It will also provide counselling facilities for those accused of Bullying and Harassment.

### **3. MANAGERS' AND SUPERVISORS' RESPONSIBILITIES**

Managers and supervisors have a duty to implement this policy and to make every effort to ensure that bullying and harassment does not occur, particularly in work areas for which they are responsible. Managers and supervisors have responsibility for seeking to resolve any incidents of bullying or harassment of which they are aware or ought to be aware. If bullying or harassment does occur, they must deal effectively with the situation. Failure to implement this policy and to investigate a complaint could lead to a line manager/supervisor being individually liable for that complaint, and/or could lead to disciplinary action and/or to legal proceedings.

Managers or supervisors must not threaten or insinuate, either explicitly or implicitly, that an employee's/student's rejection of sexual advances or refusal to participate in potentially harassing behaviour will be used as a basis for an employment/assessment decision affecting that employee/student. Such conduct by a manager or supervisor will be treated as a serious disciplinary offence, and if an employee or student lodges a tribunal application against a manager or supervisor in these circumstances they may be individually liable.

Line managers have a responsibility to ensure that performance standards for tasks are established fairly and consistently with each member of staff, and that objectives are formalised and agreed to ensure that an employee does not feel victimised or unfairly criticised for their standard of work. Moreover, under-performance must be dealt with in an appropriate manner and under the appropriate procedures. Line managers must not resort to bullying tactics in these, or any circumstances.

Managers and supervisors must also ensure that they afford fair and unbiased treatment to anyone who has been accused of bullying or harassment, at all stages of, and after any investigation.

In addition they must:

- (i) Attend training to ensure that they understand their responsibilities under the policy;
- (ii) Explain the University's policy to their staff and take steps to promote the policy. Ensure that each member of staff is made aware of the policy and has access to a copy of the policy;
- (iii) Ensure that staff including supervisors of students, know how to raise bullying or harassment problems;
- (iv) Set a good example by treating all staff, students and visitors with dignity and respect;
- (v) Be responsive and supportive to any member of staff or student who makes an allegation of bullying or harassment, provide full and clear advice on the procedure to be adopted, maintain confidentiality, and ensure that there is no problem of bullying or harassment or victimisation, both after the incident has been reported, and after a complaint has been resolved;
- (vi) Ensure that the complainant and the alleged harasser are kept informed as to how the complaint is being addressed and progressed;
- (vii) Be alert to unacceptable behaviour and take appropriate action where an allegation is established; and
- (viii) Ensure that any staff who have contact with students are aware of their responsibility to recognise possible incidents of bullying or harassment and take appropriate action.

#### **4. STUDENTS' UNION REPRESENTATIVES' RESPONSIBILITIES**

All Students' Union representatives and those with responsibility for Student's Union staff should take appropriate steps for ensuring that bullying and harassment do not occur in their work and social environment.

In addition they should, in line with their own policies and procedures:

- (i) Understand the University's Bullying and Harassment Policy and Procedures and provide information regarding the policy and procedures when requested to do so;
- (ii) Advise and inform their staff or students of the University's Bullying and

## Harassment Policy and Procedures;

- (iii) Provide an educational/social environment which is free from visual Bullying and Harassment e.g. pin-ups, graffiti, defaced posters etc;
- (iv) Be alert to physical and verbal bullying and harassment in their work/social environment and deal with it immediately, whether or not it is formally brought to their attention;
- (v) Be supportive of individuals who state that they have been bullied or harassed and take full account of their feelings and perception of the situation;
- (vi) Maintain complete confidentiality relating to all aspects of cases of bullying and harassment at all times and not disclosing and discussing the case unnecessarily with any individual not involved in its investigation;
- (vii) Not participate in, encourage or condone gossip relating to cases of actual or alleged bullying and harassment and taking appropriate steps to prevent or stop such gossip in their work/social environment;
- (viii) Attend any training session which may be arranged to increase awareness of the University Bullying and Harassment Policy and Procedures.

## **5. EMPLOYEES' AND STUDENTS' RESPONSIBILITIES**

Employees have a responsibility to carry out their duties to meet objectives in a professional manner and according to agreed procedures and standards. Bullying and/or harassment are not acceptable methods for a line manager to deal with under-performance.

All employees and students have a responsibility to help ensure a working environment in which the dignity of employees and students is respected. Everyone must comply with this policy and employees should ensure that their behaviour to colleagues, students and visitors to the University does not cause offence and could not in any way be considered to be bullying or harassment.

Employees and students should discourage bullying and harassment by making it clear that they find such behaviour unacceptable and by supporting colleagues or students who suffer such treatment and are considering making a complaint. Anyone aware of or being subjected to bullying or harassment is encouraged to alert a manager, supervisor or member of academic or support staff to any incident of bullying or harassment to enable the organisation to deal with the matter.

Employees and students have a responsibility towards one another and if they witness an incident of bullying or harassment they may be required to give a statement and to be interviewed in the course of an investigation.

## **6. EMPLOYEES' AND STUDENTS' RIGHTS**

All employees and students have the right to work in an environment which is free from any form of bullying or harassment. The University fully recognises the right of employees and students to complain about bullying and harassment should it occur. All complaints will be dealt with seriously, promptly and confidentially. A copy of the relevant complaints procedure, which has been agreed with the recognised Unions, is available from line managers, the Policy Implementation Unit, the Students' Union and the University website:

[ulster.ac.uk/about/governance/equality-diversity/dignity-at-work](http://ulster.ac.uk/about/governance/equality-diversity/dignity-at-work)

This procedure does not replace or detract from the statutory rights of employees or students to pursue a complaint under legislation to Tribunal or Court.

Every effort will be made to ensure that employees and students making complaints, and others, who give evidence or information in connection with the complaint, will not be victimised. Victimisation is discrimination contrary to equality legislation or in the case of bullying, contrary to this policy. Any complaint of victimisation will be dealt with seriously, promptly and confidentially. Victimisation will result in disciplinary action and may warrant dismissal.

An employee who is accused of bullying or harassment has the right to respond fully to such accusations and to be accompanied in this process by their Union representative. They also have the right to seek advice from the harassment advisors, or from the Department of Human Resources, or the Equality and Legal Manager, or their Trades Union representative, as appropriate. These people will provide advice and support but formal investigations will be carried out as described in paragraph 12.

## **7. HARASSMENT ADVISORS**

Harassment advisors have been appointed to provide staff and students with advice and assistance. They will not conduct investigations but they may accompany people at any stage of either informal or formal investigations in place of a Trades' Union representative or colleague. An advisor can be contacted on a confidential basis at any stage of informal or formal procedures. The names and locations of advisors can be obtained from the Policy Implementation Unit and from Faculty/Department offices.

All incidents of bullying and harassment which are reported to a harassment advisor will be monitored annually on an anonymous basis. In the event of any patterns emerging management may wish to initiate its own formal investigation and take remedial action where this proves to be necessary.

The student or member of staff should be advised:

- A formal investigation and possible disciplinary action can only take place if the

incident/s is/are investigated under the formal procedure; and

- A written record of the action taken will be made to assist with any formal proceedings, which may arise if the behaviour does not stop. Failure to maintain such a record will not invalidate proceedings at the formal stage.

## 8. MEDIATION

ACAS (Advisory Conciliation and Arbitration Service) defines mediation as:

“Mediation is the most common form of alternative dispute resolution. It’s completely voluntary and confidential. It involves an independent, impartial person helping two or more individuals or groups reach a solution that’s acceptable to everyone. The mediator can talk to both sides separately or together. Mediators do not make judgements or determine outcomes – they ask questions that help to uncover underlying problems, assist the parties to understand the issues and helps them to clarify the options for resolving their conflict.

The aim is to restore and maintain the employment relationship if possible. This means the focus is on working together to go forward, not determining who was right or wrong in the past.

Most kinds of dispute can be mediated if those involved want to find a way forward. It can be used at any stage in a dispute but is most effective if used early on.”

Mediation will only be used if both parties concerned agree to this. Mediation is an option at any stage of (and after) the University’s process and can be an effective way of resolving the issues. Where mediation is opted for part way through the formal procedure, the formal procedure will be suspended pending the outcome of mediation.

The University has a pool of trained mediators who can be contacted by either the complainant or the alleged harasser at any time during or after the process. They will provide information on the service they provide.

Further information is also available in the leaflet “**Staff Mediation Services**” available at:

[ulster.ac.uk/secretary/policyimplementation/policies/mediation\\_leaflet.pdf](http://ulster.ac.uk/secretary/policyimplementation/policies/mediation_leaflet.pdf)

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## **9. VEXATIOUS OR MALICIOUS ALLEGATIONS**

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If the outcome of an investigation indicates that a vexatious or malicious allegation has been made against a member of staff or student, this is likely to result in disciplinary action being taken against the complainant.

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## **10. REVIEW**

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The University together with the Trades Union will monitor all formal complaints of Bullying and Harassment and will review the effectiveness of this policy and procedures at intervals no greater than three years.

**PART II:**

**PROCEDURES FOR  
DEALING WITH  
COMPLAINTS  
OF BULLYING OR  
HARASSMENT**

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## 11. INITIATING COMPLAINTS OF BULLYING/HARASSMENT

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Any employee, or group of employees, or student, or group of students who believe(s) that he/she/they has/have suffered any form of bullying or harassment by a member of staff is/are entitled to raise the matter through the following procedures.

**These procedures do not replace or detract from his/her/ their statutory rights under sex discrimination, fair employment and treatment, disability, race relations, sexual orientation or age legislation, or the Health & Safety at Work (NI) Order, or the Protection from Harassment (NI) Order.**

(When the singular form is used in relation to the person alleging bullying or harassment e.g. complainant, this is intended to include a group of employees/students where applicable).

Further guidance is also available at:

[ulster.ac.uk/about/governance/equality-diversity/dignity-at-work](http://ulster.ac.uk/about/governance/equality-diversity/dignity-at-work)

The University has a duty of care to safeguard the mental and physical well-being of its staff and students. If a member of staff or student appears to be at immediate risk because of alleged bullying or harassment the University has an obligation to investigate, where it seems there may be a legitimate case, even if a formal complaint has not been lodged. This investigation will be carried out within the procedures outlined in this policy.

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## 12. CONFIDENTIALITY

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**Strict confidentiality must be maintained throughout all investigations. Where it is necessary to interview witnesses the importance of confidentiality will be emphasised. Complaints regarding a breach of confidentiality should be reported to the Director of People and Culture. It will be explained to everyone involved in the process that any breach of confidentiality may lead to disciplinary action.**

### **13. PROCEDURE FOR DEALING WITH COMPLAINTS ABOUT STAFF**

**The three stages for dealing with complaints about staff are detailed below.**

Complaints should be raised as soon as possible following an act of alleged bullying or harassment so that the matter can be dealt with swiftly and decisively.

### **14. STAGE I - INFORMAL COMPLAINTS**

Experience indicates that the majority of bullying and harassment complaints can be resolved informally, particularly if action is taken quickly. Individuals are encouraged to use this route wherever possible and if they feel it is appropriate.

Staff/Students can seek to resolve matters informally by one or more of the following:

- Approaching the alleged bully/harasser directly making it clear to them that the behaviour in question is offensive, is not welcome and should be stopped;
- Requesting a meeting with the alleged bully/harasser and a third party, e.g. Trades Union or Students' Union representative, one of the University's Harassment Advisors (see Section 7 above) or the Equality and Legal Manager;
- Discussing the matter with a Union representative, their line manager, their Head of School, or one of the University's Harassment Advisors, and asking them to speak to the alleged bully/harasser on their behalf;
- Engaging in the University's mediation process (see Section 8 above).

## 15. STAGE II - FORMAL COMPLAINTS

**The formal complaints procedure can be invoked by an individual who feels the bullying or harassment is such that it would be inappropriate because of the nature of the allegation to investigate it informally, or if the bullying or harassment continues after the informal procedures have been used.**

This applies to complaints of bullying/harassment made by either students or staff about University employees.

The process for formal complaints of bullying or harassment is as follows:

**15.1** Formal complaints should be made in writing to the Director of People and Culture and should outline the nature of the complaint. If a complaint relates to the Director of People and Culture, it should be directed instead to the University Secretary (who will adopt the role of the Director of People and Culture in this procedure, as described below).

Assistance may be sought from:

- An harassment advisor;
- A Trades Union or Students' Union representative; or
- The Equality and Legal Manager<sup>3</sup>.

The Director of People and Culture will normally acknowledge receipt of the complaint and appoint an investigating panel within 10 working days of receipt of the complaint. Following this, he will write to the alleged harasser/bully to advise them that a complaint has been made. The alleged harasser/bully will be provided with a copy of the complaint which has been made against them, to enable them to prepare their response.

At this stage the Director of People and Culture will also decide whether or not it is necessary to separate the complainant and the alleged harasser/bully. In certain circumstance, the Director of People and Culture, in consultation with the Equality and Legal Manager, will consider alternative working arrangements to facilitate the investigation of the complaint; this may include paid leave of absence.

The Investigating Panel shall comprise:

- a) a Chairperson who shall be a line manager not from the direct area, at an appropriate level and where there is no conflict of interest, nominated by the Director of People and Culture;

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<sup>3</sup> The Equality and Legal Manager provides advice on the policy and procedures to staff and students, but generally is not involved in formal complaints.

- b) an Harassment Advisor not involved in the complaint;
- c) a Trades Union Representative where possible, from another Trades Union;
- d) if a student makes the complaint the Panel will also include the Students' Union President or representative.

There will also be a member of Human Resources, who will be there to offer professional/procedural support and provide a formal/accurate record of events, but will not be a member of the panel.

All staff who sit on these panels must attend appropriate training.

- 15.2** The Panel will normally meet with the complainant within 15 working days. The complainant will be entitled to be accompanied by a Trades Union representative, work colleague or harassment advisor. The complainant must be advised of this<sup>4</sup>. At this meeting the Investigating Panel will ascertain the details of the complaint and determine the relevant information. The complainant should submit any further documentation including names of witnesses at least 5 days prior to this meeting.
- 15.3** The Panel will then arrange to meet with the alleged harasser/bully. They will give at least 5 working days' notice. The alleged harasser/bully should submit any documentation to be relied on, together with the names of witnesses, prior to the meeting. The purpose of this meeting is to give the harasser/bully an opportunity to respond to the allegations and to provide any further relevant information in relation to the complaint. The alleged harasser/bully also has the right to be accompanied by a Trades Union representative, work colleague or harassment advisor. The alleged harasser/bully must be advised of this.
- 15.4** The panel will then arrange to meet any witnesses who will normally be given 5 working days' notice of this meeting. Staff who are called as witness for either party are required to attend.
- 15.5** If, following all these meetings, any further information has emerged which requires a response from any of the parties, the Investigating Panel will meet the relevant people to discuss this.
- 15.6** The Investigating Panel will write a report covering the determinations of its findings on each point of the relevant allegations. In reaching its decisions the Panel must take into account the balance of probabilities in relation to all it has heard, particularly as there are often no witnesses to incidents of bullying and harassment. It should also

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<sup>4</sup> Students will not be entitled to be accompanied by a parent unless they are under the age of 18. In cases where English is not the first language an interpreter will be assigned. Their role will be strictly limited to acting as an interpreter.

include recommendations as to any action which needs to be taken. This may include a number of options including: disciplinary action, redeployment, training/development or some alternative form of conciliation. Where a complaint of bullying or harassment is upheld, this will automatically lead to a disciplinary investigation under the University's Disciplinary procedures. This report will be sent to the Director of People and Culture.

- 15.7** The Investigating Panel will also write to both the complainant and the alleged harasser/bully to confirm that the investigation is complete and that the final report is with the Director of People and Culture.

**Investigations should be completed within 3 Months. Objective reasons for any delay must be included in the final report.**

**If the complainant is off sick, a member of the panel will write to the complainant and ask if they are able to continue with the investigation at that time.**

**Strict confidentiality must be maintained throughout all investigations. Where it is necessary to interview witnesses the importance of confidentiality will be emphasised. It will be explained to everyone involved in the process that any breach of confidentiality may lead to disciplinary action. Any breach of confidentiality should be reported to the Director of People and Culture.**

- 15.8** Finally the Director of People and Culture will contact and either meet with or write to both the complainant and the alleged harasser/bully to give them a copy of the report and advise them as to what action will be taken. All parties have the right to be accompanied by a Trades Union representative, colleague or harassment advisor at such a meeting<sup>5</sup>.

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## **16. STAGE III – APPEAL**

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- 16.1** A complainant who is not satisfied with the outcome of Stage II should refer the matter back to the Director of People and Culture in writing, stating the grounds for their appeal, within 20 working days of receipt of the outcome of the investigating panel. The Director of People and Culture will appoint an Appeals Panel who will review the decision of the formal investigation.

The Appeals Panel shall comprise:

- a) a Chairperson who shall be a member of Senior Executive Team, nominated by the Director of People and Culture;

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<sup>5</sup> Students will not be entitled to be accompanied by a parent unless they are under the age of 18. In cases where English is not the first language an interpreter will be assigned. Their role will be strictly limited to acting as an interpreter.

- b) a Trades Union Representative, not previously involved in the matter and where possible, from a different Trades Union;
- c) an elected member of Senate; and
- d) If a student makes the complaint the Panel will also include the Students' Union President or representative.

There will also be a member of Human Resources, not previously involved, who will be there to offer professional/procedural support and provide a formal/accurate record of events, but will not be a member of the appeals panel.

The member of Human Resources will arrange a meeting of the panel to hear the appeal, normally within 10 working days of the referral. Members of the panel will be provided with written details of the complaint.

The Appeals panel will be able to hear an appeal on the basis of a procedural complaint, or where either party feels that some relevant evidence has either not been heard, or has been misunderstood or misinterpreted.

- 16.2** All parties to the appeal will normally be given 10 working days' notice of this meeting and advised of their right to submit documentation to be relied on by the Chair together with the names of any such persons that may aid the Panel in its deliberations of the complaint. Any such documentation should be submitted at least 5 working days prior to the meeting. The Panel should normally meet with such witnesses within 10 working days. Staff who are called as witness for either party are required to attend. **Strict confidentiality must be maintained throughout all investigations. Where it is necessary to interview witnesses the importance of confidentiality will be emphasised. It will be explained to everyone involved in the process that any breach of confidentiality may lead to disciplinary action. Any breach of confidentiality should be reported to the Director of People and Culture.**

All parties have the right to be accompanied by a fellow employee or Trades Union representative.

- 16.3** The Appeals Panel will write a report covering the determinations of its findings on each point of the relevant allegations. In reaching its decisions the Panel must take into account the balance of probabilities in relation to all it has heard, particularly as there are often no witnesses to incidents of bullying and harassment. It should also include recommendations as to any action which needs to be taken. This may include a number of options including: disciplinary action, redeployment, training/development or some alternative form of

conciliation. Where a complaint of bullying or harassment is upheld, this will automatically lead to a disciplinary investigation under the University's Disciplinary procedures. This report will be sent to the Director of People and Culture.

- 16.4** The Chair of the Appeals Panel will communicate the outcome of the appeal and the decision of the panel to the relevant parties. The report will be copied to the Director of People and Culture to take action if required, and as appropriate.

## **17. PROCEDURE FOR DEALING WITH COMPLAINTS ABOUT STUDENTS**

This applies to complaints of bullying/harassment made by either students or staff about University students.

The three stages for dealing with complaints about students are detailed below.

## **18. STAGE I - INFORMAL COMPLAINTS**

### **Informal Procedure**

Experience indicates that the majority of bullying and harassment complaints can be resolved informally, particularly if action is taken quickly. Individuals are encouraged to use this route wherever possible.

Employees and students can seek to resolve matters informally by one or more of the following:

- Approaching the alleged bully/harasser directly making it clear to them that the behaviour in question is offensive, is not welcome and should be stopped;
- Requesting a meeting with the alleged bully/harasser and a third party, e.g. Trades Union or Students' Union representative, one of the University's Harassment Advisors (see Section 7 above) or a member of The Policy Implementation Unit;
- Discussing the matter with a Union representative, their line manager, their Head of School, or one of the University's Harassment Advisors, and asking them to speak to the alleged bully/harasser on their behalf;
- Engaging in the University's mediation process (see Section 8 above).

Complaints should be raised as soon as possible following an act of alleged bullying or harassment so that the matter can be dealt with swiftly and decisively.

## 19. STAGE II - FORMAL COMPLAINTS

- 19.1 The process for formal complaints of bullying or harassment is as follows:
- 19.2 Formal complaints should be made in writing to the relevant Provost. Assistance may be sought from:
- A harassment advisor, or
  - A Students' Union representative
  - The Policy Implementation Unit<sup>6</sup>.

On receipt of a formal complaint, the Provost will consult with the Head(s) of School and/or anyone else deemed appropriate, to decide whether or not it is necessary to separate the complainant and the alleged harasser/bully. Where an exceptionally serious case of bullying or harassment has been alleged, the Provost will refer the matter to the Vice Chancellor who will consider a precautionary suspension of the alleged harasser. The suspension will remain in place until the matter is considered by the Disciplinary Committee.

- 19.3 Within 5 days of receipt of the complaint, the Provost will acknowledge receipt of the complaint with the complainant and arrange to meet him/her and agree a timescale for the investigation. This meeting should be held within 5 days from receipt of this letter. The complainant will be entitled to be accompanied by a Students' Union representative or fellow student. S/he must be advised of this. At this meeting the Provost will ascertain the details of the complaint and determine the relevant points. The Provost will also write to the alleged harasser/bully to advise him/her that a complaint has been made and that they will be given the details and the opportunity to respond to this in due course.

**Other than in exceptional circumstances, the investigation should be completed within 28 days. Objective reasons for any delay should be included in the final report.**

- 19.4 The Provost will then decide if it is necessary to interview anyone who may be able to assist, e.g. witnesses to any of the alleged events. These individuals also have the right to be accompanied by a Students'/Trades Union representative or fellow student/work colleague at the meeting.
- 19.5 Having ascertained the relevant points in the complaint, the Provost will forward these to the alleged harasser/bully and arrange to meet him/her. The purpose of this meeting is to give the alleged

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<sup>6</sup> Equality and Diversity Services provide advice on the policy and procedures to staff and students, but generally are not involved in formal complaints.

harasser/bully an opportunity to respond to the allegations and provide any other relevant information in relation to the complaint. The alleged harasser/bully also has the right to be accompanied by a Students'/Trades Union representative or fellow student/work colleague.

- 19.6** If, following all these meetings, any further points have emerged which require a response from any of the parties, the Provost will meet the relevant people to discuss these.
- 19.7** The Provost will write a report covering the determinations of his/her findings on each point of the relevant allegations. It should also include recommendations as to any action which needs to be taken. This may include disciplinary action, or some form of mediation or conciliation.
- 19.8** Finally the Provost will write to both the complainant and the alleged harasser/bully to give them a copy of the report and advise them as to what action will be taken. If disciplinary action is to be taken against a student, this will be initiated in accordance with the Ordinance governing student discipline.

## **20. STAGE III - APPEAL**

A complainant who is not the outcome of Stage II should refer the matter to the Vice-Chancellor stating the reason for the Appeal. The Vice-Chancellor will appoint an Appeals Panel. The Appeals Panel will comprise:

- (a) a lay member of Council;
- (b) a member of Senate;
- (c) a Students' Union sabbatical officer.

There will also be a member of the Office of the University Secretary, who will be there to offer professional/procedural support and provide a formal/accurate record of events, but will not be a member of the appeals panel.

The Chair of the panel shall arrange a meeting of the panel within 10 working days of such referral, providing members of the panel with written details of the complaint.

All parties of the complaint will normally be given 15 working days' notice of any hearing and advised of their right to submit documentation to be relied on to the Chair together with the names of any such persons that may aid the Panel in its deliberations of the complaint at least seven days prior to the meeting.

**All parties have the right to be accompanied as appropriate.**

## **21. SUPPORT FOLLOWING AN INVESTIGATION**

Primarily it is the responsibility of line managers or supervisors to support all parties following the outcome of a bullying or harassment investigation. Additional support and advice is available from:

- The Director of People and Culture;
- Harassment advisors;
- Staff mediation services;
- Staff Development;
- Trades' Unions/Students Union representatives; and
- The Equality and Legal Manager/Policy Implementation Unit.

Support for individuals is also available from 'inspire students' or 'inspire workplaces' (Staff) (Available at: <https://www.inspirewellbeing.org/>)

## **22. COMPLAINTS TO THE FAIR EMPLOYMENT/INDUSTRIAL TRIBUNAL /COURT**

These internal procedures do not prevent staff or students from pursuing a complaint of harassment under the relevant legislation to an industrial or fair employment tribunal or to a court of law. However, there are strict time limits for making such complaints and complainants will normally be expected to have raised their complaint under these procedures first. Further advice on this is available from the Equality and Legal Manager.

If a member of staff or student pursues such a statutory course of action and these procedures have already determined that the alleged harasser is at fault, then the University reserves the right to have that member of staff or student, i.e. the harasser added as a respondent to the complaint.