

The EDICa team seeks to resolve all complaints, bar those of a serious nature, informally within EDICa through a discussion between the complainant and the relevant individual wherever possible – for both internal and external complaints.

We would envisage that most complaints could be dealt with internally as an HR matter by referring to the internal Heriot-Watt University (HWU) HR complaints policy and procedure (or Northumbria University if relevant to team members based there). Investigations of external complaints will be dealt with in the first instance through HWU and will also refer to HWU Guidelines.

- For internal complaints from members of the EDICa team employed at HWU: <u>HWU</u>
   Grievance Policy
- For internal complaints from members of the EDICa team employed at Northumbria: Northumbria Grievance Policy
- For external complaints: <u>HWU Complaints Handling Procedures for Members of the Public</u> and Students

Where a serious allegation of misconduct is made then the EDI Caucus leadership will work with the ESRC investment manager and potentially an external person to investigate.

There is a key distinction between complaints within the team and complaints from external people. Although we recognise that complainants may wish to remain anonymous, we acknowledge there are possible tensions between anonymous complaints and the rights of individuals with respect to vexatious complaints.

For any cross-institutional complaints within the team they will be dealt with in the first instance by the relevant workstream lead or the project manager.

Figure 1 maps out what this process essentially means for the EDI Caucus depending on who the complaint is from and how it will be managed. And Figure 2 outlines the stages of the complaints process.



## Figure 1: Mapped complaints process according to complainant

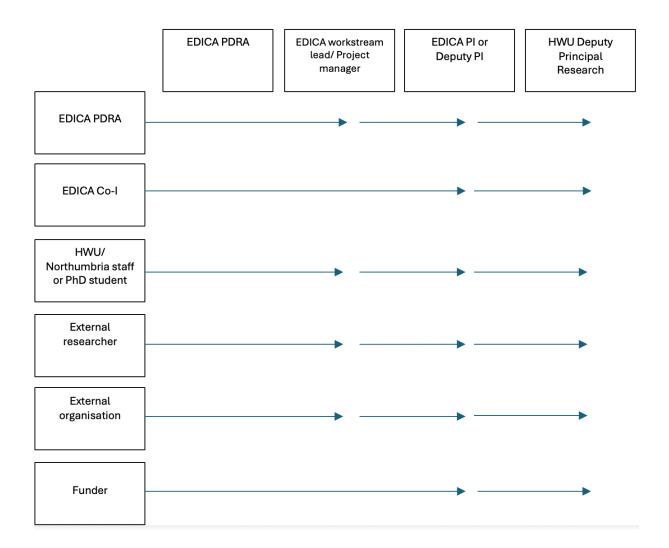




Figure 2: Stages of the complaints process

Step 1	<ul> <li>Complaint received, review as quickly as possible, make sure you fully understand the complaint, seek clarification if necessary. Seek advice &amp; decide if complaint can be addressed</li> </ul>
Step 2	Refer to more senior person if complaint cannot be addressed or resolved
step 3	•Once complaint reviewed by appropriate person, provide a response & a resolution to the complainant
tep 4	•If complainant is not satisfied, provide information about grievance procedure
step 5	•Grievance procedure involves complaint being reviewed by at least 2 people the original reviewer & one more senior than the original reviewer
tep 6	•Once grievance reviewed by appropriate persons, provide a response & a resolution to the complainant
tep 7	•If complainant is not satisfied, initiate a formal investigation by PI and one other EDICa Co-I
step 8	•Once formal investigation complete, provide a response & a resolution to the complainant
itep 9	•If complainant is not satisfied, initiate a review by HWU Deputy Principal Research
ep 10	•Organise a meeting between DP-R and all parties to discuss and find resolution

<sup>\*</sup>Where the complaint is about a senior person the expectation is that it would be escalated to their line manager or equivalent