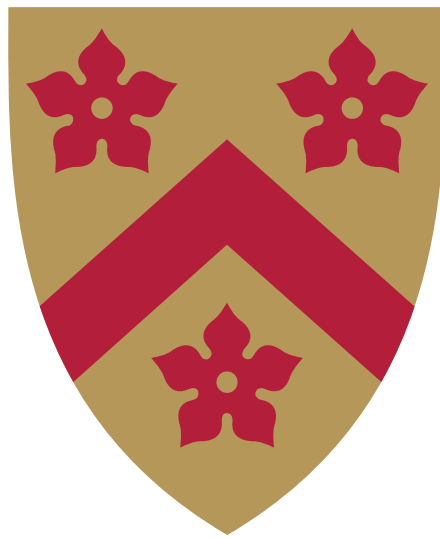


# ALL SOULS COLLEGE



# EMPLOYEE HANDBOOK





ALL SOULS COLLEGE, OXFORD  
EMPLOYEE HANDBOOK

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## INTRODUCTION

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All Souls College was founded in 1438 by Henry Chichele, Archbishop of Canterbury, and Henry VI. Its original purpose was to provide scholars and public servants for the service of the King, and to pray for the souls of the faithful who had died in the Hundred Years War. Today the College is a highly regarded community of scholars and plays an important role within Oxford University as a centre for research in a variety of academic subjects.

We provide equal opportunities and are committed to the principle of equality regardless of race, colour, ethnic or national origin, religious belief, political opinion or affiliation, sex, marital status, sexual orientation, gender reassignment, age or disability. A copy of the College's Equality Policy is included in this Handbook and the most recent Equality Monitoring Report is available on the College website<sup>1</sup>. We will apply employment policies that are fair, equitable and consistent with the skills and abilities of our employees and the needs of the College. We look for your support in implementing these policies to ensure that all employees are accorded equal opportunity for recruitment, training and promotion and, in all jobs of like work and qualification/experience, on equal terms and conditions of employment.

We will not condone any discriminatory act or attitude in the conduct of our business with the public or our employees. Acts of harassment or discrimination on the grounds of race, colour, ethnic or national origin, religious belief, political opinion or affiliation, sex, marital status, sexual orientation, gender reassignment, age or disability are disciplinary offences.

The College is pleased to have you as part of the College team. Please read the contents of this Employee Handbook carefully as, in addition to setting out College rules and regulations, it contains a great deal of helpful information. The Employee Handbook does not form part of your contract of employment but failure to comply with its contents could result in disciplinary action being taken against you.

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<sup>1</sup> <http://www.asc.ox.ac.uk/equality-policy>

## JOINING ALL SOULS COLLEGE

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### INDUCTION:

At the start of your employment at All Souls, you are required to complete an induction programme, during which all our policies and procedures (including health and safety) will be explained to you. Information relating to these will be given to you at the induction.

### PROBATIONARY PERIOD:

You join the College on an initial probationary period as stated in your letter of appointment. During this period your work performance and general suitability will be assessed and, if it is satisfactory, your employment will continue. However, if your work performance is not up to the required standard, or you are considered to be generally unsuitable, we may either take remedial action (which may include the extension of your probationary period) or terminate your employment at any time.

We reserve the right not to apply our full capability and disciplinary procedures during your probationary period.

### EMPLOYEE TRAINING:

At the commencement of your employment you will receive training for your specific job, and as your employment progresses your skills may be extended to encompass new job activities within the College. You will be required to complete successfully and maintain certification at the required level of training and accreditation as specified in your job description. The College will meet the costs involved, and that of any further job-related training where approved by the Manciple or Domestic Bursar.

### PERFORMANCE AND REVIEW:

The College policy is to monitor your work performance on a continuous basis so that we can maximise your strengths, and help you overcome any possible weaknesses.

### JOB DESCRIPTION AND JOB RESPONSIBILITIES:

You will be provided with a job description of the position to which you have been appointed but amendments may be made to your job description from time-to-time in response to our changing needs and your own ability. During holiday periods, etc. it may be necessary for you to take over some duties normally performed by other staff.

### JOB FLEXIBILITY:

It is an express condition of employment that you are prepared, whenever necessary, to transfer to such other duties within the College that you can reasonably be expected to undertake and that are within your level of skill/competency. This may affect your hours of work. During holiday periods, for example, it may be necessary for you to take over some duties normally performed by colleagues. This flexibility is essential for operational efficiency as the type and volume of work is always subject to change.

#### MOBILITY:

Although most staff are usually employed at one particular site, it is a condition of your employment that you are prepared, whenever applicable, to transfer to any other of our sites. This mobility is essential to the smooth running of the College.

#### CONVICTIONS AND OFFENCES

During your employment, you are required to report immediately to the College any convictions or offences with which you are charged, including traffic offences. Data collected about criminal convictions will be processed in line with the Data Protection Act. You may read more about the data we hold on you, why we hold it and the lawful basis that applies in the [employee privacy notice](#).

#### PRIVACY:

The College recognises the privacy of each of its members and seeks to minimise the intrusiveness of staff activities upon College members. In this respect, all support staff, particularly those employed in a support role, should courteously observe all the usual social conventions.

#### DATA PROTECTION:

All staff should be familiar with and observe the College Data Protection Policy available on the website<sup>2</sup> or in hard copy from the Bursary. Staff should sign and return a copy of the Data Protection consent form to the Manciple's office or Bursary.

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<sup>2</sup> <http://www.asc.ox.ac.uk/userfiles/file/Policy/DataProtection.pdf>



## SALARIES, PAY AND ASSOCIATED MATTERS

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### 1. ADMINISTRATION:

#### (i) Payment

1. For all staff the pay period is the calendar month. Salaries or wages are paid by BACS by the last day of the current month (normally on or before 26<sup>th</sup>) and include any overtime payments accrued to the middle of the current month, except where your contract specifies otherwise.
2. You will receive a payslip, normally via email, showing how the total amount of your pay has been calculated. It will also show the deductions which have been made and the reasons for them, e.g. Income Tax, National Insurance, etc.
3. Any pay queries which you may have should be raised in the first instance with the Accountant or Manciple's Assistant, who is responsible for staff payroll.

#### (ii) Overpayment

If you are overpaid for any reason you must immediately inform the Accountant or Manciple's Assistant. The total amount of the overpayment will normally be deducted from your next payment but if this would cause hardship, arrangements may be made for the overpayment to be recovered over a longer period.

#### (iii) Income Tax and National Insurance

At the end of each tax year you will be given a form P60 showing the total pay you have received from the College during that year and the amount of deductions for Income Tax and National Insurance. You may also be given a form P11D showing non-salary benefits. You should keep these documents in a safe place as you may need to produce them if making enquiries with the Inland Revenue or DSS, or if completing a self-assessment tax form.

### 2. PAY REVIEWS

Pay is reviewed annually, normally with effect from 1 August; however there is no guarantee of an automatic increase in your pay as a result of any review..

### 3. PENSION SCHEME

The College operates two pension schemes, the All Souls College Staff Pension Scheme (closed to new members) and the Universities' Superannuation Scheme, a contributory pension scheme in which you will be auto-enrolled if your earnings from the College exceed the current legal threshold. (The scheme enables you to save for your retirement using your own money, together with tax relief and contributions from the College.) Further details are available separately.

#### 4. LATENESS AND ABSENTEEISM:

- (i) You must attend work punctually at the specified time(s) and, where required to support claims for overtime or pay entitlements and variable shifts under annualised hours contracts, you must maintain accurate records of hours worked.
- (i) All absences must be notified in accordance with the [procedures](#) laid down in this Employee Handbook.
- (ii) Lateness and absence may result in loss of appropriate payment and/or disciplinary action.

#### 5. TIMESHEETS

You are required to complete and submit timesheets where directed in order to ensure that you receive the correct payment and fulfil your contracted hours. Incorrectly completed, or late submission of, timesheets may result in incorrect or delayed payment of wages. Deliberate falsification of timesheets will be regarded as a disciplinary offence and may lead to your summary dismissal.

## HOLIDAY ENTITLEMENT AND CONDITIONS

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### 1. ANNUAL HOLIDAYS:

It is the College policy to encourage you to take all of your holiday entitlement in the current holiday year. It does not permit holidays to be carried forward and no payment in lieu will be made in respect of untaken holidays other than in the event of termination of your employment.

- (i) Your holiday year begins on 1 January and ends on 31 December each year.
- (ii) Your annual holiday entitlement is shown in your individual Statement of Main Terms of Employment.
- (iii) Although there are some positions in College where this does not apply, holidays should generally not be taken during term time. Any such requests will only be granted in exceptional circumstances and must be authorised by the Manciple and/or Domestic Bursar.

### 2. CONDITIONS APPLYING TO YOUR ANNUAL HOLIDAY ENTITLEMENT:

- (i) You should consult your Head of Department before making any firm holiday arrangements and submit an application on Simply Personnel. You should await notification via Simply Personnel of the approval of your application before booking your holiday.
- (ii) Holiday requests will normally be **considered** on a "first come - first served" basis and authorised where the request does not unduly disadvantage other team members' reasonable requests and ensures that operational efficiency and minimum staffing levels are maintained throughout the year.
- (iii) You should normally give at least four weeks' notice of your intention to take holidays of a week or more and one week's notice is required for odd single days although this may be waived where you need to take leave to cover unforeseen domestic emergencies at home.
- (iv) Where your contract specifies your total holiday entitlement inclusive of public and bank holidays and College closed periods, you are required to reserve sufficient days from your annual entitlement to cover the College closure during the Christmas/New Year and Easter period. The College may also require you, with notice, to take other parts of your holiday at a particular time, e.g. as specified in your Statement of Main Terms of Employment, during catering closure periods e.g. one week in August, or when on furlough. If required to take one day's holiday, you will be given at least two days' advance notice of this and two weeks' notice if asked to take one week's holiday, four weeks' notice if asked to take two weeks' holiday etc.
- (v) Your holiday pay will be at your normal basic pay rate, unless shown otherwise in your Statement of Main Terms.

(vi) Any holiday entitlement not taken by the end of the holiday year will be lost and no payment in lieu will be made.

(vii) In the event of the termination of your employment you will be paid for any holidays accrued but not taken. However, in the event of your having taken holidays which have not been accrued pro-rata, then the appropriate payments will be deducted from your final wage or salary.

### 3. PUBLIC AND BANK HOLIDAYS:

Your entitlement to public and bank holidays is shown in your individual Statement of Main Terms of Employment. If required to work on a public or bank holiday, you are entitled to time off in lieu.

### 4. OTHER LEAVE

#### MATERNITY/ADOPTION/PATERNITY LEAVE/SHARED PARENTAL LEAVE AND PAY:

If you have a baby or adopt a child or children and assume primary care responsibility for the child/children, you are entitled to 52 weeks' statutory maternity or adoption leave, of which two weeks must be taken immediately after the birth of the child or, in the case of adoption, the placement of the child/children. The College will pay your salary at your full rate of pay, inclusive of statutory maternity or statutory adoption pay, for up to 26 weeks. Thereafter, you will normally be eligible to receive Statutory Maternity Pay.

If your partner has a baby or adopts a child, you are entitled to take up to two weeks' paternity pay, in accordance with statutory provisions.

If the mother or primary adopter of your child/children ends their maternity or adoption leave/pay or allowance early, you may use the balance of their remaining entitlement to leave/pay (i.e. up to 50 weeks) or share that entitlement with them, in accordance with the College's parental leave policy and statutory entitlement.

#### PARENTAL LEAVE:

If you are entitled to take parental leave in respect of the current statutory provisions, you should discuss your needs with the Manciple or the Domestic Bursar, who will identify your entitlements and look at the proposed leave periods dependent upon your child's/children's particular circumstances and the operational aspects of the College.

#### DEPENDANT/CARERS' LEAVE:

It is your responsibility to put in place appropriate care arrangements for your children or dependants to enable you to discharge your work responsibilities at the College. But the Domestic Bursar or Manciple may, at their discretion, authorise you to take ½ day to no more than 2 days, and not more than 5 days' additional paid leave in any 12 month period to attend to acute or unexpected caring responsibilities or domestic emergencies, such as care

for ill dependants or immediate family<sup>3</sup> accompanying them to an unexpected visit or stay in hospital, to make longer term care arrangements for the ill or injured, breakdown or unexpected disruption in care arrangements or incidents at school.

If you need more time off, this will be unpaid. You should also discuss your situation with the Manciple or Domestic Bursar..

#### BEREAVEMENT LEAVE:

If you suffer the loss of a child under 18, you will be entitled to statutory paid parental bereavement leave. Reactions to bereavement may vary greatly according to individual circumstances and the setting of other fixed rules for time off is therefore inappropriate. You should discuss your circumstances with the Manciple or Domestic Bursar and agree appropriate time off. Any agreed time off other than the statutory paid parental bereavement leave period will be discretionary.

#### COMPASSIONATE LEAVE:

In addition to the circumstances outlined above for Dependant/Carers' Leave and Bereavement Leave, the Manciple or Domestic Bursar may at their discretion grant you compassionate leave if another member of your immediate family is seriously ill or dies and you are not the immediate carer. The length of compassionate leave will vary depending on the circumstances of the case, but will generally not be more than a couple of days. Applications for compassionate leave must be made to the Manciple or Domestic Bursar, who make all decisions on such requests in order to ensure a consistent approach across the College.

Compassionate leave is on full basic pay. If compassionate leave is not granted or you want or need to be absent for a longer period than the College will allow under this Policy, your absence should be covered by annual or unpaid leave.

#### TIME OFF FOR MEDICAL OR DENTAL APPOINTMENTS:

Circumstances may arise where you need time off for medical and dental appointments, or for other reasons. Where possible, such appointments should be made outside normal working hours. If this is not possible, time off required for these purposes may be granted at the discretion of your Head of Department and the Manciple (Domestic Staff) or the Domestic Bursar (Administrative Staff). You will be expected to make up any time lost.

#### SPECIAL PAID LEAVE

You may be granted additional leave, with or without pay, in certain circumstances, including jury service (full pay); voluntary public service which cannot be scheduled outside normal working hours, e.g. as a school governor or magistrate (paid for up to three days a year); Reserve Forces' training exercises (up to one week with the remaining week as annual

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<sup>3</sup> Immediate family" will depend on any particular circumstances but will normally mean spouse/partner, children, brothers and sisters, parents and grandparents (to include adopted and step relatives).

leave); and where the College decides, in accordance with Government guidance or other requirements, that the College should be fully or partially closed.

## **SICKNESS OR INJURY PAYMENTS AND CONDITIONS**

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### **1. NOTIFICATION OF INCAPACITY FOR WORK**

- (i) You must notify the College by **telephoning the Lodge (01865-279379)** at the earliest possible opportunity and no later than 15 minutes after your normal starting time on the first day of incapacity. You should try to give some indication of your expected return date and notify the College (Manciple, your Head of Department, or in the case of administrative staff, the Domestic Bursar) as soon as possible if this date changes. The notification procedures should be followed on each day of absence unless you are covered by a medical certificate. Notification should be made personally (or if you are unable to do so, then by a relative, neighbour or friend) to the Lodge. The College may also contact you at any stage to enquire after your progress and expected return date.
- (ii) If your incapacity extends to more than seven days you are required to notify the College (Manciple's office or Domestic Bursar) of your continued incapacity once a week thereafter.

### **2. EVIDENCE OF INCAPACITY**

- (i) An appropriate certificate of incapacity to work must be provided promptly to ensure that there is no interruption to your pay. A medical certificate (known as a 'fit note') is not issued for short-term incapacity. In these cases of incapacity (up to seven calendar days) you must complete a self-certification sick absence form immediately on your return to work (see 'Return to Work' below). [Self-certification absence forms](#) are available on the College intranet or from your Head of Department.
- (ii) If your sickness has been (or you know that it will be) for longer than seven calendar days (whether or not they are working days) you should see your doctor and make sure you are given a medical certificate and forward this to the College without delay. Subsequently you must supply the College with consecutive doctor's medical certificates to cover the whole of your absence.

### **3. PAYMENTS**

- (i) You are entitled to Statutory Sick Pay (SSP) if you are absent because of sickness or injury provided you meet the criteria in the current SSP regulations. When you are absent for four or more consecutive days you will be paid SSP by the College if you are eligible. This is treated as pay and is subject to normal deductions.
- (ii) Qualifying days are the only days for which you are entitled to SSP. These days will be notified to you. The first three qualifying days of absence are waiting days for which SSP is not payable. Where a second or subsequent period of incapacity (of four days or more) occurs within 56 days of a previous period of incapacity, waiting days are not served again.
- (iii) Any contractual sickness or injury payments are shown in your individual Statement of Main Terms of Employment but it should be noted that the College reserves the right to take disciplinary action whenever an employee's Bradford Factor score exceeds 100, or otherwise gives cause for concern – please see [section 6](#). for further information about the Bradford Factor.

- (iv) Any days of contractual sickness or injury payments which qualify for SSP will be offset against SSP on a day-to-day basis. A deduction will be made for any other state benefits received if you are excluded or transferred from SSP.
- (v) If you are entitled to any payments in excess of SSP and your entitlement expires, full or part payment may be allowed at the College's discretion where it is considered that there are special circumstances warranting it but this will only be in exceptional circumstances.
- (vi) Where the circumstances of your incapacity are such that you receive or are awarded any sum by way of compensation or damages in respect of the incapacity from a third party, then any payments which the College may have made to you because of the absence (including SSP) shall be repaid by you to the College up to an amount not exceeding the amount of the compensation or damages paid by the third party and up to, but not exceeding, any amount paid by us.

#### 4. RETURN TO WORK

- (i) You should notify your Head of Department, the Manciple, or the Domestic Bursar in the case of administrative staff, as soon as you know on which day you will be returning to work, if this differs from a date of return previously notified.
- (ii) If you have been suffering from an infectious or contagious disease or illness, such as rubella or hepatitis, you must not report for work without clearance from your own doctor.
- (iii) On return to work after any period of sickness or absence due to injury, you are required to complete a self-certification absence form for any absence not covered by a medical certificate and hand this to the Manciple or the Domestic Bursar.
- (iv) Upon returning to work you may be interviewed by your Head of Department, the Manciple, or Domestic Bursar in the case of administrative staff, for the purpose of ascertaining your well-being and to discuss your fitness to work. Information arising from such an interview will be treated with strictest confidence. .

#### 5. GENERAL

- (i) Submission of a medical certificate or sickness self-certification absence form, although giving the College the reason for your absence, may not always be regarded by the College as sufficient justification for accepting your absence. Sickness is just one of a number of reasons for absence and although it is understandable that if you are sick you may need time off, continual or repeated absence through sickness may not be acceptable to the College.
- (ii) In deciding whether your absence is acceptable or not the College will take into account the reasons and extent of all your absences, including any absence caused by sickness. The College cannot operate with an excessive level of absence as all absence, for whatever reason, reduces the College's efficiency.
- (iii) The College will take a serious view if you take sickness or injury leave which is not genuine, and it will result in disciplinary action being taken.
- (iv) If the College considers it necessary, you may be referred to the College's occupational health advisers, and it may ask your permission to contact your doctor and/or for you



to be independently medically examined. If permission is refused, it may result in disciplinary action.

## 6. ABSENCE POLICY

- (i) The College recognizes that all staff can become unwell and does not expect staff to work if they are too ill to do so or they are likely to risk the health of others if they do so. However, staff absence can involve the College in significant additional cost and put significant pressure on colleagues. It is therefore important to minimize absence. In the event of a member of staff earning a Bradford factor absence score (see below) over 100 in any 12 month period, it reserves the right to take appropriate management action, which may include initiating formal disciplinary procedures.
- (ii) The Bradford factor absence formula is as follows:

$$B=S^2 \times D$$

B= Bradford factor score

S= total number of times or instances of absence for that individual in the given period

D= total number of days the individual was absent during the given period.

Note: The score does not include absences to take care of relatives or dependants.

### **Example 1**

*One continuous absence of 3 months in one 12 month period.*

1<sup>st</sup> absence – 91 days

$$1 \times 1 \times 91 = 91 \text{ points}$$

### **Example 2**

*Frequent short absences varying in duration over the 12 month period .*

1<sup>st</sup> absence – 3 days

$$1 \times 1 \times 3 = 3 \text{ points}$$

2<sup>nd</sup> absence – 4 days (i.e. total of 7 days' absence in 12 month period)

$$2 \times 2 \times 7 = 28 \text{ points}$$

3<sup>rd</sup> absence – 2 days

$$3 \times 3 \times 9 = 81 \text{ points (i.e. total of 9 days' absence in 12 month period)}$$

4<sup>th</sup> absence – 1 day

$$4 \times 4 \times 10 \text{ days} = 160 \text{ points (i.e. total of 10 days' absence in 12 month period).}$$

## SICKNESS ABSENCE – SELF-CERTIFICATION FORM

This form should be completed and given to your line manager, the Manciple or Domestic Bursar immediately on your return to work following any period of sick absence from work.

If you are returning to work after a period of sickness of more than 7 calendar days a doctor's fitness to work certificate (formerly known as sick note) should already have been provided to cover the period of absence in excess of these first seven days.

NAME:	Bradford Score to date:
<b>Dates of <u>sickness</u></b>	
FROM	TO.....
_____ am/pm	_____ am/pm
_____ day	_____ day
_____ date	_____ date
<b>Dates of <u>absence</u></b>	
FROM	TO.....
_____ am/pm	_____ am/pm
_____ day	_____ day
_____ date	_____ date
<b>Details of sickness or injury</b>	
Did you consult a Doctor? YES/NO. If YES please give details of: Doctor's name, address, date of visit, treatment received and any current treatment. If NO please state why not.	
<b>Declaration</b>	
I certify that I was incapable of work because of my sickness/injury on the dates shown above and that this information is true and accurate. I acknowledge that false information will result in disciplinary action. I hereby give my employer permission to verify the above information.	
Signed _____ Date _____	
Line Manager/Manciple/Domestic Bursar: I conducted a return to work interview on	
(date / / )	
My observations/recommendations are:	
Line Manager/Manciple/Domestic Bursar (Please delete as appropriate)	
Name: _____ Signature: _____ Date: _____	

## **OTHER BENEFITS**

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### **1. PRIVATE MEDICAL INSURANCE**

Once you have satisfactorily completed your probation you are eligible to join the private medical insurance scheme nominated by the College. This is subject to the conditions of the insurance policy and your Statement of Main Terms of Employment. It is a taxable benefit which will be included on your pay statement.

The College reserves the right to withdraw or amend this benefit at its absolute discretion.

Further details, including an application form, are available on the College intranet. The College Accountant administers the Scheme.

### **2. EMPLOYEE ASSISTANCE PROGRAMME**

The College recognises that sometimes you may face certain challenges in your work and home life that are difficult to deal with. It subscribes to a confidential and professional life management service which provides you with a qualified counsellor who can offer personal support for any practical or emotional challenges you may be facing. The service is initially provided via telephone and online advice but face to face meetings will be arranged where this is felt clinically appropriate. This service is totally confidential. More details of this service are available on the Staff pages of the [Intranet](#).

### **3. FREE LUNCH/DINNER**

If you work immediately before and after the lunch or dinner period, you are entitled to a free lunch or dinner when the Kitchen is open.

### **4. BUS LOAN SCHEME**

The College provides a bus loan scheme. Contact the Manciple's Assistant if you wish to use it.

Further details are available separately.

## **SAFEGUARDS**

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### 1. STATEMENTS TO THE MEDIA

You must not make any statement to reporters from newspapers, television etc. in respect of All Souls College. Any enquiries should be directed to the Warden.

### 2. DATA PROTECTION

The College's data protection policy is in Appendix A. [See also section on General Terms of Employment, Information and Procedures.](#)

### 3. COLLEGE PROPERTY AND COPYRIGHT

All written material, whether held on paper, electronically or magnetically which was made or acquired by you during the course of your employment with the College, is College property and, where appropriate, College copyright. It should be stored on College servers and at the time of the termination of your employment with us, or at any other time upon demand, you shall return to the College any such material in your possession.

## STANDARDS

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### 1. WASTAGE, DAMAGE AND LOSS

- 1) The College maintains a policy of "minimum waste" which is essential to the cost-effective and efficient running of all College activities. It is also strongly committed to reducing its impact on the environment.
- 2) You are able to promote and support these policies by taking extra care during your normal duties by avoiding unnecessary or extravagant use of services, time, energy or materials and ensuring the appropriate disposal of waste. The following points are illustrations of this:
  - a) handle machines, equipment and stock with care;
  - b) turn off any unnecessary lighting and heating. Keep doors closed whenever possible;
  - c) ask for other work if you have insufficient work;
  - d) start work with the minimum of delay after arriving for work and after break;

Failure to comply with this policy may result in the termination of your contract.

- 3) Any damage to our vehicles, stock or property that is the result of your carelessness, negligence or deliberate vandalism will render you liable to pay the full or part of the cost of repair or replacement.
- 4) Any loss to us that is the result of your failure to observe rules, procedures or instructions, or is the result of negligent behaviour or unsatisfactory standards of work will render you liable to reimburse to us the full or part of the cost of the loss or to correct the work at your own expense.

In the event of failure to pay, we reserve the right to deduct such costs from any payment due.

### 2. STANDARDS OF DRESS

As you are liable to come into contact with Fellows, visitors, and members of the public, it is important that you present a professional image with regard to appearance and standards of dress. Where uniforms are provided, these must be worn at all times whilst at work and laundered on a regular basis. Where no uniforms are provided, you should wear clothes appropriate to your job responsibilities and they should be kept clean and tidy at all times. Any jewellery worn must be discreet and appropriate.

### 3. HOUSEKEEPING

Both from the point of view of safety and of appearance, work areas must be kept clean and tidy at all times.

## HEALTH, SAFETY, WELFARE AND HYGIENE

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### 1. SAFETY:

- (i) You must make yourself familiar with the College's Health and Safety Policy and your own health and safety duties and responsibilities, as shown separately.
- (ii) You must not take any action which could threaten the health or safety of yourself, other members of staff, Fellows, visitors or members of the public.
- (iii) Protective clothing and other equipment which may be issued for your protection because of the nature of your job must be worn at all appropriate times. Failure to do so could be a contravention of your health and safety responsibilities. Once issued, this protective wear is your responsibility.
- (iv) Any injury, however minor, sustained at work must be recorded in the Accident Book which is held in the Lodge.

### 2. REFRESHMENT MAKING FACILITIES

The College provides refreshment-making facilities for your use, which must be kept in a clean and tidy state at all times.

### 3. STAFF ROOM

The College provides staff rooms for your use, which must be kept clean and tidy at all times.

### 4. ALCOHOL AND DRUGS POLICY:

The College has a legal duty to ensure so far as is reasonably practicable, the health and safety and welfare at work of all members of staff, Fellows and visitors, and similarly you have a responsibility to yourself and your colleagues. The use of alcohol and drugs may impair the safe and efficient running of the College and the health and safety of members of staff, Fellows, and visitors.

The effects of alcohol and drugs can be numerous, including:-

- a) absenteeism (e.g. unauthorised absence, lateness, excessive levels of sickness);
- b) higher accident levels (e.g. at work, elsewhere, driving to and from work);
- c) work performance (e.g. difficulty in concentrating, tasks taking more time, making mistakes).

If your performance or attendance at work is affected as a result of alcohol or drugs, or the College believes you have been involved in any drug-related action or offence, you may be subject to disciplinary action and, dependent on the circumstances, this may lead to your dismissal.

### 5. FITNESS FOR WORK

If you arrive for work and, in our opinion, you are not fit to work, we reserve the right to exercise our duty of care if we believe that you may not be able to undertake your duties in a safe manner or may pose a safety risk to others, and send you away for the remainder of the

day with or without pay and, dependent on the circumstances, you may be liable to disciplinary action.

## 6. MANUAL HANDLING

You are required, in accordance with the Manual Handling Regulations 1992, to advise us of any condition which may make you more vulnerable to injury.

## 7. EMPLOYEE ASSISTANCE PROGRAMME

The College subscribes to an Employee Assistance Programme (see [www.livewell.optum.com](http://www.livewell.optum.com) or 0800980 6830) through which all members of staff may seek confidential, free and independent expert advice and counselling on a wide range of matters. See details on the staff noticeboard and the intranet.

## 8. FAITH FACILITIES

All members of staff are welcome to use the Chapel and attend its services. Details of other [faith facilities](#) and chaplaincy services available in the University are on the University website. Contact the Manciple or Domestic Bursar if you have any special requirements.

## 9. HYGIENE

- (i) Any exposed cut or burn must be covered with a first-aid dressing.
- (ii) If you are suffering from an infectious or contagious disease or illness, such as rubella or hepatitis, you must not report for work without clearance from your own doctor.
- (iii) Contact with any person suffering from an infectious or contagious disease must be reported before commencing work.
- (iv) You are required to familiarise yourself with and observe strictly any special risk control measures put in place in the event of a pandemic or other health emergency.

## 10. ADDITIONAL HYGIENE FOR FOOD HANDLERS

- (i) You must wash your hands immediately before commencing work and after using the toilet.
- (ii) Any cut or burn on the hand or arm must be covered with an approved dressing.
- (iii) Head coverings and overalls/uniforms, where provided, must be worn at all times.
- (iv) No jewellery other than wedding rings should be worn without the permission of the Head Chef.
- (v) You should not wear excessive amounts of make-up or perfume and nail varnish should not be worn.
- (vi) If you are suffering from an infectious or contagious disease or illness, or have a bowel disorder, boils, skin or mouth infections, you must not report for work without clearance from your own doctor.
- (vii) Contact with any person suffering from an infectious or contagious disease must be reported and you must have clearance from your own doctor before commencing work.

## **GENERAL TERMS OF EMPLOYMENT, INFORMATION AND PROCEDURES**

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### **1. CHANGES IN PERSONAL DETAILS**

You must notify the College promptly of any change of name, address and telephone number so that accurate records may be kept and you can be contacted in an emergency, if necessary, outside working hours.

### **2. OTHER EMPLOYMENT**

If you already have any other employment or are considering any additional employment you must notify the College so that any implications arising from the current working time legislation can be discussed.

### **3. TRAVEL EXPENSES**

The College will reimburse you for costs involved whilst travelling on College business, details of which will be issued separately. If you use your own vehicle on College business, you must ensure that you have the appropriate level of insurance cover and that it is roadworthy and meets all legal requirements, e.g. road tax, M.O.T. etc.

### **4. COMMUNICATIONS**

The College will try to keep you informed about items of interest by means of notice boards in the kitchen and staff dining room, the College intranet and e-mail. Members of staff may use these (with the Manciple or Domestic Bursar's permission), to promote any particular item of interest to other employees.

### **5. EMPLOYEES' PROPERTY**

The College does not accept liability for any loss of, or damage to, property which you bring onto the premises. You are requested not to bring personal items of value onto the premises and, in particular, not to leave any items overnight.

### **6. LOST PROPERTY**

Articles of lost property should be handed to the Lodge where they will be retained whilst attempts are made to discover the owner. Items of value will be kept in the College safe.

### **7. MAIL**

No private mail may be posted at College expense except in those cases where a formal re-charge arrangement has been made.

### **8. TELEPHONE CALLS**

Telephones are essential for College business. Personal telephone calls are allowed only in the case of emergency and with the prior permission of your Head of Department. Personal mobile telephones should be switched off or to silent mode during working hours.

### **9. BUYING OR SELLING OF GOODS**

You are not allowed to buy or sell goods on your own behalf on College premises.



## 10. COLLECTIONS FROM EMPLOYEES

Unless specific authorisation is given by the Domestic Bursar or Manciple no collections of any kind are allowed on our premises.

## 11. BEHAVIOUR AT WORK

You should behave with civility towards fellow employees, Fellows and visitors and no rudeness will be permitted towards clients or members of the public. Objectionable or insulting behaviour, or bad language will render you liable to disciplinary action.

You should use your best endeavours to promote the interests of the College and shall, during normal working hours, devote the whole of your time, attention and abilities to the business and its affairs.

Any involvement in activities which could be construed as being in competition with us is not allowed.

## 12. BEHAVIOUR OUTSIDE WORK

The College requires its employees to be of the highest integrity and has the right to expect you to maintain these standards outside of working hours.

Activities that result in adverse publicity to the College, or which cause it to lose faith in your integrity, may give the College grounds for your dismissal.

## 13. INCLEMENT WEATHER/TRAVEL ARRANGEMENT DISRUPTION

Every reasonable effort should be made to attend work in accordance with your contract. In the event that you are unable to attend work owing to inclement weather conditions and/or severe disruption to your travel arrangements, you should report your absence through the normal absence reporting procedures. If you have sufficient annual leave you may request to use this. Any absence due to adverse weather will ordinarily be unpaid. At the sole discretion of the Manciple, the Domestic Bursar or your Head of Department and subject to availability, you may be able to work additional hours to compensate for the lost hours. They may also, at their sole discretion, grant you permission to work from home.

## 14. FRIENDS AND RELATIVES CONTACT

You should discourage your friends and relatives from either calling on you in person or by telephone except in an emergency.

## 15. SMOKING POLICY

The College operates a no smoking policy throughout the College buildings, you are only allowed to smoke in the designated smoking area and only during authorised breaks. This includes the use of e-cigarettes.

## 16. SECURITY

All staff are expected to be diligent to prevent crime and the entry of potential thieves to College premises. However, the College does not expect members of its staff to put themselves at risk.

The College premises are monitored by CCTV.

Any College property that is taken off the premises must be signed out and returned via the Lodge. In addition authorisation must be sought from the Manciple or Domestic Bursar before any College property or goods are taken off the premises. Failure to follow this procedure may result in disciplinary action and could lead to dismissal.

If you are an allocated key holder, you must ensure that all procedures and guidelines are followed when securing the building prior to leaving. Any security measure such as keys, must be kept safe at all times.

You must not give the keys to any third party unless authorisation is obtained from a Manager. Any loss or damage caused as a result of your failure to follow procedures or your negligence in ensuring the safekeeping of the keys will result in disciplinary action which could lead to your summary dismissal.

We also reserve the right to deduct the cost of any loss, repair or replacement from any monies owing to you.

Any breaches or security issues including the loss or theft of keys must be reported immediately to the Manciple's office or your Head of Department. The loss of a fob should be reported immediately to the Lodge so that action can be taken to disable it.

To satisfy the requirements of our insurers and to protect us from fire and theft, you must secure all properties and premises when unattended. The last person to leave the premises must ensure lights and appropriate electrical equipment are switched off, windows and doors are secure and alarms are set accordingly.

## 17. DRIVING LICENCE

If driving is a necessary part of your role it is imperative that you maintain a valid driving licence suitable for the vehicle you operate at all times during your employment. You are required upon request to produce your driving licence for checking. The College may also require you to provide it with the ability to access your driving licence details online. If at any time your licence is endorsed, or you are disqualified from driving, the College must be informed immediately.

Data collected about driving licences will be processed in line with the Data Protection Act. You may read more about the data we hold on you, why we hold it and the lawful basis that applies in the employee privacy notice.

If you are required to drive as part of your job and the College is unable to find alternative employment, your employment may be terminated.

## 18. FINES

The College will not be held responsible for any fines (e.g. parking, speeding etc.) incurred by you whilst working for it.

## 19. CAR INSURANCE

If your position requires you to use your own car for business purposes, you must ensure that your car insurance provides adequate cover. Proof of adequate insurance, Driving

Licence, Tax and an MOT Certificate must be produced for scrutiny by the Company, upon renewal and at any time when so requested.

#### 20. THIRD PARTY INVOLVEMENT

The College reserves the right to allow third parties to chair any meeting, for example disciplinary, capability, grievance, but this is not an exhaustive list. The College will seek your consent at the relevant time to share relevant 'special categories of data' where it is necessary for the purposes of that hearing.

#### 21. RECORDING OF FORMAL MEETINGS

The College reserves the right to record any formal meetings whether conducted by it or a third party, a copy of the recording can be made available on request. All personal data collected for this purpose will be processed in line with the current Data Protection Act.

#### 22. DRINKING ON DUTY

The College does not permit the consumption of alcohol by staff whilst on duty unless authorised by the Domestic Bursar or Manciple.

## MAKING A PROTECTED DISCLOSURE (WHISTLEBLOWING)

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### 1. INTRODUCTION

- (i) Under certain circumstances, employees have legal protection if they make disclosures about organisations for whom they work. These employees are commonly referred to as 'whistle blowers' and their activities have often received wide publicity in the media.
- (ii) An employee who believed, for example, that organisations were disposing of toxic waste illegally may have 'blown the whistle' directly to the press or television, perhaps because of concern for the environment, a belief that the organisation would attempt a 'cover-up' if asked to stop, or for financial gain.
- (iii) Employees who blew the whistle on organisations were often treated detrimentally by them or their engagements were terminated. This discouraged employees from whistle blowing even where such action would be for the good of the public. The legislation is designed to protect employees from suffering any detriment or termination of engagement for whistle blowing.

### 2. QUALIFYING DISCLOSURES

- (i) Certain disclosures are prescribed by law as 'qualifying disclosures'. Disclosures are qualifying disclosures where it can be shown that the College commits a 'relevant failure' by:-
  - a) committing a criminal offence;
  - b) failing to comply with a legal obligation;
  - c) a miscarriage of justice;
  - d) endangering the health and safety of an individual;
  - e) environmental damage; or
  - f) concealing any information relating to the above.
- (ii) These acts can be in the past, present or future, so that, for example, a disclosure qualifies if it relates to environmental damage that has happened, is happening, or is likely to happen.

### 3. THE PROCEDURE

- (i) If you so wish you should in the first instance report any concerns you may have in writing to the Manciple or other College Officer (such as the Warden or Domestic Bursar) who will treat the matter in complete confidence. If you are not satisfied with the explanation or reason given to you, you should raise the matter in writing with the appropriate organisation or body, e.g. the Police, the Environment Agency, Health and Safety Executive or Social Services Department.
- (ii) If you do not report your concerns to the Manciple or a College Officer, you may take them direct to the appropriate organisation or body.

#### 4. GENERAL NOTES

- (i) The Public Interest Disclosure Act 1998 prevents you from suffering a detriment or having your contract terminated for 'whistle blowing' and we take very seriously any concerns which you may raise under this legislation.
- (ii) We encourage you to use the procedure if you are concerned about any wrongdoing at work. However, if the procedure has not been invoked in good faith (e.g. for malicious reasons or in pursuit of a personal grudge), then it will make you liable to immediate termination of engagement or such lesser disciplinary sanction as may be appropriate in the circumstances.

## **CAPABILITY AND DISCIPLINARY PROCEDURES**

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### **1. CAPABILITY PROCEDURES – GENERAL**

#### **INTRODUCTION**

The College recognises that during your employment here your capability to carry out your duties may deteriorate. This can be for a number of reasons, the most common ones being that either the job changes over a period of time and you fail to keep pace with the changes, or you change (most commonly because of health reasons) and you can no longer cope with the work.

### **2. JOB CHANGES/GENERAL CAPABILITY ISSUES**

- 1) If the nature of your job changes or if we have general concerns about your ability to perform your job we will try to ensure that you understand the level of performance expected of you and that you receive adequate training and supervision. Concerns regarding your capability will normally first be discussed in an informal manner and you will be given time to improve.
- 2) If your standard of performance is still not adequate you will be warned in writing that a failure to improve and to maintain the performance required could lead to your dismissal. We will also consider the possibility of a transfer to more suitable work if possible.
- 3) If there is still no improvement after a reasonable time and we cannot transfer you to more suitable work, or if your level of performance has a serious or substantial effect on the College or its reputation, you will be issued with a final warning that you will be dismissed unless the required standard of performance is achieved and maintained.
- 4) If such improvement is not forthcoming after a reasonable period of time, you will be dismissed with the appropriate notice.

### **3. PERSONAL CIRCUMSTANCES/HEALTH ISSUES**

- 1) Personal circumstances may arise which do not prevent you from attending for work but which prevent you from carrying out your normal duties (e.g. a lack of dexterity or general ill health). If such a situation arises, we will normally need to have details of your medical diagnosis and prognosis, so that we have the benefit of expert advice. Under normal circumstances this can be most easily obtained by asking your own doctor for a medical report. Your permission is needed before we can obtain such a report and we will expect you to co-operate in this matter should the need arise. When we have obtained as much information as possible regarding your condition and after consultation with you, a decision will be made about your future employment with us in your current role or, where circumstances permit, in a more suitable role.
- 2) There may also be personal circumstances which prevent you from attending work, either for a prolonged period(s) or for frequent short absences. Under these circumstances we will need to know when we can expect your attendance record to reach an acceptable level. This may again mean asking your own doctor for a medical report or by making whatever investigations are appropriate in the circumstances.

When we have obtained as much information as possible regarding your condition, and after consultation with you, a decision will be made about your future employment with us in your current role or, where circumstances permit, in a more suitable role.

#### 4. SHORT SERVICE STAFF

We retain discretion in respect of the capability procedures to take account of your length of service and to vary the procedures accordingly. If you have a short amount of service, you may not be in receipt of any warnings before dismissal.

## DISCIPLINARY PROCEDURE - GENERAL

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### 1. INTRODUCTION

It is necessary to have a minimum number of rules in the interests of the whole organisation.

The rules set standards of performance and behaviour whilst the procedures are designed to help promote fairness and order in the treatment of individuals. The College's aim is that the rules and procedures should emphasise and encourage improvement in individual conduct and performance, where they are failing to meet the required standards, and should not be seen merely as a means of punishment. The College reserves the right to amend these rules and procedures where appropriate.

Every effort will be made to ensure that any action taken under this procedure is fair, with you being given the opportunity to state your case and appeal against any decision that you consider to be unjust.

The following rules and procedures should ensure that:

- (i) the correct procedure is used when requiring you to attend a disciplinary hearing;
- (ii) you are fully aware of the standards of performance, action and behaviour required of you;
- (iii) disciplinary action, where necessary, is taken speedily and in a fair, uniform and consistent manner;
- (iv) you will only be disciplined after careful investigation of the facts and the opportunity to present your side of the case. On some occasions temporary suspension on contractual pay may be necessary in order that an uninterrupted investigation can take place. This must not be regarded as disciplinary action or a penalty of any kind;
- (v) other than for an "off the record" informal reprimand, you have the right to be accompanied by a fellow employee at all stages of the formal disciplinary process;
- (vi) you will not normally be dismissed for a first breach of discipline, except in the case of gross misconduct; and
- (vii) if you are disciplined, you will receive an explanation of the penalty imposed and you will have the right to appeal against the finding and the penalty.

It sets out the action which will be taken when disciplinary rules are breached or when an employee's performance is unsatisfactory. However, depending on the seriousness of the misconduct or unsatisfactory performance, the College reserves the right to invoke any stage of the procedure as an initial step.

The procedures are designed to establish the facts quickly and to deal consistently with disciplinary and capability issues. No disciplinary action will be taken until the matter has been fully investigated and a disciplinary meeting has taken place.



- (i) Informal action will be considered, to resolve matters swiftly and amicably where appropriate.
- (ii) The College reserves the right to suspend employees on full pay for a maximum of 5 working days (or such longer period as in the circumstances may be reasonable) whilst the investigation takes place. Suspension in itself is not a disciplinary measure.
- (iii) Employees will be given advance notice of the disciplinary meeting. They will be supplied with details of the allegations or complaints and, unless there is good reason not to, will also be supplied with copies of all documents and witness statements that will be referred to at the disciplinary meeting.
- (iv) At every stage other than the issue of an informal oral warning or improvement note before the commencement of the Formal Procedure set out below, employees will have the opportunity to state their case and be represented, if they wish, at the hearings by a fellow employee or by a full-time or duly certified trade union official. If the chosen representative cannot attend on the proposed date of the disciplinary meeting, employees can offer an alternative date and time so long as it is reasonable and falls within 5 working days following the date which was proposed by the College.
- (v) An employee has the right to appeal against any disciplinary penalty.
- (vi) As far as possible, disciplinary proceedings (including witness statements and records created during such proceedings) will be kept confidential.

## 2. DISCIPLINARY RULES

It is not practicable to specify all disciplinary rules or offences that may result in disciplinary action, as they may vary depending on the nature of the work. In addition to the specific examples of unsatisfactory conduct, misconduct and gross misconduct shown in this handbook, a breach of other specific conditions, procedures, rules etc. that are contained within this handbook or that have otherwise been made known to you, will also result in this procedure being used to deal with such matters.

## 3. RULES COVERING UNSATISFACTORY CONDUCT AND MISCONDUCT

Note: These are examples only and not an exhaustive list.

You will be liable to disciplinary action if you are found to have acted in any of the following ways:

- (i) failure to abide by the general health and safety rules and procedures;
- (ii) smoking in designated non-smoking areas;
- (iii) consumption of alcohol on the premises except where authorised by the Wine Steward, Manciple or Domestic Bursar;
- (iv) persistent absenteeism and/or lateness;
- (v) unsatisfactory standards or output of work;

- (vi) rudeness towards Fellows and their guests, students, members of the public or other employees, objectionable or insulting behaviour, harassment, bullying or bad language;
- (vii) failure to devote the whole of your time, attention and abilities to College business and its affairs during your normal working hours;
- (viii) failure to carry out all reasonable instructions or follow College rules and procedures;
- (ix) unauthorised use or negligent damage or loss of College, Fellows', contractors' or other employee's property;
- (x) failure to report immediately any damage to property or premises caused by you;
- (xi) loss of driving licence where driving on public roads forms an essential part of the duties of the post;
- (xii) if your work involves driving, failure to report immediately any type of driving conviction, or any summons which may lead to your conviction;
- (xiii) use of a College vehicle without approval or the private use of it without authorisation;
- (xiv) failure to report any incident whilst driving a College vehicle, whether or not personal injury or vehicle damage occurs;
- (xv) carrying unauthorised goods or passengers in a College vehicle or the use of such a vehicle or other College equipment and resources for personal gain; and
- (xvi) unauthorised use of e-mail and internet.

#### 4. SERIOUS MISCONDUCT

Where one of the unsatisfactory conduct or misconduct rules has been broken and if, upon investigation, it is shown to be due to your extreme carelessness or has a serious or substantial effect upon our operation or reputation, you may be issued with a final written warning in the first instance.

You may receive a final written warning as the first course of action, if, in an alleged gross misconduct disciplinary matter, upon investigation, there is shown to be some level of mitigation resulting in it being treated as an offence just short of dismissal.

#### 5. RULES COVERING GROSS MISCONDUCT

If, after investigation and a disciplinary meeting, it is confirmed that has employee has committed an offence of the nature listed below or if the College has reasonable grounds for believing that such an offence has been committed, the normal consequence will be dismissal without notice or pay in lieu of notice.

Any behaviour or negligence resulting in a fundamental breach of contractual terms that irrevocably destroys the trust and confidence necessary to continue the employment

relationship will constitute gross misconduct. The following list is not exhaustive but examples of offences that will normally be deemed as gross misconduct include instances of:

- (i) theft, fraud or other dishonesty, including the falsification of records;
- (ii) physical violence or bullying;
- (iii) deliberate acts of unlawful discrimination or harassment;
- (iv) deliberate and serious damage to property;
- (v) serious insubordination;
- (vi) misuse of the College’s property or name including serious breach of the College’s communications or equality policy, not limited to sending or deliberately accessing material that is malicious, untrue, obscene, or defamatory;
- (vii) bringing the College into serious disrepute;
- (viii) serious incapability whilst on duty brought on by alcohol or illegal drugs;
- (ix) possession, or being under the influence, of drugs at work;
- (x) Note: For this purpose, the term ‘drugs’ is used to describe both illegal drugs and other psychoactive (mind-altering) substances which may or may not be illegal.
- (xi) breach of health and safety rules that endangers the lives of, or may cause serious injury to, employees or any other person.

(The above examples are illustrative and do not form an exhaustive list.)

- (xii) serious breach of confidence (subject to an employee’s right to “whistleblow” under the Public Interest (Disclosure) Act 1998.

## 6. DISCIPLINARY PROCEDURE

Disciplinary action taken against you will be based on the following procedure:

OFFENCE	INFORMAL PROCEDURE		FORMAL PROCEDURE			
	MINOR ISSUES ONLY		FIRST OCCASION	SECOND OCCASION	THIRD OCCASION	FOURTH OCCASION
Unsatisfactory Conduct or Performance	Informal oral warning (conduct) or performance improvement note issued	or	Formal oral warning	Written Warning	Final written warning	Dismissal

Misconduct	Written Warning	Final written Warning	Dismissal
Serious misconduct	Final written warning	Dismissal	
Gross misconduct	Dismissal		

## 7. THE INFORMAL PROCEDURE

### (i) Unsatisfactory conduct

If an employee's conduct is unsatisfactory, the employee will be given an informal ORAL WARNING, a note of which will be kept on the employee's personnel file. The employee will be advised as to the reason for the oral warning and the change in behaviour that is required.

### (ii) Performance issues

If an employee's performance does not meet acceptable standards, the employee will be given an informal IMPROVEMENT NOTE. The improvement note will set out details of the performance problems, the improvement that is required, the timescale in which the improvement must be made and any help that may be given. A copy of the improvement note will be kept on the employee's personnel file for a period of 6 months after which it will be disregarded, subject to achieving and sustaining satisfactory performance.

## 8. THE FORMAL PROCEDURE

### (i) Stage 1 - Written Warning

If the disciplinary offence or poor performance is serious, if there is no improvement made, or if further offences occur, a WRITTEN WARNING will be given which will detail the reasons for it, the improvement or change in behaviour or performance that is required, the timescale for the improvement and a note that, if there is no sustained improvement or change by the specified time, a FINAL WRITTEN WARNING may be given. The written warning will be kept on the employee's personnel file for a period of 6 years from the outcome of the investigation or disciplinary decision but, subject to satisfactory service, it will be disregarded after 12 months.

### (ii) Stage 2 – Final Written Warning

If the employee's conduct or performance is still unsatisfactory or where the offence or poor performance is sufficiently serious, a FINAL WRITTEN WARNING will be given making it clear that any recurrence of the offence or other serious misconduct or failure to improve within a further specified period of time may result in dismissal or some action short of dismissal. The final written warning will be kept on the employee's personnel file for a period of 6 years from the outcome of the investigation or disciplinary decision but, subject to satisfactory service, it will be disregarded after

12 months.

(iii) Stage 3 - Dismissal

If there is no satisfactory improvement in performance or if further serious misconduct occurs, the employee may be DISMISSED. As an alternative to dismissal, the employee might be asked to consent to a disciplinary transfer, demotion or loss of seniority/increment. Any decision to dismiss will be taken by the Warden, Sub-Warden, or the Domestic Bursar.

(iv) Gross Misconduct

If, after an investigation and a disciplinary meeting, it is confirmed that an employee has committed gross misconduct or the College has reasonable grounds for believing that such an offence has been committed, the normal consequence will be dismissal without notice or pay in lieu of notice. Only the Domestic Bursar, or in her absence, the Estates Bursar or Sub-Warden may dismiss a member of staff for gross misconduct.

## 9. DISCIPLINARY AUTHORITY

The operation of the disciplinary procedure contained in the previous section, is based on the following authority for the various levels of disciplinary action. However, the list does not prevent a higher or lower level of seniority, in the event of the appropriate level not being available, or suitable, progressing any action at whatever stage of the disciplinary process.

ALL EMPLOYEES	
<b>Formal verbal warning</b>	Manciple or other Manager
<b>Written warning</b>	Manciple or other Manager
<b>Final written warning</b>	Domestic Bursar or Manciple
<b>Dismissal</b>	Domestic Bursar (or Warden or Sub-Warden)

## 10. CAPABILITY/DISCIPLINARY APPEALS PROCEDURE

- (i) You have the right to lodge an appeal in respect of any capability/disciplinary action taken against you. You may wish to appeal because, for example, you think a finding or the penalty is too severe, inappropriate or unfair, new evidence comes to light or you think the disciplinary procedure was not used correctly.
- (ii) An employee who wishes to appeal against any capability or disciplinary decision may do so by informing the Domestic Bursar within 5 working days of receiving notification of the decision, in writing and setting out the reasons for the appeal.
- (iii) The appeal procedure will normally be conducted by a member of staff not previously connected with the process so that an independent decision into the severity and appropriateness of the action taken can be made. There will then be an appeal meeting. You may be accompanied at any stage of the appeal hearing by a fellow employee of your choice. Where practicable, the person conducting the appeal

meeting will be more senior than the person who imposed the disciplinary or capability sanction being appealed against and, in the case of an appeal against dismissal, will normally be considered by an Appeal Committee. After the appeal meeting, the person conducting the meeting will write to the employee with his/her or the Committee's decision. That decision will be final.

## GRIEVANCE PROCEDURE

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### 1. THE PROCEDURE

It is important that if you feel dissatisfied with any matter relating to your employment you should have an effective means by which such a grievance can be aired and, where appropriate, resolved.

Nothing in this procedure is intended to prevent you from informally raising any matter you may wish to mention. Informal discussion can frequently solve problems without the need for a written record. However, if you wish to raise a formal grievance you should normally do so in writing from the outset.

You have the right to be accompanied at any stage of the procedure by a fellow employee or duly certified trade union official who may act as a witness or speak on your behalf to explain the situation more clearly.

Personal harassment is dealt with under a separate procedure set out in the Annex to this Handbook. Issues that are appropriate to be dealt with under this Grievance Procedure might include terms and conditions of employment, health and safety, relationships at work, new working practices, working environment, organisational change, discrimination, or bullying.

If an employee has any questions or grievances relating to his/her employment, they should be raised in accordance with the procedure set out below.

#### 1. INFORMAL PROCEDURE

In the first instance you should discuss the issue informally with your immediate line manager or, where this is inappropriate, the Manciple or the Domestic Bursar. (In the event that the grievance involves the Manciple or Domestic Bursar, the Warden or Sub-Warden (or, in the case of harassment, a Harassment Adviser) should be consulted. In appropriate cases, the College and the employee may agree to use the services of an independent, impartial workplace mediator (a member of staff, Fellow, or external adviser as the case may be) in an attempt to resolve matters swiftly and amicably.

#### 2. FORMAL PROCEDURE

##### (i) Stage 1 –Grievance Meeting

Where the grievance cannot be resolved informally, it should be referred in writing to a suitable senior manager such as the Manciple or the Domestic Bursar. The designated person will arrange a meeting, normally within 5 working days. That person will carry out or arrange any further investigation that may be necessary and decide the case based on all the evidence as impartially as possible. S/he will then confirm the decision of the grievance in writing, normally within 24 hours but, depending on the extent of further investigations that may be required, at the latest within 10 working days of the meeting.

##### (ii) Stage 2 – Appeal Meeting

If the grievance is not resolved or if the employee considers that s/he has not been fairly treated, the matter should be referred in writing to the Domestic Bursar within 5

working days of the grievance meeting decision. The Domestic Bursar will either arrange a meeting, usually within 5 working days, and decide the case based on all the evidence as impartially as possible or, if responsible for the decision at Stage 1 of the process or if the Domestic Bursar considers that significant issues are raised, s/he will notify members of the Domestic Committee of the appeal in order that it can decide whether or not an Appeals Committee should be set up to hear and consider the appeal. Under either arrangement, the employee making the appeal will receive confirmation of the Domestic Bursar or Appeal Committee's decision in writing, normally within 24 hours but, depending on the extent of further investigations that may be required, up to 10 working days following the appeal meeting. That decision will be final.



## **COLLEGE POLICIES**



# All Souls College Policy and Procedure on Harassment

[Approved by General Purposes Committee/SGM on 5 March 2016].

## 1. Introduction

- 1.1. All Souls College does not tolerate any form of harassment or victimisation and expects all members of the College community, its visitors and contractors to treat each other with respect, courtesy and consideration.
- 1.2. The College is committed to fostering an inclusive culture which promotes equality, values diversity and maintains a working, learning and social environment in which the rights and dignity of all members of the College community are respected.
- 1.3. The aims of the College as reflected in this Policy are to:
  - a) Promote a positive environment in which people are treated fairly and with respect;
  - b) Make it clear that harassment is unacceptable and that all members of the College have a role to play in creating an environment free from harassment;
  - c) Provide a framework of support for staff and students who feel they have been subject to harassment; and
  - d) Provide a mechanism by which complaints can wherever possible be addressed in a timely way.
- 1.4. Those in positions of authority within the College, such as the Domestic Bursar and Manciple have formal responsibilities under this Policy and are expected to familiarise themselves with the Policy and Procedures on appointment. All Fellows and senior members of the College have a duty to implement this Policy and to make every effort to ensure that harassment and victimisation do not occur in the areas for which they are responsible and that, if they do occur, any concerns are investigated promptly and effectively.
- 1.5. All members of the College community and visitors have the right to expect professional behaviour from others, and a corresponding responsibility to behave professionally towards others. All members of the College community have a personal responsibility for complying with this Policy and Procedure and must comply with and demonstrate active commitment to this Policy by:
  - (a) Treating others with dignity and respect;
  - (b) Discouraging any form of harassment by making it clear that such behaviour is unacceptable; and
  - (c) Supporting any member of the College who feels they have been subject to harassment, including supporting them to make a formal complaint if appropriate.
- 1.6. This Policy and Procedures are designed to deal with harassment which occurs primarily within the environment of All Souls College. Incidents of harassment that occur outside the All Souls College environment and/or solely within the University environment will

normally be dealt with under the appropriate other college or University procedure.<sup>1</sup> If there is doubt as to whether the All Souls College or University procedure applies, you are advised to seek advice from the relevant college officers described in this Procedure, the nominated Fellows' informal advisers<sup>2</sup>, members of the College's Harassment Advisory Panel, the University's Director of Student Welfare and Support Services or the University's Harassment Line.

- 1.7. This Policy and Procedures should be read alongside other All Souls College policies and procedures, including College disciplinary procedures as set out in the Statutes and By-Laws and the Employee Handbook. These can be found on the College intranet or through <https://www.asc.ox.ac.uk/sites/stage.all-souls.ox.ac.uk/files/FOIPublicationScheme>.
- 1.8. Any member of the College community or visitor who feels they have been subject to harassment can also contact the University Harassment Advisory Service, or their local/own College Harassment Adviser, for support. The Service is also available to those against whom an allegation of harassment has been made. Other sources of help and advice can be found at: [www.admin.ox.ac.uk/eop/harassmentadvice.shtml](http://www.admin.ox.ac.uk/eop/harassmentadvice.shtml).

## 2. Definitions

- 2.1. A person subjects another to **harassment** where they engages in unwanted and unwarranted conduct which has the purpose or effect of:
  - violating another person's dignity, or
  - creating an intimidating, hostile, degrading, humiliating or offensive environment for another person.<sup>3</sup>The recipient does not need to have explicitly stated that the behaviour was unwanted.
- 2.2. Freedom of speech and academic freedom<sup>4</sup> are protected by law and in the College Freedom of Speech Policy [and code on external speakers] although these rights must be exercised within the law. Vigorous academic debate will not amount to harassment when it is conducted respectfully and without violating the dignity of others or creating an intimidating, hostile, degrading, humiliating or offensive environment for them.
- 2.3. Bullying is a form of harassment and may be characterised as offensive, intimidating, malicious or insulting behaviour, or misuse of power through means intended to undermine, humiliate, denigrate or injure the recipient.

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<sup>1</sup> [www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/](http://www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/)

<sup>2</sup> See Intranet for details

<sup>3</sup> Statute XI: University Discipline ([www.admin.ox.ac.uk/statutes/352-051a.shtml#Toc28142342](http://www.admin.ox.ac.uk/statutes/352-051a.shtml#Toc28142342))

<sup>4</sup> Links to revised code of conduct on external speakers to be added following review of policies to meet PREVENT requirements.

- 2.4. The College seeks to protect any member of the College community from victimisation, which is a form of misconduct which may itself result in a disciplinary process. The College will regard as victimisation any instance where a person is subjected to detrimental treatment because they have, in good faith:
- made an allegation of harassment; or
  - indicated an intention to make such an allegation; or
  - assisted or supported another person in bringing forward such an allegation; or
  - participated in an investigation of a complaint; or
  - participated in any disciplinary hearing arising from an investigation; or
  - taken any other steps in connection with this Policy and Procedure; or
  - is suspected of having done so.

### **3. Behaviours**

- 3.1 Harassment may involve repeated forms of unwanted and unwarranted behaviour, but a one-off incident can also amount to harassment.
- 3.2 The intentions of the alleged harasser are not always determinative of whether harassment has taken place. The perception of the complainant and the extent to which that perception is in all the circumstances reasonable will also be relevant.
- 3.3 Being under the influence of alcohol, drugs or otherwise intoxicated is not an excuse for harassment.
- 3.4 Harassment can take a variety of forms:
- 3.4.1 Through individual behaviour,
- face to face, either verbally or physically;
  - through other forms of communication, including but not limited to, written communications and communications via any form of electronic media or mobile communications device: such behaviour may also amount to a breach of the All Souls College IT policy as set out in the Employee Handbook;
  - directly to the person concerned, or to a third party;
- 3.4.2 Through a prevailing workplace or study environment which creates a culture which tolerates harassment or bullying, for example the telling of homophobic or racist jokes.
- 3.5 Examples of behaviour which may amount to harassment under this Policy include (but are not limited to) the following:
- 3.5.1 unwanted physical contact, ranging from an invasion of space to an assault, including all forms of sexual harassment, including:
- inappropriate body language;
  - sexually explicit remarks or innuendoes;
  - unwanted sexual advances and touching;

- 3.5.2 rumours, open hostility, verbal or physical threats: these include all forms of harassment and abuse on the grounds of sex, age, disability, religion, race or sexual orientation;
  - 3.5.3 insulting, abusive, embarrassing or patronising behaviour or comments;
  - 3.5.4 humiliating, intimidating, and/or demeaning criticism;
  - 3.5.5 persistently shouting at, insulting, threatening, disparaging or intimidating an individual;
  - 3.5.6 constantly criticising an individual without providing constructive support to address any performance concerns;
  - 3.5.7 persistently overloading an individual with work that they cannot reasonably be expected to complete;
  - 3.5.8 posting offensive comments on electronic media, including using mobile communication devices;
  - 3.5.9 threatening to disclose, or disclosing, a person's sexuality or disability to others without their permission;
  - 3.5.10 deliberately using the wrong name or pronoun in relation to a transgender person, or persistently referring to their gender identity history;
  - 3.5.11 isolation from normal work or study place, conversations, or social events;
  - 3.5.12 publishing, circulating or displaying pornographic, racist, homophobic, sexually suggestive or otherwise offensive pictures or other materials.
- 3.6 **Stalking** may also be a form of harassment and may be characterised by any of the following repeated and unwanted behaviours:
- 3.6.1 following a person;
  - 3.6.2 contacting, or attempting to contact, a person by any means;
  - 3.6.3 publishing any statement or other material –
    - relating or purporting to relate to a person, or
    - purporting to originate from a person;
  - 3.6.4 monitoring the use by a person of the internet, email or any other form of electronic communication;
  - 3.6.5 loitering in any place (whether public or private);
  - 3.6.6 interfering with any property in the possession of a person;
  - 3.6.7 watching or spying on a person including through the use of CCTV or electronic surveillance.

#### 4. Application of the Policy

- 4.1 Harassment is a serious offence. Any member of the College community who feels they have been subject to harassment can make a complaint via the appropriate Procedure: see Annexe A for the Procedure in relation to complaints about Fellows and staff. Complaints from or about students from other colleges, should normally be dealt with through their own college.

- 4.2 When a criminal offence may have been committed, the relevant harassment Procedure may not be appropriate. These cases will include, but not be limited to, serious assault or threat of serious assault. Fellows and staff members can seek advice from the College Harassment Advisors or Domestic Bursar and/or approach the Police directly. Further guidance on dealing with cases of sexual assault or sexual violence is available from the University at [Guidance for staff on handling cases of sexual assault or sexual violence](#).
- 4.3 Incidents of harassment that occur outside of the college environment and within the University environment will normally be dealt with under the appropriate University procedure. These procedures can be found at: [www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/](http://www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/).
- 4.4 If a complainant is deemed to have known or to have reasonably been expected to know that a complaint was unfounded, the allegation of harassment may be judged to be vexatious or malicious, and disciplinary action may be taken against them. No action will be taken if a complaint which proves to be unfounded is judged to have been made in good faith.
- 4.5 All parties involved in a complaint (including any witnesses who may be interviewed as part of any investigation, or trade union representatives supporting any of the parties) should maintain the confidentiality of the process. Those involved in advising complainants should, where possible, seek the consent of the individual for the onward disclosure of relevant information to those with a clear need to know. Where such consent is not forthcoming, the person entrusted with the information should make it clear that, in exceptional circumstances, it may be necessary to disclose the information, taking account of the duty of care which may be owed to the individual and/or others.
- 4.4 This Policy and Procedure may be found at <https://www.asc.ox.ac.uk/college-policies>, on the Intranet or are available in hard copy from the Bursary. Copies in alternative formats are available on request.
- 4.5 This Policy and Procedure will be subject to regular review by the General Purposes Committee at not less than five year intervals, the next review taking place in or before 2021.

## **Annex A:**

### **Procedure for making and handling complaints of harassment at All Souls or involving members of the College community**

1. The Procedure below applies in all cases where the person who is the subject of the complaint is a Fellow, member of College staff, or has an association with the College, short of an employment contract. The Domestic Bursar will have oversight of all cases, and will take the lead as appropriate in liaising with other parts of the collegiate University.
2. Where the complainant is a student<sup>5</sup> or other visitor to the College, the complainant should either approach the All Souls Domestic Bursar directly or via the nominated lead for harassment complaints in their own college, or where relevant, the University's Director of Student Welfare and Support Services.
3. This complaints Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. These cases may include, but are not limited to, cases of serious assault or threat of serious assault. In the first instance such allegations will normally be a matter for police investigation and action. This complaints Procedure therefore focuses on complaints of harassment which can be dealt with within the College environment. However, it also includes the procedure for informing and receiving support from the College in cases where there is police involvement.

#### **Informal approach (optional)**

4. Any Fellow, member of staff or other member of the College community who wishes to pursue an informal approach, e.g. to obtain assistance in drawing the problem to the subject of the complaint may either approach the Domestic Bursar, Manciple, or a College Harassment Adviser<sup>6</sup> for help in achieving an informal resolution of the problem, which may include the use of mediation or conciliation as set out below. At no time should a student, Fellow or other staff member feel obliged to approach an alleged harasser themselves unless they wish to do so. The Complaints Procedure below assumes that the individual has not been able first to resolve the issue through an informal approach.

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<sup>5</sup> All Souls comprises Fellows only, not students but these procedures may also be followed where necessary by students attending lectures, seminars or tutorials in the College.

<sup>6</sup> See Appendix 1 for a description of the role of the Harassment Adviser and the support and assistance they can provide.



## **Mediation or conciliation**

5. In some situations, it may be appropriate to ask the parties to consider entering into a mediation or conciliation process. Although mediation or conciliation may be attempted at any time before or after a formal investigation, it may be particularly helpful if it is considered at an early stage before the formal procedure is invoked.
6. In the case of a complaint involving two Fellows or other members of staff, an experienced mediator or conciliator acceptable to both parties will normally be nominated by the Domestic Bursar or Manciple, who may seek advice from the University's Director of Human Resources if appropriate, for example, in the case of a University appointment. In the case of a complaint involving a Fellow or other member of staff and a student, the Domestic Bursar will consult a College Harassment Adviser, who may seek advice from the Director of Student Welfare and Support Services as appropriate. The mediator or conciliator will meet with the parties separately and as soon as practicable to begin to seek a resolution. The normal expectation is that resolution would be achieved within 20 working days of the initial meetings with the parties (although this time limit may be extended by agreement). Any agreed outcome will normally be recorded in writing.
7. All those involved in the mediation or conciliation process must maintain appropriate confidentiality.

## **Complaints procedure**

8. If informal action does not succeed in resolving the situation, or would not be appropriate given the nature of the complaint, the complainant should make a written complaint. If the complainant is a member of staff, the complaint should be submitted to the Domestic Bursar or Manciple. If the complainant is a student from another college, the complaint should be submitted to the Domestic Bursar. A student complainant may also seek support as relevant from their own college (who should contact the All Souls Domestic Bursar) or the University Director of Student Welfare and Support Services. In cases where it is not immediately clear to whom a complaint should be addressed, or if the complainant feels it is not appropriate to approach the Domestic Bursar, or wishes to make a complaint against the Domestic Bursar, advice may be sought from one of the College Harassment Advisers who will provide support throughout the complaints process. If the student or staff member does not feel comfortable contacting a College Harassment Adviser, they can contact the University Harassment Line for details of another adviser (Tel. 01865 270760 or e-mail [harassment.line@admin.ox.ac.uk](mailto:harassment.line@admin.ox.ac.uk)).

## **Submission of the complaint**

9. In the submission to the Domestic Bursar, Manciple, or a College Harassment Adviser the complainant should set out as clearly and succinctly as possible:
  - 9.1 the nature of the behaviour that they are concerned about;
  - 9.2 the effect of this behaviour on them; and

9.3 the resolution they are seeking.

The complaint should include dates and details of any witnesses to any incidents referred to in the complaint, together with any documentary evidence. The complainant should also explain what attempts, if any, have been made to resolve the difficulties and the outcome they are seeking.

10. Every effort will be made to achieve a prompt resolution to the complaint - the aim being to conclude the investigation (see paragraph 20 below) within a period of no more than six weeks. Both the complainant and the person who is the subject of the complaint will be expected to cooperate with the College in achieving that result. In exceptional cases, an investigation may take longer than six weeks, and both parties will be kept updated about the progress of the investigation.
11. Both parties to the complaint have the right to be accompanied and supported if applicable: by a trade union representative or by a colleague of their choice from within the College at any meeting held under this procedure. If the complaint involves a student they may be accompanied by another student member of their college or a member of their college's welfare team, a senior member of the College, or a member of staff from OUSU's Student Advice Service. These people must maintain appropriate confidentiality.
12. There may be circumstances in which an aggrieved party is not willing, or able, to make a formal complaint but the Domestic Bursar or College Harassment Advisers consider that the implications for the aggrieved person or others actually or potentially affected are serious. This may include cases where other parties, but not the aggrieved party, have made a complaint. In this case, the Warden or other senior member may initiate an investigation and make a decision on further action on the basis of such evidence as is available.

#### **Action by the Domestic Bursar on receipt of a complaint**

13. On receipt of a complaint, the Domestic Bursar or Manciple will, in consultation with an appropriate All Souls College Harassment Adviser in the event of a student or Fellow complainant, take such steps as they think necessary or appropriate to understand the nature of the complaint and the outcome sought which may include:
  - 13.1 informing the person against whom a complaint has been made of the allegations against him or her;
  - 13.2 meeting separately with the complainant and the alleged harasser (at which meetings they should be provided with the right to be accompanied);
  - 13.3 speaking to other relevant people on a confidential basis; and/or
  - 13.4 obtaining further relevant information.
14. The Domestic Bursar or Manciple will then decide how to proceed and will inform the parties in writing. They may make such enquiries as are necessary to determine the complaint, or may appoint a suitable alternative person to conduct the investigation where this is necessary to

maintain appropriate separation of duties or circumstances preclude them from concluding the matter in a timely fashion.

15. The Domestic Bursar may also determine that immediate interim action is necessary pending the outcome of a formal process.

### **Investigation**

16. The purpose of an investigation is to establish the relevant factual evidence in connection with the allegation(s) made by the complainant.
17. As a general rule, the Investigator should not have had previous involvement with the issues in the case. The investigation should be concluded as soon as is reasonably practicable. The Investigator will prepare a report and may, if specifically requested to do so by the Domestic Bursar, make recommendations on possible courses of action.
18. The Domestic Bursar will inform the complainant and the person who is the subject of the complaint in writing (i) of the conclusions they have reached having reviewed the evidence, including any investigation report; (ii) of the action the Domestic Bursar intends to take; and (iii) of the reasons for any such action.
19. The Domestic Bursar will also inform any other parties who have been asked to participate in an investigation that the investigation has been concluded.

### **Investigation procedure**

20. The procedure for an investigation will normally be as follows, but may be adapted by the Investigator to meet the needs of the case:-
  - 20.1 The Investigator will meet the complainant to confirm the details of the complaint.
  - 20.2 The complaint as clarified will be forwarded to the person complained against together with any other relevant material that the Investigator has.
  - 20.3 The Investigator will interview, where reasonably practicable, individuals identified by the complainant as having relevant evidence.
  - 20.4 The Investigator will meet the person complained against to hear their response to the complaint and any further evidence that has come to light.
  - 20.5 The Investigator will interview, where reasonably practicable, individuals identified by the person complained against as having relevant evidence.
  - 20.6 Having considered all the evidence, including any relevant documents, the Investigator will prepare a written report of their findings, in relation to which they may check relevant sections in draft with the parties before finalising.
  - 20.7 The report will be forwarded to the Domestic Bursar, usually with a copy to the Warden or other relevant college officer(s). In cases involving students, consent should be sought from the complainant to inform their department or own college if appropriate. The Student

Welfare Lead in the student's own college will be asked to ensure that appropriate support is available to students following an investigation.

**Possible outcomes of a complaint** [*this paragraph is still subject to final University legal advice*]

21. Depending on the nature of the complaint and the evidence found, including the findings of any investigation report, the Domestic Bursar, in consultation with the Warden or other College officers and Manciple where appropriate and, in the event of a student complainant, the Student Welfare Lead in the student's own college, will either:
  - 21.1 Take no further action, other than, where appropriate, implementing or suggesting steps that would help to restore reasonable professional relationships between the parties. This approach will usually be appropriate where the claim(s) of harassment are considered to be unfounded and where there is a continuing relationship between the parties.  
or
  - 21.2 Initiate resolution of the issues (e.g. by requiring that certain individuals undergo specific training, or implementing practical arrangements to improve professional relationships). If a successful resolution is achieved the case will be closed, but the situation will be monitored for an appropriate period. This approach will usually be appropriate where the evidence does not support a claim of harassment but it is clear that either party has demonstrated behaviours that are likely to lead to further issues between them if unresolved or, alternatively, that there are structural issues within the College that require management attention.  
or
  - 21.3 Institute disciplinary proceedings where the Domestic Bursar is reasonably satisfied that there is evidence to support allegations of harassment of a sufficiently serious nature that should be further examined through the disciplinary process. In this event, the Domestic Bursar will determine what intermediate measures are necessary, including any re-allocation of duties, in consultation as appropriate with the Manciple, or relevant department.  
or
  - 21.4 In rare cases disciplinary action may be instituted against the complainant if the Domestic Bursar is satisfied that the complaint of harassment is unfounded and not made in good faith.

**Appeal from the Domestic Bursar's decision**

22. If either party does not accept the outcome of the complaint (including any judgement that the complaint was vexatious), they may invoke the relevant grievance or complaint procedure within the time scales specified. For staff see the Employee Handbook and for Fellows see procedures set out in By-Law XXXVI. If the complainant is a student, a Completion of Procedures letter<sup>7</sup> should be issued.

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<sup>7</sup> [update](#)

23. If a student complainant is not satisfied with the outcome following the investigation of the formal written complaint, they should write to the Warden of All Souls College, after which they may be able to apply to the Office of the Independent Adjudicator for Higher Education (OIA) for a review of the case. They must do so within three months of the date of the Completion of Procedures letter.

### **Potentially criminal conduct**

24. This Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. This would include, but not be limited to, cases of serious assault or threat of assault.

### **Confidentiality**

25. Information concerning allegations of harassment must so far as reasonably possible be held in confidence by those to whom it is divulged. Unnecessary disclosure of such allegations may attract disciplinary sanction. Information will be shared on a need-to-know basis, including as appropriate with the individual against whom a complaint is brought. Once a formal complaint is pursued, it is likely to be appropriate and/or necessary for certain information to be provided to others within the College, the University, or to external bodies.
26. Those to whom disclosure may be made outside the University include the police, the Office of the Independent Adjudicator (“OIA”) and the civil and criminal courts. The College will not normally report a matter to the police without the complainant’s agreement, except in those rare circumstances where there is sufficient evidence to suggest that an individual poses an extreme risk.

### **Records**

27. The College and all those involved in this process must comply with the principles of the Data Protection Act 1998 and the College’s [Data Protection Policy](#). These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.
28. Those interviewed in the course of any investigation will be asked to review the notes of their individual discussions with the Investigator as soon as is reasonably possible in order to comment on any inaccuracies or omissions.
29. The Domestic Bursar should be consulted about filing and retaining any notes and documents, all of which must be held in confidence.

# Appendix 1

## Role of the All Souls College Harassment Advisers/Harassment Advisory Panel

### **What can the Harassment Adviser(s) do:**

- Listen to Fellows, staff and students who believe they are being harassed, to clarify the options open to them and to assist them in resolving the matter informally where possible and provide similar support to those accused of harassment.
- Where requested, support individuals throughout the resolution of their concerns. This may include discussing with the individual what s/he may wish to say or write to the person whom s/he considers has harassed or bullied her/him or to a senior member of staff. This list is not exhaustive, but includes empowering and supporting the individual.
- Deal with all cases with the utmost confidentiality except in cases where there is an unacceptable risk to a member of staff, student or to the institution.

### **What the Harassment Adviser(s) cannot do:**

- Make statements to the effect that particular behaviour definitely constitutes harassment that will lead to disciplinary action or to the effect that a particular behaviour is NOT harassment.
- Approach the alleged harasser in an attempt to mediate or resolve the matter for you.
- Act as your representative or advocate; or
- be involved in any formal stage of the process, be it in writing the formal complaint, the investigation, disciplinary or grievance procedures, except by way of giving you the support you need during this time.

# Actors

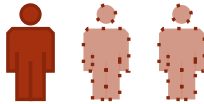
## Notes/Variations

[Potential] Complainant



Student | Fellow/Staff | Visitor

Alleged Harasser



Student | Fellow/Staff | Visitor

Informal Harassment Advisers



Similar to Welfare Advisers

Fellows

Harassment Advisory Panel (HAP) Members



Similar to Harassment Advisers

One Fellow, one member of staff

Fellow Staff

Human Resources Lead



Usually the Domestic Bursar (DB)

Mediator/conciliator



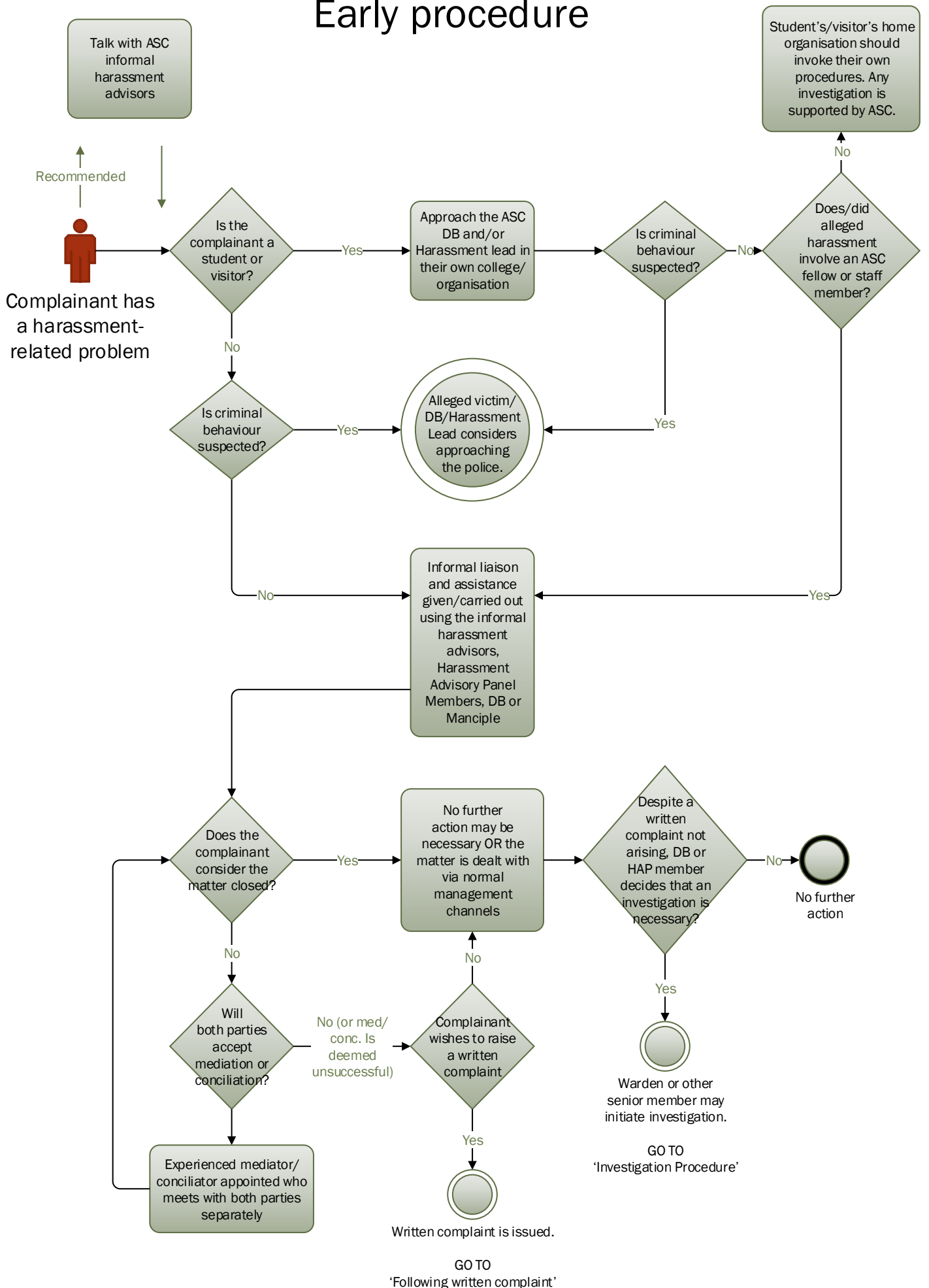
If 2 Fellows/staff in conflict M/C is selected by DB or Manciple, possibly under advice from the University's Director of HR.  
If Fellow/staff and student (or visitor) in conflict M/C is selected after DB consulted with HAP members, who may approach Director of Student Welfare, as appropriate.

Investigator



Appointed (if needed) by the HR Lead

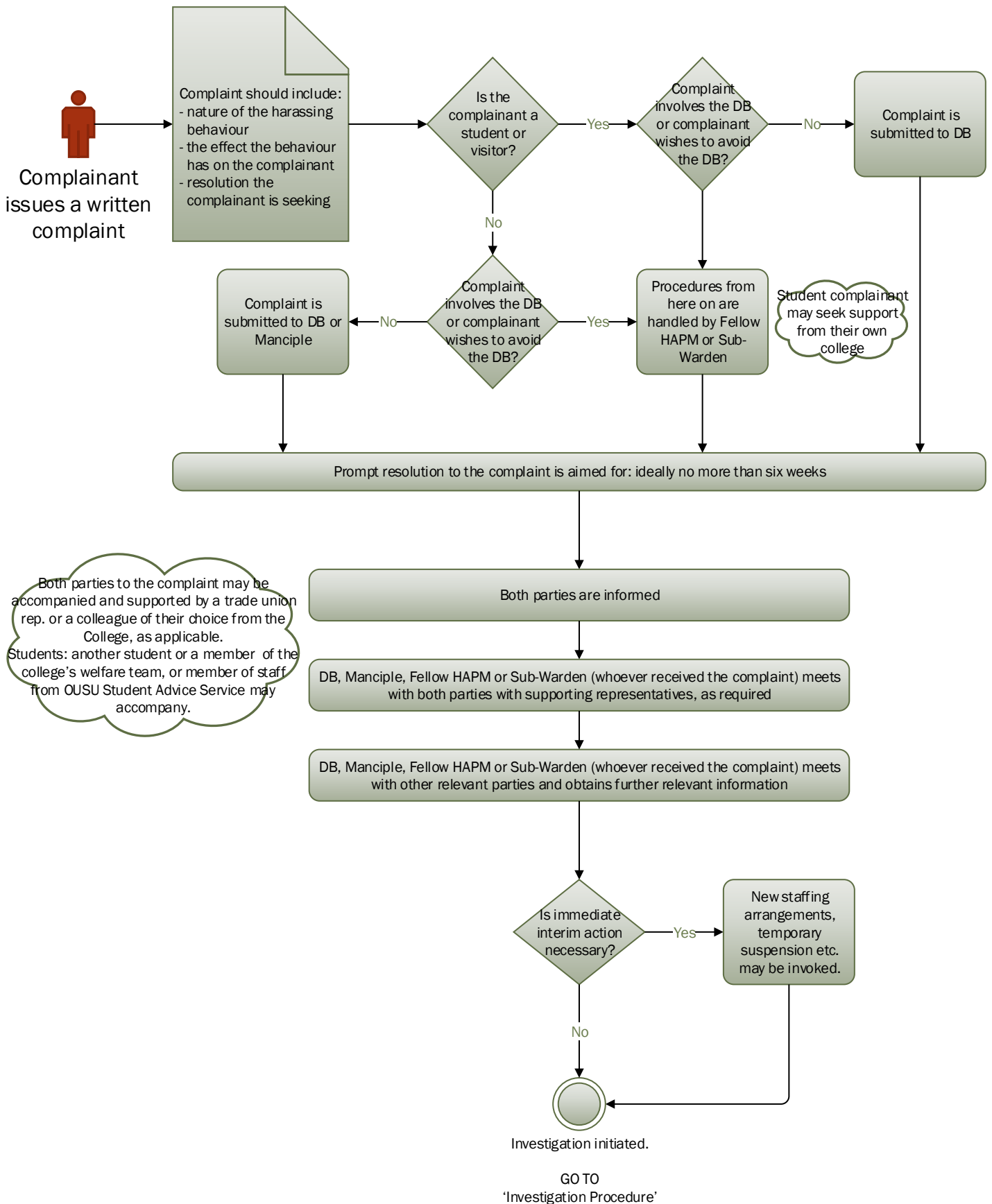
# Early procedure



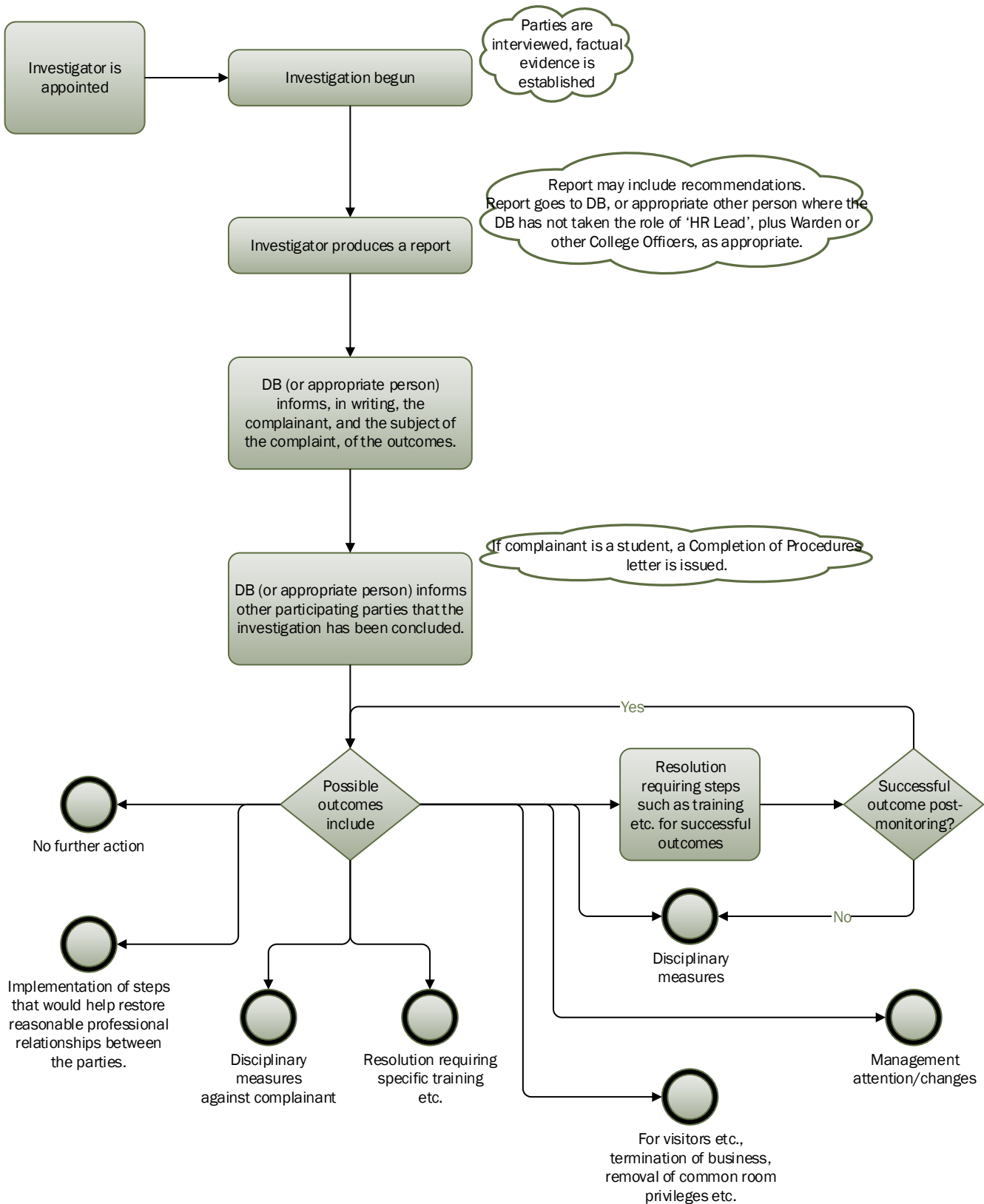


# Following written complaint

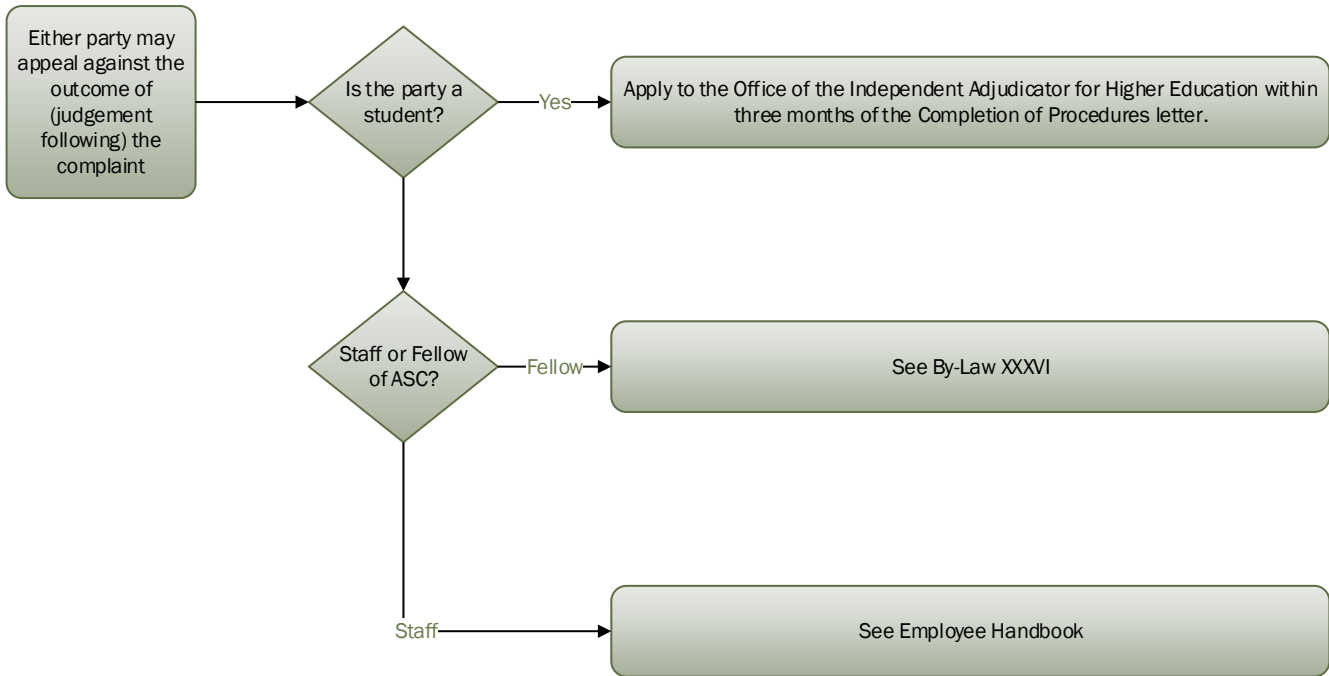
(after informal procedures are exhausted or bypassed)



# Investigation procedure



# Appeals procedure





# EQUAL OPPORTUNITIES POLICY

## 1. STATEMENT OF POLICY

- (i) The College is committed to the promotion of equality of opportunity in all aspects of its activity and seeks through its conduct and policies to advance equality of opportunity and foster good relations between people who share a legally protected characteristic (age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation) and those who do not. It is also determined to prevent harassment, victimisation, unlawful discrimination, and victimisation and other conduct prohibited by the Equality Act 2010.
- (ii) The College's seeks to meet the law's requirements to fulfil its general and specific equality duties through the adoption of appropriate policies and procedures and the setting and pursuit of appropriate specific objectives to promote and advance equality, both in relation to access to the College facilities and its election or employment of Fellows and staff. It also has a wider and deeper commitment: to be an institution in which knowledge and learning are pursued in a spirit of collaboration and full mutual respect in a humane and fair environment and there is genuine equality of opportunity in relation to its employed staff.
- (iii) The College actively seeks to remove or minimise disadvantages suffered by people due to their protected characteristics and, where appropriate, to encourage their candidature for Fellowships and staff appointments, meet any special needs they may have, and ensure there is no intentional or unintentional bias in the evaluation of applications. However, in decisions on election to its Fellowship, it has regard only to scholarly ability and to any other criteria its Statutes declare to be relevant to the particular category of Fellowship. In considering applications for staff appointments, the College has regard solely to the individual merits of applicants.
- (iv) The College is committed to promoting awareness and understanding through appropriate training and communication of equality issues amongst the Fellowship and the staff. Its terms of employment also forbid all forms of harassment and victimisation and make specific provision for receiving complaints and for following them up either by conciliation and other informal means or, where appropriate, by disciplinary proceedings.
- (v) The duties of the Domestic Bursar and Academic Administrator, in conjunction with the Diversity Fellow and Academic Secretary, include supporting the College and relevant committees:
  - a) to assess the impact of all the College's policies and procedures on Fellows and staff and, where applicable, other members of the University or public visiting the College;
  - b) to lead on the development of the College's equality policy and objectives and to review critically all College policies and procedures in respect of them and take steps wherever practicable to widen participation and encourage applications to all

categories of Fellowship from candidates of under-represented and less advantaged groups, including but not limited to those with protected characteristics;

- c) to monitor (by reference to certain relevant protected characteristic - race and gender) in so far as it is practicable without compromising the individual's right to privacy in a small organisation, the election of Fellows, the appointment of Visiting Fellows, and the recruitment and career progress of staff; and
- d) to report annually on these matters to the General Purposes Committee, which in so far as is compatible with the College's data protection obligations, will report on these matters to the Governing Body.

This Equality Policy is published on the College's website and intranet. A copy is also available from the Bursary and incorporated in the Employee Handbook. Publishable equality data on the College's website will be updated annually.

[Adopted by College Stated General Meeting 7/12/2013]

## **2. RECRUITMENT AND SELECTION**

- (i) The recruitment and selection process is crucially important to any Equal Opportunities Policy. We will endeavour through appropriate training to ensure that Fellows and employees making selection and recruitment decisions will not discriminate, whether consciously or unconsciously, in making these decisions.
- (ii) Promotion and advancement will be made on merit and all decisions relating to this will be made within the overall framework and principles of this Policy.
- (iii) Job descriptions, where used, will be revised to ensure that they are in line with our Equal Opportunities Policy. Job requirements will be reflected accurately in any personnel specifications.
- (iv) We will adopt a consistent, non-discriminatory approach to the advertising of vacancies.
- (v) We will not confine our recruitment to areas or media sources which provide only, or mainly, applicants of a particular group.
- (vi) All applicants who apply for jobs with us will receive fair treatment and will be considered solely on their ability to do the job.
- (vii) All employees involved in the recruitment process will periodically review their selection criteria to ensure that they are related to the job requirements and do not unlawfully discriminate.
- (viii) Short-listing and interviewing will be carried out by more than one person where possible.
- (ix) Interview questions will be related to the requirements of the job and will not be of a discriminatory nature.

- (x) We will not disqualify any applicant because he or she is unable to complete an application form unassisted unless personal completion of the form is a valid test of the standard of English required for the safe and effective performance of the job.
- (xi) Selection decisions will not be influenced by any perceived prejudices of other staff.

### **3. TRAINING AND PROMOTION**

- (i) Senior staff will receive training in the application of this Policy to ensure that they are aware of its contents and provisions.
- (ii) All promotion will be in line with this Policy.

### **4. MONITORING**

- (i) We will maintain and review the employment records of all employees in order to monitor the progress of this Policy.
- (ii) Monitoring may involve:-
  - a) the collection and classification of information regarding the race (in terms of ethnic or national origin) and sex of all applicants and current employees;
  - b) the examination by ethnic or national origin and sex of the distribution of employees, and the success rate of the applicants; and
  - c) recording recruitment, training and promotional records of all employees, the decisions reached and the reason for those decisions.
- (iii) The results of any monitoring procedure will be reviewed at regular intervals to assess the effectiveness of the implementation of this Policy. Consideration will be given, if necessary, to adjusting this Policy to afford greater equality of opportunities to all applicants and staff.





# COLLEGE IT POLICY

## 1. VIRUS PROTECTION PROCEDURES

In order to prevent the introduction of virus contamination into the software system the following must be observed:-

- (i) unauthorised software including public domain software, magazine cover disks/CDs or Internet/World Wide Web downloads must not be used; and
- (ii) all software must be virus checked using standard testing procedures before being used.

## 2. USE OF COMPUTER EQUIPMENT

In order to control the use of the College's computer equipment and reduce the risk of contamination the following will apply:-

- (i) The introduction of new software must first of all be checked and authorised by the Computer Officer before general use will be permitted.
- (ii) Only authorised staff should have access to the College's computer equipment.
- (iii) Only authorised software may be used on any of the College's computer equipment.
- (iv) Only software that is used for College business applications may be used.
- (v) No software may be brought onto or taken from the College's premises without prior authorisation.
- (vi) Unauthorised access to the computer facility will result in disciplinary action.
- (vii) Unauthorised copying and/or removal of computer equipment/software will result in disciplinary action, such actions could lead to dismissal.

## 3. E-MAIL AND INTERNET POLICY (including Social Network sites)

### (i) Introduction

The purpose of the Internet and E-mail policy is to provide a framework to ensure that there is continuity of procedures in the usage of Internet and E-mail within the College. The Internet and E-mail system have established themselves as an important communications facility within the College and have provided us with contact with College suppliers and professional and academic sources throughout the world. Therefore, to ensure that we are able to utilise the system to its optimum we have devised a policy that provides maximum use of the facility whilst ensuring compliance with the legislation throughout.

(ii) Internet

- a) Where appropriate, duly authorised staff are encouraged to make use of the Internet as part of their official and professional activities. However, staff are not allowed to make use of the Internet other than for authorised College business. Attention must be paid to ensuring that published information has relevance to normal professional activities before material is released in the College name. Where personal views are expressed a disclaimer stating that this is the case should be clearly added to all correspondence. The intellectual property right and copyright must not be compromised when publishing on the Internet. The availability and variety of information on the Internet has meant that it can be used to obtain material reasonably considered to be offensive. The use of the Internet to access and/or distribute any kind of offensive material, or material that is not work-related, leaves an individual liable to disciplinary action which could lead to dismissal.
- b) Staff are not permitted to use College equipment to access social networking sites or chat rooms and must not disclose any College E-mail addresses on such sites.

(iii) E-mail

The use of the E-mail system is encouraged as its appropriate use facilitates efficiency. Used correctly it is a facility that is of assistance to employees. Inappropriate use however causes many problems including distractions, time wasting and legal claims. The procedure sets out the College's position on the correct use of the E-mail system.

(i) Procedures - Authorised Use

- Unauthorised or inappropriate use of the E-mail system may result in disciplinary action which could include summary dismissal.
- The E-mail system is available for communication and matters directly concerned with the legitimate business of the College. Employees using the E-mail system should give particular attention to the following points:
  - o all comply with College communication standards;
  - o E-mail messages and copies should only be sent to those for whom they are particularly relevant;
  - o E-mail should not be used as a substitute for face-to-face communication or telephone contact. Flame mails (i.e. E-mails that are abusive) must not be sent. Hasty messages sent without proper consideration can cause upset, concern or misunderstanding;
  - o if an E-mail is confidential the user must ensure that the necessary steps are taken to protect confidentiality. The College will be liable for infringing copyright or any defamatory information that is circulated either within the College or to external users of the system; and
  - o offers or contracts transmitted by E-mail are as legally binding on the College

as those sent on paper.

- The College will not tolerate the use of the E-mail system for unofficial or inappropriate purposes, including:
  - o any messages that could constitute bullying, harassment or other detriment;
  - o personal use (e.g. social invitations, personal messages, jokes, cartoons, chain letters or other private matters);
  - o on-line gambling;
  - o accessing or transmitting pornography or terrorist-related material;
  - o transmitting copyright information and/or any software available to the user;  
or
  - o posting confidential information about other employees, the College or its customers or suppliers;

Any suspected misuse of IT systems for these or illegal purposes should be reported to the Domestic Bursar or Manciple.

- (ii) Staff should be aware that any personal use of the systems may also be monitored and, where breaches of this policy are found, action may be taken under the disciplinary procedure. The College reserves the right to restrict or prevent access to certain telephone numbers or internet sites if it considers that personal use is excessive.
- (iii) The College's systems provide the capability to monitor telephone, e-mail, voicemail, web and other communications traffic. For business reasons, and in order to perform various legal obligations in connection with our role as an employer, use of our systems including the telephone and computer systems, and any personal use of them, is continually monitored by the use of automated software. Monitoring will only be carried out to the extent permitted or required by law and as necessary and justifiable for business purposes.
- (iv) The College reserves the right to retrieve the contents of messages or check searches which have been made on the internet for the following purposes (this list is non-exhaustive):
  - a) to monitor whether the use of the e-mail system or the internet is legitimate and in accordance with this policy; or
  - b) to find lost messages or to retrieve messages lost due to computer failure; or
  - c) to assist in the investigation of wrongful acts; or
  - d) to comply with any legal obligation.





**ALL SOULS COLLEGE**  
**DATA PROTECTION POLICY**  
*(updated Trinity Term 2018)*

**1. Purpose and scope**

This policy provides a framework for ensuring that All Souls College meets its obligations under the General Data Protection Regulation (GDPR) and associated legislation<sup>1</sup> ('data privacy legislation').

It applies to all processing of personal data carried out for a College purpose, irrespective of whether the data is processed on non-College-owned equipment or by third parties.

'*Personal data*' means any information relating to an identifiable living individual who can be identified from that data or from that data and other data. '*Processing*' means anything that is done with personal data, including collection, storage, use, disclosure and deletion.

More stringent conditions apply to the processing of special category personal data.

'*Special category*' means personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying an individual, data concerning health or data concerning an individual's sex life or sexual orientation.

This policy should be read in conjunction with the accompanying guidance, which provides further detail and advice on practical application, as well as any other documents that impose confidentiality or data management obligations in respect of information held by the College.

This policy does not cover the use of personal data by members of the College when acting in a private or non-College capacity.

**2. Background**

The processing of personal data underpins almost everything the College does. Without it, the College cannot operate. By not handling personal data properly, we could put individuals (Fellows, staff, visitors, and others who use our facilities) at risk.

There are also legal, financial and reputational risks for the College and the wider University. The Information Commissioner's Office (ICO), which enforces data privacy legislation, has the power to fine organisations up to 4% of global annual turnover for serious breaches.

### **3. Principles**

The processing of personal data must comply with data privacy legislation and, in particular, the six data privacy principles. These principles are explained in detail on the Information Commissioner's Office website at <https://ico.org.uk/for-organisations/guide-to-data-protection/data-protection-principles/>

In summary, they require that personal data is:

- processed fairly, lawfully and in a transparent manner;
- used only for limited, specified stated purposes and not used or disclosed in any way incompatible with those purposes;
- adequate, relevant and limited to what is necessary;
- accurate and, where necessary, up-to-date;
- not kept for longer than necessary; and
- kept safe and secure.

In addition, a new accountability principle requires us to be able to evidence compliance with these principles.

### **4. Aims and commitments**

All Souls College handles a considerable amount of personal data and takes seriously its responsibilities under data privacy legislation. It recognises that the mishandling of an individual's personal data may cause them distress or put them at risk of identity fraud. As a result, it is committed to:

- complying fully with data privacy legislation;
- where practicable, adhering to good practice, as issued by the ICO or other appropriate bodies; and
- handling an individual's personal data in a careful and considerate manner that recognises the importance of such information to their privacy and welfare.

The College seeks to achieve these aims by:

- ensuring that all Fellows, staff, and other individuals or contractors who process data for College purposes are made aware of their individual responsibilities under data privacy legislation and how these apply to their areas of work. For example, staff employment contracts and job descriptions include a clause drawing the attention of the employee to data privacy legislation and the College's data protection policy and all Fellows and staff are required to read and sign a copy of this policy;
- providing suitable training, guidance and advice. (The University' provides an

online training course on data privacy and information security which is available to all members of the University.) The online course is supplemented by training and guidance, as and where appropriate, to enable all Fellows and staff to discharge their responsibilities for data protection appropriately;

- incorporating data privacy requirements into administrative procedures where these involve the processing of personal data, particularly in relation to major information systems, such as the College on-line Fellowship application processes (the concept of ‘privacy by design’).
- providing procedures for the processing of subject access and other rights based requests made by individuals; and
- investigating promptly any suspected breach of data privacy legislation; reporting it, where necessary, to the ICO; and seeking to learn any lessons from the incident in order to reduce the risk of reoccurrence.

## **5. Roles and responsibilities**

### *Stated General Meeting*

The Warden and Fellows of the College (the Governing Body) in the Stated General Meeting have executive responsibility for ensuring that the College complies with data privacy legislation.

The Warden and Fellows are supported by:

- (i) the General Purposes Committee, which under the Stated General Meeting is responsible for keeping under review the College’s policies; and
- (ii) the Audit Committee which is responsible for ensuring the effectiveness of the College’s system of internal controls (financial and non-financial) and its processes for compliance with legislation and regulatory requirements.

### *Data Protection Officer (DPO)*

The DPO is responsible for:

- advising the College (Fellows and staff) on their responsibilities and obligations to comply with GDPR and other data protection legislation;
- developing appropriate policies and procedures to enable them to comply with these obligations;
- establishing and maintaining guidance and training materials on data privacy legislation and specific compliance issues;
- monitoring compliance, and acting as a point of contact for individuals and the ICO;
- maintaining a College-wide register of data processing activity and ensuring that all those who control or process personal data are aware of their responsibilities;
- supporting privacy by design and privacy impact assessments;
- ensuring that subject access and other rights based requests made by individuals for copies of their personal data are fulfilled;

- investigating and responding to complaints regarding data privacy (including requests to cease the processing of personal data); and
- keeping records of personal data breaches, notifying the ICO of any significant breaches and responding to any requests that it may make for further information.

In fulfilling these responsibilities, the DPO may also involve and draw on support from Fellows, staff, and appropriate external advisers.

*College Officers, Fellows, Heads of Department and members of the College administrative team*

All Fellows, the Manciple, Heads of Department (including the Librarian-in-Charge) and all staff whose work involves the processing of personal data are responsible for ensuring that the processing of personal data in their department or area of responsibility conforms to the requirements of data privacy legislation and this policy. In particular, they must ensure that:

- new and existing staff, visitors or third parties associated with the College who are likely to process personal data are aware of their responsibilities under data privacy legislation. This includes drawing the attention of new Fellows and staff to the requirements of this policy, ensuring that those who have responsibility for handling personal data are provided with adequate training and, where appropriate, ensuring that job descriptions for members of staff or agreements with relevant third parties reference data privacy responsibilities;
- records of processing activities are kept (including consulting the Domestic Bursar or Data Protection Officer if it is proposed to create a new processing activity or significantly change an existing electronic or paper one; all such information assets and data processing activity must be included on the College Information Asset register);
- data protection requirements are embedded into systems and processes by adopting a ‘privacy by design’ approach and undertaking privacy impact assessments where appropriate;
- privacy notices are provided where data is collected directly from individuals or where data is used in non-standard ways;
- data sharing is conducted in accordance with College and University guidance;
- requests from the Data Protection Officer for information are complied with promptly;
- data privacy risks are included in the College’s risk management framework and considered by senior management on a regular basis; and
- policies and procedures to ensure compliance with GDPR and data protection obligations are adopted where appropriate.

*Others processing personal data for a College purpose e.g. staff, Fellows and volunteers*

Anyone who processes personal data for a College purpose is individually responsible for complying with data privacy legislation, this policy and any other policy, guidance,



procedures, and/or training introduced by the University to comply with data privacy legislation. For detailed guidance, they should refer to the [University's Guidance on Data Protection](#) and any relevant College policies and procedures. In summary, they must ensure that they:

- only use personal data in ways people would expect and for the purposes for which it was collected;
- use a minimum amount of personal data and only hold it for as long as is strictly necessary;
- keep personal data up-to-date;
- keep personal data secure, in accordance with the College's [Information Security Policy](#);
- do not disclose personal data to unauthorised persons, whether inside or outside the College;
- complete relevant training as required;
- report promptly any suspected breaches of data privacy legislation, in accordance with the procedure in section 6 below, and following any recommended next steps;
- seek advice from the Data Protection Officer where they are unsure how to comply with data privacy legislation; and
- promptly respond to any requests from the Data Protection Officer in connection with subject access and other rights based requests and complaints.

### **Breaches of data privacy legislation**

The College will investigate incidents involving a possible breach of data privacy legislation in order to ensure that, where necessary, appropriate action is taken to mitigate the consequences and prevent a repetition of similar incidents in future. Depending on the nature and severity of the incident, it may also be necessary to notify the individuals affected and/or the ICO. A breach will occur where, for example, personal data is disclosed or made available to unauthorised persons or personal data is used in a way that the individual does not expect.

Incidents involving failures of IT systems or processes must be reported to the College Computer Officer (Richard Sharp) or, [Oxford University Computer Emergency Response Team \(OxCert\)](#) within 4 working hours of discovery. OxCert will liaise, as appropriate, with the College Computer Officer and the Data Protection Officer.

## **6. Compliance**

The College regards any breach of data privacy legislation, this policy or any other policy and/or training introduced by the College from time to time to comply with data privacy legislation as a serious matter, which may result in disciplinary action. Depending on the nature of the breach, an individual may also find that they are personally liable (for example, it can be a criminal offence for a member of the College to disclose personal information unlawfully).

## 7. Further information

Questions about this policy and data privacy matters in general should be directed to the College Data Protection Officer, [dpo@all-souls.ox.ac.uk](mailto:dpo@all-souls.ox.ac.uk) or the Domestic Bursar.

## 8. Review and development

This policy, and supporting guidance, will apply with effect from 25 May 2018, and is due for formal adoption at the College Stated General Meeting on 9 June 2018. It will be reviewed during the 2018/19 academic year to take into account outstanding ICO guidance and the final form of national legislation underpinning the GDPR.

## 9. Related policies, Privacy Notices, and Records of Processing Activities

This policy should be read in conjunction with related policies and regulations, including the:

- College Information Security Policy;
- Fellows and Staff Network and Mobile Acceptable Use Policy;
- University Regulations relating to the use of Information Technology Facilities – see <http://www/admin.ox.ac.uk/statutes/regulations/196-052.shtml>.

See also the practical guidance on mobile device security on the Computing pages of the Intranet.

For details of the [College's Privacy Notices](#) and associated [Records of Processing Activities](#) (which indicate the legal basis for the College holding and processing the data and the period for which the records are maintained), please see <https://www.asc.ox.ac.uk/college-policies> and <https://www.asc.ox.ac.uk/appointments>

## ALL SOULS COLLEGE OXFORD

### Data Protection Policy Form

To assist the College comply with its legal obligations under the data Protection Act 1998 and General Data Protection Regulations, you have been issued with details of the College's policy and procedures on data protection or given advice as to how to access them and underlying Privacy Notices and Records of Processing Activity on the College website ([www.all-souls.ox.ac.uk](http://www.all-souls.ox.ac.uk)).

All members of the College community must be familiar with and strictly observe the requirements of this policy and associated documents and at all times keep safe the personal data information that they may receive, access or process in connection with their employment or Fellowship at the College.

I confirm that I have received a copy of the College's Policy and Procedures on Data Protection and undertake to ensure that the personal data I supply to the College is updated as necessary to maintain its accuracy.

Name ..... (Please print)

Signed .....

Date .....



# **ANTI-BRIBERY POLICY**

## **1. ALL SOULS COLLEGE DOES NOT TOLERATE BRIBERY**

Bribery is a criminal offence in the United Kingdom and the College expects all members of the College and third parties who have dealings with it to comply with the law and observe the highest ethical standards in their conduct of business with or on behalf of the College. All Souls may take disciplinary action – which may include dismissal – against the Warden, any Fellow, or any member of staff who commits or attempts bribery in connection with his or her employment by the College. All Souls may terminate any business arrangements with any third party if that third party commits or attempts bribery.

## **2. DEFINITION OF 'BRIBERY'**

Bribery as defined in the Bribery Act 2010 includes the offering, promising, giving, requesting, or acceptance of a financial or other advantage in circumstances which are intended to induce or reward improper performance of a function or activity that is of a public nature performed in the course of a person's employment, connected with a business or trade, or performed on behalf of a body of people, and a reasonable person in the UK would expect to be performed in good faith, impartially, or in accordance with a position of trust.

In the context of All Souls College, bribery might, for example, include:

- the offer or receipt of goods or services for private use at favourable prices or at no charge in order to secure or retain College business;
- payment from an external contractor to the Warden, a Fellow, a member of staff, or other College adviser, in return for receiving a contract from the College; or
- payment to the Warden, Fellow, or a member of staff in return for that person improperly performing their duties.

## **3. WHISTLE-BLOWING IS ENCOURAGED AND PROTECTED**

If the Warden, any Fellow, or any member of staff suspects that bribery has occurred in connection with the College, he or she should report the matter immediately to the Warden or to the Estates or Domestic Bursar as appropriate.

Fellows and staff are reminded of the College Whistle-blowing Policy setting out the College procedures for making a protected disclosure (see p. 20).

## **4. REGISTERS OF GIFTS, HOSPITALITY, AND INTERESTS**

The giving and receiving of gifts and hospitality from suppliers is not expected or encouraged. However, it is recognised that on occasion a third party may offer minor hospitality or gifts to a member of the College as mark of appreciation or in connection with College purposes. Where it is clear that this is reasonable, appropriate, and could not be regarded as bribery, it is permissible for minor hospitality or gifts to be accepted. However,

in case of doubt, the Warden or the Estates or Domestic Bursar should be consulted first and their written advice obtained. In order to ensure transparency, all offers of gifts and hospitality from College suppliers or potential suppliers, with a value in excess of £50, must also be recorded in the Gifts and Hospitality Register (which is maintained by the Bursars' Secretary), together with details of whether or not the offer was accepted. This register will be subject to regular inspection by the Audit Committee which may also review any relevant correspondence on the acceptance of gifts or hospitality.

The College also maintains a Register of External Interests in which all Fellows and senior members of staff are required to record their external interests. Where there is a potential conflict of interest, they should not be involved in decision-making.



Name: \_\_\_\_\_

Department: \_\_\_\_\_

## **EMPLOYEE HANDBOOK**

Please read the notes below and then sign this form and return it to the Manciple's office.

### **Part 1**

As legally required, All Souls College has formulated an "Employee Handbook" policy document that sets out the College employment policy, rules and regulations.

A copy of the Employee Handbook is issued for your reference.

The College will do all that is reasonably practicable to ensure compliance with current employment legislation and expects employees to abide by the College employment rules and regulations laid down.

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### **Part 2**

I have received and read the Employee Handbook. I confirm that I understand its contents and will adhere to the guidance contained within as forming part of my contract of employment.

Employee's Signature: \_\_\_\_\_

Date: \_\_\_\_\_