

EMPLOYEE GRIEVANCE	 CUE CATHOLIC UNIVERSITY IN ERBIL	POLICY NUMBER: CUE-HR-005
		EFFECTIVE DATE: Jul-15 2025
		REVISION DATE: Jul-15 2028

THE CATHOLIC UNIVERSITY IN ERBIL

Employee Grievance Policy

Contents

<u>I. DOCUMENT TYPE</u>	<u>2</u>
<u>II. PURPOSE</u>	<u>2</u>
<u>III. SCOPE</u>	<u>2</u>
<u>IV. DEFINITIONS</u>	<u>2</u>
<u>V. POLICY STATEMENT</u>	<u>3</u>
<u>VI. POLICY PRINCIPLES</u>	<u>3</u>
<u>VII. GRIEVANCE PROCEDURE</u>	<u>3</u>
<u>VIII. APPEAL PROCEDURE</u>	<u>4</u>
<u>IX. POLICY DEVELOPMENT AND AUTHORIZING PARTIES</u>	<u>6</u>
<u>X. APPENDICES</u>	<u>6</u>

I. DOCUMENT TYPE

☒ Policy

☐ Procedures

II. PURPOSE

1. This policy is intended to ensure that CUE handles grievances fairly, efficiently and effectively. CUE's objective is to ensure that its grievance procedure is properly and effectively implemented, and that grievants feel confident that their grievances and worries are listened to and acted upon promptly and equitably.
2. CUE's complaint management system aims to:
 - a) Allow the University to respond to questions raised by employees who file grievances in a timely manner.
 - b) Increase the employee's confidence in CUE's administrative process.
 - c) Provide information that can be used to improve the quality of CUE's operations.

III. SCOPE

☒ University-Wide OR ☐ Departmental Specify Department(s):

1. This Grievance Policy at CUE applies to all CUE employees who seek to address concerns or submit grievances related to conduct that violates institutional policies or standards. For grievances raised by students, refer to CUE's Student Grievance Policy.
2. This Policy does not apply to the following:
3. Issues arising from or during the implementation of the Capability Process.
4. Issues regarding the behavior of students are managed according to the procedures set by the Office of Student Affairs.
5. Grievances by students regarding the conduct of CUE employees; these should be initially reported to the Office of Student Affairs and will be handled according to the Student Code of Conduct Policy.
6. Whistleblowing handled per the University's Employee's Code of Conduct.
7. If a grievant or the subject of a grievance ceases to be associated with CUE, this policy no longer applies. Consequently, any ongoing informal or formal procedures will be discontinued.

IV. DEFINITIONS

Grievance - is any expression of dissatisfaction or concern related to the university's services, operations, or conduct. This may include, but is not limited to:

- Issues with academic programs
- Issues with faculty or staff conduct.
- Concerns about administrative procedures or decisions.
- Problems related to campus facilities, services, or resources.
- Grievances about unfair treatment.
- Other matters that affect the quality of the University experience.

Grievant - any person who submits, verbally or in writing, a grievance.

V. POLICY STATEMENT

Every individual at CUE has the right to raise concerns or grievances that impact them personally or affect their interactions and relationships within the University community. CUE is dedicated to fostering professional and respectful relationships among all members of the University through effective communication and collaboration. Despite these efforts, issues may still arise, such as disputes over working conditions, perceived unfair treatment, or conflicts between colleagues. This policy adheres to established international standards and best practices, including those commonly recognized

in American guidelines, Iraqi labor laws, and internal codes of conduct, to address any such concerns among CUE's employees (Iraqi Labor Law No. 71 of 1987).

VI. POLICY PRINCIPLES

1. The University upholds the following principles in addressing employee grievances:
 - a) **Personal** – grievances should only be submitted by a grievant personally affected by the action or decision underlying the grievance; CUE employees may not submit grievances on behalf of other individuals or groups of people but may assist others in submitting grievances.
 - b) **Gravity** – grievances should not be submitted if based solely on dissatisfaction with generally applicable University policy on the grounds that it is unfair or inadvisable; disrespectful behavior on the part of a colleague or superior, unless a pattern of activity that indicates abuse of authority, is not grounds for grievant submission.
 - c) **Informal Resolution** – It is recognized that the best and most expeditious way to resolve grievances will normally be through the Informal Process.
 - d) **Timely Resolution** – The University is dedicated to resolving employee grievances promptly and efficiently.
 - e) **Fairness and Impartiality** – Every grievance will be handled with fairness, ensuring an objective and just resolution.
 - f) **Confidentiality** – Employee confidentiality will be respected throughout the grievance process, except where disclosure is necessary for investigation.
 - g) **Protection from Retaliation** – Employees who raise grievances in good faith will not face any adverse consequences if their grievance is not upheld through the formal process.
 - h) **Policy Compliance** – The grievance process will adhere to the University's established policies and procedures, including the Code of Conduct and Sexual Harassment policies.
 - i) **Right to Withdraw** – Employees may withdraw a grievance at any time.
 - j) **Flexibility** – The University may adjust this procedure with the agreement of all involved parties.

VII. GRIEVANCE PROCEDURE

1. Generally, staff and managers should respond to all grievances with attentiveness, courtesy, and sympathy. At all times, employees of CUE must remain calm and respectful. There are three, escalating levels within the procedure for resolving employee grievances. The results of all investigations and communication should be documented and securely stored in HR; any identified weaknesses in CUE's procedures should be addressed and modified to prevent future issues.
2. If, at any point, it is determined that harassment is an aspect of the grievance, the issue shall be handled according to CUE's Anti-Harassment Policy.
3. **First Level: Informal Facilitation**
 - a) The grievant must verbally inform their immediate supervisor of the complaint. If the grievance involves the supervisor, the grievant may instead notify the Provost.
 - b) The Head of the grievant's department or office should facilitate one-on-one discussions. However, if the grievance involves the head of the grievant's department or office, the Office of HR is available, upon request, to facilitate one-on-one discussions.
 - c) The individual(s) with whom the grievant is raised must provide a full verbal response within five working days, where practicable.
 - d) The head of HR will determine the appropriate level of action required to resolve the matter efficiently.

- e) Details of the informal facilitation should be recorded by the notified supervisor on the Informal Facilitation Form (see Appendix I) and submitted to the HR Office.

4. Second Level: Formal Mediation

- a) If the grievant is dissatisfied with the response (or if no timely response was given at the First Level), they must notify the head of HR about the unresolved grievance. A Formal Grievance Complaint Form (Appendix II) must be submitted within thirty (30) working days from the date of the initial issue or dispute.
- b) Upon request from the involved parties, or at the discretion of the head of HR, mediation will be arranged within five (5) working days, where practicable. Mediation may be conducted by an independent and neutral mediator or by the head of HR.
- c) The head of HR will ensure all parties are fully informed about the grievance, including the provision of any relevant written materials.
- d) The head of HR will decide whether mediation is appropriate or if the grievance should proceed directly to a formal hearing.
- e) Details of the mediation should be recorded by the head of HR on the Formal Grievance Complaint Form and attached to the form submitted by the supervisor notified in the informal facilitation, and submitted to the HR Office.
- f) If the grievance remains unresolved five (5) working days after mediation (or as soon as practicable), either party may escalate the matter to the Provost. The Provost will determine whether a formal hearing is necessary. If the Provost determines a formal hearing is not necessary, they will consult the head of HR and inform the involved parties of the final decision.

5. Third Level: Grievance Hearing

- a) If a hearing is warranted, the Provost and the head of HR will refer the matter to either the Faculty Grievance Committee (if the grievant is a faculty employee) or the Staff Grievance Committee (if the grievant is a non-faculty employee). After hearing all parties, the Committee Chairperson will discuss with the Committee and he/she will make a final recommendation to the Provost.
- b) The Provost will either uphold or modify the recommendation at their discretion.
- c) Details of the hearing should be recorded by the head of HR attached to the earlier forms submitted earlier, and submitted to the HR Office.
- d) Upon conclusion of the grievance process, all involved parties are entitled to a copy of the full report.

VIII. APPEAL PROCEDURE

1. If the Provost upholds the chairperson's recommendation and the employee wishes to appeal, they may do so only in cases involving a disciplinary or grievance decision, or dismissal. If the Provost overrules the chairperson's recommendation and makes a final decision, the employee cannot appeal the outcome.

2. Appeal Submission

- a) Appeals for the results of informal facilitation, mediation, or formal hearings can be submitted by any involved employee, following the below guidelines:
 - i) The appeal must be submitted in writing, using the appropriate Appeal Form (see Appendix III) to the Office of HR.
 - ii) The appeal must be submitted within two (2) weeks of receiving the initial outcome.
 - iii) The appeal must outline the grounds for appeal and specify whether it pertains to the entire decision or only certain aspects of the findings, conclusions, or disciplinary action.

- iv) During the appeal process, the employee may not introduce new grounds for appeal unless permitted by the Grievance Appeal Committee.

3. Appeal Committee Procedure

- a) The Grievance Appeal Committee will, absent good cause, convene within two (2) weeks of its formation to hear the appeal. The Committee will adhere to the following rules of procedure:
 - i) All information related to the case and the proceedings must remain restricted and all data handling must comply with the ICT Policy and Employee Code of Conduct.
 - ii) Both the appellant and the responsible party are encouraged to submit written representations, which, whenever possible, should be exchanged before the appeal hearing.
 - iii) The appeal will be decided following an oral hearing, during which both the appellant and the responsible party will have the opportunity to present their statements and address the Appeal Committee.
 - iv) The chairperson may establish time limits for each stage of the proceedings, including the hearing itself, to ensure the appeal is handled as promptly as reasonably possible.
 - v) After reviewing the case, the Appeal Committee may uphold or dismiss the appeal, either in full or in part.
 - vi) The Committee's decision will be documented and signed by the chairperson, outlining the reasons for the ruling. A formal confirmation letter will be sent to the appellant within seven (7) days.
 - vii) The Appeal Committee reserves the right to modify these procedures as deemed necessary.
- b) The decision of the Appeal Committee is final. Copies of the decision and confirmation letter will be forwarded by the Committee Head to the head of HR for record-keeping; these should be attached to any relevant, previous documentation.

4. Witness Testimony Procedure

- a) The Provost has the authority to:
 - i) Summon witnesses at the request of either party or at the chairperson's discretion.
 - ii) Request the submission of books, records, and other relevant evidence.
- b) To uphold fair treatment, University employees who are called to testify are encouraged to do so voluntarily. Any University community member or unit with access to relevant documents is encouraged to provide them upon request by the chairperson or the Provost.
- c) If cooperation is not provided, the Provost and the President may take alternative measures to obtain the necessary information.
- d) Upon conclusion of the appeal process, all involved parties are entitled to a copy of the full report.

IX. POLICY DEVELOPMENT AND AUTHORIZING PARTIES

- 1. Owned by: HR, Mar-26 2025
 - Reviewed by: Policy and Procedure Review Committee, Mar-26 2025
 - Approved by: President's Cabinet, Jul-15 2025
 - Approved by: Board of Trustees, **TBD**
 - Adopted: Date

APPENDIX I - INFORMAL FACILITATION FORM

	Informal Facilitation Form	FORM NUMBER: HR-FR-006
		EFFECTIVE DATE: Jul-15 2025
		REVISION DATE: Jul-15 2028

This form is to be completed by the supervisor notified for informal facilitation as outlined in the Employee Grievance Policy.	
IDENTIFYING INFORMATION	
Full name	
Position Title	
Department/Office	
INFORMAL FACILITATION	
Name of grievant:	
Details of the informal facilitation:	
ENDORSEMENT OF LINE MANAGER/PROVOST	
Signature: _____ Date: ____ / ____ / ____	
Name: _____	
Position: _____	
RETURN TO THE HR OFFICE	

APPENDIX II - *FORMAL GRIEVANCE COMPLAINT FORM*

	Formal Grievance Complaint Form	FORM NUMBER: HR-FR-007
		EFFECTIVE DATE: Jul-15 2025
		REVISION DATE: Jul-15 2028

This form is to be completed by the grievant to request a second level of review of their case.	
IDENTIFYING INFORMATION	
Full name	
Position Title	
Department/Office	
Action desired:	
MEDIATION (IF APPLICABLE)	
Notes:	
ENDORSEMENT OF HEAD OF HR/MEDIATOR	
Signature: _____ Date: ____ / ____ / ____	
Name: _____	
Position: _____	
RETURN TO THE HR OFFICE (ATTACH TO INFORMAL FACILITATION FORM)	

APPENDIX III - *APPEAL FORM*

 CUE CATHOLIC UNIVERSITY IN ERBIL	Appeal Form	FORM NUMBER: HR-FR-008
		EFFECTIVE DATE: Jul-15 2025 REVISION DATE: Jul-15 2028

This form is to be completed by the grievant to appeal their case.	
IDENTIFYING INFORMATION	
Full name	
Position Title	
Department/Office	
Action desired:	
RESULT	
Result:	
ENDORSEMENT OF PROVOST	
Signature: _____ Date: ____ / ____ / ____ _____ Name: _____ Position: _____	
RETURN TO THE HR OFFICE (ATTACH TO PREVIOUS CASE FORMS)	