

Dated

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The Institute of Operational Risk

POLICY HANDBOOK

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POLICY HANDBOOK

1. INTRODUCTION

- 1.1 This policy handbook sets out the main policies and procedures that you will need to be aware of. You should familiarise yourself with it and comply with it at all times. This policy handbook and access to the relevant UK legislation and standards, upon which this policy handbook is based, will be available to you on the members' area of our website.
- 1.2 As a volunteer organisation the policies and procedures set out in this policy handbook apply to all members (Fellow, Professional, Corporate and Associate), office bearers, stakeholders, employees (if any) and volunteers (**'its people', 'our people', 'you' or 'your'**), unless otherwise indicated. Our people will use their own premises (business or personal) and equipment (laptops, phones, tablets etc.). Where our people attend or use business premises, they shall comply with the policies and procedures in place at those premises from time to time.
- 1.3 The IOR uses third party providers who provide the IOR with services including but not limited to: office support, technology support, event hosting, meeting rooms, training, communications, procedures and education programmes (**third parties**) and works together with local regional membership forums who assist in hosting events, drive membership growth and operationally deliver the strategy agreed by the Council (**Local Chapters**). This policy will apply to third parties, subject to third parties having their own policies in place, and Local Chapters.
- 1.4 The policy handbook forms part of the terms of your relationship with us and should be read in accordance with the Membership Handbook and the Institute of Operational Risk (**IOR**) Code of Conduct.
- 1.5 The IOR is an equal opportunities organisation and does not discriminate on the grounds of gender, sexual orientation, marital or civil partner status, pregnancy or maternity, gender reassignment, race, colour, nationality, ethnic or national origin, religion or belief, disability or age.
- 1.6 The policies in this handbook are in compliance with the nature of the IOR's business model dated June 2016 as amended from time to time (**Business Model**). The Business Model is predicated on a virtual environment, where the IOR has no direct responsibility for or direct control over premises or other physical assets.
- 1.7 **Policy handbook management**
- 1.8 The Policy Handbook is reviewed each year to ensure that its provisions continue to meet our legal obligations and reflect best practices and the policies may be amended from time

to time in accordance with changes to the IOR's Business Model. The review shall be initiated by the Chair of the IOR Council or his nominated delegate.

2. EQUALITY AND DIVERSITY POLICY

2.1 The IOR is committed to promoting equal opportunities within their organisation. Our people and any member applicant will receive equal treatment regardless of age, disability, gender reassignment, marital or civil partner status, pregnancy or maternity, race, colour, nationality, ethnic or national origin, religion or belief, sex or sexual orientation (**Protected Characteristics**).

2.2 About this policy

2.3 This policy sets out our approach to equal opportunities and the avoidance of discrimination. The policy will apply to all of our people and seeks to take an approach to equality and diversity that recognises the nature of IOR's Business Model. It applies to all aspects of membership with us, including appointment of members, conditions, training and education, conduct at our events, disciplinary and grievance procedures, and termination of membership.

2.4 The IOR takes its responsibility for equality and diversity seriously. We recognise the need for encouraging diversity and support a policy of equal opportunities in all areas of our activity and responsibilities.

2.5 The IOR embraces equality and diversity and will seek to promote the benefits of quality and diversity in all of our activities in accordance with the Equality Act 2010 and other relevant UK legislation.

2.6 The IOR has limited control over the actions of its service providers and it expects those providing services to the IOR to comply with this policy and to meet the standards of equality and diversity generally recognised as good practice.

2.7 Discrimination

2.8 IOR shall not unlawfully discriminate against or harass other people including current and former members, member applicants, clients, customers, suppliers, visitors and volunteers. This applies to all our people in the course of any IOR activities, including activities led by Local Chapters.

2.9 The following forms of discrimination are prohibited under this policy and are unlawful:

2.9.1 **Disability Discrimination:** this includes direct and indirect discrimination, any unjustified less favourable treatment because of the effects of a disability, and failure to make reasonable adjustments to alleviate disadvantages caused by a disability.

- 2.9.2 **Direct Discrimination:** treating someone less favourably because of a Protected Characteristic.
- 2.9.3 **Indirect Discrimination:** a provision, criterion or practice that applies to everyone but adversely affects people with a particular Protected Characteristic more than others, and is not justified. For example, requiring a job to be done full-time rather than part-time would adversely affect women because they generally have greater childcare commitments than men. Such a requirement would be discriminatory unless it can be justified.
- 2.9.4 **Victimisation** retaliation against someone who has complained or has supported someone else's complaint about discrimination or harassment.
- 2.9.5 **Harassment:** this includes sexual harassment and other unwanted conduct related to a Protected Characteristic, which has the purpose or effect of violating someone's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for them. Harassment is dealt with further in our Anti-harassment and Bullying Policy.
- 2.10 Our people must be aware of the different forms of discrimination and should act in accordance with this policy.
- 2.11 **Equal Opportunities**
- 2.12 The IOR shall ensure that policies, procedures and practice within the IOR do not discriminate against its people. It is about treating our people fairly and equally regardless of whom they are their background or their lifestyle.
- 2.13 The IOR offers equal opportunities to all of its people through the services that we offer. Our people should not receive less favourable treatment on the grounds of Protected Characteristics.
- 2.14 The IOR seeks to support equal opportunities in terms of class, HIV status, nationality, member status, unrelated criminal convictions or union activities, political, mental health or caring responsibilities. Nor will such persons be disadvantaged by conditions or requirements which cannot be shown to be justifiable.
- 2.15 The IOR will endeavour to deliver services in a way that recognises the importance of an inclusive society that brings opportunities and access, not barriers to individuals. We will make reasonable adjustments to the delivery of our services where possible.

2.16 **Diversity**

2.17 The IOR shall ensure that all of its people are valued as individuals and are able to maximise their potential and contribution to the IOR. The IOR recognises that ignoring the differences that exist between people creates an environment where everyone feels valued for their individual talents and where their skills and competencies are fully utilised.

2.18 The IOR will actively encourage diversity to maximise achievement, creativity and good practice and to bring benefit to individuals and the communities with which we engage.

2.19 The IOR encourages its people to contribute to an environment in which they feel comfortable, expressing how they feel and what they need, knowing they will be treated with respect and that their contribution will be valued.

2.20 **Membership applications and appointment of Fellows:**

2.21 Membership and other selection exercises will be conducted on the basis of merit, against objective criteria that avoid discrimination.

2.22 The IOR seeks to develop a wide and diverse base for its membership. The IOR will not discriminate against any applicants for membership.

2.23 On appointment of Fellows, the panel will take an objective approach to their appointment by considering their skills, knowledge and competencies as described in the Fellow criteria as amended from time to time.

2.24 Members should not be asked questions which might suggest an intention to discriminate on grounds of Protected Characteristics. For example, applicants should not be asked whether they are pregnant or planning to have children.

2.25 **Training and Education**

2.26 The IOR will not discriminate in the provision of training and education programmes.

2.27 The IOR rely on our Local Chapters, wherever their location, to comply with the standards set out in this policy.

2.28 **Local Chapter activity, including events**

The IOR expects that Local Chapters will not discriminate in the provision of their services and in the holding of IOR meetings, events or activities.

2.29 **Disabilities**

If you are disabled or become disabled, we encourage you to tell us about your condition so that we can consider what reasonable adjustments or support may be appropriate.

2.30 **Breaches of this policy**

2.31 We take a strict approach to breaches of this policy, which will be dealt with in accordance with our Disciplinary Procedure. Serious cases of deliberate discrimination may amount to gross misconduct resulting in suspension and ultimately termination of your appointment or membership.

2.32 If you believe that you have suffered discrimination you can raise the matter through our Grievance Procedure or Anti-harassment and Bullying Policy. Complaints will be treated in confidence and investigated as appropriate.

2.33 You must not be victimised or retaliated against for complaining about discrimination. However, making a false allegation deliberately and in bad faith will be treated as misconduct and dealt with under our Disciplinary Procedure.

2.34 The IOR will monitor, where appropriate, statistics on the IOR services and membership in relation to equality and diversity matters.

3. ANTI HARASSMENT & BULLYING POLICY

3.1 About this policy

3.2 The IOR is committed to providing an environment free from harassment and bullying and ensuring all our people are treated, and treat others, with dignity and respect.

3.3 This policy covers harassment or bullying which occurs in the course of any IOR activities, including activities led by Local Chapters, including but not limited to, providing services, hosting events, training, communications, procedures and education programmes. It covers bullying and harassment by our people and also by third parties such as customers, suppliers or visitors to our events.

3.4 What is harassment?

3.5 Harassment is any unwanted physical, verbal or non-verbal conduct that has the purpose or effect of violating a person's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for them. A single incident can amount to harassment.

3.6 It also includes treating someone less favourably because they have submitted or refused to submit to such behaviour in the past.

3.7 Unlawful harassment may involve conduct of a sexual nature (sexual harassment), or it may be related to age, disability, gender reassignment, marital or civil partner status, pregnancy or maternity, race, colour, nationality, ethnic or national origin, religion or belief, sex or sexual orientation. Harassment is unacceptable even if it does not fall within any of these categories.

3.8 Harassment may include, for example:

3.8.1 unwanted physical conduct or "horseplay", including touching, pinching, pushing and grabbing;

3.8.2 unwelcome sexual advances or suggestive behaviour (which the harasser may perceive as harmless);

3.8.3 offensive e-mails, text messages or social media content;

3.8.4 mocking, mimicking or belittling a person's disability.

3.9 A person may be harassed even if they were not the intended "target". For example, a person may be harassed by racist jokes about a different ethnic group if the jokes create an offensive environment.

- 3.10 **What is bullying?**
- 3.11 Bullying is offensive, intimidating, malicious or insulting behaviour involving the misuse of power that can make a person feel vulnerable, upset, humiliated, undermined or threatened. Power does not always mean being in a position of authority, but can include both personal strength and the power to coerce through fear or intimidation.
- 3.12 Bullying can take the form of physical, verbal and non-verbal conduct. Bullying may include, by way of example:
- 3.12.1 physical or psychological threats;
 - 3.12.2 overbearing and intimidating levels of supervision;
 - 3.12.3 inappropriate derogatory remarks about someone's performance;
- 3.13 Legitimate, reasonable and constructive criticism of our people's performance or behaviour, or reasonable instructions given to our people in the course of their membership, will not amount to bullying on their own.
- 3.14 **If you are being harassed or bullied**
- 3.15 If you are being harassed or bullied, consider whether you feel able to raise the problem informally with the person responsible. You should explain clearly to them that their behaviour is not welcome or makes you uncomfortable. If this is too difficult or embarrassing, you should speak to the Chair of Council, who can provide confidential advice and assistance in resolving the issue formally or informally.
- 3.16 If informal steps are not appropriate, or have not been successful, you should raise the matter formally under our Grievance Procedure.
- 3.17 We will investigate complaints in a timely and confidential manner. The investigation will be conducted by someone with appropriate experience and no prior involvement in the complaint, where possible. If necessary, witnesses to the alleged harassment or bullying should be sought and interviewed in an attempt to substantiate the complaint. Details of the investigation and the names of the person making the complaint and the person accused must only be disclosed on a "need to know" basis. We will consider whether any steps are necessary to manage any ongoing relationship between you and the person accused during the investigation.
- 3.18 Once the investigation is complete, we will inform you of our decision. If we consider you have been harassed or bullied by our people or a third party the matter will be dealt with under the Disciplinary Procedure and in some cases may lead to termination of their membership with the IOR or suspension whilst investigations take place. If the harasser or

bully is a third party such as a customer or other visitor, we will consider what action would be appropriate to deal with the problem. Whether or not your complaint is upheld, we will consider how best to manage any ongoing working relationship between you and the person concerned.

3.19 Protection and support for those involved

Anyone who makes a complaint in accordance with this policy or who participates in good faith in any investigation must not suffer any form of retaliation or victimisation as a result. Anyone found to have retaliated against or victimised someone in this way will be subject to disciplinary action under our Disciplinary Procedure.

3.20 Record-Keeping

Information about a complaint by or about an individual may be placed on the individual's personnel file, along with a record of the outcome and of any notes or other documents compiled during the process. These will be processed in accordance with our Data Protection Policy.

4. ANTI-CORRUPTION AND BRIBERY POLICY

4.1 About this policy

4.2 It is our policy to conduct all of our business in an honest and ethical manner. We take a zero-tolerance approach to bribery and corruption and are committed to acting professionally, fairly and with integrity in all our business dealings and relationships.

4.3 Any individual who breaches this policy will face disciplinary action, which could result in the termination of their membership. Any individual who breaches this policy may have their membership terminated with immediate effect.

4.4 Who must comply with this policy?

4.5 This policy applies to our people, including but not limited to our people, Local Chapters and third party representatives and business partners.

4.6 What is bribery?

4.7 **Bribe** means a financial or other inducement or reward for action which is illegal, unethical, a breach of trust or improper in any way. Bribes can take the form of money, gifts, loans, fees, hospitality, services, discounts, the award of a contract or any other advantage or benefit.

4.8 **Bribery** includes offering, promising, giving, accepting or seeking a bribe.

4.9 All forms of bribery are strictly prohibited. If you are unsure about whether a particular act constitutes bribery, raise it with the Chair of the IOR Council.

4.10 Specifically, you must not:

4.10.1 give or offer any payment, gift, hospitality or other benefit in the expectation that a business advantage will be received in return, or to reward any business received;

4.10.2 accept any offer from a third party that you know or suspect is made with the expectation that we will provide a business advantage for them or anyone else;

4.10.3 give or offer any payment (sometimes called a facilitation payment) to a government official in any country to facilitate or speed up a routine or necessary procedure;

4.11 You must not threaten or retaliate against another person who has refused to offer or accept a bribe or who has raised concerns about possible bribery or corruption.

4.12 **Gifts and Hospitality**

4.13 This policy does not prohibit the giving or accepting of reasonable and appropriate hospitality for legitimate purposes such as building relationships, maintaining our image or reputation, or marketing our products and services.

4.14 A gift or hospitality will not be appropriate if it is unduly lavish or extravagant, or could be seen as an inducement or reward for any preferential treatment (for example, during contractual negotiations or a tender process).

4.15 Gifts must be of an appropriate type and value depending on the circumstances and taking account of the reason for the gift. Gifts must not include cash or cash equivalent (such as vouchers), or be given in secret. Gifts must be given in our name, not your name.

4.16 The maximum value of any gift or hospitality must not exceed £50 (or currency equivalent) and must receive prior approval from two Directors of the IOR Council.

4.17 Promotional gifts of low value such as branded stationery may be given to or accepted from existing customers, suppliers and business partners.

4.18 **Record Keeping**

4.19 You must declare and keep a written record of all hospitality or gifts given or received. You must also submit all expenses claims relating to hospitality, gifts or payments to third parties and record the reason for expenditure.

4.20 All accounts, invoices, and other records relating to dealings with third parties including suppliers and customers should be prepared with strict accuracy and completeness. Accounts must not be kept "off-book" to facilitate or conceal improper payments.

4.21 **How to raise a concern**

4.22 If you are offered a bribe, or are asked to make one, or if you suspect that any bribery, corruption or other breach of this policy has occurred or may occur, you must notify the Chair of the IOR Council as soon as possible.

5. DISCIPLINARY AND CAPABILITY PROCEDURE

5.1 About this procedure

5.2 This procedure is intended to help maintain standards of conduct and performance and to ensure fairness and consistency when dealing with allegations of misconduct or poor performance.

5.3 Minor conduct or performance issues can usually be resolved informally within your Local Chapter via your Local Chapter Chair or, if a Local Chapter does not exist within your region, via the IOR Secretariat or a Director of the Council. This procedure sets out formal steps to be taken if the matter is more serious or cannot be resolved informally.

5.4 This procedure applies to all of our people regardless of length of membership.

5.5 Investigations

5.6 Before any disciplinary hearing is held, the matter will be investigated by nominees of the IOR Council who are authorised in writing to deal with grievances by the IOR Council. The nominees must be independent and not be conflicted with the individual or organisation raising the grievance (**Designated Council Representative**).

5.7 Any meetings and discussions as part of an investigation are solely for the purpose of fact-finding and no disciplinary action will be taken without a disciplinary hearing.

5.8 In some cases of alleged misconduct, we may need to suspend you from the IOR while we carry out the investigation or disciplinary procedure (or both). Suspension is not considered to be disciplinary action.

5.9 The hearing

5.10 We will give you written notice of the hearing, including sufficient information about the alleged misconduct or poor performance and its possible consequences to enable you to prepare. You will normally be given copies of relevant documents and witness statements.

5.11 The hearing will be held by a two Designated Council Representatives.

5.12 You may be accompanied at the hearing by a trade union representative or another IOR member (or similar).

5.13 You should let us know as early as possible if there are any relevant witnesses you would like to attend the hearing or any documents or other evidence you wish to be considered.

5.14 We will inform you in writing of our decision, usually within one week of the hearing.

5.15 **Disciplinary action and termination of membership**

5.16 The usual penalties for misconduct or poor performance are:

5.16.1 **Stage 1: First written warning.** Where there are no other active written warnings on your disciplinary record, you will usually receive a first written warning. It will usually remain active for six months.

5.16.2 **Stage 2: Final written warning.** In case of further misconduct or failure to improve where there is an active first written warning on your record, you will usually receive a final written warning. This may also be used without a first written warning for serious cases of misconduct or poor performance. The warning will usually remain active for 12 months.

5.16.3 **Stage 3: Termination or other action.** Your membership or appointment may be terminated for further misconduct or failure to improve where there is an active final written warning on your record, or for any act of gross misconduct. Examples of gross misconduct are given below (paragraph 6).

We may consider other sanctions short of termination of your membership or appointment, including an extension of a final written warning with a further review period.

5.17 **Appeals**

5.18 You may appeal in writing within one week of being told of the decision.

5.19 The appeal hearing will, where possible, be held by the Chair of the IOR Council and a Designated Council Representative other than a Designated Council Representatives who held the original hearing. You may bring an IOR member (or similar) or trade union representative with you to the appeal hearing.

5.20 We will inform you in writing of our final decision as soon as possible, usually within one week of the appeal hearing. There is no further right of appeal.

5.21 **Gross misconduct**

5.22 Gross misconduct will usually result in immediate suspension or termination of IOR membership without warning.

5.23 The following are examples of matters that are normally regarded as gross misconduct:

5.23.1 theft or fraud;

5.23.2 physical violence or bullying;

- 5.23.3 deliberate and serious damage to property;
 - 5.23.4 serious misuse of the organisation's property or name;
 - 5.23.5 deliberately accessing internet sites containing pornographic, offensive or obscene material;
 - 5.23.6 serious insubordination;
 - 5.23.7 unlawful discrimination or harassment;
 - 5.23.8 bringing the organisation into serious disrepute;
 - 5.23.9 serious incapability at work brought on by alcohol or illegal drugs;
 - 5.23.10 causing loss, damage or injury through serious negligence;
 - 5.23.11 a serious breach of health and safety rules;
 - 5.23.12 a serious breach of confidence.
 - 5.23.13 a serious breach of a conflict of interest.
- 5.24 This list is intended as a guide and is not exhaustive.

6. GRIEVANCE PROCEDURE

6.1 About this procedure

6.2 Most grievances can be resolved quickly and informally through discussion with the IOR Council. If this does not resolve the problem you should initiate the formal procedure set out below.

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

6.4 Step 1: Written Grievance

6.5 You should put your grievance in writing and submit it to your Local Chapter head or where the Local Chapter does not exist, the IOR Secretariat. If your grievance concerns your Local Chapter head you may submit it to the IOR Secretariat.

6.6 The written grievance should set out the nature of the complaint, including any relevant facts, dates, and names of individuals involved so that we can investigate it.

6.7 Step 2: Meeting

6.8 We will arrange a grievance meeting, normally within one week of receiving your written grievance. You should make every effort to attend.

6.9 You may bring a companion to the grievance meeting if you make a reasonable request in advance and tell us the name of your chosen companion. The companion may be either a trade union representative or an IOR member (or similar), who will be allowed reasonable time off from duties to act as your companion.

6.10 If you or your companion cannot attend at the time specified you should let us know as soon as possible and we will try, within reason, to agree an alternative time.

6.11 We may adjourn the meeting if we need to carry out further investigations, after which the meeting will usually be reconvened.

6.12 We will write to you, usually within one week of the last grievance meeting, to confirm our decision and notify you of any further action that we intend to take to resolve the grievance. We will also advise you of your right of appeal.

6.13 **Appeal**

6.14 If the grievance has not been resolved to your satisfaction you may appeal in writing to the IOR Council, stating your full grounds of appeal, within two weeks of the date on which the decision was sent or given to you.

6.15 We will hold an appeal meeting, normally within two weeks of receiving the appeal. This will be dealt with impartially by a two Designated Council Representatives who have not previously been involved in the case or a Designated Council Representative and the Chief of the IOR Council. You will have a right to bring a companion.

6.16 We will confirm our final decision in writing, usually within one week of the appeal hearing. There is no further right of appeal.

7. COMPLAINTS POLICY

7.1 About this Policy

7.2 This policy sets out our position for dealing with external complaints against the IOR. The IOR takes its responsibility for service delivery seriously. The IOR recognises that complaints provide vital feedback/information on how the IOR operates, either through direct contact with individuals or organisations or via Local Chapters.

7.3 The procedure for dealing with complaints provides third parties with a fair procedure to complain about our services provided by and to our people.

7.4 The IOR shall ensure that our people are aware of our complaints policy and procedure.

7.5 Procedure

7.6 The IOR aims to settle the majority of complaints quickly and to the satisfaction of all parties. The complaint may be resolved quickly by a simple acknowledgement or apology, by providing a relevant service or by providing a third party with a reasonable explanation.

7.7 A complaint against our services, processes or outcomes can be made orally or in writing to the Director of Operations elected from time to time (**Designated Complaints Officer**). Any complaint made to the Designated Complaints Officer shall be kept confidential where necessary.

7.8 Any complaint, whether oral or in writing, received by the Designated Complaints Officer shall be acknowledged within 7 working days.

7.9 Individuals or organisations who make a complaint addressed to the IOR about any external organisations including (but not limited to) partner organisations (such as accredited study centres or training venues/providers) shall be notified in writing within 7 working days following receipt of the complaint that they must complain directly to the relevant organisation providing the service. The IOR shall provide the third party with the relevant contact details for the organisation, where possible.

7.10 The Designated Complaints Officer will conduct an investigation into the complaint within one week of receipt of the complaint.

7.11 Within 10 working days of receipt of the complaint, the Designated Complaints Officer shall provide the third party with a report in respect of the complaint following the IOR investigation. This may include any actions that have been taken or will be taken to rectify the issue, their right to appeal against the decision and the appeal process.

7.12 **Appeal**

7.13 The third party may appeal the decision made following an investigation by submitting their appeal in writing within 10 working days to the Designated Complaints Officer.

7.14 Any appeal against a decision made concerning the complaints shall be forwarded to a Complaints Panel, which shall comprise of two IOR Council members.

7.15 The Complaints Panel shall review the decision of the Designated Complaints Officer within 10 working days of receipt of the written appeal notice.

7.16 If the third party is not satisfied with the response to their complaint they may seek further clarification from the IOR Council or their nominated representative.

7.17 **Record keeping**

7.18 The IOR shall record, store and manage complaints accurately and in accordance with our Data Protection Policy.

7.19 The IOR shall monitor complaints and use them to improve our services.

7.20 The Designated Complaints Officer shall provide a quarterly report to the IOR Council on the number of complaints, the outcomes of any investigations and any action taken.

7.21 **Designated Complaints Officer Contact Details**

E-mail: send to info@ior-institute.org

Post: sent to Complaints, The IOR, 2 Old College Court, 29 Priory Street, Ware, Herts, SG12 0DE

Telephone: +44 (0)1920 443818

8. HEALTH AND SAFETY POLICY

8.1 About this policy

8.2 This policy sets out our arrangements for ensuring we meet our health and safety obligations to our people when you are taking part in any meeting, event or other activity specifically related to the IOR.

8.3 Where we use Local Chapter premises or facilities we will rely upon their compliance with UK health and safety legislation. We expect those organisations leading IOR events, meetings or activities to appropriately satisfy themselves of this conformance.

8.4 Your responsibilities

8.5 You share the responsibility for achieving safe working conditions. You must take care of your own health and safety and that of others, observe applicable safety rules and follow instructions for the safe use of equipment.

8.6 You should report any health and safety concerns immediately to your Local Chapter Head or where there is none, to the Director of Risk and Compliance as appointed from time to time.

8.7 You must co-operate with your IOR Contact on health and safety matters, including the investigation of any incident.

8.8 Failure to comply with this policy may be treated as misconduct and dealt with under our Disciplinary Procedure.

8.9 Information and consultation

We will inform and consult your trade union or your elected IOR events, meetings or activity safety representatives regarding health and safety matters.

8.10 Training

8.11 We will ensure that you are given adequate training and supervision to perform your activities competently and safely.

8.12 We expect that third parties leading IOR events, meetings or activities have policies and procedures in place for the health and safety of all those attending.

8.13 **Equipment**

8.14 You must use equipment in accordance with any instructions given to you. Any equipment fault or damage must immediately be reported to your IOR Contact. Do not attempt to repair equipment unless trained to do so.

8.15 **Accidents and first aid**

8.16 Details of first aid facilities and the names of trained first aiders should be displayed on the notice boards at relevant IOR events, meetings or activities.

8.17 **Disability**

8.18 We will only hold IOR events, meetings or activities at venues which are accessible, provide appropriate facilities and are safe to the disabled.

8.19 **Fire safety**

8.20 All members should familiarise themselves with the fire safety instructions (which should be displayed on notice boards and near fire exits) at IOR events, meetings or activities.

8.21 If you hear a fire alarm, leave the building immediately by the nearest fire exit and go to the fire assembly point shown on the relevant fire safety notices.

8.22 **Risk assessments and measures to control risk**

8.23 We carry out general workplace risk assessments in relation to our IOR activities, meetings and events. The purpose is to assess the risks to health and safety of our people, visitors and other third parties as a result of our activities, and to identify any measures that need to be taken to control those risks.

8.24 The review or risk assessment may include the provision of food and drink.

8.25 **Smoking**

8.26 Local Chapter venues in the UK should be smoke-free in accordance with the Health Act 2006 and associated regulations. Our people and visitors in the UK have the right to a smoke-free environment.

8.27 **Computers and display screen equipment**

8.28 If you use a computer screen or other display screen equipment (**DSE**) as a significant part of your work, you should complete an annual workstation assessment and get regular eyesight tests by an optician.

9. SUBSTANCE MISUSE POLICY

9.1 We are committed to providing a safe, healthy and productive working environment. This includes ensuring that our people are fit to carry out activities safely and effectively in an environment which is free from alcohol and drug misuse.

9.2 Alcohol and drugs

9.3 The IOR expects its people will not be under the influence of alcohol, drugs or other substance whilst attending undertaking meetings, events or activities on behalf of, or related to, the IOR.

9.4 Where office bearers are using prescribed drugs which may impact on their contribution to the IOR, they should advise the Chair of the IOR Council. Information provided will be handled in confidence and with the utmost discretion.

9.5 The IOR expects its people who are drinking alcohol to behave properly at all times. We will generally avoid giving alcohol as gifts or tokens of appreciation.

9.6 Providing support

9.7 Procedures for the handling of addictive abuse fall within the remit of the IOR Code of Conduct.

9.8 Alcohol and drug-related problems may develop for a variety of reasons and over a considerable period of time. We are committed, in so far as possible, to treating these problems in a similar way to other health issues. We will provide support where possible with a view to a return to full duties. This may include:

9.8.1 Referral to appropriate treatment providers, where necessary in conjunction with your GP.

9.8.2 Recognition of any periods of absence for such treatment.

9.8.3 Adjusting your duties or membership or other support during treatment and for an agreed period thereafter, subject to operational requirements and feasibility.

9.9 Breaches of this policy

9.10 If you agree to undertake appropriate treatment and/or rehabilitation for an acknowledged alcohol or drug-related problem, we may decide to suspend any ongoing disciplinary action against you for related misconduct, pending the outcome of the treatment.

- 9.11 If the IOR finds that you are in breach of this policy, the IOR reserves the right to:
- 9.11.1 suspend your IOR membership;
 - 9.11.2 terminate your IOR membership; or
 - 9.11.3 take appropriate disciplinary action in accordance with our Disciplinary Procedure.

10. FAIR PROCESSING NOTICE (MEMBER DATA)

10.1 About this policy

On becoming a member and during the course of your membership with the IOR we may process personal data (which may be held on paper, electronically, or otherwise) about you and we recognise the need to treat it in an appropriate and lawful manner, in accordance with the UK Data Protection Act 1998 (DPA). The purpose of this notice is to make you aware of how we will handle your personal data.

10.2 Data Protection Principles

10.3 We will comply with the eight data protection principles in the DPA, which say that personal data must be:

10.3.1 Processed fairly and lawfully.

10.3.2 Processed for limited purposes and in an appropriate way.

10.3.3 Adequate, relevant and not excessive for the purpose.

10.3.4 Accurate.

10.3.5 Not kept longer than necessary for the purpose.

10.3.6 Processed in line with individuals' rights.

10.3.7 Secure.

10.3.8 Not transferred to people or organisations situated in countries without adequate protection.

10.4 "Personal data" means recorded information we hold about you from which you can be identified. It may include contact details, other personal information, photographs, expressions of opinion about you or indications as to our intentions about you. "Processing" means doing anything with the data, such as accessing, disclosing, destroying or using the data in any way.

10.5 Fair and lawful processing

10.6 We will usually only process your personal data where you have given your consent or where the processing is necessary to comply with our legal obligations. In other cases, processing may be necessary for the protection of your vital interests, for our legitimate interests or the legitimate interests of others. The full list of conditions is set out in the DPA.

10.7 We will only process "sensitive personal data" about ethnic origin, political opinions, religious or similar beliefs, trade union membership, health, sex life, criminal proceedings or convictions, where a further condition is also met. Usually this will mean that you have given your explicit consent, or that the processing is legally required for employment purposes. The full list of conditions is set out in the DPA.

10.8 **How we are likely to use your personal data**

10.9 We will process data about our people for legal, personnel, administrative and management purposes and to enable us to meet our legal obligations as an organisation, for example to monitor your membership with the IOR.

10.10 We may process sensitive personal data relating to our people including, as appropriate:

10.10.1 information about an individual's physical or mental health or condition;

10.10.2 the individual's racial or ethnic origin or religious or similar information in order to monitor compliance with equal opportunities legislation;

10.10.3 in order to comply with legal requirements and obligations to third parties.

10.11 **Processing for limited purposes**

We will only process your personal data for the specific purpose or purposes notified to you or for any other purposes specifically permitted by the DPA.

10.12 **Adequate, relevant and non-excessive processing**

Your personal data will only be processed to the extent that it is necessary for the specific purposes notified to you.

10.13 **Accurate data**

We will keep the personal data we store about you accurate and up to date. Data that is inaccurate or out of date will be destroyed. Please notify us if your personal details change or if you become aware of any inaccuracies in the personal data we hold about you.

10.14 **Data retention**

We will not keep your personal data for longer than is necessary for the purpose. This means that data will be destroyed or erased from our systems when it is no longer required.

10.15 **Processing in line with your rights**

10.16 You have the right to:

10.16.1 Request access to any personal data we hold about you.

10.16.2 Prevent the processing of your data for direct-marketing purposes.

10.16.3 Ask to have inaccurate data held about you amended.

10.16.4 Prevent processing that is likely to cause unwarranted substantial damage or distress to you or anyone else.

10.16.5 Object to any decision that significantly affects you being taken solely by a computer or other automated process.

10.17 **Data security**

10.18 We will ensure that appropriate measures are taken against unlawful or unauthorised processing of personal data, and against the accidental loss of, or damage to, personal data.

10.19 We have in place procedures and technologies to maintain the security of all personal data from the point of collection to the point of destruction. We will only transfer personal data to a third party if he agrees to comply with those procedures and policies, or if he puts in place adequate measures himself.

10.20 Maintaining data security means guaranteeing the confidentiality, integrity and availability (for authorised purposes) of the personal data.

10.21 **Providing information to third parties**

We will not disclose your personal data to a third party without your consent unless we are satisfied that they are legally entitled to the data. Where we do disclose your personal data to a third party, we will have regard to the eight data protection principles.

10.22 **Subject access requests**

If you wish to know what personal data we hold about you, you must make the request in writing, with an accompanying fee of £10. All such written requests should be forwarded to the IOR Secretariat.

10.23 Breaches of data protection principles

If you consider that the data protection principles have not been followed in respect of personal data about yourself or others you should raise the matter with your line manager. Any breach of the DPA will be taken seriously and may result in disciplinary action.

11. IT & COMMUNICATIONS POLICY

11.1 **About this policy**

11.2 Our IT and communications systems are intended to promote effective communication and working practices. This policy outlines the standards you must observe when using these systems, when we will monitor their use, and the action we will take if you breach these standards.

11.3 Breach of this policy may be dealt with under our Disciplinary Procedure.

11.4 **Equipment security and passwords**

11.5 You are responsible for the security of the equipment allocated to or used by you, and you must not allow it to be used by anyone other than in accordance with this policy. You should use passwords on all IT equipment, particularly items that you take out of the office. You should keep your passwords confidential and change them regularly.

11.6 You must only log on to our systems using your own username and password. You must not use another person's username and password or allow anyone else to log on using your username and password.

11.7 If you are away from your desk you should log out or lock your computer. You must log out and shut down your computer at the end of each working day.

11.8 **Email**

11.9 You may adopt the use of an IOR email address. This email address should only be used for specific IOR business activity and not for personal or other business use. Where IOR email addresses are not available to you, then the same standards in this policy apply to the personal or business emails used as an alternative.

11.10 You should adopt a professional tone and observe appropriate etiquette when communicating with third parties through your IOR email address.

11.11 Remember that e-mails can be used in legal proceedings and that even deleted e-mails may remain on a system and are capable of being retrieved.

11.12 You must not send abusive, obscene, discriminatory, racist, harassing, derogatory, defamatory, pornographic or otherwise inappropriate e-mails from IOR email addresses.

11.13 You should not:

11.13.1 send or forward private e-mails at work which you would not want a third party to read;

- 11.13.2 send or forward chain mail, junk mail, cartoons, jokes or gossip;
 - 11.13.3 contribute to system congestion by sending trivial messages or unnecessarily copying or forwarding e-mails to others who do not have a real need to receive them; or
 - 11.13.4 send messages from another person's IOR e-mail address (unless authorised) or under an assumed name.
- 11.14 **Prohibited use of our systems**
- 11.15 Misuse or excessive personal use of our telephone or IOR e-mail address or inappropriate will be dealt with under our Disciplinary Procedure.
- 11.16 Creating, viewing, accessing, transmitting or downloading any of the following material will usually amount to gross misconduct (this list is not exhaustive):
- 11.16.1 pornographic material (that is, writing, pictures, films and video clips of a sexually explicit or arousing nature);
 - 11.16.2 offensive, obscene, or criminal material or material which is liable to cause embarrassment to us or to our clients;
 - 11.16.3 a false and defamatory statement about any person or organisation;
 - 11.16.4 material which is discriminatory, offensive, derogatory or may cause embarrassment to others (including material which breaches our Equal Opportunities Policy or our Anti-harassment and Bullying Policy);
 - 11.16.5 confidential information about us or any of our people (except as authorised in the proper performance of your duties);
 - 11.16.6 unauthorised software;
 - 11.16.7 any other statement which is likely to create any criminal or civil liability (for you or us); or
 - 11.16.8 music or video files or other material in breach of copyright.

12. SOCIAL MEDIA POLICY

12.1 About this policy

12.2 This policy is in place to minimise the risks to our business through use of social media.

12.3 This policy deals with the use of all forms of social media, including Facebook, LinkedIn, Twitter, Google+, Wikipedia, Whisper, Instagram, Vine, Tumblr and all other social networking sites, internet postings and blogs. It applies to use of social media for business purposes as well as personal use that may affect our business in any way.

12.4 Prohibited Use

12.5 You must avoid making any social media communications that could damage our business interests or reputation, even indirectly.

12.6 You must not use social media to:

12.6.1 defame or disparage us, our people or any third party;

12.6.2 to harass, bully or unlawfully discriminate against our people or third parties;

12.6.3 to make false or misleading statements; or

12.6.4 to impersonate IOR members or third parties.

12.7 You must not express opinions on our behalf via social media, unless expressly authorised to do so by the IOR Council.

12.8 You must not post comments about sensitive IOR-related topics, such as our performance, or do anything to jeopardise our trade secrets, confidential information and intellectual property. You must not include our logos or other trademarks in any social media posting or in your profile on any social media.

12.9 Guidelines for responsible use of social media

12.10 If you disclose your affiliation with us on your profile or in any social media postings, you must state that your views do not represent those of the IOR (unless you have been authorised to speak on our behalf as set out in paragraph 12.7).

12.11 If you are uncertain or concerned about the appropriateness of any statement or posting, refrain from posting it until you have discussed it with the IOR.

12.12 If you see social media content that disparages or reflects poorly on us, you should contact the IOR secretariat.

12.13 **Breach of this policy**

12.14 Breach of this policy may result in disciplinary action up to and including termination of your membership. Anyone suspected of committing a breach of this policy will be required to co-operate with our investigation.

12.15 You may be required to remove any social media content that we consider to constitute a breach of this policy. Failure to comply with such a request may in itself result in disciplinary action.