

MANAGEMENT LINES OF RESPONSIBILITY IN HR POLICIES AND PROCEDURES

1. Introduction

This document outlines the levels of authority vested in managers investigating and hearing complaints, grievances, conduct or capability matters and redundancy. It is intended to be a general summary of the appropriate levels of authority to carry out investigations, award sanctions and hear appeals. For further details of the processes to be followed, the relevant Policy and Procedure should be consulted. All are available on the [HR Policy Web Page](#)

2. Delegated Authority for Disciplinary Sanctions

This table of delegated authority outlines the responsible manager who may award sanctions arising from the application of the following Policies and Procedures:

- Disciplinary (Conduct)
- Capability (Performance)
- Maximising Attendance (Capability – Ill Health)

Level	Chairperson Level (Min)	Appeal Chairperson Level (Min)
Informal	Supervisor or Line Manager as appropriate	Second Line Manager or Nominee (at higher level than the manager awarding the sanction)
First Written Warning / Other Sanction	Line Manager or nominee	Executive Dean or Director of Professional Service
Final Written Warning /Other Sanction	Department Head	Executive Dean or Director of Professional Service
Dismissal and/or Action Short of Dismissal	Executive Dean/Director of Professional Service	Deputy or Vice Principal
	Vice Principal/Secretary (for Exec Deans and Directors)	Principal or Secretary (for Exec Deans & Directors)
	Secretary or Principal (for senior management)	Principal or Member of Court (for senior management)
Cases where Academic Freedom is alleged to be compromised or breached ¹	As Formal Stage above plus representative should be an academic manager with appropriate knowledge: Dean or Deputy/Vice/Principal/Member of Senate should also be consulted	A more senior manager/Dean/Deputy/Vice/Principal, not the same as the first stage. A (different) member of Senate should also be consulted. A Court Member may also hear an appeal if there is no other appropriate manager

¹ Academic Freedom Claims may only be brought by staff “engaged in teaching or the provision of learning or research in line with [University Ordinances](#) Section M

Notes:

1. The manager awarding the sanction should be at a more senior level than the individual receiving the sanction.
2. The University may deem it appropriate and necessary to use an alternative level of management than stated above.
3. The initial presiding manager in any of the above procedures may deem it necessary to adjourn proceedings at any time in order to reconvene with a higher level of management.
4. The appropriate level of management above the original presiding manager will normally hear appeals.
5. Separate levels of authority exist in respect of any action taken against the Principal

3. Delegated Authority for Grievances

This table of delegated authority outlines the responsible manager who may investigate and make recommendations arising from the application of the following Policies and Procedures:

- Grievance Policy and Procedure
- Bullying and Harassment Policy and Procedure

Level	Management Representative	Appeal Management Representative
Informal	Supervisor or Line Manager (or more senior manager if grievance concerns Supervisor or Line Manager)	N/A – move to formal stage
Formal	Manager outside the immediate management structure of, and more senior than, the parties involved	As at the first stage except the manager should be more senior to the manager who heard the grievance
Cases where Academic Freedom is alleged to be compromised ²	As Formal stage above plus representative should be an academic manager with appropriate knowledge; Dean or Deputy/Vice Principal/member of Senate should also be consulted	A more senior manager/Dean/Deputy/Vice Principal/Principal (not the same as the first stage) Member of Senate should also be consulted (not the same as the first stage) Court Member may hear an appeal if no other appropriate manager

Notes:

1. The manager hearing the appeal should be at a more senior level than the manager at the original hearing.
2. Separate levels of authority exist for grievances raised by or about the Principal.

² Academic Freedom Claims may only be brought by staff “engaged in teaching or the provision of learning or research in line with [University Ordinances](#) Section M

3. Delegated Authority for Dismissals on the Grounds of Redundancy

Level	Management Representative	Appeal Management Representative
Academic Staff	Executive Dean Deputy/Vice Principal for Executive Dean and Professorial Staff	Panel comprising Principal, Member of Senate, Director of HR Member of Court may be included where Heads of School are selected for redundancy
Professional Services Staff	Director Of Professional Service Secretary for Directors of Service	Panel comprising Principal, Secretary, Global Director of HR Member of Court may be included where Directors of Service are selected for redundancy
Appeal where Academic Freedom is alleged to be a factor ³	-	Panel comprising Principal, Secretary, Member of Senate, Global Director of HR Member of Court may also be included

³ Academic Freedom Claims may only be brought by staff “engaged in teaching or the provision of learning or research in line with [University Ordinances](#) Section M
