

APPEAL POLICY

		POLICY
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	X	N/A
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<i>Disciplinary Policy</i>	<i>April 2024</i>	
<i>Grievance Policy</i>	<i>July 2024</i>	
<i>Capability Policy</i>	<i>September 2024</i>	
<i>Change Policy</i>	<i>February 2026</i>	
<i>Managing Attendance at Work Policy</i>	<i>March 2026</i>	

<i>Dignity at Work Policy</i>	<i>April 2024</i>
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APPENDICIES

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1.0 INTRODUCTION

1.1 The appeals process is applicable to the following policies:

- Disciplinary Policy
- Capability Policy
- Managing Attendance at Work Policy
- Change Policy
- Grievance Policy
- Dignity at Work Policy

1.2 An employee may appeal against any formal sanction imposed, or any dismissal in accordance with the above policies.

2.0 POLICY STATEMENT

2.1 This procedure is for use in appeals when an individual feels that a sanction or decision made in accordance with the above policies were;

- Unfair
- The process was flawed
- New evidence has come to light.

3.0 DEFINITIONS/ ABBREVIATIONS

3.1 There are three potential grounds, or reasons, for appeal;

- New evidence has come to light,
- The reasonableness of the penalty imposed (for example, the severity of the sanction in light of mitigation and a Just and Restorative Culture)
- Procedural irregularities during the investigation or hearing.

4.0 ROLES AND RESPONSIBILITIES

4.1 The Employee

4.1.1 The employee (or ex-employee) who is appealing against a formal sanction must act in accordance with the Trust's CARE Values.

4.1.2 The employee (or ex-employee) is responsible for co-operating during the appeal process.

4.1.3 The employee (or ex-employee) is responsible for arranging their own Trade Union Representative or current workplace colleague, acting in a non-professional capacity, throughout the appeals procedure.

4.2 The Responding Manager

4.2.1 The responding manager will be responsible for preparing a thorough management case, for consideration by the Appeal Panel.

4.3 Appeal Panel Members

4.3.1 The appeal panel members must consider the management and staff side case, in line with Just and Restorative Culture / Being Fair principles, to come to a fair and justifiable decision as to the outcome of the appeal panel.

5.0 APPROVAL

Joint Staff Partnership Forum

6.0 DOCUMENT REQUIREMENTS

6.1 How to Appeal

6.1.1 Appeals should be confirmed in writing to the manager identified within the written confirmation of the outcome letter. The appeal must be registered within 10 working days of the date of the original outcome letter.

6.1.2 Appeals should be submitted in the form found at Appendix 2.

6.1.3 When lodging an appeal, the employee (or ex-employee) should clearly state the grounds of their appeal which will fall into one of the below three categories;

- New evidence coming to light
- The reasonableness of the penalty imposed (for example, severity of the sanction in light of mitigation and a Just and Restorative Culture)
- Procedural irregularities during the investigation / hearing, which had a material effect on the outcome of the case.

6.1.4 The identified manager will send a letter to acknowledge the appeal letter.

6.1.5 An appeal will normally be heard within 28 calendar days of receipt of the appeal submission, unless exceptional circumstances arise, including, for example, issues regarding the availability of the relevant parties, or clarification of grounds of appeal. In such cases, the employee (or ex-employee) will be notified of the delay, and the reasons for this.

6.1.6 In cases where ACAS early conciliation has been instigated following a formal sanction being imposed, such as dismissal, an appeal may be postponed pending the outcome of the conciliation, only if agreeable to the employee (or ex-employee) instigating ACAS action.

6.1.7 The employee (or ex-employee) should provide a written statement of case, at least 10 working days prior to the appeal hearing, including copies of any witness statements or evidence, upon which they intend to rely. Management will also provide a written statement of case, at least 10 working days prior to the appeal hearing, together with any witness statements

or evidence upon which they intend to rely. Both parties should identify in their statement of case any witnesses they intend to call. All statements and evidence will be submitted to the hearing, and where statements are not agreed, this will be identified to the Chair, who will make the final decision regarding the validity of the content of the statement.

6.1.8 Once the written statement of cases have been received, an appeal bundle will be generated, including all documents. This will be sent to the employee (or ex-employee), including their representative (if applicable), management and the appeal panel at least 7 working days before the appeal hearing.

6.1.9 It is the responsibility of all parties concerned to arrange for the attendance of their witnesses. In the case where witnesses are employees of the organisation time off with pay, or time off in lieu will be granted for them to attend the hearing. It is not normal Trust policy to involve patients/clients/relatives or members of the public as witnesses at the meeting, and the written statement will be relied on as evidence.

6.2 Level of Appeal

6.2.1 The membership of an appeal panel will be defined by the sanction that was issued in the original hearing, and who issued the sanction.

6.2.2 The Chair of the appeal should be more senior than the manager who chaired the original panel.

6.2.3 The Chair of the appeal will also be accompanied at the hearing by a representative from the People Directorate, whose role is to provide support and advice to the Chair. The Chair reserves the right to call a specialist advisor to provide independent advice if required. Neither person on the appeal panel must have had any involvement in the case previously.

6.2.4 For appeals where an individual has been in receipt of a formal sanction for matters connected to their professional Code of Conduct, there should always be an appropriate representative from their profession on the panel, who must not have had any involvement in the case previously. This individual may come from an external organisation, if deemed appropriate, but would be in addition to the panel members identified above.

6.3 Appeal Outcome

6.3.1 Upon hearing the appeal, and after adjournment, the Chair of the appeal hearing will convey their decision to the employee (or ex-employee). This decision is final. The decision will be confirmed in writing within 10 calendar days from the date of the appeal hearing. In exceptional circumstances, the Chair may extend this deadline and will provide a written explanation for the delay to the employee (or ex-employee).

6.3.2 The outcome of an appeal will be to confirm, decrease, re-hear, or cancel the outcome.

6.3.3 In line with Just Culture / Being Fair principles, an appeal will never be used as an opportunity to punish the employee (or ex-employee) for appealing the original decision and will not result in an increase in sanction or penalty.

6.3.4 An outcome letter will be sent to the employee confirming the reasons for the decision (including any relevant pay and/or terms and condition changes) within 10 calendar days of the appeal hearing.

6.4 Right to be accompanied

6.4.1 All employees (or ex-employees) will have the right, if they wish, to be represented by an accredited Trade Union Representative or current workplace colleague, not acting in a legal capacity.

6.4.2 In situations where the individual cannot attend the appeal hearing, as their representative is unavailable, the Trust will provide an alternative date for the appeal. This will only be permitted on one occasion. The alternative date should fall within 14 calendar days of the original planned date.

6.5 Confidentiality

6.5.1 All information at any stage of this process, whether it is written or verbal information, must be treated as confidential information by all parties. Failure to do so may result in disciplinary action being taken.

6.5.2 When sharing documentation, there may be occasions where this is shared digitally via secure NHS.NET email.

6.5.3 In cases where this is substantial volumes of documentation, external companies may be contacted in order for the documentation to be shared securely.

6.5.4 All records should be kept by all parties in accordance with the Data Protection Act 2018. The Data Protection Act gives individuals the right to request and have access to certain personal data.

7.0 MONITORING COMPLIANCE AND EFFECTIVENESS

Minimum Requirement to be Monitored (WHAT – element of compliance or effectiveness within the document will be monitored)	Responsible Individual (WHO – is going to monitor this element)	Process for Monitoring e.g. Audit (HOW – will this element be monitored (method used))	Frequency of Monitoring (WHEN – will this element be monitored (frequency/ how often))	Responsible Individual or Committee/ Group for Review of Results (WHERE – Which individual/ committee or group will this be reported to, in what format (eg verbal, formal report etc) and by who)
Application of the appeal panel	Deputy Chief People Officer	Audit	Annually	Joint Staff Partnership Forum
Employee Relations Assurance	People Services Lead	Employee Relations Assurance	Quarterly	People, Culture and OD Committee

8.0 TRAINING AND IMPLEMENTATION

8.1 No training is provided for this policy as the document is self-explanatory.

8.2 Guidance can be sought from People Directorate.

9.0 IMPACT ASSESSMENTS

Delete/ amend as applicable:

- This document has been subject to an Equality Impact Assessment, see completed form at Appendix 3
- This document is not subject to an Environmental Impact Assessment

10.0 EVIDENCE BASE (Relevant Legislation/ National Guidance) AND RELATED SFHFT DOCUMENTS

Evidence Base:

Employment Rights Act 1996
ACAS Code
Gov.Uk

Related SFHFT Documents:

- Disciplinary Policy
- Capability Policy
- Managing Attendance at Work Policy
- Change Policy
- Grievance Policy
- Dignity at Work Policy

11.0 KEYWORDS

None

12.0 APPENDICES

Appendix 1 Order of Exchange for Appeal Hearings
Appendix 2 Employee Appeal Form
Appendix 3 Equality Impact Assessment

Appendix 1

Order of Exchange for Appeal Hearings

1. The Hearing Panel will convene where the chair will lead hearing proceedings. The Chair is responsible for the proper conduct of the proceedings.
2. The staff member, their representative (if applicable) and the Management Side Representatives will be invited into the room of the Hearing and will be present at all times during the Hearing, apart from during adjournments called by the panel.
3. The Chair of the Hearing Panel will introduce themselves and the other members of the Hearing Panel.
4. The Chair of the panel will ask for any declarations.
5. The Chair is required to confirm which witnesses are available to attend the Hearing.
6. The Chair runs through the appeal Hearing order of exchanges.
7. The individual/Staff Side representative shall state the case for the staff side (referring to any written evidence and calling any witnesses).
8. Witnesses will only be admitted to the hearing to give their evidence. The panel, the management side and individual/staff side shall be entitled to question any of the staff side witnesses called. Once they have answered questions the witness will retire. The witness must adhere to confidentiality and will be reminded about this by the chair of the panel.
9. The panel and the management side shall be entitled to question the individual/staff side statement of case.
10. Management side shall state the case for the decision made (referring to any written evidence and calling any witnesses).
11. The panel, the individual/staff side and management side shall be entitled to question any management witnesses called. Once they have answered questions the witness will retire. The witness must adhere to confidentiality and will be reminded about this by the chair of the panel.
12. The panel and the individual/staff side shall be entitled to question the management side statement of case.

13. The management side shall be entitled to sum up provided they do not introduce any new items.

14. The individual/staff side shall be entitled to sum up provided they do not introduce any new items.

15. The panel will then retire to consider its decision.

16. The panel will then reconvene and orally convey the decision to be then confirmed in writing within 10 working days, (excluding bank holidays, statutory holiday days and weekends). This notification must include reasons for the decision. However, due to the complexities of the issues under deliberation and the need for detailed consideration, the parties should not necessarily expect a decision to be conveyed on the day of the hearing in all instances. Sometimes it will be necessary for a written response to be issued without oral conveyance.

Appendix 2

EMPLOYEE APPEAL FORM

Please use this form to register and provide details of your appeal against a formal sanction imposed in accordance with the Trust's Disciplinary/ Capability/ Sickness Absence / Change or Grievance policies.

Appeals should be registered in writing to the manager identified within 10 working days of the date of the written confirmation of the outcome.

This form will be included within the documents submitted for consideration by the Appeal Hearing Panel

1. EMPLOYEE DETAILS

Employee Name	
Contact telephone number	
Address	
Division	
Department/ Ward/ Unit	

2. HEARING DETAILS

Please indicate which Trust policy process you are appealing the outcome of:

Disciplinary Policy	
Capability Policy	
Sickness Absence Management Policy	
Change Policy	
Grievance Policy	

Date of hearing	
Name of representative (if applicable)	

3. APPEAL DETAILS

Please indicate which category the grounds of your appeal fall into:

New evidence coming to light	
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The reasonableness of the penalty imposed (in terms of for example, severity in light of mitigation)	
Procedural irregularities during the investigation or hearing	

Please state the grounds and reasons for your appeal:

Signed: _____ **Date:** _____

(Please continue on separate sheet if necessary)

APPENDIX3 - EQUALITY IMPACT ASSESSMENT FORM (EQIA)

Equality Impact Assessment (EIA) Form (Please complete all sections)

EIA Form Stage One:

Name EIA Assessor: Amber Hardy		Date of EIA completion: 14 April 2026
Department: People Directorate		Division:
Name of service/policy/procedure being reviewed or created: Appeal Policy		
Name of person responsible for service/policy/procedure: Amber Hardy		
Brief summary of policy, procedure or service being assessed: This policy sets out the framework and procedure for use in appeals when an individual feels that a sanction or decision made in accordance with people policies. This includes formal sanctions and dismissals.		
Please state who this policy will affect: Staff		
Protected Characteristic	Considering data and supporting information, could protected characteristic groups' face negative impact, barriers, or discrimination? For example, are there any known health inequality or access issues to consider? (Yes or No)	Provide a brief summary of what data or supporting information was considered to complete this assessment?
Race and Ethnicity	No	Having considered the previous Appeal Policy, and information from key stakeholders, there is no anticipated barriers to any protected characteristics when it comes to this policy. This policy is to ensure all appeals are heard in a consistent and fair manner.
Sex	No	
Age	No	
Religion and Belief	No	
Disability	No	
Sexuality	No	
Pregnancy and Maternity	No	
Gender Reassignment	No	

Marriage and Civil Partnership	No	
Socio-Economic Factors (i.e. living in a poorer neighbour hood / social deprivation)	No	

If you have answered 'yes' to any of the above, please complete Stage 2 of the EIA on Page 3 and 4.

What consultation with protected characteristic groups including patient groups have you carried out?

JSPF sub-group

As far as you are aware are there any Human Rights issues be taken into account such as arising from surveys, questionnaires, comments, concerns, complaints or compliments?

No

On the basis of the information/evidence/consideration so far, do you believe that the policy / practice / service / other will have a positive or negative adverse impact on equality? (delete as appropriate)

Positive			Negative			
		Low	Nil			

If you identified positive impact, please outline the details here:

Protected Characteristic	Please explain, using examples of evidence and data, what the impact of the Policy, Procedure or Service/Clinical Guideline will be	What is already in place in the policy or its implementation to address any inequalities or barriers to access including under representation at clinics, screening.	Please outline any further actions to be taken to address and mitigate or remove any in barriers that have been identified.
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EIA Form Stage Two:		istic	
Race and Ethnicity			
Gender			
Age			
Religion			
Disability			
Sexuality			
Pregnancy and Maternity			
Gender Reassignment			
Marriage and Civil Partnership			
Socio-Economic Factors (i.e. living in a poorer neighbourhood / social deprivation)			

Signature:

I can confirm I have read the Trust's Guidance document on Equality Impact Assessments prior to completing this form

Date: