

Compliance awareness

Introduction

As a manager, you are accountable for your own, and your team’s ability to comply with a range of University processes and procedures, many of which are driven by a requirement to comply with the law and regulatory body guidelines.

Failure to comply in many of these areas could lead to a significant loss of reputation and leave us open to penalties, loss of important assets and removal of our right to undertake important activities.

For some compliance areas, you need a good working knowledge of them, and your team

members may also need this. Some areas you must cover. For others, you need awareness that they exist so that if a question arises, you know where to check or who to ask.

The things you are asked to comply with are based on legal requirements and established good practice. They are part of being a professional manager who knows what they are doing and why. Identify those areas that apply to you and look into each one more closely.

What to do

You need to:

1. **Know about** the compliance issues that everyone needs to know about;
2. **Be aware of** the range of other compliance issue that might come into play during your work so you can refer to these and seek advice as and when needed.

The majority of compliance issues relating to management are in one of four generally applicable areas: Health and Safety; Information security; HR; Finance. The table below gives some of the key topics managers need to be aware of. Those starred (*) must be covered by you as soon as possible.

There are others linked to specialised areas of work, such as research or Facilities Management, so it is important to check with your manager about which aspects of compliance are relevant to you and your team and draw up a plan of action to learn about these.

<p>Health and Safety</p> <p>H&S online training *</p> <p>Fire prevention and drills</p> <p>Induction training</p> <p>Work and family issues</p> <p>Work-related stress</p> <p>Slips, trips and falls</p>	<p>Overseas travel</p> <p>Out of hours working</p> <p>Manual handling</p> <p>Incidents and accidents</p> <p>Display screen equipment</p> <p>Ongoing training</p>	<p>HR</p> <p>Equality and diversity *</p> <p>Managing people online course</p> <p>Sickness absence</p> <p>Leave</p> <p>Special leave</p>	<p>Finance</p> <p>Bribery and fraud *</p> <p>Buying goods and services</p> <p>Expenses</p> <p>Gifts and hospitality</p> <p>Conflicts of interest</p> <p>Financial systems (eg Oracle)</p> <p>Budgets and forecasts</p> <p>Sanctions</p> <p>Tax evasion</p> <p>Money laundering</p>
<p>Information and data</p> <p>Information security online training *</p> <p>Data handling rules</p> <p>General Data Protection Regulations (GDPR)</p> <p>Freedom of information requests</p> <p>Anti-trust/fair competition</p>			

WHAT DO YOU NEED TO DO FIRST?

If you're new to Oxford or haven't completed this training recently, you need to do the training on Information Security, Equality & diversity, and Health & Safety, and review the Anti-bribery policy and guidance.

Everyone needs to understand what to do to comply with fundamental processes of managing such as:

- Leave: how to record it, who is entitled to what, how to ensure essential work is always covered.
- Sickness absence: how to prevent it, how to record it, certification, return to work interviews.
- Accident and incident recording
- Fire prevention and drills: escape routes, gathering points, Fire Wardens.
- Slips, trips and falls: the most common accidents in office buildings. If you manage in a different environment, such as a lab, you need to look at lab safety.
- Information security and data handling. It is vital that we get this right from the very start.
- Expenses: if any of your team are travelling or incurring costs.
- Budgets: you may not have one, but your actions and decisions might affect someone who does.

WHAT DO YOU NEED TO DO NEXT?

Once you have completed your essential compliance training and familiarised yourself with those areas deemed important by your manager or by you, look at other areas governed by processes that should be followed so that you won't be caught by surprise – you'll be aware of the issue and be able to find out more; It might be, for example, that your team are due to have their PDRs within the next month, in which case you will need to prioritise this area of your learning. Or it might be that someone is due to work abroad for a week or two and you need to assess the risks and decide if any measures need to be taken to protect them. There are potentially a lot of situations you need to be prepared for. You don't have to have the answer to hand, but you should be aware of what the key issues might be and where to find out more.

SUPPORT

For HR issues, look on HR Support website first; in any doubt, consult your local HR person or administrator. For Equality and diversity awareness and training, consult the [Equality and Diversity Unit's](#) website. For Health and Safety, look at [their website first](#). Contact the H&S office for any clarification needed. For [Information Security and Data Handling](#), see their useful website as well as contact numbers. [Finance](#) also has a wealth of help on their website. Many departments have their own Finance Officer. **This Guide only introduces the area of compliance. Other Guides deal with specific areas such as Buying goods and services, Health and Safety in the workplace and Flexible working.**

Further resources

Links

[Equality and diversity](#) training
[Health and Safety Training](#) page
[University compliance team webpage](#) on data protection/anti-bribery
[Information Security](#) webpage
[Advice and guidance on the HR support website regarding remote working and mental health](#)., especially after Covid 19. If the link has changed, search for 'working remotely' and 'staff well-being'.

[IT Services support](#) on information security
[Finance systems](#) training
[Finance support on expenses](#)
[HR support](#) training
[University policy](#) website

Related guides from this series

- Health and Safety at work
- Flexible and home working
- Buying goods and services
- Managing staff with a disability
- Understanding difference
- Keeping information safe

About this guide

This guide has been developed for staff who have recently taken on the responsibility of managing other staff members. Guides were produced to cover key topics to induct, guide and support managers through key areas of responsibility. These guides are intended to be 'living documents' and will be re-released over time. Please get in touch with feedback and suggestions: pod@admin.ox.ac.uk