

30% Club Financial Services Sub-committee Sample Policies

Open Source Policy Bank



This bank serves to act as a reference point for 30% Club members when forming their Diversity & Inclusion policies.

We have a number of policies from companies within the financial services industry. Within the policy bank, we have divided these policies into similar themes.

From these policies, we have identified the key themes included within each policy topic.

This section includes 2 Agile Working Policies and 2 Flexible Working Policies

Top 5 things to include in company policies



Agile / Flexible hours working policy (we are providing 3 policy examples)

1. To whom it applies
2. What is included as agile / flexible working e.g. hours, location,
3. Process for applying or agreeing new arrangements
4. Limitations / restrictions to the policy
5. Legal and other company requirements

Diversity / Equality policy (we are providing 4 policy examples)

1. To whom it applies
2. Ways in which the company offers equal opportunities for all
3. Merit based progression opportunities
4. Support of those with disability
5. Company response to reported discrimination

Maternity Leave policy (we are providing 3 policy examples)

1. Doctor appointments, antenatal class and post natal support
2. Paid and unpaid leave timeframes
3. Annual leave and public holiday entitlements
4. Legal entitlements
5. Early births, deaths and other considerations during leave

Top 5 things to include in company policies



Paternity leave policy (we are providing 3 policy examples)

1. Qualifying for leave
2. Leave Entitlements
3. Applications to the Department of Social Protection
4. Stipulations of the leave policy
5. Early births, deaths and other considerations during leave

Parental leave policies (we are providing 3 policy examples)

1. Qualifying for leave
2. Statutory entitlements
3. Public holidays and annual leave
4. Application procedure
5. Illness and other reasons for suspension or postponement of leave

Other policy examples available

1. Compassionate / Force Majeure / Emergency Family Leave
2. Well Being Policy
3. Dignity Policy

Additional Case Studies available

1. Flexible working
2. Gender balance
3. Equal opportunities

Agile Working Policy – Sample 1



Policy Statement

Work is about what we do, not just about where we go. Our aim is to provide a modern and supportive work environment where the leadership, physical space, technology and work practises ensure that we can give of our best at any time or any place. Managed in an agile way that helps us combine our lives and our work in an integrated and rewarding way, that ensures collaboration with our colleagues, service to our customers and delivery of personal high performance

Scope

This policy applies to all X employees, subject to local business arrangements

Standards

Agile working requirements typically centre around where you do your work, at what time of the day and how performance is measured through outcomes. Individual decisions on how to make this work happen through quality conversations between you and your People Leader, with each trusting the other to commit to making it work effectively. The following standards are designed to cover all forms of Agile working, whether based on greater agility around time or location. In some cases where Agile working is outside of an X location, other provisions may also apply, and are listed below.

- Agile working is where you and your People Leader agree that your work can be self- managed, typically in a location other than your base, which may be another X building; or from home. It can also include working times outside of the standard working day.
- This type of working arrangement is about trust and flexibility - you and your People Leader will agree the terms of the Agile Working arrangement locally.
- Agile arrangements may not be suitable for all roles or for all individuals and must take account of business and customer needs— use the supporting guidelines for agile workers _to help come to the right decision. While our first intent should be to achieve as much flexibility as possible, ultimately the final decision will rest with your People Leader.
- All arrangements must comply with the requirements of the Working Time Act
- All arrangements, whether full time or part-time should allow for a maximum contracted working day of x hours.
- You will ensure the security of any X or customer information and only work on X business using the approved X remote access systems. X will provide the security fob for you to access remotely.
- You should keep to a minimum the amount of paperwork that you carry with you or take home for work. The extent of physical files that can be removed from your base should be agreed with your People Leader. Typically paper files that relate to customers or sensitive business topics, should not be carried out.
- You'll be responsible for any costs relating to the set up and running of your Agile Working arrangement outside of an X location

Agile Working Policy – Sample 2



Standards cont'd

- If working from home you will provide and maintain your own furniture, IT and communications equipment.
- If you have to travel to your normal base for meetings from your agile location, expenses do not apply.
- Agile working locations are restricted to the tax jurisdiction in which your role is normally based.
- Agile working arrangements should be reviewed on a regular basis to ensure that they are working for everyone involved, and may be withdrawn at any time if it's appropriate to do so. Typically this should happen at all performance management discussion points.
- There is no requirement to record centrally that you and your leader have agreed a more agile arrangement, except where you plan to regularly work away from an X location for three days a week or more, whether at home or another building, in which case the following also apply;
- You'll need to complete a short form confirming the arrangements agreed with your people leader and return it to HR direct as soon as possible
- You will need to undertake a Health & Safety course and then complete and return a Health & Safety risk assessment form confirming the suitability of the base to be used as a regular work location.
 - The Health & Safety course must be completed before the arrangement commences.
 - If it's a long term arrangement, then this risk assessment form will need to be completed and returned annually and you'll be responsible for this return.
- You will need to notify your home insurer (or other interested parties) about your Agile Working arrangements and ensure that all requirements they may have are satisfied.

Guidelines

Agile working offers great individual benefit, and the following guidelines can help make it more effective.

Be conscious of making yourself available for regular items such as team meetings, either in person or by phone as agreed with your people leader.

If you choose to work outside of the normal day, remember others may still follow that pattern so keep that in mind if you need help or are sending mails/requests for work.

You should aim to come to work at your base at least once a week.

Limit your work to a maximum of the standard working day in any 24 hour period, and remember to take rest breaks.

To avoid any confusion, you and your people leader should agree any times where you are expected to make yourself available for contact with colleagues or for meetings.

Don't forget to maintain your time and attendance/holiday/sick leave records on the on-line portal.

Remember to always be aware of your own personal security, and don't use your home address for any correspondence or meetings.

Flexible Reduced Hours Policy – Sample 1



Introduction

The purpose of this policy is to provide clear principles and standards around the granting of flexible reduced hours working options.

Scope

This policy applies to all those working for the organisation.

Policy Statement

We support diversity within our organisation and as such we recognise that you may need flexibility in your work patterns at certain times in your career when balancing priorities between your personal and work life. This policy is designed to help you achieve this balance.

The granting of reduced hours options is at the discretion of the organisation and based on the criteria below.

Please be aware that those working on a reduced hour's option will be subject to the pro-rating of remuneration, pensions and all other benefits, unless specified otherwise.

Standards

You are eligible to apply provided you have a minimum of 26 weeks continuous service and completed your probationary period

All applications will be considered on a case by case basis, carefully taking into account:

- the suitability of the position
- the resourcing needs of the unit
- potential impacts on customer relationships
- other applications already pending within the business area
- The standard reduced hours period is a fixed period of between 12 and 36 months (completed in units of 1 month blocks), but where you are due to return from maternity/adoptive leave the period can be shorter and you may apply for a fixed period of between 1 and 36 months to begin immediately after maternity/adoptive leave
- You can apply either to reduce your hours worked per day or reduce the number of full days worked per week, subject to a minimum working week of 14.8 hours
- At the end of the flexible reduced hours contract you will return to full time hours unless a *new application* has been submitted and approved

Flexible Reduced Hours Policy – Sample 1



Guidelines

- You will need to submit your application to your People Leader at least 6 weeks in advance of the proposed start date.
- You will receive the Terms and Conditions by way of a formal written offer.
- During the period of flexible reduced hours, your remuneration and benefits will be pro-rated except in cases of parental leave reduced hours where annual leave continues to accrue as normal.
- Your reduced hours arrangements will operate within the core hours of 8am to 6pm except in locations where formal extended operating hours apply.
- The maximum number of contracted hours that can be set in a single working day will be one fifth of the standard working week within the unit.
- Your period of flexible reduced hours will have a contractual start and finish date and will not be suspended for any absence. However if you are on long term leave of any type at the end date of the agreed period (including sick leave, special absence, or statutory leave), the reduced hours arrangement will be extended until the date of return to work at which point it will expire.
- In cases where significant compassionate grounds apply, the organisation reserves the right to allow you to terminate the reduced hours arrangement early.
- Where it is not feasible to agree a request locally, the decision will be referred to a more senior people leader for broader consideration. If your request is declined you may ask your people leader to diary your request for local review for a period of 6 months as there may be capacity to grant your request within that time. If after six months it is still not feasible the request will expire.
- The organisation reserves the right to ask for a return to full time employment for 18 months before a second flexible working option is considered.
- You will continue to be afforded suitable development opportunities within your work location.
- Where you are on a reduced hours contract, you will still need to maintain any relevant accreditation
- While on flexible reduced hours you can still apply for advertised vacancies. However should you be successful, it will be presumed that the appointment will be on a full time basis unless otherwise agreed by the business
- Where you are on parental leave reduced hours and are scheduled to work on a bank holiday you will automatically be paid for those scheduled hours. Where you are not scheduled to work on the bank/public holiday you should claim 1/5 of your parental leave working week hour as additional hours on the online portal.

Flexible Working Policy – Sample 2



This document sets out the company policy on flexible working arrangements which may be available for employees subject to such arrangements (involving non-standard working hours) being applied for and approved by the company. A flexible working arrangement (referred to in this policy as Flexitime) is an arrangement agreed by the company whereby an employee is permitted to vary their hours of work, or to work reduced hours as an alternative to the company standard working hours provided they work an agreed total number of hours over a given period.

The company reserves the right to review, revise, amend, or replace the contents of this policy and to introduce new policies and procedures from time to time to reflect the changing needs of the Agency. In cases where policies and procedures may be out of line with relevant legislation, the relevant legislation always takes precedence.

3.1. Purpose of Flexible Working Arrangements (Flexitime)

The company is committed to developing a workplace culture that promotes a healthy work-life balance and understands that an employee may want to work hours that vary from standard hours for a variety of reasons and for a specified period of time.

Requests for flexible working arrangements will be given reasonable consideration and may, at the company's discretion, be accommodated where practicable, subject always to the overriding considerations of ensuring the provision of the company services, the maintenance of service quality, and the business needs of the Agency and the relevant Business Unit or Corporate Function to which an employee is assigned.

4. SCOPE

This policy applies to all employees of the company. An employee of the company is defined as anyone who has a contract of employment with the company (including without limitation a fixed term or specified purpose contract) regardless of the entity or Business Unit within which they are assigned to work, and regardless of the hours they work.

An employee (other than an employee who is subject to disciplinary action or working under a personal improvement plan as set out in the company Disciplinary Procedure) will be eligible to apply for Flexitime if they have completed 12 months' continuous service with the company. An employee who is subject to disciplinary action or working under a personal improvement plan as set out in the company Disciplinary Procedure will be eligible to apply for Flexitime after 12 months satisfactory performance has been completed.

Flexible Working Policy – Sample 2



5. POLICY

5.1. General Policy

In general the company employees are required to work standard working hours as detailed in section 6.2 below, unless stated otherwise in their individual contract of employment or unless formally approved for Flexitime in accordance with this policy.

5.2. The Company Standard Working Hours

The company standard working week is 36.25 hours per week. The standard working hours are 9.00 am to 5.30 pm, Monday through Friday, with 1 hour 15 minutes for lunch break which can be taken anytime between 12:30 pm and 2 pm.

5.3. Types of Flexitime

5.3.1. Variable Work Time Arrangements

An employee may make an application to vary their normal hours of work by proposing to:

i. change the times they attend work by varying the starting and finish times and/or the duration of the lunch-break on a particular day or days, but continue to work a total of 36.25 hours per week.

Such changes may be proposed provided that a lunch-break must be a minimum of 1 hour per day except where the working day is a half-day i.e. 4 hours or less.

5.3.2. Part Time Work Arrangements

An employee may make an application for part time work by proposing to:

i. reduce the total hours worked per week by a maximum of 2 full days or up to 5 half days per week, or reduced hours provided at least 4 hours are worked on any working day.

If approved, a part time working arrangement may be put in place for a maximum of 12 months but may be extended on a year to year basis by mutual agreement between the company and the relevant employee. During any 12 month period in which a part time work arrangement applies, the arrangement can be reviewed and terminated at the request of the company or the relevant employee by giving one month's notice to the other.

5.3.3. Purchased Leave

An employee can make an application for purchased leave by proposing to:

ie. take up to a maximum of an additional four weeks (20 working days) leave per year by adjusting their salary to reflect the purchase of these days.

Flexible Working Policy – Sample 2



5.4. Salary / Benefits Pro-Rata adjustments

When a request for Flexitime, which involves a reduction in an employee's contracted working hours, is made and approved this will result in a pro rata reduction of salary and benefits in accordance with the number of hours agreed to be worked under the Flexitime arrangement by the employee.

5.5. Parameters for considering Flexitime applications

Consideration will be given to all Flexitime applications, having regard for the individual circumstances of each case and may be granted where it is deemed that the arrangement can be accommodated without, in the opinion of the company, significantly impacting the delivery or quality of services and without undue impact on colleagues.

See section 5.9 for further details of the considerations which may be taken into account by the company in assessing an application for Flexitime.

5.6. Making a Flexitime Application – Process and timeframe

An employee must first discuss a proposal to apply for Flexitime with the relevant Line Manager. Thereafter, the employee can submit an application in writing to the SHRBP (see Appendix 1 for Flexitime Application Form). The employee must state the type of Flexitime arrangement requested and the variations in days/hours requested under the Flexitime arrangement, and request an effective date for the proposed changes. The employee must outline how the new arrangements might work in the context of their assigned business unit or corporate function as a whole.

5.7. Flexitime Application – timeframes

An employee must apply for a Flexitime arrangement at least 6 weeks before the proposed commencement of the Flexitime arrangement. The Line Manager will liaise with the SHRBP and respond to the employee request no later than 4 weeks from the receipt of the application. If the Line Manager needs more time to make a decision, they will discuss this with the employee. Any extensions to the time limits referred to in this section 6.7 above will be agreed with the employee and recorded in writing.

The Line Manager and/or the SHRBP may request a meeting with the employee to discuss the application and the business needs considerations before making a decision.

Flexible Working Policy – Sample 2



5.8. Application for Flexitime is granted

If an application is approved, or where the company proposes an alternative to the requested work pattern which is agreed by the employee, the SHRBP will confirm details of the new working arrangements including any trial period, changes to the employee's contract of employment and the effective dates to the employee in writing. The employee will be asked to accept the Flexitime arrangement and any consequential changes to their terms and conditions of employment by signing and returning a copy of the letter and a copy will be placed in the employee's personnel file.

5.9. Refusal of a request for Flexitime

If the Line Manager cannot accept the employee's request, they will write to the employee setting out the clear business grounds applicable to the refusal. The company may refuse an employee's application where one or more of the following grounds apply. This list is not exhaustive:

- a. Burden of additional costs;
- b. Detrimental impact on performance, quality or service or customer demand;
- c. Inability to re-organise work among existing staff or to recruit additional staff;
- d. Insufficiency of work during the periods the employee proposes to work;
- e. Planned structural changes.

Additionally, it is the company policy that no more than 5% of the company workforce (excluding employees on Parental Leave) will be approved for Flexitime at any given time. Where appropriate, a request may be placed on a waiting list for reconsideration at a later stage.

5.10. Complaints or Appeals

Any complaint or grievance regarding flexible working should be made as outlined in the company Grievance Procedure

5.11. Contractual Status of Changes

The company reserves the right to withdraw approval that has been given for Flexitime in the event that it considers that the business needs so require. Where possible, 1 months' notice will be given.

Any request for Flexitime, which is granted, will result in a variation to the employee's terms and conditions of employment for the duration of the agreed Flexitime arrangement.

Flexible Working Policy – Sample 2



6. BREACH OF POLICY

Where an employee is found to be in breach of this policy, they may be subject to the company disciplinary procedure.

7. QUERIES

Any queries in relation to this policy should be raised with the Head of HR.