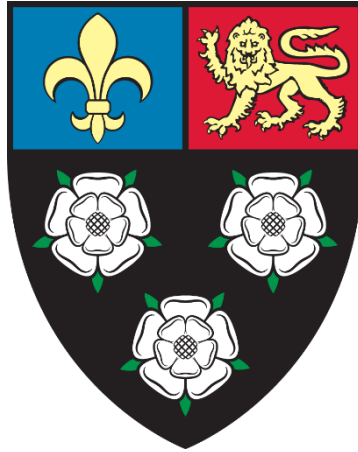


# King's College, Cambridge



## Staff Handbook

**Version 6**

**October 2024**

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## **Staff Welcome and Employment Information**

Welcome to King's College, Cambridge, one of the oldest Colleges of the University. Originally founded by King Henry VI in 1441 to provide education for "seventy poor scholars", the College now has a student population of 400 undergraduate and 250 graduate students, 120 fellows, and around 220 permanent management and support staff.

The College welcomes you and expresses its sincere hope that you will be happy here as part of the College. You are asked to study carefully the contents of this Handbook as, in addition to setting out the College's rules and regulations, it also contains a great deal of helpful information.

The Handbook is available on the College website and will be updated as necessary. This Handbook applies to all non-academic staff of the College.

This Handbook does not form part of your Contract of Employment.

If there are any areas of this Handbook that you would like to be clarified, please see your Head of Department or a member of the Human Resources team.

### **Your Employment**

In addition to this Handbook, you have been issued with a Contract of Employment, which contains the contractual terms and conditions of your employment. Although this Handbook is not contractual, you are expected to comply with the rules and policies and procedures within it.

The Contract of Employment sets out, amongst other things, your job title, rate of pay, notice required to terminate employment and pension information. Some information on the major terms contained in the Contract is set out below, but you should check your Contract of Employment to be familiar with its terms and conditions.

### **Pay**

Your salary is detailed in your Contract of Employment. Payment is normally made monthly straight into your bank account on the 26th of each month.

### **Working Hours**

The standard working week for full time staff is 37.5 hours excluding meal breaks. Of course, the exact hours will depend on the job you undertake and may be more or less than this.

### **Holidays**

The College's Holiday Year runs from 1 October to 30 September.

Most full-time staff are entitled to 20 days' holiday per Holiday Year, plus 4 days to be taken when we are closed over Christmas, and the 8 Bank Holidays each year ( a total of 32 days).

Your Contract of Employment will also set out information on holiday entitlement for starters and leavers.

The College reserves the right to request employees to take their holiday at specific times during the year, see your Head of Department for any specific times for your department.

You may carry forward up to 5 days of unused leave to the next Holiday Year as long as it is used by 31st December. All holiday pay is calculated at your normal basic rate. Payment will not be given for any unused holiday accrued.

Procedure for taking Annual Holiday Entitlement:

1. You will be provided with log-in details to our Human Resources and Payroll system, 'Cascade'. You should make all holiday requests through the system where approval must be gained before making any firm holiday arrangements.
2. Holiday requests will only be considered if they are requested through Cascade (or presented on the correct form if your department uses one). The College will allocate agreed holiday dates on a "first come - first served" basis to ensure that operational efficiency and minimum staffing levels are maintained throughout the year.
3. You should try to give at least one month's notice of your intention to take holidays of a week or more and should give at least one week's notice for holidays of less than one week.
4. You may not normally take more than two working weeks consecutively, other than with the prior permission of the College Officer and Head of Department responsible. Such requests should be made in writing no less than two calendar months prior and the College Officers' decision is final.

## **Sickness**

### **Reporting sickness absence**

If you are absent from work due to sickness, injury (or for any other reason) your line manager must be notified by you personally, by telephone (or by another method as agreed in advance with your line manager), at the earliest possible opportunity and, wherever possible, no later than 30 minutes before the normal starting time on the first day of absence. If your line manager or Head of Department is not contactable, the Human Resources Office should be notified of the absence from work.

If absent because of illness, you are required to give details of the nature of the illness and an indication of the expected return date. You should notify your manager on every day of your absence from work unless you are covered by a medical certificate. Entitlement to sick pay may be affected by failure to follow notification procedures.

Should you become unwell during your working day and need to leave work before your normal finish time, you should notify your line manager or Head of Department

giving them details of the nature of your illness. Your absence may be recorded as either a whole or a half-day of absence depending on the time that you leave work (at the discretion of your Head of Department). If your line manager or Head of Department are not contactable, you should notify the Human Resources Office.

## **Certification**

For a period of sickness or injury lasting less than seven calendar days, you are required to complete a 'Self-Certification Form' (available on Cascade or from your line manager).

If the incapacity extends to more than seven calendar days, you are required to obtain a medical certificate. Medical certificates should be forwarded to your line manager or the Human Resources Office immediately after you receive them. You should notify the College of your continued incapacity prior to the expiry of each medical certificate, unless otherwise requested by the College. You should notify your line manager as soon as you know on which day you will be returning to work, if this differs from a date of return previously notified.

## **Sick Pay Scheme**

### **Statutory Sick Pay (SSP)**

In the event of illness or injury within your probationary period (including any extended probationary period), only SSP will be paid (if eligible). SSP qualifying days are either Monday to Friday or, in the case of part-time staff, those days that are normally worked. If you are eligible for the payment of SSP, it will be subject to the deduction of tax and National Insurance contributions.

### **College Sick Pay**

Subject to compliance with the above notification and certification requirements and to completion of your probationary period if you are absent on account of illness or injury you are entitled to College Sick Pay.

College Sick Pay shall be paid subject to the limits set out below (provided that the illness or injury resulting in the absence is not due to elective cosmetic procedures, your own misconduct, or to you working in your own time for another employer or in another business capacity).

The maximum periods set out below can be accumulative or continuous periods of absence and are calculated by reference to a period of two rolling calendar years' ending on the first day of the absence being considered. These periods will be adjusted on a pro rata basis for staff who work part-time.

Length of continuous service	Maximum sick pay entitlement
Probationary period	Statutory Sick pay only (if any)
More than 6 months but less than 1 year	22 days at full pay and 20 days at half pay
More than 12 months but less than 2 years	44 days at full pay and 40 days at half pay
More than 2 years but less than 3 years	65 days at full pay and 60 days at half pay
More than 3 years but less than 4 years	86 days at full pay and 80 days at half pay

More than 4 years but less than 5 years	108 days at full pay and 100 days at half pay
Thereafter	130 days at full pay and 130 days at half pay

Sick Pay shall mean your normal basic rate of pay less any Social Security benefits recoverable by you (whether or not recovered) and shall include (that is, it is not in addition to) any Statutory Sick Pay to which you may be entitled.

If your absence is due to the actionable negligence of a third party in respect of which damages are recoverable, then any sick pay you receive (other than Statutory Sick Pay) shall be treated as a loan advanced to you against your entitlement to damages and you shall:

- notify the College immediately of all the relevant circumstances and of any claim, compromise, settlement, or judgement made or awarded in connection with it; and
- if the College so requires, refund to the College any amount received by you from any such third party, provided that the refund shall be no more than the amount which you have recovered in respect of remuneration.

## **Other Absences**

You must attend for work punctually at the specified time(s) and are required to comply strictly with any time recording procedures relating to your work.

Unacceptable/persistent lateness may result in disciplinary action.

If you know that you will be late for work, you should notify your department personally by telephone at the earliest opportunity, giving the reason for the lateness and your expected time of arrival.

All absences must be notified in accordance with the reporting procedures laid down in this Handbook. Unauthorised absence may result in disciplinary action and/or loss of appropriate payment.

## **Compassionate Leave Periods**

In the case of death or illness of a dependant, the College will normally grant up to a maximum of five days' paid leave, depending on the individual case. Any increase in the length of a compassionate leave is at the discretion of your Head of Department but is unlikely to exceed ten days' paid leave.

A dependant is defined as a husband or wife, partner, parent, child, or someone who lives in the same household (step or foster children for example - but not you, tenant, lodger or boarder).

## **Jury Service**

You may be eligible for time off if you are required to undertake public duties, for example jury service.

Should you receive a request to serve as a juror, you should inform your Head of Department as soon as possible and show them the summons so arrangements can be made to cover your absence. In some circumstances, it is possible to request that jury service be deferred: if for business reasons your Head of Department asks

you to make such an application please do so as quickly as possible, forwarding the letter that we will give you.

We will maintain your income, up to your basic pay, for the duration of your jury service by supplementing your juror's allowance. This allowance should be claimed from the court and the corresponding amount will be deducted from your net pay.

The court will issue you with a Certificate of Loss of Earnings form, which you should pass on to the Payroll & Pensions Officer for completion.

You are expected to attend work on any days/half days on which you are not actually required to serve.

## **Service in the Reserve Forces**

We recognise and support the important role certain voluntary service organisations play.

If you are a volunteer member of the Reserve Forces (the Royal Naval Reserve, Royal Marines Reserve, Royal Auxiliary Air Force or Territorial Army) you will be allowed up to two weeks' additional paid leave per year (to be taken outside of term time) to attend approved training and activities. This is subject to the prior approval of your Head of Department, and according to the prevailing needs of the College. Additional paid leave during term time will only be authorised in exceptional circumstances. Any further time off will be authorised from your annual holiday entitlement or will be unpaid.

If you are called up for compulsory military service under the Reserve Forces Act (1996) you must immediately tell your line manager and provide any necessary documentation. The College cannot prevent you from attending military service but can appeal against the decision if we feel your absence will cause a serious detriment.

Where you are called up for active duty by the UK government, your absence will be treated as a period of unpaid leave, but you will be paid for this period by the MOD. Whilst this period of leave will not break continuity of employment, it will not count towards your length of continuous employment. You are entitled to remain a member of our occupational pension scheme, and if you agree to continue to pay your own contributions, the MOD will pay the employer contributions that we would have made.

You have the right to be re-employed at any time during a 6-month period after the end of your military service to the same position and on terms and conditions which are no less favourable than those which previously applied. If total reinstatement is not reasonable and practicable, you will be offered the most favourable terms and conditions as are reasonable and practicable in the circumstances. You must apply in writing for reinstatement by the third Monday following the end of your military service (except where you are prevented applying within that period by reason of sickness or other reasonable cause). The College will not however be required to reinstate your employment if it would result in the dismissal of another employee who was employed before you were called up for active duty, was as permanent as you, and who had longer service at the time of mobilisation.



In certain circumstances a return-to-work plan may be offered. This plan will be developed in discussion with the you, your line manager/Head of Department, the HR department and an Occupational Health Adviser as required.

Non-UK nationals called up for compulsory national service by their home country should contact the Head of HR for advice.

### **Absence for routine medical appointments**

All non-urgent medical or dental appointments should be arranged outside of work hours wherever possible. You should seek prior approval of your Head of Department if it is necessary to take time off work and will be asked to provide a copy of your appointment card or letter.

### **Unexplained absence**

The College reserves the right to deduct from your salary any contractual payments in excess of statutory payments due, in the event of any repeated or prolonged absence of any kind without satisfactory explanation. In deciding whether absence is acceptable or not, the College will consider the reasons and extent of all absences, including any absence caused by sickness. The College will take a serious view if you take sickness/injury or other leave which is not genuine. This behaviour may lead to disciplinary action with the ultimate sanction of dismissal.

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## **Remuneration Policy**

The College's objectives are to advance education, religion, learning, and research. The College aims to fulfil these to a very high standard, befitting one of the best Universities in the world.

In order to achieve this, the College aims to recruit and retain very good staff who can deliver leadership, community, facilities, finance and administrative support of a high quality. The College needs to pay sufficient rates to attract and retain individuals of a suitably high calibre.

### **Scope**

This policy is non-contractual and can be amended, changed, or withdrawn at any time with due notice. It sets out the College's position on salary increases and bonuses and provides guidelines aimed at managers in helping them to determine whether a pay increase would be justified, fair and appropriate.

This policy applies to all members of staff on a permanent or fixed term contract, regardless of their role or status of employment. It does not apply to occasional workers.

### **Principles**

The remuneration of staff is set with reference to a variety of factors and constraints including:

- The context of the collegiate University: pay in other colleges or within the University can be a useful benchmark to assess the competition for staff;
- Financial constraints and the need to ensure that charitable resources are spent wisely and not wasted - the rewards and benefits of working in a Cambridge College are many and frequently non-pecuniary, so remuneration does not necessarily have to be higher than that offered in different markets;
- The importance of fair treatment of all employees;
- The need to set remuneration in a way that encourages and rewards success, effort and communal achievement but does not encourage and reward individual achievement to the detriment of others or of the wider College goals. Some modest bonuses for specific achievements can be awarded.

### **Processes for setting pay**

The College aims to set pay that is objectively assessed and is fair. The College produces annual Gender Pay Gap reports.

The College's HR Committee recommends to Council salaries and bonuses to be awarded individually as well as the general pay award (if any) made annually to all staff.

In individual cases increases should fall within the current salary grade unless there has been a substantial change to the duties and responsibilities of the job. In cases such as this, a new job description should be agreed and evaluated, and the change may be deemed a promotion if it falls into the salary grade above.

### **General Pay Award (Cost of Living)**

The HR Committee will recommend to Council each year the general pay award for all staff. This is normally set to match that of the University, which, in turn, is set by the Universities and Colleges Employers Association (UCEA) at a national level. This is usually a percentage increase from 01 August but if agreement is not reached by this date payment may be backdated. UCEA and the College may also consider increases of a larger percentage or a fixed amount to increase the salaries of the lowest paid employees to meet the recommendations of the Living Wage Foundation.

Each year at its Easter Term meeting the HR Committee will consider how salaries at King's compare with those at other colleges. The Office of Intercollegiate Services conducts a survey of college staff that provides useful comparisons to inform the general pay award.

### **Discretionary Pay Increases**

The HR Committee will also consider requests for adjustments of salaries for individuals or groups of employees that go beyond the usual annual increase. In considering cases for the award of a discretionary pay increase, the HR Committee will take into account the staff member's performance of their duties, and the overall contribution they make over a sustained period. The Committee will be looking for exceptional and distinctive contributions above what is reasonably expected in the post.

Proposals for pay increases should be based on one or more of the following broad grounds:

- Quality of work, attitude and commitment, experience that would be difficult to replace.
- Outstanding contributions, work not normally encompassed within the job level.
- Delivery of personal initiatives that are innovative and go wider than the scope of the job.
- Achievement of new skills relevant to the job, upgrading of qualifications

- Increases of involvement or responsibility, or new higher-level duties due to a change in job description.

Proposals should be considered in an objective, consistent and non-discriminatory manner. Such increases will normally be permanent additions to salary and all such requests will be considered at the same time at the Easter Term meeting of the Committee.

A Head of Department can put forward a request on behalf of a member of their staff, or any employee who wishes to do so may obtain a form from the HR Office in which they can explain why their position is exceptional and why they should receive an increase. Heads of Departments will be asked to comment on such applications and should submit the application even if they do not recommend it.

The HR Committee will send any recommendations to Council for its approval and increases will usually be effective from 01 July each year.

The Head of Department will be provided with reasons should a case for an increase be declined. On no account should a staff member be advised of a recommendation until all approvals have been obtained.

There is no right of appeal afforded to this procedure.

### **Changes to Job Descriptions**

As part of the annual performance review of staff, the accuracy of each job description should be considered.

Minor alterations should be agreed, and details sent to the HR Office so that it always has an accurate and up to date version of the job description.

Where more significant changes are proposed, especially if those changes could lead to a change in salary, the HR Committee should give approval before the change is implemented. Such changes require Council approval, although this will normally be on the advice of the Committee.

### **Bonuses**

The College usually pays a Christmas Bonus to members of staff (pro rata for part-time staff). This bonus is paid in the same amount to all staff and is informed by the financial performance of the College.

There may be times when a permanent increase to pay is not appropriate, but a Head of Department wishes to recognise a member of staff's achievements via a financial award.

In this situation the reasoning should focus on either:

1. One-off activities or projects of a significant nature extending beyond the staff member's normal duties or undertaken with an exceptional level of commitment, professionalism, and initiative to ensure success. A bonus of up to £2,000 is recommended in these circumstances.
2. Taking on more responsibility whilst covering for colleagues during periods of absence, or 'acting-up' in the absence of managers. A bonus of up to £3,000 is recommended.
3. An act of kindness to another member of the College community using the staff member's own time and/or money. A bonus of up to £500 is recommended here.

These awards are exceptional by nature, and it is anticipated only a small number of cases per year will be submitted for consideration and subsequently approved.

The College does not see bonuses as a reward for carrying out normal duties well, which is what we expect of all our staff. It also does not see a bonus as a way of dealing with permanent changes to duties, which ought to lead to a new job description and a consequent permanent adjustment to salary.

The HR Committee will consider requests for bonus payments at its Easter Term meeting and make recommendations to Council.

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## **Emergency Payments Policy**

1. Interest-free emergency payments may occasionally be granted to members of staff who have completed their probationary periods and who are not currently the subject of disciplinary proceedings.
2. Applications will be considered where there is evidence of hardship or where emergency relief is required due to circumstances that could not have been foreseen by the employee.\*
3. Requests should be made to the Head of HR, giving the reason for the payment together with supporting documentation. Evidence may be required that the member of staff has attempted to secure a loan from other sources.
4. If the request is for an advance on salary, with repayment in full on the next pay day, the decision will be made by the Head of HR.
5. The maximum amount of any payment will be equivalent to one month's net salary, although requests for higher sums will be considered in cases of exceptional need but will never exceed £10,000 in a tax year.
6. The Head of HR will discuss a suitable repayment period and complete the required paperwork in order to make a formal request to the First Bursar.
7. If approved, the employee will sign to confirm agreement to the payment and the agreed repayment schedule.
8. Payments will be made from the Staff Emergency Fund by BACS transfer on a Tuesday afternoon, appearing in the member of staff's bank account on the Thursday following.
9. In the event of termination of employment prior to the end of the agreed repayment term the balance outstanding will be recoverable from the final salary payment.
10. In the event of extreme hardship, a grant may be given from the emergency fund instead of a loan. Such payments will be subject to income tax and NI deductions.

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\* Loans will not be made where there is evidence of prolonged financial mismanagement leading to debt problems; in these cases, the member of staff will be supported in seeking debt counselling.

11.

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## **Staff Meals Policy**

All members of staff should take an unpaid break of at least 30 minutes if they work for six or more hours in a day.

Staff are entitled to have a meal in the College dining hall when:

- it is available on a day on which they work and
- any part of their contractual hours falls between either 12:30pm and 2:30pm (lunch) or 6.30pm and 7.30pm (evening meal)

Those staff working a standard 37.5-hour week over five days are entitled to five meals in College per week.

If a member of staff is required to work overtime outside of their contractual working hours or days for business reasons, then they will be entitled to a further meal in College.

Choosing to work a daily pattern of hours that covers both mealtimes as a personal preference does not qualify a member of staff for a second meal.

There is no alternative benefit offered to staff who choose to work from home.

Staff should access this benefit in the spirit that it is offered and are not expected to take advantage. There is therefore no daily limit imposed, but a generous staff meals budget is set for each department.

The budget is sufficient to cover a two-course hot meal, or a salad or sandwich with snacks, and a drink. It is not expected that staff take multiple drinks or snacks away with them. Water is provided free of charge in the dining hall, and coffee, tea and water are also available in each department.

Monthly figures are provided to the Head of HR who will assess whether any individual is overspending so that budgets can be managed. If this occurs, the line manager of the individual will have a conversation with them to highlight the issue.

Additional meals in the servery or food and drinks from the coffee shop are available to be purchased.

Staff are able to bring one guest into the dining hall each day that they are entitled to a meal in College. Guests must be paid for, and the College reserves the right to refuse entry to any person for any reason.



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# **Maternity Policy**

## **Introduction**

The College's policy on maternity leave and maternity pay is set out below. Broadly, the College offers benefits which are in line with the statutory maternity scheme. If you have questions about this policy or about any other aspect of maternity rights, you should contact the Human Resources Manager. Because this policy describes the statutory provisions, it is not contractual and may be amended at any time to reflect any changes in the law.

## **Time Off for Ante-Natal Care**

You are entitled to take time off during normal working hours to receive ante-natal care although, wherever possible, should arrange the appointments at the start or end of the working day. Ante-natal care includes GP appointments, hospital clinics and relaxation classes which are taken on medical advice.

You should inform your line managers about your appointments as far in advance of the appointments as possible and may be asked to produce an appointment card or letter.

There will be no deduction of salary for attendance at authorised ante-natal appointments.

## **Maternity Leave**

### *Ordinary Maternity Leave*

Provided you notify the College as set out below, you will be entitled to a 26-week period of maternity leave irrespective of your length of service or the number of hours which you work each week ("**ordinary maternity leave**").

### *Additional Maternity Leave*

If you have at least 26 weeks' continuous employment with the College at the start of the 15th week before the expected week of the birth of the child ("**EWC**"), you will be able to take an additional period of maternity leave ("**additional maternity leave**"). Additional maternity leave commences on the day after the last day of ordinary maternity leave and can last up to 26 weeks. This means that together ordinary maternity leave, and additional maternity leave will enable you to take up to one year's maternity leave.

## **When Can You Start Your Maternity Leave?**

Provided that you have complied with the notification requirements explained in this policy, maternity leave can start at any time after the start of the 11<sup>th</sup> week before the EWC.

Maternity leave may automatically start if you are absent from work wholly or partly because of your pregnancy at any time after the start of the 4<sup>th</sup> week before the EWC. In such a case, the College reserves the right to require you to start your maternity leave on the day after the first day on which you are absent.

If it has not already commenced at that time, maternity leave will automatically start on the day after the day of the child's birth.

### **Notification Requirements**

Before the start of the 15<sup>th</sup> week before the EWC, or if this is not possible then as soon as possible before you start maternity leave, the Human Resources Manager must be notified in writing of:

- the fact that you are pregnant;
- the week in which your child is due (the EWC); and
- the date on which you want your ordinary maternity leave to start. (Remember that for these purposes, a week begins on Sunday.)

As soon as it is available, a copy of MATB1 should be given to the Human Resources Manager.

If you have notified the College that you intend to start your maternity leave on a specific date, you may later vary that date, if you notify the College of the variation in writing. You should provide that notification to the Human Resources Manager at least 28 days before the earlier of either:

- the date on which you were going to start maternity leave; or
- the new date on which you want to start that leave.

When notifying the College that you intend to take ordinary maternity leave, you are not obliged to notify the College that you wish to take additional maternity leave (if you are so entitled). The College will presume that you intend to take additional maternity leave (if you are entitled), unless you notify the College that you do not intend to take such leave.

In exceptional circumstances, notification of your intention to take maternity leave can be given after the period specified above but, as a general rule, if you fail to serve a notice at the relevant time, you will lose your right to take maternity leave, or to start it at the revised date you have chosen.

## **Returning from Maternity Leave**

You do not need to notify the College in advance of the date of your return if you are returning to work at the end of either a period of ordinary or additional maternity leave.

Within 28 days of receiving notification from you of the date on which you wish to commence ordinary maternity leave, (or if you validly vary that date in accordance with the notification requirements above, then within 28 days of the commencement of the ordinary maternity leave) the College will inform you of the date on which your maternity leave period will end. If you are only entitled to take ordinary maternity leave, the College will notify you of the date on which that leave will end. If you are also entitled to take additional maternity leave, the College will notify you of the date on which that additional maternity leave period will end.

Where the College notifies you of the date on which ordinary or additional maternity leave period will end, if you later decide to return to work before the end of either such period, you must give the College at least 8 weeks' written notice of the earlier date on which you wish to return.

If the notification requirements stipulated above are not completed, the College will be entitled to postpone your return for 28 days or until the end of your maternity leave period, whichever is the earlier. The College is under no obligation to pay you if you return to work early and have not complied with those notification requirements.

## **Returning Late from Maternity Leave**

If you are too ill to return to work at the end of your maternity leave, the College's normal rules on sick leave and sick pay will apply.

## **Maternity Pay**

To qualify for Statutory Maternity Pay ("**SMP**") you must have at least 26 weeks' service at the start of the 15<sup>th</sup> week before the EWC, and must earn at least the lower earnings limit for NI contributions. SMP is payable whether or not you intend to return to work.

SMP is payable for a maximum period of 39 weeks, which normally starts at the point you go on maternity leave ("**the maternity pay period**").

To claim SMP, you must give the College at least 28 days' written notice of the date on which you expect your entitlement to SMP to begin. If you are unable to give 28 days' notice, you should give as much notice as you can. It is advisable to include this information with the earlier notice of the intention to take maternity leave (see above).

You should make sure that you enclose a form MAT B1, signed by a doctor or midwife, when giving notification of intention to claim SMP. The College cannot pay SMP without medical evidence from a doctor or a midwife, indicating the date on which the baby is due.

The exact amount of SMP that you are entitled to receive will vary depending upon salary and the amount of maternity leave taken. As a general rule, you can expect to receive 9/10<sup>th</sup>s of salary for 6 weeks, followed by the lower statutory rate for up to 20 weeks. The Human Resources Manager will provide details of individual entitlements.

SMP will be paid into your bank account on the same date that salary would have been payable and will be subject to deductions for tax and national insurance in the usual way.

If you do not qualify for SMP, you may be entitled to claim state maternity allowance. The Human Resources Manager will be able to advise on how to claim this allowance.

### **Enhanced Maternity Pay**

For staff who have more than one year's continuous service before the 15<sup>th</sup> week prior to the EWC, enhanced maternity pay is payable at your normal rate of pay for the first 26 weeks of maternity leave, with SMP payable for the remaining 13 weeks of ordinary maternity leave (paid at the rate applicable at the time). To qualify for these additional benefits, you must:

- have continued your employment up to the 11<sup>th</sup> week before the baby is due;
- at that time, been continuously employed by the College for at least one year; and
- comply with the notification conditions set out above.

The College reserves the right not to pay these additional benefits in the event that notification procedures are not complied with.

### **Contractual Benefits**

When you are absent on ordinary and additional maternity leave, as well as receiving SMP as stated above, you will be entitled to the benefits of the terms and conditions of employment which would have applied if you had not been absent, except for the terms providing for salary. You will also continue to be bound by all your obligations under your contract of employment, other than the obligation to work.

### **Right to Return**

If you return to work following a period of ordinary maternity leave you will generally have a right to return to the job in which you were employed before your absence.

If you return to work following a period of additional maternity leave, you will generally have the right to return to the job in which you were employed before your absence, or, if it is not reasonably practicable for you to return to that job, to another job which is suitable and appropriate in all the circumstances.

Where you have taken more than one type of statutory leave (eg maternity leave followed by parental leave) in a single period of absence from work, different statutory rules may apply.

### **Fixed-Term Contracts**

If you are an employee on a fixed-term contract, you have all the same maternity rights as a permanent employee. You can still have 52 weeks of maternity leave and return to your job.

However, your maternity leave will end when your contract ends so any contractual rights, such as enhanced maternity pay and paid holiday, will end when your employment ends. You may however still be entitled to statutory maternity pay. Please speak to the Human Resources Manager if you are in this situation and would like to know more about your entitlements.

### **Health and Safety**

In accordance with the College's legal obligations, the College has carried out an assessment of the risks to all pregnant staff who work for it.

If a job is identified as carrying any risk for you or your unborn child, you will be notified immediately, and arrangements will be made to remove you from those risks. This may mean that your working conditions are altered, or that you are offered another more suitable job for the duration of your pregnancy. If neither of these options is possible, the College reserves the right to suspend you on full pay until you are no longer at risk.

If you have any concerns about your own health and safety at any time, you should speak to your Head of Department immediately.

### **Keeping in touch**

Shortly before your maternity leave starts, the College will discuss with you the arrangements for covering your work and the opportunities for you to remain in contact during your leave. The College may make reasonable contact with you from time to time during your maternity leave.

You are permitted to work (including attendance at training sessions) for up to 10 days during maternity leave without bringing your maternity leave or SMP entitlement to an end. These are referred to as 'Keeping in Touch' or 'KIT' days. The arrangements for any Keeping in Touch days (including any payment for these days) will be agreed between you and the College. You are not obliged to work any Keeping in Touch days nor to attend work for any reason during your maternity leave. For health and safety reasons you are not permitted to work at all in the two weeks following the birth (compulsory maternity leave).

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# **Paternity Policy**

## **Introduction**

The College's policy on paternity leave and paternity pay is set out below and comes into force on 01 October 2023. The College offers benefits which are more generous than the statutory paternity scheme. If you have questions about this policy or about any other aspect of paternity rights, you should contact the Head of Human Resources. This policy is not contractual and may be amended at any time to reflect any changes in the law.

In this policy:

The first 2 weeks of paternity leave, during which you will receive your normal rate of pay, are referred to as "**ordinary paternity leave**" and include Statutory Paternity Pay if you are eligible to receive it.

The next 24 weeks of paternity leave, during which you will receive your normal rate of pay, are referred to as "**additional paternity leave**".

Any further period of paternity leave, up to the 52-week maximum, is referred to as "**extended paternity leave**" and is unpaid.

## **Paternity Leave**

### *Ordinary Paternity Leave*

From day one of your employment, you will be entitled to take a period of two weeks' paternity leave paid at full pay for the purpose of caring for a child or supporting the child's mother provided you satisfy the following conditions:

you are:

- the child's father and have, or expect to have, responsibility for the child's upbringing; or
- you are the mother's husband or civil partner or the "partner" of the mother (but not the child's father) and expect to have the main responsibility (apart from the mother's responsibility) for the child's upbringing.

For this purpose, "partner" means someone of the same or a different sex who lives with the mother and the child in an enduring family relationship, and who is not a close relative.

- you have not already taken any shared parental leave in respect of the child.



- you can provide a form MAT B1, signed by your partner's doctor or midwife, when giving notification of intention to take leave (the College cannot pay paternity pay without medical evidence from a doctor or a midwife, indicating the date on which the baby is due).

Ordinary Paternity Leave can be taken in consecutive or non-consecutive weeks.

#### *Additional Paternity Leave*

If you satisfy the conditions above, you will also be able to take an additional period of paternity leave which can last up to 24 weeks. This period of leave would be on full pay.

#### *Extended Paternity Leave*

If you satisfy the conditions for Additional Paternity Leave, you are also able to take an extended period of unpaid paternity leave for up to a further 26 weeks starting from the end of the period of Additional Paternity Leave. This means that together, Ordinary Paternity Leave, Additional Paternity Leave and Extended Paternity Leave will enable you to take up to a total of one year's paternity leave.

### **When Can You Start Your Paternity Leave?**

Ordinary Paternity Leave can be taken in the period beginning on the date of the child's birth and ending 52 weeks after that date or 52 weeks after the first day of the expected week of the birth of the child ("EWC") (whichever is the later).

Provided that you have complied with the notification requirements explained in this policy, Additional Paternity Leave and Extended Paternity Leave can start at any time within six months of the birth of the child.

### **Notification Requirements**

You must give notice to the College of your intention to take Ordinary Paternity Leave paternity leave 28 days before the due date of the baby or, where that is not reasonably possible, as soon as you reasonably can after that.

If you wish to take Additional or Extended Paternity Leave, you must give notice to the College of your intention to take leave before the start of the 15<sup>th</sup> week before the due date of the baby or, where that is not reasonably possible, as soon as you reasonably can after that.

Notification to the College must contain the information set out below. Remember that for these purposes a week begins on a Sunday. In order to take paternity leave, or to claim paternity pay, you must provide the College with the following information in writing:

- your name
- the EWC
- and where birth has already occurred, the date of birth.
- the date on which you expect to begin your leave from the College. This date should be within six months of the birth of the child (or within 52 weeks for Ordinary Paternity Leave).
- which type of paternity leave you wish to take.
- a signed declaration to the effect that the purpose of your absence from work will be for the purpose of caring for the child or supporting the mother and that you satisfy the conditions contained in this policy.

Giving a false declaration may result in disciplinary action up to and including dismissal.

You should provide this information by completing the relevant form available from the Human Resources Department. If you have notified the College that you intend to start your paternity leave, you may later vary that date, provided you notify the College in writing of the variation. You should provide that notification to the Head of Human Resources at least 28 days before the new date you wish your leave to start. If it is not reasonably possible to give the College 28 days' notice, notice should be given as soon as possible.

If you have chosen to take leave on a particular predetermined date, and the child is not born on or before that time, you will have to vary your choice of date and give the College notice of the new date as soon as possible. If you specify that you wish your leave to commence on the child's date of birth, and you are at work on that date, the period of leave will begin on the following day. The College must be given notice of the date of the child's birth as soon as reasonably possible after your baby is born.

The College reserves the right not to pay additional benefits in the event that notification procedures are not complied with.

### **Multiple Births**

Regardless of the number of children born as a result of one pregnancy, you will not be entitled to more than the leave specified in this policy in respect of each child.

### **Returning from Paternity Leave**

You do not need to notify the College in advance of the date of your return if you are returning to work at the end of either a period of ordinary or additional paternity leave.

If you later decide to return to work before the end of either such period, you must give the College at least 8 weeks' written notice of the earlier date on which you wish to return. If the notification requirements stipulated above are not completed, the College will be entitled to postpone your return for 28 days or until the end of your paternity leave period, whichever is the earlier. The College is under no obligation to pay you if you return to work early and have not complied with those notification requirements.

### **Paternity Pay**

An employee taking paternity leave will receive paternity pay, starting from the first day of leave, as follows:

- 26 weeks' paid leave during which they will receive their normal rate of pay.
- 26 weeks of unpaid leave.

Payment during the first 26 weeks (ordinary paternity leave) comprises contractual paternity pay provision and any Statutory Paternity Pay (SPP) to which they are entitled. If the amount due is less than the SPP provision, only SPP will be payable for the first two weeks.

Paternity pay is subject to the condition that no work is undertaken during the paid period of leave (up to 26 weeks) other than 'keeping in touch days' (see below).

Payment will normally be made through the payroll on the employees normal pay date.

### **Eligibility to SPP**

To qualify for SPP an employee must:

- be employed by the College at the date the baby is born; and
- as at the 15th week before the expected week of the birth of the child, you have at least 26 weeks' continuous employment with the Company; and
- have given notice to the College in writing at least 28 days before the date on which you expect your entitlement to begin, or, if that is not possible, as much notice as possible.

The College reserves the right not to pay paternity pay in the event that notification procedures are not complied with.

### **Repayment**

If an employee has been employed by the College for less than 52 weeks into the 15th week before the week their baby is due (the qualifying week), and decides not

to return to work after paternity leave, the College has the right to reclaim any contractual paternity pay received more than SPP.

If an employee returns to work, but does not continue in employment for longer than three months, the amount deducted will be as follows:

- Up to one month                      All contractual paternity pay.
- One month up to two months      Two-thirds of contractual paternity pay.
- Two months up to three months   One-third of contractual paternity pay.

An employee may opt to hold over the 26 weeks' contractual paternity pay and receive this in full once they have returned to work for three months.

In exercising this right to reclaim pay, the College will consider personal circumstances.

Repayment does not affect any member of staff who chooses to return to work on a part-time basis.

### **Contractual Benefits**

When you are absent on ordinary and additional paternity leave, as well as receiving SPP as stated above, you will be entitled to the benefits of the terms and conditions of employment which would have applied if you had not been absent, except for the terms providing for salary. You will also continue to be bound by all your obligations under your contract of employment, other than the obligation to work.

### **Right to Return**

If you return to work following a period of ordinary paternity leave you will generally have a right to return to the job in which you were employed before your absence.

If you return to work following a period of additional paternity leave, you will generally have the right to return to the job in which you were employed before your absence, or, if it is not reasonably practicable for you to return to that job, to another job which is suitable and appropriate in all the circumstances.

Where you have taken more than one type of statutory leave (e.g., paternity leave followed by parental leave) in a single period of absence from work, different statutory rules may apply.

### **Keeping in touch**

Shortly before your paternity leave starts, the College will discuss with you the arrangements for covering your work and the opportunities for you to remain in

contact during your leave. The College may make reasonable contact with you from time to time during your paternity leave.

You are permitted to work (including attendance at training sessions) for up to 5 days during ordinary paternity leave and up to 5 days during your additional paternity leave without bringing your paternity leave to an end. These are referred to as 'Keeping in Touch' or 'KIT' days. The arrangements for any Keeping in Touch days (including any payment for these days) will be agreed between you and the College. You are not obliged to work any Keeping in Touch days nor to attend work for any reason during your paternity leave.

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## **Shared Parental Leave Policy**

The College's policy on shared parental leave and pay is set out below. Broadly, the College offers benefits which are in line with the statutory shared parental leave scheme. If you have questions about this policy or about any other aspect of your rights, you should contact the Head of Human Resources. Because this policy describes the statutory provisions, it is not contractual and may be amended at any time to reflect any changes in the law.

In this policy, the following words have the following meanings:

*Expected date of placement (EDP)*: the date on which the child is expected to be placed with you for adoption.

*Expected week of childbirth (EWC)*: the week, beginning on a Sunday, in which the doctor or midwife expects your child to be born.

*Parent*: 1 of 2 people who will share the main responsibility for the child's upbringing (and who may be either the mother/adopter, the child's biological father, or the mother's Partner).

*Partner*: spouse, civil Partner or someone living with the mother/adopter in an enduring family relationship, but not a sibling, child, parent, grandparent, grandchild, aunt, uncle, niece or nephew.

*Qualifying Week* (adoption): the week in which the adopter is notified of having been matched with a child for adoption.

*Qualifying Week* (birth): the 15th week before the expected week of childbirth.

### **What is shared parental leave?**

Shared parental leave (SPL) is a form of leave available to eligible Parents in respect of children who are born or placed with a family for adoption on or after 5 April 2015. SPL links to statutory maternity/adoption leave allowance of 52 weeks. A mother/adopter must take at least 2 weeks of compulsory maternity/adoption leave following the birth/placement. It enables Parents to share the remaining 50 weeks between them. They may be able to take this leave at the same time or at different times.

To take advantage of SPL there are a number of different documents that you must submit, the details of which are outlined in the rest of this policy.

## **Entitlement to SPL**

You are entitled to SPL in relation to the birth of a child if you are the child's mother/adopter, the child's biological father, or the mother/adopter's Partner and at the time of the child's birth/placement, you were 1 of the 2 people with the main responsibility for the care of the child.

The following conditions must also be fulfilled:

- you must have at least 26 weeks' continuous employment with us by the end of the Qualifying Week, and still be employed by us in the week before the leave is to be taken;
- you must still be in continuous employment with us until the week before any period of SPL that you take;
- the other Parent must have worked (in an employed or self-employed capacity) in at least 26 of the 66 weeks before the EWC/week in which the matching date falls, and had average weekly earnings of the equivalent of the maternity allowance threshold (£30 in December 2014) during 13 of those weeks;
- (if you are the mother/adopter) you must have curtailed your entitlement to statutory maternity/adoption leave (see below); and
- you and the other Parent must give the necessary statutory notices and declarations as summarised below, including notice to end any maternity/adoption leave, statutory maternity pay (SMP), statutory adoption pay (SAP) or maternity allowance (MA) periods.

The total amount of SPL available is 52 weeks, less the weeks spent by the child's mother/adopter on maternity/adoption leave (or the weeks in which the mother/adopter has been in receipt of SMP, SAP or MA if they are not entitled to maternity/adoption leave).

If you are the child's father or the mother's/adopter's Partner, you should consider using your 2 weeks' paternity leave before taking SPL. Once you start SPL you will lose any untaken paternity leave entitlement. SPL entitlement is additional to your paternity leave entitlement.

## **Eligibility for SPL and pay**

Not less than 8 weeks before the date you intend your SPL to start, you must complete the College's notice of entitlement and intention to take SPL (see form on Cascade).

## **Ending maternity/adoption leave**

If you are the child's mother/adopter and are still on maternity/adoption leave, you must end your maternity/adoption leave before you can take SPL.

You cannot curtail your maternity/adoption leave before the end of the compulsory period.

To curtail your leave, you must either return to work, or give us at least 8 weeks' written notice to end your maternity/adoption leave (a curtailment notice – see form on Cascade) before you can take SPL. The notice must state the date your maternity/adoption leave will end. You can give the notice before or after you give birth, or have the child placed with you for adoption, but you cannot end your maternity/adoption leave until at least 2 weeks after birth.

The other Parent may be eligible to take SPL from their employer before your maternity/adoption leave ends, provided you have given the curtailment notice.

The curtailment notice is usually binding and cannot be revoked. Please speak to the Head of Human Resources should this become an issue for you.

If you are the Partner, you will only be able to take SPL once the mother/adopter has either:

- returned to work;
- given the employer a curtailment notice to end maternity/adoption leave;
- given the employer a curtailment notice to end SMP/SAP (if they are entitled to SMP/SAP but not maternity/adoption leave); or
- given a curtailment notice to the benefits office to end MA (if they are not entitled to maternity/adoption leave or SMP/SAP).

## **Evidence of entitlement**

Within 14 days of us receiving the SPL notification of entitlement, we may request:

- (For birth Parents) a copy of the birth certificate (or if you have not yet obtained a birth certificate, a signed declaration of the child's date and place of birth); and
- The name and address of the other Parent's employer (or a declaration that they have no employer).

If this information is requested, you must provide it within 14 days.



## **Booking periods of leave**

Having opted into the SPL system you will need to give a period of leave notice (see form on Cascade) telling us the start and end dates of your leave. This can be given at the same time as your notice of entitlement and intention to take SPL, or it can be given later, as long as it is given at least 8 weeks before the start of your leave.

You must also state in your period of leave notice the dates on which you intend to claim ShPP, if applicable.

If your period of leave notice gives dates for a single continuous block of SPL, you will be entitled to take the leave set out in the notice. You can give up to 3 periods of leave notices. This may enable you to take up to 3 separate blocks of SPL.

A period of leave notice may set out a single continuous block of leave or a number of discontinuous periods of leave (of at least a week) with periods of work in between.

If your booking notice is for a single continuous block of leave, this will be agreed and confirmed in writing. We do not have to agree to blocks of discontinuous leave. If you wish to request discontinuous leave, it is best to discuss this with the Human Resources Manager in advance of submitting any formal period of leave notices. This will give us more time to consider the request and hopefully agree a pattern of leave with you from the start.

You must submit a period of leave notice setting out the requested pattern of leave at least 8 weeks before the requested start date. If we are unable to agree to your request straight away, there will be a 2-week discussion period. At the end of that period, we will confirm any agreed arrangements in writing.

If we cannot reach an agreement, you will be entitled to take the full amount of requested SPL as 1 continuous block, starting on the start date given in your notice. Alternatively, you may choose a new start date (which must be at least 8 weeks after your original period of leave notice was given), and tell us within 5 days of the end of the 2-week discussion period or you may withdraw your period of leave notice on or before the 15th day after the leave notice was submitted.

## **Changing the dates or cancelling your SPL**

Should you wish to do this, you should contact the Human Resources Manager.

## **Shared Parental Pay (ShPP)**

It does not follow from the fact that an employee is entitled to take SPL that they will also be entitled to claim any ShPP for any given week.

ShPP of up to 39 weeks (less any weeks of SMP or SAP claimed by you or the other Parent) may be available provided that:

- you have at least 26 weeks' continuous employment with us at the end of the Qualifying Week;
- you are still employed by us at the end of the week immediately preceding the first week in which you claim ShPP;
- your average earnings are not less than the lower earnings limit set by the government each tax year (£111 in December 2014). ShPP is paid at a rate set by the government each year;
- (if you are the mother/adopter) you must have been eligible to statutory maternity/adoption pay or maternity allowance, and have curtailed that entitlement; and
- you satisfy all other requirements of eligibility for SPL.

You will qualify for enhanced ShPP if you have been continuously employed during the 12-month period ending with the Qualifying Week and did not take any maternity, adoption or SPL during the 12 months ending with the Qualifying Week.

Enhanced ShPP is paid at the full rate of your normal basic salary for the first 18 weeks of your SPL and includes any ShPP that may be due for that period. Any enhanced maternity, adoption or paternity pay you have received will be treated as enhanced ShPP when calculating your entitlement.

### **Change in circumstances**

You will lose your entitlement to SPL if:

- you cease to care for the child; or
- you are the father/Partner, and the mother/adopter's statutory maternity/adoption leave is no longer curtailed, or their maternity/adoption pay/allowance period is no longer reduced.

Where you inform us of one of the changes above less than 8 weeks before you are due to take a period of SPL, or whilst you are on any period of SPL, we have the right to compel you to take at least some part of the originally planned period of leave in any event. If we compel you to take any leave, the period will end no later than 8 weeks after the date you informed us of the change in circumstances, or no later than the original end date of the booked period of SPL if that is earlier.

If the child is born/placed earlier than expected, certain special rules apply to alter notice requirements relating to leave in cases of early birth/placement and you

should contact the Human Resources Manager as soon as possible for the details on varying your leave periods if necessary due to a change in circumstances.

If at any point before the child's first birthday, the mother/adopter, father or Partner, or the child dies. In such circumstances, you should contact the Human Resources Manager for advice.

### **Terms and conditions during SPL**

Your terms and conditions of employment remain in force during SPL, except for the terms relating to pay.

Annual leave entitlement will continue to accrue at the rate provided under your contract. If your SPL will continue into the next holiday year, any holiday entitlement that cannot reasonably be taken before starting your leave can be carried over and must be taken immediately before returning to work unless your manager agrees otherwise. Please discuss your holiday plans with your manager in good time before starting SPL. All holiday dates are subject to approval by your manager.

### **Keeping in touch (KIT)/SPLIT days**

We may make reasonable contact with you from time to time during your SPL although we will keep this to a minimum. This may include contacting you to discuss arrangements for your return to work.

You may ask or be asked to work (including attending training) on up to 20 "shared parental leave in touch" (SPLIT) days during your SPL. This is in addition to any KIT days that you may have taken during maternity/adoption leave. SPLIT days are not compulsory and must be discussed and agreed with the Human Resources Manager.

Working a SPLIT day will not increase the overall amount of SPL available. If you work for any length of time on any 1 day it will be counted as 1 full SPLIT day and will count against your entitlement to SPLIT days.

You will be paid at your normal basic rate of pay for time spent working on a SPLIT day and this will be inclusive of any ShPP entitlement.

### **Returning to work**

If you want to end a period of SPL early, you must give us 8 weeks' prior notice of the return date. It is helpful if you give this notice in writing.

The nature of your rights when you return to work following SPL differ depending on how much leave you have taken in total in relation to the child. If you are the mother/adopter you must calculate how much leave you have taken in total, including all periods of compulsory, ordinary and additional maternity/adoption leave,

and SPL. If you are the father/Partner, you must calculate how much leave you have taken in total including all periods of paternity leave or SPL.

If the total amount of leave calculated above is 26 weeks or less you will be entitled to return to the job in which you were employed before your most recent period of continuous absence. If the total amount of leave calculated above is more than 26 weeks then you will generally have the right to return to the job in which you were employed before your absence, or, if it is not reasonably practicable for you to return to that job, to another job which is suitable and appropriate in all the circumstances.

Where you have taken more than one type of statutory leave (eg SPL followed by parental leave) in a single period of absence from work, different statutory rules may apply.

If you want to change your hours or other working arrangements on return from SPL you should make a request under our Flexible Working Policy. It is helpful if such requests are made as early as possible.

If you decide you do not want to return to work you should give notice of resignation in accordance with your contract.

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# **Adoption Policy & Procedure**

## **Introduction**

This policy sets out the arrangements for adoption leave and pay for employees who are:

- adopting a child through a UK adoption agency, or
- fostering a child with a view to possible adoption, or
- having a child through a surrogate mother.

Adoptions from overseas are not dealt with in this policy but further information is available from the Human Resources Office.

You are entitled to take time off during normal working hours for adoption appointments although, wherever possible, should arrange the appointments at the start or end of the working day.

You should inform your line manager about your appointments as far in advance of the appointments as possible and may be asked to produce an appointment card or letter.

In some cases, you and your spouse or partner may be eligible to opt into the shared parental leave scheme which gives you more flexibility to share the available leave and pay. For information, see the Shared Parental Leave Policy.

This policy only applies to employees. It does not apply to agency workers or self-employed contractors.

This policy does not form part of any employee's contract of employment and may be amended at any time.

## **Entitlement to Adoption Leave**

In an adoption case or a fostering for adoption case, you are entitled to adoption leave if all of the following conditions are met:

- You are adopting a child through a UK adoption agency, or you are a local authority foster parent who has been approved as a prospective adopter.
- The adoption agency or local authority has given you written notice that it has matched you with a child and tells you the expected placement date.
- You have told the agency or local authority that you agree to the placement.

Adoption leave may be available if you are adopting through an overseas adoption agency. Please contact the Human Resources Office for information on eligibility and process.

In a surrogacy case, you are entitled to adoption leave if all the following conditions are met:

- A surrogate mother gives birth to a child who is biologically the child or either you, or your spouse or partner (or both of you).
- You expect to be given parental responsibility under a parental order from the court. The child must live with you and you must apply for the parental order within six months of birth.

In either case, only one parent can take adoption leave. If your spouse or partner takes adoption leave with their employer, you may be entitled to paternity leave (see the Paternity Leave Policy). In some cases, you may also qualify for shared parental leave (see the Shared Parental Leave Policy).

The maximum adoption leave entitlement is 52 weeks, consisting of 26 weeks' Ordinary Adoption Leave (OAL) and 26 weeks' Additional Adoption Leave (AAL).

### **Notification Requirements**

In an adoption or fostering for adoption case, you must tell us in writing of the expected placement date and your intended start date for adoption leave. You must give this information not more than seven days after the agency or local authority notifies you in writing that it has matched you with a child, or if that is not reasonably practicable, as soon as you can.

Once you receive the matching certificate from the agency or local authority, you must provide a copy to the Human Resources Office.

In a surrogacy case, you must notify the Human Resources team in writing of your intention to take adoption leave and give the expected week of childbirth (EWC). You must give this information by the end of the 15<sup>th</sup> week before the EWC or, if that is not reasonably practicable, as soon as you can. When the child is born, you must notify the Human Resources team of the date of birth.

The Human Resources team will write to you within 28 days of receiving your notification to confirm your expected return date, assuming you take your full entitlement to adoption leave.

## **Starting Adoption Leave**

In an adoption or fostering for adoption case, OAL may start on a date of your choosing, not more than 14 days before the expected placement date, or on the date of placement itself, but no later.

If you want to change your intended start date, please notify the Human Resources team in writing. You should give as much notice as you can but wherever possible, you must inform the Human Resources team at least 28 days before the original intended start date (or the new start date if you are bringing the date forward). The Human Resources team will write to you within 28 days to tell you your new expected return date.

In a surrogacy case, OAL will start on the day the child is born, unless you are at work, in which case it will start on the following day. You cannot change the start date.

## **Adoption Pay**

Statutory adoption pay (SAP) is payable for up to 39 weeks provided you have at least 26 weeks' continuous employment with the College, ending with the Qualifying Week (the week in which the adoption agency or local authority notified you of a match, or the 15<sup>th</sup> week before the EWC) and your average earnings are not less than the lower earnings limit set by the government each tax year. The first six weeks' SAP are paid at 90% of your average earnings and the remaining 33 weeks are at a rate set by the government each year.

You will qualify for enhanced adoption pay in line with the College's Maternity & Paternity policies.

## **Keeping In Touch**

Shortly before your adoption leave starts, the College will discuss with you the arrangements for covering your work and the opportunities for you to remain in contact during your leave. The College may make reasonable contact with you from time to time during your adoption leave.

You are permitted to work (including attendance at training sessions) for up to 10 days during adoption leave without bringing your adoption leave or SAP entitlement to an end. These are referred to as 'Keeping in Touch' (KIT) days. The arrangements for any KIT days (including any payment for these days) will be agreed between you and the College. You are not obliged to work any KIT days nor to attend work for any reason during your adoption leave.

## Returning To Work

You must return to work on the expected return date unless you have informed the Human Resources team otherwise. If you wish to return to work early, you must give at least eight weeks' notice in writing of the date. You may be able to return to work later than the expected return date if you request annual leave or parental leave which will be at the College's discretion.

If you return to work following a period of OAL, you will generally have a right to return to the job in which you were employed before your absence.

If you return to work following a period of AAL, you will generally have the right to return to the job in which you were employed before your absence or, if it is not reasonably practicable for you to return to that job, to another job which is suitable and appropriate in all the circumstances.

If you want to change your hours or other working arrangements on return from adoption leave, you should make a request under the Flexible Working Policy. It is helpful if such requests are made as early as possible.

If you decide you do not want to return to work, you should give notice of resignation in accordance with your contract.

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# **Parental Leave**

## **Who is Entitled to Parental Leave?**

Staff who have completed one year's continuous service with the College and have or expect to have responsibility for a child under the age of 18, are entitled to parental leave in accordance with the current statutory provisions. You may have responsibility for a child if you are the child's natural mother or father, you are the father registered on the child's birth certificate, an adoptive parent or you otherwise have parental responsibility for the child, for example you are the child's legal guardian.

Because this policy describes the statutory provisions, it does not form part of your Contract and may be amended at any time to reflect any changes in the law.

## **How Much Parental Leave Are You Entitled To?**

You are entitled to a total of 18 weeks' parental leave in respect of each child. In the case of multiple births, you are entitled to 18 weeks' parental leave in respect of each child.

## **When Can You Take Parental Leave?**

You may choose to take parental leave on, or any time before, the child's 18th birthday.

Parental leave can only be taken in blocks or multiples of one week (unless the child is disabled). You may not take more than 4 weeks' parental leave in a year in respect of any individual child.

## **Notification Requirements**

Staff wishing to exercise your entitlement to parental leave must give the College at least 21 days' notice of your intention to do so. Such notice must specify the dates on which you wish your period of parental leave to begin and end.

If you are the father of the child in respect of whom parental leave is to be taken, and the intended period of leave is to begin on the date when the child is born, the notice of intention to take leave must specify the expected week of childbirth. Such notice must be given to the College at least 21 days before the beginning of the expected week of childbirth.

If you are a new adoptive parent and intend to take parental leave beginning on the date on which the child is placed for adoption, the notice of intention to take leave must specify the duration of the period of leave, and the week in which placement is

expected to occur. Such notice must be given to the College at least 21 days before the beginning of the expected week of placement. If it is not reasonably practicable to give 21 days' notice, notice must be given as soon as is reasonably practicable.

### **Evidence**

The College may require you to provide the following evidence of entitlement to parental leave:

- evidence of responsibility for the relevant child;
- evidence of the child's date of birth or the date on which an adoption placement began;
- evidence of the child's entitlement to a disability living allowance (if applicable).

### **Postponement by the College**

The College may postpone parental leave for up to 6 months if its business would be particularly disrupted if the leave were taken at the time requested. However, the College may not postpone parental leave if you have given notice to take parental leave immediately after the child is born or placed with you for adoption.

If the College postpones parental leave, the College will consult with you about the date until which the leave might be postponed and it will give notice in writing within 7 days of receiving the request for parental leave, stating the reasons for the postponement and specifying the dates on which you will be allowed to take parental leave. The College will agree to let you take a period of parental leave of the same duration, beginning on a date which begins no more than 6 months after the requested commencement date.

### **During Parental Leave**

If you take parental leave, you are entitled to the benefit of the College's implied obligation of trust and confidence and the benefit of any terms and conditions of employment relating to:

- notice of termination of the employment contract by the College;
- compensation in the event of redundancy; or
- disciplinary or grievance procedures.

You are bound also by the implied obligation of good faith and any terms and conditions of employment relating to:

- notice of termination of employment;
- disclosure of confidential information;
- acceptance of gifts or other benefits; or

- participation in any other business.

You are not entitled to receive pay for periods of parental leave.

### **Returning to Work After Parental Leave**

If parental leave is taken for a period of 4 weeks or less you are generally entitled to return to the same job you had before taking parental leave.

If parental leave is taken for a period of more than 4 weeks, you are generally entitled to return to the same job or, if that is not reasonably practicable, a similar job which has the same or better status, terms and conditions as your old job.

If parental leave is taken immediately following another type of family leave such as maternity leave, provided the total amount of family leave (excluding the parental leave) does not exceed 26 weeks you are generally entitled to return to the same job that you had before taking that family leave.

If parental leave is taken immediately following another type of family leave which exceeds 26 weeks (such as additional maternity leave), you are entitled to return to the same job or, if this would not have been reasonably practicable at the end of your family leave, and is still not reasonably practicable at the end of your parental leave, you are generally entitled to return to a similar job which has the same or better status, terms and conditions as your old job.

### **Further Information**

Should you have any questions relating to this policy, you should speak to the Human Resources team.

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## **Dependents Leave Policy**

Section 57A of the Employment Rights Act 1996 provides a statutory right for you, no matter your length of service, to take reasonable unpaid time off work to deal with an emergency involving a dependant. This leave is intended to cover genuine emergencies and there is no set limit as to the number of times you can be absent from work in accordance with this right.

The time off is limited to the time that it is reasonable to enable you to deal with the immediate emergency situation and, where necessary, to make appropriate ongoing arrangements for your dependant only.

Dependant is defined as your spouse or civil partner, your child or your parent, or someone who lives with you as part of your family. It does not include tenants or boarders living in the family home, or someone who lives in the home as you e.g. a live-in nanny.

In cases of illness, injury or where care arrangements break down, a dependant may also be someone who can reasonably be said to rely on you for assistance, for instance, a grandparent or grandchild or step-child. Also, a dependant can mean someone who lives elsewhere but who relies on you for assistance when they have difficulties, where you are closest on hand at the time of the incident if your assistance is needed to assist with unexpected disruption or termination of arrangements for the care of that dependant.

Statutory unpaid leave may be granted to you for the purpose of dealing with the situation involving a dependant, such as:-

- A child is sick, injured, or assaulted.
- A serious incident involving a child at school.
- A serious illness involving a dependant.
- A child or dependant whose usual care arrangements are unexpectedly disrupted.

### **Procedure**

You should contact your line manager as soon as possible requesting dependants leave and advising the likely return to work date.

You should keep your line manager updated on absence and likely impact on your work performance and ensure any incomplete work is covered by a colleague.

This policy is intended to cover unforeseen matters. If you know in advance that you are going to need to take time off, you should take this time as part of your holiday entitlement in the normal way. Alternatively, if the reason you need to take leave relates to your child, you may be entitled to take parental leave. If the College considers that you are abusing the right to time off for dependants, disciplinary action may be taken.

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## **Carer's Leave**

### **Who is entitled to carer's leave?**

Anyone who is legally classed as an employee can take time off to help a dependant who needs long-term care. The law is the Carer's Leave Act 2023. It came into effect on 6 April 2024.

You have the right to take carer's leave from the first day of your employment.

You may take carer's leave to give or arrange care for a dependant who needs long-term care.

### **Who counts as a dependant?**

Dependants can include:

- your husband, wife, civil partner, or partner
- your child
- your parent
- a person who lives in your household (not tenants, lodgers, or employees)
- a person who relies on you for care, such as an elderly neighbour

### **What is as a long-term care need?**

A dependant has a long-term care need if they have any of the following:

- a disability as defined under the Equality Act 2010
- an illness or injury that is likely to need care for at least 3 months.
- a care need related to old age.

### **What can carer's leave can be used for?**

Examples of when you could use carer's leave include:

- taking a disabled child to a hospital appointment
- moving your parent who has dementia into a care home.
- accompanying a housebound dependant on a day trip
- providing meals and company for an elderly neighbour while their main carer is away with work for the day.

## **How much time can be taken?**

You can take up to one week of carer's leave every 12 months.

You can choose to take leave as:

- half days – this is the minimum you can take.
- full days
- a whole week

You are entitled to a period of leave that is equal to your usual working week. For example, if you work three days a week, you can take three days of carer's leave.

## **What if you care for more than one dependant?**

You might need to care for more than one dependant. In these circumstances, you can still only take one week of carer's leave. But you can use the week of leave for more than one dependant.

## **If you are a parent**

If you are a parent, you can take up to 18 weeks' unpaid parental leave (please see the Parental Leave Policy) to look after your child. This is instead of or in addition to carer's leave.

## **Pay**

Carer's Leave is unpaid leave.

## **Notice to take Carer's Leave**

You must give notice to take carer's leave as follows:

<u>Number of days requested</u>	<u>Minimum notice required.</u>
Half a day to 1 day	3 days' notice
1.5 to 2 days	4 days' notice
2.5 to 3 days	6 days' notice
3.5 to 4 days	8 days' notice
4.5 to 5 days	10 days' notice

You do not have to put your request for leave in writing or give evidence of your dependant's care needs.

## Granting Carer's Leave

The College will be flexible about granting time off wherever possible but may ask you to take Carer's Leave at an alternative time if the requested dates will cause serious operational disruption.

If this is the case, an alternative date will be agreed with you within one month of the date/s originally requested and the reason for the delay will be explained in writing. This will happen within seven days of your request or before the leave starts, whichever is the earlier.

If you need to cancel your request for carer's leave, you should do this as soon as possible and your request will be considered but doesn't have to be agreed.

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# **Flexible Working Policy & Procedure**

## **1 Purpose**

- 1.1 This policy sets out the College's approach to flexible working arrangements which is in accordance with the ACAS code of practice and guidance on handling requests to work flexibly in a reasonable manner.
- 1.2 The College recognises that flexible working can provide benefits to both the employee and the College and aims to support staff where possible/practical to manage the balance between work and home life.

## **2 Scope**

- 2.1 Under the Children and Families Act 2014, all employees have a statutory right to request a change to their contractual terms and conditions of employment to work flexibly, subject to the eligibility conditions set out below.
- 2.2 Requests for flexible working may be for any reason and are not restricted to employees with family care commitments.
- 2.3 Requests for reasonable adjustments to working hours associated with ill health or disability may be dealt with under the Managing Sickness Absence policy in appropriate cases.

## **3 Eligibility**

- 3.1 In order to make a request under this policy, a member of staff must:
  - be employed by the College and therefore this policy does not include individuals who are agency workers;  
and
  - not normally have made more than two statutory requests under this policy in the preceding 12-month period.

## **4 Principles**

- 4.1 An employee does not have a right to work flexibly but has a right to request to do so.
- 4.2 The College will try to accommodate requests where possible and may also, if appropriate, explore alternative flexible arrangements with the employee in order to reach a mutually beneficial arrangement.
- 4.3 All requests will be considered as quickly as possible. This will normally be within a calendar month of the Human Resources team receiving the request.

The whole process including discussing the request with the employee any possible appeal against the decision must be conducted within a maximum period of two calendar months. This timescale may be extended if necessary with the agreement of both parties, for example to allow for a trial period if there are some concerns as to whether any new arrangements will work.

4.4 The term 'flexible working' describes any working arrangements where the number of hours worked or the time or place that work is undertaken vary from the standard practice. This includes, but is not limited to, the following.

- a change to the number of hours of work
- a change to the times when an employee is required to work
- to work from home
- a reduction in the working week
- a shorter working year
- a job-share arrangement
- work patterns such as annualised hours, compressed hours, flexitime, shift working, staggered hours and term-time working.

## **5 The Decision**

5.1 Decisions will be based on whether or not a request can be granted on business grounds. The College's ability to provide an effective service will be paramount.

5.2 Not all working patterns or flexible working options will be suitable for all departments. It may also be difficult to accommodate flexible working requests from a number of employees in the same area.

5.3 Once a decision has been reached and has received approval to proceed, the Human Resources team will inform the employee of the outcome which may be to:

- agree to a new work pattern and a start date, or
- confirm a compromise agreed with the employee, or
- provide a clear business reason as to why the application cannot be accepted. This reason must be one of those listed below (see 6.2).

5.4 Decisions will be confirmed in writing.

- 5.5 If appropriate, updated Terms and Conditions will be provided no later than 28 days after the request has been approved.

## **6 Grounds for Refusing a Request**

- 6.1 The College will carefully consider the advantages, possible costs and potential logistical implications of any request.
- 6.2 An application may only be rejected for one of the following business reasons:
- a. The burden of any additional costs is unacceptable.
  - b. An inability to reorganise work among existing staff.
  - c. An inability to recruit additional staff.
  - d. The College considers the change will have a detrimental impact on standards.
  - e. The College considers the change will have a detrimental impact on performance of the individual, the department, or the College.
  - f. There is insufficient work during the periods that the employee proposes to work.
  - g. Where the requested changes will not fit in with planned structural changes.

## **7 Terms and Conditions**

- 7.1 Where a flexible working request which results in a reduction in working hours is approved, the employee's salary and benefits will be pro-rated to reflect the new working hours. In the case of a shorter working year, the pro-rated salary will be paid over a 12-month period. Annual leave will be pro-rated to complete months worked.
- 7.2 A successful application will result in a permanent change to the employee's terms and conditions of employment. However, there may be occasions where it may be appropriate to agree a temporary change, such as an agreed trial period.
- 7.3 The College's ability to offer and continue a job-share arrangement depends on finding a suitable job-share partner through the normal recruitment processes. If one partner in a job-share arrangement leaves, the College will offer the post as a full-time post to the remaining job-sharer, or seek to recruit a replacement. If this is not possible, and the requirement is for a full-time

post, the College will make all reasonable efforts to redeploy the remaining job-share partner.

## **8. How to Apply**

- 8.1 Applications should be made in writing to the Human Resources team using form FW1 (this can be found on Cascade).
- 8.2 On receipt of the written application, the Human Resources team will arrange to meet with the member of staff and their line manager or head of department at a mutually convenient time. This will provide an opportunity to explore the desired work pattern in depth, and to discuss how this might be accommodated. It will also provide an opportunity to consider other alternative working patterns should there be problems in accommodating the desired work pattern outlined in the employee's application.
- 8.3 The employee may, if they wish, be accompanied by either a trade union representative or a work colleague.
- 8.4 Should the employee be unable to attend the meeting; a further meeting will be arranged. However, if they fail to attend again without good reason then the application will be considered to be withdrawn and the employee will be informed of this decision.

## **9. Appeals Procedure**

- 9.1 The employee may appeal the decision within 10 working days of the decision being notified to them. The grounds for the appeal should be put in writing to the First Bursar.
- 9.2 The First Bursar will review the application and may, as necessary, request further information and/or evidence, and may wish to meet with the employee and/or line manager or head of department. The employee may, if they wish, be accompanied as set out in clause 8.3 above.
- 9.3 The First Bursar will review whether the line manager/head of department was justified in refusing the request.
- 9.4 The First Bursar will notify the employee of the outcome of the appeal within 20 working days of being asked to review the application. Their decision will be final.

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# **Agile Working Policy**

## **1. Purpose and Scope**

- 1.1 King's College wishes to promote flexibility in work location for employees where this is appropriate for the role, and will agree to agile working, provided that such an arrangement is suitable for both parties and is likely to facilitate effective and efficient working. Some roles, due to their nature, can only be carried out on College premises and those roles are excluded from this Policy. At the heart of the Agile Working Policy is the philosophy that work is something we do, not somewhere we go - it is an activity, not a place.
- 1.2 This Policy applies to all those directly employed by the College. Where the provisions relating to the employment of Fellows are laid out in the College's statutes and ordinances, the statutes and ordinances shall, in the event of any conflict, prevail.
- 1.3 Agile working describes a type of informal working arrangement which gives a degree of flexibility in terms of where employees work. Any informal agile working arrangements agreed within this framework would not form a change to terms and conditions of employment. They are different to formal flexible working requests, which focus on employees' regular working patterns and are contractual (please refer to the Flexible Working Policy and Procedure).
- 1.4 Agile working benefits the College and its employees in that it:
  - Enables employees to maximise their performance and productivity through an enhanced working environment.
  - Enables the College to respond to an employee's need for flexibility in working location, delivering an improved work / life balance.
  - Increases the level of health and wellbeing of its employees thereby reducing absence.
  - Reduces the environmental impact through less travel.
  - Increases availability of resources e.g. car parking.
  - Provides a solution to a temporary problem where travel to the College is not possible, such as in severe weather.
- 1.5 As every job is different and every employee is different, the College cannot guarantee that it will be able to support every employee's request to work in an agile manner.
- 1.6 The College will expect someone working away from the College to be in regular contact with their line manager.

## **2. Working Location/Environment**

- 2.1 Where employees work, and the impact that different environments can have on an individual's productivity, morale and wellbeing, can vary from individual to individual. The College believes there are benefits to both working in the College environment (e.g. team working, sharing ideas, building working relationships, creating a positive wider collegiate community) as well as

working away from the College (e.g. ability to focus by removing distractions, less time taken with commuting to enable a better work-life balance).

- 2.2 Decisions about working away from the College should take into account the requirements and best interest of the team and other employees, particularly where there is a likelihood of employees working together. The need to be in a certain location may change at short notice and line managers should demonstrate a level of trust in employees to make the right decision on where to be on a certain day.
- 2.3 When working away from the College it is important the environment is appropriate. Consideration should be given to not being disturbed or having concurrent caring responsibilities, or being overheard, particularly if confidential information could be discussed.

## **Health and Safety**

- 2.4 The College is obliged under health and safety legislation to ensure the health and safety of someone working away from the College in the same way as working on College premises. The College is therefore required to ensure that:
  - all equipment and systems of work in the employee's home are safe (which will require equipment provided by the College to be brought in for PAT testing annually),
  - all equipment and paperwork are handled and stored safely,
  - an analysis of the employee's workstation is conducted,
  - information and training on safe use of equipment, including display screen equipment, is provided,
  - risk assessments are carried out in respect to the work the employee is carrying out.

The employee must assist the College in meeting these requirements.

## **3. Equipment and Materials**

- 3.1 It is the College's policy to ensure that every employee has one office working environment that is fit for the role they undertake, and this will be supplied by the College. It is the responsibility of the employee to provide appropriate equipment and materials to carry out their duties at home (e.g. chair, desk, monitor etc.). The University website provides options for some local discounts for personal purchases if applicable at <https://www.hr.admin.cam.ac.uk/pay-benefits/cambens-employee-benefits/shopping-discounts>.
- 3.2 Issuing of College equipment such as a laptop or desktop computer is driven by business needs and not around personal desire for agile working. This includes the employee having a suitable broadband connection with which to access the College network.

- 3.3 All agile workers will be expected to be available by telephone during normal working hours. However, an employee's telephone number, address and personal email address may not be divulged to third parties without express permission.

#### **4. Expenses (e.g., Telephone and Broadband)**

- 4.1 The College will not reimburse any expenses incurred or benefits not available due to remote/home working as these are offset against reduced travel costs to the individual if this work were performed at College. The Government does have an option to claim tax back and you can check your eligibility at <https://www.gov.uk/tax-relief-for-employees/working-at-home>

#### **5. Visits to the Employee's Home**

- 5.1 Under no circumstances must arrangements be made for meetings to be held in an employee's home with colleagues, suppliers or contractors. These meetings should occur at the College. Visits may be required for Health and Safety purposes.

#### **6. Security**

- 6.1 Employees who work away from the College are responsible for keeping all documents and information associated with the College's business secure at all times. Specifically, there is a duty on the employee to:
- ensure nobody but the employee accesses the College intranet through the employee's home access;
  - keep all documentation belonging to the College secure at all times,
  - keep any hard copy documents in a locked environment to prevent unauthorised viewing or access. For this reason, employees are strongly discouraged from taking hard copy documents home.

#### **7. Insurance**

- 7.1 If working from home informally, yet with some frequency, then it is the responsibility of the employee to check that their home and contents insurance policies provide adequate cover for working from home. Any additional costs are the responsibility of the employee.

#### **8. Procedure**

- 8.1 For those wishing to consider agile working, a mutual agreement must be reached between the employee and their line manager and/or colleague(s) including the HR Manager on the agile working arrangement. When considering agile working, both parties must be mindful of the following principles:



- Working agilely off College premises should not create additional workload for any employee or their colleagues and should be without any detriment to the College's productivity or values.
- This is never a fixed or a guaranteed arrangement and can be revoked at any time with 2 weeks' notice to the employee.
- Employees have an agreed work pattern and are contracted to work a number of hours per week, as detailed in the contract of employment, and these should be adhered to.
- The framework does not allow for time off in lieu (TOIL) or working through lunch breaks. All legally required breaks must be taken.

8.2 Employees who are considering agile working should be willing to discuss whether their skills and attributes include:

- Self-discipline,
- The ability to work without direct supervision and without colleagues in the room,
- Good organisational skills,
- The ability to manage time effectively, and
- An ability to cope with the potentially conflicting demands of work and family.

8.3 All employees who work away from the College have a duty to ensure, insofar as is reasonably practicable, that they work in a safe manner and that they follow all health and safety instructions issued by the College from time to time.

Conditions of working away from the College are that the employee:

- reads and applies the 'Working from Home' risk assessment,
- completes a Display Screen Equipment (DSE) Assessment of their remote working environment and submits this to their manager, and
- signs and returns the home working checklist to the HR Manager.

8.4 This policy is not contractual but is intended as a statement of current College policy and its commitment to operate a fair procedure in relation to all its employees. The College therefore reserves the right to amend this policy as necessary. Anyone found to be in breach of this policy may be liable to disciplinary action.

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# **Home Working Policy**

## **1. Introduction**

There may be occasions where staff regularly work at home for all or part of their working week. In such instances their home becomes their working environment, and the College must safeguard the individual's health, safety and welfare, so far as is reasonably practicable.

This policy is not contractual but sets out the areas that need to be considered before any agreement is made, and the action that needs to be undertaken, in the event that a request to work from home is agreed. This policy should be read in conjunction with the College's 'Flexible Working Policy'.

This policy does not apply to those members of staff who may work at home on an ad-hoc basis, e.g. to make it easier to meet a particular deadline or during adverse weather conditions.

## **2. Definition of a home worker**

A homeworker is an employee who has a formal written agreement to work at home for some or all of their contracted hours.

## **3. Considering a request**

The College will assess individual requests on a case-by-case basis, taking into consideration some, or all, of the following:

- whether or not the request is commercially viable and whether the individual has the self-discipline necessary for this method of working;
- the times when an individual is designated to be working, so that the College knows that they are available if communication is required;
- arrangements for recording the hours worked from home, in order to ensure that the employee works in accordance with The Working Time Regulations 1998;
- the need to ensure that College data and information is secure (e.g. arrangements may need to be made for the provision of lockable cabinets in the home, and ensuring that the computer used is password protected);
- whether costs will be incurred as a result of home working (e.g. telephone calls and internet use) and arrangements for these to be reimbursed;
- the need for virus protection software;
- arrangements for IT support for the home worker;
- arrangements for any required management supervision (including setting appropriate and achievable targets), and evaluation of work.

This list is not exhaustive.

#### **4. Trial period**

When an employee is granted a request to work from home, a reasonable trial period may be appropriate. This will be agreed with the employee and confirmed in writing. Usually the employee will be given an amendment to their terms and conditions of employment, tailored to suit their new working arrangements, which will include details of any trial period. If, during the trial period, either the employee or the College finds that the arrangement is not working, a return to office-based working may be required, and the original terms and conditions of employment will be reinstated.

#### **5. Health and safety implications of working from home**

Most of the regulations made under The Health & Safety at Work Act 1974 apply to home workers as well as employees working on College premises. These include, for example, the Management of Health and Safety at Work Regulations 1999, the Display Screen Equipment Regulations 1992, and the Provision and Use of Work Equipment Regulations 1998.

#### **6. Health, safety and wellbeing**

To ensure that the College meets its obligations with regard to the health, safety and wellbeing for any employee who requests to work from home, the following should be considered prior to the commencement of any home working arrangement.

#### **7. Risk assessment**

The employee will be required to complete a risk assessment for the room/area in their home, which will become their place of work. The risk assessment will cover a number of health and safety factors including fire safety, first aid provision, space, and secure storage facilities. If the College has any concerns about any of the responses given in the risk assessment the Health & Safety Adviser will liaise with the employee to discuss the findings. The Health & Safety Adviser will review the home worker's risk assessment annually with them.

#### **8. Provision and use of equipment**

Any electrical equipment provided by the College remains the responsibility of the College and the College is responsible for its maintenance. If the College provides a home worker with equipment to carry out their work, the College will ensure that:

- the equipment is correct for the job that is being done;
- proper information and training is given on how to use the equipment so that the work is carried out safely;
- the equipment being used is checked regularly and kept in a condition that does not cause harm to the home worker or others.

Any equipment provided by the College for use by a home worker must be documented and signed by all parties.

## **9. First aid**

The College will consider first-aid needs for home workers, which will depend upon the nature of the work, and the risks involved. Home workers should ensure that they have suitable measures in place for a home emergency.

## **10. Communication**

It is recognised that home workers working from home for long periods of time may feel isolated through loss of regular contact with colleagues. The College will aim to keep such workers well informed of developments and changes in procedures.

Heads of Departments will:

- invite home workers to attend team briefings and other departmental meetings on a regular basis;
- ensure that home workers are invited to College social events and celebrations.

## **11. New and expectant mothers**

When assessing the risk of home working, the Management of Health & Safety Regulations 1999 requires that the College to assess the risks to home workers who are new or expectant mothers. The Health and Safety Adviser will complete a separate risk assessment for all new and expectant mothers who have been granted permission to work from home. The assessment will include any risk to the unborn child, or to the child of a woman who is breast-feeding.

## **12. Fire hazards**

All home workers are advised to install one or more smoke alarms and switch off all electrical equipment at night and when away from the home. If an unaccompanied home worker smokes whilst working in his/her home, the usual fire precautions should be taken; cigarettes should not be discarded into waste paper baskets. A clear exit that is not obstructed by bags, furniture or boxes should be maintained at all times. Where there are fire extinguishers, these should be kept in an appropriate position and maintained regularly. The College will not accept any liability if a fire should occur at home.

## **13. Training and information**

The homeworker will be required to complete the following training:

- DSE Awareness
- Cyber Security Awareness
- Inspecting Electrical Appliances
- GDPR Essentials
- Display Screen Equipment (DSE)

The home worker will also be required to complete a workstation assessment and read the College's Data Protection and IT Policies.

#### **14. Obligations of the home worker**

The home worker will be required to:

- Apply all health and safety training given by the College to their home working environment, e.g. manual handling;
- Ensure that any College-provided electrical equipment is PAT tested annually by the College's appointed engineer;
- Report any damage of College equipment, e.g. to electrical equipment, cables, plugs etc.
- Ensure that the measures identified in the risk assessment to remove or reduce the risk of hazards are complied with, e.g. avoiding trailing cables;
- 
- Work in accordance with the Health & Safety (Display Screen Equipment) Regulations 1992 by:
  - adjusting their workstation to a comfortable position;
  - ensuring correct posture is achieved;
  - taking appropriate screen breaks;
  - ensuring that visual display units are in a position whereby lighting will not cause reflection or glare on the screen.
- Report any accident, incident or 'near-miss' to the College through the usual reporting arrangements;
- Report any sickness or absence while working from home to their Head of Department in the usual manner, ensuring that (if appropriate) in-coming calls and e-mail are diverted to an alternative point of contact in College;
- Notify the College in the event of a change of address, so that a risk assessment can be undertaken at the new address, and a record be made of the new location of any College property;
- Be aware that Health & Safety Executive Inspectors would have the right to visit a home worker in order to ensure that risks from work and working at home are appropriately managed.

#### **15. Data protection**

In addition to the health and safety requirements set out above, the employee must also:

- be aware of their own responsibilities under the Data Protection Act 1998, particularly if taking special personal data home;
- ensure that confidential or special personal data is stored in a secure cabinet or drawer and that electronic data is protected by an access password known only to them;
- not normally remove master files from their department, but take copies for use at home, whenever possible.

## 16. Other conditions

All College policies and procedures will apply to staff working from home e.g. Equal Opportunities Policy, Alcohol and Drugs Policy, and the College's rules concerning confidentiality.

## 17. Insurance

The College's insurers will provide cover, e.g. employer's liability and personal accident, for someone working from their home provided a risk assessment is completed and reviewed annually. Any College property provided will be covered by the College's insurance provided it is recorded as being in use at the worker's home address. The College recommends that home workers consult their own insurers in case there is any implications for their insurance arrangements if they are working from their home.

## 18. College property

The employee will be required to provide the College with written consent of anyone else living in their household, confirming that the College will have the right to recover or have access to its property if required. Occasions when the College might need access to the property may include the need to test electrical equipment, for a health and safety risk assessment to be undertaken, or to recover the College's property if the employee's employment with the College comes to an end. This list is not exhaustive.

In the event that the College collects such property from the employee, this will be on an agreed date and at an agreed time.

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# **Equal Opportunities Policy**

## **Commitments**

The College commits to providing an environment for Students, Staff and Fellows, that is free from bullying and discrimination<sup>1</sup>, and which fosters mutual respect and consideration between all its members. In turn, it is committed to equality of opportunity and a pro-active and inclusive approach to equality, which supports and encourages under-represented groups, promotes an inclusive culture, seeks to minimise the impact of socio-economic disadvantage, and values, and promotes, diversity.

The College recognises that its success depends on Students, Staff and Fellows. Capitalising on what is unique about individuals and drawing on their different perspectives and experiences will add value to the way the College operates, while, at the same time, upholding, and respecting, the dignity of all.

The College will constantly strive to create a productive environment, representative and responsive to different cultures and groups, where everyone has an equal chance to succeed, and is positively facilitated in achieving their full potential, regardless of their socio-economic background. Everyone in college has a responsibility to embrace and support this vision and to challenge behaviour and attitudes that prevent the College from achieving this.

The college commits to carrying out its activities in a way that enhances equality of opportunity, fairness, and dignity, and that is conducive to reducing the inequalities of outcome which result from socio-economic disadvantage.

The College aims to ensure that:

- Students, Fellows, Staff, and visitors are treated fairly and with respect.
- Students, Fellows and Staff and visitors are free from harassment of any description, or any other form of unwanted behaviour, whether based on the grounds listed in the Equality Act, or otherwise, and
- Students, Fellows and Staff are able to contribute to the College, and achieve their potential, irrespective of any defining feature that might give rise to discrimination.

The College will take active steps to promote good practice. In particular, it will:

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<sup>1</sup> References to discrimination in this policy includes discrimination by association or perception.



- Work towards the elimination of unlawful discrimination, harassment, and victimization based on a protected characteristic, whether actual, perceptive, or associative.
- Advance equality of opportunity between persons who share a protected characteristic and persons who do not share it.
- Foster good relations between persons who share a protected characteristic and persons who do not share it.
- Subject its policies to continuous assessment in order to examine how they affect protected groups and to identify whether its policies help to achieve equality of opportunity for all these groups, or whether they have an adverse impact.
- Subject its policies to continuous assessment in order to examine how they affect persons depending on their socio-economic background, and to identify whether its policies help to achieve equality of opportunity for regardless of such background, or whether they have an adverse impact that can be reasonably mitigated.
- Monitor the recruitment and progress of all Students, Fellows and Staff, collecting and collating equalities information and data as required by law or for the furtherance of College's equalities objectives.
- Promote an inclusive culture, good practice in teaching, learning, and assessment, and good management practice, through the development of codes of best practice, policies, and training.
- Take positive action wherever possible to support this policy and its aims.
- Publish this policy widely amongst staff, fellows, and students, together with policy assessments, equality analysis and results of monitoring.

### **Monitoring and Reviewing**

The College commits to the following specific monitoring and reviewing steps with a view to promoting equality of opportunity among its students, staff, and fellows, and ensuring that the commitments in this policy are upheld.

In the event that any of the below monitoring and review procedures discloses a potentially adverse impact on a group or groups, this will be brought to the attention of the relevant Committee or the College Council for consideration and action as appropriate.

## 1. General

College Council will require annual reviews of college regulations, policies, and codes of practice, with a view to ensuring they are fair, equitable, and consistently implemented. It will also require that the impact of such regulations, policies, and codes of practice on particular groups is monitored. To this end, Council will require from the relevant Committees, annual reports on how the principles of this policy have been implemented within their department, including information about any matters of concern.

## 2. Admissions

The Senior Admissions Tutor will annually review undergraduate admissions procedures, and the Graduate Admissions Tutor will annually review graduate admissions procedures, to ensure that the admissions process is applied consistently and fairly to all applicants.

The Senior Admissions Tutor will ensure that everyone engaged in undergraduate admissions will be made aware of the requirements of this policy. The Graduate Admissions Tutor will do likewise for those engaged in graduate admissions.

## 3. Students

- Directors of Studies will be responsible for monitoring academic progression and achievement of their students, under the delegated authority of the Senior Tutor, who may be called upon to assist in difficult cases. Tutors play an equivalent role in ensuring the welfare of their students, again with the Senior Tutor available to assist when needed.
- The First Bursar will submit to the Catering Committee an annual review of services and facilities with a view to ensuring that as far as practicable, they are sufficient to meet students' cultural and religious needs, and to ensure that they do not unreasonably disadvantage to any protected group.
- The Assistant Tutor, with authority to delegate to the Accommodation Officer, will be responsible for reviewing, annually, the process by which accommodation is allocated so as to ensure equitable allocation, without prioritising or disadvantaging any protected group.
- The Studentship Electors will be responsible for annually reviewing the procedures for distribution of scholarships and so as to ensure that decisions are equitable and do not unreasonably disadvantage any particular group.

- The Financial Tutor will be responsible for annually reviewing the procedures for distribution of hardship funds so as to ensure that decisions are equitable and do not unreasonably disadvantage any particular group.

#### 4. Staff and Fellows

- The HR Manager will be responsible for submitting, annually, to the HR Committee, a review of the procedures for the recruitment and selection of staff in order to ensure equality of opportunity.
- The HR Manager will be responsible for annually submitting to the HR Committee a review of staff disciplinary and grievance procedures and the code of practice on harassment.
- The Vice-Provost will be responsible for submitting, annually, to the Fellowship Committee a review of the procedures for the recruitment and selection of Fellows in order to ensure equality of opportunity.

In the event that any of the above reviews discloses a potentially adverse impact on a protected group or groups, this will be brought to the attention of the relevant Committee or the College Council as appropriate.

If the relevant Head of Department, and/or person responsible for conducting any of the above reviews, is of the view that there is nothing to report and/or there have been no incidents justifying the initiation of a review, they will issue a statement to the relevant Committee to that effect. However, no more than three years shall be allowed to pass without a full review being conducted by the relevant department/person.

#### Actions to prevent discrimination

Subject to statutory provisions, no student, member of staff, applicant for admission as a student, or applicant for appointment as a member of staff will be treated less favourably than another because of her or his belonging to a protected group (a group sharing one of the listed protected characteristics). This commitment applies to a former students or former employees where the alleged unlawful conduct arises out of and is closely connected to the former student's or former staff member's previous relationship with the College.

Protected characteristics are defined in the Equality Act 2010 as Sex, Gender Reassignment, Marriage or Civil Partnership, Pregnancy or Maternity, Race (including Ethnic or National Origin, Nationality or Colour), Disability, Sexual Orientation, Age, or Religion or Belief. The College respects all religious and philosophical beliefs, as well as the lack of religion or belief, and the right of all members of its community to discuss and debate these issues freely.

The College will not tolerate any form of unlawful discrimination.

Discrimination includes:

1) Direct Discrimination

Direct Discrimination arises where a person (or persons) treats someone (A) less favourably than another person (B) because of a protected characteristic that A has, is believed to have, or with which A is associated.

2) Indirect Discrimination

Indirect Discrimination arises where a person (or persons) applies a provision, criterion or practice (such a rule, or policy), that places those with a particular protected characteristics shared by A, the alleged victim, at a disadvantage as compared with those without that characteristic, where doing so is not a proportionate means of achieving a legitimate aim.

3) Harassment

Harassment arises when a person is subjected to unwanted conduct (physical, verbal, or non-verbal), based on a protected characteristic, which has the purpose or effect of violating that person's dignity, or creating a degrading, or hostile, environment.

4) Victimisation

Victimisation occurs when a person is treated less favourably because they have taken or intend to take action to assert the rights conferred by the Equality Act or because they have assisted someone else in a complaint.

Where the protected characteristic is Disability, discrimination also includes:

Subjecting someone to an unfair and unreasonable disadvantage for a reason arising from a disability they either have, are thought to have, or are associated with (such as the disability of a family member). It also occurs if the College fails to make a reasonable adjustment to accommodate the needs of a disabled person, where it is reasonably practicable to do so.

Enforcement

The College regards all the above forms of discriminatory conduct as serious matters. Fellows, and members of staff who fail to comply with the above policy will be subject to the College's Disciplinary Procedures as detailed in the Staff Handbook and Statute R.

Students who commit acts of discrimination will be subject to the Student Disciplinary Procedure.

### **Actions in relation to specific characteristics**

#### Sex

In order to ensure that women and men are fully and properly represented and rewarded for their contribution to the college and/or their academic and non-academic achievements, the college commits to:

1. Challenging gender stereotypes, such as the assumption that people of a certain gender are better or worse at undertaking particular roles; and
2. Promoting a healthy work-life balance
3. Recognising the different barriers, or challenges, faced by persons of different genders when it comes to participating in college activities and/or integrating in the college community, and actively striving to reduce these barriers. This might include taking a flexible approach to the organisation of events and/or meetings, so as to better accommodate those with child-care (or other caring) responsibilities, particularly, but not exclusively, because such caring responsibilities are often associated with persons of a particular sex.

#### Trans-Gender Status

The College commits to taking positive steps to support a trans gender person to ensure that they are treated with dignity and respect. This includes persons who plan to undergo, are undergoing, or have undergone gender re-assignment, and anyone who has a gender identity or gender expression that differs from their sex assigned at birth.

#### Race

The College commits to representing and valuing the racial and cultural diversity of the college community by:

1. Challenging racial and cultural stereotypes, for example, that people of a certain race, nationality, or ethnicity are better or worse at undertaking particular roles; and
2. Understanding, respecting, and valuing different backgrounds and perspectives,

3. Taking steps to remove barriers to participation in college life that might be faced by particular racial, cultural, or religious groups.

### Disability

The College recognises and values the abilities of disabled people and commits to:

1. Focusing on what people can do rather than what they cannot, while nonetheless recognising limitations and taking reasonable steps to help individuals overcome them.
2. Facilitating the participation and integration of disabled persons in a variety of aspects of college life.
3. Challenging stereotypes about people with disabilities, and
4. Making appropriate adjustment to help people with disabilities realise their career, and/or academic, potential, and to overcome or minimise any disadvantages arising from those disabilities.

In acting on this commitment, Directors of Studies and Tutors, in collaboration with the Disability Resource Centre, will ensure that students with Student Support Documents are fully supported, ensuring, as far as possible, the full implementation of any SSD in collaboration and consultation with the student's lecturers and/or supervisors. Concerns about the inadequate implementation of an SSD should be raised with the student's Director of Studies, or Tutor, at the first instance, or, where this is not deemed appropriate, with the Senior Tutor.

### Age

The College promotes age diversity in the workplace and commits to challenging age stereotyping and recognising the benefits of a mixed age workforce. Where discrimination on the grounds of age exists, such as in the case of an employer justified retirement policy, the college ensures that such discrimination pursues a legitimate goal, is limited in extent, and scope, to that which is necessary and proportionate to achieving that goal, in accordance with the law.

### Religion or Belief (including political opinions)

The College commits to treating all students, staff and fellows, fairly irrespective of their religious or political opinions, recognising individuals' freedom of belief and right to protection from intolerance or persecution. The college recognises the right of each individual to practice their religion, and, where reasonable and practical, will take steps to facilitate this. In turn, the college will take steps to remove all unreasonable barriers to the participation in college life by particular religious groups.

## Sexuality

The College commits to treating persons fairly irrespective of their sexuality; to respecting different lifestyles and challenging negative stereotypes.

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# **Recruitment & Selection Policy**

The College's objectives are to advance education, religion, learning, and research. The College aims to fulfil these to a very high standard, befitting one of the best Universities in the world.

To fulfil these objectives, the College aims to recruit very good non-academic staff who can support the College's academic endeavour by delivering leadership, community, facilities, finance, and administrative support of high quality. A professional approach to recruitment is essential to do this.

The purpose of this policy is to provide a sound framework for the recruitment and selection of staff based upon the principles outlined below, which also meet the requirements of the Equality Act 2010 and all other relevant employment legislation.

## **Scope**

This policy and procedure covers all activities that form part of the recruitment and selection process. It is applicable to all staff recruitment except occasional/relief staff. For the policy and procedure to be effective it is essential that any employee who is involved in any aspect of the recruitment and/or selection of staff is aware of this document and follows it. Ultimately it is the responsibility of Heads of Departments, in conjunction with the HR Manager, to ensure that this is the case.

## **Principles**

- The College has a principle of open competition in its approach to recruitment.
- The College will seek to recruit the best candidate for the job based on merit. The recruitment and selection process should ensure the identification of the person best suited to the job and the College.
- The recruitment of staff will take into account the College's need for new ideas and approaches and additionally should support the College's commitment to ensuring a diverse workforce by proactively seeking to attract applications from groups that are under-represented. This could be done by the use of diverse advertising channels and highlighting diversity in recruitment adverts and job descriptions.
- The College wishes to encourage the recruitment of qualified staff with disabilities and will make reasonable adjustments at all stages of the recruitment process and as required in order for a successful candidate with a disability to undertake the post.



- The College will ensure that the recruitment and selection of staff is conducted in a professional, timely and responsive manner and in compliance with current employment legislation.
- The College will provide appropriate training, development, and support to those involved in recruitment and selection activities in order to meet this core principle. Any member of staff involved in the selection of staff should attend an appropriate management or recruitment and selection training course as well as unconscious bias training and should satisfy themselves that they can comply with the requirements of this policy and procedure. As a minimum requirement any member of staff who takes part in any activity under this policy and procedure must first have completed the College's Dignity at Work training.
- Recruitment and selection is a key public relations exercise and should enhance the reputation of the College. The College will treat all candidates fairly, equitably, and efficiently, with respect and courtesy, aiming to ensure that the candidate experience is positive, irrespective of the outcome.
- The College will ensure that its recruitment and selection process is cost effective.
- If a member of staff involved in the recruitment process has a close personal or familial relationship with an applicant, they must declare this as soon as they are aware of the individual's application and avoid any involvement in the recruitment and selection decision-making process.
- All documentation relating to applicants will be treated confidentially in accordance with data protection regulations. Applicants will have the right to access any documentation held on them in accordance with the relevant College data protection policy.

## **Recruitment & Selection Procedure**

There are a number of key stages in recruiting and selecting for a post. This procedure outlines the key stages. Further advice and guidance is available from the HR Department.

### **1. Preparation Stage**

The recruitment and selection process should not commence until a full evaluation of the need for the role against the department's future plans and budget has been completed.

All new or changed posts must be reviewed and authorised by Council on the recommendation of the HR Committee before they are advertised.

Authorisation to recruit to any post should be sought from the First Bursar before commencing the recruitment process by the completion of a Request to Recruit form.

If a manager believes that there may be potential difficulties in recruiting to a post, they should contact the HR team for advice and guidance on comparative market rates.

## **2. Job Description & Person Specification**

A job description and person specification must be produced or updated for any vacant post that is to be filled.

The job description should accurately reflect the duties of the post.

The person specification should state both the essential and desirable criteria in terms of skills, aptitudes, knowledge, and experience for the job, all of which should be directly related to the job and applied equally to all applicants. Care should be taken when writing the person specification to ensure that the criteria used specify all the requirements of the job and do not indirectly discriminate against certain groups of applicants.

## **3. Advertising**

All positions will normally be advertised within the College as a minimum. This will help maximise equality of opportunity and provide staff with opportunities for career development, thus maintaining the skills and expertise of existing staff. In exceptional circumstances the First Bursar may waive the need to advertise. This is likely to include the following circumstances:

- positions requiring specialised expertise where the Head of the Department can demonstrate that a comprehensive search has been conducted and the nominated individual is the most suitable person for the position;
- where there has been a clear succession plan in place for one certain individual;
- where the recruiting manager can verify that the work is required for a specific purpose of no greater than twelve months duration.

Any member of staff who may be subject to redeployment will be given access to vacancies before they are advertised more generally within the College or externally.

In certain circumstances it may be more effective to use a recruitment agency. This should be discussed and agreed with the HR team. This will, however, not eliminate the need to advertise the position internally and any external agencies who assist in the process must act in accordance with this policy and with respect to our equal opportunities requirements.

Staff who have been in an acting position that subsequently becomes vacant will need to apply for the position when it is advertised, but in such cases the position can be advertised on an internal basis only.

All adverts must be placed through the HR team, except where alternative arrangements have been formally agreed in advance with the Head of HR.

All externally advertised vacancies will be placed on the College website, the University's website, and on [www.indeed.co.uk](http://www.indeed.co.uk) as a minimum.

All advertising must be cost-effective and agreed in advance with the College Officer in charge of the department.

Adverts should include the expected interview date/s wherever possible.

Applicants are asked to provide equal opportunities details when making their application to enable a robust means of monitoring the success of recruitment in relation to our diversity aims. This information is separate from the job application and applicants do not have to provide these details.

The College has a legal obligation to comply fully with the provisions of the Rehabilitation of Offenders Act.

## **4. Selection of Candidates**

### **4.1 Shortlisting**

Shortlisting may involve the whole panel but must be carried out by a minimum of two people to avoid any possibility of bias, one of whom would normally be the direct line manager.

Notes of the shortlisting decisions for each candidate should be recorded by a member of the panel on the shortlisting matrix. The matrix should be returned to the HR department once the shortlisted candidates for interview have been selected.

Shortlisted candidates should be provided with details of the interview process (including any tests) in writing, giving as much prior notice as possible before the interview. In accordance with the Equality Act 2010, they should also be asked to advise if there are any particular arrangements or reasonable adjustments that could be made so that they can participate fully in the selection process.

All candidates (internal and external) should be assessed objectively against the selection criteria set out in the Person Specification. Assumptions about the qualities of internal candidates should not be made.

### **4.2 Selection & Interview**

All internal candidates who meet the essential criteria for a post (as set out in the person specification) will be offered an interview.

The interview should normally be carried out by a minimum of two people, one of whom should be the immediate Line Manager. A member of the HR team or a manager from another department will normally be included on an interview panel for those positions which operate at a supervisory level or above.

Thought should be given to diversity amongst the members of the panel where possible.

Selection is a two-way process: candidates are assessing the role and the College. Those involved in recruitment should consider how best to convey a positive image.

It is recommended that a range of selection methods, that are suitable for assessing both the essential and desirable criteria in the person specification are established as this will enhance objective decision-making which is difficult through interview alone.

Interview questions and the structure of the interview should be consistently applied to all candidates and should be based on the person specification.

Notes recording the salient points of the interview should be taken by the interviewers so that they can refer back to these when assessing candidates against the person specification and making decisions. Please note that candidates have a right of access to these notes; do not use inappropriate or offensive language, or anything you would not want them to see. Notes of the interview and any other notes on the candidate taken during the recruitment and selection process should be passed back to the HR Department following the selection process and will be kept for up to 12 months following the selection process.

In the event that a candidate requests feedback about their performance in the selection process this should be arranged by the immediate Line Manager, although he or she may delegate this to another member of the panel where appropriate.

Unsuccessful interview candidates should be dealt with courteously and sensitively and will, as a minimum, receive telephone or written (email) notification of the outcome of the selection process.

#### 4.3 Referees

Information sought from referees should be structured around the requirements of the job and the job description should be provided. It should be noted that many organisations have a policy of not providing personal references and therefore references provided may only confirm details of current appointment.

Two references will be taken up for the selected candidate after the interview by the HR team, one of which should be from the current or most recent employer.

If the appointment is urgent, the line manager may seek to obtain a verbal/telephone reference for the successful candidate.

Referees should not be contacted without the candidate's consent and the information provided should be treated as confidential.

In certain circumstances a school or personal reference is acceptable.

#### 4.4 Making the appointment

It is recognised that in many cases it is desirable to make a verbal offer very shortly after the selection process to enhance the College's ability to recruit the selected candidate. In such cases the verbal offer will normally be made by the Line Manager, although he or she has the discretion to delegate this responsibility if felt appropriate.

The College recognises permanent contracts as the general form of employment relationship between employer and employees and will appoint new and existing staff to indefinite contracts unless necessary and use objective reasons to justify use of a fixed-term or occasional contract.

Once a selection decision has been made the HR Department will produce a written offer of employment. Offers of employment are made subject to satisfactory references, a Right to Work check, and any other checks as appropriate (such as DBS checks).

#### 4.5 Induction

Induction is the final stage of the recruitment process. Once the successful candidate has accepted the offer of employment and a start date has been agreed the line manager is responsible for preparing a comprehensive induction programme for the new employee following the College's Induction Checklist.

### 5. Responsibilities

#### *Head of Department*

Accountable for:

- Evaluating the need for the post(s) in the context of the Department's staffing plan and budget;
- Ensuring the competence of all staff who make recruitment decisions within the department;
- Ensuring a comprehensive induction programme for any new employee(s);

- Ensuring that all new/revised posts are authorised by the HR Committee and Council, and that authorisation to recruit has been obtained from the First Bursar before they are advertised;
- Discussing potential difficulties in recruiting with the HR Manager;
- Preparing a Job Description, Person Specification, and draft advert in conjunction with the HR Department;
- Agreeing a recruitment plan and timescales with the HR Department;
- Keeping a written record of all short-listing and interview decisions;
- Making a verbal offer of employment. If conditional, e.g. on references or DBS checks, this should be stated at the time the offer is made.
- Providing feedback to unsuccessful short-listed candidates if requested, ensuring equal opportunities requirements are followed.

#### *HR Department*

Accountable for:

- Providing professional advice on content of job descriptions/person specifications, advertising and appropriate salary levels;
- Placing job adverts;
- Carrying out pre-employment checks including reference requests;
- Issuing written offers and contracts of employment;
- Undertaking any other tasks agreed to as part of the recruitment plan agreed with the recruiting department (e.g. inviting short-listed candidates to interview, issuing rejection emails);
- Monitoring and reviewing the recruitment process;
- Sourcing relevant training on Recruitment and Selection where necessary, including equality issues.

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# **Probation Policy & Procedure**

## **1. Scope**

- 1.1 This policy applies to any member of academic or non-academic staff who has been issued with a contract that sets out a probationary period within it. The period of probation should be monitored (and may be extended at the College's discretion) in line with this policy and procedure.

## **2. Aims and Key Elements**

- 2.1 The College aims to create a positive environment where everyone is enabled to work and fulfil their responsibilities to the best of their ability. The aim of this policy and procedure is to set a clear framework for line managers on how to manage the performance of newly appointed academic and non-academic members of staff during their probationary period (described as 'probationers' in this document) so that they can be successful.
- 2.3 The probationary period should allow both the probationer and their line manager to assess objectively whether they are suitable for the role. The College believes that the use of probationary periods increases the likelihood that new employees will go on to perform effectively in their employment.
- 2.4 The line manager is responsible under this policy for ensuring that the probationer is set objective standards of performance and conduct and that these are properly monitored during the probationary period. If any problems arise, they should address these fairly, clearly, and promptly with the probationer. This will ensure that the probationer is aware of any aspect of performance or conduct that is unsatisfactory and what they need to do to rectify it.
- 2.5 The College expects most of its new employees to progress effectively and in a timely manner through these procedures to the full achievement of their roles. However, it recognises that there will be situations where probationers are not able to achieve the standards expected and required of their new role. It is the College's policy that where it is identified that the probationer is not meeting the expected standards of their role, that this is explained to them and that they are given an opportunity to make the necessary improvement within a defined period.
- 2.6 Where the probationer has been given the opportunity to make the required improvement but has failed to do so within the period set, the College will unfortunately have no alternative but to terminate the employment of the probationer for reason of capability.



- 2.7 The College reserves the right to terminate employment during the probation period at any time.

### **3. Procedure**

- 3.1 The line manager should meet with the probationer as soon as possible to set out the standards that they are required to meet within their probationary period.
- 3.2 Regular meetings should be held after that as necessary. The line manager should give feedback to the probationer on aspects of their performance or conduct that do/do not meet the required standards. This should be clear, specific, and constructive and should be given as soon as possible after the event on which they are feeding back. If there are serious concerns over performance or conduct at any point, the line manager should contact the Head of HR for advice.

### **Mid-Probation and End-of-Probation Reviews**

- 3.3 The line manager will receive an email from the Cascade HR system prompting them to carry out a mid-probation and end-of-probation review with the probationer. This should be done using the relevant review form, giving clear, specific, and constructive feedback to the probationer.

### **Successful Probation Periods**

- 3.4 Where the line manager has identified that the probationer meets the required standards for the role, the probation period can be passed at the end-of-probation review meeting. The line manager should notify the HR team using Cascade, uploading the completed form. A confirmation letter will be sent to the probationer.

### **Extension of Probation**

- 3.5 Where the line manager has identified performance and/or conduct below the required standards, they should use the review meeting to establish the cause of the problem and how it might be resolved. The line manager should be clear with the probationer about the shortfall of performance and/or conduct that has been identified and the improvement required. They should set a reasonable period within which the improvement is required to be achieved. The line manager should confirm a review date and agree any appropriate support or intervention (including training) to assist the probationer's improvement.
- 3.6 Where the issues have been identified for the first time at the probationer's end-of-probation review, it should be made clear that probation has not been

passed and the probation period should be extended. The line manager should notify the HR team of this through Cascade, and the decision will be confirmed in writing to the probationer.

### **Insufficient Improvement**

- 3.7 If the line manager considers that there has been insufficient improvement from the probationer by an agreed review date then they should seek advice from the Head of HR. If it is concluded that a reasonable extension of the probation period would be likely to result in the probationer meeting the required standard of performance, then a new probation end date will be agreed. This decision and extension will be confirmed in writing.

### **Dismissal**

- 3.8 Where issues persist, and there is sufficient evidence of performance or conduct being below the required standards (after a reasonable opportunity to improve), then a meeting should be set up with the probationer at which they may be dismissed with the appropriate notice. The probationer should be given at least five working days' notice of the formal meeting which they (and their companion if applicable) must make every effort to attend. The meeting will only be re-arranged (and if so, only once) if the probationer can provide an appropriate reason why they or their companion are unable to attend. The meeting will be chaired by the line manager with a member of the HR Team present.

### **Appeal**

- 3.9 Any probationer dismissed through this procedure should be given a right of appeal against that dismissal. They must submit their appeal in writing to the First Bursar within ten working days of receipt of their dismissal letter and must make clear the grounds of their appeal.
- 3.10 The appeal will normally be heard by a College Officer who has had no previous involvement. A member of the HR team will also be present.
- 3.11 The probationer must be given the opportunity to be accompanied in the appeal meeting by a trade union representative or a colleague.
- 3.12 The decision of the College Officer hearing the appeal will normally be communicated within five working days of the meeting and shall be final within the procedures of the College.

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# **Performance Review Policy & Procedure**

## **Background**

King's College is committed to the development of its staff in line with the aims and objectives of the College and the Performance Review system has been developed to assist in the fulfilment of this. In particular, the system is designed to ensure that:

- you believe that your contribution to the College is recognised;
- you can describe how your contribution to the College is recognised;
- you receive appropriate and constructive feedback on a timely and regular basis; and
- you are able to understand the impact of your development on the performance of the College, department and people.

## **Principles**

The following principles are important:

- that the system be efficient and impose the minimum bureaucratic load;
- where possible it must draw on current College practices and procedures;
- it uses the departmental chain of command;
- it is demonstrably fair and open; and
- those line managers carrying out the performance review will have received appropriate training.
- whilst the College seeks to operate a fair procedure in every case, it reserves the right to utilise a simplified procedure when it considers this to be appropriate.

## **Objective**

The objective of the system is to clarify the College's and your understanding of the aims/objectives of the post and its future direction with a view to increasing effectiveness, enhancing job satisfaction, and improving communications. The system is intended to be forward-looking and to identify training and development issues for individuals. It is intended that these objectives will be met by the following:

- an open two-way discussion during which the views of the reviewer and you are put forward;
- discussion of the current job and your strengths or any areas which require improvement;
- constructive feedback;

- evaluation of training received since the last performance review and how this has helped you to undertake your responsibilities or in your personal development;
- seek your suggestions for further improvements, i.e., in systems/procedures, working environment, team or individual working;
- the review of any previously agreed objectives;
- agree and set aims and objectives (which should link to the departmental aims) for the next 12 months and identify any training/assistance that might be required to help these to be achieved; and
- identify personal development in relation to your potential.

## Procedure

From the above, the following is the outline system:

- It covers all permanent staff and those on temporary fixed term contracts.
- Performance reviews will be conducted annually by March/April with informal half-year reviews to be conducted by September/October.
- Performance reviews will be conducted by your line manager with review by Head of Department/College Officer as appropriate and with general oversight of the College's HR Committee.
- By request of either you or the reviewer and by agreement of both of you, a second reviewer may be involved in the performance review.
- At the review, the reviewer will complete a Review Form which will be signed by both of you and uploaded to Cascade.

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V2	March 2024	Updated to reflect agreed changes made to the performance review process.

# **Performance Management Policy & Procedures**

This document sets out the policy and procedure we operate to address poor performance (by which we mean lack of skill and aptitude in undertaking a job role). It covers all permanent staff and those on temporary fixed term contracts.

Where you are failing to perform to a satisfactory level, the purpose of this procedure is to encourage and help you to improve your performance to a level acceptable to us.

The action taken in each case will be that which we consider appropriate taking into account the particular circumstances. Your line manager will be involved in any discussions. The procedure will usually involve:

- a full discussion of the situation with you at a meeting, including identification of any problems or difficulties being experienced by you and an exploration of possible causes of those problems or difficulties;
- the provision of help and assistance where appropriate and practicable to improve the situation;
- a full discussion of the possible consequences of there being insufficient improvement in your performance levels;
- the provision of a reasonable amount of time to achieve the improvements we require; and
- a review of your progress.

Where possible, we will seek to deal with instances of unsatisfactory performance informally. Where the failure to perform is more serious, or informal steps are not enough to bring your performance to a satisfactory level, formal action will be taken as described below.

More formal action may result in three levels of action. Other than in extremely rare cases, you will not normally be dismissed for a first instance of poor performance. We reserve the right to take action at any level, or to skip levels, depending on the circumstances of the case.

## **Level 1: improvement notice**

We will initially issue you an improvement notice which will include a performance improvement plan (PIP) that we will seek to agree with you. The notice will give the following information:

- an explanation of the reasons for the improvement notice, the improvements in performance that are required and the timescale for making them (referred to as the review period);

- any support we will provide to assist you;
- an explanation of the consequences of any repetition of the poor performance or failure to improve the performance to the required level as set out in the PIP; and
- advice as to your right to appeal against the decision to issue the improvement notice.

During the review period, your performance will be monitored and at the end of the review period, we will inform you of the next step. If we are satisfied that you have met the requirements set out in the PIP, no further action will be taken. If we are not satisfied, further action may be taken and/or where appropriate, the review period may be extended.

An improvement notice will normally remain in force for six months and a copy of the improvement notice will be kept on your Human Resources record. It will normally be disregarded for capability purposes after a period of six months, or any other period specified in the improvement notice, subject to satisfactory performance during that time, but will form a permanent part of your Human Resources record.

## **Level 2: final written warning**

If you fail to meet the requirements set out in the improvement notice, or where the poor performance is sufficiently serious to warrant it, we may give you a final written warning, which will include a PIP we will seek to agree with you (usually the second PIP implemented by us). It will give the information set out above but will also state that any repetition of the poor performance or failure to improve your performance to the required level as set out in the PIP, will render you liable to dismissal.

During the review period, your performance will be monitored and at the end of the review period, we will inform you of the next steps. If we are satisfied that you have met the requirements set out in the PIP, no further action will be taken. If we are not satisfied, further action may be taken and/or where appropriate, the review period may be extended.

The final written warning will normally remain in force for 12 months and a copy of the final written warning will be kept on your Human Resources record. The final written warning will normally be disregarded for capability purposes after 12 months, subject to satisfactory performance during that time, but will form a permanent part of your Human Resources record.

## **Level 3: dismissal or other sanction**

If you fail to meet the requirements of the PIP as set out in the final written warning, dismissal will normally result. There may also be circumstances where the failure to perform is sufficiently serious to warrant dismissal without previous warnings.

You will be provided with written confirmation of the dismissal as soon as reasonably practicable afterwards. This will set out details of the reason for your dismissal, the date on which your employment terminated or will terminate, the appropriate period of notice or pay in lieu of notice (if any) and information on how to appeal against the dismissal.

If a sanction other than dismissal is to be imposed (e.g., demotion or a change in your duties), you will, as soon as is reasonably practicable, be provided with written confirmation of the action to be taken, how the action is to be implemented, the reason for it, the date on which it will come into force (if appropriate) and information about your right to appeal.

### **Capability meetings**

Any capability meeting under this procedure will be convened by sending you a letter which will set out the date, time and place of the meeting, the nature of the issues to be discussed at the meeting in sufficient detail to enable you to prepare and respond appropriately and will advise you of the possible consequences and of your right to be accompanied at the meeting by a companion. Where appropriate, we will enclose copies of relevant documents.

You may bring a companion to any capability hearing or appeal hearing under this procedure. The companion may be either a trade union official or a fellow worker. You must inform the Human Resources Manager of the identity of your chosen companion in good time before the hearing.

Acting as a companion is voluntary and colleagues are under no obligation to do so. Please note that it is the employee's responsibility to secure his or her chosen companion. Workers will be allowed reasonable time off from duties without loss of pay to act as a companion.

The College may, at its discretion, allow you to bring a companion who is not a colleague or trade union official (for example, a family member) where this will help overcome a disability, or where you have difficulty understanding English.

You should make every effort to attend any capability meeting (including any appeal hearing). If either you or your companion cannot attend on the proposed date for the meeting, you may suggest a reasonable alternative date, which must be within five working days of the date first proposed. This five-day time limit may be extended by mutual agreement between us. If you fail to attend any re-arranged meeting without good cause, we will be entitled to make a decision on the evidence available at the re-arranged meeting, in your absence.



You will be given reasonable notice of the capability meeting. No decision will be made as to whether any capability action is to be taken or the nature of any capability action to be taken before the meeting takes place.

Where possible, the meeting will usually be heard and chaired by your Head of Department and a member of the Human Resources department will be present at the meeting to take notes.

At the meeting, the Chair will explain the purpose of the meeting, the issue to be discussed and go through the relevant documents. The Chair will ensure that you fully understand the issues. You will have an opportunity to ask questions and comment on the issues and on the documents. You will be permitted to ask questions and present evidence.

The proceedings, any statements and all documents and records will be kept confidential.

The Chair will have discretion to adjourn any capability meeting (including any appeal hearing) as appropriate on request or if he deems it necessary.

At the end of the capability meeting, the Chair will normally adjourn before making a decision. Following the adjournment, the Chair may issue an oral decision. If the Chair is unable to reach an immediate decision following the meeting, they are entitled to deliberate on the meeting prior to issuing a decision in writing. In any event, written notification of the outcome of the meeting will usually be sent to you within five working days of the meeting, or as soon as reasonably practicable, together with an explanation of any capability action to be taken and notification of your right to appeal.

## **Appeal**

If you feel that action taken against you is wrong or unjust you should appeal against the decision by informing the Human Resources Manager, in writing, within five working days of receiving notification of the capability decision, specifying the ground(s) for your appeal.

An appeal will usually be chaired by the Fellow in charge of your department. If you wish to produce additional evidence to support your case, then this must be provided to the Appeal Chair in advance of the appeal hearing.

All appeals will be dealt with as promptly as possible, and a date will be set for the appeal hearing as soon as is reasonably practicable after the Chair has received written notification of your appeal. The appeal will be heard as soon as is reasonably practicable.

You will be informed of the arrangements for the appeal hearing, confirmation of the Appeal Chair, details of any other Company representative who will be present (where possible, another manager or member of the Human Resources department will be present at the meeting to take notes) and of the right to be accompanied at the appeal hearing. We will inform you if any witnesses are to attend the appeal hearing on the Company's behalf.

You must advise the Appeal Chair in advance of the appeal hearing of the name and relevance of any witness you intend to bring to the appeal hearing on your behalf. Any work colleague you have requested to accompany you or to appear as a witness for you will be given a reasonable amount of paid time off work to prepare for and attend the appeal hearing.

At the appeal hearing, you will be asked to present your appeal to the Appeal Chair.

The Appeal Chair will confirm to you in writing the outcome of the appeal hearing, usually within five working days of the appeal hearing, or as soon as is reasonably practicable.

The Appeal Chair's decision will be final. There is no further right of appeal.

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## **Managing Sickness Absences**

It is your responsibility to comply fully with all sickness reporting procedures set out in this Handbook and in your Contract of Employment. Disciplinary action may be taken if absence is unauthorised.

On your first day back at work from sickness absence, your Head of Department or line manager will conduct a “return to work interview” to discuss the reason for your absence. The interview will be private but informal. A note of the interview will be made and recorded on Cascade.

At any stage, the College reserves the right to request a report, or further report, from your GP or to refer you to an Occupational Health Adviser whom we shall nominate at our expense. The College may also request a report from your treating consultant, or an independent specialist. The provision or not of these reports, and your co-operation in obtaining them, may affect the sick pay you receive.

The College understands that absences in most cases will be genuine. Before taking any action, whether disciplinary or on the grounds of your ability to undertake your job, the College will consult with you and make investigations, including obtaining a medical report, to understand the true medical position.

### **Persistent Absences**

If you have had a number of short-term absences (5 or more occasions or 15 or more days' absence in a rolling 12-month period) you should expect to be invited to attend a review meeting with your line manager and a member of the Human Resources Department to discuss the frequency and reasons for the absences. This will be on grounds of unsatisfactory attendance and will apply irrespective of whether the absences are believed to be genuine or not. This is not a disciplinary meeting.

At this meeting your line manager will explain what is considered to be an acceptable level of attendance.

The reasons for the absences will be discussed and an assessment made whether any assistance can be given by the College to help you. Once a full assessment has been made, improvement action will be agreed and given to you in writing.

If after this your attendance does not improve, then medical advice may be sought, and disciplinary action may be taken. If, despite warnings, attendance remains unsatisfactory and there is no underlying medical reason this may ultimately result in dismissal.

Procedures are designed to provide protection to staff who are ill or facing other difficulties and to ensure that any problems staff might be facing at work can be dealt

with quickly, whilst also ensuring that departments are able to provide an excellent service without over-burdening other staff.

### **Long Term Absence**

If you are on long term sick leave, the College will keep in touch with you, and you must keep the College informed as to your progress and likely return date.

You may be periodically asked to attend meetings with your Head of Department or line manager on work premises, for the purpose of providing information and facilitating an effective return to work. If you are too unwell or physically unable to attend the office, the College reserves the right to visit you at home.

Where you are on long term sick leave, it is crucial that the College is informed by way of medical report, of your prognosis.

### **Phased returns**

Following a period of sickness absence, your GP (or an Occupational Health Adviser) may suggest a phased return to work or an amendment to your duties to support your return. A phased return allows you to return to work starting on reduced hours for a short period, building up gradually to your normal hours.

In most cases a phased return or an amendment to duties should last for no more than four weeks. You should obtain a certificate from your GP outlining their advice for your return to work and forward it to your line manager or the Human Resources Department as soon as you have received it.

During a phased return you will be paid for the hours you work. Non-worked contracted hours will be paid using College Sick Pay based on your remaining entitlement. Where this entitlement has been exhausted, you may make a request to use annual leave or lieu time, otherwise the non-worked hours will be unpaid.

When considering the use of annual leave in these circumstances, your line manager will ensure that enough leave is left over to enable you to take appropriate breaks/rest from work during the remainder of the leave year following your return to your normal contracted hours.

If you feel you are not able to return to your normal contracted hours at the end of this phased return period, you may make a request under the College's flexible working policy and procedure which, if successful, would result in a permanent change to your terms and conditions.

### **Action**

It is likely that any action which the College takes in relation to sickness absence will depend on the medical report obtained. Where you refuse consent for the College to

obtain a medical report, the College will act in accordance with the information it has available.

If you may be considered disabled within the meaning of the Equality Act 2010, the College will make any reasonable adjustments to your job to accommodate your short-term or long-term requirements.

If the medical opinion suggests no good reason for the absence, then the College may consider whether disciplinary action is appropriate.

If the medical opinion suggests that you are having difficulties carrying out your job because of your illness, then the College will consider, if appropriate, suitable alternative employment, or making reasonable adjustments to your job.

If the prognosis is that you are unlikely to return to work, there are no reasonable adjustments or re-deployment is inappropriate, then the College will consider all the options open to it which may include dismissal.

In appropriate circumstances, you may not be allowed to return to work until your GP deems that you are fit to return.

### **Dismissal/ disciplinary action**

No employee will be dismissed on the grounds of ill health until the College has made appropriate investigations (including consideration of a medical report from an Occupational Health Physician) and you have been fully consulted.

In the event of a dismissal, whether through the disciplinary procedure or otherwise, the reason for the dismissal and the circumstances leading up to that decision will be documented in writing to you. You may appeal against your dismissal by writing – within five working days of receipt of the dismissal letter – to the Provost of the College, stating the grounds on which you wish to appeal. The appeal will be heard in accordance with the College's disciplinary appeals procedure.

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# **Severe Weather Policy**

## **Policy**

Although the College acknowledges that it would not be feasible to apply a rigid ruling to cover all cases of absence from work as a result of severe weather conditions, the policy is that the following procedures and guidelines should apply.

## **Procedure**

When severe weather conditions occur during the course of the working day:

- The First Bursar will contact all departments with any instruction to allow staff to go home early. Information from the AA, the Police and local radio will be taken into consideration in any decision to issue such an instruction. No loss of pay to staff would be involved. If in doubt, Heads of Department or your representative should contact the Human Resources Department.

When severe weather conditions prevail at the start of the working day:

- It is expected that every member of staff will make all reasonable effort to get to work, including the use of public transport, or walking.
- If the severity of the weather prevents you from reaching work, and you take the decision to stay at home or to return home, you must telephone that information to your department (or if unavailable, to the Human Resources Office or Porters' Lodge) at the earliest opportunity.

## **Guidance Notes**

A member of staff who does not reach work because of the severity of the weather conditions must agree with your Head of Department (either on that day or later) on the pay arrangement to apply. This may be one of:

- a day's annual leave;
- a day's leave without pay; or
- authorisation to work at home.

In exceptional circumstances, a Head of Department may make an application to the First Bursar (via the Human Resources Department) for consideration that an individual employee, who has made all reasonable efforts to get to work, should be granted an exceptional day's leave.

While on College property, and especially during periods of severe weather, members of staff must take every available measure to work safely under the prevailing conditions.

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# **Disciplinary Policy & Procedure**

The aims of the Disciplinary Procedure are to set out the standards of conduct expected of all staff and to provide a framework within which the College can work with you to maintain satisfactory standards of conduct and to encourage improvement where necessary.

It is the College's policy to ensure that any disciplinary matter is dealt with fairly and that steps are taken to establish the facts and to give you the opportunity to respond before taking any formal action.

This procedure is for guidance only and does not form part of the contract of employment. The College may amend it at any time depending on the circumstances of the case.

Whilst the College seeks to operate a fair procedure in every case, it reserves the right to utilise a simplified procedure when it considers this to be appropriate.

## **Principles**

- The procedure applies to all permanent staff who have passed their probationary period. It does not apply to agency workers or self-employed contractors. It does not apply to proposed redundancies.
- Minor conduct issues can often be resolved informally between employee and line manager. These discussions should be held in private and without undue delay whenever there is cause for concern. Where appropriate, a note of any such informal discussions may be placed on your personal file but will be ignored for the purposes of any future disciplinary hearings. In some cases, an informal letter of concern may be given, which will not form part of your disciplinary records. Formal steps will be taken under this procedure if the matter is not resolved, or if informal discussion is not appropriate (for example, because of the seriousness of the allegation).
- You will not normally be dismissed for a first act of misconduct, unless the College decides it amounts to gross misconduct.
- If you have any difficulty at any stage of the procedure because of a disability, you should discuss the situation with your Head of Department or the Human Resources Manager as soon as possible.

## **Confidentiality**

The College aims to deal with disciplinary matters sensitively and with due respect for the privacy of any individuals involved. You must treat as confidential any



information communicated to you in connection with an investigation or disciplinary matter.

No member of staff or anyone accompanying them (including witnesses) may make electronic recordings of any meetings or hearings conducted under this procedure.

You will normally be told the names of any witnesses whose evidence is relevant to disciplinary proceedings against you, unless the College believes that a witness's identity should remain confidential.

## **Investigations**

The purpose of an investigation is for the College to establish a fair and balanced view of the facts relating to any disciplinary allegations, before deciding whether to proceed with a disciplinary hearing. The amount of investigation required will depend on the nature of the allegations and will vary from case to case. It may involve interviewing and taking statements from you and any witnesses, and/or reviewing relevant documents.

Investigative interviews are solely for the purpose of fact-finding and no decision on disciplinary action will be taken until after a disciplinary hearing has been held.

You do not normally have the right to bring a companion to an investigative interview. However, the College may allow you to bring a companion if it helps you to overcome any disability, or any difficulty in understanding English.

You must co-operate fully and promptly in any investigation. This will include informing the College of the names of any relevant witnesses, disclosing any relevant documents to the College and attending investigative interviews if required.

## **Criminal Charges**

Where your conduct is the subject of a criminal investigation, charge or conviction the College will investigate the facts before deciding whether to take formal disciplinary action.

The College will not usually wait for the outcome of any prosecution before deciding what action, if any, to take. Where you are unable or have been advised not to attend a disciplinary hearing or say anything about a pending criminal matter, the College may have to take a decision based on the available evidence.

A criminal investigation, charge or conviction relating to conduct outside work may be treated as a disciplinary matter if the College considers that it is relevant to your employment.

## **Suspension**

In cases where your continued presence in the College would hinder an investigation or where you are being investigated in respect of conduct which the College considers (at its absolute discretion) could amount to serious misconduct or where relationships have broken down, or where the College has grounds to consider that its property or responsibilities to other parties are at risk you may be suspended from work. The suspension will be for no longer than is necessary to investigate the allegations and the arrangements will be confirmed to you in writing. While suspended, you should not visit College premises or contact any members of staff, Fellows, students, contractors, suppliers or customers, unless authorised to do so by the Human Resources Manager.

Suspension of this kind is not a disciplinary penalty and does not imply that any decision has already been made about the allegations. You will continue to receive full salary and benefits during any period of suspension.

### **Notification of a Hearing**

Following any investigation, if the College considers there are grounds for disciplinary action, you will be required to attend a disciplinary hearing.

The College will inform you in writing of the allegations against you, the basis for those allegations, and what the likely range of outcomes will be if the College decides after the hearing that the allegations are true. The following will also be included where appropriate:

- a summary of relevant information gathered during the investigation;
- a copy of any relevant documents which will be used at the disciplinary hearing; and
- a copy of any relevant witness statements, except where a witness's identity is to be kept confidential, in which case you will be given as much information as possible while maintaining confidentiality.

You will be given written notice of the date, time and place of the disciplinary hearing. The hearing will be held as soon as reasonably practicable, but you will be given a reasonable amount of time, usually two to seven days, to prepare your case based on the information the College has given to you.

### **Right to be Accompanied**

You may bring a companion to any disciplinary hearing or appeal hearing under this procedure. The companion may be either a trade union official or a fellow worker. You must inform the Human Resources Manager of the identity of your chosen companion in good time before the hearing.

Acting as a companion is voluntary and colleagues are under no obligation to do so. Please note that it is the employee's responsibility to secure his or her chosen companion. Workers will be allowed reasonable time off from duties without loss of pay to act as a companion.

The College may, at its discretion, allow you to bring a companion who is not a colleague or trade union official (for example, a family member) where this will help overcome a disability, or where you have difficulty understanding English.

### **Disciplinary Hearings**

If you or your companion cannot attend the hearing, you should inform the Human Resources Manager immediately and an alternative time will be arranged. You must make every effort to attend the hearing, and failure to attend without good reason may be treated as misconduct in itself. If you fail to attend without good reason or are persistently unable to do so (for example, for health reasons), the College may have to take a decision based on the available evidence.

For cases of potential gross misconduct, the hearing will be chaired by the Fellow responsible for your department or by a College Officer. In all other cases, the hearing will be chaired by a nominated staff Head of Department. You may bring a companion to the disciplinary hearing (see 'Right to be Accompanied' above).

At the disciplinary hearing the Chair will go through the allegations against you and the evidence that has been gathered. You will be able to respond and present any evidence of your own. Your companion may make representations and ask questions but may not answer questions on your behalf. You may confer privately with the companion at any time during the hearing.

You may ask relevant witnesses to appear at the hearing, provided you have given the Human Resources Manager sufficient advance notice to arrange their attendance. You will be given the opportunity to respond to any information given by a witness.

The Chair may adjourn the disciplinary hearing if they need to carry out any further investigations such as re-interviewing witnesses in the light of any new points raised at the hearing. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.

You will be informed in writing of the College's decision and the reasons for it, usually within one week of the disciplinary hearing. Where possible the Chair will also explain this information to you in person.

### **Disciplinary Penalties**

The usual penalties for misconduct are set out below. No penalty should be imposed without a hearing. The College aims to treat all staff fairly and consistently, and a penalty imposed on another employee for similar misconduct will usually be taken into account but should not be treated as a precedent as each case will be assessed on its own merits.

### Stage 1 – First Written Warning

A first written warning will usually be appropriate for a first act of misconduct where there are no other active written warnings on your disciplinary record.

### Stage 2 – Final Written Warning

A final written warning will usually be appropriate for:

- misconduct where there is already an active written warning on your record; or
- misconduct that the College considers sufficiently serious to warrant a final written warning even though there are no other active warnings on file.

### Stage 3 – Dismissal

Dismissal will usually only be appropriate for:

- any misconduct during your probationary period;
- further misconduct where there is an active final written warning on your record;

or

- any gross misconduct regardless of whether there are active warnings on your record. Gross misconduct will usually result in immediate dismissal without notice or payment in lieu of notice (summary dismissal). Examples of gross misconduct are:
  - unauthorised absence from work;
  - rude, offensive or threatening behaviour;
  - serious harassment or bullying;
  - serious disobedience;
  - theft or dishonesty;
  - misuse of College property or name;
  - fraud or deliberate falsification of records and information;

- fighting, assault or attempted assault, act of violence or aggression;
- wilful damage to College property;
- bringing the College into serious disrepute;
- serious breach of confidentiality or misuse of confidential information;
- serious breach of the College's policies or procedures including, but not limited to, the Equal Opportunities and Harassment and Bullying Procedures and the College's Policy on Statements to the Media as contained within this Handbook;
- Serious safeguarding breaches;
- being charged with and/or convicted of a criminal offence (except for minor road traffic offences) that impacts on your suitability to do your job or your relationship with the College, your work colleagues or the College's relationships with others.;
- indecent or immoral behaviour; being under the influence of drugs or alcohol in the workplace;
- serious violation of health and safety rules;
- serious misuse or offensive use of College email and internet;
- a serious breach of confidence (outside the Public Interest Disclosure Act 1998).

### **Effect of a Warning**

Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain active, and the likely consequences of further misconduct in that active period.

A first written warning will usually remain active for six months and a final written warning will usually remain active for twelve months. In exceptional cases verging on gross misconduct, a final written warning may state that it will remain active for a longer period of time.

Your conduct may be reviewed at the end of a warning's active period and if it has not improved sufficiently, the College may decide to extend the active period.

After the active period, the warning will remain permanently on your Human Resources file but will be disregarded in deciding the outcome of future disciplinary proceedings.

## **Appeals against Disciplinary Action**

If you feel that disciplinary action taken against you is wrong or unjust, you should appeal in writing stating the full grounds of appeal to the Human Resources Manager, within one week of the date on which you were informed of the decision.

If you are appealing against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful, you will be reinstated with no loss of continuity or pay.

If you raise any new matters in your appeal, the College may need to carry out further investigation. If any new information comes to light, the College will provide you with a summary, including where appropriate copies of additional relevant documents and witness statements. You will have a reasonable opportunity to consider this information before the hearing.

The College will give you written notice of the date, time and place of the appeal hearing. This will normally be two to seven days after you receive the written notice.

The appeal hearing may be a complete re-hearing of the matter or it may be a review of the fairness of the original decision in the light of the procedure that was followed and any new information that may have come to light. This will be at the College's discretion depending on the circumstances of the case. In any event the appeal will be dealt with as impartially as possible.

For cases of potential gross misconduct, the appeal hearing will be conducted by the Provost or one of the College Officers. For all other cases the appeal will be heard by the Fellow in charge of your department. You may bring a companion with you to the appeal hearing (see 'Right to be Accompanied' above).

The College may adjourn the appeal hearing if it needs to carry out any further investigations in the light of any new points raised at the hearing. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.

Following the appeal hearing the College may:

- confirm the original decision; or
- revoke the original decision; or
- substitute a different penalty.

The College will inform you in writing of its final decision as soon as possible, usually within one week of the appeal hearing. Where possible the Provost or Fellow who

conducted the appeal hearing will also explain this to you in person. There will be no further right of appeal.

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# **Grievance Policy & Procedure**

## **Policy Statement**

It is the College's policy to ensure that all staff have access to a procedure to help deal with any grievances fairly and without unreasonable delay. The College aims to investigate any formal grievance raised by you, hold a meeting to discuss it with you, inform you in writing of the outcome and give you a right of appeal if you are not satisfied.

Issues that may cause grievances include:

- terms and conditions of employment;
- health and safety;
- work relations;
- bullying and harassment;
- new working practices;
- working environment;
- organisational change; and
- discrimination.

This procedure is for guidance only and does not form part of your Contract of Employment. The College may amend it at any time or depart from it depending on the circumstances of the case.

This policy and procedure apply to members of staff who have complaints about their employment or concerning the behaviour of a colleague, a Fellow, or a student, where the complaint arises within the College working environment.

However, a complaint by a member of staff against a Fellow or student may be instead managed under an alternative policy or procedure (such as the Academic Staff Disciplinary Policy or Student Disciplinary Policy) where appropriate. Further details of these policies can be found on the College intranet, and in the College Statutes and Ordinances (see particularly, Statutes R and Q).

If a student brings a complaint about a member of staff, the student Complaints Against Fellows and Staff Members policy and procedure will be followed. Further details of this can be found on the College intranet.

## **General Principles**

This procedure applies to all staff regardless of length of service. It does not apply to agency workers or self-employed contractors.



If you have difficulty at any stage of the Grievance Procedure because of a disability or because English is not your first language, you should discuss the situation with your Head of Department or the Human Resources Manager as soon as possible.

This Grievance Procedure should not be used to complain about dismissal or disciplinary action. If you are dissatisfied with any disciplinary action, you should submit an appeal under the appropriate procedure in this Handbook.

The College operates a separate Whistleblowing Policy to enable you to report illegal activities, wrongdoing or malpractice within the College. However, where you are directly affected by the matter in question, or feel victimised for an act of whistleblowing, you may raise the matter under this Grievance Procedure.

If the grievance relates to discrimination, bullying or harassment you should refer to the Harassment and Bullying Policy which sets out the procedure to be followed in those circumstances.

Written grievances will be placed on your Human Resources file along with a record of any decisions taken and any notes or other documents compiled during the Grievance Procedure. These will be processed in accordance with the College's Data Protection Policy.

### **Raising Grievances Informally**

Most grievances can be resolved quickly and informally through discussion with your line manager. If you feel unable to speak to the line manager, for example because the complaint concerns them, then you should speak informally to the Human Resources Manager. If this does not resolve the issue, you should follow the formal procedure below.

### **Formal Written Grievances**

If a grievance cannot be resolved informally, you should put it in writing using the form found on Cascade. The grievance should then be submitted to your line manager or, if the grievance concerns the line manager, it should be submitted instead to the Human Resources Manager.

The written grievance should contain a brief description of the nature of the complaint, including any relevant facts, dates, and names of individuals involved. In some situations, the College may need to ask you to provide further information.

### **Investigations**

In some cases, it may be necessary for the College to carry out an investigation into the grievance. The amount of any investigation required will depend on the nature of the allegations and will vary from case to case. It may involve interviewing and

taking statements from you and any witnesses, and/or reviewing relevant documents (the investigation may be carried out by your line manager or someone else appointed by the College).

You must co-operate fully and promptly in any investigation. This may include informing the College of the names of any relevant witnesses, disclosing any relevant documents to the College and attending investigative interviews if required.

The College may initiate an investigation before holding a grievance meeting where this is considered appropriate. In other cases, the College may hold a grievance meeting before deciding what investigation (if any) to carry out. In such cases the College will hold a further grievance meeting with you before reaching a decision.

### **Right to be Accompanied**

You may bring a companion to any grievance meeting or appeal meeting under this procedure. The companion may be either a trade union official or a fellow worker. You must inform the Human Resources Manager of the identity of your chosen companion in good time before the meeting.

At the meeting, the companion may make representations to the College and ask questions but should not answer questions on your behalf. You may confer privately with the companion at any time during the meeting.

Acting as a companion is voluntary and colleagues are under no obligation to do so. Please note that it is an employee's responsibility to secure the attendance of a companion at a meeting. You will be allowed reasonable time off from duties without loss of pay to act as a companion.

### **Grievance Meetings**

The College will arrange a grievance meeting normally within one week of receiving the written grievance.

You and your companion should make every effort to attend grievance meetings. If you or the companion cannot attend at the time specified, you should inform the Human Resources Manager immediately who will try within reason to agree an alternative time.

The purpose of a grievance meeting is to enable you to explain the grievance and how you think it should be resolved, and to assist the College to reach a decision based on the available evidence and the representations made by you.

After an initial grievance meeting the College may carry out further investigations and hold further grievance meetings as it considers this appropriate. Such meetings will be arranged without unreasonable delay.

The College will write to you, usually within one week of the final grievance meeting, to inform you of the outcome of your grievance and any further action the College intends to take to resolve the grievance. The College will also remind you of your right of appeal. Where appropriate, the College may hold a meeting to give you this information in person.

## Appeals

If the grievance has not been resolved to your satisfaction, you may appeal in writing to the Head of HR, stating the full grounds of appeal, within one week of the date on which the decision was sent or given to you.

The College will hold an appeal meeting, normally within one week of receiving your written appeal. This will be dealt with impartially by the Fellow in charge of your department or by such other Fellow as they shall appoint. You have the right to bring a companion to the meeting (see 'Right to be Accompanied' above).

The College will confirm its final decision in writing, usually within one week of the appeal hearing. This is the end of the procedure and there is no further appeal.

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V2	June 2024	Policy statement updated with regard to complaints by or about students and Fellows.

# **Harassment & Bullying Policy**

## **Introduction**

The College recognises the right of all staff to be treated with respect and dignity and is committed to the development of positive policies for the elimination of all kinds of harassment. This policy applies to all of its members.

Harassment or bullying at work in any form is unacceptable and will not be permitted or condoned. Harassment on grounds of race, gender, gender reassignment, age, sexual orientation, pregnancy, marital status, religion, belief or disability constitutes unlawful discrimination for which both the harasser and the College may be held liable. Harassment may also be a criminal offence and give rise to a civil claim. It may also contravene health and safety legislation.

Harassment can reduce the effectiveness of the College by undermining the confidence of its members as well as increasing sickness absence and staff turnover. We aim for the College to be an environment free from harassment, bullying and any other types of intimidation.

This policy informs its members of the types of behaviour that are unacceptable and provides you who are the victims of harassment with a means of redress. Anyone found to be in breach of this policy will be liable to disciplinary action which could result in your dismissal.

## **What are Harassment and Bullying?**

Harassment takes many forms, occurs on a variety of different grounds and can be directed at one person or many people. Harassment is conduct which is unwanted and can reasonably be expected to cause offence or violate a person's dignity. It can include unwelcome physical, verbal or non-verbal conduct. (Note that conduct can amount to harassment even if that was not the intended effect.)

Conduct becomes harassment if it persists after it has been made clear that it is regarded by the recipient as offensive, although a single incident may amount to harassment if it is sufficiently serious. In the case of sexual harassment in particular, it is important to note that it is the unwanted nature of the conduct which distinguishes harassment from friendly behaviour which is welcome and mutual.

Harassment can be based on a wide variety of characteristics attaching to or perceived as attaching to the recipient including:

- race, ethnic origin, nationality or skin colour;
- gender (including gender re-assignment) or sexual orientation;

- marriage or civil partnership;
- pregnancy;
- disabilities, sensory impairments or learning difficulties;
- religion or belief;
- age;
- membership or non-membership of a trade union;
- being in an inferior position in terms of power or hierarchy (leading to bullying);
- willingness to challenge harassment (leading to victimisation).

While not an exhaustive list, forms of harassment include:

- physical contact (including violence or threatened violence);
- jokes and pranks;
- obscene gestures, verbal abuse, offensive language;
- gossip, slander;
- obscene or offensive e-mail, screen-savers etc;
- obscene or offensive posters, graffiti, or letters;
- requests for sexual favours;
- threat of dismissal or loss of promotion for refusal of sexual favours;
- unwanted comments about personal appearance or private life;
- the display of emblems or flags;
- offensive or sectarian songs;
- isolation or non-co-operation and exclusion;
- abuse of position of power by bullying or humiliation;
- intrusion by pestering, spying and stalking.

Bullying is a form of harassment that undermines or intimidates another. It includes unreasonable criticism or demands, physical or verbal abuse, offensive language, or abusive behaviour. It includes communications by written or electronic forms and so includes bullying by email or “cyber-bullying”.

The prohibition on harassment and bullying applies to all activities connected with the College whether on College premises or not.

### **Your Responsibilities**

You have a responsibility to help ensure that the dignity of all is respected in the work environment. Everyone must comply with this policy and should ensure that your behaviour does not cause offence and could not in any way be regarded as harassment or bullying.

You should discourage harassment or bullying by making it clear that you find such behaviour unacceptable and by supporting members who suffer such treatment and are considering making a complaint. You should alert a line manager, Head of Department or the Human Resources Manager, in confidence, to any incident of harassment to enable the College to deal with the matter.

### **Line Managers' and Heads of Departments' Responsibilities**

Line Managers and Heads of Departments have a duty to implement this policy and to make every effort to ensure that harassment does not occur, particularly in work areas for which they are responsible.

Line Managers and Heads of Departments should:

- explain this policy to your staff and ensure that every member of staff has been given a copy;
- be responsible and supportive to any member of staff who makes an allegation of harassment, provide clear advice on the procedure to be adopted and ensure that confidentiality is maintained;
- set a good example by treating all staff, students, Fellows and visitors to the College with dignity and respect; and
- ensure that there is no victimisation or further problem of harassment once a complaint has been resolved.

### **College Responsibilities**

The College will ensure that adequate resources are made available to promote respect and dignity in the workplace and to deal effectively with complaints of harassment.

The College will communicate this policy to all members of the College.

The College will ensure that the Appropriate Human Resources, and any other staff playing any part in operating the complaints procedure, understand their responsibilities under this policy.

### **Scope and Use of Harassment and Bullying Procedure**

Due to the seriousness with which the College views harassment and bullying, informal and formal reporting procedures have been introduced which are separate from and replace the College's Grievance Procedure as a mechanism for dealing with complaints of harassment.

Anyone who is the victim of harassment and/or bullying must not hesitate to use this procedure for fear of victimisation. Retaliation against you is a serious disciplinary offence, which may constitute gross misconduct.

Because it is easier to resolve harassment and bullying issues if they are brought to the College's attention quickly, you are encouraged to invoke the Harassment and Bullying Procedure promptly if you think you have been harassed or bullied.

### **Informal Procedure**

If an incident happens which you think may be harassment or bullying, you are advised to attempt to resolve the problem informally. In some cases, it may be sufficient to make it clear to the harasser that the behaviour is unacceptable and that it must stop. If you are unable to do this face to face, a written request explaining the distress which the behaviour is causing, handed to the harasser, may be effective. Alternatively, if you feel such action is too difficult or embarrassing, you can seek assistance from your line manager or another senior member of staff.

### **Formal Procedure**

If the harassment or bullying continues, where serious harassment/bullying occurs or where you do not consider use of the informal procedure appropriate, you are advised to bring a formal complaint and should then seek assistance from your line manager or Head of Department. If this course of action is not suitable, assistance should be sought from the Human Resources Manager. All complaints will be considered seriously and dealt with promptly and in confidence.

You will be asked to put your complaint in writing and the member of management approached will explain to whom it should be addressed and what arrangements should be made to ensure that confidentiality is preserved. Your written complaint should, where possible, state:

- the name of the harasser;

- the nature of the harassment/bullying;
- dates and times when the harassment/bullying occurred;
- names of witnesses (if any) to the incidents of harassment/bullying; and
- the action (if any) already taken to stop the harassment/bullying.

As soon as a formal complaint of harassment/bullying has been received, the College will consider whether action should be taken (where this is possible) to separate you from the person against whom the complaint has been made.

The responsible manager will carry out a thorough investigation as quickly as possible, maintaining confidentiality at all times. The person handling the investigation will, as far as possible, not be connected with the allegation in any way. All staff interviewed in the course of the investigation will be reminded of the need for confidentiality. Investigations will be handled with sensitivity and with due respect for both your rights and the rights of the person against whom you have made the complaint. You will not be asked to provide details of the allegations repeatedly, unless this is essential for the investigation.

The investigation will involve interviews with you and the person against whom the complaint is made, who will be given full details of the nature of the complaint and will be given the opportunity to respond.

Both you and the person against whom the complaint is made will have the right to be accompanied by separate colleagues or union representatives at any interviews.

When the investigation has been completed you will be informed whether or not the complaint is considered to be well-founded.

If your complaint is well-founded, disciplinary action may be taken against the person about whom the complaint was made. The severity of the penalty imposed upon the harasser will be consistent with that detailed in the Disciplinary Procedure.

Deliberate harassment on grounds of a protected characteristic such as sex, race or disability, victimisation or serious bullying will normally result in summary dismissal. Where a lesser penalty is appropriate (for example a written warning), or where no formal disciplinary action is taken, this will be coupled with such action as the College considers appropriate to help you continue at the College without embarrassment or anxiety. After discussion with you making the complaint, the responsible manager may recommend that the harasser be transferred to a different work area or arrange for the amendment of working practices to minimise contact between you and the harasser.

If your allegation is not well-founded, the College will consider whether your own transfer should be arranged if this is your wish, subject to practical limitations.



Whether or not your complaint has been upheld the line manager or Head of Department will meet you on a regular basis after the complaint has been resolved, to ensure that there are no further issues that need to be addressed.

The College takes these matters very seriously. However, malicious complaints of harassment can have a serious and detrimental effect upon a colleague. Any unwarranted allegation of harassment or bullying, made in bad faith, will be regarded as potential gross misconduct. It is expected that all staff appreciate that this must be so to protect the integrity of the policy.

## **Appeals**

If you are not satisfied with the way your complaint has been handled, you may ask for it to be reconsidered by the Provost (or nominated deputy). Requests for reconsideration of the complaint should be made in writing to the Provost within five working days of the date you were informed of the outcome of the initial investigation, setting out the reasons for the appeal as fully as possible.

As a first step, the Provost (or nominated deputy) will arrange to meet with you and give you the opportunity to explain why you think the conclusion of the initial investigation was wrong. The Provost (or nominated deputy) will then decide what if any further investigations are required, to enable a decision to be reached on whether the outcome of the initial investigation was correct. The decision of the Provost (or nominated deputy) will be communicated to you and will be final.

A member of staff who receives a warning or who is dismissed for harassment may appeal against the penalty in accordance with the College's Disciplinary Procedure.

## **Time Limits and Records**

The College will make every effort to reach a decision on whether or not a complaint is well founded within 30 days of receipt of the formal complaint. Requests for reconsideration will, where possible, be dealt with within 15 days. As the complexity of harassment/bullying complaints varies greatly, the College will not always be able to meet these time limits. While it is always highly desirable to resolve all complaints at the earliest possible opportunity, this will not always be possible if the investigation is to be both thorough and fair.

Records will be made of all investigations and hearings; your outcome and the action taken and will be kept confidential.

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# **Whistleblowing Procedure**

## **Introduction**

The College, at all times, conducts its business with the highest standards of integrity and honesty. It expects you to maintain the same standards in everything you do. Members of staff are therefore encouraged to report any wrongdoing by the College or its members of staff that falls short of these principles.

The Public Interest Disclosure Act 1998 protects members of staff who report wrongdoing within the workplace, but it is the aim of this policy to ensure that, as far as possible, College staff are able to inform a College Officer about any wrongdoing at work which you believe has occurred or is likely to occur.

The College recognises that you may not always feel comfortable about discussing concerns internally, especially if you believe that the College itself is responsible for the wrongdoing. The aim of this policy is to ensure that members of staff are confident that they can raise any matter with the College that concerns them, in the knowledge that it will be taken seriously, treated as confidential and that no action will be taken against them.

You are encouraged to use the procedure set out below if you have any concerns at all about wrongdoing at work, including any criminal offence, a failure to comply with legal obligations, a miscarriage of justice, a health and safety danger, an environmental risk or a concealment of any of these.

## **Procedure**

If appropriate, you should discuss the matter with the Human Resources Manager or the College Officer in charge of your department (or if that person is not available, any College Officer) in the first instance.

This initial informal approach will be treated as completely confidential and will not result in any report to anyone within the College unless you agree to this.

If the matter requires further investigation, such an investigation will be carried out and you who have raised the concern will be informed of the outcome of the investigations and what, if any, action has been taken.

If you remain unhappy about the speed or conduct of the investigation, or the way in which the matter has been resolved, you should refer the matter to the Provost, who may appoint a deputy to investigate. Such investigation by the Provost or a deputy will only normally commence after you have been informed of the outcome of investigations and any action taken (as referred to in the preceding paragraph to

this). When the complaint has been investigated, the results will be reported to you together with what, if any, action has been taken.

The College undertakes that no member of staff who makes a bona fide report under this procedure will be subjected to any detriment as a result, in accordance with section 47B of the Employment Rights Act 1996.

In the event that you believe that you are being subjected to a detriment by any person within the College, as a result of your decision to invoke the procedure, you must inform the Human Resources Manager or the College Officer in charge of your department immediately and appropriate action will be taken to protect you from any reprisals.

If it should become clear that the procedure has not been invoked in good faith, for example for malicious reasons, or to pursue a personal grudge against another member of staff, this will constitute misconduct and will be dealt with in accordance with the terms of the College's Disciplinary Procedure. Your failure to report your concerns may result in disciplinary action being taken against you.

The College is keen to hear of any concerns that members of staff may have about wrongdoing at work and encourages them to use the procedure described above wherever possible.

The College recognises there may be matters that cannot be dealt with internally and, when this is the case, external authorities will need to become involved. Where this is necessary the College reserves the right to make such a referral without your consent.

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# **Critical Incident Staff Support Policy**

King's College acknowledges it has a duty of care to staff when a critical incident occurs in the workplace, and aims to reduce the negative impact, whenever practically possible, through effective management and support.

## **1. Definitions**

### **1.1 Critical Incident**

A critical incident is an event outside of our normal human experience. Such an event can impact people both physically and psychologically, with potential negative consequences to staff health and wellbeing. Examples of critical incidents which may occur are:

- Witnessing the traumatic death or injury of a student and/or members of staff /co-workers
- Witnessing an event where someone seriously harms themselves/others or attempts/completes suicide
- Being threatened by someone
- Death under unusual circumstances
- Physical/Sexual Assault

Incidents such as these can occur in virtually any work environment, and anyone can suffer a post-traumatic stress response following a critical incident. A person's response usually involves intense fear, helplessness, or horror. Even persons who have witnessed or experienced similar situations in the past without significant effects may be affected by the incident.

Please note: Trauma reactions are normal reactions to extremely abnormal circumstances. The symptoms usually decrease with time. If, however, they are still present after approximately 4 weeks professional support should be sought as detailed later in this policy.

### **1.2 *Debriefing***

A debrief is a confidential discussion between those directly involved, relating to feelings and perceptions prior to, during, and after a critical incident. Its aim is to provide support, education, and an outlet for views and feelings associated with the event. Debriefings are not counselling sessions.

## **2. Roles and Responsibilities**

### **2.1    *All Staff***

To ensure strong and effective communication is maintained between everyone involved, either directly or indirectly, in the critical incident.

### **2.2    *Employee***

To complete an incident report alerting College to any critical incident that occurs whilst at work and inform their Head of Department as soon as is practicable after the event.

Employees who experience signs and/or symptoms of Post-Traumatic Stress (refer to section 7 below for details) to discuss this with either their Head of Department, Human Resources, or their GP.

### **2.3    *Head of Department***

To ensure details of any incident are adequately reported.

To support their staff and provide information about the signs and symptoms of Post-Traumatic Stress (refer to section 7 for details). Any concerns about a member of staff should be discussed with the Head of HR.

### **2.4    *Health Centre***

During working hours, to provide professional support and advice to staff directly involved in a critical incident concerning a student, both during and following the event.

### **2.5    *Duty Tutor***

To provide out of hours support and advice to staff directly involved in a critical incident concerning a student, both during and following the event.

### **2.6    *Senior Management - Senior Tutor and/or Bursar***

To provide ongoing support throughout this process to their Staff.

### **2.7    *Human Resources***

To provide another source of confidential support and to make referral to Occupational Health or to signpost onto other support if this is deemed necessary.

### **2.8    *The Chaplain***

The Chaplain is available to care for the needs of all members and is experienced in providing pastoral support. The Chaplain can provide one-to-one support for staff or in a group.

### **3. Action to be taken following a critical Incident**

3.1 A Hot Debrief should take place as soon as is practicable following the event – see appendix I & 2 for further information.

3.2 If Critical Incident involves student/s:

During working hours, the Health Centre or Head of Department (whichever is most appropriate depending on circumstances) will collate the names of all staff involved and send to the Health Centre and Human Resources. Out of hours, the Duty Tutor will do this.

3.3 If Critical Incident does not involve student/s:

The Head of Department will collate the names of all staff involved. An email containing this information should be sent within 3 days to Human Resources.

#### Next step for all Critical Incidents:

3.4 The Bursar or the Senior Tutor (if incident involved student/s) will appoint a member of staff (with the correct skill sets) to oversee a cold debrief. This provides staff the opportunity to discuss and support each other in a confidential, but informal setting, and should take place within 21 days of the incident.

General care and consideration in the early stages and adhering to the principles of psychological first aid is essential, ensuring personnel are supported locally by their line management team, peer group - which can be either through a phone call or chat - and, if required, a period of watchful waiting can take place.

If there are any continued concerns beyond the normal adjustment period (4/6 weeks) further support and assistance should be obtained through an Occupational Health referral, via the Head of HR. Staff can access support through the College's Simply Health scheme and/or their GP and local NHS services (see section 7 for details). IMPORTANTLY, if issues are significant, support and assistance should be sought before the 4/6-week period ends.

3.5 When deemed necessary, the Senior Tutor or Bursar, will appoint a member of staff (with the correct skill sets) to organise and oversee a Full Incident Review. This should take place within 3 months of the incident or, if the incident involved a death, following the coroner's case. This will help the College pull all the learning

points together from the incident and enable it to implement any changes deemed necessary.

#### **4. Staff Attending Court**

Following a critical incident at work, staff may be required to give evidence in a civil or criminal law case, or a Coroner's case. The requirement to attend court and give evidence has the potential to traumatise or re-traumatise individuals as it requires recalling memories of the incident and reviewing the events. As part of its duty of care, College will ensure staff are supported in the lead up to and during these proceedings. Depending on the circumstances, this may be through a colleague, Manager, Head of HR, or a Lawyer appointed by the College to support the member of staff.

If legal proceedings are commenced (or if otherwise requested following legal advice) it is important that care is taken to ensure nothing happens which could adversely affect the prosecution process. Any potential prosecution witnesses should not discuss with other potential witnesses anything about which they are likely to give evidence. Those conducting debriefings or providing support to staff must be mindful to ensure such matters are not discussed (orally or in writing) in circumstances where a witness's recollection of events could be compromised.

#### **5. Confidentiality**

Strict confidentiality should be maintained by all staff relating to the critical incident. It should be noted that in circumstances where there is a significant level of risk to the employee or third parties, or where there is a potential for serious professional misconduct, this may compromise the rule of confidentiality. Where circumstances dictate that it is necessary to disclose certain information this will be, wherever possible, with the consent of the employee.

#### **6. Further information/Contacts**

- Post-Traumatic Stress - University Staff Counselling Service leaflet
- Supporting Staff following a traumatic incident - University Staff Counselling Service Leaflet for Managers
- Providing support after an incident - Work-related violence - HSE
- Psychological Wellbeing Service (IAPT) | CPFT NHS Trust
- First Response Service (FRS)- supporting people experiencing a mental health crisis, available 24 hours a day, 365 days a year:
- FRS Service detail | CPFT NHS Trust



- Samaritans - Confidential emotional support, available 24 hours a day, 365 days a year: <http://www.samaritans.org>

## **Appendix 1**

Hot Debrief Tool (adapted from STOP Edinburgh Emergency Medicine Model)

Thank everyone involved in incident and ask:

"Is everyone ok?"

If NO attend to any immediate needs

If YES then continue as below and STATE FIRST:

- We are going to have a short team debrief (5-10 min)
- Your participation is welcomed but not compulsory
- Purpose is to improve how we work and the College's performance
- This is not a blaming session
- All information discussed during this debrief is confidential

**S** Summarise the critical incident

**T** Things that went well

**O** Opportunities to improve

**P** Points to action and responsibilities (include staff member to action each)

## Appendix 2

### HOT DEBRIEF

Date:

Time:

Location:

Duration:

Attendees

Name	Designation

Non-Attendees

Name	Designation

Summary of Discussions and Outcomes (continue a separate sheet if necessary)

--

Signed:

Date:

Person in Charge of Meeting:

Designation:

## COLD DEBRIEF

Date:

Time:

Location:

Duration:

### Attendees

Name	Designation

### Non-Attendees

Name	Designation

Summary of Discussions and Outcomes (continue a separate sheet if necessary)

--

Signed:

Date:

Person in Charge of Meeting:

Designation:

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## **Health & Safety Policy**

King's College Health Safety and Compliance Policy sets compliance standards and meets its legal obligation to ensure so far as reasonably practicable the health, safety and welfare of all those who are employed by the College and those who may be affected by what it does. A copy of this policy is available from Heads of Department.

It is the responsibility of the College through Heads of Department, with the advice and assistance of the Health and Safety Manager, Health and Safety Advisor and H&S representatives to:

- establish clear lines of responsibility and effective methods of communicating safety information to all members of the College and staff.
- maintain a system for recording details of all accidents so as to ensure that they are investigated.
- ensure those members of the College, Heads of Departments and members of staff, whose work involves them in particular risks, receive and act upon all relevant safety regulations and codes of practice published by the Health and Safety Commission.
- monitor regularly the performance of the College in the field of health, safety and welfare.

The Safety Representatives Committee comprises members of staff from all departments and reports to the Buildings and Safety Committee. The names of representatives are available from Heads of Department or the Health and Safety Advisor.

You have an obligation to safeguard not only your own safety and health, but those of others also as stated in the Health and Safety at Work Act, and to co-operate with the College and others in meeting your obligations under the Act.

You must not wilfully or recklessly misuse, damage or interfere with equipment provided in the interest of health and safety.

### **Fire Prevention**

The most common causes of fire and fire alarm activations are:

- cooking in gyp rooms and wedging the door open. Smoke then activates the smoke detectors nearby;

- cooking in the gyp rooms which is left unattended;
- using candles in student rooms (this is forbidden); and
- overloading the electrical circuit by operating too many electrical appliances and/or using multiple adapters.

Use electrical equipment correctly, do not overload any electrical point. Do not use faulty equipment; if in doubt get it inspected by a College electrician. Do not tamper with electrical fittings or circuits.

Do not accumulate waste or rubbish.

Smoking is forbidden throughout the College premises, indoors and out-of-doors, except in Chetwynd Court and on the Beves Terrace.

Never use fire-fighting equipment recklessly; this endangers other people's lives. Offenders may be disciplined.

## **Fire Procedures**

### Raising the Fire Alarm

You may discover a fire by seeing it, smelling it or hearing it. If you discover a fire, stay calm. If you panic, you will not be able to act properly and you may unnecessarily scare other people. You must carry out the following procedure:

- break the break glass at the call point to set off the alarm. These are located in all 'Fire Exit' routes;
- attempt to put out the fire only if it is safe to do so and you have been trained in use of fire extinguishers;
- evacuate the building and inform the Porters Lodge by dialling (3)31656 or (3)31100 they will then inform the Fire Brigade; and
- report to your 'Fire Assembly Point'. The location of your 'Fire Assembly Point' is on the Fire Evacuation Procedures notices displayed around the premises.

### Hearing the Fire Alarm

If the fire alarms are activated, you must carry out the following procedure:

- evacuate the building by the nearest available escape route; Close doors behind you BUT DO NOT LOCK THEM
- never use the lift in the Keynes Building or Library for evacuation; and

- report to your 'Fire Assembly Point'.

### Fire Fighting Equipment

The types and uses of fire extinguishers in the College are as follows:

- **Water - red/red label** - suitable for most fires except those involving flammable liquids or live electrical apparatus;
- **Foam - red/yellow label** - suitable for burning liquids;
- **Powder - red/blue label** - suitable for burning liquids or electrical fires;
- **Carbon Dioxide Gas - red/black label** - suitable for burning liquids or electrical fires; and
- **Fire blankets – red container** - are suitable for extinguishing burning clothing and small-contained fires involving burning liquids.
- **Signs by the fire extinguishers advise on which type to use.**

### **Accident Prevention**

In order to prevent accidents, you must:

- perform your duties as directed in compliance with your training, qualification and experience;
- use equipment, materials and substances in compliance with the manufacturer's instructions;
- report all faults;
- keep passages and stairs clear of obstructions; do not stack paper, or other items in rooms or passages;
- never overload any electrical point; (NOTE: This is especially important where the points in some rooms are 5 amp only and therefore not suitable for items such as electric kettles.)
- never use faulty equipment or equipment with worn or frayed leads;
- never change fittings or tamper with circuits;
- keep flexible cables as short as possible; and
- never lift any object, which is too heavy, but get help.



## **Accident Procedure**

In the event of an injury there is a First Aid Box at the Porters' Lodge and also in a number of other areas in College and in the Hostels. For the location of these First Aid Boxes and the location of First Aiders, see below.

The following advice is concerned only with First Aid. It is not a substitute for attention by a doctor or a trained nurse.

If medical advice is needed urgently, and provided it is safe to move the person, send the patient to hospital by car.

If in any doubt, you should send for an ambulance by dialling either '999' or '9-999', depending on the type of telephone you are using. **The Porters' Lodge must always be informed.**

All Porters are trained in First Aid, therefore First Aid response is available 24-hours a day, every day.

## **Accidents and Near Misses**

All accidents and near misses must be reported as soon as practicable to your supervisor or head of department. They will complete an online report on your behalf. The supervisor will investigate the accident and ensure that your welfare is taken care of. If you have any concerns regarding Health & safety in your area or any other area of the College you should contact the Health & Safety Advisor ([stuart.douglas@kings.cam.ac.uk](mailto:stuart.douglas@kings.cam.ac.uk) or 01223 331316) as soon as possible.

## **Locations of First Aid Boxes**

First Aid Boxes are located in the following areas of the College:

- Catering Department - (Buttery, Pantry, Kitchen)
- Chapel
- College Bar
- College Office
- College Vans
- Custodians Hut - (Back Gate)
- Cranmer Road Hostel
- Domestic Managers Office
- Fitzwilliam Street Hostel

- Garden Hostel
- Gardeners Hut
- Grasshopper Lodge
- Library
- Kings Parade Hostel
- Main Boiler Room
- Maintenance Workshop
- Market Hostel
- Porters' Lodge
- Spalding Hostel

### **First Aiders' Locations**

Names of near-by First Aiders are attached to the front of departmental first aid boxes, and to re-iterate, trained First Aid assistance is always available from the Porters' Lodge on extension 31656 or 31100.

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# **Smoke Free Policy**

## **Introduction**

The College takes the view that smoking in the workplace is a fire risk, contravenes health and safety regulations and is a health hazard to its members, staff and visitors as a result of passive smoking. This policy recognises that the Health Act 2006 expressly bans smoking in all public places and workplaces.

## **Policy**

The College is a community with a large number of resident members. This policy is designed to ensure that those who live and work here and who do not smoke are not affected by the smoking of others. For this reason, smoking is prohibited inside all buildings, including all residential rooms and the College courts and grounds that lie between the College's boundaries on King's Parade and Queens' Road. For the avoidance of doubt, this policy also extends to the area known as the King's Parade Podium.

Whilst the use of e-cigarettes, personal vaporizers and electronic nicotine delivery systems (referred to in this policy as e-cigarettes) currently falls outside the scope of smoke-free legislation, the long-term health effects of the use of these devices are unknown. The vapour from e-cigarettes may be a source of irritation for some employees and may represent a health risk through passive consumption (as with passive smoking). Visitors to the College may also confuse e-cigarettes with normal cigarettes and, if e-cigarettes are used on our premises, form the impression that the College does not comply with the smoke-free legislation. As they are battery-operated, e-cigarettes may also pose a safety risk. The College has therefore decided that the use of e-cigarettes will be covered by this policy.

This policy applies to all visitors to the College including contractors, delivery drivers and conference guests. Staff who meet visitors are asked to ensure that they comply with this policy.

Smoking or using e-cigarettes is not permitted in College vehicles or in any private vehicles being used on College business when another member of staff is being conveyed.

Contraventions of this policy will be dealt with under the College's disciplinary procedures.

## **Support in giving up**

The College Nurse is available to offer advice, support and encouragement to those who would like to give up smoking. The NHS Stop Smoking Services e.g. Camquit

(01223 723022) or the National *Don't Give Up Giving Up* Freephone helpline (0800 1690169) provide free advice and practical support for people wishing to give up smoking.

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## **Alcohol & Drugs Policy**

Under legislation, the College, as an employer, has a duty to ensure, so far as is reasonably practicable, the health and safety and welfare at work of its entire staff; 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/or the health and safety of its staff.

The effects of alcohol and drugs can be numerous (these are examples only and not an exhaustive list): -

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

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/offence, you may be subject to disciplinary action, which may lead to dismissal.

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# **Domestic Abuse Policy**

## **Introduction**

This policy covers the internal and external support available to employees experiencing, or involved in, domestic abuse. Everyone has the right to live free from abuse in any form and the responsibility for abuse lies with the perpetrator. It is recognised that there is an increased awareness of the prevalence of domestic abuse in society and the College understands that there may be colleagues who are experiencing domestic abuse, or who want to support friends, colleagues or family members who are going through it.

## **Aims of the policy**

The aims of this policy are to:

- Support all employees experiencing domestic abuse and promote their health, safety and well-being at work;
- Enable employees experiencing domestic abuse to remain productive, efficient and at work;
- Aid Line Managers seeking to help staff who are experiencing domestic abuse; and
- Assist colleagues of staff who are experiencing domestic abuse.
- Support perpetrators who voluntarily wish to seek advice and support to address their behaviour.

It is the College's intention to deal constructively, compassionately, and sympathetically with cases of domestic abuse.

You can speak in confidence to your Line Manager, or the HR department, who can provide initial support, signpost you to resources and help you with any disclosure conversations you would like to have with colleagues and, if you have not done so already, with the Head of HR.

You are of course able to bring a friend or colleague along with you to support you through these conversations, and any disclosure made under this policy is without prejudice to your employment.

HR will work with you to formulate a response including:

- (a) Discussing and agreeing ways to help you stay safe in the workplace;
- (b) Directing you to the appropriate domestic abuse resources; and
- (c) Facilitating referrals.

Please refer to the paragraph below relating to confidentiality.

Line Managers have a role to play in enabling employees experiencing domestic abuse to seek help and support. The role of the Line Manager is to:

- Identify employees who may be experiencing difficulties as a result of domestic abuse, for example, employees coming to work with unexplained injuries or who appear distressed or have unexplained periods of time off work or show an uncharacteristic deterioration in work performance.
- Provide initial help and support, including advice on the options available for the employee and referrals to appropriate sources of professional help and support.
- Protect confidentiality as far as possible (see the paragraph on confidentiality below).
- Discuss measures to prioritise safety at work and ensure that the health and safety of all employees is protected.
- Enable the employee to remain productive, efficient and at work.

### **Confidentiality**

Where an employee has discussions with their Line Manager, an alternative Line Manager, or a member of HR that they are experiencing domestic abuse, confidentiality will usually be maintained as far as possible. There are, however, some circumstances in which confidentiality cannot be assured. These circumstances occur when there are concerns about children or vulnerable adults, where high risk to safety has been identified, or where we need to act to protect the safety of members of the public, including other colleagues.

Where a perpetrator may be placing their partner or family member (s) in genuine danger this may be reported to the police. This will be subject to prior discussion with the employee wherever it is reasonably practicable to do so.

Personal data will be stored in accordance with the College's data protection policy.

### **Safety at work**

We acknowledge our duty to protect the health, safety and well-being of all employees at work, including those employees affected by domestic abuse. This includes situations where the perpetrator of the abuse is harassing the employee at work, for example, turning up at the workplace unannounced, constantly telephoning/e-mailing/texting the employee during the working day or harassing the employee's work colleagues.

Employees need to disclose to the College that they are at risk from domestic abuse in order to receive this protection and the College therefore actively encourages

employees to disclose such facts. Other employees should also disclose to the College if they are being harassed by a work colleague's current or former partner or family member.

### **Perpetrators of domestic abuse**

The College will not tolerate or condone domestic abuse, regardless of the identity or seniority of the perpetrator. However, the College recognises the need to offer appropriate support to employees who disclose that they themselves are perpetrators of domestic abuse but who genuinely want to change their behaviour. If the College becomes aware that an employee is or may be perpetrating domestic abuse, it will take appropriate action. Any domestic abuse that endangers another employee or uses College equipment to inflict that abuse, such as mobile phones or laptops, may result in disciplinary action under the organisation's disciplinary policy up to and including dismissal for Gross Misconduct. In some cases, it may be appropriate for the College to provide support to an employee who is seeking to address their behaviour, for example by providing access to specialist support services and this will be decided on a case by case basis.

### **Reasonable adjustments**

Where an employee needs time off in respect to accessing support, managing any legal issues or family requirements, the College will provide a reasonable amount of paid time off up to a maximum of 10 days per year. Employees who need time off should discuss this with their Line Manager and HR to agree how much leave is required, how and when it will be taken and whether leave will be paid or unpaid. Other examples of flexible working arrangements are outlined in the guidance notes that accompany this policy.

### **Guidance Notes**

Guidance notes containing practical details of how to manage domestic abuse in the workplace have been made available to all line managers. Please contact the HR Department if you require a copy.

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# **Safeguarding Policy**

## **1. Introduction**

*King's College Safeguarding Officer (SO): Rosanna Omitowoju, Welfare Tutor  
([rso20@cam.ac.uk](mailto:rso20@cam.ac.uk))*

*Assistant Safeguarding Officer (ASO): Eve Simkiss, Head of HR  
([eve.simkiss@kings.cam.ac.uk](mailto:eve.simkiss@kings.cam.ac.uk))*

- 1.1 King's College is committed to ensuring a safe and supportive environment for its members and visitors. The College aims to adopt the highest standards and take all reasonable steps in relation to the safety and welfare of children and adults at risk. The College encounters children and some adults at risk through its teaching, cultural and research activities, as well as through its recruitment and outreach programmes. The College Chapel encounters children and adults at risk through its daily term time services that are open to the public and through tours and open visiting hours. For further information on Chapel Services, please see the *Chapel Hospitality Policy*.
- 1.2 The College aims to support these activities and to offer assurances to those engaged in the work of the College that it will seek to protect children and adults at risk and keep them safe from harm when in contact with the College's employees, Fellows, volunteers, students or representatives (whether acting in a paid or unpaid capacity). This Policy is intended to safeguard the interests of children and adults at risk and also the interests of employees, Fellows, volunteers, students and anyone who works on behalf of the College and who comes into contact with children or adults at risk.
- 1.3 The College will ensure that the King's College Choir choristers are fully covered under the *Child Protection Policy* administered by King's College School. The School policy covers the choristers for the time they are present in School and on School trips as well as when they are in College or Chapel, performing in concerts or on choir tours. The King's College School *Safeguarding and Child Protection Policy* may be found [here](#).
- 1.4 King's Junior Voices is an independent children's choir and is covered by its own separate safeguarding policy, for which the conductor and trustees are responsible. <https://www.kjvchoir.org>

1.5 This policy seeks to:

- Promote and prioritise the safety and wellbeing of everyone, particularly children and adults who may be at risk; ensure that roles and responsibilities are made clear in respect of safeguarding matters and that an appropriate level of information, training and support is provided to those within the College for whom it is necessary.
- Offer assurances to staff, students, parents, carers, volunteers and visitors to the College that safeguarding concerns will be dealt with effectively and in a timely manner.
- Prevent the employment of individuals to work with children or adults at risk where they have been barred by the Disclosure and Barring Service (DBS) or are deemed by the College to pose an unacceptable risk.
- Manage effectively the risks associated with activities and events involving children and adults at risk.

## **2. Scope**

2.1 The College's Fellows, employees, workers, volunteers, students or anyone working on behalf of the College (in a paid or unpaid capacity) are subject to this policy.

2.2 The policy covers all events and activities organised by those working on behalf of or representing the College, as well as official events and activities organised by its students. Such activities with children include open days, school masterclasses, applicant visits (including residential visits), interviews, programmes for international students, and outreach cultural activities (for example choirs). It also covers the interactions between students and the College Nurse, College Counsellor, the Mental Health Advisor and Tutors, and visits from members of the public. Finally, it covers interactions between staff apprentices under the age of 18 and their supervisors.

2.3 It is expected that external bodies utilising the College's premises or facilities for external events will have their own safeguarding policies and procedures in place and will take full responsibility for the safeguarding of individuals involved in any related activities.

## **3. Definitions**

3.1 *Safeguarding*: describes arrangements in place to protect children and adults at risk in vulnerable circumstances from abuse or neglect.

3.2 *Child/Children*: refers to anyone under the age of 18 and therefore not legally an independent adult. Particular care should be afforded to a child under the age of 16.

3.3 *Adult at Risk*: persons aged 18 years or over, who may be in need of community care services by reason of a mental or other disability, age, or illness; and who is or may be unable to take care of themselves, or unable to protect themselves against significant harm of exploitation.<sup>2</sup> Persons aged 18 years or over are also considered to be at 'risk' if they are engaged in a 'regulated activity' as defined in 3.5.7.

3.4 *Abuse*: can be physical, sexual, psychological/emotional, financial/material or professional. It can also arise from neglect.

3.5 *Regulated Activity* in relation to children:

1. Unsupervised activities: teaching, training, instructing, caring for or supervising, or providing advice/guidance on wellbeing, providing personal care, or driving a vehicle only for children.
2. Working for a limited range of establishments, with opportunity for contact with children e.g. schools, children's homes, childcare premises.
3. Registered childminding and foster-carers.

3.5.1 Work under (1) or (2) above is considered a regulated activity only if it is done **regularly**.

3.5.2 The roles of the Dean, Chaplain, Chapel Manager, Chapel Clerks, Director of Music, Lodge Porters, Undergraduate Admissions Tutor Directors of Studies, Schools Liaison Officer, Admissions Officer, Choral and Organ Scholars **are** considered to involve engaging in regulated activity with children under 18 regularly as defined by the relevant legislation.

3.5.3 The roles of Supervisors **are not** considered to involve engaging in regulated activity with children under 18 regularly as defined by the relevant legislation.

3.5.6 Full definitions of regulated activity in relation to children, including definitions of regularity, can be found [here](#).

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<sup>2</sup> The term 'adult at risk' replaces the older term 'vulnerable adults' so as to emphasise that the individual abused is not at fault for the abuse. The definition employed in this policy is in line with the Care Act 2014, and the definition used in the University Safeguarding policy: <https://www.hr.admin.cam.ac.uk/policies-procedures/children-and-adults-risk-safeguarding-policy>

3.5.7 Regulated activity in relation to adults identifies activities provided to any adult which, if any adult *requires* them, will mean that the adult will be considered at risk at that particular time. There is no requirement for a person to carry out regulated activities a certain number of times before they are deemed to be engaging in regulated activity in relation to adults. Any time a person engages in one or more of the activities set out below in relation to any adult, they are deemed to be engaging in regulated activity and that adult is deemed to be at risk at that time:

1. Providing health care (whether physical, mental, including palliative) provision by any health care professional who is regulated by General Medical Council, General Dental Council, Nursing and Midwifery Council, Health Professions Council.
2. Providing psychotherapy and counselling which is related to health care the adult is receiving from, or under the direction or supervision of a health care professional.
3. Providing first aid, when any person administering it is doing so on behalf of an organisation established for the purpose of providing first aid (e.g. Red Cross).
4. Providing personal care as a result of physical or mental illness, including physical assistance with eating or drinking, going to the toilet, washing, bathing, dressing etc., or supervising, training or providing advice/guidance to an adult to undertake these activities themselves where they cannot make the decision to do so unprompted.
5. Providing social work.
6. Assisting with general household matters (e.g. managing a person's money, paying their bills, shopping on their behalf).
7. Assisting in the conduct of a person's affairs (e.g. undertaking lasting or enduring power of attorney for an adult under the Mental Capacity Act 2005, being an independent mental health advocate, etc.).
8. Conveying (e.g. driving a person specifically for the purpose of conveying them to and from places to receive care as detailed above).

3.5.8 The roles of the College's Nurse, Chaplain, Counsellor or Mental Health Adviser and Cognitive Behavioral Therapist (where employed by the College), Graduate and Undergraduate Tutors and Directors of Studies **are** considered to involve engaging in regulated activity with adults as defined by the relevant legislation.

3.5.9 The roles of Supervisors **are not** considered to involve engaging in regulated activity with adults as defined by the relevant legislation.

3.6 Full definitions of regulated activity in relation to adults can be found [here](#).

#### **4. Roles and Preventative Measures**

4.1 The King's College Safeguarding Officer (SO) is the Welfare Tutor, and they are supported by the Assistant Safeguarding Officer (ASO), the HR Manager. Together, the SO and ASO have leadership responsibility for the College's Safeguarding Policy and the responsibility for the day-to-day administration of the College's safeguarding procedures. Contact details can be found on the last page of this policy.

4.2 The SO and ASO are responsible for:

- Implementing and promoting this Policy;
- Ensuring that the policy is monitored and reviewed in accordance with changes in legislation and guidance on the protection of children;
- Acting as the main contact within the College for the protection of children and adults at risk;
- Ensuring that appropriate College Members are provided with information, advice and training to fulfill their responsibilities in accordance with this Policy.
- Ensuring that DBS checks are completed on appropriate staff in relation to the College and the College Choir.
- Maintaining confidential records of reported child abuse cases and action taken

4.3 The King's College School Designated Safeguarding Lead ('KCS DSL') has responsibility for the choristers.

4.4 The SO, ASO and the KCS DSL should each complete training in safeguarding. Training should be renewed, at a minimum, every two years.

4.5 Given the complexity of safeguarding matters, it is essential that any concerns are reported to the SO (students and Fellows), ASO (staff), or KCS DSL (where the matter relates to choristers or to King's College School) to ensure that they have access to all the relevant information. This is particularly important where a number of seemingly minor issues may collectively give rise to a more substantial concern.

4.6 In the event that a complaint or accusation is made about the SO or ASO, this will be considered independently by the First Bursar. If a complaint or accusation

is made about the KCS DSL in relation to the choristers, this will be considered by King's College School in accordance with the relevant School policies.

4.7 Each Head of Department is accountable for the adoption and implementation of this Policy and for promoting safeguarding within their Department. See Annex C for a current list of all Heads of Department.

4.8 The attention of new College Members (which includes staff) will be drawn to this Policy as part of the induction process. All College Members are expected to comply fully with the guidance and procedures set out in this Policy. The College will ensure that Members are fully briefed and/or trained (as appropriate) in the implications of this Policy.

4.9 Students of the College who apply to be engaged in outreach work as 'Student Ambassadors' for the College will not be required to undergo a DBS check. If they are deemed suitable for this post which entails working with children, these students have a compulsory short induction for the role. This includes reminders concerning the importance of maintaining appropriate professional boundaries and the expectations of the College in relation to conduct. In addition, they are referred to the Department for Education guidance for school, '*Keeping children safe in education*' (September 2023: [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1181955/Keeping\\_children\\_safe\\_in\\_education\\_2023.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1181955/Keeping_children_safe_in_education_2023.pdf)). They are required to read and confirm that they have read at least Part One of that guidance. These students should not be left to work alone on a one-to-one basis with a child.

4.10 This Policy is reviewed by Council, at a minimum, on an annual basis or more frequently as required. This is an opportunity for Council to ensure that the safeguarding policies of the College and the School remain in step with each other and for the SO and ASO reflect on their own practice and for the College to make changes in light of recent experience.

## **5. Planning Activities**

5.1 No high-risk activities are anticipated.

5.2 It is the responsibility of the Head of Department to retain oversight for regulated activities within their area and to ensure:

- Appropriate training and supervision is available to those employees, workers, Fellows, volunteers or students engaging in them;

- Occasions in which those engaged in regulated activities will need to work alone in an unsupervised way are minimised; and that they are appropriately risk assessed;
- That children and adults engaged in regulated activities are given clear information about how, and to whom, they can report any safeguarding concerns.

5.3 It is the responsibility of the Head of Department to ensure:

1. Completed risk assessments are made available to employees, Fellows, workers, volunteers or students who are involved in the activity;
2. The implementation and review of actions identified within a risk assessment is undertaken in a timely manner.

5.4 A template risk assessment can be found in Annex B

## **6. Induction and Training**

6.1 It is the responsibility of the Head of Department to:

1. Ensure that any employee, worker, Fellow, volunteer, student working on behalf of the College within their area is made aware of the existence of this policy and asked to familiarise themselves with the contents as part of their induction.
2. Ensure that any employee, worker, Fellow, volunteer, student working on behalf of the College within their area who engages in a regulated activity completes safeguarding training, together with any additional training that may have been identified by any relevant risk assessment processes.
3. Record and monitor the safeguarding training undertaken by those working on behalf of the College in their area.

## **7. Recruitment and Disclosure and Barring Service (DBS) Checks**

7.1 Standardly, an Enhanced DBS check will be undertaken when recruiting to the roles of Lodge Porter, Admissions Tutor, Schools Liaison Officer, Admissions Officer, International Programmes Officers, Cognitive Behavioral Therapist, Nurse, Counsellor, and Mental Health Advisor (if and when employed by the College). There are certain roles pertaining to the choristers that will

require an Enhanced DBS and include, but are not limited to, Director of Music, Chaplain, Chapel Manager, Chapel Clerks, choral scholars and organ scholars.

In addition, the roles of Undergraduate Tutor and Graduate Tutor will require a Basic DBS check. For those roles pertaining to the choristers, the DBS checks will be processed by the School. All other checks will be processed by the HR Department.

7.2 The College will undertake additional pre-employment checks where necessary as part of its safeguarding duty, including checking the accreditation of anyone employed by the College as a healthcare or psychotherapy professional such as a Counsellor or Nurse. References from recent previous employers will also be sought. These checks will be undertaken by the HR Department.

7.3 It is the responsibility of the Head of Department to:

- a) Inform the HR Officer when a DBS check is required for a role which is to be recruited to, so that the correct documentation can be used as part of the recruitment process;
- b) Discuss with the Head of HR if uncertain whether a check is required to ensure appropriate checks are carried out.
- c) See Annex C for a complete list of Heads of Department.

7.4 In liaison with the relevant authorities, the ASO will refer someone to the DBS if they:

- a) Have had their employment with the College terminated because they harmed someone;
- b) Have had their employment with the College terminated or job role limited because they might have harmed someone; or
- c) Would have had their employment with the College terminated for either of these reasons, but they resigned first.

## **8. Arrangements for supporting students under the age of 18**

8.1 The College is not able to take on the authority, rights and responsibilities of parents in relation to their children, and it will not act *in loco parentis* in relation to students who are under the age of 18 years. Only in very exceptional circumstances will the College admit a student who is under 18, and if this is agreed, they will usually turn 18 during their first term. If any



such students are admitted, the admissions team will inform the SO and ASO and consider a wide range of issues, including social interaction, provision of tutorial support and supervision.

## **9. Raising a concern or allegation of abuse**

9.1 Any person involved in the work of the College (Fellows, employees, workers, volunteers, students or anyone working on behalf of the College in a paid or unpaid capacity) can raise a concern or allegation of abuse by speaking to their line manager/Tutor or any senior member of the College who will refer matters to the SO or ASO as a matter of course. Concerns or allegations can also be made directly to the SO or ASO. The Safeguarding Report Form (Annex D) should be completed by the person raising the concern and passed to one of the College's Safeguarding Officers.

## **10. Procedure for dealing with suspicions or allegations of abuse**

10.1 Those working with children and with those engaged in regulated activities may:

- a) have alleged abuse disclosed to them;
- b) suspect abuse is being carried out; or
- c) be accused of abusing those in their charge.

10.2 Whilst these issues may require very different courses of action, it is essential that the safety, welfare and wishes of the child or adult at risk is prioritised.

10.3 The SO has responsibility for ensuring that they (or the ASO) are available during normal working hours to respond to allegations without delay, and for procedures to be in place should issue arise outside of normal working hours. Unless there is risk of immediate harm, the Safeguarding Report Form (Annex D) should be completed and passed to the SO or ASO as soon as possible.

10.4 In the event there is a risk of immediate serious harm to a child or adult at risk, the emergency services should be contacted via 999 without delay. Anybody can make a referral in these circumstances. The SO & ASO should then be notified of the case.

10.5 Where a child or adult at risk discloses alleged abuse, or a member of the College suspect abuse which is not deemed to be an emergency, this should be

referred immediately to the SO or the ASO (if it's a staff member) who will consider what action is required. A referral should be made even where concerns are seemingly minor; in some instances, it is a pattern or range of minor incidents which, when taken together, amount to a more significant concern requiring investigation. It is therefore vital that the SO is privy to all concerns as they arise.

10.6 Appropriate records will be retained by the SO and ASO in accordance with the College's Data Protection Policy. Where the matter relates to both staff and students, the SO will determine where the file should be kept.

10.7 In consultation with the Provost, Senior Tutor, First Bursar and ASO, the SO will be responsible for contacting any statutory agencies such as the Local Safeguarding Children Board (LSCB) or the Police, if necessary.

10.8 The College is not expected and should not attempt to investigate suspicions of abuse independently.

10.9 Where a suspicion needs to be investigated by the relevant authority, it may be necessary for the College to do one or more of the following:

- a) move the victim of an alleged safeguarding breach to a safe place;
- b) suspend the individual(s) about whom an allegation or suspicion has arisen;
- c) prevent the individual(s) about whom an allegation or suspicion has arisen from engaging in any regulated activities.

10.10 Serious safeguarding breaches will constitute gross misconduct under the College's disciplinary policy and may lead to summary dismissal.

## **11. Relevant College Policies**

11.1 This Policy should be read in conjunction with the College's policies listed below:

- a) Staff Handbook
- b) Academic Staff Handbook
- c) Recruitment & Selection
- d) Student harassment and sexual misconduct
- e) Equal Opportunities
- f) Data Protection

- g) Whistleblowing
- h) Health and Safety
- i) Prevent
- j) Staff bullying and harassment policy
- k) Chapel Hospitality Policy
- l) Annex A of this Policy document

## **12. Relevant Legislation**

12.1 The following legislation and statutory guidance is relevant to this policy because it has influenced its introduction and/or its content:

- a) Health and Safety at Work Act 1974
- b) Rehabilitation of Offenders Act 1974
- c) Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975
- d) The Police Act 1997
- e) Protection of Children Act 1999
- f) Management of Health and Safety at Work Regulations 1999
- g) The Human Rights Act 1998
- h) Sexual Offences Act 2003
- i) The Children Act 2004
- j) Safeguarding Vulnerable Groups Act 2006
- k) Equality Act 2010
- l) Protection of Freedoms Act 2012
- m) Working Together to Safeguard Children 2018

12.2 The Protection of Freedoms Act 2012 is of particular importance as all decisions made to bar individuals from working with children or adults at risk are now made by the Disclosure and Barring Service (DBS) under this legislation.

## **Annex A**

### **Guidance for those acting on behalf of the College carrying out activities involving children or adults at risk**

*This guidance should be read in conjunction with the College's Safeguarding Policy.*

#### **1. General considerations**

1.1 If you are acting in a position of trust with children or adults at risk, you are expected to be mindful that you are acting as a role model and therefore should behave accordingly. The College takes seriously its responsibility under section 11 of the Children's Act and duties under 'working together' to safeguard and promote the welfare of children; and to work together with other agencies to ensure adequate arrangements exist to identify and support those children who are suffering harm or are likely to suffer.

1.2 We aim to support the child's development in ways that will foster security, confidence and resilience.

1.3 We aim to provide an environment in which children and young people feel safe, secure, valued and respected, feel confident and know how to approach adults if they are in difficulties.

1.4 Care should be taken to ensure that your conduct is appropriate to each circumstance and environment as well-intentioned actions can be misinterpreted.

1.5 All regulated activities should have undergone a risk assessment process, and you should have a copy of the relevant risk assessment which will identify the person to whom any concerns should be addressed promptly.

1.6 In your role you may become aware of, or suspect another person of abusing a child or adult at risk or they may disclose an allegation of abuse to you. You should raise any concerns with your Head of Department without delay or, where this is not possible, the Safeguarding Officer should be notified directly.

1.7 Allegations of inappropriate behaviour may also be made against you, and such allegations will need to be investigated, and may result in referral to external agencies.

#### **2. Safeguarding of children and adults at risk**

### *2.1 You should:*

- a) Treat everyone within the College community with respect;
- b) Provide an example of good conduct for others to follow;
- c) Ensure you have completed any required training and that you know what you should do if a child or adult at risk makes a disclosure to you;
- d) Ensure you are familiar with any relevant risk assessment(s) and understand who the key contact is for the activity you are engaged in;
- e) Give due regard to cultural difference;
- f) Be alert to and tackle inappropriate behaviour in others, including peer-to-peer behaviours. Abusive behaviour such as bullying (including cyber-bullying), ridiculing or aggression should not go unchallenged;
- g) If you have to give feedback, take care that it is not unnecessarily negative;
- h) Avoid being in a situation where you are alone with a child and make sure that others can clearly observe you;
- i) Take care that your language is not open to sexual connotation;
- j) Report any suspicions promptly and confidentially to your Head of Department, or in the event that the suspicions/allegations involve that person or they are unavailable, to the Safeguarding Officer;
- k) Deal with information sensitively and be aware that special caution may be required in moments when discussing sensitive issues with children and adults at risk.

### *2.2 You should not:*

- a) Engage in, or allow, any form of unnecessary physical contact. This would include doing personal things for a child or an adult at risk that they can do for themselves. Where the person is disabled, tasks should only be carried out with the full consent of the individual, (or their parent);
- b) Use inappropriate language, or allow others to use it without challenging it;
- c) Allow yourself to be drawn into inappropriate attention-seeking behaviour;
- d) Show favouritism to any individual;
- e) Rely on the College's good name to protect you;
- f) Engage in any physical sexual relationship with a person to whom you are in a position of trust, even if they give their consent;
- g) Give your personal contact details (such as personal phone number, home address, email, Skype address or other communication routes) to a child or adult at risk, or use any unofficial route to communicate with a child or adult at risk;
- h) Interact in a personal capacity with children or adults at risk outside of the regulated activity, including through any form of social media, for example, by becoming 'friends' on Facebook;
- i) Allow allegations of inappropriate behaviour to go unchallenged, recorded or acted on;

- j) Allow personal preconceptions about people to prevent appropriate action being taken;
- k) Accept gifts which could in anyway be considered a bribe or inducement to enter into a relationship or give rise to an allegation of improper conduct against you;
- l) Take photographs, or make other recordings of children or adults at risk without specific written consent of the individual, or someone with parental responsibility for that individual.

### *2.3 You should seek advice from your Head of Department if:*

- a) You suspect a relationship is developing which may be an abuse of trust;
- b) You are worried that a child or adult at risk is becoming attracted to you or a colleague;
- c) You think a child or adult at risk has misinterpreted something you have done or said;
- d) You have had to physically restrain a child or adult at risk to prevent them from harming themselves, another person or causing significant damage to property;
- e) A child or adult at risk tells you that they are being abused, or describes experiences that you consider may be abuse;
- f) You see suspicious or unexplained marks on a child or adult at risk or witness behaviours which are unusual or inappropriate.

## **3. Dealing with disclosures of allegations, or suspicions, of inappropriate behaviour**

- a) Consider the urgency of the situation: in the event there is a risk of immediate serious harm to a child or adult at risk, the emergency services should be contacted via 999. Anybody can make a referral in these circumstances. The relevant Safeguarding Officer should then be notified of the case and will need to determine whether to refer serious cases to the relevant authorities within one working day;
- b) Remain calm, avoid expressions of anger or upset and ensure that the person knows you are taking them seriously. Reassure them that they are right to have told someone, but do not touch them (for example by putting an arm round them);
- c) DO NOT try to investigate or act on the matter yourself: doing so may seriously compromise an investigation by the relevant authorities. You need only clarify what is being said to you (in order to establish that there is a suspicion of harm), and then refer the matter to the appropriate individual as set out in the policy;

d) Be supportive but DO NOT promise confidentiality. A duty of care obligates the College to act on information where a safeguarding issue has been identified and this takes precedence over the need for confidentiality. Explain that, in order that the allegation can be addressed you will have to talk to other people about it. Explain who you will talk to;

e) Avoid 'leading' questions, or expressing a view about what you have been told;

f) Use clear language, appropriate to the person you are dealing with;

g) Do not talk to anyone else about the matter within your Department; if you need to seek support for yourself you should speak to your Head of Department or the Safeguarding Officer;

h) Complete a Safeguarding Report Form (Annex D) and submit it to one of the College Safeguarding Officers. Write down what you have been told as soon as possible. In all events this must be done on the same day but this should not delay prompt action. Write down exactly what was said in the person's own words as far as possible, include the time, place, and as much detail as you can remember, but ensure that the note is as factual as possible and avoid assumption, speculation or opinion. Sign and date the note. Bear in mind that the note will be disclosable to both internal and external agencies.

## Annex B - College Template Risk Assessment Form

<b>Risk Assessment Form</b>				
College Department:				
Head of Department name & contact details				
Safeguarding Officer name & contact details:				
Dates risk assessment written and revised:				
Describe/outline the activity that is under assessment:				
Distribute to all staff, students, volunteers involved in running the activity (list names):				
Hazard (cause and consequences)	Affected Group	Existing controls (if any in place)	Risk level (see matrix example)	Further Action (if necessary, include names and dates)
<b>Risk Matrix</b>	<b>Likelihood</b>			
	<b>High</b>	<b>Medium</b>	<b>Low</b>	<b>Negligible</b>
<b>Severe consequences</b>	High	High	Medium	Effectively zero
<b>Moderate consequences</b>	High	Medium	Medium/low	Effectively zero
<b>Insignificant consequences</b>	Medium/low	Low	Low	Effectively zero
<b>Negligible consequences</b>	Effectively zero	Effectively zero	Effectively zero	Effectively zero



## Annex C - Heads of Department

Updated October 2024

Department	Fellow Head	Staff Head
Accounts	Dr Ivan Collister <sup>3</sup>	Mr Simon Billington (Assistant Bursar)
Archives	Dr Ivan Collister	Dr Patricia McGuire (Archivist)
Catering	Dr Ivan Collister	Mr Nick Wilson (Head of Catering)
Chapel & Music	Rev Dr Stephen Cherry <sup>4</sup>	Ms Emily Lyons (Chapel Manager)
Computing	Ms Polly Ingham <sup>5</sup>	Mr Paul Edwards (Head of IT)
Development	Ms Lorraine Headen <sup>6</sup>	Mr Adam Middleton (Deputy Director of Development)
Gardens	Ms Polly Ingham	Mr Stephen Coghill (Head Gardener)
Health and Safety	Ms Polly Ingham	Mr Stuart Douglas (Health & Safety Adviser)
Housekeeping	Ms Polly Ingham	Mrs Tracy Waldock (Head of Housekeeping)
Library	Dr Ivan Collister	Dr James Clements (College Librarian)
Maintenance	Ms Polly Ingham	Mr Shane Alexander (Clerk of Works)
HR	Dr Ivan Collister	Mrs Eve Simkiss (Head of HR)
Porters' Lodge	Ms Polly Ingham	Mr Neil Seabridge (Head Porter)
Provost	Dr Gillian Tett <sup>7</sup>	n/a
Tutorial	Dr Myfanwy Hill <sup>8</sup>	Mr Toby Wheeler (Tutorial Office Manager)
		Admissions: <ul style="list-style-type: none"> <li>Mr Joe Bright (Graduate Admissions)</li> <li>Ms Lucy Bunker (Undergraduate Admissions)</li> </ul>
		E-Lab: <ul style="list-style-type: none"> <li>Ms Sophie Harbour (E-Lab Coordinator)</li> </ul>
		Health Care Centre: <ul style="list-style-type: none"> <li>Ms Rachel Arkle (College Nurse)</li> </ul>
Vice-Provost	Professor Robin Osborne <sup>9</sup>	n/a
Visitor Services	Ms Polly Ingham	Ms Shani Prestidge (Head of Visitor Services)

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<sup>3</sup> First Bursar

<sup>4</sup> Dean of Chapel

<sup>5</sup> Domus Bursar

<sup>6</sup> Head of Development

<sup>7</sup> Provost

<sup>8</sup> Senior Tutor

<sup>9</sup> Vice-Provost

## Annex D – Safeguarding Report Form

- Use this form to provide as much detail as is immediately available to you, but do not attempt to obtain additional details from or about anyone else involved in the disclosure.
- Pass this information IMMEDIATELY to a College Safeguarding Contact (see list) who will follow up and take the appropriate action. This should be handed over and acknowledged by the next working day
- Do not discuss your concerns with anyone other than a Safeguarding Contact.
- Do not attempt to investigate the concerns yourself.
- You may need support to cope with the disclosure/concerns you have dealt with – ask the Safeguarding contact for advice

### Safeguarding Contacts

Name	Title	Safeguarding Role	Telephone	Email
Rosanna Omitowoju	Welfare Tutor	Safeguarding Officer	01223 331123	rso20@hermes.cam.ac.uk
Eve Simkiss	Head of HR	Assistant Safeguarding Officer	01223 331216	eve.simkiss@kings.cam.ac.uk

### Your details

Name:	
Department:	
Position:	
Contact telephone numbers:	
Work:	Mobile:
Contact email address:	
Address at work:	

### Person at risk's details

Name:
Date of birth:
Tutor/Manager:
Contact details:

### Details of concern – please continue on additional sheets if required

Are you reporting your own concerns or passing on those of someone else? (Give details)
---

Brief description of what has prompted these concerns. Include dates, times, venue etc. of any specific incidents and descriptions of any alleged or suspected abuse (emotional, sexual, physical abuse, discrimination or harassment), include descriptions of any injuries or marks which are observed. Include any relevant background that might explain the person at risk's behaviour.

What are the wishes of the person at risk?

Has consent to share been obtained?

Yes/No

Your Signature:

Print your name:

Date:

**For completion by the reporting person, with the Safeguarding Officer**

Does the concern fall into one of the following categories:

Neglect ☐

Sexual abuse ☐

Physical abuse ☐

Emotional abuse ☐

Signed: \_\_\_\_\_  
(Reporting person)

Signed: \_\_\_\_\_  
(Safeguarding Officer)

Has this information been passed to any other agencies? (please give details) If not, please record reasons why

## **Contact Information**

### **King's College Safeguarding Officer:**

Dr Rosanna Omitowoju

[rso20@hermes.cam.ac.uk](mailto:rso20@hermes.cam.ac.uk)

01223 331123

### **King's College Assistant Safeguarding Officer:**

Mrs. Eve Simkiss

[eve.simkiss@kings.cam.ac.uk](mailto:eve.simkiss@kings.cam.ac.uk)

01223 331216 or 07547 566649

### **King's College School Designated Safeguarding Lead:**

Mr. Jonathan Rist

[jrist@kcs.cambs.sch.uk](mailto:jrist@kcs.cambs.sch.uk)

01223 365 814

### **Master over the Choristers:**

Mrs. Yvette Day

[head@kcs.cambs.sch.uk](mailto:head@kcs.cambs.sch.uk)

01223 365 814

### **Local Authority Designated Officer Telephone Number:**

01223 727967 or 01223 727968

Email: [LADO@cambridgeshire.gov.uk](mailto:LADO@cambridgeshire.gov.uk)

**Cambridgeshire County Council Children's Social Care Team** are as follows:

0345 045 5203 Monday to Friday, 8am - 6pm

01733 234724 Outside the above hours and at weekends E-mail:

[ReferralCentre.Children@cambridgeshire.gov.uk](mailto:ReferralCentre.Children@cambridgeshire.gov.uk)

If the above numbers fail to answer, dial 999 in emergency.

**NSPCC Helpline** 0808 800 5000

Document Details		
Responsible Officer	Senior Tutor (with Safeguarding Officer and Assistant Safeguarding Officer)	
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Version No.	Approval Date	Change Description
V1	16.01.2024	Annual review undertaken by Education Committee working group. Transferred to pro-forma.

## **Prevent Legislation Statement**

The Prevent legislation was brought in under the Counter-Terrorism and Security Act 2015, which resulted in all public bodies (of which this University and King's College are examples) having a statutory duty to protect its members and other people from 'radicalisation', which in this context means being drawn in by others to support terrorism, or to commit acts of terrorism.

The main impact of the Prevent legislation concerns events involving speakers that are proposed to be held at King's, requiring certain checks to be carried out by the Lay Dean (in the case of student-led events) and the Vice-Provost (in the case of Fellow-led events). This is closely linked to issues surrounding Freedom of Speech, see below.

The College has a Prevent Committee, which meets once a year, in order to oversee our implementation of the Prevent duty. This Committee consists of:

All members of Council, the Senior Tutor, a Graduate Tutor, the Assistant Tutor, the Lay Dean, the Head of Catering, the Head of IT, the Head Porter, the KCSU BME Officer and the KCGS Equality officer. It should be noted that Council has 4 student members, two from KCSU and two from KCGS, and so the Prevent Committee has a total of 6 student members on it. This is to ensure good communication regarding Prevent-related issues and the student body at King's.

If you have any queries about the Prevent legislation, then first read the information contained in the following resources:

<https://www.prevent.admin.cam.ac.uk/>

<https://www.officeforstudents.org.uk/advice-and-guidance/student-wellbeing-and-protection/counter-terrorism-the-prevent-duty/>

If your queries are not properly addressed by these resources then please get in touch with the Prevent Lead for the College, the Senior Tutor.

### **Freedom of Speech**

The College is strongly committed to the principle of freedom of speech and expression. It fosters an environment where all of its members can participate fully in the life of the College, and where each member feels confident and able to research, question and test received wisdom, and to express new ideas and controversial or unpopular opinions, without fear of isolation, marginalisation or discrimination. Equally, the College expects its members to receive and respond to intellectual and ideological challenges in a constructive and peaceable way. The College also acknowledges its statutory duties in protecting its members and other people from

'radicalisation', which in this context means being drawn in by others to support terrorism, or to commit acts of terrorism. The full College policy on Freedom of Speech can be found at:

[http://www.kings.cam.ac.uk/files/intranet/kings\\_freedom\\_of\\_speech\\_statement.pdf](http://www.kings.cam.ac.uk/files/intranet/kings_freedom_of_speech_statement.pdf)

Document Details		
Responsible Officer	Senior Tutor (Tutorial Office Manager)	
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Version No.	Effective Date	Change Description
V1	June 2024	Staff Handbook v5 (January 2022) policy transferred to policy pro-forma.

# **Business Gifts & Hospitality Policy**

## **Introduction**

The term "business gifts" in this policy includes entertainment as well as gift items.

The College expects all employees to conduct themselves with integrity, impartiality and honesty at all times and to maintain high standards of propriety and professionalism. This includes avoiding laying themselves open to suspicion of dishonesty or putting themselves in a position of conflict between their official duty and private interest. Employees should be aware that gifts and hospitality, offered by contractors, suppliers, service providers and others, might place an employee in a vulnerable position. Even when offered, and accepted, in innocence, others may misconstrue the intention behind such gifts.

It is important to take particular care about any gift or hospitality from a person or organisation that has, or is hoping to have, a contract with the College. Although it is conventional in some parts of the private sector, and in other countries, for businesses to exchange gifts, this is not a normal practice within King's College.

Gifts inevitably affect future dealings with the donor. Without realising it, employees may make more of an effort for those who give gifts and the bigger the gift, the bigger the potential for problems. Gifts, no matter how small, may be construed as persuading the recipients to act in some way they may not otherwise do.

Expressions of gratitude that make employees in any way dependent on the giver are not acceptable in any circumstances. If refusal is likely to offend then the gift should be clearly donated to charity.

In the interests of openness and integrity, and in order to protect individual employees from accusations of impropriety, the First Bursar's Personal Assistant will maintain a central register of gifts and hospitality accepted.

The purpose of this policy is to set out the College's standards and provide advice and guidance for employees in respect of giving or receiving gifts or hospitality. The policy applies even when no reimbursement from King's College is sought.

This policy is non-contractual and sets out the way in which King's College wishes to manage the giving and receiving of gifts and hospitality.

## **Legal considerations**

The Bribery Act 2010, effective from July 2011, introduces general offences of offering or receiving bribes, a specific offence of bribing a foreign public official, and



a new criminal offence of failure by a commercial organisation to prevent a bribe being paid for or on its behalf.

## **Main principles**

The main principles behind this policy are:

- that the conduct of an individual should not create suspicion of any conflict of interest between official duty and private interest; and
- that individuals acting in an official capacity should not give the impression to any member of the public, to any organisation with whom they deal or to their colleagues that they have been, may have been, or may in the future be, influenced by a benefit to show favour or disfavour to any person or organisation.

It is a disciplinary offence for employees to accept, or indicate that they may accept, any benefit as an inducement or reward that leads them, or may lead them, in an official capacity to take any action or not to take action; to show favour or disfavour to anyone; or to fail to disclose that they have received such gifts and/or hospitality as required by this policy.

Any disciplinary action will be in accordance with our disciplinary procedure, a copy of which is available in the Staff Handbook or, for Fellows, in Statute R. If the gift or hospitality in question is regarded to be of anything other than modest in value, the offence will be treated as gross misconduct.

## **Accepting gifts**

Individuals may accept modest gifts without reference to the First Bursar where refusal is likely to cause offence. For illustration purposes "modest" will apply to items only up to a retail value of £50. Promotional or advertising items bearing the donor's logo and/or name (such as mouse pads, pens, diaries or umbrellas) may be accepted, as may coffee, tea, soft drinks and similar refreshments of modest value.

More substantial or expensive offerings must be returned. The recipient of an unsolicited gift of a more substantial nature, or of frequent gifts, must return them with a polite explanation that our rules do not allow their acceptance; if this is likely to cause offence, then it may be that the gift(s) can be accepted and donated to charity.

In certain circumstances, where the gift is made as a token of the donor's gratitude for an exceptionally high standard of service, there may be a case made for acceptance of the gift by the individual on behalf of the organisation. Prior to accepting such gifts, written permission must be sought from the First Bursar.

## **Accepting hospitality**

Employees may on occasion be offered conventional hospitality, including invitations to social events organised by another body for promotional or influential purpose.

However, offers which exceed the norm of conventional hospitality should not be accepted, in particular:

- significant hospitality offered in substitution for fees or other work done
- inducements that could lead to a contractual position between us and a supplier, contractor or consultant
- substantial offers of social functions, travel or accommodation
- repeated acceptance of meals, tickets and invitations to sporting, cultural or social events, particularly from the same source.

Employees invited to attend business conferences, presentations or recreational events for the purpose of general business discussions or information may also be offered accommodation and/or transportation. This may be accepted provided that it is reasonable under the circumstances, and that it:

- is consistent with normal business practices, ie close to the standard normally accepted by the organisation
- is not an improper business inducement
- would not embarrass us if disclosed publicly
- is not in poor taste or at a venue that would reflect poorly on King's College (eg. unsavoury or sexually oriented events, or events otherwise in violation of our commitment to mutual respect)
- does not occur frequently enough to suggest an improper motive.

If employees have any doubt about whether to accept hospitality offered they should refer the matter to the First Bursar.

## **Register of gifts and hospitality accepted**

All gifts or hospitality accepted (other than promotional items bearing the donor's logo and refreshments supplied during meetings) should be notified, by the recipient, to the First Bursar. The details will be entered into a central register maintained by the First Bursar's Personal Assistant, to whom any queries about the contents of the register should be directed. The contents of this register will be reported to Council annually, when this policy is reviewed.

## **Offering gifts and/or hospitality**

There will be circumstances where it may be appropriate to provide gifts or hospitality, eg where it may strengthen business relationships, show gratitude to a volunteer or someone who has carried out work for us for a nominal fee; or if service

has been carried out to an exceptional standard. Where this is deemed appropriate, prior approval should be obtained from the First Bursar, who should be told who the gift is for, why it should be given, the nature of the intended gift and its value.

When presenting business gifts or hospitality, employees must ensure that these:

- are consistent with good business practices and local law
- have a business purpose
- are not an improper business inducement
- would not embarrass King's College if disclosed publicly
- are not in poor taste or at a venue that would reflect poorly on King's College (eg unsavoury or sexually oriented events, or events otherwise in violation of our commitment to mutual respect)
- do not recur frequently enough to suggest an improper motive.

Special laws and rules apply to gifts to government employees and it is College policy to strictly comply with all such restrictions. Gifts to such employees may constitute criminal acts, regardless of whether they are paid for with business or personal funds. We do not condone corrupt practices in any form, including bribery.

Any business gifts or hospitality given by an employee must be modest in cost, quantity and frequency. Gifts of cash or cash equivalents, such as gift certificates, must not be offered.

Employees who give gifts or supply hospitality which have not been approved in advance by the First Bursar will not be reimbursed for the cost of the gift/hospitality and disciplinary action may be taken. If the unauthorised gift or hospitality was paid for by King's College, the employee may be required to refund this.

### **Further guidelines**

When deciding on the appropriateness of giving or receiving a business gift, employees should consider how the gift compares in value to the usual gift-giving practices in our institution, the sum of gifts to or from that individual or business over time, the suitability of the gift given the employee's position within the business, the impact of the gift on building positive business relations with the recipient, and how the gift might look to an outsider.

Any employee who is considering giving or accepting a business gift of more than a nominal value must inform the First Bursar in advance and gain prior approval.

### **Strictly forbidden**

The following are strictly forbidden:

- giving or receiving money or other cash equivalent as a business gift

- giving or receiving gifts or hospitality that are too costly or frequent to be within the customs of the marketplace
- giving any gifts or hospitality to reward a government employee
- giving or receiving gifts or hospitality that influence or give the appearance of influencing business judgement
- offering a gift or hospitality when it is known that it would violate the recipient's policy to accept it
- giving or receiving entertainment, such as tickets to a sporting event, where a representative of the organisation offering the gift will not be accompanying the recipient to the event.

### **Implementation, monitoring and review of this policy**

This policy will replace all previous policies. The First Bursar has overall responsibility for implementing and monitoring this policy, which will be reviewed annually and additionally whenever there are relevant changes in legislation or to the working practices of the College.

All Fellows responsible for members of staff and all Heads of Departments will be required to undertake training on this policy.

Any queries or comments about this policy should be addressed to the First Bursar.

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## **Communication Policy**

The College provides a number of forums and channels of communication with staff:

- Staff Consultative Group (with elected staff representatives). This group meets at least once a term. Any questions about the operation and management of this forum should be addressed to your constituency representative in the first instance. Details of constituencies and current elected representatives can be obtained from the HR Officer.
- Public Minutes of College Council Meetings. The College Council meets fortnightly during Full Term. Should you have any questions about the contents of these minutes or access to this information you should contact your Head of Department in the first instance, or the College Officer in charge of your department.
- E-mails giving relevant information to all staff will be circulated by the Provost, First Bursar, Domus Bursar, Head of HR and others on a regular basis. Where you do not have access to an email address, details of the e-mail contents will be shared with you by your Head of Department.
- The College intranet is a useful source of information, and the Staff Handbook and HR forms are stored on Cascade.

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# **Data Protection Policy**

The information and guidelines within this policy are important and apply to the entire College Community: the Provost, Fellows and all staff and students (referred to collectively as the "College Community" in this policy). Non-compliance may result in disciplinary action.

For further information, see <https://www.kings.cam.ac.uk/about/accounts-legal/data-protection-policies>

## **Introduction**

Like all educational establishments, the College holds and processes information about its employees, applicants, students, non-resident members and other individuals for various purposes (for example, the administration of the admissions process, the effective provision of academic and welfare services, to record academic progress, to operate the payroll and to enable correspondence and communication, including the provision of references and certificates). To comply with the Data Protection Legislation ("DPL", being the UK's *Data Protection Act 2018* and its post-Brexit amendments which ensure that the requirements of the EU's *General Data Protection Regulation* (GDPR; EU 2016/679) still apply within the UK), information must be collected and used fairly and transparently, for specific and explicit purposes, kept up to date, stored safely and not disclosed to any unauthorised person.

Information about the data the College keeps and how we use it is given in the Data Protection Policies on the College website as above. The lawful and correct treatment of personal information is vital to successful operations, and to maintaining confidence in the College Community and the individuals with whom it deals. Therefore, King's College will, through appropriate management, and strict application of criteria and controls, fulfil its obligations under DPL as given below.

## **Scope of Policy**

This policy covers records held and processed by King's College. The King's College School is responsible for its own records under the DPL.

## **Data Protection Principles**

The College, as a Data Controller, must ensure that Personal data shall be:

1. processed lawfully, fairly and in a transparent manner in relation to the data subject;

2. collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes (processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes is allowed);
3. adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
4. accurate and, where necessary, kept up to date, without delay;
5. kept no longer than is necessary;
6. processed with appropriate security, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage.

In partial fulfilment of its obligations to ensure compliance with the above, the College publishes Data Protection Policies on the website given at the beginning of this section, for various categories of people (some people will fall under several categories).

## **Processing**

"Processing", in relation to information or data, means obtaining, recording or holding the information or data or carrying out any operation or set of operations on the information or data, including:

- (a) organisation, adaptation or alteration of the information or data,
- (b) retrieval, consultation or use of the information or data,
- (c) disclosure of the information or data by transmission, dissemination or otherwise making available, or
- (d) alignment, combination, blocking, erasure or destruction of the information or data.

Processing of personal data is only allowed if there is a legal basis for it. The legal basis for most data processing in the College is one of: our legitimate interests, contracts we have with the person who is the data subject, or by consent of the data subject. The Data Protection Policies available on the website listed above specify the legal basis for each instance of data processing. Please familiarise yourself with the policies under which you process personal data, as the policies must reflect College practice. If you think you are processing data not covered by the policies, or processing data for a different reason notify the College Data Protection Lead who will discuss this with you and amend the policies if needed.

## **Data Protection Lead**

The College Data Protection Lead is the Archivist. All queries about the College policy and all requests for access to personal data should be addressed to the College Data Protection Lead, [foi@kings.cam.ac.uk](mailto:foi@kings.cam.ac.uk).

## **Responsibilities of Individual Data Users**

All members of the College Community who record and/or process personal data in any form (called "Data Users" in this policy) must ensure that they comply with the requirements of the DPL (including the measures in this handbook), with the College's data protection policies which are on the webpage above (including the Data Protection Policies given there that touch specifically on data the Data User processes), and any procedures and guidelines which may be issued from time to time. A violation of the DPL and/or the College's data protection policy may result in disciplinary proceedings.

In particular, any member of the College Community should notify the Data Protection Officer if they plan to:

1. develop a new computer system or WebForm for processing personal data;
2. use an existing computer system to process personal data for a new purpose;
3. create a new manual filing system containing personal data;
4. use an existing manual filing system containing personal data for a new purpose.

The above does apply to College-related information you hold at home, but does not apply to information held there for purely private purposes. College and private information and computers should be kept as separate as possible. For example College data should be held wherever possible on College servers and not downloaded, should be accessed remotely and only from the computer you use for work.

## **Data Breaches**

The College must report significant data breaches to the Information Commissioner with 72 hours (without regard to holidays or weekends).

Data users must report all data breaches without delay to the College Data Protection Lead as soon as the user becomes aware of them, to ensure the College meets this reporting obligation.



Reporting can be done by email ([archivist@kings.cam.ac.uk](mailto:archivist@kings.cam.ac.uk)), telephone ((3)31444) or by accessing an on-line form (you will need your Raven log-in) at <https://app.casc.cam.ac.uk/pdir> .

Data breaches which must be reported to the College Data Protection Lead include actual or potential:

- **unauthorised or unlawful processing.** This can be as mild as accidentally sending to the wrong recipient an email with personal data in it, or realising after you have sent an email cc'd to many people, that some of them didn't need to know some others' email addresses and you should have bcc'd it instead.
- **accidental loss, destruction or damage,** e.g. if you lose or temporarily misplace a device with personal data on it (including a USB stick), or paper records, or just accidentally delete or change one person's record and you cannot undo the damage.

To reduce the likelihood of breaches, use good practice:

- follow advice in on-line safety awareness training videos (ask the HR Manager if you have not done the training)
- employ locks on doors and/or filing cabinets when you are away
- lock your computer screen when stepping away from your desk (ctrl-alt-del and select Lock)
- use the College's facilities for confidential shredding (ask the archivists if you are not familiar with these)
- avoid making written notes of login details or passwords
- do not use external storage media, such as USB Memory Sticks, to hold personal data and encrypt personal data if sent by email (ask IT Support if you don't know how to do this)
- password protect or encrypt your devices if they leave the College (ask the Computer Officer if you don't know how to do this)
- develop a system where you can (annually, probably) reliably delete information you should no longer be holding (the archivists can provide advice)

## CCTV

The College operates a number of CCTV cameras in order to assist with security for members of the College Community and in respect of College property. If you have any queries regarding the operation of the CCTV system, please speak to the Domus Bursar. For further information, on the website above see the Data Protection Policy entitled 'While on the premises'.

## **Email**

It is permissible and appropriate for the College to keep records of internal communications which are relevant to an individual's ongoing relationship with the College, whether as a Fellow, member of staff or student, including information concerning performance and conduct issues, provided such records comply with the Data Protection principles.

It is recognised that email is used for such communications and that such emails should form part of the College's records. It goes beyond the scope of this policy document to address the appropriate use of email in the proper functioning of the College, and the limitations and legal implications with this mode of communication. However, all members of the College Community need to be aware that:

- the DPL applies to emails which contain personal data about individuals which are sent or received by members of the College Community (other than for their own private purposes as opposed to College purposes);
- subject to certain exceptions and conditions, individual data subjects will be entitled to make a data subject access request and have access to emails which contain personal data concerning them; and
- the legislation applies to all emails from and to members of the College Community which are sent and received for College purposes, whether or not the emails are sent through the College email system or on an individual's own email account or otherwise.

## **Special Category Data**

The College may from time to time process "special category data" relating to admissions candidates, members and staff of the College. This is data about a person's:

- racial or ethnic origin
- political opinions
- religious or philosophical beliefs
- trade union membership

- genetic or biometric data
- health
- sex life or sexual orientation

The College's processing of special category data includes:

- religious information, for those who participate in Chapel services
- ethnic information, for the purposes of equal opportunities monitoring or to identify any necessary dietary requirements and possible sources of financial assistance
- medical records for the provision of healthcare and general welfare, to identify any necessary dietary and accommodation requirements and to assist in meeting the needs of members of the College Community with disabilities.

### **Candidates' and Junior Members' Obligations**

Candidates and Junior Members must ensure that any personal data provided to the College is accurate and up to date. They must ensure that any changes of address or other personal details are notified to one of the Admissions Tutors or their secretaries in the case of candidates or the Senior Tutor in the case of Junior Members.

Junior Members must comply with the College's Computing Regulations.

### **Rights under DPL**

The DPL gives data subjects certain rights, though they are qualified in various ways, not all of which are mentioned here:

1. The right to be informed (of what processing and of what data is taking place)
2. The right of access (provided it does not violate someone else's right to privacy, is not an excessive amount of work for the College to comply, and provided that the data subject can provide sufficient information for the College to locate the personal data)
3. The right to rectification (this may just be having a note put on the file that the information is disputed)
4. The right to erasure
5. The right to restrict processing
6. The right to data portability

7. The right to object to processing

8. Rights in relation to automated decision making and profiling.

Data users who process personal data should note in particular that **anyone may at any time ask to see what you have stored about them, including in emails.**

There is a time limit for the College to respond to requests to access personal data, so please forward any requests which you cannot immediately answer, to the College Data Protection Lead as soon as possible.

Please contact the College Data Protection Lead [foi@kings.cam.ac.uk](mailto:foi@kings.cam.ac.uk) for further information.

### **Disclosure Outside of the EEA**

Personal data, even if it would otherwise constitute fair processing, must not, unless certain exemptions apply or protective measures taken, be disclosed or transferred outside the European Economic Area.

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# **Internet & Email Policy**

## **General**

Computer facilities including the Internet and e-mail (“the Facilities”) are provided to you (“Users”) with the approval of the College, to assist you in undertaking your work for the College. However, there are risks involved in the use of the Facilities and inappropriate use of the Facilities could damage the business or reputation of the College. Examples of such risks include:

- claims of defamation (of other people and organisations);
- breach of confidentiality;
- breach of copyright (which includes use of material for business purposes without permission of the author);
- harassment and discrimination (caused by obscene, offensive, or pornographic material);
- agreeing to contracts by mistake;
- disclosing trade secrets to rivals;
- the introduction of ransomware, viruses or other malicious software to the College’s network or to any connected networks.

This policy is designed to prevent these and other problems and therefore you are expected to be familiar with, and comply with, the contents of this policy. If you are unsure about whether anything you propose to do might breach this policy, you should speak to your Head of Department. Disciplinary action, ranging from revocation of Internet access to expulsion from the College, may result from the failure to adhere to this policy.

You are required to:

- comply with, and only access/use the Facilities to the extent and for the uses authorised in this policy; and
- comply with, and only access/use the Facilities to the extent and for the uses authorised in the policies and rules issued by the University of Cambridge in connection with the use of the Cambridge University Data Network and the JANET Acceptable Use Policy, as the College network connects to both of these (copies of the current versions of these can be accessed via the following links:
  - <https://help.uis.cam.ac.uk/policies>

- <https://community.ja.net/library/acceptable-use-policy>

This policy applies to all activities that involve the use of the College's information technology equipment, whether software or hardware ("the equipment"). This extends to personal digital assistants such as palmtops, laptops, desktop computers and the software loaded on these, as well as the communications infrastructure generally including telephones, mobiles and voicemail.

This policy shall apply to all Users in whatever location they are working (whether or not on the College premises):

- during working hours; or
- when making use of the Facilities, or any equipment of the College (whether for personal, research, study or business use and whether for internal or external communication); or
- when you are using the Facilities, or any equipment not belonging to the College at any time, if purporting to do so as part of the College's business or on the College's behalf.

The law with regard to e-mail and Internet access/use is still evolving. The policy set down below takes into account the current legal situation but Users should be aware that it will continue to change, often at great pace. For this reason, Users must ensure that they update themselves regularly on the current policy.

### **Use of the Facilities**

As a general rule, you should use the Facilities solely for the purpose of your work. The College does not encourage personal use of the Facilities, but recognises that there may be instances where it is necessary. Use of the email system and the internet for personal reasons is acceptable provided that:

- the usage is minimal;
- the usage does not affect or interfere with the business of the College in any way;
- the usage does not commit the College to any marginal costs;
- usage is restricted to out of normal office hours and lunch breaks; and
- the usage conforms to the guidelines set out in this policy.

### **Video Streaming and Downloading**

The streaming or downloading of television/video content or films can cause network overload and the resulting excess traffic gives rise to significant charges on the

College. Streaming and downloading is allowed, however, the College monitors the network traffic to ensure that services are not disrupted and excessive traffic will result in notifications to your Head of Department.

### **Offensive and Other Prohibited Material**

Unless you have the written authority of the College Officer responsible for your department, you may not use the Facilities (or in any way assist in its use or allow your equipment to be used by another person) for any access, if the purpose or effect of such use is the downloading, viewing, listening to, posting, or circulation of information, email messages, images audio files or other data which are or may reasonably be deemed to be:

- obscene;
- pornographic;
- racist or sexist;
- politically extreme;
- defamatory;
- untrue or malicious; or
- offensive or discriminatory in any other way (including but not limited to in relation to disability, sexual orientation, age, or religion).

The question of what constitutes offensive material is not one for the sender to determine: it is the effect on the recipient which is important. You should not therefore pass on any material which even risks causing offence to any recipient. Whether or not you intend to cause offence, and whether or not you find the material offensive, is irrelevant. For this reason, the circulation of e-mails and other materials containing strong language or jokes is not permitted.

Email can sometimes be used as a medium for bullying and intimidating other Users. This will not be tolerated. If you are unhappy about something another User has or has not done, you should not raise your grievance by email, but deal with the matter face-to-face, on the telephone, or through the Grievance Procedure in serious cases.

You must report to your Head of Department any person you know or reasonably suspect of acting in breach of this section of the policy.

If you feel that you are being harassed or offended in any way by the use of the Facilities by other Users (or even persons outside the College), whether or not such harassment or offence is intentional, you should report the situation to the Head of Department.

## Use of Emails

You are reminded that electronic communication constitutes a written communication which is permanent in nature and which may be read by any member of the public. You must therefore always consider whether it is appropriate to use emails or instant messaging platforms for the particular communication envisaged. You are also reminded that the College may be required to disclose email messages or instant messages in legal actions commenced against it.

You should, under no circumstances, send sensitive or confidential information by email or instant message (such as Microsoft Teams) unless it is encrypted.

In a similar way to letters, you should take great care with the content of emails and instant messages. You are asked to consider in every case whether the content of an email would reflect well on the College and, in particular, should make sure:

- all contents are accurate and appropriate for dissemination by email; and
- that you have the authority to communicate the particular information on behalf of the College and/or to respond to any incoming email; and
- that no email is sent which includes information, images or other data (whether as part of the text or as an attachment) which would be covered by this policy; and
- that you in no way encourage (or fail to discourage, or to report to the College) the receipt of any electronic communication the text of or attachments to which would be covered by this policy.

You should ensure that the language of any electronic communication you send should be in accordance with the standards of any other written communications on behalf of the College and that at all times language must be appropriate to formal business communications. You should, under no circumstances, use electronic communication to spread gossip or similar information and the prudent test would be to write in email form only such matters (and in such language) as would be deemed to be suitable for a letter.

You are warned that the mere deletion of a message or file may not fully eliminate it from the system.

The College understands that it is not always practicable to control the flow of such material inwards from external email users, but this does not take away the responsibility of internal Users for any such material you pass on.

In particular, the College will not accept as an excuse for the distribution of offensive material that you were not aware was attached to the message forwarded.



If you generate and/or pass on emails to others, you must be very clear as to the intended recipient. The inadvertent despatch of material to a collective user group, for example, is no different from sending it individually to all those within that group.

If conducting dealings with outside colleges, universities, students, companies, suppliers etc. by email, you must remember that this could inadvertently create a binding contract with that third party. You should check business emails before despatch as carefully as you would check a written contract containing the same matters.

Use of the email system to copy and/or transmit any documents, software or other information is protected by copyright law, save where permission from the copyright owner has been obtained.

The College's email system may not be used for private gain, or for the transmission of unsolicited commercial or advertising material.

You should keep hard copies of any important emails received or sent.

### **Dealing with Incoming E-mails**

Urgent or important emails may be received by the College and therefore, when you are absent from the College, you should activate the out of office reply and arrange for all emails to be forwarded to your line manager or another colleague who will be in a position to deal with them in your absence. If you do not put such an arrangement in place before leaving e.g. due to unexpected absence, the College Officer responsible for your department may request the Head of IT to redirect your messages (which will include personal messages) to an appropriate person, who will check if business messages need actioning in your absence, and who will not normally read private emails.

If you receive an email which has been wrongly delivered, you should notify the sender by redirecting the message to that person. In the event that the email contains confidential information, you should not disclose or use that confidential information.

Except when covering for an absent colleague, or if you are the recipient's supervisor or line manager, you should not read business emails which are not addressed to you. In no circumstances should you read emails which are clearly private and which are not addressed to you.

### **Security and Safeguarding the Network**

You are responsible for the security of your terminals and must not allow your equipment to be used by any unauthorised person.

If you have cause to be away from your computer for any period, and wish to avoid any risk of abuse of equipment, you should log out or lock the computer while absent. Otherwise the College must assume in the first instance that any material coming from or via your equipment was generated and/or passed on by you. You should keep confidential and not reveal your computer or email log on credentials to any person except the staff of the IT Department.

Email is one of the most likely points of access of a virus into the College's computer systems. Attached files and programmes can contain viruses. Users should always take care about opening attachments within emails, especially those received from external sources. If in doubt, the email should be forwarded unopened to the IT Department who can check the attachment.

Users should avoid overloading the system by sending messages to a wide group, particularly with attachments. You should not try to send long and complex documents by email without checking with the IT Department that the system has the necessary capacity. Users must remember that images and audio files use up much more memory than text and not overload the system by sending chain mail or other frivolous material.

Users must not download or install any software (even if free) on your equipment or on the College's network without the permission of the IT Department.

## **Monitoring**

The College reserves the right to check your email from time to time for any purpose in connection with your employment (if applicable) and in the following circumstances:

- to detect the unauthorised use of email;
- to protect a network against viruses or hackers;
- to find lost messages or retrieve messages due to computer failure;
- to determine whether a message is relevant to the College;
- to assist in the investigations of wrongful acts (including further investigation where a routine audit has revealed a breach of the rules);
- to combat or investigate fraud or corruption;
- to prevent or detect crime;
- to comply with any legal obligation; or
- to protect the College's legitimate interests and activities.

The provisions of the previous paragraph will not normally apply to email which is marked personal. However, the College shall from time to time check the volume of personal email and the time at which such personal email is sent and received, to ensure it complies with this policy. The provisions in the previous paragraph will apply to personal email if the College has reasonable grounds to believe that it needs to do so for a reason set out in that paragraph. However, when doing so, it will use the least intrusive method to achieve its needs.

The College will not routinely check internet use. However, it reserves the right to monitor Users access to the internet in the following circumstances:

- to detect the unauthorised use of the internet;
- to protect a network against viruses or hackers;
- to assist in the investigations of wrongful acts (including further investigation where a routine audit has revealed a breach of the rules);
- to combat or investigate fraud or corruption;
- to prevent or detect crime;
- to comply with any legal obligation; or
- to protect the College's legitimate interests and activities.

### **Discipline**

Breaches of any of the provisions of this policy will render you guilty of misconduct and the College may commence disciplinary proceedings.

Breaches of this policy which have serious or potentially serious adverse consequences for the business or reputation of the College, or the security and integrity of the College's computer network, and any breaches of this policy, shall constitute gross misconduct and render you liable to dismissal without notice.

### **Interpretation and Change of the Policy**

This policy cannot cover every eventuality, particularly as the technology and its application are changing so rapidly. You are required to consider the purpose and objectives of this policy and to acknowledge that there are some uses of the internet, email and related technology which, while not expressly forbidden by this policy, may still be regarded as inappropriate.

This policy will be reviewed and updated on a regular basis.

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# **Social Media Policy**

## **Introduction**

The College recognises that social media and networking websites have become a regular part of everyday life and that many people enjoy membership of sites such as Facebook, Instagram, Snapchat, TikTok, Reddit, Myspace and LinkedIn, blogs and micro-blogs (e.g. X (previously known as Twitter)) or other media services such as YouTube. However, it is also aware that these sites can become a negative forum for complaints, gossip and even harassment of other people or members of staff. Care must be taken not to breach the College's confidentiality policy, to tarnish the reputation of the College or to offend anyone when using these services.

## **General Information**

The following Policy has been designed to give you clear guidelines as to what King's College expects of you when accessing these sites or using these services. The absence of, or lack of, explicit reference to a specific website or service does not limit the extent of the application of this Policy. Where no policy or guidelines exist, you should use your professional judgment and take the most prudent action possible, consulting with your line manager or Head of Department if you are uncertain.

## **Guidance for Personal Use**

The College's Social Media Guidelines (found on the intranet) and Email and Internet Policy should be read in conjunction with this Policy.

As stated in the Internet & Email Policy under the heading "Use of the Facilities", as a general rule you should use the internet and e-mail (including social media sites) solely for the purpose of your work. The College does not encourage personal use of the internet and email but recognises that there may be instances where it is necessary. You may make reasonable use of social media platforms for personal use outside working hours or at lunch breaks using the College's computers, networks and/or systems, provided it does not interfere with your duties and is strictly in accordance with this Policy. Any unauthorised use of social media websites is strictly prohibited. Permission to use social media websites for personal use may be withdrawn at any time at the College's discretion.

College email addresses must **not** be used for private social media accounts.

If you have your own personal profile on a social media website, you should make sure that others cannot access any content, media or information from that profile that:

- you are not happy for them to have access to;
- would undermine your position as a professional, trusted and responsible person and member of staff;
- purports to express opinions on behalf of the College; and/or the College Officers
- is critical of the College or could damage the reputation of the College.

These guidelines apply to posts made using any computer to access the internet, both at work and outside the workplace. Any use of social media which could be construed as discriminatory or harassment, or which could result in damage to the reputation of the College could result in disciplinary action being taken.

As a basic rule, if you do not wish colleagues to see particular comments, media or information, then you should not post it in a public forum online. When using social media sites, staff members should consider the following:

- changing the privacy settings on your profile so that only people you have accepted as friends can see your content.
- reviewing who is on your 'friends list' on your personal profile. In most situations, you should **not** accept friend requests on your personal profile from organisations, clients, or external partners you work with.
- ensuring personal blogs have clear disclaimers that the views expressed by the author are yours alone and do not represent the views of King's College.
- making clear that you are speaking for yourself and not on behalf of King's College.
- ensuring information published on the internet complies with King's College's Confidentiality, Data Protection, Internet & Email, and Statements to the Media Policies. Breach of the same will result in disciplinary action and may result in dismissal.
- ensuring you are always respectful towards all those connected to the College (including, for example, Fellows, students, staff, alumni, visitors, suppliers or contractors).

- staff should be aware that any disrespectful comments relating to those listed above might be seen as libellous and could result in disciplinary action or dismissal.
- King's College logos, trademarks and official photographs may not be used without written consent.
- remember that at all times, whether in or out of working hours, you are ambassadors for King's College.
- be aware that your actions captured via images, posts or comments online could reflect on King's College.

### **Use of Official Accounts**

King's College operates a number of accounts on social media websites for the promotion of activities and events and as a communication method. The following rules outline the limits of your use.

- An official account on any social media website may only be set up with the written consent of a Head of Department or College Officer.
- Only authorised staff may use these accounts to post online and access to the account should be strictly limited. Staff may be required to undergo training to obtain this authorisation.
- All information published on the internet must comply with King's College's Confidentiality, Data Protection, Internet & Email, and Statements to the Media Policies.
- Individuals should not be referenced online without their express consent. This includes all photos, videos and other media.
- Copyright laws must be respected, with references or sources cited appropriately.

Any statements you make about the College on any social media websites must be made in accordance with the College's Statements to the Media Policy as set out in this Staff Handbook. Accordingly, if you are contacted for comments about the

College for publication anywhere, including in any social media outlet, direct the enquiry to the Head of Communications and do not respond without their prior written approval.

Any employee who becomes aware of social networking activity that would be deemed distasteful should inform your Head of Department or the Human Resources Manager as soon as possible.

All staff using official accounts must adhere to the above guidelines and breach of this Policy may result in disciplinary action which may lead to dismissal.

You may be required to remove any social media content that the College considers to constitute a breach of this Policy. Failure to comply with that request may in itself result in disciplinary action.

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## **Miscellaneous Employment Information**

### **College Telephone and Personal Mobile Phone Policy**

You are requested to keep to the absolute minimum the use of the College telecommunications systems for personal use. However, where it becomes a necessity to make a private call during work times, you are requested to restrict the use of College and mobile phones to within your rest breaks to ensure no disruption to your, or others' work.

You are reminded that from time to time the College reserves the right to monitor communications traffic on College telecommunications systems, as outlined in the E-mail and Internet Policy.

### **Statements to the Media**

Unless you are a College Officer you must not provide any statements, whether orally or digitally, to reporters from newspapers, digital publications, radio, television, etc. in relation to the College without obtaining the prior written approval of the Head of Communications in consultation with the College Officers.

In addition, when contacted directly by reporters from newspapers, digital publications, radio, television, or otherwise for information about the College, you should refer them to the Head of Communications. If the Head of Communications consents to you providing a statement to the media, you should bear in mind that you are a representative and ambassador of the College. You must therefore:

- Avoid any illegal or offensive behaviour or statements that could cause damage to you and/or the College.
- Ensure the information you communicate is accurate, complete, and factual. Do not speculate or estimate, as this could be misconstrued as fact and repeated. If in doubt, speak to the Head of Communications about what you communicate or do not speak or post.
- Clearly acknowledge your connection to the College in communications made on its behalf. Be honest about who you are and your role at the College. If you are not speaking on behalf of the College, make it clear you are not an authorised representative, but are sharing your own personal views.
- Communicate in a constructive, civil, and respectful manner.
- Think carefully about how your contribution could be used or interpreted before you speak, respond, publish, or post.
- Comply with the College's policies and procedures as set out in this Staff Handbook, especially regarding confidentiality, social media, and internet and email usage.

Breaches of any of the provisions of this Policy will render you guilty of misconduct and the College may commence disciplinary proceedings.

Breaches of this Policy which have serious or potentially serious adverse consequences for the business or reputation of the College shall constitute gross misconduct and render you liable to dismissal without notice.

### **Your 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.

### **Lost/Abandoned Property**

Any property found on College premises is to be recorded in the Porters' Lodge and will be held there for a minimum of 3 months after which low value items will be taken to a charity shop and cash will be donated to the Staff Hardship Fund. High value items may, at the discretion of the Head Porter and Head of Human Resources, be auctioned off to staff by inviting sealed bids with the proceeds being for the Staff Emergency Fund.

### **Political Activities**

Although the College has no political bias, the College is not prepared to allow any political activities on its premises, other than with the permission of the College Council.

### **Appearance and Behaviour**

The College requires you to be presentable at all times and expects you to behave in a manner appropriate to your position held, and in a way that upholds the reputation and practices of the College.

Where workwear is provided, it must be worn at all times whilst at work and laundered on a regular basis. Where workwear is not provided, you should wear clothes appropriate to your job responsibilities, and the clothing should be kept clean and tidy at all times.

### **Cost and Resource Management**

The College maintains a policy of "minimum waste" which is essential to the cost-effective and efficient running of all College activities. You can promote this policy by taking extra care during your normal duties by avoiding unnecessary or extravagant use of services, time, energy, etc., and the following points are illustrations of this:

- handle machines, equipment and stock with care;
- turn off any unnecessary lighting and heating; keep doors closed whenever possible;
- ask for other work if your job has come to a standstill;
- start with the minimum of delay after arriving for work and after breaks.

## Hygiene

- You are expected to maintain a high standard of personal hygiene.
- Any exposed cut or burn must be covered with a first-aid dressing.
- 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 doctor.
- Contact with any person suffering from an infectious or contagious disease must be reported before commencing work.

## Car Parking

The provision of parking is currently on a space-available basis within the College's limited available parking resources. Staff wishing to take advantage of the parking facilities (when available) must have a valid parking permit. Permits are discretionary and may be withdrawn. One pass is issued for each vehicle and no more than one car should be parked at any one time by you. The parking permit and associated activation of a University card is for the use of the member of staff only. Any queries relating to parking should be addressed to the Head Porter.

No liability is accepted for damage to private vehicles; however it may be caused.

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