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| **QUICKCOVER INSURANCE**  **ISP-DP-A03**  **[Internal]** |

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| **Disciplinary Process Policy** |

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| **Version 1**  **13th JULY 2023** |

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# Purpose

# The purpose of this policy is to establish a formal disciplinary process for addressing employee misconduct and policy violations at QuickCover Insurance.

# The policy aims to ensure fair and consistent treatment of employees, maintain a productive and ethical work environment, and uphold the organization's values, policies, and procedures

# .Scope

* This policy applies to all employees, contractors, consultants, third-party vendors, and any other individuals who have access to QuickCover Insurance's information systems, networks, and data.
* The policy covers any violations of company policies, code of conduct, ethical guidelines, and any other rules and regulations that govern employee behavior..

# Policy Statements

# Disciplinary Process Framework

# The disciplinary process will follow a fair and consistent framework, ensuring that all employees are treated impartially and in accordance with applicable employment laws and regulations

1. The process will include investigation, documentation, disciplinary actions, and potential consequences based on the severity of the misconduct.

# Violations and Misconduct

1. Violations may include, but are not limited to, breach of confidentiality, dishonesty, insubordination, harassment, discrimination, unauthorized access to company systems, theft, fraud, substance abuse, and any actions that negatively impact the organization's reputation.
2. All reported violations will be taken seriously, thoroughly investigated, and addressed promptly.

# Progressive Disciplinary Actions

1. The disciplinary process will follow a progressive approach, with escalating consequences based on the severity and recurrence of the misconduct.
2. The disciplinary actions may include verbal warnings, written warnings, suspension, demotion, and, in extreme cases, termination of employment.

# Investigation and Documentation

1. Any reported misconduct will be promptly and objectively investigated to gather all relevant facts and evidence.
2. Investigation findings will be documented, ensuring confidentiality and protection of sensitive information.
3. Employees involved in the disciplinary process will be given an opportunity to present their side of the story and provide any supporting evidence.

# Right to Appeal

1. Employees have the right to appeal any disciplinary action taken against them.
2. The appeals process will provide a fair and impartial review of the case by an independent party or panel.

# Confidentiality and Privacy

1. All information related to the disciplinary process will be treated with strict confidentiality, adhering to applicable privacy laws and regulations.

# Deterrence and Prevention

1. The disciplinary process serves as a deterrent to prevent personnel and other relevant interested parties from violating the information security policy and related procedures.
2. Deliberate information security policy violations may result in immediate actions to protect the organization's assets and information.

# Recognition of Good Behavior

* QuickCover Insurance may reward individuals who demonstrate excellent behavior in regard to information security, promoting a culture of good security practices and positive reinforcement.

# Roles and Responsibilities

* **Management:** QuickCover Insurance's management is responsible for ensuring the effective implementation and enforcement of the disciplinary process.
* **Human Resources:** The HR department is responsible for overseeing the disciplinary process, conducting investigations, ensuring compliance with legal requirements, and providing guidance to managers and employees throughout the process.
* **Managers and Supervisors:** Managers and supervisors are responsible for addressing employee misconduct, reporting violations, conducting initial investigations when necessary, and escalating cases to HR as required.
* **Employees:** Employees are expected to adhere to company policies, standards, and code of conduct, and cooperate with any investigations related to alleged misconduct.

# Policy Compliance

* Non-compliance with this policy may result in disciplinary action, up to and including termination of employment or contract, as outlined in QuickCover Insurance's disciplinary policy and procedures.
* Any exceptions to this policy must be approved by the appropriate management authority in consultation with Human Resources and the Information Security team.

# References-

**ISO 27001:2013**

A.7.2.3 Disciplinary process

**Acceptance of Terms and Conditions:**

Personnels must acknowledge and accept the terms and conditions of the Access Control policy and any associated agreements. This ensures their understanding and commitment to adhere to the policy guidelines and security requirements.

By implementing this policy, the QuickCover Insurance aims to maintain a secure and productive work environment. The policy ensures compliance with security best practices and applicable privacy legislation.

**Declaration**

I have read the Access Control Policy above and agree to comply with its contents and those of any other relevant policies of which QuickCover Insurance may make me aware.

Name of Personnel:

Signature of Personnel:

Date:

A copy of this statement must be retained by the personnel and QuickCover Insurance.