



# City University

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## Human Resources Policy & Procedures Manual

# Introduction

City University  
HR Policy Manual

This Human Resources Policy Manual is provided as a central reference for all managers, supervisors and employees and applies to staff across all locations where the City University carries out its work.

The specific policies that follow promote the philosophy of City University with regard to standards of excellence; terms of employment; employee development; and employee services.

It may be necessary to change these policies from time to time to reflect changes in the workforce, employment trends, economic conditions and Somali regional and National legislation. However, any changes in policy will be consistent with the City University’s approach to:

- Employing talented individuals whose creativity and imagination will support and contribute to achieving the City University’s business objectives;
- Communicating City University standards and expectations in all aspects of employment including performance;
- Valuing diversity, and assure equal employment opportunity and a workplace where relationships are based on mutual respect;
- Treating all staff, workers, students, contractors and customers in a professional, non-discriminatory manner;
- providing safe, effective working conditions, and;
- providing competitive terms and conditions in our workplace market

Any Policy changes will be fully consulted on and communicated to all staff through normal communication channels. This Policy Manual will also be updated as necessary.

Signed: \_\_\_\_\_  
**Human Resources Manager**

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

Signed: \_\_\_\_\_  
**VP for Administration & Finance**

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

Signed: \_\_\_\_\_  
**President of City University**

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

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**SECTION I – EMPLOYING STAFF:** *Employing staff fairly and expertly, ensuring they are properly inducted, and ensuring they are aware of the required standards of business conduct including use of email and the internet.*

## **I. Recruitment and Selection**

### **1. Introduction**

- 1.1 Effective recruitment and selection is central and crucial to the successful functioning of City University. It depends on finding people with the necessary skills, expertise and qualifications to deliver the City University’s strategic objectives and the ability to make a positive contribution to the values and aims of the institution.

### **2. Advertisements**

- 2.1 Vacancies will generally be advertised in an appropriate website, newspaper or journal, and will not be confined to those media which, because of their particular source of applicants, provide only or mainly applicants of a particular group. Advertisements will also be notified to local radio stations with job search programs.
- 2.2 All vacancies will also be posted on the City University website, and internal notice boards. City University is keen to facilitate internal promotions wherever possible as development opportunities for its staff.
- 2.3 City University may, on occasions, decide to restrict advertisement to internal candidates only.
- 2.4 Vacancies, which are restricted to internal candidates only, will be clearly indicated on the advertisement. All internal candidates will be selected for interview on the same criteria as external candidates.

### **3. Application Form**

- 3.1 Candidates for all posts will, except on some occasions when a vacancy is restricted to internal recruitment, be asked to complete a standard application form, in order that they can be judged on the basis of comparable information.
- 3.2 In applying for posts, all candidates will be provided with a job description, details of the appropriate conditions of service and details about the City University. A brief statement about the appointment procedure will also be provided and, if possible, an indication of the date (or week) when interviews will be held. The job description will include a list of the main duties and responsibilities of the post, together with an outline of the qualifications and experience which candidates are expected to possess.

*“Effective recruitment and selection is central and crucial to the successful functioning of City University. It depends on finding people with the necessary skills, expertise and qualifications to deliver the City University’s strategic objectives and the ability to make a positive contribution to the values and aims of the institution”*

- 3.3 In drawing up the job description and conditions of service the City University will ensure that no job applicant receives less favourable treatment than another on the grounds of disability, gender, race, or religion.
- 3.4 Applicants will be asked to specify whether they have any disabilities, and whether there are any reasonable adjustments needed for them to attend an interview. All applicants with a disability who meet the essential criteria for a job will be interviewed, and considered on their merits
- 3.5 Applicants will be required to supply the names and addresses of two people from whom references can be obtained, one of which should normally be the applicant's current or most recent employer.
- 3.6 Only references for short listed candidates for interview will be obtained. References will normally be sought prior to interview, unless the candidate indicates otherwise.
- 3.7 References should normally be made in writing or email, but those received by telephone will be accepted, provided that a note of the conversation is recorded and placed on file.
- 3.8 All candidates will be asked to declare on the application form whether they have ever been convicted of any criminal offence.
- 3.9 Applicants will also be required to declare if they are related to any member of staff within the City University. Members of CU Management who have read the conflict of interest policy and signed the conflict of interest certificate should act according to the policy. No manager should be put into a position where he or she is asked to interview a person to whom they are related.
- 3.10 It is the City University's policy not to communicate further with applicants other than those who are shortlisted. A note to this effect is included in the details sent out to applicants.
- 3.11 All completed applications forms are private and confidential and should only be made available to those directly involved in the recruitment and selection process.
- 3.12 All application forms will be collated by Human Resources Department and supplied to the appointing manager and interview panel for shortlisting purposes.
- 3.13 A shortlist of candidates will be drawn up for interview, based entirely on merit and suitability for the post. Other than in exceptional circumstances, reasonable notice will be given to ensure that candidates have sufficient time in order to prepare for and make the necessary arrangements to attend the interview.

#### **4. Selection Methods**

- 4.1 Interviews will be held by a panel comprising of ideally three persons, but a minimum of two persons. The interviewers will encourage candidates to be at ease during the interview, in order that they can give a fair and accurate impression of themselves.
- 4.2 The selection and appointment of the President and Vice Presidents of City University will be made by members of the Board of Trustees and the panel will be chaired by the Board Chairman.
- 4.3 All candidates will be asked the same questions, and their responses rated between 1-10. The panel will each have a copy of the questions and will score independently of each other during the interview.
- 4.4 All interviewed candidates will be notified of the outcome of the selection process as soon as possible via email.
- 4.5 All unsuccessful candidates' application forms and interview notes will be retained for one year from the date of interviews taking place. After this date they will be destroyed.

#### **5. Relevant Checks**

- 5.1 All offers of employment will be made conditional upon satisfactory results from the following:
  - two satisfactory references;
  - candidate degrees and transcripts verified (if appropriate);
  - confirmation of the right to work in this country (if appropriate)
  - Criminal Records Disclosure (if appropriate).

#### **6. Probationary Period**

- 6.1 All appointments into the City University will be made subject to a probationary period of 4 months. After 4 months, a review meeting will take place between the post holder and their Department Head to discuss progress. At the end of the probationary period, and subject to a satisfactory report by the appropriate head of section or Department Head, employees will be notified in writing that they have successfully completed their probationary period. The probationary period can be extended by a further 4 months should the individual's Department Head consider this appropriate.

#### **7. Exit Interviews**

- 7.1 All employees who leave the employment of the City University voluntarily will have an exit interview with their manager before their last day of employment.
- 7.2 Exit interviews provide the opportunity for departing employees to discuss their reasons for leaving. The information provided is useful in identifying trends, learning and development and evaluating the effectiveness of HR policies and practices.



- 7.3 The appropriate Department Head should receive all appropriate information, such as recommendations made for change, or significant issues raised in the questionnaire, whilst bearing in mind confidentiality issues. The exit interview questionnaire will be retained on the employee's personal file.

## **II. Induction Policy and Checklist**

### **1. General Policy Statement**

City University believes that all new employees MUST be given timely induction training. This training is regarded as a vital part of staff recruitment and integration into the working environment. This policy, associated procedures and guidelines define the City University's commitment to ensure that all staff are supported during the period of induction, to the benefit of the employee and City University alike.

### **2. Aim**

It is the aim of the City University to ensure that staff induction is dealt with in an organised and consistent manner, to enable staff to be introduced into a new post and working environment quickly, so that they can contribute effectively as soon as possible. This induction policy, associated procedures and guidelines aim to set out general steps for managers and staff to follow during the induction process. It is expected that all managers and staff will adhere to this policy.

The City University expects that the implementation of good induction practice by managers/supervisors will:

- Enable new employees to settle into the City University quickly and become productive and efficient members of staff within a short period of time.
- Ensure that new entrants are highly motivated and that this motivation is reinforced.
- Assist in reducing staff turnover, lateness, absenteeism and poor performance generally.
- Assist in developing a management style where the emphasis is on leadership.
- Ensure that employees operate in a safe working environment.
- Reduce costs associated with repeated recruitment, training and lost productivity.

### **3. The City University's Commitment**

The City University Human Resources Department will:

- \* Maintain and update the Induction Policy.
- \* Provide a checklist for managers and staff to follow during the induction period.

*“City University believes its employees are its greatest asset and recognises its responsibility to ensure they are afforded appropriate development throughout their employment. This development begins at the Induction stage when a new employee joins.”*

- \* Deal with any problems promptly providing an efficient service for both managers and staff.
- \* Review all policy, procedure and guideline documents on a regular basis.
- \* Provide relevant formal training courses necessary to assist the induction process.

## GUIDELINES FOR MANAGERS/SUPERVISORS

### **4. General**

Starting a new job is a demanding and often stressful experience. Quite apart from the obvious challenge of tackling new tasks, there is also the need to become accustomed to a new organisation, a new environment and new colleagues. The purpose of induction is to support new employees during this difficult period and to help them become fully integrated into the City University as quickly and as easily as possible.

Induction has benefits for all involved in the process. Employees who settle quickly into the City University will become productive and efficient at an early stage and in turn will experience feelings of worth and satisfaction.

It is generally recognised that new employees are highly motivated and an effective induction process will ensure that this motivation is reinforced.

### **5. Induction Checklist**

The Induction checklist is a very useful way of ensuring that information is imparted to new employees when they are likely to be most receptive. It avoids overloading employees with information during the first weeks whilst ensuring that all areas are covered. At the end of the process the induction checklist should be signed by the relevant parties and placed in the new employee's personnel file.

### **6. First Day of Employment**

Preparations should be made for the arrival of the new entrant well in advance, for example, arrangements should be made to provide desk, equipment and HR Guidelines etc.

Most new employees tend to be concerned primarily with two matters:

- a) Whether they can do the job; and
- b) How they will get on with their new colleagues.

It is therefore important to introduce them to their new workplace and colleagues at the earliest opportunity. An introductory talk will be appropriate at this time and can be combined with the provision of general information and exchanging any necessary documentation. This talk should be as brief as possible, because the employee is unlikely to be receptive to detailed information at this stage, and should be conducted by someone who is well prepared and has sufficient time available. Managers/supervisors should refer to the Induction Checklist and use it as a basis for discussion thus ensuring all documentation is complete. A tour of the workplace should be arranged for the new entrant. If possible one of

the new entrants colleagues should be nominated to ensure that he/she has every assistance in settling in quickly.

CITY UNIVERSITY

**7. Induction Program for New Staff**

DEPARTMENT .....

NAME OF EMPLOYEE .....

JOB TITLE .....

DATE COMMENCED .....

This is a checklist of information for Induction which managers should use with new staff as part of their induction program within the first few days, and certainly within the first two weeks of employment. The new employee should be asked to tick each subject as he/she has been informed about it, and sign the end of the form. The manager then sends the form to the HR Department for inclusion in the employee's personnel file.

Not all the following subjects are applicable to all departments. Should this be the case, record N/A.

**ITEMS TO COVER WITH EACH NEW EMPLOYEE**

<b>The Department</b>	<b>Complete</b>
1. Department function	
2. Introduction to colleagues	
3. New entrant's own job	
4. Supervision	
5. General layout - entrances and exits	
6. Telephone system and intercom systems	
7. Office supplies	
<b>Conditions of Employment</b>	
1. Information on days and hours of work, shift systems "on-call" breaks	
2. Time recording, and time off during the day	
3. Food and accommodations allowances if any	
4. Probationary periods of employment	
5. Arrangements for requesting leave: sick leave, annual leave, unpaid leave, bereavements leave, Etc.	
6. Employee ID	
4. Employee Email & Internet Access Credentials	
<b>Health, Safety, Security and Fire</b>	
1. Health and safety information relevant to the department	
2. Accident reporting	
3. Security of department/building /Fire Drill meeting location	
4. Arrangement for keys, passes, etc.	
3. Management of monies/valuables	
4. Major Incident procedures	

<b>Conduct</b>	
1. Personal presentation	
2. Disciplinary procedures	
3. Courtesy to students, customers and the public	
4. Confidentiality	
5. Noise Control	
6. Acceptance of gifts	
7. Statements to the Press	
8. Smoking	
9. Private use of telephones	
10. Standards of Business Conduct	
<b>Facilities</b>	
1. Bathrooms	
2. Café	
3. Mosque	
4. Bookstore	
5. Parking	
6. Library	
7. Computer & Science Labs	
8. Sports Facilities	
9. Energy Conservation	
<b>Education, Training, Promotion</b>	
1. Employee and Children discounts @ CU	
2. Means of advancement, promotion opportunities	
3. Employee appraisal, review systems	
<b>Employee Involvement and Communication</b>	
1. Communication arrangements	
2. Information sources, e.g. notice boards, circulars etc.	
3. Food and Health Policy	
4. Making and/or Handling Complaints	
<b>Items Specific to Department</b>	
1. Pay	
2. Notice of termination of employment	
3. Waste disposal	
4. Exit Interview	

I have been informed about and understand the above items.

Signature:..... Date:.....

I confirm that the above Induction Program has been completed for the above member of staff.

Signature of Head of Department

Designated Officer:..... Date:.....

### III. Standards of Business Conduct

#### 1. Introduction

1.1 City University expects its staff (including temporary, agency, interim, contractor or consultant staff) to be scrupulously impartial and honest in all affairs relating to the City University and their job within it. Every member of the CU staff also bears a responsibility as employees to act as ambassadors for the City University in terms of their general conduct both within and outside the organisation. This policy outlines the responsibilities of staff working for the City University.

*You should not, directly or indirectly, engage in, or have any interest, financial or otherwise, in any other business enterprise which interferes or is likely to interfere with your independent exercise of judgement in City University's best interest.*

1.2 City University employee duties under civil law are as follows:

- to be ready and willing to work;
- to offer their services personally: for example must not subcontract the work for which they are employed;
- to take reasonable care in the exercise of that service, including the duty to be competent at work and to take care of the City University's property;
- to not wilfully disrupt the City University's business;
- to follow management instructions as to the time, place, nature and method of service;
- to work only for the City University in the City University's time;
- to disclose information to the City University relevant to the City University's business: for example that they might know or discover;
- to hold solely for the City University the benefit of any invention relevant to the business on which the City University is engaged;
- to respect the City University's trade and business process secrets;
- in general, to be of good faith and do nothing to destroy the trust and confidence necessary for employment;
- to account for all benefits - monetary or in kind - received in the course of employment;
- to indemnify the employer for loss caused by the employee.

1.4 Somali Law places further responsibilities on individual employees in regards to their own behaviour and their behaviour towards other employees.

## **2. Standard of Conduct Required by the City University**

### **Gifts and Hospitality**

2.1 In addition to the duties placed on employees by Civil Law, City University requires its employees to ensure that gifts and hospitality offered by suppliers and potential suppliers of goods and services to the City University **are declined**.

This applies, whether the gifts or hospitality are offered within, or outside normal working hours. The only exceptions to this are trivial gifts with a nominal value of less than \$10 such as a calendar, diary, chocolates or mugs can be accepted. All other gifts must be politely refused or, if received by mail or messenger, returned to the donor with a suitably worded letter signed by the Department Manager.

### **Transaction of Private Business**

2.2 Employees having official dealings with contractors and other suppliers of goods or services must avoid transacting any kind of private business with them by any means other than the City University's normal commercial channels. No favour or preferences as regards price, or otherwise, which is not generally available, should be sought or accepted.

### **Visits to Conferences, Demonstrations etc.**

2.3 The City University intends that when it is necessary for employees to visit conferences, demonstrations and similar occasions, it should bear the travelling and subsistence expenses itself. Exceptions to this general rule will only be permitted with the approval of the President.

### **Attendance at Luncheons, Receptions etc.**

2.4 Where it is evident that the work of the City University will be facilitated, invitations to attend receptions, luncheons may be accepted under the following rules:

- no employee may accept an invitation without first obtaining the approval of the Department Manager;
- in exceptional circumstances, where it is not possible to seek prior approval, the facts should be reported immediately afterwards;
- if addressed personally, such an invitation may not be transferred to another employee, except with the consent and approval of a senior manager as above and with the concurrence of the party issuing the invitation;
- invitations involving attendance outside normal working hours may be accepted only on the authority of the Departmental Manager;
- as a general rule, any officer who has any doubts about the wisdom of accepting any hospitality should decline the offer.

**NB** The important difference between, for example, attendance in an official capacity at a function organised by the City University or one of its subsidiaries and the acceptance of hospitality from a private individual or firm should be recognised.

### **Identification**

2.5 Employees should wear or carry their identity badges whilst carrying out their duties.

### **Confidentiality**

2.6 At all times confidentiality must be maintained. No information can be released to unauthorised persons or organisations.

2.7 If doubt exists as to the validity of an organisation or individuals to receive information, this must be checked with a Senior Manager.

### **Outside Interests and Employment**

2.8 Outside interests include directorships, ownership, part ownership or material shareholdings in companies, business or consultancies likely to seek to do business with the City University. These should be declared to the individual's Department Head as should the interests of a spouse or close relative.

### **Political and civic activities**

2.9 It is not the intention of City University, or this policy, to dissuade employees from participating actively in public duties. It is important, however, that by doing so there is no suggestion to a third party that the employee is acting on behalf of, or with the support of, City University. To avoid any misunderstanding, no City University employee should permit his or her City University affiliation to be noted in any outside organisation's materials or activities without the express written approval of a member of senior management.

### **Bribery and Corruption**

2.10 The City University has a strict anti-bribery and corruption policy. A bribe is defined as: giving someone a financial or other advantage to encourage that person to perform their functions or activities improperly or to reward that person for having already done so.

If you bribe (or attempt to bribe) another person, intending either to obtain or retain business for the City University, or to obtain or retain an advantage in the conduct of the City University's business this will be considered gross misconduct. Similarly accepting or allowing another person to accept a bribe will be considered gross misconduct. In these circumstances you will be subject to formal investigation under the City University's disciplinary procedures, and disciplinary action up to and including dismissal may be applied.

### **General Conduct**

2.11 Employees should at all times conduct themselves in such a way as to enhance the reputation of the City University.

City University will support employees who become aware of and are willing to report breaches of this policy or who genuinely believe that a breach is occurring, has occurred or is likely to occur within the business. Employees should raise the issue internally with their manager or supervisor or in accordance with the City University's Policy on Disclosing Information ('Whistleblowing').

These standards of conduct are intended to underpin and clarify standards required by the City University of its employees and form a fundamental part of the employment contract. Staff who fail to comply with the guidance detailed in this Policy could be subject, following full investigation, to disciplinary action up to and including dismissal. If through their actions or omissions staff are found to be in contravention of either this Policy or, indeed, their legal responsibilities then the City University reserves the right to take legal action if it deems it to be necessary to do so.



### 3. **Internet and Email Usage Policy and Guidelines**

#### 1. **Introduction**

- 1.1 This policy sets out the obligations and expectations on employees of the City University including contractors and temporary staff, who use the City University's IT facilities for internet and email purposes. IT facilities are provided to assist with day to day work. It is important that they are used responsibly, are not abused, and that individuals understand the legal professional and ethical obligations that apply to them.

*"If you have access to the City University's computers including email and access to the internet as part of your education or job, you must not abuse this by using these facilities for purposes unrelated to City University business."*

#### 2. **Authorisation**

- 2.1 No person is allowed to use City University IT facilities who has not previously been authorised to do so by the City University IT Department. Unauthorised access to IT facilities is prohibited and may result in either disciplinary action or criminal prosecution.

#### 3. **Legislation**

- 3.1 All users shall comply with the relevant legislation. This includes the following:

##### 3.2 **Data Protection Responsibilities**

Users need to be sure that they are not breaching any data protection when they write and send emails. This could include but is not limited to:

- Passing on personal information about an individual or third party without their consent.
- Keeping personal information longer than necessary.
- Sending personal information to an outside country, unless it is for a legitimate reason like employee going to scholarship there.

Email should, where possible, be avoided when transmitting personal data about a third party. This includes comment and opinion, as well as factual information. Therefore this should be borne in mind when writing emails, and when keeping them.

##### 3.3 **Computer Misuse Policy**

This policy makes it an offence to try and access any computer system for which authorisation has not been given.

##### 3.4 **Copyright Design and Patents**

Under this policy, it is an offence to copy software without the permission of the owner of the copyright.

### 3.5 **Defamation Policy**

Under this policy it is an offence to publish untrue statements which adversely affect the reputation of a person or group of persons.

### 3.6 **Terrorism Policy**

This policy makes it a criminal offence to encourage terrorism and/or disseminate terrorist publications.

## **4. Responsibilities**

4.1 All Users are expected to act in a manner that will not cause damage to IT facilities or disrupt IT services. Any accidental damage or disruption must be reported to IT Manager/ Department Head as soon as possible after the incident has occurred. Users are responsible for any IT activity which is initiated under their username.

### 4.2 **Use of the Internet**

Use of the Internet by employees is encouraged where such use is consistent with their work and with the goals and objectives of the City University in mind. Reasonable personal use is permissible subject to the following:

- Users must not participate in any online activities that are likely to bring the City University into disrepute, create or transmit material that might be defamatory or incur liability on the part of the City University, or adversely impact on the image of the City University.
- Users must not visit, view or download any material from an internet site which contains illegal or inappropriate material. This includes, but is not limited to, pornography (including child pornography), obscene matter, race hate material, violence condoning messages, criminal skills, terrorism, cults, gambling and illegal drugs.
- Users must not knowingly introduce any form of computer virus into the City University's computer network.
- Personal use of the internet must not cause an increase for significant resource demand, e.g. storage, capacity, speed or degrade system performance.
- Users must not "hack into" unauthorised areas.
- Users must not download commercial software or any copyrighted materials belonging to third parties, unless such downloads are covered or permitted under a commercial agreement or other such licence.
- Users must not use the internet for personal financial gain.
- Users must not use the Internet for illegal or criminal activities, such as, but not limited to, software and music piracy, terrorism, fraud, or the sale of illegal drugs.
- Users must not use the internet to send offensive or harassing material to other users.
- Use of the internet for personal reasons (e.g. online banking, shopping, information surfing) must be limited, reasonable and done only during non-work time such as lunch-time.

- Use of gambling sites, online auction sites and social networking sites such as, but not limited to, Facebook, LinkedIn, Youtube, Twitter, Flickr, MySpace etc is **not** permissible.
- Staff may face disciplinary action or other sanctions (see below) if they breach this policy and/or bring embarrassment on the City University or bring it into disrepute.

### 4.3 Use of Email

Emails sent or received on the email system form part of the official records of the City University; they are not private property. Emails may be disclosed as part of legal proceedings (e.g. tribunals), and as part of disciplinary proceedings. Users are responsible for all actions relating to their email account/pc username and should therefore make every effort to ensure no other person has access to their account.

When using City University email, users must:

- ensure they do not disrupt the City University's wider IT systems or cause an increase for significant resource demand in storage, capacity, speed or system performance e.g. by sending large attachment to a large number of internal recipients.
- ensure they do not harm the City University's reputation, bring it into disrepute, incur liability on the part of the City University, or adversely impact on its image.
- not seek to gain access to restricted areas of the network or other "hacking activities" is strictly forbidden
- must not use email for the creation, retention or distribution of disruptive or offensive messages, images, materials or software that include offensive or abusive comments about ethnicity or nationality, gender, disabilities, age, appearance, religious beliefs and practices, political beliefs or social background. Employees who receive emails with this content from other employees of the City University should report the matter to their Department Head or supervisor.
- not send email messages that might reasonably be considered by recipients to be bullying, harassing, abusive, malicious, discriminatory, defamatory, and libellous or contain illegal or offensive material, or foul language.
- not upload, download, use, retain, distribute, or disseminate any images, text, materials, or software which might reasonably be considered indecent, obscene, pornographic, or illegal.
- not engage in any activity that is likely to
  - Corrupt or destroy other users' data or disrupt the work of other users
  - Waste staff effort or City University resources, or engage in activities that serve to deny service to other users
  - Be outside of the scope of normal work-related duties - for example, unauthorised selling/advertising of goods and services
  - Affect or have the potential to affect the performance of damage or overload the City University system, network, and/or external communications in any way
  - Be a breach of copyright or license provision with respect to both programs and data, including intellectual property rights
- not send chain letters or joke emails from a City University account.

Staff who receive improper email from individuals inside or outside the City University, should discuss the matter in the first instance with their Department Head or supervisor.

## **5 Good Practice**

- 5.1 The City University has good practice guidelines for dealing with email when staff are out of the office for longer than three days. When activating the "out of office" facility messages should name an alternative member of staff for correspondents to contact if necessary. This will ensure that any important messages are picked up and dealt with in a timely manner.
- 5.2 During periods of absence when highly important emails are anticipated, the employee (or manager) should make arrangements for notification and access by another appropriate member of staff.
- 5.3 Where sensitive and confidential information needs to be sent via email for practical reasons, please be aware that email is essentially a non-confidential means of communication. Emails can easily be forwarded or archived without the original sender's knowledge. They may be read by persons other than those they are intended for.
- 5.4 Users must exercise due care when writing emails to avoid being rude or unnecessarily terse. Emails sent from the City University may be interpreted by others as City University statements. Users are responsible for ensuring that their content and tone is appropriate. Emails often need to be as formal and business-like as other forms of written correspondence (like official document on university letterhead).
- 5.5 Users should delete all personal emails and attachments when they have been read and should also delete all unsolicited junk mail. In the process of archiving emails, users should ensure inappropriate material is not archived
- 5.6 The City University provides a current and up to date automatic virus checker on all networked computers. However, caution should be used when opening any attachments or emails from unknown senders. Users must best endeavour to ensure that any file downloaded from the internet is done so from a reliable source. It is a disciplinary offence to disable the virus checker. Any concerns about external emails, including files containing attachments, should be discussed with the IT / Department Head.

## **6 Legitimate Access to Prohibited Material**

- 6.1 If there are circumstances where a user feels that the nature of their work means that they are required to access or use material prohibited under this policy, they should discuss the matter with the Department Head concerned. The City University is legally responsible for the content and nature of all materials stored on/accessed from its network.

## **7 Remote Users**

- 7.1 Users may sometimes need to use City University equipment and access the City University network while working remotely, whether from home or while travelling. The standards set out in this document apply whether or not City University equipment and resources are being used.

## **8 Monitoring**

- 8.1 All resources of the City University, including computers, email, and voicemail are provided for legitimate use. Any information stored on a computer, whether the information is contained on a hard drive, USB pen or in any other manner may be subject to scrutiny by the City University authorized staff only. This examination helps ensure compliance with internal policies and the law. It supports the performance of internal investigations and assists in the management of information systems.

## **9 Penalties for Improper Use**

### **9.1 Withdrawal of facilities**

Users in breach of these regulations may have access to City University IT facilities restricted or withdrawn.

### **9.2 Disciplinary Action**

Breaches of these regulations may be dealt with under the City University's disciplinary procedures. It may lead to termination of employment from the City University.

### **9.3 Breaches of the law**

Where appropriate, breaches of the law will be reported to the police.

**SECTION 2 – MANAGING EMPLOYEE PERFORMANCE: SETTING OBJECTIVES, ASSESSING AND MANAGING EMPLOYEE PERFORMANCE INCLUDING ABSENCES, MISCONDUCT AND CAPABILITY ISSUES**

## **I. Performance Appraisal Policy**

### **1. Appraisal Policy**

City University is committed to supporting every employee to reach their potential and achieve their personal goals, which in turn will assist the university to achieve its objectives.

The performance appraisal policy supports the performance appraisal scheme. The scheme is a formal process centred on an annual meeting of each employee and their Department Head to discuss his/her work. The purpose of the meeting is to review the previous year's achievements and to set objectives for the following year. These should align individual employees' goals and objectives with university goals and objectives. The same principles are reinforced for the academic staff by classroom visits, student evaluation and peer reviews.

*“The appraisal process aims to improve the effectiveness of the university by contributing to achieving a well-motivated and competent workforce”*

### **2. Core Principles of the Appraisal Policy**

1. The appraisal process aims to improve the effectiveness of the university by contributing to achieving a well-motivated and competent workforce.
2. Appraisal is an ongoing process with regular class visits, student evaluations and an annual formal meeting to review progress.
3. The appraisal discussion will review the previous year's achievement, and will set an agreed Personal Development Plan for the coming year for each member of the staff.
4. All directly employed staff members who have completed their probationary period are required to participate in the appraisal process.
5. The appraisal process will be used to identify the individual's development needs and support the objectives of the Training and Development Policy.
6. All staff will receive appraisal training as an appraisee, and where appropriate as an appraiser.
7. The appraisal process will provide management with valuable data to assist succession planning.
8. The appraisal process will be a fair and equitable process in line with our Equality Policy.

### **3. Performance Appraisal Implementation**

Performance appraisal discussions will be held over a designated 4 week period on an annual basis. They will be arranged by the appraisee's Department Head. Department Heads are encouraged to provide the opportunity for an additional 6 month verbal appraisal review, mid-year and other informal reviews as necessary throughout the year.

The discussion will be held in private. Information shared during the appraisal will be shared only with senior management. The exception is training needs, that will be provided to the HR for action. Confidentiality of appraisal will be respected.

The appraiser (usually the employee's Department Head) will be expected to have successfully completed appraiser training, and to be familiar with the appraisee's work.

All appraisal documents should be issued to both parties prior to the discussion, in order to allow time for both parties to reflect and prepare. These will provide a framework and focus for the discussion.

A time and venue for the discussion will be advised at least one week before the meeting takes place.

#### **1. The Appraisal Discussion**

The appraisal discussion will allow an opportunity for both the appraisee, and the appraiser to reflect and comment on the previous year's achievements. It will praise achievement and encourage the appraisee in his/her role.

The appraiser is accountable for giving the employee constructive, timely and honest appraisals of their performance, which should take into account both the goals of the organisation and of the individual.

The discussion should be a positive dialogue, and will focus on assisting the appraisee to acquire the relevant knowledge, skills and competencies to perform his/her current role to the best of his/her abilities.

The appropriate forms will be completed and signed by both parties. The appraisee will be given the opportunity to note any comments that he/she does not agree with and complete a self-assessment.

The appraisee and Department Head should agree on a Personal Development plan for the appraisee for the following year. This will reflect the appraisee's aspirations and the organisation's requirements, and should align personal and organisational goals. The university and the Department Head will support the individual to achieve these goals during the forthcoming year.

Any training needs, future training requirements, planned qualifications, development opportunities and career planning should be discussed in the light of the Personal Development Plan.

## **2. Training and Monitoring**

Senior Management is responsible for the appraisal process, and will ensure that appraisers and appraisees are adequately equipped and trained to undertake the performance appraisal.



*3. Performance Appraisal & Personal Development Plan Pro Forma*

Name:	Job Title:
Appraiser	Job Title:
Reviewer	Job Title:

REVIEW OF LAST YEARS OBJECTIVES

Outline:

- those of last years objectives which were achieved successfully
- those which were partly achieved or did not meet timescales and why
- those which were not achieved and why

## REVIEW OF LAST YEARS PERSONAL PERFORMANCE

Focus on recording examples of

- situations where the individual performed well / not so well – what lessons can be learned?
- where they have come across obstacles in the job situation or in their own skills that have prevented them from working effectively – if so what were they and how can they be overcome?
- where their effort was appropriately / inappropriately focused

### OVERALL PERFORMANCE RATING

Superior

Fully Acceptable

Incomplete

Unsatisfactory

Reason for rating:

## PERSONAL DEVELOPMENT PLAN

What key skills and competencies are required to allow the individual to meet their job objectives this year and what is their current level of ability / confidence with each of these.

Based on the above, what specific training or development activities would enhance their ability to meet their objectives? (Consider not just training courses, but also activities such as mentoring, shadowing etc.)

**APPRAISERS COMMENTS**

SIGNED: \_\_\_\_\_ DATE: \_\_\_\_\_

**APPRAISEES COMMENTS**

SIGNED: \_\_\_\_\_ DATE: \_\_\_\_\_

**REVIEWERS COMMENTS**

SIGNED: \_\_\_\_\_ DATE: \_\_\_\_\_

## II. Controlling Absence Policy

### 1. Policy

It is recognised by the City University that from time to time staff may require to be absent from their place of work due to illness. The length of time lost by employees through illness must however be monitored to ensure that each member of staff is able to do their job, effectively and without putting themselves or others at risk. It is not the intention of the City University to penalise the genuinely sick, however it must be recognised that an employee who is medically unfit to carry out his/her contractual duties may not be able to continue in that employment.

Managers will consider cases of sickness absence on an individual basis and ensure the provision of appropriate support, advice and City University Approved Doctor input where appropriate. However, it is recognised that in some cases, patterns/levels of absence will be unacceptable and formal management action will be required.

Employees who become aware that they have an illness problem are encouraged to inform their manager at the earliest opportunity. All such requests will be dealt with as speedily and compassionately as possible.

### 2. Overview of Procedural Stages

On return from absence all employees must be interviewed by their immediate Department Head. At this interview the employee and the Department Head must complete a 'Return to work interview' form agreeing the reason for the absence, the period of absence and, where appropriate, what course of action is required as a result of the absence. This form must be signed by both parties before being forwarded to HR and placed in the employees personnel file.

#### Stage 1

In situations where an employee's sickness record is giving some cause for concern, then the employee's Department Head will discuss those concerns with the employee, providing support and counselling where appropriate. It is essential that any message conveyed in this manner is clear and unambiguous and a record of the meeting provided to the HR Manager.

#### Stage 2

If the employee fails to improve in the given time scale then a formal second Review must be undertaken. If possible, a more senior manager should chair this meeting. The employee must be offered the opportunity for appropriate representation at this time.

*City University values good attendance at work and is committed to improving the general wellbeing of its employees to achieve this. Although we aim to secure regular attendance, we do not expect employees to attend when they are unwell."*

Prior to the Meeting the employee must be seen by a City University Approved Doctor who will give his opinion on the employee's health. The employee must also be informed at this stage if any further absences may result in their employment being terminated due to incapacity.

### **Stage**

If there is still no improvement within the laid down time scale a Review will be held with the appropriate Senior Manager / Director in the chair. The Director / Manager will review all the available evidence including the Doctor's report.

If there are no special circumstances the employee will be dismissed on the grounds of incapacity and their inability to meet the acceptable standards of attendance required by the City University.

### **1. Appeals**

Every employee has the right to appeal against the outcome of any formal review stage of the absence procedure. The basis of an appeal should normally relate to one of the following areas:

- (i) that the Policy had not been followed correctly.
- (ii) that the resulting action was inappropriate.
- (iii) that the need for action was not warranted.

#### **Appeals against the formal stages of the Absence Procedure**

An appeal should be put in writing to the appropriate Director / Senior Manager. The letter should contain the grounds for appeal and should be lodged within 7 days of receipt of the issue of a formal letter. An appeal hearing should be arranged within 7 days of receipt of the appeal letter. An appeal against Dismissal will be considered in the same way, but should be heard by a Director / senior manager who has not previously been involved in the case.

## 2. Procedures Check List

### Stage 1

#### Return to Work Interview

This is an informal part of the Procedure, however in order to give the process credibility the following rules should be followed :-

- Every employee should complete a 'Return to work interview' form with their immediate Department Head.
- Interviews should be carried out in an area where there will be no interruptions and where both parties may feel at ease.
- The employee should always be informed of the reason for the meeting.
- The meeting should be prefaced by an indication of concern for the employee as well as the need for the Manager to be aware of the health of his/her employees.
- The employee should be encouraged to discuss any problems they may be having with their health and to actively contribute to the solution to the problem.
- Any apparent problem or patterns of absence should be brought to the employees attention.
- All relevant absence documentation **must** be recorded on the employees personnel file.
- Any warnings issued will remain on the record for 12 months.

### Stage 2

- Prior to calling a hearing, full details of absence record along with reasons should be made available the presiding officer.
- The employee should be made aware of the date and location of the Review and the reasons for it.
- The employee should be given the opportunity to explain absence records and present any evidence required.
- If there are medical problems it may be necessary to adjourn the Meeting for medical advice.
- The employee must be informed of their right to appeal against this decision.
- If there has been no improvement in the absence record in the period set at the first Review or there has been a further breach of policy during the lifetime of a written warning then the employee must be informed and asked to attend a Second Review. In addition they should be informed of the right to be represented at the Review.
- Medical reports must be sought prior to the date of the Meeting and results made available to both parties.



- The employee should be given the right to present any evidence in mitigation.
- The employee should be informed of the need to improve their record and the possibility of dismissal if they do not do so. The employee must be informed of their right to appeal against this decision. (see Appeals). This should be confirmed in writing to the employee and held on their personnel file for 18 months.

### **Stage 3**

- The employee must be given full details of the case and the possible consequences prior to attendance.
- All medical evidence should be taken and considered before a final decision is taken.
- If the decision is taken to dismiss the employee then this should be done by giving full entitlement to notice (even if sick pay is exhausted).
- The employee must be informed of their right to appeal against this decision. (see appeals).

### 3. Return to Work Interview Form

Name
Designation
Department
First Day of Absence
Last Day of Absence
Total number of days absent
Total number of days off work
Is absence due to an injury at work? YES/ NO
Have you seen a doctor ? YES/ NO
Reason for absence(Please give a brief description of the illness or other reason for absence)
Action Taken(please give a brief description of any action taken to date)
Proposed Course of Action
I understand that if I knowingly provide inaccurate or false information regarding my absence

it may result in disciplinary action

Employees Signature

Managers Signature

### III. Disciplinary Procedure

#### 1. Scope

The City University Disciplinary Procedure will be used only when necessary and as a last resort. Where possible, informal and/or formal counselling or other good management practice will be used to resolve matters prior to any disciplinary action being taken. The procedure is intended to be positive rather than punitive but takes cognisance of the fact that sanctions may have to be applied in some circumstances.

#### 2. Suspension

Suspension is not disciplinary action. The purpose of suspension is manifold and can be used when it is necessary to remove a member of staff from the workplace pending an investigation for example, to allow time for a 'cooling down period' for both parties, for their own or others protection, to prevent them influencing or being influenced by others or to prevent possible interference with evidence. Only the Manager in charge of that individual, at that time or their superior, have the authority to suspend an individual.

*“The procedure is intended to be positive rather than punitive but takes cognisance of the fact that sanctions may have to be applied in some circumstances.”*

An employee suspended from duty will receive written confirmation within three days of:

- \* the reason for the suspension
- \* the date and time from which the suspension will operate.
- \* the timescale of the ongoing investigation.
- \* the right of appeal to the immediate manager of the suspending manager should the suspension last more than 7 days

#### 3. Counselling

Counselling is an attempt to correct a situation and prevent it from getting worse without having to use the disciplinary procedure. Where improvement is required, the employee must be given clear guidelines as to:

- what is expected in terms of improving shortcomings in conduct or performance
- the time scales for improvement
- when this will be reviewed
- the employee must also be told, where appropriate, that failure to improve may result in formal disciplinary action.

A record of the counselling should be given to the employee and a copy retained in their personnel file. It is imperative that any counselling should be followed up and improvements recognised and recorded.

If during counselling it becomes clear that the matter is more serious, then the discussion should be adjourned, and pursued under the formal disciplinary procedure.

#### **4. Procedure for Formal Investigation**

1. Formal investigations should be carried out by the most appropriate manager who is not directly involved with the incident being investigated. This manager may involve others to assist with the investigation process. All the relevant facts should be gathered promptly as soon as is practicable after the incident. Statements should be taken from witnesses at the earliest opportunity. Any physical evidence should be preserved and/or photographed if reasonable to do so.
2. A report should be prepared which outlines the facts of the case. This should be submitted to the appropriate senior manager / Director who will decide whether further action is required.
3. In most circumstances where misconduct or serious misconduct is suspected, it will be appropriate to set up an investigatory hearing. This would be chaired by the appropriate Senior Manager / Director, who would be accompanied by another manager. The investigating manager would be asked to present his/her findings to the Senior Manager. Witnesses should be called at this stage where necessary and the employee will be given an opportunity to tell his/her side of the story.
4. Should anyone who is subject to disciplinary action resign during the course of it, the action will cease unless there are extenuating circumstances which require it's continuance. The subject of the discipline may also request that the disciplinary action continue.

#### **5. Warnings**

Below are listed examples of misconduct which may warrant either a Verbal Warning or a First Written Warning. It is stressed however that this list is not exhaustive and that on all occasions a full and proper investigation must take place prior to the issue of a warning.

- Persistent lateness and poor time-keeping.
- Absence from work, including going absent during work, without valid reason, notification or authorisation.
- Smoking within unauthorised areas.
- Failure to work in accordance with prescribed procedures.
- Incompetence.
- Unreasonable standards of dress or personal hygiene.
- Failure to observe City University regulations and procedures.

##### **Verbal Warning**

A Verbal Warning is appropriate when it is necessary for the manager in charge to take action against an employee for any minor failing or minor misconduct.

##### **First Written Warning**

A First Written Warning is appropriate when:

- a verbal warning has not been heeded and the misconduct is either repeated or performance has not improved as previously agreed.
- an offence is of a more serious nature for which a written warning is more appropriate.

### **Examples of Gross – Misconduct**

Listed below are examples of misconduct which may be considered to be Gross Misconduct and may warrant a Final Warning, Demotion or Dismissal. It is stressed however that this list is not exhaustive and that on all occasions a full and proper investigation must take place prior to the issuing of a Final Warning, Demotion or Dismissal.

- Theft, including unauthorised possession of City University property.
- Breaches of confidentiality, prejudicial to the interest of the City University,
- Being unfit for duty because of the misuse/consumption of drugs or alcohol.
- Refusal to carry out a management instruction which is within the individuals capabilities and which would be seen to be in the interests of the City University.
- Breach of confidentiality / security procedures.
- Physical assault, breach of the peace or verbal abuse.
- False declaration of qualifications or professional registration.
- Failure to observe City University rules, regulations or procedures.
- Wilful damage of property at work.
- Incompetence or failure to apply sound professional judgement.

### **Final Written Warning**

A Final Written Warning is appropriate when:

- an employee's offence is of a serious nature falling just short of one justifying dismissal.
- an employee persists in the misconduct which previously warranted a lesser warning.

### **Dismissal**

Dismissal is appropriate when

- an employee's behaviour is considered to be Gross Misconduct.
- an employees misconduct has persisted, exhausting all other lines of disciplinary procedure.

### **Time Scales for the expiry of Warnings**

Warnings issued to employees shall be deemed to have expired after the following periods of time.

- \* Verbal Warnings: 6 months

- \* First Written Warnings: 12 months
- \* Final Written Warnings: 18 months (or as agreed and recorded at the hearing)

These time scales remain provided that during that period, no further warnings have been issued in respect of the employee's conduct.

## 6. Appeals

Every employee has the right to appeal against the outcome of a disciplinary hearing. The basis of an appeal should normally relate to one of the following areas:

- that the resulting disciplinary action was inappropriate.
- that the need for disciplinary action was not warranted.
- that new information regarding disciplinary action has arisen

An appeal should be put in writing to the HR Department. The letter of appeal should contain the grounds for appeal and should be lodged within 10 days of receipt of the warning / dismissal letter. An appeal will be arranged within 20 working days of receipt of the appeal letter.

## IV. Capability Procedure

### 1. Introduction

City University places great importance on maintaining levels of performance at an acceptable standard and the capability procedure provides a fair and objective process to enable managers to ensure that those standards are met in every aspect of the City University's operations.

#### Definition

For the purpose of this Capability Procedure, capability is defined as:

*"Where a member of staff is failing in a significant or persistent way to carry out their responsibilities or duties in a satisfactory manner, either due to a lack of ability, inadequate training or lack of experience. Such failings will be identified by use of the following procedures and steps taken to improve performance. Where such steps prove unsuccessful the member of staff may have their employment terminated on the grounds of incapacity".*

*"City University places great importance on maintaining levels of performance at an acceptable standard and the capability procedure provides a fair and objective process to enable managers to ensure that those standards are met.."*

## 2. Procedure

### Stage 1 - Formal Procedure - Information Collection:

The Senior Manager / Director of the Department Head concerned may call on the support of an external advisor or another member of the Management Team, to undertake collecting the necessary information. They would be expected to interview the member of staff concerned and the Department Head, as well as any other appropriate individuals. The member of staff should be informed that they may be accompanied at any meetings by a trade union representative or work colleague.

A written report based on evidence gained e.g. by interviews and observation of performance will be prepared by the advisor / Manager. The report should be precise and specific in the observations and comments it makes and shall contain clear information on:

1. areas where the member of staff is failing to perform adequately
2. actions already taken by management to address these failings and whether these actions were adequate - i.e. were clear performance standards set and monitored
3. whether the member of staff acknowledges a problem and shows a willingness to improve
4. the impact of the individuals failings on colleagues and work output
5. any other mitigating factors

The report should be given to the member of staff concerned and to the Department Head. Both may record in writing any comments on the observations contained within the report.

The Senior Manager / Director will consider the report, and may opt to take one of the following options:

- no further action
- Instruct the Department Head to set reasonable performance standards for the individual and monitor these for a set period of time. (*This option should be chosen if this has not previously been carried out adequately and at least three months given to improve*)
- convene a formal capability hearing to consider the matter further

### Stage 2 - Capability Hearing

The Senior Manager / Director will write to the member of staff informing them of the date of the hearing, attaching any relevant documentation. The letter shall contain:

- The performance deficits in sufficient detail to ensure that the member of staff fully comprehends their nature, extent and seriousness.
- The time, date and venue of the interview.
- The person who will conduct the interview, usually the Senior Manager / Director
- A statement that all employees have the right to be accompanied by a trade union representative or work colleague at any interview or hearing held under the provision of these procedures.



- At least 10 days notice of the hearing.

At the hearing, the member of staff will be given the opportunity to put forward a defence, to bring witnesses in support of their defence, to present mitigating circumstances and to make a full statement. A written copy of the procedure to be adhered to during the hearing should be made available to the member of staff before the hearing takes place.

If the allegation is found to be justified, then a decision on the action to be taken must be made. Depending on the nature, frequency and seriousness of the allegation(s) it is expected that at this stage remedies ranging from warning to dismissal could be reached.

A letter should be sent to the member of staff confirming the decision and the reason(s) why it was made.

### *3. Appeals*

An appeal against any decision to terminate the employee's contract of employment on the grounds of capability may be made in writing to the HR Department within 14 days of the decision. The employee's appeal will be heard by the appropriate Director. Decisions made on appeal shall be final.

**SECTION 3 - DEALING WITH EMPLOYEE CONCERNS:** *Hearing Grievances, Dealing with Bullying & Harassment, and making provisions for “Whistleblowing”*

## **I. Grievance Procedure**

The grievance procedure is intended as the tool by which a member of staff may formally have a grievance, regarding any condition of their employment, heard by the management of the City University.

In the event of a member of staff wishing to raise a grievance, it is preferable for the grievance to be satisfactorily resolved as close to the individual and their Department Head as possible. It is understood however that this is not always possible and that a formal procedure is required to ensure the swift and fair resolution of matters which aggrieve the City University’s employees.

*“The grievance procedure is intended as the tool by which a member of staff may formally have a grievance, regarding any condition of their employment, heard by management..”*

Time scales have been fixed to ensure that grievances are dealt with quickly, however these may be extended if it is agreed upon by both parties.

This procedure is not intended to deal with:

1. Dismissal or disciplinary matters which are dealt with in a separate procedure.
2. Disputes, which are of a collective nature and which are dealt with in a separate procedure.

### **1. Stage 1**

An employee who has a grievance, should raise the matter with his Department Head / supervisor immediately either verbally or in writing. If the matter itself concerns the employee’s immediate manager, then the grievance should be taken to their superior.

If the manager is unable to resolve the matter at that time then a formal written grievance form should be submitted (see appendix 1). The manager should then respond within **2 working days** (i.e. the manager’s normal working days) to the grievance unless an extended period of time is agreed upon by both parties. The response will give a full written explanation of the managers decision and who to appeal to if still aggrieved.

### **2. Stage 2**

If the employee remains aggrieved there will be a final level of appeal to the Director responsible for the employee’s function. This appeal must be made in writing (see appendix 2), enclosing a copy of the original Formal Grievance form, to the Director within ten working days of receipt of the Stage 2 response. This Director will arrange and hear the appeal with another management representative and respond formally with a full explanation **within 20 working days**.

Where a grievance is raised against a Director then the grievance will be heard by the President or a Vice President.

### 3. Appendices

#### Appendix 1

*To:*

*From:*

*Dept:*

*Date:*

*Immediate Superior:*

Dear

I wish to take a formal grievance out against:

---

in line with the City University Grievance Procedure. The details of my grievance are shown below :

Yours sincerely,

*(Manager should respond to this formal written grievance within 2 working days unless an extended period for response is mutually agreed)*

## Appendix 3

To (Director):

From:

Dept:

Date:

Immediate Superior:

Dear

On (within 10 days of the response to the second stage of the formal grievance) I appealed to against the decision made at my initial grievance against

---

I remain dissatisfied with the outcome of this meeting and would like to appeal to you for a further hearing of my grievance, in line with the City University Grievance Procedure.

I enclose a copy of the original letter regarding this matter and other correspondence and information related to it.

Yours sincerely

*(Director should respond to this formal written grievance within 20 working days unless an extended period for response is mutually agreed)*

## II. Prevention of Bullying and Harassment at Work

### 1. Statement of Policy

1. City University is committed to encouraging and maintaining good employee relations within a working environment which fosters team working and encourages employees to give of their best. Everyone in the City University and those who have dealings with the City University has a responsibility to maintain good working relationships and not use words or deeds that may harm the wellbeing of others. In addition, everyone has the right to be treated with consideration, fairness, dignity and respect. This contributes to a workplace environment in which individuals feel safe and can work effectively competently and confidently.
2. The City University's policy applies to all staff working within the university and to all employees working off the premises. It extends to include non-permanent workers such as secondees, contractors, agency, temporary staff, consultants and any other workers. The policy, in addition, covers the behaviour of staff outside working hours which may impact upon work or working relationships.
3. The City University has a "zero tolerance" policy and will investigate vigorously any allegations of bullying or harassment, regardless of whether the matter has been raised formally or informally.

*The City University believes that the working environment should at all times be supportive of the dignity and respect of individuals. If a complaint of harassment is brought to the attention of management, it will be investigated promptly and appropriate action will be taken.*

### 2. Key Principles

4. The City University will provide and sustain a safe working environment in which everyone is treated fairly and with respect. Those working or dealing with the City University must not encounter harassment, intimidation or victimisation on the basis of gender, race, colour, ethnic or national origin, marital status, religion or belief, age, trade union membership, disability, offending background or any other personal characteristic.
5. Everyone carries a personal responsibility for their own behaviour and for ensuring that their conduct is in accordance with the principles set out in this policy. In addition, each person has a responsibility to report any instance of bullying or harassment which they witness or which comes to their attention. Employees have a

responsibility to act as role models, pro-actively addressing instances of bullying and harassment. Managers should also make themselves aware of their responsibility.

6. Harassment may be defined as any conduct which is :-
  - unwanted by the recipient
  - is considered objectionable
  - causes humiliation, offence, distress or other detrimental effect.
  
7. Harassment may be an isolated occurrence or repetitive: it may occur against one or more individuals. Harassment may be, but is not limited to:
  - Physical contact – ranging from touching to serious assault, gestures, intimidation, aggressive behaviour.
  - Verbal – unwelcome remarks, suggestions and propositions, malicious gossip, jokes and banter, offensive language.
  - Non-verbal – offensive literature or pictures, graffiti and computer imagery, isolation or non-co-operation and exclusion or isolation from social activities.
  
8. Bullying is unlikely to be a single or isolated instance. It is usually, but not exclusively repeated and persistent behaviour which is offensive, abusive, intimidating, malicious or insulting. Bullying includes but is not limited to :
  - Conduct which is intimidating, physically abusive or threatening
  - Conduct that denigrates, ridicules or humiliates an individual, especially in front of colleagues
  - Humiliating an individual in front of colleagues
  - Picking on one person when there is a common problem
  - Shouting at an individual to get things done
  - Consistently undermining someone and their ability to do the job
  - Setting unrealistic targets or excessive workloads
  - “cyber bullying” i.e. bullying via e-mail. (This should be borne in mind where employees are working remotely and are managed by e-mail. Care and sensitivity should be practised with regard to the choice of context and language).
  - Setting an individual up to fail e.g. by giving inadequate instructions or unreasonable deadlines.

**Harassment and Bullying may be summarised as any behaviour that is unwanted by the person to whom it is directed. It is the impact of the behaviour rather than the intent of the perpetrator that is the determinant as to whether harassment or bullying has occurred.**

9. Any employee who wishes to make a complaint of harassment or bullying is encouraged to first discuss matters informally with their Department Head or with Human Resources, provided that they feel able to do so. Should the issues not be resolved at this stage, or the employee feels unable to raise the issue informally, then a formal resolution should be sought.



10. When a complaint of Harassment or Bullying is brought to the attention of a manager at any level, whether informally or formally, prompt action must be taken to investigate the matter. Corrective action must be taken where appropriate and this may require an investigation under the City University's Disciplinary Policy and Procedure.
11. If it is considered that one of the parties concerned in a harassment or bullying case should be moved from their current workplace, then as a matter of principle the City University will normally remove the alleged perpetrator rather than the complainant. However, the final decision on who should be moved should reflect the particular circumstances of the case and advice from Human Resources to the relevant manager. It should be noted and explained to those concerned that the moving of either party is not an implication of guilt or culpability and no detriment to either party will be construed as a consequence.
12. All matters relating to the investigation of complaints of harassment or bullying will be treated in strict confidence. Any breach of confidentiality in this regard may render those responsible liable to disciplinary actions. However, it will be necessary that any alleged perpetrator is made aware of the allegations against them and the name(s) of those making the allegations together with the name(s) of any witnesses.
13. No employee will be victimised or suffer detriment for making a complaint of harassment or bullying and no manager shall threaten either explicitly or implicitly that an employee's complaint will be used as the basis for decisions affecting that employee. Such conduct will be treated as a very serious disciplinary offence. Similarly, managers are required to act on any complaint of harassment or bullying. Failure to do so will be regarded as misconduct which if proven, will result in disciplinary action.
14. All complaints of harassment or bullying whether raised formally or informally must be notified by the recipient of the complaint to Human Resources for recording. Such records are to be maintained and the incidence of bullying and harassment to be monitored.
15. This policy and procedure will be reviewed periodically and updated as appropriate.

## APPENDIX

### **3. Procedure**

#### **1. Informal Resolution**

- 1.1 Very often people are not aware that their behaviour is unwelcome or misunderstood and an informal discussion can lead to greater understanding and agreement that the behaviour will cease.

- 1.2 Complainants are therefore encouraged to try, if they feel able to do so, to resolve the problem informally by making it clear to the alleged harasser that his/her actions are unwanted and should not be repeated. This may be done verbally or in writing in which case the complainant should keep a copy of the documentation and, where possible, the times and dates of incidents should be recorded.
- 1.3 If the complainant feels unable to approach the alleged harasser, a work colleague, could be asked to speak to the alleged harasser on the complainant's behalf. A note should be made of the action taken and the matter notified to Human Resources.
- 1.4 An individual who is made aware that their behaviour is unacceptable should:-
  - Listen carefully to the complaints and the particular concerns raised;
  - Respect the other person's point of view: everyone has a right to work in an environment free from harassment/intimidation;
  - Understand and acknowledge that it is the other person's reaction/perception to another's behaviour that is important;
  - Agree the aspects of behaviour that will change;
  - Review their general conduct/behaviour at work and with workplace colleagues.

## 2. Formal Resolution

- 2.1 If the alleged harassment continues, the complainant feels unable or unwilling to deal with the matter informally, or the allegation is so serious as to prevent use of the informal procedure, a complaint should then be raised formally with the employer.
- 2.2 Normally, the employer's representative will be the employee's Department Head. However, if the employee feels unable to do this they should submit the complaint in writing to a more senior manager within their Department or Directorate. In exceptional circumstances, allegations may be raised directly with the relevant Director, who will with other appropriate senior managers, arrange for the matter to be progressed in accordance with this policy and procedure.
- 2.3 When dealing with a complaint of harassment under the Formal Resolution Procedure, the relevant manager should:
  - a Take full details of the incidents in writing from the complainant and their representative (if appropriate);
  - b Take full details from any witnesses/other complainants who come forward and may have witnessed the alleged behaviour
  - c Inform the alleged harasser of the complaints against him/her, advise the alleged harasser to come to a meeting in order that they can comment on the allegations against them.
  - d Keep all parties informed of expected timescales.
  - e Inform all parties in writing of the outcome and any action that may be required.

- 2.4 If the allegations and the working situation warrant it, the alleged harasser may be suspended during the investigation (in accordance with established disciplinary procedure) or transferred temporarily pending the outcome of the inquiry to another Department.
- 2.5 Should there be a case to answer against the alleged harasser, the manager who has dealt with the complaint will communicate this to an impartial manager who will conduct a separate disciplinary investigation. The normal disciplinary procedure for misconduct/gross misconduct should then be followed. However, the following points should be taken into account:-
- The complainant will normally be required to attend the disciplinary hearing as a witness, unless there are exceptional circumstances which prevent them from doing so;
- 2.6 If the complaint is upheld at the disciplinary stage, there are a number of possible outcomes for the harasser, depending on the evidence presented and the circumstances. These could include, but are not limited to:-
- Dismissal
  - A formal warning
- 2.7 It should also be noted that the complainant may wish to move Department/section depending upon the nature of the complaint and the people involved. Appropriate consideration should be given to this request and the outcome with reasons provided to the complainant.
- 2.8 With any allegation, the need for a thorough and objective investigation is paramount. Consequently, if through the course of the investigation evidence demonstrates that the allegation has been made frivolously, maliciously, or for personal gain, then the individual making the complaint will be subject to Disciplinary proceedings as outlined in the City University's Disciplinary Policy.

### **3. Appeals**

Appeals against decisions taken under the Bullying and Harassment at Work Policy and Procedure shall be dealt with as follows:-

- Appeals against a disciplinary sanction will be dealt with in accordance with the appeals process in the Disciplinary Procedure.
- Appeals by a complainant about the outcome of any inquiry will be dealt with in accordance with the appeal process in the Grievance Policy.

#### 4. Records

Where the complaint is informal and resolved at this stage, no record will be kept on personal files.

Following formal investigation, where the complaint is not substantiated, no records will be retained.

Where a complaint is substantiated or partially substantiated but does not proceed to disciplinary, a letter confirming the outcome will be retained on the personal file and supporting documentation retained in a separate file for a period of 12 months.

Where the matter proceeds to a disciplinary hearing then the storage of records should be in accordance with the disciplinary procedure.

*"...this policy is intended to assist individuals who believe they have discovered malpractice or impropriety. It is not designed to question financial or business decisions taken by the City University..."*

### III. "Whistleblowing" Policy

(Making a Disclosure in the Public Interest)

#### 1. Introduction

City University is committed to the highest standards of openness, probity and accountability.

An important aspect of accountability and transparency is a mechanism to enable staff and other members of the City University to voice concerns in a responsible and effective manner. It is a fundamental term of every contract of employment that an employee will faithfully serve his or her employer and not disclose confidential information about the employer's affairs. Nevertheless, where an individual discovers information which they believe shows serious malpractice or wrongdoing within the organisation then this information should be disclosed internally without fear of reprisal, and there should be arrangements to enable this to be done independently of line management.

The policy gives protection to employees against being dismissed or penalised by their supervisors as a result of disclosing to the university management certain serious concerns. The City University management has endorsed the provisions set out below so as to ensure that no members of staff should feel at a disadvantage in raising legitimate concerns.

It should be emphasised that this policy is intended to assist individuals who believe they have discovered malpractice or impropriety. It is not designed to question financial or business decisions taken by the City University managers nor should it be used to reconsider any matters which have already been addressed under harassment, complaint, disciplinary or other procedures. Once the "whistleblowing" procedures are in place, it is reasonable to expect staff to use them rather than air their complaints outside the City University.

## 2. Scope of Policy

This policy is designed to enable employees of the City University to raise concerns internally and at a high level and to disclose information which the individual believes shows malpractice or impropriety. This policy is intended to cover concerns which are in the university's interest and may at least initially be investigated separately but might then lead to the invocation of other procedures e.g. disciplinary. These concerns could include

- Financial malpractice or impropriety or fraud
- Dangers to Health & Safety or the environment
- Criminal activity
- Improper conduct or unethical behaviour
- Attempts to conceal any of these

## 3. Safeguards

### i. Protection

This policy is designed to offer protection to those employees of the City University who disclose such concerns provided the disclosure is made:

- in good faith
- in the reasonable belief of the individual making the disclosure that it tends to show malpractice or impropriety and if they make the disclosure to an appropriate person (see below). It is important to note that no protection from internal disciplinary procedures is offered to those who choose not to use the procedure. In an extreme case malicious or wild allegations could give rise to legal action on the part of the persons complained about.

### ii. Confidentiality

The City University will treat all such disclosures in a confidential and sensitive manner. The identity of the individual making the allegation may be kept confidential so long as it does not hinder or frustrate any investigation. However, the investigation process may reveal the source of the information and the individual making the disclosure may need to provide a statement as part of the evidence required.

### iii. Anonymous Allegations

This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously are much less credible, but they may be considered at the discretion of the City University management. In exercising this discretion, the factors to be taken into account will include:

- The seriousness of the issues raised
- The credibility of the concern
- The likelihood of confirming the allegation from attributable sources

#### **iv. Untrue Allegations**

If an individual makes an allegation in good faith, which is not confirmed by subsequent investigation, no action will be taken against that individual. In making a disclosure the individual should exercise due care to ensure the accuracy of the information. If, however, an individual makes malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against that individual.

#### **4. Procedures for Making a Disclosure**

On receipt of a complaint of malpractice, the member of staff who receives and takes note of the complaint, must pass this information as soon as is reasonably possible, to the appropriate designated investigating officer as follows:

- Complaints of malpractice will be investigated by the appropriate Director unless the complaint is against the Director or is in any way related to the actions of the Director. In such cases, the complaint should be passed to the President for referral.
- In the case of a complaint, which is any way connected with but not against the Director, the President will nominate a Senior Manager to act as the alternative investigating officer.
- Complaints against the President should be passed to the Chairman who will nominate an appropriate investigating officer of the Board of Trustees.
- The complainant has the right to bypass the department head structure and take their complaint direct to a Director, Vice President or President. The President has the right to refer the complaint back to management if he/she feels that the management without any conflict of interest can more appropriately investigate the complaint.

#### **5. Timescales**

Due to the varied nature of these sorts of complaints, which may involve internal investigators, it is not possible to lay down precise timescales for such investigations. The investigating officer should ensure that the investigations are undertaken as quickly as possible without affecting the quality and depth of those investigations.

The investigating officer, should as soon as practically possible, send a written acknowledgement of the concern to the complainant and thereafter report back to them in writing the outcome of the investigation and on the action that is proposed. If the investigation is a prolonged one, the investigating officer should keep the complainant informed, in writing, as to the progress of the investigation and as to when it is likely to be concluded.

All responses to the complainant should be in writing.

## **6. Investigating Procedure**

The investigating officer should follow these steps:

- Full details and clarifications of the complaint should be obtained.
- The investigating officer should inform the member of staff against whom the complaint is made as soon as is practically possible.
- The investigating officer should consider the involvement of the City University auditors and outside investigators as needed after consulting with the President or his designee.
- The allegations should be fully investigated by the investigating officer with the assistance where appropriate, of other individuals / bodies.
- A judgement concerning the complaint and validity of the complaint will be made by the investigating officer. This judgement will be detailed in a written report containing the findings of the investigations and reasons for the judgement. The report will be passed to the Chief Executive or Chairman as appropriate.
- The President will decide what action to take. If the complaint is shown to be justified, then they will invoke the disciplinary or other appropriate City University procedures.
- The complainant should be kept informed of the progress of the investigations and, if appropriate, of the final outcome.
- If appropriate, a copy of the outcomes will be passed to the City University Auditors to enable a review of the procedures.

If the complainant is not satisfied that their concern is being properly dealt with by the investigating officer, they have the right to raise it in confidence with the President, or one of the designated persons described above.

**SECTION 4 – SUPPORTING OUR STAFF IN THE WORKPLACE:** *By ensuring Equality and Fairness in all aspects of Employment; dealing with Alcohol and Drug issues, and ensuring their Health & Safety is properly guarded.*

## **IV. Equality Policy**

### **1. Policy Statement**

1. City University recognises that discrimination and victimisation is unacceptable and that it is in the interests of the City University and its employees to utilise the skills of the total workforce. It is the aim of the City University to ensure that no employee or job applicant receives less favourable facilities or treatment (either directly or indirectly) in recruitment or employment on grounds of age, disability, gender, race, clan, or religion (the **protected characteristics**).
2. Our aim is that our workforce will be truly representative of all sections of society and each employee feels respected and able to give of their best.
3. We oppose all forms of unlawful and unfair discrimination or victimisation. To that end the purpose of this policy is to provide equality and fairness for all in our employment.
4. All employees, whether part-time, full-time or temporary, will be treated fairly and with respect. Selection for employment, promotion, training or any other benefit will be on the basis of aptitude and ability. All employees will be helped and encouraged to develop their full potential and the talents and resources of the workforce will be fully utilised to maximise the efficiency of the organisation.
5. Our staff will not discriminate directly or indirectly, or harass customers or clients because of age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation in the provision of the City University's goods and services.
6. This policy and the associated arrangements shall operate in accordance with statutory requirements. In addition, full account will be taken of any guidance or Codes of Practice issued by the Equality and Human Rights Commission, any Government Departments, and any other statutory bodies.

***“Our aim is that our workforce will be truly representative of all sections of society and each employee feels respected and able to give of their best.”***



## **2. Our Commitment**

- To create an environment in which individual differences and the contributions of all our staff are recognised and valued.
- Every employee is entitled to a working environment that promotes dignity and respect to all. No form of intimidation, bullying or harassment will be tolerated.
- Training, development and progression opportunities are available to all staff.
- To promote equality in the workplace which we believe is good management practice and makes sound business sense.
- We will review all our employment practices and procedures to ensure fairness.
- Breaches of our equality policy will be regarded as misconduct and could lead to disciplinary proceedings.
- This policy is fully supported by senior management.
- The policy will be monitored and reviewed annually

## **3. Responsibilities of Management**

Responsibility for ensuring the effective implementation and operation of the arrangements will rest with the President of City University. Directors / Managers will ensure that they and their staff operate within this policy and arrangements, and that all reasonable and practical steps are taken to avoid discrimination. Each manager will ensure that:

- all their staff are aware of the policy and the arrangements, and the reasons for the policy;
- grievances concerning discrimination are dealt with properly, fairly and as quickly as possible;
- proper records are maintained.

The Human Resources Manager will be responsible for monitoring the operation of the policy in respect of employees and job applicants, including periodic departmental audits.

## **4. Responsibilities of Staff**

Responsibility for ensuring that there is no unlawful discrimination rests with all staff and the attitudes of staff are crucial to the successful operation of fair employment practices. In particular, all members of staff should:

- comply with the policy and arrangements;
- not discriminate in their day to day activities or induce others to do so;
- not victimise, harass or intimidate other staff, students or groups who have, or are perceived to have one of the protected characteristics.
- ensure no individual is discriminated against or harassed because of their association with another individual who has a protected characteristic.
- inform their manager if they become aware of any discriminatory practice.

## **5. Third Parties**

Third-party harassment occurs where a City University employee is harassed, and the harassment is related to a protected characteristic, by third parties such as clients or customers. City University will not tolerate such actions against its staff, and the employee concerned should inform their manager / supervisor at once that this has occurred. City University will fully investigate and take all reasonable steps to ensure such harassment does not happen again.

## **6. Related Policies and Arrangements**

All employment policies and arrangements have a bearing on equality of opportunity. The City University policies will be reviewed regularly and any discriminatory elements removed.

## **7. Rights of Disabled People**

The City University attaches particular importance to the needs of disabled people.

Under the terms of this policy, managers are required to:

- make reasonable adjustment to maintain the services of an employee who becomes disabled, for example, training, provision of special equipment, reduced working hours. (NB: managers are expected to seek advice on the availability of advice and guidance from external agencies to maintain disabled people in employment);
- include disabled people in training/development programmes;
- give full and proper consideration to disabled people who apply for jobs, having regard to making reasonable adjustments for their particular aptitudes and abilities to allow them to be able to do the job.

## **8. Equality Training**

A series of regular briefing sessions will be held for staff on equality issues. These will be repeated as necessary. Equality information is also included in induction programs.

Training will be provided for managers on this policy and the associated arrangements. All managers who have an involvement in the recruitment and selection process will receive specialist training.

## **9. Drug /Alcohol Testing**

1. City University will ensure that all its employees work within the university policies on the use of drugs and alcohol at university campuses:
  - It is a criminal offence for any CU Employee to be unfit for their work due to taking drugs or alcohol.

- It is a criminal offence to be unfit to drive, attempt to drive or be in charge of a motor vehicle when under the influence of drugs or alcohol.
  - The possession, supply or production of controlled drugs is unlawful and grounds for dismissal.
2. At its discretion, City University may undertake drug / alcohol testing for certain key jobs within the City University. These may be carried out during pre-employment, as part of a random testing scheme or as a result of an incident.

## V. Health and Safety Policy

### 1. Statement of General Policy

The City University fully appreciate the importance of the health and safety of its employees and students and its obligation to that end. The Board of Trustees of City University requires its President to ensure that the following policy is implemented and to report annually on its effectiveness.

### 2. Management Organisation and Arrangements

The purpose of the policy is to establish general standards for health and safety at work and to distribute responsibility for their achievement to all managers, supervisors, and other employees through the normal line management processes.

### 3. Management Responsibilities

#### President

The President of CU has overall responsibility for the implementation of the City University's policy. In particular he is responsible for ensuring that the policy is widely communicated and that its effectiveness is monitored.

#### Directors and Senior Managers

These managers are wholly accountable to the President for the implementation and monitoring of the policy within the area of their specified responsibility.

#### Safety Officer

The Fire and Safety Officer is a nominated manager responsible for co-ordinating effective health and safety policies and controls at each campus.

The Fire and Safety Officer is responsible for:

- the production and maintenance of the City University's policy and ensuring that Department Guidelines are consistent with policy;
- its application;
- monitoring and reporting on the effectiveness of the policy;
- the provision of general advice about the implication of the policy;
- the identification of health and safety training needs. The safety officer also acts on behalf of the President, as the City University's formal link with the Fire, Health and Safety Executives of the District where the campus is located;
- The conduct of periodic drills on fire and security challenges.

*“City University recognises and accepts its responsibility as an employer to maintain, so far as is reasonably practicable, the safety and health of its employees, and of other persons who may be affected by its activities.”*

## Responsibilities for Specific Workplaces

CAMPUS NAME	CAMPUS MANAGER	FIRE, HEALTH & SAFETY OFFICER
Xxxxx Department etc	Director of Xxxxx	All Xxxxx Department Managers are accountable to the Director of Xxxxx for their respective areas

### **4. Health and Safety Management Process**

The City University believes that consideration of the health, safety and welfare of staff is an integral part of the management process.

Responsibility for health and safety matters shall be explicitly stated in management job descriptions.

The City University requires managers to approach health and safety in a systematic way, by identifying hazards and problems, planning improvements, taking executive action and monitoring results so that the majority of health and safety needs will be met from locally held budgets as part of day-to-day management, although many health and safety problems can be rectified at little additional cost.

For major additional expenditure, cases of need will be submitted by Directors to the Chief Executive.

If unpredictable health and safety issues arise during the year, the Chief Executive must assess the degree of risk, in deciding the necessary resources and actions to commit to addressing these issues.

### **5. Health, Safety and Welfare Guidelines**

It is the policy of the City University to require departmental managers to produce appropriate health and safety policies or guidelines. These should embody the minimum standards for health and safety for the department and the work organised within it.

It shall be the responsibility of the manager to bring to the attention of all members of his or her staff, the provisions of the guidelines, and to consult with appropriate Health and Safety Representatives about the updating of these guidelines. The model contents of a guideline are:

- a clear statement of the role of the department;
- regulations governing the work of the department;
- clear reference to safe methods of working, for example nursing procedures, manufacturers' manuals;

- information about immediate matters of health and safety concern, such as fire drills, fire exits, first aid;
- training standards;
- the role and identity of the Health and Safety Representative;
- names of specialist advisers who can be approached about the work of the department;
- the manager responsible for organisation and control of work;
- accident reporting procedures;
- departmental safety rules;
- fire procedures;
- policies agreed by the City University.

## **6. Identification of Health and Safety Hazards**

### **- ANNUAL AUDIT AND REGULAR RISK ASSESSMENTS**

It is the policy of the City University to require a thorough examination of health and safety performance against established standards in each department, at least annually. The technique to be adopted for such examinations will be the 'Safety Audit'. The Audit requires review of:

- standards laid down in the policy;
- departmental guidelines;
- staff attitudes;
- staff instructions;
- methods of work;
- contingency plans;
- recording and provision of information about accidents and hazards and the assessment of risk.

The information obtained by the Audit will be used to form the basis of the plan for the department for the following year. Audits must be completed by July of each year.

The responsibility for ensuring that audit activity is carried out as part of this policy rests with the VPAF and will be carried out by the Fire and Safety Officer. Although the Audit remains a management responsibility, managers are required as part of this policy to seek the involvement of the appropriate departmental representative in the conduct of the Audit.

It is the management's responsibility to ensure that any deficiencies highlighted in the Audit are dealt with as speedily as possible.

In addition to carrying out Safety Audits, it is the responsibility of the department manager to check, at least quarterly, all portable equipment, including electrical appliances, in their area, and to ensure that all problems are immediately dealt with.

Managers have a continual responsibility for the elimination of hazards in order to maintain a safe working environment and will also be expected to carry out regular **risk assessments** in line with the Health and Safety Executive Guidelines; that is follow the 5 steps:

1. Identify the hazards
2. Decide who might be harmed and how
3. Evaluate the Risks and decide on precautions
4. Record the findings and implement the precautions
5. Review the assessment and update when necessary

## **7. Campus Fire and Safety Officers**

The City University will support Campus Fire and Safety Officers in carrying out their role and give all reasonable assistance. Fire and Safety Officers will be encouraged to discuss specific health and safety issues with the relevant Head of Department. They may also formally report hazardous or unsafe circumstances to the Head of Department and will be formally notified of the remedial action taken or be given a reason why the action cannot be taken. Departmental weekly reports to management must reflect all hazardous and unsafe circumstances reported by the fire and safety officers and actions that may have been taken by management to remedy the situation.

## **8. Training**

Health and Safety training shall be incorporated within annual training programs, as part of the development of a systematic training plan. Health and Safety training needs will, therefore, be identified and planned for in the same manner as other training needs.

Four areas of need shall be given special priority:

- training for managers, to equip them with an understanding of the manager's responsibilities under this policy, and the role and purpose of safety representatives;
- training for campus fire and safety officers to enable them to discharge their function;
- training for all members of staff to acquaint them with the main provisions of the safety policy and its practical implication, the main features of this policy and key safety rules;
- induction and in-service training for staff at all levels to acquaint them fully with new requirements and hazards.

## **9. Records, Statistics and Monitoring**

The City University will operate systems for recording, analysis and presentation of information about accidents, hazard situations and untoward occurrences. Advice on systems will be provided by the Fire and Safety Officer, and the responsibility for the operation of these systems rests with managers and supervisors at all levels. Information obtained from the analysis of accident statistics must be reported to the Senior Management of the university monthly.

## **10. Reports to the Health and Safety of Employees and Students**

The responsibility for meeting the requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences shall rest with the VPAF and may be delegated to the Fire and Safety Officer at each campus.

## **13. First Aid**

It is the policy of the City University to make provision for First Aid and the training of 'First Aiders' in accordance with the First Aid best practices and with the help and advice of the management of Kamil Hospital of Mogadishu. The Fire & Safety Officer in each campus is responsible for ensuring adequate resources and training are available at the campus for first aid provisions.

## **14. Fire**

The VP for Administration and Finance (VPAF) is responsible for ensuring that the staff receives adequate fire training, and that nominated fire officers are designated in all City University premises. The VPAF delegates these responsibilities to the Directors.

In addition the City University will nominate a Fire & Safety Officer in each campus to:

- report and advise on the standard of fire safety in the City University's premises and the standard of fire training of its staff;
- undertake overall responsibility for fire training;
- assist in the investigation of all fires in the City University's premises and to submit reports of such incidents.

## **VI. Condemnation and Disposal of Equipment**

Procedures for the, condemnation and disposal of equipment are set out in the City University's Financial Management Manual. No equipment should be removed from the university premises without being accompanied by a signed condemnation form collected by security at the gate.

## **VII. Food Hygiene**

Those Managers who have responsibility for food acquisition, storage, processing and serving, and staff induction and training, are responsible for ensuring that these functions are undertaken to the necessary legal and ethical standards. Food hygiene must not be compromised at any point in the acquisition of raw materials, preparation, storage, and serving to students and staff. Any food that is suspected to be unhealthy must be removed from the café pending knowledgeable counsel. Any suspected outbreak of food poisoning or other unexplained and possibly food related incidents must be reported to the office of the Human Resources Manager.



## **VIII. Non-Smoking On City University Premises**

The City University has agreed that there will be no smoking in its buildings and grounds. The overall aim is to reduce smoking and so save life, reduce risk of fire, prevent unnecessary illness and chronic disability.

### **21. Control of Working Time**

The City University is committed to the principles of employees enjoying a balanced life that is conducive to their health, comfort and optimal performance. No member of staff is expected to work more than 48 hours per week unless there are exceptional circumstances.

### **22. Health and Safety and the Individual Employee**

The Health and Safety at Work Act requires each employee 'to take reasonable care for the Health and Safety of himself and of other persons who may be affected by their acts and omissions' and co-operate with management to enable HR management to carry out their responsibilities for Health and Safety at Work.

The refusal of any employee to meet their obligations will be regarded as a matter to be dealt with under the Disciplinary Procedure.

### **23. People Working On City University Premises Not Employed By The City University**

Persons working in the City University premises who are employed by other organisations are expected to follow City University Health and Safety Policies with regard to the safety of City University employees, their own personal safety (and that of other parties such as the general public if appropriate) and their method of work. This responsibility will be included in contracts or working arrangements. Similarly seconded City University employees working in other host premises will be expected to follow the host employers Health and Safety Policy.

### **24. Visitors and Members of the Public**

The City University wishes to ensure that as far as is reasonably practicable, the Health, Safety and Welfare of visitors to City University establishments will be of the highest standard.

Any member of staff who notices persons acting in a way which would endanger other staff, should normally inform their Head of Department. If the danger is immediate, common sense must be used to give warning, call for assistance or give aid as necessary. It is equally important not to over-react to a situation. Particularly employees should bring to the immediate attention of management all security concerns that may endanger the safety and wellbeing of students and staff.

## **25. Contractors**

The City University wishes to ensure that as far as is reasonably practicable, the Health, Safety and Welfare of Contractors working in the City University's establishments will be of the highest standards. In addition, Contractors and their employees have an obligation so far as is reasonably practicable to ensure all equipment, materials and premises under their control are safe and without risks to health.

In tendering, Contractors will be asked to confirm they have a written Health, Safety and Welfare Policy. The City University's Manager supervising the Contract will be responsible for monitoring the Health and Safety performance of the Contractor and the Contractor's performance will be a factor in deciding whether or not to invite the Contractor to tender again.