



DIOCESE OF NOTTINGHAM

COMPENDIUM OF FORMAL POLICIES

Diocese of Nottingham Manuals:

The complete set of Manuals for use in the Diocese is on the diocesan website. If you have broadband please consider if you actually need to print out the Manuals.

Parishes:

Parish Administration Manual

Property Manual

Diocese (both Parish and Curia):

Personnel

Policies

Health and Safety (Prepared by Ellis Whittam)

Insurance Policy Guide – prepared by Catholic Insurance Service (CIS)

(Covering Property Insurance, Personal Accident, Liability Insurance, Travel Insurance, Cyber risks insurance, How to make insurance claims and Risk management)

Also use CIS Website: user name: Nottingham; Password: Anicetus.

Priests (password protected):

Financial Matters for Priests

Vade Mecum (which is prepared by the Ongoing Formation of Clergy Commission).

The Finance Office is always happy to receive comments on the Manuals, other than Vade Mecum

January 2019

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CASH DEPOSITS AND SMALL SEPARATE FUNDS

1. Smaller funds may be held in collective investment schemes.

2. Cash deposits relating to amounts owned by the Parishes of the Diocese may only be held in UK clearing banks unless specific approval is given by the Board in certain cases. In relation to counterparty risk it is accepted that this situation is not ideal. It is expected that should liquidity problems affect a UK Clearing Bank then the government would have to step in in order provide funding for it. Although there might be an argument for using more than one bank to reduce counterparty risk, it seems most unlikely in the case of a difficulty with one bank, that there wouldn't be a similar problem with all of the banks and therefore no particular benefit in splitting holdings.

3. Other cash deposits may be held outside such arrangements but this must be reported to the Board which may require their moving.

4. The Board policy is that there should be one bank account per Parish and one main Curia bank account. The opening and closing of bank accounts within this policy are not required to be reported to it but others are, within the Charity Commission guidance.

5. Any bank account is to be with Lloyds in order to assist with internal control.

6. The free reserves of the Diocese should be between 1 and 3 years of the running costs of the Diocese and similarly for each parish in respect of its own expenditure and maintenance costs.

CONFLICTS OF INTEREST POLICY

Conflict of interest: A conflict of interest is any situation in which a director's personal interests or loyalties could, or could be seen, to prevent them from making a decision only in the best interests of the charity.

Conflict of loyalty: This means a particular type of conflict in which a director's loyalty or duty to another person or organisation could prevent the director from making a decision only in the best interests of the charity.

Director benefit: This means any instance where money, or other property, goods or services, which have a monetary value, are received by a director from the charity. The law says that directors cannot receive a benefit from the charity, whether directly or indirectly, unless they have an adequate legal authority to do so. The potential for a director to benefit from the charity also creates a conflict of interest which the directors need to address effectively. The term "director benefit" **does not** include any payments to directors which are for the reimbursement of their proper out of pocket expenses.

1. The directors of the charity are obliged by law to act in the best interests of the charity and not for their own private interest or gain. However, there may be situations where a director's own interests and the interests of the charity arise simultaneously or appear to clash. The issue is not the integrity of the director concerned, but the management of any potential to profit from or otherwise abuse the position of being a director generally.
2. The duty of loyalty owed by the directors to the charity requires that each director is aware of the potential for conflicts of interests and acts openly in dealing with such situations.
3. The law imposes strict limits on the benefits which may be conferred on directors. The charity's governing document allows benefits to directors in the circumstances set out in Clause 5 of the Articles of Association.
4. Even where benefits are permitted under the constitution, the appropriate procedures set out in the Articles of Association must be observed in order to ensure that the conflict of interests is properly managed.
5. All interests should be declared, whether business or personal, and include those of their spouse, partner or close relatives erring on the side of disclosure if in doubt.
6. Before, or at the beginning of each Board Meeting (or Committee Meeting), directors will be reminded that they must declare any interest which may conflict in relation to matters on the agenda. The meeting papers recorded in the Minutes Book will therefore act as a register of interests.
7. After disclosure of an interest, the other directors will have the right to determine whether a conflict exists in the circumstances. The procedure set out in Clause 23 of the Articles of Association shall be followed. In particular, unless the circumstances in 9 hereof apply, he or she will be required to withdraw from the meeting while the relevant matter is discussed.

8. Minutes of the meetings of the Board and any Committees at which interests are disclosed will record:
 - 8.1 the nature of the interest and determinations regarding any conflict;
 - 8.2 the extent of the relevant directors non-participation with respect to consideration of the matter;
 - 8.3 any limitation on the director's ability to act in relation to the such matter;
 - 8.4 any alternatives that were discussed;
 - 8.5 the names of people present for discussion;
 - 8.6 the votes taken regarding the interest; and
 - 8.7 any other relevant information.
9. Given that most conflicts of interest or of loyalty will arise out of appointments to closely linked organisations associated with the Roman Catholic Church, it will usually be sufficient that the conflict of interest be made known to the Board or Committee and carried forward in the papers for the meeting.

Adopted at Board meeting 25th June 2014.

DATA PROTECTION POLICY FOR THE DIOCESE OF NOTTINGHAM

1 INTRODUCTION AND BACKGROUND

1.1 The Diocese of Nottingham (the "Diocese"), as Nottingham Roman Catholic Diocesan Trustees (Charity number 1134449), is a Data Controller and consequently must process all Personal Data (including Special Categories of Personal Data) about Data Subjects in accordance with the General Data Protection Regulation 2016/679 (the "GDPR") and any other relevant data protection legislation, domestic or otherwise, (as may be in force or repealed or replaced from time to time) (together the "Data Protection Rules"). For the avoidance of doubt, the Diocese remains the sole Data Controller, even where Processing is carried out by its curial offices, parishes, departments, commissions and similar agencies. This policy also applies to the Nottingham Diocesan Sick and Retired Priests Fund of which the Diocese of Nottingham is trustee.

1.2 The Diocese will collect, store, use and otherwise process Personal Data about the people with whom it interacts, who are the Data Subjects. This may include parishioners, volunteers, clergy, employees, contractors, suppliers and other persons.

1.3 The Diocese processes Personal Data so that it can comply with its statutory obligations and achieve its charitable objects. These are "The advancement of the Roman Catholic religion in the area of the Roman Catholic Diocese of Nottingham as determined under the laws of the Roman Catholic Church and in accordance with them" and "The advancement of any charitable purpose supported by the Roman Catholic Church in any part of the world".

1.4 Every Data Subject has a number of rights in relation to how the Diocese processes his or her Personal Data. The Diocese is committed to ensuring that it processes Personal Data properly and securely in accordance with the Data Protection Rules, as such commitment constitutes good governance and is important for achieving and maintaining the trust and confidence of Data Subjects. Therefore, the Diocese will regularly review its procedures to ensure that they are adequate and up-to-date.

1.5 All clergy, staff and volunteers and others connected with the Diocese (the "Diocesan People") who are involved in the Processing of Personal Data held by the Diocese have a duty to protect the data that they process and must comply with this Policy. The Diocese will take any failure to comply with this Policy or the Data Protection Rules very seriously. Any such failure may result in legal action being taken against the Diocese or the individual responsible. Those of the Diocesan People subject to disciplinary or similar action from the Diocese may have this put into effect.

1.6 Parishes form part of the Diocese and are not separate legal entities. Parishes are not Data Controllers nor do they process Personal Data on behalf of the Diocese as a Data Processor. References to the Diocese and Diocesan therefore includes its parishes.

2 THE DATA PROTECTION PRINCIPLES

2.1 The Diocese as the Data Controller is required to comply, and to demonstrate compliance, with the six data protection principles set out in the GDPR, which provide that Personal Data must be:

- 2.1.1 processed fairly, lawfully and in a transparent manner;
 - 2.1.2 collected for specified, explicit and legitimate purposes and not further processed for other purposes incompatible with those purposes;
 - 2.1.3 adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed;
 - 2.1.4 accurate and, where necessary, kept up to date – every reasonable step must be taken to ensure that inaccurate personal data is erased or rectified without delay;
 - 2.1.5 kept in a form that permits identification of Data Subjects for no longer than is necessary for the purposes for which the personal data is processed; and
 - 2.1.6 processed in a way that ensures its security, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational security measures.
- 2.2 There is also an overarching principle; the Data Controller must be able to demonstrate compliance with the six principles.

3 THE DIOCESAN FINANCIAL SECRETARY AND REGISTRATION WITH THE INFORMATION COMMISSIONER’S OFFICE (“ICO”)

3.1 The Diocese has overall responsibility for compliance with the Data Protection Rules. The Diocesan Financial Secretary is responsible for ensuring day-to-day compliance with this Policy and with the Data Protection Rules. He or she will receive training and the Diocese will provide sufficient resources and support for these responsibilities to be carried out.

3.2 The Diocese is responsible for paying to the ICO any data protection fees levied on Data Controllers by the Data Protection Rules.

3.3 This Policy applies to all Personal Data processed by the Diocese in whatever form (e.g. paper, electronic, film) and regardless of how it is stored (e.g. electronically or in filing cabinets). It also includes information that is in paper form but is intended to be put into electronic form and to any recordings made such as telephone recordings and CCTV.

4 HOW THE DIOCESE WILL COMPLY AND DEMONSTRATE COMPLIANCE

4.1 This Policy is intended to ensure that any Processing of Personal Data is in accordance with the Data Protection Rules and the data protection principles. The Diocese will therefore:

- 4.1.1 ensure that, when personal information is collected (whether direct from the individual or from a third party), the Data Subject is either provided with a Privacy Notice or one is to be made available and the Data Subject informed of what data is being collected;
- 4.1.2 be transparent and fair in processing Personal Data;
- 4.1.3 take steps to ensure the accuracy of data at the point of collection and at regular intervals thereafter, including advising Data Subjects of their right to ask for rectification of Personal Data held about them;

4.1.4 securely dispose of inaccurate or out-of-date data, or data which is no longer required for the purpose(s) for which it was collected (this is to be interpreted sensibly since once the data is destroyed it is most unlikely that it can be economically restored). This must be undertaken in accordance with the Diocesan Records and Data Retention and Destruction Policy.

4.1.5 share information with others only when it is lawful to do so and ensure that individuals are informed of the categories of recipient to whom data will or may be disclosed and the purposes of any such disclosures;

4.1.6 ensure that additional safeguards (as required by the Data Protection Rules) are in place to protect Personal Data that is transferred outside the European Economic Area (the "EEA") (see section 7.4 of this Policy);

4.1.7 ensure that data is processed in line with the Data Subject's rights, which include the right to:

- (a) request access to Personal Data held about them by the Diocese (including, in some cases, having it provided to them in a commonly used and machine-readable format);
- (b) have inaccurate Personal Data rectified;
- (c) have the processing of their Personal Data restricted in certain circumstances;
- (d) have Personal Data erased in certain specified situations (in essence where the continued processing of it does not comply with the Data Protection Rules);
- (e) prevent the processing of Personal Data for direct-marketing purposes (which includes for fundraising and wealth screening purposes);
- (f) ask the Diocese to prevent Processing of Personal Data which is likely to cause unwarranted or substantial damage or distress to the Data Subject or any other individual; and
- (g) prevent, in some cases, decisions being made about them which are based solely on automated processing (i.e. without human intervention) and which produce significant or legal effects on them;

4.1.8 ensure that all Diocesan People, so far as practicable, are aware of the Diocese's data protection policies and procedures and their own responsibilities in terms of data protection, and understand that failure to comply may result in disciplinary sanctions in the event of non-adherence or breach; and

4.1.9 adopt, monitor and keep under review, a data retention schedule which sets out the periods for which different categories of Personal Data will be kept.

4.2 Through adherence to this Policy and related data protection policies, and through appropriate record-keeping, the Diocese will seek to demonstrate compliance with each of the data protection principles.

4.3 In addition, the Data Protection Rules require the Data Controller to carry out a Data Protection Impact Assessment (a "DPIA") prior to undertaking any Processing of Personal Data that is "likely to result in a high risk for the rights and freedoms" of individuals. DPIAs

will therefore be considered where appropriate in relation to the implementation of any new projects, services or systems which could result in a high privacy risk to individuals (particularly where new technology is being deployed) and will consider other regulation relevant to data protection, such as the Privacy and Electronic Communications Regulations (the "PECR").

5 DATA SECURITY & RESPONSIBILITIES OF CLERGY, STAFF AND VOLUNTEERS

5.1 The Diocese shall ensure that appropriate technical and organisational security measures are in place to prevent unauthorised or unlawful Processing or damage to or loss (accidental or otherwise), theft, or unauthorised disclosure of Personal Data (a "Data Breach"). In particular, all clergy, employees and volunteers should ensure that:

5.1.1 the only individuals who have access to Personal Data and are able to process it are those who are authorised to do so;

5.1.2 Personal Data is stored only on Diocesan computer systems and not on individual PCs, portable electronic devices or removable storage media, unless those devices are subject to appropriate measures of password protection, encryption and secure deletion;

5.1.3 passwords are kept confidential, changed appropriately and not shared between individuals;

5.1.4 PCs are locked or logged off and confidential paper documents are securely locked away when individuals are away from their desks;

5.1.5 offices, desks and filing cabinets/cupboards are kept locked if they contain Personal Data of any kind, whether in digital or electronic format or on paper;

5.1.6 when destroying Personal Data, paper documents are securely shredded or similarly physically destroyed, electronic data is securely deleted, electronic storage devices including the hard disks of computers are electronically fully erased and erasure has been validated (or physically destroyed where this is not possible). Destruction must be undertaken in accordance with the Diocesan Records and Data Retention and Destruction Policy.

5.1.7 Personal Data removed from an office is subject to appropriate additional security measures, including keeping paper files in a place where they are not visible or accessible by the public; using passwords/passcodes; encrypting portable electronic devices and storing such devices securely (e.g. not left in the boot of a car overnight); and

5.1.8 Personal Data sent by post is to be sent using Recorded Delivery, courier or hand delivered and electronic data is to be encrypted before being transferred electronically.

5.1.9 If data is held on computer devices owned by volunteers then the Diocese retains the right to have it deleted under its own supervision.

5.2 In the event that you become aware that there has been a Data Breach, you must report this immediately to the Diocesan Financial Secretary at financial.secretary@nrcdt.org.uk.

6 PRIVACY NOTICE

6.1 When any Personal Data is collected from an individual, he or she must either be provided with a Privacy Notice or advised where this is available. The Privacy Notice provides information about what, why and how information is processed.

7 PROCESSING, DISCLOSURE AND SHARING OF INFORMATION

The Diocese processes personal data for a number of different purposes, including:

Lawful Ground for Processing of Personal Data	Examples
Where we have an individual's consent	Posting photographs of an individual on a diocesan or parish website
Where an individual signs a list at the back of church to confirm being able to assist at a parish event	Sending individuals marketing or fundraising communications electronically
Where it is necessary for the performance of a contract to which an individual is party	Where an individual enters into a hiring agreement for one of our facilities
Where it is necessary for compliance with a legal obligation	Passing on information to a local authority or the Charity Commission Passing Gift Aid information to HMRC
Where it is necessary to protect the vital interests of an individual	Passing on information to the Police Passing on information about an individual's serious health condition to the NHS or a health professional where there is a risk of death or serious injury to that person or another individual
Where it is necessary for performance of a task in the public interest	Updating and maintaining the register of marriages
Where it is necessary for the purposes of the legitimate interests pursued by the Diocese or a third party	Using baptism data to follow up with families for first communion

Lawful Ground for Processing of Special Categories of Data	Examples
Where we have an individual's explicit consent	To cater for an individual's dietary or medical needs at an event
Where it is necessary for compliance with a legal obligation	Passing on information to the local authority

Where it is necessary to protect the vital interests of an individual	<p>Passing on information to the Police</p> <p>Passing on information about an individual's serious health condition to the NHS or a health professional where there is a risk of death or serious injury to that person or another individual</p>
Where it is carried out in the course of the Diocese's legitimate activities by a not-for-profit body with religious aims	<p>Using parishioners' health related data for pastoral visits</p> <p>Carrying out a parish census</p>
Where information has manifestly been made public	Referring to a public figure who is well known as a member of the church, as a Catholic
Where we are establishing, exercising or defending legal claims	Providing information to our insurers or lawyers in connection with legal proceedings
Where the processing is for reasons of substantial public interest	
Where steps are taken to prevent fraud or other dishonest activity	<p>Where the processing is necessary for archiving historical records</p> <p>Maintenance of parish records</p>

Lawful Ground for Processing of Criminal Convictions & Offences Data	Examples
Where the Diocese is exercising obligations or rights which are imposed or conferred by law on it or the data subject in connection with employment, social security or social protection and the Diocese has an appropriate policy document in place	To undertake appropriate checks on individuals prior to taking up a role eg DBS checks on those performing a safeguarding role
Where it is necessary for the prevention or detection of an unlawful act	Passing on information to the Police or other investigatory body
Where the Diocese is complying with or assisting others to comply with regulatory requirements relating to unlawful acts or dishonesty	Passing on information to the Police or other investigatory body
Where it is carried out in the course of safeguarding children or other individuals at risk	Making a safeguarding disclosure
Where information is disclosed for insurance purposes	Ensuring the Diocese has appropriate insurance cover

Where an individual has given their consent to the processing	
Where the Diocese is establishing, exercising or defending legal claims	Providing information to our insurers or lawyers in connection with legal proceedings
Where it is necessary to protect the vital interests of an individual	Passing on information to the Police
Where it is carried out in the course of the Diocese's legitimate activities by a not-for-profit body with religious aims	Carrying out pastoral activities

7.1 DISCLOSING PERSONAL DATA

7.1.1 When receiving telephone or email enquiries, Diocesan People should exercise caution before disclosing any Personal Data. The following steps should be followed:

- (a) ensure the identity of the person making the enquiry is verified and check whether they are entitled to receive the requested information;
- (b) require the enquirer to put their request in writing so that their identity and entitlement to receive the information can be verified if the information is particularly sensitive and/or you are not confident the person is entitled to the information;
- (c) if there is any doubt, refer the request to the Diocesan Financial Secretary for assistance (particularly where Special Categories of Personal Data are involved); and
- (d) when providing information, ensure that Personal Data is securely packaged and sent by the most appropriate means (e.g. special delivery, courier, hand delivery or if electronically then encrypted) in accordance with the Data Protection Rules, the Privacy Notice and this Policy.

7.1.2 Please remember that parents and guardians are only entitled to access information about their child if the child is unable to act on their own behalf (e.g. because the child is not mature enough to understand their rights) or if the child has given their consent. If you are unsure about whether or not to provide information about a child to a parent or guardian, please speak to the Diocesan Financial Secretary before providing any information. Children from 12 years upwards are generally to be taken as being capable of understanding their rights and making decision regarding their own information. However, consideration of the particular circumstances and the child's capacity must be given in each circumstance.

7.1.3 Please also remember that individuals are only entitled to obtain information about themselves and not any other third parties (e.g. a family member, other parishioner or member of clergy or staff).

7.2 DATA PROCESSORS

7.2.1 The Diocese may instruct another body or organisation to process Personal Data on its behalf as a Data Processor (e.g. a payroll provider, a third party IT provider). In such situations, the Diocese will share necessary information with the Data Processor, but will remain responsible for compliance with the Data Protection Rules as the Data Controller.

7.2.2 Personal Data will only be transferred to a third party Data Processor if the Diocesan Financial Secretary or person placing the contract is satisfied that the third party has in place adequate policies and procedures to ensure compliance with the Data Protection Rules. There should also be a written contract in place between the Diocese and the Data Processor, which includes provisions to ensure that the Data Processor complies with the requirements of the Data Protection Rules and undertakings as to the inception and maintenance of appropriate measures of protection as well as insurance cover.

7.3 THIRD PARTY REQUESTS

7.3.1 The Diocese may from time to time receive requests from third parties for access to documents containing Personal Data. The Diocese may disclose such documents to any third party where it is legally required or permitted to do so. Such third parties may include health professionals, the Police and other law enforcement agencies, the Charity Commission, HMRC, other regulators, immigration authorities, insurers, local authorities (e.g. Trading Standards), Courts and Tribunals or organisations seeking references. Where a formal authority is required then this is to be obtained.

7.3.2 Anyone in receipt of any oral or written request from any person for access to, or disclosure of, any Personal Data outside normal Diocesan operations must immediately contact the Diocesan Financial Secretary.

7.4 TRANSFERS OF PERSONAL DATA OUTSIDE THE EUROPEAN ECONOMIC AREA (“EEA”)

7.4.1 The Data Protection Rules require Data Controllers to put additional safeguards in place when transferring Personal Data outside the EEA (e.g. to the Vatican, dicastery or appellate tribunal exercising canonical jurisdiction). Additionally, such transfers can only take place on a number of legal grounds. The Diocese does not knowingly store Personal Data outside the UK although data on servers may be spread across the world. However, the Diocese may transfer Personal Data outside the EEA where requested by the Data Subject, on the basis of the Data Subject's informed consent. For example a Data Subject could request that their marriage record to be sent to a non-EEA country. In some circumstances a transfer may be acceptable where another legal ground in the Data Protection Rules is met.

7.5 SUBJECT ACCESS REQUESTS (SARS)

7.5.1 Any Data Subject may exercise his or her rights as set out above (e.g. the right of access to the Personal Data which the Diocese holds about them, or the right to have Personal Data erased). Any and all such requests should immediately be referred to the Diocesan Financial Secretary.

7.5.2 To be valid, a Subject Access Request must be made in writing (including requests made via email or on social media) and provide enough information to enable the Diocese to identify the Data Subject and to comply with the request.

7.5.3 All Subject Access Requests will be dealt with by the Diocesan Financial Secretary. Diocesan People who receive a Subject Access Request must forward it to the Diocesan Financial Secretary immediately in order that such requests can be replied to within the strict deadlines set out in the Data Protection Rules (generally one month from the date of the request).

7.5.4 No fees will be charged for dealing with Subject Access Requests unless a request is considered to be manifestly unfounded, excessive or repetitive. Fees may be charged to provide additional copies of information previously provided. Where the Diocese considers a request to be manifestly unfounded, excessive or repetitive, the Diocese may lawfully refuse to respond and, if so, the Diocesan Financial Secretary will inform the Data Subject of this in writing within the one-month period.

8 FUNDRAISING AND MARKETING

8.1 'Direct Marketing' includes all advertising and promotional activities, including promoting the aims and ideals of not-for-profit organisations.

8.2 Any use of Personal Data for marketing (including fundraising) purposes must comply with the Data Protection Rules and the PECR (and any replacement legislation), which relate to marketing by electronic means.

8.3 Individuals have a right to object to their Personal Data being used for electronic marketing purposes. Individuals must be informed of their right to object when their data is collected. If an objection is received, no further marketing or fundraising communications must be sent to them.

8.4 The PECR requires that the Diocese has the prior consent of recipients in certain circumstances before it sends any unsolicited electronic messages for the purpose of fundraising, or other marketing activities (e.g. events).

8.5 In the event of any such activity being undertaken, reference will be made to the guidance issued by the Information Commissioner's Office and the principles set out therein will be adhered to.

9 MONITORING AND REVIEW

9.1 This policy will be reviewed from time to time and usually annually and may be subject to change.

10 CONTACTS

10.1 Any queries or complaints regarding data protection generally or this Policy specifically should be addressed to the Diocesan Financial Secretary, who can be contacted by email at financial.secretary@nrcdt.org.uk, by telephone on 0115 953 9800 or at the following address: Willson House, 25 Derby Road, Nottingham, NG1 5AW.

10.2 Further advice and information can be obtained from the Information Commissioner's Office at www.ico.org.uk

11 OTHER INFORMATION AND GOVERNANCE POLICIES

11.1 This Policy must be read in conjunction with other documents and statements issued by the Diocese and which are available on the diocesan website.

12 GLOSSARY

"Data Controller" means a person, organisation or body that determines the purposes for which, and the manner in which, any Personal Data is processed. A Data Controller is responsible for complying with data protection laws including the GDPR and establishing practices and policies in line with them.

"Data Processor" means any person, organisation or body that Processes personal data on behalf of and on the instruction of the Diocese. Data Processors have a duty to protect the information they process by following data protection laws.

"Data Subject" means a living individual about whom the Diocese processes Personal Data and who can be identified from the Personal Data. A Data Subject need not be a UK national or resident. All Data Subjects have legal rights in relation to their Personal Data and the information that the Diocese holds about them.

"Personal Data" means any information relating to a living individual who can be identified from that information or in conjunction with other information which is in, or is likely to come into, the Diocese's possession. Personal Data can be factual (such as a name, address or date of birth) or it can be an opinion (e.g. a performance appraisal). It can even include a simple email address. A mere mention of someone's name in a document does not necessarily constitute Personal Data, but personal details such as someone's contact details or salary (if it enabled an individual to be identified) would fall within the definition.

"Processing" means any activity that involves use of Personal Data. It includes obtaining, recording or holding the information or carrying out any operation or set of operations on it, including organising, amending, retrieving, using, disclosing, erasing or destroying it. Processing also includes transferring or disclosing Personal Data to third parties.

"Special Categories of Personal Data" (previously called sensitive personal data) means information about a person's racial or ethnic origin, political opinions, religious or similar beliefs, trade union membership, physical or mental health or condition or sexuality. It also includes genetic and biometric data. Special Categories of Personal Data can only be processed under strict conditions and such processing will usually, although not always, require the explicit consent of the Data Subject.

(This policy was approved by the Diocesan Board of Directors on: 21st June 2018.)

DATA PROTECTION - PRIVACY NOTICE FOR THE DIOCESE OF NOTTINGHAM

1 INTRODUCTION

1.1 The Diocese of Nottingham (the "Diocese") is a charity registered with the Charity Commission in England and Wales. Its charity number is 1134449 and its registered address is Willson House, 25 Derby Road, Nottingham NG1 5AW. In this Notice, references to 'we' and 'us' mean the Diocese and 'our' means pertaining to it. This Privacy Notice also applies to the Nottingham Diocesan Sick and Retired Priests Fund of which the Diocese of Nottingham is trustee.

1.2 When you provide us with Personal Data in order to engage with us and/or benefit from our activities, we will keep a record of the data you give to us in order to enable us to comply with our statutory obligations and to achieve our charitable objects. Our charitable objects are "The advancement of the Roman Catholic religion in the area of the Roman Catholic Diocese of Nottingham as determined under the laws of the Roman Catholic Church and in accordance with them" and "The advancement of any charitable purpose supported by the Roman Catholic Church in any part of the world".

1.3 For the purpose of the General Data Protection Regulation 2016/279 (GDPR), the Diocese will be a Data Controller in respect of your Personal Data. In some cases, the Diocese may be a joint Data Controller of your Personal Data (e.g. where your data is shared between the Diocese and another organisation for a particular purpose). Our parishes form part of the Diocese and are not separate legal entities. Parishes are, therefore, not Data Controllers nor do they process Personal Data on behalf of the Diocese as a Data Processor.

1.4 Everyone has rights about how their Personal Data is handled by organisations. The Diocese is committed to ensuring that Personal Data is properly and securely managed in accordance with the relevant data protection laws, and believes this is an important part of achieving trust and confidence between the Diocese and those with whom it interacts. Please read this Notice to understand how we use and protect the information that you provide to us or that we obtain or hold about you, and to understand what your rights are in relation to information that we hold. This Notice applies to information about living identifiable individuals only.

2 WHAT PERSONAL DATA DO WE HOLD ABOUT YOU?

2.1 We may hold the following types of Personal Data:

2.1.1 name and contact details;

2.1.2 gender, age, date of birth, marital status and nationality;

2.1.3 information about your education/work history and professional qualifications;

2.1.4 information about your family and any dependants;

2.1.5 information about your current involvement in Diocese (including parish) activities and events;

- 2.1.6 financial information (e.g. bank details) and details of any donations you have made to us in the past;
 - 2.1.7 information obtained as a result of any background checks on volunteers, members of staff or clergy;
 - 2.1.8 CCTV recordings and photographs;
 - 2.1.9 information we collect through your use of our website(s) such as IP addresses and other information collected using cookies; and
 - 2.1.10 any other information which you choose to provide to us or that we are provided by others.
- 2.2 We may also hold Special Categories of Personal Data i.e. information about your religious beliefs, information about your health and wellbeing, information revealing racial or ethnic origins, information concerning your sexual orientation or in the case of background checks, information about criminal records or proceedings.
- 2.3 We may also receive Personal Data about you from third parties, for example, your family members, other parishioners, other dioceses, medical professionals, the police and other law enforcement bodies.

3 HOW AND WHY DO WE PROCESS YOUR PERSONAL DATA?

- 3.1 The Personal Data which we hold about you, whether it is collected directly from you or whether we receive it from a third party, may be Processed in a number of ways, for example:
- 3.1.1 to communicate with you in relation to news about or activities and events taking place in the Diocese or in any Diocesan parish, including seeking feedback and informing you of any changes to our activities;
 - 3.1.2 to improve our activities and the way we communicate with you including our website or the website of any parish;
 - 3.1.3 to carry out our activities, from weddings and funerals to general pastoral and spiritual care;
 - 3.1.4 to process donations that you may make to us or other payments where, for example, you hire facilities belonging to the Diocese;
 - 3.1.5 to administer, support, improve and develop the administration of the Diocese's work and operations and to keep the Diocese's or any parish's accounts and records up-to-date;
 - 3.1.6 to process applications from you, including grant applications and applications for a role within the Diocese;
 - 3.1.7 to identify potential additional sources of fundraising such as identifying those eligible to make Gift Aid nominations;

3.1.8 for audit and statistical purposes (e.g. for the annual audit undertaken by the Bishops' Conference of England and Wales);

3.1.9 to ensure we comply with our legal obligations (e.g. by providing information to the Charity Commission or HMRC or carrying out safeguarding activities); and

3.1.10 in the case of CCTV recordings, to prevent or detect crime, and to help create a safer environment for our staff, parishioners and visitors.

3.2 Any information gathered through cookies and similar technologies via the Diocesan website or the website of any parish, is used to measure and analyse information on visits to the website, to tailor the website to make it better for visitors and to improve technical performance. We will not use the data to identify you personally or to make any decisions about you.

4 ON WHAT GROUNDS DO WE PROCESS YOUR PERSONAL DATA?

4.1 We must have a lawful basis for Processing your information; this will vary according to the circumstances of how and why we have your information but typical examples include:

4.1.1 the activities are within our legitimate interests in advancing and maintaining the Roman Catholic religion, in providing information about the activities of the Diocese or any Diocesan parish, and to raise charitable funds (e.g. where we use baptism data to follow up with families for first communion);

4.1.2 you have given consent (which can be withdrawn at any time by contacting us using the details below) for us to process your information (e.g. to send you marketing or fundraising communications electronically);

4.1.3 we are carrying out necessary steps in relation to a contract to which you are party or prior to you entering into a contract (e.g. where you enter into a hire agreement for one of our facilities);

4.1.4 the Processing is necessary for compliance with a legal obligation (e.g. where we pass on information to a local authority for safeguarding or other reasons);

4.1.5 the Processing is necessary for carrying out a task in the public interest (e.g. updating and maintaining the register of marriages); or

4.1.6 to protect your vital interests (e.g. if you were unfortunate enough to fall ill or suffer an injury on our premises, then we may pass on information to the NHS for treatment purposes and to family members).

4.2 If we Process any Special Categories of Personal Data we must have a further lawful basis for the processing. This may include:

4.2.1 where you have given us your explicit consent to do so (e.g. to cater for your medical or dietary needs at an event);

4.2.2 where the Processing is necessary to protect your vital interests or someone else's vital interests (e.g. passing on information to the Police);

4.2.3 where the Processing is carried out in the course of our legitimate interests as a Roman Catholic diocese working with and supporting our current and former parishioners and the information is not shared outside the Diocese other than with your consent (e.g. carrying out parish censuses);

4.2.4 you have made the information public;

4.2.5 where the Processing is necessary for the establishment, exercise or defence of legal claims;

4.2.6 where the Processing is necessary for carrying out the Diocese's employment and social security obligations; or

4.2.7 the Processing being necessary for reasons of substantial public interest (e.g. where steps are taken to prevent fraud or other dishonest activity);

provided that the legal basis is proportionate to the aim pursued and provides for suitable and specific measures to safeguard your rights, or as part of our legitimate interests as a Roman Catholic diocese or as a charitable institution.

4.3 If we Process any Personal Data comprising criminal convictions or offences we must also have a further lawful basis for the processing. This may include:

4.3.1 where the Diocese is exercising obligations or rights which are imposed or conferred by law on us or you in connection with employment, social security or social protection and the Diocese has an appropriate policy document in place (e.g. to undertake appropriate checks on individuals prior to taking up a role);

4.3.2 where it is necessary for the prevention or detection of an unlawful act (e.g. passing on information to the Police or other investigatory body);

4.3.3 where the Diocese is complying with or assisting others to comply with regulatory requirements relating to unlawful acts or dishonesty (e.g. passing on information to the Police or other investigatory body);

4.3.4 where it is carried out in the course of safeguarding children or other individuals at risk e.g. making a safeguarding disclosure;

4.3.5 where an individual has given their consent to the processing;

4.3.6 where the Diocese is establishing, exercising or defending legal claims (e.g. providing information to our insurers or lawyers in connection with legal proceedings);

4.3.7 where it is necessary to protect the vital interests of an individual (e.g. passing on information to the Police); or

4.3.8 where it is carried out in the course of the Diocese's legitimate activities as a not-for-profit body with religious aims (e.g. carrying out pastoral activities).

5 WHO WILL WE SHARE YOUR INFORMATION WITH?

5.1 We will only use your Personal Data within the Diocese for the purposes for which it was obtained, unless you have explicitly agreed that we may share your Personal Data with another organisation or unless we are otherwise permitted or required to under the Data Protection Rules or order of a Court or other competent regulatory body or as set out in this Notice.

5.2 We may share your information with other members of the Church seeking relief and any ecclesiastical body enjoying canonical jurisdiction or powers of governance as detailed in the Code of Canon Law or the Apostolic Constitution “Pastor Bonus”.

5.3 We may share your information with government bodies for tax purposes or law enforcement agencies for the prevention and detection of crime.

5.4 Sometimes the Diocese contracts with third parties whom we ask to Process Personal Data on our behalf (e.g. IT consultants, payroll provider, safeguarding service provider, distributors of parish newsletters and directories). We require these third parties to comply strictly with our instructions and with the GDPR.

5.5 We also may be required to share your Personal Data so that the Diocese can benefit from Gift Aid nominations you have made e.g. with HMRC.

5.6 We require administrative, technical and physical measures designed to guard against and minimise the risk of loss, misuse or unauthorised processing or disclosure of the Personal Data that we hold.

5.7 In the course of Processing your Personal Data, or disclosing it to the recipients referred to above, we may transfer it to countries which are outside the European Economic Area (EEA), some of which may not have laws which provide the same level of protection to your Personal Data as laws inside the EEA. In such cases where we are aware of this we will take reasonable steps to ensure that the transfers comply with the GDPR and that your Personal Data is appropriately protected.

6 HOW LONG WILL WE KEEP YOUR INFORMATION FOR?

6.1 Your Personal Data information will be kept for as long as is necessary and deleted when it is no longer so.

7 YOUR RIGHTS

7.1 You have rights in respect of the Personal Data you provide to us. In particular:

7.1.1 the right to request a copy of some or all of the Personal Data that we hold about you (including, in some cases, in a commonly used, machine readable, format so that it can be transferred to other Data Controllers). We do not make a charge for this service in normal circumstances;

7.1.2 if we Process your Personal Data on the basis that we have your consent, the right to withdraw that consent;

7.1.3 the right to ask that any inaccuracies in your Personal Data are corrected;

7.1.4 the right to have us restrict the Processing of all or part of your Personal Data;

7.1.5 the right to ask that we delete your Personal Data where there is no compelling reason for us to continue to Process it;

7.1.6 the right to object to us Processing your Personal Data for direct marketing purposes e.g. in relation to fundraising carried out by the Diocese; and

7.1.7 the right not to be subject to legal or other significant decisions being taken about you on the basis of an automated process (i.e. without human intervention).

7.2 Please note that the above rights may be limited in some situations – for example, where we can demonstrate that we have a legal requirement to Process your Personal Data. Also, we may need you to provide us with proof of identity for verification and data security purposes before you can exercise your rights.

7.3 Rights may only be exercised by the individual whose information is being held by the Diocese or with that individual's express permission. Children from around 12 years upwards are entitled to make their own requests (where the Diocese is of the reasonable view that they have an appropriate understanding of the request they are making) and parents / guardian / family members do not have an automatic right to see information about their child or prevent their child from making a request to the Diocese.

8 CHANGES TO THIS NOTICE

8.1 We may make changes to this Notice from time to time as our organisational practices and/or applicable laws change. We will not make any use of your personal information that is inconsistent with the original purpose(s) for which it was collected or obtained (if we intend to do so, we will notify you in advance wherever possible) or otherwise than is permitted by data protection laws.

9 CONTACT DETAILS

9.1 If you have any questions, require further information about how we protect your Personal Data, if you wish to exercise any of the above rights or if you would like to provide feedback or make a complaint about the use of your information, please contact the Diocesan Financial Secretary: Financial Secretary, Willson House, 25 Derby Road, Nottingham NG1 5AW.

9.2 We hope that we can satisfy any queries you may have about the way in which we Process your Personal Data. However, if you have unresolved concerns you also have the right to complain to the Information Commissioner ('ICO') (www.ico.org.uk).

10 COOKIES

10.1 Cookies, also known as browsers or tracking cookies, are small text files that are added to your computer when you visit a website. They help websites to perform certain functions e.g. to know who you are if you log into a restricted part of a website, for shopping carts, and for tracking purposes.

10.2 If you would like to opt-in or opt-out of using cookies then you should be able to do so using your browser. You can review your cookie settings at any time. However you cannot opt-out of the deployment of cookies that are necessary for delivery of our website or services to visitors.

11 CLOSED CIRCUIT TELEVISION (CCTV)

11.1 The Diocese or a parish may use CCTV in order to assist with the safety of those in the area covered by it.

11.2 a sign will be put up to let people know that CCTV is being used and why.

11.3 an image must be provided within 40 days to anyone recorded for a charge of up to £10.

11.4 images will also be provided to the authorities, eg the police, if they ask for them

11.5 images will be retained for so long as is required and it would be expected that they would be written over within 1 month.

12 GLOSSARY

"Data Controller" means a person, organisation or body that determines the purposes for which, and the manner in which, any Personal Data is processed. A Data Controller is responsible for complying with the data protection laws including the GDPR and establishing practices and policies in line with them.

"Data Processor" means any person, organisation or body that Processes personal data on behalf of and on the instruction of the Diocese. Data Processors have a duty to protect the information they process by following data protection laws.

"Data Subject" means a living individual about whom the Diocese processes Personal Data and who can be identified from the Personal Data. A Data Subject need not be a UK national or resident. All Data Subjects have legal rights in relation to their Personal Data and the information that the Diocese holds about them.

"Personal Data" means any information relating to a living individual who can be identified from that information or in conjunction with other information which is in, or is likely to come into, the Diocese's possession. Personal Data can be factual (such as a name, address or date of birth) or it can be an opinion (e.g. a performance appraisal). It can even include a simple email address. A mere mention of someone's name in a document does not necessarily constitute Personal Data, but personal details such as someone's contact details or salary (if it enabled an individual to be identified) would fall within the definition.

"Processing" means any activity that involves use of Personal Data. It includes obtaining, recording or holding the information or carrying out any operation or set of operations on it, including organising, amending, retrieving, using, disclosing, erasing or destroying it. Processing also includes transferring or disclosing Personal Data to third parties.

"Special Categories of Personal Data" (previously called sensitive personal data) means information about a person's racial or ethnic origin, political opinions, religious or similar

beliefs, trade union membership, physical or mental health or condition or sexuality. It also includes genetic and biometric data. Special Categories of Personal Data can only be processed under strict conditions and such processing will usually, although not always, require the explicit consent of the Data Subject.

(This privacy notice was approved by the Diocesan Board of Directors on: 21st June 2018.)

DISABILITY DISCRIMINATION POLICY

1. The Diocese requires that there is no discrimination against people who are disabled. Further this refers to all whether they are parishioners or not.
2. In relation to employees there are various protected characteristics preventing discrimination on the grounds of gender/ gender/ reassignment, religion/ belief, ethnic/ national origin, age, sexual orientation, marital/ civil partnership status, pregnancy/ maternity or disability. Any breach of this policy by a member of staff will be dealt with according to the Diocese's disciplinary rules. The grievance procedure is available to a member of staff who feels that they have been unfavourably treated as a result of these protected characteristics.
3. In relation to buildings there is a duty to make reasonable adjustments to buildings so that disabled people can use them. Accordingly those who are disabled are invited to make known concerns either to the parish priest in order for this to be advised to the Diocesan Property Department or direct to that department which will then advise the parish priest.
4. A list of possible improvements follows. Some can be simply dealt with. Other changes may be more challenging. "Access" is not simply a physical but also a psychological matter – it is an attitude of mind and heart and treats all people equally and seeks to enable them to 'contribute' to the life of society and the mission of the church. It is entirely appropriate for an "Access audit" to take place from time to time.
 - a) Are people with special needs and difficulties welcome in your church and community and how do you welcome them?
 - b) Is there wheelchair access to your church, flat or ramped?
 - c) Is there a disabled person's toilet readily available and accessible? Is it big enough and can people get into it? Does it take account of larger, even powered chairs? Is there space to help a person get on to the toilet if necessary.
 - d) Do you have a hearing loop system in your church whereby people with hearing difficulties can flick a switch on their hearing aid and hear only what is spoken into the microphones?
 - e) Do you have a facility to enlarge your parish newsletter or even hymn sheets for people who are partially sighted?
 - f) Do you provide gluten free hosts for people with the coeliac condition or dietary problems?
 - g) Is there sufficient space for wheelchairs in your church and parish buildings? Can people in them be in a prominent place so that they can hear and see clearly what is happening during Mass?
 - h) Do you have cushions so that elderly and infirm people can be comfortable in the benches?

- i) Are people who live with disabling conditions visited regularly at home with Holy Communion? Do people go round to support them and help them play a more active part in the community? Are they included on parish committees and groups or given tasks such as writing bidding prayers to make them feel included?
 - j) Are we assisting people living with dementia and their carers?
 - k) Is your website helpful for people who have difficulty in seeing.
5. As with all policies the Diocese welcomes comments on its Disability Discrimination Policy.

The Nottingham Diocese is very fortunate in having SPANNED, the agency supporting People with Additional Needs in the Nottingham Diocese. Its Director and Secretary is Fr Frank Daly. The points in 4 above are taken from work he has done take account of his work going back over 40 years.

INVESTMENT - STATEMENT OF INVESTMENT PRINCIPLES

Introduction

Nottingham Roman Catholic Diocesan Trustees (the Diocese) is responsible for the civil affairs of the Roman Catholic Diocese of Nottingham.

Governance

The Board of Directors/ Trustees of the Diocese is responsible for setting the investment policy. The Investment Committee is an advisory Committee and will monitor the investment activities of the Diocese. Changes to this policy and any other recommendations are approved by the Board.

The Diocese was incorporated in 2010 as a charitable company limited by guarantee and is governed by its memorandum and articles of association. Within those documents there are no restrictions on investment additional to those contained in overriding legislation.

Purpose

The main objectives for the charity's investment portfolio are to:

- preserve the charity's reserves in real terms
- deliver a reasonable overall total return
- provide funds for known liabilities particularly for retired priests.

Investment objective

Longer-term assets (reserves) will be invested with the aim of at least maintaining the value or purchasing power in real terms (i.e. against inflation)

Income requirement

There is no specific income requirement and the Diocese will be happy to forego income for a greater capital return in appropriate cases. However, the Trustees expect the investments to generate a reasonable level of income, as income forms an important and more reliable component part of the overall total return.

Time horizon

The time horizon for the investment portfolio is generally considered to be long term (i.e. more than five years) but subject to exceptions. In particular, for the Sick and Retired Priests Fund, there is required to be sufficient liquid or near liquid assets to meet its expected liabilities which will be for less than that period in part.

Liquidity requirement

The charity holds in cash reserves sufficient funds to meet immediate cash-flow requirements. These are subject to a separate policy. The longer-term investment portfolio should be invested in assets that are easily realisable in normal market conditions.

Investment constraints

The Diocese will maintain its membership of Churches Investors Group, which encourages high ethical standards of operations of public companies by engaging with them supported by the collective investment power of other Christian churches.

Given the above, the existence of a good working relationship between the Investment Committee and the Investment Manager, the Diocese's duty to protect the value of its assets, the relatively small size of the Diocese's portfolio and its consequential inability to influence the policies of the companies in which it invests, a proscribed list of investments will not be adopted. If in doubt about whether a particular investment is appropriate for the Diocese or as a Catholic charity The Investment Manager may consult the Investment Committee through the Financial Secretary before making it. The investments will be reviewed by the Diocese at regular meetings of the Investment Committee. Should that Committee be of the opinion that a particular holding is not appropriate in the context of the Diocese or as a Catholic charity it will discuss this with the Investment Manager with a view to requiring divestment. In coming to a decision it will take account of both positive and negative aspects of a particular company's activities.

The Diocese accepts that collective investment schemes may have exposure to holdings in a number of different companies.

The Investment Managers have discretion to take into account environmental, social and governance issues in their investment analysis and decision-making processes and engage with company management where appropriate.

Risk tolerance

A reasonable level of capital volatility within the investment portfolio is considered by the Trustees to be acceptable given the charity's risk and return objectives but the portfolio should be well diversified across asset classes and the portfolio as a whole should be in line with a standard medium/high risk profile other than for those specific funds especially advised. For the avoidance of doubt a medium/high risk profile would imply a maximum equity content of up to 100% but not usually exceeding 80%.

Currency

The charity's liabilities are in sterling therefore the manager is expected to be mindful of this fact when investing the charity's assets.

Permitted asset classes, asset class ranges and benchmark indices

The strategic asset allocation and benchmark indices against which performance of the portfolio will be agreed between the Investment Managers and the Diocese from time to time taking into account the different funds in which the investments are held and their different purposes.

Approach to investment

The Trustees have a preference for direct investment where possible. However, it is understood that collective investment schemes will be used to provide the most efficient means to access a particular markets or asset classes and for reasons of diversification.

Investment Managers

The Diocese appointed Quilter Cheviot (formerly Cheviot) to manage the assets of the portfolio in accordance with the principles set out in this statement.

Custody of assets: the investment assets are held in the nominee company of the Investment Managers who produce an annual verification as part of the audit process.

The Investment Managers will keep the Diocese abreast of changes in investment matters and related legislation insofar as it affects the investments under its control and must bring to its attention any matter which they believe should be reported to it. For the avoidance of doubt this will include any circumstances in which it believes that the Investment Committee is not properly doing its duty, In making such a report it may do so through any member of the Board of Directors/ Trustees.

Contract notes will be copied to the Diocese and a copy of the portfolio will be provided to the Diocese quarterly, in good time for the meetings of its Investment Committee and on request.

Fees will be agreed between the Diocese and the Investment Managers from time to time.

Other

It is noted that, for historical reasons, there is a small holding in a collective investment scheme for a retired member of the staff of a parish which is exceptionally not the responsibility of the Investment Managers and which is under the direct control of the Diocese.

The Investment Manager may choose where cash deposits under its control are held, noting that these will be a relatively small proportion of the cash deposits of the Diocese.

Signed

On behalf of *Investment Manager* **On behalf of *the charity***

[Appendix

Approved Charitable Investments are set out in section 511 of the Corporation Tax Act 2010 and include:

- Any investment in a charitable common investment fund, common deposit fund or similar fund established for exclusive benefit of charities or any class of charities;
- Any interest in land (unless it is held as security for a debt);
- Shares or securities of companies listed on a recognised stock exchange
- Units in a Unit Trust Scheme;
- Shares in an open-ended investment company incorporated in the United Kingdom to which section 236 of the Financial Services and Markets Act 2000 applies;
- Bank deposits in respect of which interest is payable at a commercial rate (other than deposits made as part of an arrangement under which the bank makes a loan to somebody else); and
- Certificates of deposit]

Adopted by the Board of Directors on 4th October 2018

VOLUNTEERS

A Volunteer's agreement is in the course of preparation and will be available during 2019. This sets out the duties of volunteers. It makes clear that, generally, a volunteer is required to follow Diocesan policies.

MISCELLANEOUS POLICIES

Grant making policy.

The Diocese is not primarily a grant making trust, although it may make grants in accordance with its constitution. A grant above £5,000 is required to be approved by the Board of Directors. Up to that figure a grant may be authorised by a parish priest or the Financial Secretary or Episcopal Vicar for Finance and Administration/ Moderator of the Curia.

Where a grant is made abroad then the special requirements of HMRC must be followed.

Where a grant is to an associated body and is substantial then a report will be required from that body from time to time, usually annually.

Policy on reserves

Given that there are requirements for capital, especially for example for the provision of accommodation for retired priests, it is the policy of the Directors at present that the unrestricted liquid reserves of the Diocese be between one and three years of its normal expenditure. As a separate juridical person under canon law each parish is responsible for determining its own reserves policy under the general responsibility of the Board but it is generally recommended that the same policy be applies of between one and three years of its normal expenditure.

Anti Bribery

Bribery is not tolerated.

Acceptance of hospitality is subject to permission sought of the parish priest or head of department in advance and recorded in the minutes of the Board of Directors or of its Committees or of the Parish Finance Committee.

Donations are received for the parish or the Diocese as the case may be. However if it is suspected that they may be “tainted” by being the proceeds of criminal action then a report should be made to the Financial Secretary as well as to the Head of Department or Parish Priest. The Financial Secretary will decide what action should be taken in relation to a police report or other regulatory requirement.

If the amount of a cash donation is significant (over £5,000) then the anti money laundering procedures must be followed.

Whistleblowing

Suspicious over wrongdoing can be made to the Financial Secretary of the Diocese or to the Episcopal Vicar for Finance and Administration/ Moderator of the Curia or to any Director.

As much relevant information as possible should be provided and where possible evidenced in material form.

It will be helpful if such are raised as soon as possible so that they matter be put right.

Unless reasonably deemed to be frivolous they will be investigated by the Financial Secretary.

Where the Financial Secretary may be implicated in the matter then, instead, it will be investigated by the Episcopal Vicar for Finance and Administration/ Moderator of the Curia.

In all non frivolous cases a report will be made to the Board of Directors.

The above is encouraged so that the matter can be most easily investigated. However this does not prevent a report to the police or to the Charity Commission by a whistleblower if he or she thinks it is appropriate.

The identity of a whistleblower will be kept confidential except in circumstances where there is a legal or moral obligation to disclose this.

Victimisation of a whistleblower is not acceptable and if this happens then it will be dealt with for example as a disciplinary matter. Clauses in a settlement agreement are not to restrict a report from a whistleblower.

Risk management

The Diocese will carry out a risk assessment at least annually which will be reported to the Board. No list of risks is likely to be complete and advice is welcomed on additional items which should be included and on ways of mitigating them and also on ways of mitigating previously identified risks.

A review of Internal Financial Control will be undertaken and “negative” points will be reported to the Board with advice on how they are mitigated as far as possible.

Physical risks will also be assessed annually as part of the health and safety review and reported to the Board through the health and safety committee.

Safeguarding Policy and Policy over Vulnerable beneficiaries

The policies adopted nationally by the Church and formally adopted by the Board of Directors in March 2017 are available on the CSAS website.

Dated: 1st April 2013.

NOTTINGHAM ROMAN CATHOLIC DIOCESAN TRUSTEES
GRIEVANCE PROCEDURE

1 Policy statement

- 1.1 This procedure does not form part of any employee's contract of employment. It may be amended at any time and we may depart from it depending on the circumstances of any case.
- 1.2 Most grievances can be resolved quickly and informally through discussion with your line manager. If this does not resolve the problem, you should initiate the procedure below reasonably promptly.

2 Step 1: written grievance

- 2.1 You should put your grievance in writing and submit it to the Financial Secretary of the Diocese.
- 2.2 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.

3. Step 2: meeting

- 3.1 We will arrange a grievance meeting normally within one week of receiving your written grievance. You should make every effort to attend.
- 3.2 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 a colleague, who will be allowed reasonable paid time off from duties to act as your companion.
- 3.3 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.
- 3.4 We will write to you, usually within one week of the 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.

4 Step 3: appeals

- 4.1 If the grievance has not been resolved to your satisfaction you may appeal in writing to the Financial Secretary, stating your full grounds of appeal, within one week of the date on which the decision was sent or given to you.
- 4.2 We will hold an appeal meeting, normally within two weeks of receiving the appeal. You may bring a companion to the appeal 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 a colleague, who will be allowed reasonable paid time off from duties to act as your companion.
- 4.3 Given the size and resources of the employer it will usually not be practicable for the appeal to be conducted by an individual who has not previously been involved in the case but it will be conducted under the supervision of a Director.
- 4.4 We will confirm our final decision in writing, usually within one week of the appeal hearing. There is no further right of appeal.

Dated: 1st April 2013.

NOTTINGHAM ROMAN CATHOLIC DIOCESAN TRUSTEES
DISCIPLINARY PROCEDURE

1 Policy statement

- 1.1 The aims of this Disciplinary Procedure are to set out the standards of conduct expected of all staff and to provide a framework within which managers can work with employees to maintain satisfactory standards of conduct and to encourage improvement where necessary.
- 1.2 This procedure does not form part of any employee's contract of employment and it may be amended at any time. We may also vary this procedure, including any time limits, as appropriate in any case.

2 What is covered by the procedure

- 2.1 This procedure is used to deal with misconduct. It does not apply to cases involving genuine sickness absence, proposed redundancies or poor performance.
- 2.2 Minor conduct issues can often be resolved informally between you and your line manager. These discussions should be held in private and without undue delay whenever there is cause for concern. Where appropriate, a note of any such informal discussions may be placed on your personnel file but will be ignored for the purposes of any future disciplinary hearings. In some cases an informal verbal warning may be given, which will not form part of your disciplinary records. Formal steps will be taken under this procedure if the matter is not resolved, or if informal discussion is not appropriate (for example, because of the seriousness of the allegation).

3 Confidentiality

- 3.1 Our aim is to deal with disciplinary matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with an investigation or disciplinary matter.
- 3.2 You will normally be told the names of any witnesses whose evidence is relevant to disciplinary proceedings against you, unless we believe that a witness's identity should remain confidential.

4 Investigations

- 4.1 The purpose of an investigation is for us to establish a fair and balanced view of the facts relating to any disciplinary allegations against you, before deciding whether to proceed with a disciplinary hearing. The amount of investigation required will depend on the nature of the allegations and will vary from case to case. It may involve interviewing and taking statements from you and any witnesses, and/or reviewing relevant documents.
- 4.2 Investigative interviews are solely for the purpose of fact-finding and no decision on disciplinary action will be taken until after a disciplinary hearing has been held.
- 4.3 You do not normally have the right to bring a companion to an investigative interview. However, we may allow you to bring a companion if it helps you to overcome any disability, or any difficulty in understanding English.
- 4.4 You must co-operate fully and promptly in any investigation. This will include informing us of the names of any relevant witnesses, disclosing any relevant documents to us and attending investigative interviews if required.

5 Suspension

- 5.1 In some circumstances we may need to suspend you from work. The suspension will be for no longer than is necessary to investigate the allegations and we will confirm the arrangements to you in writing. While suspended you should not visit our premises or contact any of our staff, unless you have been authorised to do so by the Financial Secretary of the Diocese.
- 5.2 Suspension of this kind is not a disciplinary penalty and does not imply that any decision has already been made about the allegations. You will continue to receive your full basic salary and benefits during the period of suspension.

6 Notification of a hearing

- 6.1 Following any investigation, if we consider there are grounds for disciplinary action, you will be required to attend a disciplinary hearing. We will inform you in writing of the allegations against you, the basis for those allegations, and what the likely range of consequences will be if we decide after the hearing that the allegations are true. We will also include the following where appropriate:

- 6.1.1 a summary of relevant information gathered during the investigation;
 - 6.1.2 a copy of any relevant documents which will be used at the disciplinary hearing; and
 - 6.1.3 a copy of any relevant witness statements, except where a witness's identity is to be kept confidential, in which case we will give you as much information as possible while maintaining confidentiality.
- 6.2 We will give you written notice of the date, time and place of the disciplinary hearing. The hearing will be held as soon as reasonably practicable, but you will be given a reasonable amount of time, usually two to seven days, to prepare your case based on the information we have given you.

7 The right to be accompanied

- 7.1 You may bring a companion to any disciplinary hearing or appeal hearing under this procedure. The companion may be either a trade union representative or a colleague. You must tell the Financial Secretary of the Diocese who your chosen companion is, in good time before the hearing.

8 Procedure at disciplinary hearings

- 8.1 If you or your companion cannot attend the hearing you should inform us immediately and we will arrange an alternative time. You must make every effort to attend the hearing, and failure to attend without good reason may be treated as misconduct in itself. If you fail to attend without good reason, or are persistently unable to do so (for example for health reasons), we may have to take a decision based on the available evidence.
- 8.2 At the disciplinary hearing we will go through the allegations against you and the evidence that has been gathered. You will be able to respond and present any evidence of your own. Your companion may make representations to us and ask questions, but should not answer questions on your behalf. You may confer privately with your companion at any time during the hearing.
- 8.3 You may ask relevant witnesses to appear at the hearing, provided you give us sufficient advance notice to arrange their attendance. You will be given the opportunity to respond to any information given by a witness.

- 8.4 We may adjourn the disciplinary hearing if we need to carry out any further investigations such as re-interviewing witnesses in the light of any new points you have raised at the hearing. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.
- 8.5 We will inform you in writing of our decision and our reasons for it, usually within one week of the disciplinary hearing. Where possible we will also explain this information to you in person.

9 Disciplinary penalties

- 9.1 The usual penalties for misconduct are set out below. No penalty should be imposed without a hearing. We aim to treat all employees fairly and consistently, and a penalty imposed on another employee for similar misconduct will usually be taken into account but should not be treated as a precedent. Each case will be assessed on its own merits.

9.2 Stage 1: first written warning

A first written warning will usually be appropriate for a first act of misconduct where there are no other active written warnings on your disciplinary record.

9.3 Stage 2: final written warning

A final written warning will usually be appropriate for:

- 9.3.1 misconduct where there is already an active written warning on your record; or
- 9.3.2 misconduct that we consider sufficiently serious to warrant a final written warning even though there are no other active warnings on your record.

9.4 Stage 3: dismissal

Dismissal will only usually be appropriate for:

- 9.4.1 misconduct where there is an active final written warning on your record; or
- 9.4.2 any gross misconduct regardless of whether there are active warnings on your record. Gross misconduct will usually result in immediate

dismissal without notice or payment in lieu of notice. The following are examples of matters that are normally regarded as gross misconduct:

- 9.4.2.1 Fraud, forgery or other dishonesty, including fabrication of timesheets;
- 9.4.2.2 Physical violence or bullying;
- 9.4.2.3 Deliberate and serious damage to property;
- 9.4.2.4 Deliberately accessing internet sites containing any pornographic, offensive or obscene materials;
- 9.4.2.5 Repeated or serious failure to obey instructions, or any other serious act of insubordination;
- 9.4.2.6 Unlawful discrimination or harassment;
- 9.4.2.7 Bringing the organisation into disrepute;
- 9.4.2.8 Being under the influence of alcohol, illegal drugs or other substances during working hours;
- 9.4.2.9 Causing loss, damage or injury through serious negligence;
- 9.4.2.10 Serious or repeated breach of Health & Safety rules or serious use of safety equipment;
- 9.4.2.11 Serious breach of confidence;
- 9.4.2.12 Conviction for a criminal offence that in our opinion may affect our reputation or affect our relationships with our employees, or the public, or otherwise affects your suitability to continue to work for us;
- 9.4.2.13 Possession, use, supply of attempted supply of illegal drugs;
- 9.4.2.14 Serious neglect of duties, or a serious or deliberate breach of your contract or operating procedures; and
- 9.4.2.15 Making critical or derogatory comments about us, or any of our employees, or other people involved with or connected to our organisation using e-mail and/or social networking sites such as Facebook whether during or outside working hours, and/or other inappropriate use of email and/or social

networking sites which may, in our opinion, bring the organisation into disrepute.

This list is intended as a guide and is not exhaustive.

9.5 Alternatives to dismissal

In some cases we may at our discretion consider alternatives to dismissal. These will usually be accompanied by a final written warning. Examples include:

- 9.5.1 Demotion;
- 9.5.2 Transfer to another job;
- 9.5.3 A period of suspension without pay;
- 9.5.4 Loss of seniority;
- 9.5.5 A reduction in pay;
- 9.5.6 Loss of future pay increment or bonus;
- 9.5.7 Loss of overtime.

10 **The effect of a warning**

- 10.1 Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain active, and the likely consequences of further misconduct in that active period.
- 10.2 A first written warning will usually remain active for six months and a final written warning will usually remain active for twelve months.
- 10.3 After the active period, the warning will remain permanently on your personnel file but will be disregarded in deciding the outcome of future disciplinary proceedings.

11 **Appeals**

- 11.1 If you feel that disciplinary action taken against you is wrong or unjust you should appeal in writing, stating your full grounds of appeal, to the Financial Secretary within one week of the date on which you were informed of the decision.

- 11.2 If you are appealing against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if your appeal is successful you will be reinstated with no loss of continuity or pay.
- 11.3 We will give you written notice of the date, time and place of the appeal hearing. This will normally be two to seven days after you receive the written notice.
- 11.4 The appeal hearing may be a complete re-hearing of the matter or it may be a review of the fairness of the original decision in the light of the procedure that was followed and any new information that may have come to light. This will be at our discretion depending on the circumstances of your case. In any event the appeal will be dealt with as impartially as possible.
- 11.5 Given the size and resources of the employer it will usually not be practicable for the appeal to be conducted by an individual who has not previously been involved in the case but it will be conducted under the supervision of a Director.
- 11.6 Following the appeal hearing we may:
- 11.6.1 Confirm the original decision;
 - 11.6.2 Revoke the original decision; or
 - 11.6.3 Substitute a different penalty.
- 11.7 We will inform you in writing of our final decision as soon as possible, usually within one week of the appeal hearing. Where possible we will also explain this to you in person. There will be no further right of appeal.

Dated: 1st April 2013.

NOTTINGHAM ROMAN CATHOLIC DIOCESAN TRUSTEES
CAPABILITY PROCEDURE

1 Policy statement

- 1.1 The primary aim of this procedure is to provide a framework within which managers can work with employees to maintain satisfactory performance standards and to encourage improvement where necessary.
- 1.2 This procedure does not form part of any employee's contract of employment and it may be amended at any time. We may also vary any parts of this procedure, including any time limits, as appropriate in any case.

2 What is covered by the policy

- 2.1 This policy is used to deal with poor performance. It does not apply to cases involving genuine sickness absence, proposed redundancies or misconduct.

3 Identifying performance issues

- 3.1 In the first instance, performance issues should normally be dealt with informally between you and your line manager as part of day-to-day management. Where appropriate, a note of any such informal discussions may be placed on your personnel file but will be ignored for the purposes of any future capability hearings. The formal procedure should be used for more serious cases, or in any case where an earlier informal discussion has not resulted in a satisfactory improvement.
- 3.2 If we have concerns about your performance, we will undertake an assessment to decide if there are grounds for taking formal action under this procedure. The procedure involved will depend on the circumstances but may involve reviewing your personnel file including any appraisal records, gathering any relevant documents, monitoring your work and, if appropriate, interviewing you and/or other individuals confidentially regarding your work.

4 Disabilities

- 4.1 Consideration will be given to whether poor performance may be related to a disability and, if so, whether there are reasonable adjustments that could be made to your working arrangements, including changing your duties or

providing additional equipment or training. We may also consider making adjustments to this procedure in appropriate cases.

5 Confidentiality

5.1 Our aim is to deal with performance matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with a matter which is subject to this capability procedure.

5.2 You will normally be told the names of any witnesses whose evidence is relevant to your capability hearing, unless we believe that a witness's identity should remain confidential.

6 Notification of a capability hearing

6.1 If we consider that there are grounds for taking formal action over alleged poor performance, you will be required to attend a capability hearing. We will notify you in writing of our concerns over your performance, the reasons for those concerns, and the likely outcome if we decide after the hearing that your performance has been unsatisfactory. We will also include the following where appropriate:

6.1.1 A summary of relevant information gathered as part of any investigation;

6.1.2 A copy of any relevant documents which will be used at the capability hearing; and

6.1.3 A copy of any relevant witness statements, except where a witness's identity is to be kept confidential, in which case we will give you as much information as possible while maintaining confidentiality.

6.2 We will give you written notice of the date, time and place of the capability hearing. The hearing will be held as soon as reasonably practicable, but you will be given a reasonable amount of time, usually two to seven days, to prepare your case based on the information we have given you.

7 Right to be accompanied at hearings

- 7.1 You may bring a companion to any capability hearing or appeal hearing under this procedure. The companion may be either a trade union representative or a colleague. You must tell the person conducting the hearing who your chosen companion is, in good time before the hearing.

8 Procedure at capability hearings

- 8.1 If you or your companion cannot attend the hearing you should inform us immediately and we will usually arrange an alternative time. You must make every effort to attend the hearing, and failure to attend without good reason may be treated as misconduct. If you fail to attend without good reason, or are persistently unable to do so (for example, for health reasons), we may have to take a decision based on the available evidence.
- 8.2 The hearing will normally be held by your Line Manager. You may bring a companion with you to the hearing. Your companion may make representations, ask questions, and sum up your case, but will not be allowed to answer questions on your behalf. You may confer privately with your companion at any time during the hearing.
- 8.3 You may ask relevant witnesses to appear at the hearing, provided you give us sufficient advance notice to arrange their attendance. You will be given the opportunity to respond to any information given by a witness.
- 8.4 The aims of a capability hearing will usually include:
- 8.4.1 Setting out the required standards that we believe you may have failed to meet, and going through any relevant evidence that we have gathered;
 - 8.4.2 Allowing you to ask questions, present evidence, call witnesses, respond to evidence and make representations;
 - 8.4.3 Establishing the likely causes of poor performance including any reasons why any measures taken so far have not led to the required improvement;
 - 8.4.4 Identifying whether there are further measures, such as additional training or supervision, which may improve performance;

- 8.4.5 Where appropriate, discussing targets for improvement and a timescale for review; and
- 8.4.6 If dismissal is a possibility, establishing whether there is any likelihood of a significant improvement being made within a reasonable time and whether there is any practical alternative to dismissal, such as redeployment.
- 8.5 A hearing may be adjourned if we need to gather any further information or give consideration to matters discussed at the hearing.
- 8.6 We will inform you in writing of our decision and our reasons for it, usually within one week of the capability hearing. Where possible we will also explain this information to you in person.

9 Stage 1 hearing – first written warning

- 9.1 Following a Stage 1 capability hearing, if we decide that your performance is unsatisfactory, we will give you a first written warning, setting out:
 - 9.1.1 The areas in which you have not met the required performance standards;
 - 9.1.2 Targets for improvement;
 - 9.1.3 Any measures, such as additional training or supervision, which will be taken with a view to improving performance;
 - 9.1.4 A period for review; and
 - 9.1.5 The consequences of failing to improve within the review period, or of further unsatisfactory performance.
- 9.2 The warning will normally remain active for six months, after which time it will be disregarded for the purposes of the capability procedure.
- 9.3 After the active period, the warning will remain permanently on your personnel file but will be disregarded in deciding the outcome of future capability proceedings.
- 9.4 Your performance will be monitored during the review period and we will write to inform you of the outcome:

- 9.4.1 If we are satisfied with your performance, no further action will be taken;
- 9.4.2 If we are not satisfied, the matter may be progressed to a Stage 2 capability hearing; or
- 9.4.3 If we feel that there has been a substantial but insufficient improvement, the review period may be extended.

10 Stage 2 hearing – final written warning

- 10.1 If your performance does not improve within the review period set out in a first written warning, or if there is further evidence of poor performance while your first written warning is still active, we may decide to hold a Stage 2 capability hearing. We will send you written notification as set out in paragraph 6.
- 10.2 Following a Stage 2 capability hearing, if we decide that your performance is unsatisfactory, we will give you a final written warning, setting out:
 - 10.2.1 The areas in which you have not met the required performance standards;
 - 10.2.2 Targets for improvement;
 - 10.2.3 Any measures, such as additional training or supervision, which will be taken with a view to improving performance;
 - 10.2.4 A period for review; and
 - 10.2.5 The consequences of failing to improve within the review period, or of further unsatisfactory performance.
- 10.3 A final written warning will normally remain active for 12 months from the end of the review period. After the active period, the warning will remain permanently on your personnel file but will be disregarded in deciding the outcome of future capability proceedings.
- 10.4 Your performance will be monitored during the review period and we will write to inform you of the outcome:
 - 10.4.1 If we are satisfied with your performance, no further action will be taken;

10.4.2 If we are not satisfied, the matter may be progressed to a Stage 3 capability hearing; or

10.4.3 If we feel that there has been a substantial but insufficient improvement, the review period may be extended.

11 Stage 3 hearing – dismissal or redeployment

11.1 We may decide to hold a Stage 3 capability hearing if we have reason to believe:

11.1.1 Your performance has not improved sufficiently within the review period set out in a final written warning;

11.1.2 Your performance is unsatisfactory while a final written warning is still active; or

11.1.3 Your performance has been grossly negligent such as to warrant dismissal without the need for a final written warning.

We will send you written notification of the hearing as set out in paragraph 6.

11.2 Following the hearing, if we find that your performance is unsatisfactory, we may consider a range of options including:

11.2.1 Dismissing you;

11.2.2 Redeploying you into another suitable job at the same or a lower grade;

11.2.3 Extending an active final written warning and setting a further review period (in exceptional cases where we believe a substantial improvement is likely within the review period); or

11.2.4 Giving a final written warning (where no final written warning is currently active).

11.3 Dismissal will normally be with full notice or payment in lieu of notice, unless your performance has been so negligent as to amount to gross misconduct, in which case we may dismiss you without notice or any pay in lieu.

12 Appeals

- 12.1 If you feel that a decision about poor performance under this procedure is wrong or unjust you should appeal in writing, stating your full grounds of appeal, to the Financial Secretary within one week of the date on which you were informed in writing of the decision.
- 12.2 If you are appealing against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if your appeal is successful you will be reinstated with no loss of continuity or pay.
- 12.3 We will give you written notice of the date, time and place of the appeal hearing. This will normally be two to seven days after you receive the written notice.
- 12.4 The appeal hearing may be a complete re-hearing of the matter or it may be a review of the fairness of the original decision in the light of the procedure that was followed and any new information that may have come to light. This will be at our discretion depending on the circumstances of your case. In any event the appeal will be dealt with as impartially as possible.
- 12.5 Given the size and resources of the employer it will usually not be practicable for the appeal to be conducted by an individual who has not previously been involved in the case but it will be conducted under the supervision of a Director.
- 12.6 Following the appeal hearing we may:
 - 12.6.1 Confirm the original decision;
 - 12.6.2 Revoke the original decision; or
 - 12.6.3 Substitute a different penalty.
- 12.7 We will inform you in writing of our final decision as soon as possible, usually within one week of the appeal hearing. Where possible we will also explain this to you in person. There will be no further right of appeal.

Dated: 1st April 2013.

NOTTINGHAM ROMAN CATHOLIC DIOCESAN TRUSTEES
SICKNESS ABSENCE POLICY

1 Policy statement

- 1.1 This policy sets out our procedures for reporting sickness absence and for the management of sickness absence in a fair and consistent way.
- 1.2 We wish to ensure that the reasons for sickness absence are understood in each case and investigated where necessary. In addition, where needed and reasonably practicable, measures will be taken to assist those who have been absent by reason of sickness to return to work.
- 1.3 This policy does not form part of any employee's contract of employment and it may be amended at any time. We may also vary the procedures set out in this policy, including any time limits, as appropriate in any case.

2 Disabilities

- 2.1 We are aware that sickness absence may result from a disability. At each stage of the sickness absence meetings procedure, particular consideration will be given to whether there are reasonable adjustments that could be made to the requirements of a job or other aspects of working arrangements that will provide support at work and/or assist a return to work.
- 2.2 If you consider that you are affected by a disability or any medical condition which affects your ability to undertake your work, you should inform your line manager.

3 Sickness absence reporting procedure

- 3.1 If you cannot attend work because you are ill or injured you should normally telephone your line manager as early as possible and no later than 9:30am. The following details should be provided:
 - 3.1.1 The nature of your illness or injury;
 - 3.1.2 The expected length of your absence from work; and
 - 3.1.3 Any outstanding or urgent work that requires attention.

4 Evidence of incapacity

- 4.1 For sickness absence of up to 7 calendar days you must complete a self-certification form which is available on the HMRC website (www.hmrc.gov.uk).
- 4.2 For absence of more than a week you must obtain a certificate from your doctor stating that you are not fit for work and the reasons why. This should be forwarded to the Financial Secretary as soon as possible. If your absence continues, further medical certificates must be provided to cover the whole period of absence.

5 Unauthorised absence

- 5.1 Cases of unauthorised absence will be dealt with under our Disciplinary Procedure.
- 5.2 Absence that has not been notified according to the sickness absence reporting procedure will be treated as unauthorised absence.

6 Sick pay

- 6.1 If you are absent from work due to an illness you are entitled to Statutory Sick Pay (SSP) provided the relevant requirements are satisfied. Qualifying days for SSP purposes are the days on which you would normally work.

7 Keeping in touch during sickness absence

- 7.1 If you are absent on sick leave you may be contacted from time to time by your Line Manager and/or the Financial Secretary of the Diocese in order to discuss your wellbeing, expected length of continued absence from work and any of your work that requires attention. Such contact is intended to provide reassurance and will be kept to a reasonable minimum.
- 7.2 If you have any concerns whilst absent on sick leave, whether about the reason for your absence or your ability to return to work, you should feel free to contact the Financial Secretary of the Diocese at any time.

8 Medical examinations

- 8.1 We may, at any time in operating this policy, ask you to consent to a medical examination by an Occupational Health Specialist and/or a doctor nominated by us at our expense.
- 8.2 You will be asked to agree that any report produced in connection with any such examination may be disclosed to us and that we may discuss the contents of the report with our advisers and the relevant specialist and/or doctor.

9 Return to work interviews

- 9.1 If you have been absent on sick leave we will arrange for you to have a return-to-work interview with your Line Manager or the Financial Secretary of the Diocese.
- 9.2 A return-to-work interview enables us to confirm the details of your absence. It also gives you the opportunity to raise any concerns or questions you may have, and to bring any relevant matters to our attention.

10 Sickness absence meetings procedure

- 10.1 We may apply this procedure whenever we consider it necessary, including, for example, if you:
 - 10.1.1 Have been absent due to illness on a number of occasions;
 - 10.1.2 Have discussed matters at a return-to-work interview that require investigation; and/or
 - 10.1.3 Have been absent for more than 3 days.
- 10.2 Unless it is impractical to do so, we will give you 5 calendar days' written notice of the date, time and place of a sickness absence meeting. We will put any concerns about your sickness absence and the basis for those concerns in writing or otherwise advise why the meeting is being called. A reasonable opportunity for you to consider this information before a meeting will be provided.
- 10.3 The meeting will be conducted by your Line Manager or the Financial Secretary of the Diocese. You may bring a companion with you to the meeting.

- 10.4 You must take all reasonable steps to attend a meeting. Failure to do so without good reason may be treated as misconduct. If you or your companion are unable to attend at the time specified, you should immediately inform the individual who was due to conduct the meeting, who will seek to agree an alternative time.
- 10.5 Confirmation of any decision made at a meeting, the reasons for it, and of the right of appeal will be given to you in writing within 5 days of a sickness absence meeting (unless this timescale is not practicable, in which case it will be provided as soon as is practicable).
- 10.6 If, at any time, your Line Manager or the Financial Secretary of the Diocese considers that you have taken or are taking sickness absence when you are not unwell, the matter may be dealt with under our Disciplinary Procedure.

11 Right to be accompanied at meetings

- 11.1 You may bring a companion to any meeting or appeal meeting under this procedure.
- 11.2 Your companion may be either a trade union representative or a fellow employee. You must confirm the identity of your companion to the manager conducting the meeting, in good time before it takes place.
- 11.3 A companion may make representations, ask questions, and sum up your position, but will not be allowed to answer questions on your behalf. You may confer privately with your companion at any time during a meeting.

12 Stage 1: first sickness absence meeting

- 12.1 The purpose of a first sickness absence meeting may include:
- 12.1.1 Discussing the reasons for absence;
 - 12.1.2 Where you are on long-term sickness absence, determining how long the absence is likely to last;
 - 12.1.3 Where you have been absent on a number of occasions, determining the likelihood of further absences;
 - 12.1.4 Considering whether medical evidence is required;

- 12.1.5 Considering what, if any, measures might improve your health and/or attendance; and/or
- 12.1.6 Agreeing a way forward, action to be taken and a timescale for review and/or a further meeting under the sickness absence procedure.

13 Stage 2: further sickness absence meetings

- 13.1 Depending on the matters discussed at the first stage of the sickness absence procedure, a further meeting or meetings may be necessary. The purposes of further meetings may include:
 - 13.1.1 Discussing the reasons for and impact of your ongoing absence(s);
 - 13.1.2 Where you are on long-term sickness absence, discussing how long your absence is likely to last;
 - 13.1.3 Where you have been absent on a number of occasions, discussing the likelihood of further absences;
 - 13.1.4 If it has not already been obtained, considering whether medical advice is required. If it has been obtained, considering the advice that has been given and what whether further advice is required;
 - 13.1.5 Considering your ability to return to/remain in your job in view both of your capabilities and our organisational needs and any adjustments that can reasonably be made to your job to enable you to do so;
 - 13.1.6 Considering possible redeployment opportunities and whether any adjustments can reasonably be made to assist in redeploying you;
 - 13.1.7 Where you are able to return from long-term sick leave, whether to your job or a redeployed job, agreeing a return to work programme;
 - 13.1.8 If it is considered that you are unlikely to be able to return to work from long-term absence, whether there are any benefits for which you should be considered; and/or
 - 13.1.9 Agreeing a way forward, action that will be taken and a timescale for review and/or a further meetings. This may, depending on steps we

have already taken, include warning you that you are at risk of dismissal.

14 Stage 3: final sickness absence meeting

- 14.1 Where you have been warned that you are at risk of dismissal, we may invite you to a meeting under the third stage of the sickness absence procedure. The purpose of the meeting will be:
- 14.1.1 To review the meetings that have taken place and matters discussed with you;
 - 14.1.2 Where you remain on long-term sickness absence, to consider whether there have been any changes since the last meeting under stage two of the procedure, either as regards your possible return to work, or opportunities for return or redeployment;
 - 14.1.3 To consider any further matters that you wish to raise;
 - 14.1.4 To consider whether there is a reasonable likelihood of you returning to work or achieving the desired level of attendance in a reasonable time;
 - 14.1.5 To consider the possible termination of your employment.
- 14.2 Termination will normally be on full notice.

15 Appeals

- 15.1 You may appeal against the outcome of any stage of this procedure and you may bring a companion to an appeal meeting.
- 15.2 An appeal should be made in writing, stating the full grounds of appeal, to the Financial Secretary within 5 days of the date on which the decision was sent to you.
- 15.3 Unless it is not practicable, you will be given written notice of an appeal meeting within one week of the meeting. In cases of dismissal the appeal will be held as soon as possible.
- 15.4 Given the size and resources of the employer it will usually not be practicable for the appeal to be conducted by an individual who has not previously been

involved in the case but it will be conducted under the supervision of a Director.

- 15.5 Depending on the grounds of appeal, an appeal meeting may be a complete rehearing of the matter or a review of the original decision.
- 15.6 Following an appeal the original decision may be confirmed, revoked or replaced with a different decision. The final decision will be confirmed in writing, if possible within 5 days of the appeal meeting. There will be no further right of appeal.
- 15.7 The date that any dismissal takes effect will not be delayed pending the outcome of an appeal. However, if the appeal is successful, the decision to dismiss will be revoked with no loss of continuity or pay.

Dated: 1st April 2013.

NOTTINGHAM ROMAN CATHOLIC DIOCESAN TRUSTEES
SOCIAL MEDIA POLICY

Note: this policy applies both to employees and generally in the Diocese. The references to Disciplinary and similar action will obviously only apply to employees. In the case of others alternative sanctions may be applied where available.

1 Policy statement

- 1.1 We recognise that the internet provides unique opportunities to participate in interactive discussions and share information on particular topics using a wide variety of social media, such as Facebook, Twitter, Blogs and Wikis. However, employees' use of social media can pose risks to our confidential and proprietary information and reputation and can jeopardise our compliance with legal obligations.
- 1.2 To minimise these risks, to avoid loss of productivity and to ensure that our IT resources and communication systems are used only for appropriate purposes, we expect employees to adhere to this policy.
- 1.3 This policy does not form part of any employee's contract of employment and it may be amended at any time.
- 1.4 A breach of this policy by an employee will be treated as gross misconduct and will result in disciplinary action being taken against the employee under our Disciplinary Procedure.

2 Who is covered by the policy

- 2.1 This policy covers all individuals working at all levels and grades, including senior managers, officers, directors, employees, consultants, contractors, trainees, part-time and fixed-term employees, casual and agency staff (collectively referred to as "staff" in this policy).
- 2.2 Parties who have access to our electronic communication systems and equipment are also required to comply with this policy.

3 Scope and purpose of the Policy

- 3.1 This policy deals with the use of all forms of social media, including Facebook, LinkedIn, Twitter, Wikipedia, all other social networking sites and all other internet postings including blogs.
- 3.2 It applies to the use of social media for both work-related and personal purposes, whether during office hours or otherwise. The policy applies regardless of whether the social media is accessed using our IT facilities and equipment or equipment belonging to members of staff.

3.3 Breach of this policy may result in disciplinary action up to and including dismissal. Disciplinary action may be taken regardless of whether the breach is committed during working hours and regardless of whether our equipment or facilities are used for the purpose of committing the breach. Any member of staff suspected of committing a breach of this policy will be required to cooperate with our investigation, which may involve handing over relevant passwords and log-in details.

3.4 Staff may be required to remove internet postings which are deemed to constitute a breach of this policy. Failure to comply with such a request may in itself result in disciplinary action.

4 Personal use of social media

4.1 Personal use of social media is never permitted during working time or by means of our computers, networks and other IT resources and communication systems.

5 Monitoring

5.1 The contents of our IT resources and communication systems are our property. Therefore, staff should have no expectation of privacy in any e-mails, texts, files, data, document, fax, telephone conversation, social media post conversation or message, or any other kind of information or communications transmitted to, received or printed from, or stored or recorded on our electronic information and communication systems.

5.2 We reserve the right to monitor, intercept and review, without further notice, staff activities using our IT resources and communication systems, including but not limited to social media postings and activities, to ensure that our rules are being complied with and for legitimate purposes and you consent to such monitoring by your use of such resources and systems. This might include, without limitation, the monitoring, interception, accessing, recording, disclosing, inspecting, reviewing, retrieving and printing of transactions, e-mails, texts, communications, postings, log-ins, recordings and other uses of the systems as well as key stroke capturing and other network monitoring technologies.

- 5.3 We may store copies of such data or communications for a period of time after they are created and delete such copies from time to time without notice.
- 5.4 Do not use our IT resources and communications systems for any matter that you wish to be kept private or confidential from the organisation.

6 Responsible use of social media

- 6.1 The following sections of the policy provide staff with common sense guidelines and recommendations for using social media responsibly and safely.
- 6.2 In order to protect our reputation:
 - 6.2.1 Staff must not post disparaging or defamatory statements about:
 - 6.2.1.1 Our organisation;
 - 6.2.1.2 Our employees;
 - 6.2.1.3 Suppliers, sub-contractors or anyone else who provides goods or services to our organisation; or
 - 6.2.1.4 Anyone else who is involved with or connected to our organisation.
 - 6.2.2 Staff should make it clear in social media postings that they are speaking on their own behalf. Write in the first person (i.e. use the words “I”, “me”, and “my” when expressing your views) and use your own personal e-mail address when communicating via social media.
 - 6.2.3 Staff are personally responsible for what they communicate in social media. Remember that what you write might be read by anyone for a long time. Keep this in mind before you post anything.
 - 6.2.4 If you disclose the fact that you work for our organisation as an employee, you must also state that your views do not represent those of your employer. For example, you could state, “the views in this posting do not represent the views of my employer”.
 - 6.2.5 Avoid posting comments about sensitive topics relating to our organisation. Even if you make it clear that your views on such

topics do not represent those of the organisation, your comments could still damage our reputation.

- 6.2.6 If you see content in social media that disparages or reflects poorly on our organisation, you should contact the Financial Secretary of the Diocese as soon as possible. All staff are responsible for protecting our organisation's reputation.
- 6.3 Do not post anything that your colleagues, our suppliers or anyone else involved with or connected to our organisation might find offensive, including discriminatory comments, insults or obscenity.
- 6.4 Passwords should be kept confidential and computer terminals should not be made available to unauthorised individuals.