

PERSONNEL-MANAGEMENT RELATIONS:
EMPLOYEE COMPLAINTS/GRIEVANCES

DGBA (REGULATION)
(EXHIBIT)

See the following pages of exhibits relating to employee complaints:

- Exhibit A: Checklist for Grievance Process
- Exhibit B: Public Complaint Form – Level One - 1 page
- Exhibit C: Administrator’s Report of Level I Conference – 1 page
- Exhibit D: Notice of Appeal at Level Two – 1 page
- Exhibit E: Administrator’s Report of Level II Conference – 1 page
- Exhibit F: Notice of Appeal to the Board at Level Three – 1 page

PERSONNEL-MANAGEMENT RELATIONS:
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Northwest Independent School District

EXHIBIT A

Checklist for Grievance Process

The administrator shall:

- Receive request or complaint form (original complaint or appeal) and indicate the date and time received on the notice. If the complaint is not filed with the appropriate administrator, note date and time received on the notice and immediately forward the complaint to the appropriate administrator.
- Determine whether the complainant is within the timeframe to file the complaint or appeal. If the notice is outside the timeframe, notify the complainant in writing of such case. [See Board Policy DGBA (LOCAL) regarding a series of complaints or when two or more complaints are of a similar nature.]
- Review Board Policy DGBA (LOCAL) to ensure that DGBA is the appropriate complaint process. (Contract nonrenewal, discrimination, harassment, etc., have their own complaint procedures.) Whistleblower complaints and complaints in which only the Superintendent has authority shall begin at Level Two.
- Schedule and hold a conference with the complainant within ten (10) business days of receipt of the written complaint if the complaint is submitted within the timeframe.
- If the conference cannot be scheduled within the allotted timeframe, ask whether the complainant would agree to a delay. If mutual agreement is reached, document this fact in writing to the complainant.
- Determine whether the complainant will be represented by an attorney during the conference. If the complainant is represented by an attorney, notify the Assistant Superintendent for Administrative Services to request an attorney to represent the District.
- Confirm the date, time, and place with the complainant and the attorneys for both sides, if appropriate. If time permits, the confirmation should be in writing. All correspondence should be addressed to the complainant, unless an attorney is involved. In the case of attorney involvement, address the correspondence to the complainant's attorney and copy the complainant and the District's attorney.
- At Levels I and II, it is not required, but is recommended, that conferences be tape recorded. If the complainant brings a tape recorder, then the administrator is also required to tape record the conference. At Level III, the conference must be tape recorded. A script should be provided to the Board President.
- If the complainant did not initially complete a complaint form at Level I, provide the form and request it be completed before the conference so that specific complaints can be clearly addressed. Only those concerns will be carried forward if appealed to Level II.
- During the conference, use the complaint form as a guide. The complainant should not address issues that were not brought forward in the original complaint. While other complaints might be discussed as side issues, they should not be addressed in the formal response for which an appeal may be later requested.
- At Level I and II, the administrator should complete the Conference Report (Exhibit B or C, as appropriate).
- Conduct an investigation, if necessary. Document all findings.
- Request assistance from appropriate administrators, as necessary, to write a proper response.
- Notify the complainant of the decision(s) within ten (10) business days following the conference and document receipt of notification
 - If oral notification, follow up with written confirmation to the complainant.
 - If written notification, send through certified mail (return receipt requested) or hand-deliver using a signed acknowledgement of receipt form. (A fax to an attorney is considered proof of receipt.)
 - Notification should include a copy of relevant Board policies including the policy at DGBA to ensure the complainant is notified of the appeal process.
- Provide all documentation to the Assistant Superintendent for Administrative Services regardless of whether the complaint is appealed to the next level.
- If the complaint is appealed to Level III, the Assistant Superintendent for Administrative Services will forward all documentation to the Superintendent for inclusion in Board packets.

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EXHIBIT B

PUBLIC COMPLAINT FORM - LEVEL ONE

Any employee filing a complaint must fill out this form completely and submit it by hand delivery, fax, or U.S. mail to his or her principal or immediate supervisor. All complaints will be processed in accordance with Board policy DGBA (LEGAL) and (LOCAL) or any exceptions outlined therein.

1. Name: _____
Address: _____ Daytime Telephone: _____
City: _____ State: _____ Zip: _____
2. Position: _____ Campus/Department: _____
3. Please state the date of the decision or circumstances causing the complaint: _____
4. Please describe the decision or circumstances causing the complaint (give specific factual details): _____

5. Please explain how you have been harmed by this decision or circumstance: _____

6. Please describe any efforts you have made to resolve your complaint informally and the responses to your efforts: _____

- With whom did you communicate?: _____ On what date?: _____
7. Please describe the outcome or action you are seeking: _____

8. If you will be represented in voicing your complaint, please identify the person representing you:
Name: _____
Address: _____

Telephone: _____

Employee Signature Date

Signature of representative, if applicable Date

FOR OFFICE USE ONLY	
Date and Time Received:	Case No.:

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DGBA (REGULATION)
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Northwest Independent School District
Administrator's Report of Level I Conference

(Use additional paper if necessary.)

Name of Complainant		Position
Campus	Date of Conference	Time of Conference
Persons in Attendance at Conference		
1. The allegations, as presented by the complainant, are as follows:		
2. The facts, as a result of investigation, are as follows:		
<p>3. Are the allegations made in the original complaint supported by the facts?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please explain:</p>		
<p>4. Is the remedy sought by the complainant justified by the facts and within the administrator's authority?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please explain:</p>		
5. What decisions were made or recommendations agreed upon as a result of the conference/investigation?		

Signature of Administrator	Date
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Please submit this report, along with a copy of the complainant's original written complaint, the written response, and appropriate documentation to the Assistant Superintendent for Administrative Services immediately following completion.

For Administrative Use Only	
Date Written Notification to Complainant Sent	Date Confirmation of Receipt Received

PERSONNEL-MANAGEMENT RELATIONS:
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EXHIBIT D

NOTICE OF APPEAL AT LEVEL TWO

This form must be filled out completely by an employee appealing a Level One decision, or the lack of a timely response after a Level One conference. The completed form may be submitted by hand delivery, fax, or US mail to the Assistant Superintendent for Administrative Services in accordance with DGBA (LEGAL) and (LOCAL) or any exceptions outlined therein.

1. Name: _____

Address: _____ Daytime Telephone: _____

City: _____ State: _____ Zip: _____

2. Position: _____ Campus/Department: _____

3. To whom did you present your complaint at Level One? _____

4. Date of Level One conference: _____

5. Date you received a response to the Level One Conference: _____

6. Please explain specifically how you disagree with the outcome at Level One: _____

7. Attach a copy of your original complaint and any documentation submitted at Level One.

8. Attach a copy of the Level One response being appealed, if applicable.

9. If you will be represented in voicing your complaint, please identify the person representing you:

Name: _____

Address: _____

Telephone: _____

Employee Signature

Date

Signature of representative, if applicable

Date

FOR OFFICE USE ONLY	
Date and Time Received:	Case No.:

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EXHIBIT E

Northwest Independent School District
Administrator's Report of Level II Conference

(Use additional paper if necessary.)

Name of Complainant		Position
Campus	Date of Conference	Time of Conference
Persons in Attendance at Conference		
1. The allegations, as presented by the complainant, are as follows:		
2. The facts, as a result of investigation, are as follows:		
3. Are the allegations made in the original complaint supported by the facts? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain:		
4. Is the remedy sought by the complainant justified by the facts and within the administrator's authority? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain:		
5. What decisions were made or recommendations agreed upon as a result of the conference/investigation?		
Signature of Administrator		Date

Please submit this report, along with a copy of the complainant's original written complaint, the written response, and appropriate documentation to the Assistant Superintendent for Administrative Services immediately following completion.

For Administrative Use Only	
Date Written Notification to Complainant Sent	Date Confirmation of Receipt Received

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EXHIBIT F

NOTICE OF APPEAL TO THE BOARD AT LEVEL THREE

This form must be filled out completely by an employee appealing a Level Two decision, or the lack of a timely response after a Level Two conference. The completed form may be submitted by hand delivery, fax, or US mail to the Superintendent in accordance with DGBA (LEGAL) and (LOCAL) or any exceptions outlined therein.

1. Name: _____

Address: _____ Daytime Telephone: _____

City: _____ State: _____ Zip: _____

2. Position: _____ Campus/Department: _____

3. To whom did you present your appeal at Level Two?: _____

4. Date of Level Two conference: _____

5. Date you received a response to the Level Two Conference: _____

6. Please explain specifically how you disagree with the outcome at Level Two: _____

7. Attach a copy of your original complaint and any documentation submitted at Level One and a copy of your Level Two appeal notice.

8. Attach a copy of the Level Two response being appealed, if applicable.

9. If you will be represented in voicing your complaint, please identify the person representing you:

Name: _____

Address: _____

Telephone: _____

Employee Signature

Date

Signature of representative, if applicable

Date

FOR OFFICE USE ONLY

Date and Time Received:		Case No.: