

PROCEDURES MANUAL

Policy Documents Ethics Policy Section 1040

Case Communications Ltd

Controlled Document

This Quality Manual is the property of Case Communications Ltd and may not be copied in whole or part without the prior consent of the Directors, in writing.

This document does not form part of any contract and is not intended to imply any representations or warranty. Case Communications Ltd reserves the right to amend its procedures from time to time in order to comply with individual contract requirements.

Document Author Peter Walker	APPROVED BY Jan Corbett	Original Date 18.10.2005	Issue 1.2
---------------------------------	----------------------------	-----------------------------	-----------

Section	Last update	Author	Approved By	Ethics Policy	ISSUE	PAGE
1040	August 15	Peter Walker	Jan Corbett	Case Communications Quality Manual	1.2	1 of 7

INDEX

<u>Paragraph</u>	<u>Subject</u>	<u>Page</u>
1.1	Relationships with others	3
1.2	Relationships with others	3
1.3	Impact on the environment	3
1.4	Who is covered by the policy.	4
1.5	What ethics mean to Case Communications	4
1.6	Ethics shape our view of the world	4
1.7	Responsibility for ensuring the Ethics Policy is carried out.	4
1.8	An Ethics Board and monitoring procedures	4
1.9	Communicating the policy	4
1.10	Reviews	4

Ethical Employment Base Code

2	Employment if freely chosen	5
3	Freedom of association and the right to collective bargaining	5
4	Working conditions are safe and hygienic	5
5	Child labour shall not be used	5
6.	Living wages are paid	6
7.	Working hours are not excessive	6
8.	No discrimination is practised	7
9	Regular employment is provided	7
10.	No harsh or inhumane treatment is allowed	7

Section	Last update	Author	Approved By	Ethics Policy	ISSUE	PAGE
1040	August 15	Peter Walker	Jan Corbett	Case Communications Quality Manual	1.2	2 of 7

1 Ethics Policy Introduction

This policy sets out our guiding principles on ethics and how we will manage ethical issues in Case Communications. This policy applies to all aspects of our governance, policy, research, commercial, operational and administrative activities.

1.1. Relationships with others

- Relationships with government, the private sector and other funders are open and explicit.
- We respect cultural differences.
- We deal courteously with those who hold opinions that differ from ours.
- Colleagues, stakeholders, customers and suppliers are always treated respectfully and fairly.

1.2. How We Work

- We operate with honesty and integrity in all areas of our work.
- We are open and transparent in making decisions, undertaking activities and allocating funding; if we cannot be, we explain why.
- We work independently of external pressure but are alert to the possibility of internal partiality.
- We work to the standards of UK legislation wherever we are, unless local standards are more stringent.
- We disclose conflicts of interest and actively manage them.
- All our funding decisions are fair, transparent and securely based on defined assessment and selection procedures.
- The intellectual contributions of others are always respected, acknowledged and honoured.
- Potential ethical challenges arising from new or risky research at the limits of our knowledge are considered and debated with stakeholders and society at an early stage.

1.3. Impact on the environment

- The impacts of our decisions and work on the natural environment, on people and animal welfare, are assessed and minimised.
- We always weigh the likely impacts of the work against the expected benefits in the context of contributing positively to sustainable development.

Section	Last update	Author	Approved By	Ethics Policy	ISSUE	PAGE
1040	August 15	Peter Walker	Jan Corbett	Case Communications Quality Manual	1.2	3 of 7

1.4. Who is covered by the policy.

The policy covers all CASE COMMUNICATIONS LTD staff – in all of our Offices and Centres. We require those organisations whose staff or students receive funding from us to adhere to the policy. We expect those who serve on our decision-making bodies to do the same. All those covered by the policy are personally accountable for operating within the scope and intent of the policy. We wish organisations that we work with to respect our ethical positions.

1.5. What ethics mean to Case Communications

Ethic - A moral principle or set of moral values held by an individual or group.

1.6. Ethics shape our view of the world

Values and ethics shape the way we view the world and how we behave in it. The purpose of this policy and our statements is to provide guidance to staff, fund holders and advisers in assessing the many and sometimes complex decisions they have to make. It will also signal to users and observers of Case Communications that they can have confidence in what we do and the way that we do it.

1.7. Responsibility for ensuring the Ethics Policy is carried out.

All those covered by the policy are responsible for ensuring that activities for which they are responsible comply with this policy. Concerns about research applications, operational activities or breaches of the ethical policy should be raised with line managers in the first instance. Existing mechanisms within the organisation should be used to resolve concerns or refer onwards as appropriate. Serious or unresolved concerns should be referred to the Ethics Board.

1.8. An Ethics Board and monitoring procedures

The Ethics Board will be a small team comprising the Chief Executive, one member from Council and one from the Case Communications Executive Board. Serious issues or breaches of the policy may be referred to the Board at any time, which may then convene, with appropriate additional expertise if needed, to consider the issue. The Board's decision will be final and it will have power to take action it deems necessary. The Board will be accountable to the Chairman of Case Communications.

An annual review will be carried out by Directors through the normal audit procedures to ensure our ethical policy is being applied consistently.

1.9. Communicating the policy

The policy will form part of the NERC induction process and adhering to the policy will be part of everyone's terms of employment. New members of NERC's decision-making bodies will be made aware of the policy and their responsibilities in relation to it. Those receiving grants, funding or fellowships from NERC will be made aware of the requirements as part of the application and confirmation procedures.

1.10. Reviews

This policy, and the principles, will be regularly reviewed, in the light of experience. They will also be kept consistent with any ethical code that Research Councils UK may develop. Comments and contributions from staff, stakeholders and the public with regards to this policy or the statement are welcome at any time.

Section	Last update	Author	Approved By	Ethics Policy	ISSUE	PAGE
1040	August 15	Peter Walker	Jan Corbett	Case Communications Quality Manual	1.2	4 of 7

Ethical Employment Base Code

This document was updated in August 2015 to reflect the working conditions of people employed by Case Communications suppliers and sub-contractors

2. Employment is freely chosen

1.1 There is no forced, bonded or involuntary prison labour.

1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.

3. Freedom of association and the right to collective bargaining are respected

3.1 Workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively.

3.2 The employer adopts an open attitude towards the activities of trade unions and their organisational activities.

3.3 Workers representatives are not discriminated against and have access to carry out their representative functions in the workplace.

3.4 Where the right to freedom of association and collective bargaining is restricted under law, the employer facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.

4. Working conditions are safe and hygienic

4.1 A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.

4.2 Workers shall receive regular and recorded health and safety training, and such training shall be repeated for new or reassigned workers.

4.3 Access to clean toilet facilities and to potable water, and, if appropriate, sanitary facilities for food storage shall be provided.

4.4 Accommodation, where provided, shall be clean, safe, and meet the basic needs of the workers. **3.5** The company observing the code shall assign responsibility for health and safety to a senior management representative.

5. Child labour shall not be used

5.1 There shall be no new recruitment of child labour.

5.2 Companies shall develop or participate in and contribute to policies and programmes which provide for the transition of any child found to be performing child labour to enable her or him to attend and remain in quality education until no longer a child; "child" and "child labour" being defined in the appendices.

Section	Last update	Author	Approved By	Ethics Policy	ISSUE	PAGE
1040	August 15	Peter Walker	Jan Corbett	Case Communications Quality Manual	1.2	5 of 7

5.3 Children and young persons under 18 shall not be employed at night or in hazardous conditions. 4.4 These policies and procedures shall conform to the provisions of the relevant ILO standards.

6. Living wages are paid

6.1 Wages and benefits paid for a standard working week meet, at a minimum, national legal standards or industry benchmark standards, whichever is higher. In any event wages should always be enough to meet basic needs and to provide some discretionary income.

6.2 All workers shall be provided with written and understandable Information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid.

6.3 Deductions from wages as a disciplinary measure shall not be permitted nor shall any deductions from wages not provided for by national law be permitted without the expressed permission of the worker concerned. All disciplinary measures should be recorded.

7. Working hours are not excessive

7.1 Working hours must comply with national laws, collective agreements, and the provisions of 7.2 to 7.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.

7.2 Working hours, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week.

7.3 All overtime shall be voluntary. Overtime shall be used responsibly, taking into account all the following: the extent, frequency and hours worked by individual workers and the workforce as a whole. It shall not be used to replace regular employment. Overtime shall always be compensated at a premium rate, which is recommended to be not less than 125% of the regular rate of pay.

7.4 The total hours worked in any seven day period shall not exceed 60 hours, except where covered by clause

7.5 Working hours may exceed 60 hours in any seven day period only in exceptional circumstances where all of the following are met: • this is allowed by national law; • this is allowed by a collective agreement freely negotiated with a workers’ organisation representing a significant portion of the workforce; • appropriate safeguards are taken to protect the workers’ health and safety; and • the employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies.

7.6 Workers shall be provided with at least one day off in every seven day period or, where allowed by national law, two days off in every 14 day period. * International standards recommend the progressive reduction of normal hours of work, when appropriate, to 40 hours per week, without any reduction in workers’ wages as hours are reduced.

Section	Last update	Author	Approved By	Ethics Policy	ISSUE	PAGE
1040	August 15	Peter Walker	Jan Corbett	Case Communications Quality Manual	1.2	6 of 7

8. No discrimination is practised

8.1 There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.

9. Regular employment is provided

9.1 To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.

9.2 Obligations to employees under labour or social security laws and regulations arising from the regular employment relationship shall not be avoided through the use of labour-only contracting, sub- contracting, or home-working arrangements, or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment, nor shall any such obligations be avoided through the excessive use of fixed-term contracts of employment.

10. No harsh or inhumane treatment is allowed

10.1 Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited. The provisions of this code constitute minimum and not maximum standards, and this code should not be used to prevent companies from exceeding these standards. Companies applying this code are expected to comply with national and other applicable law and, where the provisions of law and this Base Code address the same subject, to apply that provision which affords the greater protection.

Section	Last update	Author	Approved By	Ethics Policy	ISSUE	PAGE
1040	August 15	Peter Walker	Jan Corbett	Case Communications Quality Manual	1.2	7 of 7