



montrose

Improving lives through evidence and impact



# Human Resources Manual

## October 2022

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**AMENDMENT LOG**

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Issue date	Version no.	Summary of addition or alteration	Initials
September 2020	V1	Human Resources Manual first authorised issue	BB
January 2021	V2	Date, version number and document number updated	GH
January 2022	V3	Review and dates amended	AP
October 2022	V4	Addition of 'time of in lieu', 'rest and recuperation', and work from home guidelines	DB

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## 1. WELCOME TO MONTROSE

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Welcome to Montrose!

At Montrose, we recognise that people are essential in order to create a successful business. It is about working as one and sharing the same vision, goals and objectives in order to help the business grow and prosper – every staff member has a part to play.

Regardless of which Montrose office you work within, the same Montrose standards and service are consistently delivered.

This manual aims to keep all staff members up to date with the Montrose's policies and procedures in relation to human resources. We recognise that a business is not made up of rules and regulations and that these cannot fully be communicated on paper, but this guide is here to provide you with the basics to get started. We have tried to make it as comprehensive as possible but appreciate you may still have questions. We encourage you to raise these with your line manager, the Human Resources Manager or the Director of Finance and Administration.

Our aim is to create a dynamic culture where people feel satisfied and motivated within their roles, are willing to share ideas and are keen to challenge the norm. In return, we will provide support and encouragement to help your success, and opportunities to advance your career through professional development.

Montrose has great ambitions for the future – with everyone's commitment and hard work, we will all share in its success.

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## 2. INTRODUCTION

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This manual will provide you with information regarding the terms and conditions of your engagement with Montrose. It also highlights the benefits, policies, procedures and schemes that exist within Montrose.

With the exception of **Section 3 Conditions of engagement**, this manual does not form part of your contract of engagement. If there is any conflict between your contract of engagement and the provisions of this manual, the terms of your contract of engagement will prevail providing that they are still relevant. This manual applies to all staff across all the Montrose offices.

If there is anything in this manual that requires further clarification regarding your status as a Montrose staff member or consultant, please contact the Human Resources Manager or Director of Finance and Administration.

The purpose of this manual is to provide you with an accessible and easily understood guide to the HR policies and procedures in operation throughout Montrose. The content of this HR manual may be subject to change. Montrose reserves the right to amend the manual from time to time. The manual is reviewed on an annual basis and material changes in the content will be communicated to you when required. Please read this manual carefully and familiarise yourself with the contents.

The HR management system currently in use is Zoho. You will see this referred to throughout the manual and you be given an induction on the Zoho system when joining Montrose.

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### 3. CONDITIONS OF ENGAGEMENT

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#### 3.1. Probationary period

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Any new member of staff may be subject to a probationary period of six months as stated in their contract of engagement. During the probationary period, both Montrose and staff will focus on ensuring the right contracting decision has been made. The probationary period can be extended in writing at the discretion of Montrose.

During and at the end of the probationary period, Montrose may terminate your engagement by giving notice in accordance with the law appropriate to the jurisdiction of your place of work or as outlined in your contract.

Montrose reserves the right to pay the appropriate payment in lieu of notice and may require you not to work the notice period.

During and at the end of the probation period, your performance will be reviewed in line with the job responsibilities and behaviour required. Feedback on performance and appropriate training and development will be given.

Once a successful probationary period is completed, a review will be carried out between yourself and your Line Manager and this will be confirmed in writing.

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#### 3.2. Time-keeping and attendance

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Good teamwork requires everyone in Montrose to do their part. If you are late or absent, then you will be putting strain on your colleagues who may have to cover for you. Montrose expects all staff members to be reliable and punctual in reporting for work. All staff members are required to be ready to start work at the agreed time each day.

If you develop a record of lateness, your Line Manager will initiate a discussion to resolve the issue. This may be reflected in your performance review. Where you have a genuine reason for unavoidable occasional lateness, this will be treated sympathetically. If the problem persists, the disciplinary procedure may be invoked and could lead to dismissal.

If there is an unavoidable need to be absent, you should telephone your Line Manager no later than your normal starting time on the first day of absence. If your Line Manager is unavailable, you should contact a member of the Senior Management Team (SMT).

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#### 3.3. Holidays

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Montrose wants to ensure that you enjoy the benefit of your annual leave and public holiday entitlements. Your holiday entitlement is articulated in your contract. Montrose's leave year commences on 1 January and concludes on 31 December each year. In rare circumstances, unpaid leave may be granted with the agreement of a Line Manager and may be subject to work requirements. Annual holiday may be taken at any time subject to approval of your Line Manager.

To assist in the smooth management of holiday arrangements, please provide a minimum of two weeks' notice prior to taking any holidays.

Leave should be applied for on Zoho and sent to your Line Manager for approval. Line Managers should keep track of their team's planned holidays to ensure there will be constant cover at the offices.

In cases where you have not taken your full holiday entitlement in any year, a maximum of five days may be carried over with the prior agreement of your Line Manager and must be taken within the first three months of the following year. Leave cannot be borrowed from the next year to be taken in the current year.

If you resign, the holiday entitlement will be pro-rated. Untaken holidays due will either be paid in lieu of the final pay or will be required to be taken prior to leaving. Any holidays taken that exceed the pro-rated entitlement will be deducted from the final pay.

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### 3.4. Public holidays

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In addition to the general holiday entitlements set out above, you may be entitled to public holidays relevant to their place of work or country of residence. There may be a requirement to work on public holidays. To compensate for this, paid holiday will be made available as time off in lieu (TOIL).

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### 3.5. Time off in lieu (TOIL) day

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In the event that an employee works during a public holiday, a TOIL day is given. The TOIL day must be approved by email by your line manager prior to the public holiday worked, and this email needs to be forwarded to the Senior HR Manager or the Director of Finance and Administration to be uploaded on to Zoho. The TOIL can be taken at any time throughout the year as with Annual Leave.

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### 3.6. Rest and recuperation (R&R) day

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In the event that an employee has worked seven consecutive days, an R&R day will be given. The R&R day must be approved by email by your line manager prior to the R&R being earned, and this email needs to be forwarded to the Senior HR Manager or the Director of Finance and Administration to be uploaded on to Zoho. The R&R must be taken within a month of it being earned as it is intended to ensure anyone working long hours is able to take some rest to recuperate.

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### 3.7. Working hours

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Normal working hours are 8:30am to 5:00pm, Monday to Friday. Lunch breaks of half an hour should be arranged with your team so that your area is covered throughout the working day. At least 40 hours of work is expected per week.

Montrose' flexi work policy allows you to start work earlier and leave the office earlier, provided that your hours of work do not fall below 40 hours per week. Montrose has core hours which means that during this time, you are expected to be at your place of work. These hours are 9:30am to 4:30pm.

You may be required to work outside these hours as necessary to ensure the appropriate execution of your responsibilities.

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### 3.8. Double engagement

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Our conditions of engagement stipulate that you are not allowed to engage in or be connected with any outside business that conflicts with the interests of Montrose. Please note that any external directorships and/or additional jobs, outside of Montrose, must be given prior approval by Montrose.

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### 3.9. Work breaks

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It is "best practice" to ensure that staff are well rested. The minimum requirements are detailed below.

All full-time staff are entitled to a maximum of one hour's lunch with a minimum of 30 minutes. Time off afforded to you as a result of working through the lunch break cannot be taken at the end of a working day, unless agreed on an exceptional basis by prior arrangement with your Line Manager.

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### 3.10. Business data protection/confidentiality

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You should observe strict confidentiality in respect of all information that may come into their possession in any way as a result of the engagement with Montrose.

You must not disclose or appropriate for your own use, or for the use of any third party, at any time during or subsequent to your engagement with Montrose, any confidential information of Montrose or any of its affiliates or associates or any information provided to Montrose by its clients, suppliers or advisors of which you become aware during such period, whether or not developed by staff including, but not limited to, information pertaining to commercial calculations, agreements, processes and operating procedures.

Upon termination of your contract, you shall return to Montrose all laptops, mobile phones, manuals, letters, notes, notebooks, reports and all other materials of a confidential nature under your control. This list is not exhaustive.

Staff who disclose confidential business information (whether while employed or after ceasing to be employed), will be subject to disciplinary action including possible dismissal and legal action, even if they do not benefit from the disclosed information.

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### 3.11. Termination of engagement

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You or Montrose may terminate your engagement by giving notice in accordance with your contract. Montrose reserves the right to pay the appropriate payment of basic salary in lieu of notice and may require you not to work the notice period and to remain away from the office on garden leave.

In the event of leaving Montrose, staff who are unable to take their annual leave accrued up to their termination date will be paid in lieu for those days.

If you leave service during the leave year and have taken more annual leave than you have accrued at termination date, you will have your final pay adjusted to balance excess leave taken.

Montrose reserves the right to terminate contracts of staff without notice in cases of gross misconduct as outlined in the disciplinary procedure. All staff must ensure they return all property to Montrose prior to leaving.



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## 4. COMPENSATION & BENEFITS

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### 4.1. Salaries

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Salaries are administered by the Finance Department and are paid into an account in your name by bank transfer on or before the last working day of the month. Salaries are reviewed at the discretion of Montrose and increases are related to performance or a change in role. There is no contractual entitlement to any increase in salary.

If you feel that an error has been made in your pay, you should report the matter immediately to the Director of Finance and Administration for resolution.

Any overpayment by Montrose will be corrected by a schedule of repayment which will be agreed with you.

### 4.2. Bonus

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Montrose currently operates a discretionary bonus scheme which is determined in December each year. There is no contractual right to participate in any bonus scheme and any payments made under any scheme are wholly at the discretion of Montrose.

### 4.3. Health insurance

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Montrose does not operate its own group health insurance scheme. Medical insurance may be arranged for staff who qualify for this benefit. If this is the case for you, the health insurance will be outlined in your contract or an accompanying note to file.

### 4.4. Business travel insurance

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It is the policy of Montrose to adequately insure all staff travelling on Montrose business. Travellers will be advised of emergency contact numbers for medical assistance should it be needed. Further details of the insurance provider can be obtained from the Senior Operations Manager. You are required to complete a Journey Management Plan ahead of all travel, which references the travel insurance number associated with the trip. Please refer to the Operations Manual for more information.

### 4.5. Subscriptions

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Montrose, in certain circumstances, provides membership subscriptions for various professional organisations and/or subscriptions to professional publications relating to Montrose business. These must be approved in advance by management.

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## 5. LEAVE

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Due to the diverse location of our offices, leave may be agreed and documented within your employment contract and may be limited to the laws of your country of residence or place of work.

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### 5.1. Illness

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If sickness or injury prevent you from coming to work you should telephone your Line Manager no later than your normal starting time on the first morning of illness, giving your reason and indicating when you expect to return to work. If your Line Manager is unavailable, you should contact a member of the Senior Management Team.

The frequency of contact during your absence should be agreed with your Line Manager at the outset.

A medical certificate is required on the third day of sick leave and a copy must be provided to Montrose. If the doctor's certificate gives a date when you are expected to return to work but you are not fit to do so on that date, then you must obtain a further medical certificate which should be submitted to your Line Manager immediately.

Failure to comply with certification procedures may lead to the absence being regarded as unauthorised, possibly leading to disciplinary action.

Montrose may refuse or terminate the discretionary benefit of sick pay when, in its opinion:

- The sickness, injury or length of absence is attributable to staff negligence.
- The absence is not genuinely attributable to the sickness or injury of staff.
- The reporting/certifications requirements are not met.

The list is not exhaustive.

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### 5.2. Uncertified absence

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Unexcused absences are absences from work which are not certified by a doctor or for which prior permission has not been given. Unexcused absences will render you liable to disciplinary action up to and including dismissal. Montrose will take any extraordinary or exceptional circumstances into consideration.

When the number of uncertified absences is deemed excessive by Montrose (e.g. when absence is above the average or shows a specific trend e.g. last Friday of every month) Montrose may require you to produce a medical certificate from your own doctor and/or have a medical examination by Montrose's doctor.

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### 5.3. Prolonged illness

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Illness of a longer term will be subject to special arrangements on an individual basis to be discussed with the Senior Management Team. In all cases of sick leave, Montrose reserves the right to refer any case to a doctor nominated by Montrose.

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### 5.4. Monitoring of absences

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Sickness absence levels are monitored and recorded to identify patterns and trends. Where areas of concern arise, your Line Manager may contact you for a discussion.

Abuses of Montrose's rules on sickness absence may lead to loss of sick pay for the relevant days or to disciplinary action being taken against you.

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### 5.5. Stress

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Montrose wishes that employees are able to work in a positive, attentive and efficient manner. It does not wish to place anyone in the position where they feel they have no control over the amount of work they must complete and, as a result, run the risk of pressure turning into stress. If you feel that you are under prolonged stress as a result of your work, please advise your Line Manager as soon as possible. They will be expected to take any action recommended to alleviate work pressures.

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### 5.6. Medicals

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Montrose reserves the right to send you to a doctor or specialist of Montrose's choice if it feels that there are medical issues that may be affecting your performance. Any such medical will be at Montrose's expense.

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### 5.7. Parental leave

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Caring for a new-born is an exciting time for parents. We want to support new mothers and fathers in their first months of parenthood with paternity and maternity leave.

This policy applies to all long-term non-project-related Montrose staff.

Paid maternity and paternity leave will be determined on a case-by-case basis and with reference to local employment laws at your place of work. Please refer to your Line Manager for guidance.

Additional unpaid maternity leave can be extended and may be evaluated on a case-by-case basis.

Additional contracted benefits (insurance, housing, work permits, leave etc.) which existed prior to the maternity leave, will be provided for during the paid maternity and/or paid paternity leave. Thereafter, payment of benefits may be evaluated on a case-by-case basis.

Any additional leave or flexible working arrangements (including any early return to work, where an external cover had been secured for the role) would be agreed on a case-by-case basis, where this represents a workable and efficient option for Montrose.

Adoption leave where required may be reviewed on a case-by-case basis.

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### 5.8. Bereavement leave

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Losing a loved one is traumatising. If this happens to you while you work with Montrose, we want to support you and give you time to mourn. You may request a maximum of five days of paid bereavement leave for an immediate family member. Close family means spouse, partner, child, parent or immediate sibling. For other relatives, please speak to your Line Manager.

Bereavement leave cases will be treated on an individual basis and time off will be at the discretion of Montrose. All queries should be directed to your Line Manager.

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### 5.9. Public holidays

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Montrose observes public holidays across its locations. The details of the public holidays applicable to your region may be found on Zoho under restricted holidays.

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## 6. RECRUITMENT

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### 6.1. Recruitment and selection policy

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When recruiting new staff, whether by advertising or unsolicited applications, all applicants will be considered in line with skills, experience and the job objectives. No applicant will be discriminated against, including on the grounds of race, colour, ethnic or national origin, sex, marital status, sexual orientation or disability.

Our policy ensures that, where viable, all engagement opportunities within Montrose are advised to existing staff. All applications for internal opportunities are treated in the strictest confidence. If a member of staff receives a CV or cold call on the subject of recruitment, they should direct the inquiry to the Human Resources Manager. For more information, please refer to the Recruitment Policy.

### 6.2. Promotion policy

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Montrose endeavours to provide career opportunities for staff whenever possible and encourages staff who wish to progress. It is Montrose's policy to favourably consider staff for internal vacancies and promotion opportunities in the first instance. Promotion will be at the discretion of the Senior Management Team and will be based on ability and suitability for the position being filled as determined by Montrose as well as ongoing business requirements. You are encouraged to discuss career progression and skills which you need to develop with your Line Manager during appraisals.

### 6.3. Exit interviews

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Montrose may wish to conduct an exit interview with you in order to improve its recruitment and engagement policies.

### 6.4. References for staff or ex-staff

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All references for Montrose staff or ex-staff should be prepared by the Human Resources Manager or the Senior Management Team. Staff should not provide any references (written or oral) without the prior approval of the Senior Management Team. All requests for references from external parties should be forwarded to the Human Resources Manager as soon as possible.

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## 7. DIGNITY AND RESPECT AT WORK

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### 7.1. Equal opportunities policy

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#### 7.1.1. Introduction

Montrose is an equal opportunities employer. Montrose believes that one of the fundamental ingredients of running a successful business is the provision of a working environment for its staff which attracts and retains high quality individuals and nurtures and supports the talent and potential of its staff. Discrimination against any individual is a barrier to this aim and is wholly unacceptable.

Montrose is committed to ensuring that its workplaces are free from unlawful discrimination on the grounds of race, colour, nationality, ethnic or national origin, sex, gender reassignment, marital status, age, sexual orientation, political beliefs, religion and disability.

It is Montrose's policy to:

- Provide equal opportunities in all aspects of engagement from the selection, recruitment and training of its staff to terms and conditions of engagement and reasons for termination of engagement; and
- Ensure that any engagement decisions are taken without reference to irrelevant or discriminatory criteria.

All staff:

- Should be aware that discriminatory practices may be unlawful and a barrier to effective management of Montrose's business and will not be tolerated by Montrose.
- Should be aware that the local cultural or social norms or beliefs may not be used as an excuse for discrimination in any form.
- Should be aware of Montrose's criteria for recruiting, training, promoting and remunerating staff.
- Have a responsibility under their terms of conditions of engagement to co-operate in ensuring the effective operation of this policy.
- Must comply in all respects with the provisions of this policy and ensure that by their own actions they do not discriminate against others.
- Should report to management any incidents of discrimination which they have been subjected to or witnessed.

Any individual at any level within Montrose who is found to have breached the provisions of this policy will be subject to action under Montrose's disciplinary policy on the grounds of misconduct which may include dismissal.

#### 7.1.2. What is discrimination?

Discrimination can take a number of forms:

##### **Direct discrimination**

Direct discrimination occurs where an individual is treated less favourably or subjected to a disadvantage on discriminatory grounds, e.g. because of their sex or marital status. Direct discrimination can occur even if unintentional e.g. a woman with young children is rejected for a posting because it is feared she may be "unreliable" as a result of her childcare commitments.

##### **Indirect discrimination**

Indirect discrimination occurs where an unjustified condition or requirement is applied to all individuals but which in practice has a disproportionate and adverse effect on one particular group e.g. if a job application is required to have a GCSE English Language qualification, this would have a disparate adverse impact on people educated overseas and may not be justified if all that the job requires is a reasonable level of literacy.

##### **Disability discrimination**

Disability discrimination occurs where an individual is unjustifiably disadvantaged for a reason connected with his/her disability unless the discrimination cannot be avoided by making reasonable adjustments, e.g. a position is not offered to a job applicant because he/she is a wheelchair user and no consideration has been given to whether working arrangements or premises can reasonably be adapted to his/her needs.

## **Victimisation**

Victimisation occurs where an individual is treated less favourably because he/she has made a complaint or assisted someone else in making a complaint asserting their statutory rights.

### **7.1.3. Implementing equality of opportunity**

It is Montrose's policy not to discriminate against an individual on the grounds of colour race, nationality, ethnic or national origin, sex, gender reassignment, marital status, age, sexual orientation, political beliefs, religion or disability at any stage of the recruitment procedure or during engagement.

Candidates will be sourced and the interviewing processes will be conducted fairly, objectively and without bias. Selection procedures will be reviewed from time to time to ensure they are appropriate to achieving Montrose's aims and objectives and that they avoid discrimination.

The requirements of candidates and staff who have or have had a disability will be reviewed to ensure that whenever possible, reasonable adjustments are made to enable them to enter into or remain in engagement with Montrose. Promotion opportunities, benefits and facilities for disabled staff will not be unreasonably limited and every reasonable effort will be made to ensure that disabled staff participate fully in the workplace.

Person and job specifications will be limited to those requirements necessary for the effective performance of the job concerned.

All salary and remuneration packages will be governed by the individual's capability, experience, position and value to Montrose.

Career progression decisions will be made upon the basis of merit and capability only.

Appropriate training and resources will be provided where required to enable managers and supervisors and other staff to implement and uphold the provisions of this policy.

### **7.1.4. Remedies against discrimination**

If you feel that you have been discriminated against, or you have witnessed behaviour which you believe amounts to discrimination, you should first bring this to the attention of your Line Manager, the Human Resources Manager or any member of the Senior Management Team.

It is the duty of all staff to report, without delay, any acts of discrimination. The matter will be fully investigated. Both the complainant and the accused, together with any other relevant parties or witnesses, will be interviewed. Disciplinary action may be taken against any member of staff who is found to have committed a discriminatory act contrary to the provision of this policy. If the complaint is found not to be as a result of discrimination but as a result of a misunderstanding, a meeting will be held between the manager, staff member and Human Resources Manager. The purpose of this meeting will be to establish the cause of the problem, decide on future action required to resolve the dispute, and confirm the time within which the agreed action should take place.

In the unlikely event that a complaint is found to have been made maliciously, the complainant may be the subject of disciplinary action under Montrose's disciplinary policy.

### 7.1.5. Impacts of discrimination

In addition to the legislative issues, discrimination affects the efficient management of Montrose as a business. Discriminatory action by staff can mean that:

- The most talented applicants are not offered vacancies.
- Promotion of the most able staff is prevented.
- Training of less developed staff is prevented.
- More capable staff may not be rewarded in terms of remuneration and benefits.

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## 7.2. Harassment

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Montrose is committed to providing a work environment that is free from any form of harassment. Harassment is any act or conduct including spoken words, gestures, or the production, display or circulation of written words, pictures or other material if the action or conduct is unwelcomed by the staff member and could reasonably be regarded as offensive, humiliating or intimidating.

The harassment covered by this policy is based on one or more characteristics of the staff member, e.g. marital status, family status, sexual orientation, religious belief (or none), age, disability, race, colour, nationality or ethnic or national origin or membership of the traveller community. Harassment can be a one-off event or persistent and repeated behaviour. It can include, but may not be limited to:

- Non-verbal isolation, exclusion, refusing to listen to a point of view.
- Verbal spoken words, shouting, unfair and excessive criticism.
- Physical abusive behaviour, production, displaying or circulation of words, pictures or materials.

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## 7.3. Sexual harassment

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Sexual harassment is any act of physical intimacy, request for sexual favours or other act or conduct including spoken words, gestures, or the production, display or circulation of written words, pictures or other material that could reasonably be regarded as sexually, or otherwise on the grounds of gender, offensive, humiliating or intimidating. It can be a one-off event or persistent and repeated behaviour. It can include but may not be limited to:

- Non-verbal looks, gestures, whistling, suggestive symbols, pictures.
- Verbal advances, propositions, suggestions, jokes, comments, innuendo.
- Physical groping, kissing, fondling, unnecessary touching, assault or rape.

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## 7.4. Bullying

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Workplace bullying is repeated inappropriate behaviour, direct or indirect, whether verbal, physical or otherwise, conducted by one or more persons against another or others, at the place of work and/or in the course of engagement, which could reasonably be regarded as undermining the individual's right to dignity at work. An isolated incident of the behaviour described in this definition may be an affront to dignity at work, but as a one-off incident, is not usually considered to be bullying, although it may still have disciplinary implications.

Bullying is distinct from conflicting views and interpersonal difficulties in the workplace which should be dealt with through the appropriate staff reporting channels.

Forms of bullying include:

- Physical contact
- Verbal abuse
- Implied threats
- Offensive language, gossip, slander
- Obscene gestures
- Isolation or non-co-operation or exclusion from social activities
- Coercion for sexual favours
- Intrusion by pestering and stalking
- Vandalism of personal property

This list is not exhaustive.

The member of staff involved will decide what behaviour is acceptable and, provided the decision is reasonable, the question is not what the perpetrator, Montrose or another staff member finds acceptable. This Dignity and Respect at Work Policy applies to allegations of sexual harassment, harassment and bullying against all staff and management, as well as anyone on Montrose premises such as members of the public, clients, consultants or suppliers.

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### 7.5. Reporting of incidents

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Everyone at Montrose has the responsibility to prevent harassment and to report any instances. Anyone engaging in any sexual harassment, harassment or bullying on Montrose premises or anywhere else while on business may be subject to disciplinary action, up to and including dismissal.

If you feel that you are being sexually harassed, harassed or bullied in any way in the workplace or in the course of your engagement, you are encouraged to approach the Human Resources Manager, your Line Manager or the Director of Finance and Administration. All complaints of harassment will be taken seriously, will be held in strict confidence and will be investigated promptly and in an impartial manner. Only if these instances are reported can Montrose take action to correct the situation.

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### 7.6. Rights and responsibilities

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It is the responsibility of all staff to ensure that sexual harassment, harassment or bullying does not occur in the organisation. There is a particular responsibility on Montrose's management team to ensure the prevention of incidents of sexual harassment, harassment or bullying and to take action should any incident be brought to attention.

If a complaint is made, the person to whom the complaint is reported will be understanding and sympathetic. The complaint will be taken seriously and recorded in writing. If your Line Manager receives a complaint, they will contact the Human Resources Manager. Confidentiality, where possible, will be maintained. Support and advice will be offered to staff as appropriate.

Complaints will be dealt with seriously. You are free to make a complaint. You will not be victimised for making a complaint. Any staff member who victimises another staff member for making a complaint will be subject to disciplinary procedures which may result in dismissal. However if a complaint is found to be unwarranted or malicious, disciplinary action may be taken up to and including dismissal. The person who is alleged to have harassed or bullied has rights. They are entitled to representation, a fair and impartial hearing, and the right to know what the complaint is and to answer that complaint. An allegation of sexual harassment, harassment or bullying remains an allegation until an investigation upholds the allegation.



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## 7.7. Penalties

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Disciplinary action will be taken if after an investigation the allegation is upheld. Penalties are in accordance with the disciplinary procedure set out by Montrose.

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## 7.8. Whistleblowing

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Montrose operates within a number of jurisdictions and expects all staff to co-operate by adhering to all laws, regulations, policies and procedures appropriate to the jurisdiction they work in. Please refer to the Whistleblowing Policy for further guidance.

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## 7.9. Staff relationships

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Montrose wants to ensure that you create lasting and professional business relationships with fellow colleagues. It is your responsibility to ensure that you conduct yourself in a professional manner at all times.

### 7.9.1. Fraternisation

Fraternisation is "the action of meeting someone socially, especially someone who belongs to an opposing army or team or has a different social position."<sup>1</sup> It also refers to having a consensual relationship with a subordinate or co-worker.

### 7.9.2. Sexual relationships between colleagues

Romantic relationships between colleagues are discouraged and should be avoided. Should a situation arise, you are to report this to your Line Manager immediately.

### 7.9.3. Relationships with senior management

Romantic relationships between subordinates and senior managers are strongly discouraged and should be avoided at all times. Should a situation arise, you are to report this to the Managing Director immediately.

### 7.9.4. Engagement of relatives

Everyone at Montrose should be hired, recognised or promoted because of their skills, character and work ethic. We do not allow nepotism or favouritism and, as such, restrictions may apply in cases where a relative is applying for a position with Montrose.

Relative means related by blood or marriage within the third degree to staff. This includes parents, grandparents, in-laws, spouses or domestic partners, children, grandchildren, siblings, uncles, aunts, nieces, nephews, step-parents, step-children and adopted children.

As a staff member, you may refer your relatives to Montrose, although the following restrictions will apply:

- You may not be involved in a supervisory/reporting relationship with a relative.
- You may not be transferred, promoted or hired into a reporting relationship with a relative.

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<sup>1</sup><https://dictionary.cambridge.org/dictionary/english/fraternization>

- You may not be part of a hiring committee when your relative is interviewed for that position.

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## 8. PERFORMANCE MANAGEMENT

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### 8.1. Appraisals

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One of the most important functions of management in Montrose is to provide staff with the opportunity to develop their talents to the full, so that they may make a positive contribution to Montrose.

The appraisal of staff performance takes place at least monthly through informal meetings, information discussions between management and staff, and through team briefings.

Management recognises that a formal appraisal system is a necessary element of effective performance management. Under this, information about the performance, abilities, potential and aspirations of staff are recorded. The process of self-development and self-directed learning is encouraged and facilitated within Montrose. Montrose's appraisal system actively contributes to this process.

Montrose's appraisal system has the following main objectives:

- To assess how the job has been performed, to discuss this performance with the individual concerned and, where possible, to determine how it can be maintained or improved.
- To develop a two-way dialogue aimed at staff development. Staff can use this forum to raise issues regarding resources and work systems that may be affecting their work performance.
- To assess potential in the short- and long-term and to assist in planning the individual's career development.
- To set objectives for the period until the next appraisal.
- To increase job satisfaction of all staff within Montrose.
- To motivate staff by recognising achievements.
- To improve communications between management and staff.
- To identify individual and organisational training needs.
- To clarify the role of each individual in the achievement of corporate objectives.
- To confirm that the current job objectives are accurate and fully understood.
- To discuss career options for staff within Montrose.

Formal quarterly and annual appraisals will take place during the year and will be in a structured format and be fully documented and agreed between you and your Line Manager on Zoho. The managers should ensure that adequate time is allocated to prepare for and carry out the appraisals without interruption.

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### 8.2. Formal quarterly appraisals in Zoho

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At the end of each quarter, you will have the opportunity to evaluate your performance for that quarter and this evaluation should be documented within Zoho Self Appraisal. Once you have completed the self-assessment, your line manager will have the opportunity to provide their feedback on your performance within the same document in Zoho.

The purpose of the Self-appraisal is to review your progress made towards the goals which were set for you at the beginning of the quarter, as well as your progress against the department's key result areas ("KRA"). You are required to provide comments as evidence for the rating which you have selected to assign as an indicator of your progress made.

The following rating system should be considered when completing your self-appraisal and assigning a rating to each of your goals and KRAs:

Score range	Rating	Description
5.0	Outstanding	Always overachieves in all areas of the company with outstanding performance extending beyond their job description and department. Delivers well and fully of the grade above in all respects.
4.0	Excellent	Occasionally delivers to the responsibilities of a grade above Occasionally goes above and beyond their area of responsibility. Occasionally exceeds expectations.
3.0	Satisfactory	Consistently delivers high quality work in line with expected standards. Performs all tasks as set out in their job description. Meets all expectations.
2.0	Needs improvement	Quality of work is not always consistent and/or is lacking. Does not always meet expected standards. Does not always deliver in line with job description.
1.0	Unsatisfactory	Quality is consistently poor / unacceptable. Does not meet expected standards. Does not deliver in line with job description at all.

For guidance of the different requirements for each grade, please refer to Appendix A.

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### 8.3. Line management responsibilities

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As a line manager, you are responsible for your line reports' performance. To discharge your responsibilities effectively, we expect you to:

#### 1. Set clear objectives and goals

Your line reports should know what you expect of them. Discuss and agree the specific objectives, goals and tasks for each person (or team wide if applicable) for the quarter.

Evaluate, review and renew the objectives, goals and tasks on a quarterly basis as part of the formal quarterly performance review process.

#### 2. Provide useful feedback

During weekly, monthly and quarterly meetings, provide detailed feedback by using examples of performance as evidence.

The feedback should be well rounded and include praise for tasks well done, and guidance in areas of development which could benefit from further improvement.

Be fair, comprehensive and transparent and give detailed guidance with examples on how your feedback should be implemented.

#### 3. Keep your team members engaged

Engagement will only be effective when all the parties involved have the opportunity to make a meaningful contribution to their development and attainment of career aspirations. This is achieved by practising active listening.

#### 4. **Maintain evidence to support performance feedback**

You are expected to be able to support any feedback provided to your line reports or the senior management team. The evidence is expected to be unbiased, fair and comprehensive, speaking to all areas of the line report's performance under review.

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### 8.4. Performance standards

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Our aspiration as Montrose is to be distinguished as a high-performance organisation with excellent people. The appraisal system is designed to establish clear goals and performance measures and rigorously applies challenging performance standards in all areas of Montrose.

You will be given appropriate and sufficient training to carry out your duties effectively and are expected to reach and maintain a required level of performance. If it is felt by your Line Manager that performance levels are not being met following the appraisal process, disciplinary action may be invoked. Prior to taking the decision to invoke the disciplinary procedure, your Line Manager will ensure appropriate steps have been taken as set out below to manage your performance. In the event that your performance has not improved, this will be thoroughly discussed with you and with the Senior Management Team.

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### 8.5. Managing poor performance

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Deterioration of performance is not only harmful to the well-being of the person, but also on the team of which they are part of. As such, it is imperative that poor performance is addressed by following the process below:

#### 1. **Do not delay**

When you have identified poor performance, you should raise it with the line report immediately. When you wait too long to address performance issues, opportunities for incidental or casual counselling sessions are missed. This can also lead to your line report having a false impression of their performance and being shocked at their feedback during the quarterly performance appraisal sessions.

#### 2. **Having difficult conversations**

Nobody likes being the bearer of bad news and so it may be tempting for you to withhold some of the negative feedback during a performance meeting. Lack of honesty and withholding of information does not benefit your line report, the team or Montrose. You need to communicate honestly and completely with your line report so that they may understand in which areas improvement is required. Evidence needs to be provided for each part of the feedback with demonstrable examples of what improved performance will look like. Both you and your line report need to discuss and agree which areas need to be improved and what the expected standard of performance is. A plan of action to address the areas of poor performance needs to be set and agreed. When setting the plan, the following needs to be documented:

- What actions or activities need to be improved, i.e. which goals need to be achieved?
- What is the timeframe in which your line report has to evidence improvement for this goal?
- How will you measure whether your line report has achieved the goal?
- How frequent will you meet during this time to measure and discuss the progress made?

#### 3. **Follow-through**

Once you have had conversations with your line report, and you have both agreed a plan to improve performance, progress against this plan needs to be monitored and evaluated. Regular sessions need to be planned with your line report, to discuss and monitor whether their

performance has improved. It is your responsibility to monitor your line report and to ensure they adhere to the plan of action set during step 2.

#### **4. Document each step**

Management of your line reports should be well documented and supported with evidence. This does not need to be an onerous process of completing forms and reports. Any meeting minutes, notes of conversations, emails or any other documents can also serve this purpose.

#### **5. Take action**

At the end of the performance improvement timeframe as set in step 2, a conclusion needs to be reached about whether your line report's performance has improved to an acceptable standard as agreed before. If they have improved sufficiently, this will conclude the performance improvement plan. If however, your line report has not improved sufficiently and their performance standard is still lacking, the following actions need to be taken:

- Formal meeting between yourself and the HR manager, detailing all the steps and actions taken with supporting evidence of the line report's performance
- Letter of warning to be issued to the line report
- Meeting to be held with yourself, the line report and HR manager to discuss reasons for poor performance with a further opportunity and action plan to improve performance
- The HR manager will inform the senior management team
- If, after the action plan has been implemented and performance is still not up to the standard required, termination of the line report's contract will be considered.

Communication forms an important part of this process. You may agree with your line report to involve HR with this process from the start, however it is imperative that confidentiality and sensitivity shall be applied by everyone involved in this process.

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### **8.6. Disciplinary policy and procedure**

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The purpose of this policy is to ensure Montrose's standards, rules and regulations are upheld at all times by staff. It defines the process by which failure to meet these standards will be handled. The primary objective of this policy is to help staff whose performance falls below the requirements to achieve the necessary improvement. It is also there to promote co-operation between Montrose and staff, as it is in our mutual interest that issues arising between the parties can be readily identified and dealt with in an orderly manner.

If performance standards should drop below an acceptable level or if there is any breach of rules or regulations, Montrose will seek to improve the situation. It is important to understand what has led to the situation and to re-establish co-operation and understanding to prevent a recurrence. When work falls below an acceptable standard, every opportunity will be given to the staff member to improve. If standards of work continue to fall and there is a necessity for action, a pre-disciplinary information discussion will take place.

If your behaviour is inappropriate and unacceptable, this will lead to a pre-disciplinary information discussion or, where the behaviour is of a more serious nature, a disciplinary investigation, which may or may not lead to disciplinary action being taken.

Breaches of rules or regulations will lead to the initiation of the formal disciplinary procedure. If Montrose views an incident sufficiently seriously, the matter may result in dismissal without recourse to the earlier stages.

Issues will always be discussed with the staff concerned, who will be given the opportunity to make comment, reply or to explain before any decision concerning disciplinary action or dismissal is taken. The Senior Management Team will normally deal with subsequent stages.

If the issue being investigated is deemed sufficiently serious, staff may be referred immediately to the final stage of the procedure to be considered under gross misconduct. Within the probationary period, any staff member may be referred immediately to the final stage of the procedure. In addition, Montrose may not consider it appropriate to follow these procedures during the probationary period.

This policy is not contractual and Montrose may at its absolute discretion choose not to follow the procedure or part of the procedure in any particular case. Your rights to natural justice will be upheld at all times.

#### 8.6.1. Offences

Montrose will normally consider the following offences of misconduct, or gross misconduct, as appropriate reasons for initiating disciplinary action. In addition, disciplinary action may be appropriate as a result of inefficiency. Inefficiency occurs when, after appropriate training, staff cannot achieve or maintain the performance standards necessary for their job and seniority.

#### 8.6.2. Misconduct

The following are examples of misconduct. This list is not exhaustive:

- Minor damage to property
- Minor breach of rules
- Minor failure to observe policies or procedures
- Regular and/or unexplained absences

#### 8.6.3. Gross misconduct

The following offences are examples of gross misconduct. These examples are not exhaustive or exclusive and offences of a similar nature will be dealt with under this procedure. Gross misconduct may result in immediate dismissal without notice or pay in lieu of notice.

- Gross insubordination
- Sexual harassment/harassment/bullying
- Serious breach of Montrose rules, policies or procedures, especially those designed to ensure safe operation
- Divulging confidential information
- Theft
- Misappropriation of Montrose property or materials
- Consumption of alcoholic liquor or drugs which could affect work performance in any way or cause abuse to other staff
- Damage to Montrose records or property
- Defrauding or attempting to defraud Montrose, its clients, suppliers, consultants or fellow staff
- Unauthorised use of computer terminals/systems or unauthorised entry into Montrose files
- Misuse of telephone, email and internet systems
- Gambling or money lending on the premises or in the course of engagement
- Violent or dangerous intimidatory conduct

- Horseplay<sup>2</sup> on Montrose premises or grounds or in the course of engagement

This list is not exhaustive.

#### 8.6.4. Criminal offences and/or legal requirements

Under normal circumstances, Montrose will not employ, or continue employing, anyone who has been convicted, or anyone who has pleaded guilty, to crimes which involve a breach in trust or dishonesty. Some convictions become legally "spent" after a period of time according to the severity of the offence. Staff are not expected to disclose legally "spent" convictions. If Montrose becomes aware of any legally "spent" convictions, staff are assured that the knowledge will not influence any decisions about their engagement.

If you have any past convictions which are not "spent" or if any criminal charges are brought or are pending while employed by Montrose, it is your responsibility to inform the Human Resources Manager immediately. The same applies if any civil actions arise which may affect your engagement, such as bankruptcy.

Montrose will consider each case in light of the particular circumstances before deciding whether there are any implications for your continued engagement. Failure to disclose any criminal charges or relevant civil actions may lead to disciplinary action, up to and including dismissal.

You should report your involvement in any criminal offences outside your engagement of Montrose immediately to your Line Manager. If the offence has a potential impact on your suitability for the work you do or your acceptability to other staff then the disciplinary procedures may be implemented.

#### 8.6.5. Investigation procedure

Prior to taking the decision to invoke a stage of the disciplinary procedure, the individual's Line Manager will ensure that the situation has been thoroughly investigated in accordance with this investigation procedure. This will be a fact-finding process and will necessitate the gathering of information from relevant parties.

Investigation is an integral part of the process and on occasions may require staff to be suspended on full pay while it is carried out. This is not a disciplinary sanction. Equally, staff have the right to gather information in their defence, so they can present details if the decision is taken to invoke a stage of the disciplinary procedure.

Once the investigation has been completed the individual's Line Manager will inform the staff member of the findings and the outcome.

Where the decision is taken to invoke a stage of the disciplinary procedure then the staff member will be informed of the case against them so they can respond in an informed manner at a disciplinary meeting.

Where the decision is taken not to invoke a stage of the disciplinary procedure, the staff member will, if appropriate, be counselled and details of the issue placed on the staff member's human resources file for recording purposes.

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<sup>2</sup> <https://dictionary.cambridge.org/dictionary/english/horseplay>

#### 8.6.6. Disciplinary procedure

At all stages of the disciplinary process, the investigative procedure detailed above may be applied, however it should not be necessary to use the formal disciplinary investigative procedures if problems are dealt with early. Minor infringements such as late arrival, or minor errors in work output, for example, should first be dealt with informally.

The next stage/a further stage can be initiated as soon as the staff member's Line Manager is of the view that sufficient improvement has not been made.

#### 8.6.7. Considerations on formal disciplinary action

When the matter is more serious, the appropriate formal procedure will be applied. Any decision to enter into formal procedures should be reasonable in all circumstances and should only normally occur after establishing and considering:

- The facts
- The seriousness of the issue
- If a verbal warning has been given
- The staff member's disciplinary history
- Any other material circumstances

#### 8.6.8. Initial stage

A verbal warning may be appropriate if your standard of work, conduct or behaviour deteriorates or if there is a breach of regulations.

Where more formal action is taken, Montrose must set out in writing the alleged conduct, performance, characteristics or other circumstances which lead the manager to contemplate taking disciplinary action. Should such a case arise, a copy of this statement will be sent to you and you will be invited to attend a meeting to discuss the allegations. You must make all reasonable steps to attend and will be given up to three days before the meeting to consider their response. A colleague or friend who is not personally involved in the issue may be present.

The meeting will consider the facts and any mitigating circumstances. An action plan, including a scheduled time for improvement and date for reappraisal, will be set if relevant. Minutes of the meeting, which must be signed by all parties, including the final decision, will remain on your file for a maximum of two years, after which it will be removed from the human resource file permanently. If a warning is issued, a written record of the warning will be given to you and a copy placed on your human resources file. The written warning will state clearly that you may be liable to further disciplinary action should your performance, conduct or behaviour not improve or should there be a further breach of Montrose rules. In the event of no further misdemeanours occurring and performance sufficiently improving for a period of two years, the warning will be removed from the human resource file. You will be advised of your right to appeal against the decision to take disciplinary action.

#### 8.6.9. Further action

If the manager is of the view that there has not been sufficient improvement in your work, conduct, or behaviour, a further disciplinary meeting will be held with you. Montrose must again set out in writing the alleged conduct, performance, characteristics or other circumstances which have led the manager to take disciplinary action. Montrose should follow the same procedure that was followed during the initial stage.



When the decision is taken to issue a written warning then a copy of the warning will be retained and placed on your human resources file and a copy will be given to you. The written warning will state clearly that you may be liable to further disciplinary action should your performance, conduct or behaviour not improve or should there be a further breach of Montrose rules.

If a final written warning is issued, this will state clearly that the next stage may be termination of engagement if conduct, behaviour and/or performance does not improve. The written warning will remain on your human resources file for up to two years. In the event of there being no further misdemeanours and the performance has improved sufficiently then the warning will be removed from the human resource file after the appropriate period. You will be advised of your right to appeal against the decision to take disciplinary action.

#### 8.6.10. Final stage procedures

If the manager is of the opinion that the situation has further deteriorated or that sufficient improvement has not been made, a further disciplinary meeting will be held with you, following the same procedures as above. In cases where a final written warning has previously been issued, the written invitation to the meeting should state clearly that the meeting could result in the termination of your engagement. In the case of gross misconduct, the relevant written correspondence will remain on your human resources file for up to five years. In the event of there being no further misdemeanours and your performance improving then the warning will be removed from the human resource file after two years. You will be advised of your right to appeal against the decision to take disciplinary action.

#### 8.6.11. Sanctions that may be applied by Montrose

- Written warning
- Final written warning
- Stoppage/postponement of next pay award, either salary and/or discretionary bonus payment with appropriate notice
- A disciplinary transfer to an alternative department/section
- Forfeiture of pay or loss of a specified amount of pay relating to an offence
- Downgrading with a reduction in pay
- Reduction in pay
- Dismissal or summary dismissal<sup>3</sup>

#### 8.6.12. Dismissal

There will be two alternative courses of action available following this sanction. The action taken will depend on the circumstances. The consent of the Managing Director or delegate is necessary before dismissal takes place.

##### **Option 1**

You will be dismissed if you have failed to improve during the previous stages. Appropriate notice will be given or payment in lieu of notice will be made.

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<sup>3</sup> Summary dismissal means when someone is dismissed immediately on the spot, without notice or pay.

## Option 2

In an instance of alleged gross misconduct, a full investigation will be held and you may be dismissed without notice and without conducting the previous stages of the procedure.

Where you are dismissed, appropriate notice of the decision to terminate your engagement will be given. If dismissal with notice takes place, Montrose reserves the right to require that you no longer attend your place of work for the duration of the notice period.

### 8.6.13. Suspension with pay

This may apply if a situation requires significant investigation. Suspension with pay will be applied after due consideration by your Line Manager. In all cases of potential gross misconduct, suspension will normally apply.

The suspension will be confirmed in writing with a copy placed on your human resources file and a copy given to you.

Suspension with pay is not considered to be action taken under the disciplinary procedures and is not a penalty or sanction. Suspension with pay is used to ensure that issues are dealt with in a fair and reasonable manner.

### 8.6.14. Appeals

You have the right to appeal the decision to take disciplinary action, where practicable. Appeals must be detailed in writing including the grounds for the appeal and must be given to the Director of Finance and Administration within five working days of receipt of the notification of the date of the decision to take disciplinary action.

Appeals will be held by the next level in the reporting structure in relation to the staff member, by designated representatives of Montrose. The appeal will normally be held within 10 working days of receiving the written letter of appeal. In exceptional circumstances a peer of the disciplining manager may hear the appeal. A colleague or friend who is not personally involved in the issues may be present.

Following the appeal decision, the staff member will be informed in writing and the results placed on their human resources file. There is one level of appeal at each formal stage of the disciplinary process and this decision is final.

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## 8.7. Grievance procedure

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The purpose of the grievance procedure is to enable you to express any problems or concerns you may have and to have them resolved quickly and satisfactorily. Initially, you are encouraged to contact your Line Manager to resolve a grievance. If the grievance is not resolved at this stage, the next level of management and the Human Resources Manager should be contacted in order to resolve issues informally.

Montrose understands that when people work together there will be issues or misunderstandings that need to be dealt with from time to time. Our policy is that good communication, openness and a willingness to cooperate and listen should help to resolve these issues efficiently and effectively. To that end, we have an open-door communications policy. This means that you can approach any person in authority or the Human Resources Manager to discuss the issues in the first instance. Montrose recognises that problems left unresolved can become grievances.

Montrose wants to ensure that all staff have the opportunity – and that procedures are in place – to discuss any problems or concerns they may have about their engagement with Montrose. It is the responsibility of all Line Managers to listen and respond efficiently and effectively to all concerns. Please refer to the Grievance Policy for further guidance.

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## 9. STAFF DEVELOPMENT

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### 9.1. Training policy

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Training and development is an ongoing process aimed at fulfilling organisational needs and individual growth. Montrose intends that all staff appointed to a job will be properly selected and inducted. In addition, Montrose will ensure that all training pertinent to a staff member's development and job performance is met. The identification of training needs is established on an ongoing basis and through the appraisal process. Managers should select courses that are specific for their team's roles. The success of training depends on the commitment of both management and staff to training. Staff are obliged to cooperate fully with Montrose's training programmes. Attendance at all external training courses should be approved by Line Managers prior to the course being arranged.

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### 9.2. Education policy

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Montrose is committed to developing you to your fullest potential, by supporting you in meeting your educational goals and objectives. Many career goals involve undertaking further education and study programmes which develop knowledge, understanding and skills relevant to your future career aspirations within our business. It is our aim to encourage and assist staff in obtaining professional qualifications that are relevant to Montrose. The following policy details our assistance.

Approval for enrolling in any course should be sought from your Line Manager. We may consider covering some or all of your costs, and this expenditure will have the following conditions attached to it.

- Costs for study may be covered up to the first examination entry.
- Any subsequent re-sits of examinations must be covered from your own financial resources.
- You may not be allowed to proceed to another module until the existing one has been passed, other than when you are covering the cost from your own resources.
- Before commencing or committing to any course of professional study, you must complete a Professional Qualification Support Agreement, which must be approved by the Managing Director. Please pay particular attention to the various circumstances in which Montrose will expect to be reimbursed for monies that have been paid out.

A new agreement must be completed for each request for support for any further subjects, courses or costs.

#### 9.2.1. Study/examination leave

Study/examination leave is available and will be granted on a case-by-case basis. All requests for study leave should be made to your Line Manager well in advance of the required dates. The decision as to whether study leave is granted will be dependent upon the workload of the department at any one time.

Please note that there is a maximum of 10 days study leave per person per year.

### 9.2.2. Continuing professional development

You are expected to maintain your own continuing professional development where required. Approval should be sought from your Line Manager to attend any external courses during working hours well in advance of the dates of the courses.

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## 10. GUIDE TO USING SOCIAL MEDIA

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### 10.1. Introduction

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Montrose fully endorses the use of social media as a business networking tool and encourages its appropriate use for the benefit of all involved. Social media is not without its risks and challenges and these guidelines are here to help you and Montrose obtain maximum value from social media while limiting the risks and avoiding potential issues.

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### 10.2. What is social media?

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Social media can be defined as 'a global conversation around sharing ideas, thoughts, views and perceptions. Popular social media networking websites include Facebook, Twitter, MySpace, Instagram and LinkedIn.

Other popular sites include:

- Multimedia: YouTube, Flickr
- Online collaboration: Wikipedia
- Live streaming: Skype
- Review sites: Amazon, Trip Advisor

The biggest change that social media has imparted is the transformation of people from content consumers to content producers and as a business we must recognise that this facilitates conversations among our current and potential audience. It is important that Montrose is involved and engaged with our audience and adds value to these online conversations and communities.

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### 10.3. Why do we need social media guidelines?

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It is important that Montrose's reputation, values and integrity are not compromised through our personal or professional use of social media. It is critical that our participation in social media reflects our business values with staff fully understanding the risks and consequences that can be associated with a single posting, tweet or comment.

The viral nature of the internet and social media means that information can be forwarded, recorded and categorised in search results; this means that once published, online information can be difficult, if not impossible, to remove.

What, where and how we publish is important because the lines between public and private, personal and professional life are becoming increasingly blurred. What you do and say online in a personal context can easily be associated with Montrose, so these guidelines exist to help you protect and promote Montrose and your own personal 'brand' online.

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## 10.4. Guidelines

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Our aim is to devise best practice guidelines which will provide guidance and rationale to ensure that Montrose's digital footprint is a professional one and reflects our high standards of communication.

### **Keep it confidential**

Do not publish or comment on anything you think may be of a confidential nature to Montrose, its clients, consultants or suppliers.

### **Privacy**

Social networks make it easy to upload, store and share media such as photographs, video and audio so before you upload or publish anything you need to consider the right to privacy of people within the content. Be considerate and seek permission if you have any doubts.

### **Become trusted**

Be transparent, honest and open about who you are. Avoid using 'undercover' research or pretending to be somebody else. If you feel it would not be appropriate to comment or contribute under your own identity then don't comment at all. Social media is about gaining and earning trust.

### **Take responsibility**

Be aware that information published on the internet is almost impossible to remove and can be distributed even from within private networks. You should assume that your social media involvement is visible to everyone including your managers, colleagues and Montrose clients and consultants.

### **Personal views**

If you have a personal blog or social media profile that identifies you as a staff member of Montrose or that discusses topics associated with Montrose, make it clear the views are your own and not the views of Montrose.

### **Endorsement**

Do not promote or discuss programmes or Montrose through social media in exchange for cash/gifts. If you have been sent a product for free to review make sure that you disclose this. For more information about our anti-bribery and corruption guidelines, please refer to the Anti-Bribery and Corruption Policy.

### **Research and information**

Always explain how you intend to use any information you collect online.

### **Respect copyright**

Be aware of what you post and who owns the copyright. We are more than happy for you to share Montrose content and post links to news articles, audio and images (subject to copyright) from your personal online profile; however, copying and posting it on a personal site or profile without crediting Montrose is an infringement of our copyright and is not permitted.

## Timing

Speed is of the essence: social media is a conversation and it should flow, so comments and interactions should be made quickly. This is crucial if you want to be engaged and an active part of an online community.

## Profile

On sites such as LinkedIn we suggest that you keep your profile as up to date as possible and use the settings that allow you to control the amount of information that can be viewed by your connections.

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### 10.5. Social media terms of use

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The following terms should be adhered to at all times, including during periods of leave. You must ensure that your content, or links to other content, does not:

- Interfere with your work commitments
- Contain libellous, defamatory, bullying or harassing content
- Contain breaches of copyright and data protection
- Contain material of an illegal, sexual or offensive nature
- Include information that is confidential to Montrose
- Bring Montrose into disrepute or compromise Montrose's brand and reputation
- Use Montrose to endorse or promote any product, opinion or political cause

If content published by you or others implicates you in the breach of these terms, it may lead to an investigation and disciplinary action in accordance with Montrose's disciplinary policies.

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### 10.6. Social media use in work

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The use of social media for personal purposes is NOT encouraged within working hours, however you are permitted to access your social networks during permitted breaks, out of hours, etc. You must follow the guidelines within this document and use your best judgement with regards to the type of information you post.

It is appropriate to post at work if your comments are directly related to accomplishing work goals, such as contributing to a group discussion or sourcing information or working with others to resolve a problem. You should participate in personal social media conversations in your own time.

If you are not an official administrator of a Montrose page or profile, please do not respond to comments or posts on behalf of Montrose. Please refer to the Communications Strategy for further information and guidance.

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## 11. DRESS CODE POLICY

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Montrose expects all its staff to meet and maintain a standard of dress that appropriately reflects the professionalism of Montrose and industry standards with respect to dress during office hours. Clients and consultants judge by appearance. The image that Montrose staff project depends on several factors – verbal and written communication, manner and appearance.

All staff are expected to present a neat, clean and professional appearance at all times. General attire for all staff must be business-like in appearance. Staff are not permitted to wear casual fashion trends

in the office. For normal office work, dress code is expected to be conservative attire. When attending meetings outside of the office on behalf of Montrose, a higher level of professional attire may be appropriate and expected. When travelling on behalf of Montrose, personnel are expected to adhere to norms within that environment and are encouraged to find out what is appropriate in advance as feasible.

Clothing bearing colours, political emblems or inappropriate/offensive motto's may be considered unsuitable. Clothing that reveals underwear, or is too low or too short is also not appropriate in the work place. Local cultural norms should be kept in mind, so as not to cause offence to colleagues, clients or other parties. If you are uncertain about acceptable business attire for work, please ask your line manager. Montrose drivers and private guards are expected to wear Montrose T-shirts provided by Montrose.

The preference is for suits, either skirt, dress or trouser suit. Particular care and attention should be paid to footwear, i.e. appropriate shoes should be worn (fashion boots, trainers or flip-flops are not considered appropriate). Hairstyles should be neat and tidy and jewellery should be discrete and appropriate. Suit jackets should be worn for any meetings with government officials.

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## **12. GENERAL**

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### **12.1. Non-smoking policy**

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There is a no-smoking policy on all Montrose property or while on Montrose business. It is the responsibility of all staff to adhere strictly to Montrose's rules governing smoking. Failure of any staff member to comply with the no-smoking policy will result in disciplinary action.

Smoking is prohibited throughout Montrose's buildings. Smokers are requested to ensure that, wherever they smoke during working hours, they dispose of their cigarettes in a proper and respectful manner.

Smoking breaks may be allowed at managerial discretion and staff should ensure that any time taken is made up within an appropriate time frame.

Smokers and non-smokers are asked for their support and co-operating in adhering to this policy.

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### **12.2. Personal property**

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Montrose does not accept any responsibility for any personal property left on any part of the premises. Staff are strongly advised not to bring large sums of money or valuable articles to work.

Any staff member found interfering with another staff member's belongings may be subject to disciplinary action, up to and including dismissal.

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### **12.3. Personal electrical equipment**

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Staff should not bring or use any personal electrical equipment on Montrose premises unless by prior agreement. Only equipment supplied by Montrose should be used. Where surge protectors are provided, these must be used.

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## 12.4. Personal details

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Montrose needs to be assured that, in the event of an emergency, accurate staff contact details are on file for ease of reference. To assist Montrose in this, it is important that staff keep the Zoho information page up to date with any changes to their personal details.

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## 12.5. Working from home

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There are three types of working arrangement currently in place for long term (non-project specific) employees in Montrose:

- Office based (Kampala only)
- Interim / ad hoc working from home, with agreement from line manager (Kampala only)
- Fully home based (rest of world)

Project-specific consultants and employees have working arrangements aligned to their project delivery, which in some cases may require fully office-based delivery or a hybrid model.

For those who have access to an office, working from home is an option where the following applies:

- Timing, communication and productivity are being delivered effectively – as determined by line manager
- Office based delivery is in place for core meetings including with internal team members

Internet provision is made available at the Kampala office. This provision should be sufficient to allow for effective calls and video meetings. If the provision is not sufficient, this should be flagged through your line manager for review – noting that data should be used for work only and that where office internet is provided, this should be used sensibly before consideration is given to increasing mobile data.

Irrespective of whether you are working in or outside the office, you should ensure that:

- Your attire and background are appropriate for a professional working environment
- You are following appropriate information security guidelines, including using your VPN provision if in a public space

If you have the option of office-based working, the expectation is that you should be predominantly based at the office. If you are not delivering effectively at home, you should have a discussion with your line manager, who may request that you increase the proportion of working time spent at the office. You should also be particularly aware of your colleagues who are fully home based and ensure effective communication and engagement to support them to feel part of a broader team environment.

If you are fully home based and struggling with home working, please raise this with your line manager. There are shared space options available in most locations and may offer an element of distance from the home to allow for more productive working. When selecting to work in these environments, please consider your ability to hold professional video calls and maintain information security with appropriate VPN connections.



### 13. APPENDIX A

	<b>Officer</b>	<b>Manager</b>	<b>Senior Manager</b>	<b>Deputy Director</b>	<b>Director</b>	<b>Managing Director</b>
	<b>Grade 2</b>	<b>Grade 4</b>	<b>Grade 6</b>	<b>Grade 8</b>	<b>Grade 10</b>	<b>Grade 12</b>
<b>Company culture</b>	Promote the Montrose work ethic and values (People, Quality, Innovation & Responsiveness) Act as a Montrose professional at all times and follow the Montrose Code of Conduct	Promote the Montrose work ethic and values (People, Quality, Innovation & Responsiveness) Act as a Montrose professional at all times and follow the Montrose Code of Conduct	Proactively strengthen the company culture with team and direct reports Promote the Montrose work ethic and values (People, Quality, Innovation & Responsiveness) Act as a Montrose professional at all times and follow the Montrose Code of Conduct	Proactively strengthen the company culture with team and direct reports Promote the Montrose work ethic and values (People, Quality, Innovation & Responsiveness) Act as a Montrose professional at all times and follow the Montrose Code of Conduct	Supports 6 monthly review of company culture Proactively strengthen the company culture with your team and direct reports Promote the Montrose work ethic and values (People, Quality, Innovation & Responsiveness) Act as a Montrose professional at all times and follow the Montrose Code of Conduct	Sets / signs off company values and Code of Conduct Reports to the Board on overall company culture Proactively strengthen the company culture with your team and direct reports Promote the Montrose work ethic and values (People, Quality, Innovation & Responsiveness) Act as a Montrose professional at all times and follow the Montrose Code of Conduct
<b>Documents (General)</b>	Format Proof-read Co-ordinate inputs Update workplan Send out forms (e.g. TA feedback)	Essential level: Writing QA Setting / review structures Trouble-shooting inputs Managing workplan	Higher-level (technical/strategic): Writing QA Setting / review structures Trouble-shooting inputs Overall mgt of workplan, timelines, deliverables	Technical inputs Technical review Final quality control Setting Co. standard Oversight of deliverables development, timing, logic Final sign-off for assigned projects	Enforcing and monitoring Co. standard Higher-level: Technical inputs Technical review Final quality control Oversight of deliverables development, timing, logic Final sign-off for assigned projects	<ul style="list-style-type: none"> <li>• Final sign-off proposals &gt; £150,000</li> <li>• Systems/resources in place to achieve company standard</li> <li>• Overall oversight of product quality</li> </ul>

	<b>Officer</b>	<b>Manager</b>	<b>Senior Manager</b>	<b>Deputy Director</b>	<b>Director</b>	<b>Managing Director</b>
	<b>Grade 2</b>	<b>Grade 4</b>	<b>Grade 6</b>	<b>Grade 8</b>	<b>Grade 10</b>	<b>Grade 12</b>
<b>Internal HR</b>	Personal KPIs/CPD targets met Understanding of internal career progression	Peer support Line management Identifying gaps in team, making suggestions for improvement Personal KPIs/CPD targets met Understanding of internal career progression	Reviewing gaps in team and HR systems, putting improvements in place Implementing HR systems Peer support Line management Personal KPIs/CPD targets met Understanding of internal career progression	Mentorship Line management Personal and team KPIs/CPD targets met Reviewing internal career progression in department Sense-check of team's satisfaction	Mentorship Line management Company KPIs/CPD targets met Oversight of KPI/ CPD system Reviewing internal career progression in department Responsibility for improving staff satisfaction results for department	<ul style="list-style-type: none"> <li>• Strategic oversight for group resourcing</li> <li>• Final sign-off (with Board as necessary) on remuneration and long term staffing</li> <li>• Systems/resources in place to achieve Co. standard</li> <li>• Overall oversight of HR systems and performance</li> </ul>
<b>Consultants</b>	Drafting ToRs Identifying good consultants Ensuring TA have consultant pack in good time Completed compliance and due diligence	Interviewing TA Setting ToR expectations & Reviewing ToRs Set and agree LoE with TA Negotiate with TA under supervision Ensure no TA works off contract (and full compliance relating to TA) Training TA on internal policies & company expectations Managing TA deliverables & timelines Enforcing quality standards for TA work (behaviour, technical output, engagement) Ensuring two-way TA feedback happens and is used Working with TA to identify follow on (or other) work Anticipating and judging when and how to flag TA	Leading team to ensure effective TA management Interviewing TA Setting ToR expectations & Reviewing ToRs Set and agree LoE with TA Negotiate with TA under supervision Ensure no TA works off contract (and full compliance relating to TA) Training TA on internal policies & company expectations Managing TA deliverables & timelines Enforcing quality standards for TA work (behaviour, technical output, engagement) Ensuring two-way TA feedback happens and is used Working with TA to identify follow on (or other) work Anticipating and judging when and how to flag TA mgt problems to higher levels	Mgt of TA use across the company Anticipation of TA needs at company level Troubleshooting on TA mgt - including handling troublesome TA Ensuring clear system for TA performance mgt Troubleshooting on TA mgt Ensuring effective use of TA Instilling and setting standard of engagement with TA - reinforce company values and TA value to us Networking and bringing in good Tier 1 associates	Global oversight of Mgt of TA across the company - including health check of TA tiers & setting associate level tiers Anticipation of TA needs at company level Ensuring clear system for TA performance mgt Troubleshooting on TA mgt - including handling troublesome TA Ensuring effective use of TA Instilling and setting standard of engagement with TA - reinforce company values and TA value to us Networking and bringing in good Tier 1 associates	<ul style="list-style-type: none"> <li>• Ensuring an effective TA mgt system in place and functioning well</li> <li>• Responsible for ensuring improving and growing company reputation as a quality TA mgt company</li> </ul>

	Officer	Manager	Senior Manager	Deputy Director	Director	Managing Director
	Grade 2	Grade 4	Grade 6	Grade 8	Grade 10	Grade 12
		mgt problems to higher levels				
<b>Risk Management</b>	Writing risk register for project Mgt of personal risk (e.g. JMPs) Have basic understanding of risk mgt and its importance in Montrose	Research / QA and mgt of risk register for project - including context Anticipation & flagging changes to risk in good time Mgt of personal risk (e.g. JMPs) Have advanced understanding of risk mgt and its importance in Montrose Training on risk mgt for lower grades, TA and partners Lead and oversee duty of care on projects (incl Acting as journey manager; mgt of field teams' risk (partners /TA); health etc.)	Research / QA and mgt of risk register for project - including context Anticipation & flagging changes with clear action plan to risk Mgt of personal risk (e.g. JMPs) Have advanced understanding of risk mgt and its importance in Montrose; identify improvements for risk mgt in company Training on risk mgt for lower grades, TA and partners - including proactively identification training improvements and needs Lead and oversee duty of care on projects (incl Acting as journey manager; mgt of field teams' risk (partners /TA); health etc.)	Full duty of care for everyone working for / with us (incl. Partners) Oversight of risk mgt system, including review and improving simulations / training etc. Reporting on risk mgt across department with identification of quarterly plans	Crisis mgt responsibility Setting standard for risk mgt system across department - including setting and overseeing risk thresholds Full duty of care for everyone working for / with us (incl. Partners) Oversight of risk mgt system, including review and improving simulations / training etc. Reporting on risk mgt across department with identification of quarterly plans	Head of Crisis mgt team Setting standard for risk mgt system corporate - including setting and overseeing risk thresholds Full duty of care for everyone working for / with us (incl. Partners) Oversight of risk mgt system, including review and improving simulations / training etc. Reporting on risk mgt at corporate level
<b>Finance</b>	Basic understanding of financial mgt in Montrose & department financial roles/ responsibilities Costing inputs for budgets Complying with all internal governance & finance procedures and standards (incl confidentiality, accountability)	Draft and manage budgets reviewing costing inputs ensuring financial accountability for all expenditure (within delegated authority) Monthly reviews of expenditure against pre-approved budget (compiling, reforecasting, oversight) Responsible for justifying and reporting on changes to budget expenditure - including flagging	Draft polished budgets (no gremlins in formulae -minimal to no QA needed for sign off) Reviewing costing inputs & budget structure Ensuring financial accountability for all expenditure (within delegated authority) Leading monthly reviews of expenditure against pre-approved budget (compiling, reforecasting, oversight) Responsible for justifying and reporting on changes to budget expenditure Leadership in cost saving and	Oversight and sign off budgets Spot check project monthly reviews of expenditure against pre-approved budget; approve financial accountability for all expenditure (within delegated authority) Monthly cross department budget review and overseeing financial mgt is effectively done Working with teams to	Oversight and sign off budgets and financial mgt in department - including annual budget Financial reporting for department Leadership in promoting financial understanding and learning across the company (identification of cost drivers; sharing performance) Review and acting on mgt accounts - including review of company profit levels; cash levels;	Oversight of financial position across group Reporting financial position, forecasting and financial strategy to Board Oversight mgt accounts and corporate budget Sign off of company budget, accounts and corporate governance policy (including delegated authorities)

	Officer	Manager	Senior Manager	Deputy Director	Director	Managing Director
	Grade 2	Grade 4	Grade 6	Grade 8	Grade 10	Grade 12
		<p>anticipated expenditure issues (over underspend) reviewing cashflow Leadership in cost saving and VFM (economy and efficiency) Approving financial spend up to pre-agreed delegated authority More complex understanding of cost savings; overheads; company profit</p>	<p>VFM (economy and efficiency and effectiveness) Approving financial spend up to pre-agreed delegated authority More complex understanding of cost savings; overheads; company profit</p>	<p>identify technical / delivery changes based on efficiency savings Client mgt relating to budget (negotiation, contracting, invoicing, reporting, budget changes etc.) Review, implementation, oversight and improvements of financial mgt systems for department Leadership and training for teams on cost saving and VFM (economy and efficiency and effectiveness) Approving financial spend up to pre-agreed delegated authority</p>	<p>Monthly cross department budget review and overseeing financial mgt is effectively done Approve financial accountability for all expenditure (within delegated authority) Oversee efficiency within financial mgt Client mgt relating to budget (negotiation, contracting, invoicing, reporting, budget changes etc.) Review, implementation, oversight and improvements of financial mgt systems for department Leadership and training for teams on cost saving and VFM (economy and efficiency and effectiveness) Approving financial spend up to pre-agreed delegated authority</p>	
<b>Admin</b>	<p>Basic understanding of administration procedures in Montrose and personal adherence to these (including conflict of interest declarations)</p>	<p>Ensuring all Consultant management processes (policy packs, contracting, duty of care) are planned and in place on projects or where relevant at tender development Compliance with all Montrose policies (including monthly and</p>	<p>Ensuring all consultants fully comply with Montrose policies; Identifying and sharing potential gaps or improvements to Montrose policies and procedures to ensure more efficient delivery (projects, operations, BD);</p>	<p>Reviewing adherence to Montrose policies and supporting systematic pillar reviews to ensure compliance and system improvements; Responsible to ensure training on all Montrose policies is in place for staff and consultants;</p>	<p>Quarterly reporting on compliance and systems delivery for pillar; Oversight of compliance across teams and group entities; Leadership in skills development in compliance</p>	<p>Sign off of policy and procedures, including annual reviews; Review of company capability to ensure compliance can be delivered effectively; Oversight of company compliance across MMG</p>

	Officer	Manager	Senior Manager	Deputy Director	Director	Managing Director
	Grade 2	Grade 4	Grade 6	Grade 8	Grade 10	Grade 12
		quarterly actions required e.g. cyber security management)		Working with teams to report on policy use and lead annual reviews of policies and procedures;		
<b>Technical / Research</b>	Support technical research related to projects or proposals, with direction; Write summary reports based on the research completed and be able to articulate the research findings in a meeting	Lead technical planning relating to projects and proposals to ensure appropriate resourcing and project delivery; Understand the key technical areas of the project delivery; Ensure a start of project briefing with the technical team leader to ensure understanding of the project or proposal; QA and review project reports and proposal inputs, with technical queries as necessary; Lead technical research (with guidance) for instance for proposal development	Guide junior members of staff in appropriate technical research approaches, including analytical review of reports and proposal inputs; Lead more complex research or technical background analysis for projects and proposals; Support and lead research components on project delivery as appropriate; Oversee technical quality of project delivery and proposal development, ensuring appropriate technical input as needed	Support the development of technical and research capacity within the team, ensuring routine reviews of capacity as part of the KPI review; Approve technical decisions within project delivery and proposal development (e.g. STTA plans and ToRs); Oversee the technical quality of reports and proposals; Identify areas to strengthen efficient technical delivery (staff and consultants)	Oversee the development of technical and research capacity within the team, ensuring routine reviews of capacity as part of the KPI review; Approve technical decisions within project delivery and proposal development (e.g. STTA plans and ToRs); Review and oversee the technical quality of delivery; Identify and lead systemic improvements to quality and efficient delivery (across MMG); Report on the technical impact of company delivery	Oversight of the technical quality of Montrose's work and delivery, ensuring quality control of project delivery and proposals; Ensure systems and resources are in place to catalyse and ensure the delivery technical standards;

	<b>Officer</b>	<b>Manager</b>	<b>Senior Manager</b>	<b>Deputy Director</b>	<b>Director</b>	<b>Managing Director</b>
	<b>Grade 2</b>	<b>Grade 4</b>	<b>Grade 6</b>	<b>Grade 8</b>	<b>Grade 10</b>	<b>Grade 12</b>
<b>Strategy &amp; Leadership</b>	Self-awareness of role as Montrose Ambassador	Lead the delivery or projects and proposals, coordinating inputs and ensuring efficient, quality delivery; Support the implementation and review of department strategies; Mentor and support grade 2 to anticipate and avoid potential issues with delivery;	Lead the delivery of complex projects and proposals; Mentor Grades 2& 4 on the effective delivery of projects, helping them to anticipate and plan for potential delivery issues; Input into department strategies and annual plans, and actively report on designated areas of these plans on a quarterly basis; Identify potential areas for department to consider (new technical directions; new ways of working; improvements to delivery etc.);	Lead (with Grade 10) the design and delivery of department strategy and annual plan, including quarterly reporting; Ensure clarity across the team on the department strategy and annual plan, supporting individuals to identify and realise their personal roles in its delivery; Mentor and support the mentoring abilities of the department team, encouraging cross department learning;	Responsibility for improving measures for company values, mission and vision; and business priorities; Oversight of department strategy and annual plan design, review and delivery; Forecasting and forward look overview and strategy setting for key stakeholder mgt - including directing change within department as needed;	Set the company VMV and business priorities; Agree company strategy with the Board and sign off department strategies and annual plans; Ensure coherent leadership across the company, including clarity of senior management roles;
<b>Representation</b>	Awareness of relevant stakeholder mgt plans; Self-awareness of role as Montrose Ambassador; Understand the project or proposal being delivered and be aware of the other active Montrose projects	Draft, update and implement stakeholder mgt plan for projects; Represent projects with partners and on occasion the client; ensuring good preparation and being clear on the meeting objective and strategy Understand and be in a position to clearly talk about any project or proposal managed; Have a fair understanding of all Montrose projects	Draft, update and implement stakeholder mgt plan for projects & review for grade 2/4; Actively represent Montrose to partners and clients; ensuring good preparation and identifying a clear meeting objective and strategy, guiding more junior staff in the meeting preparation ahead of time; Show the ability to analyse and think strategically during external meetings, showing good judgement and effective communication throughout; Report effectively on any representation to ensure effective partner / client management, and ensure effective follow up (with guidance where this involves proposals required for clients)	Support oversight of department level stakeholder mgt plan; Support oversight of all project level stakeholder mgt plans; Leadership for skills development within the team on effective and appropriate representation; Effective decision making around who is engaged in external representation and how they are prepared; Representing the company to clients (new and potential)	Oversight of and reporting against department level stakeholder mgt plan; Oversight of and reporting against all project level stakeholder mgt plans; Leadership for skills development within the team on effective and appropriate representation; Effective decision making around who is engaged in external representation and how they are prepared; Representing the company to clients (new and potential)	Legal representation of the company at MMG level; Representation of company progress to the Board Responsible for setting company level delegated authority (for legal rep and financial sign off) Sign off department stakeholder mgt plans;

