



Investment Industry Regulatory Organization of Canada (IIROC) Accessibility Policy – Providing Services to People with Disabilities

1. Objective

The objective of this policy is to ensure compliance with the customer service standards of the *Accessibility for Ontarians with Disabilities Act, 2005*. This policy applies to the provision of services in Ontario.

2. Our mandate

The mandate of IIROC is to set and enforce high-quality regulatory and industry standards, protect investors and strengthen market integrity while maintaining efficient and competitive capital markets.

3. Our commitment

In fulfilling our mandate, IIROC strives at all times to provide its services in a way that respects the dignity and independence of people with disabilities. We are committed to giving people with disabilities the same opportunity to access our services and allowing them to benefit from the same services, in the same place and in a similar way as other members of the public.

4. Providing services to people with disabilities

IIROC is committed to excellence in providing services to all members of the public, including people with disabilities and we will carry out our functions and responsibilities in the following manner:

4.1 Communication

We will communicate with people with disabilities in a manner that takes into account their disability. We will train staff on how to interact and communicate with people with various types of disabilities.

4.2 Publications

Where possible, we will provide our publications in alternative formats, upon request, in a timely manner, dependent upon document specifications (e.g. length of document, format required).

4.3 Telephone services

We are committed to providing accessible telephone service to all members of the public. We will train staff to ensure they are knowledgeable in their interactions with people with disabilities, both face-to-face and via telephone. We will offer to communicate with people in person, by email or by written correspondence if telephone communication is not suitable to their communication needs or is not available.

4.4 Assistive devices

We are committed to providing services to people with disabilities who use assistive devices to use or benefit from our services. We will ensure that our staff is familiar with various assistive devices that may be used by people with disabilities while accessing our services.

We will also ensure that staff know how to use the assistive devices that are available on our premises. The following assistive devices have been installed or are available at our Toronto premises:

- Accessible washrooms on the 20th floor where IIROC's reception is located.
- Accessible public washrooms located on the concourse level, 14th & 15th floors.
- Elevator halls, washrooms and stairwells are equipped with Braille signage.
- Elevators announce arrival in the lobbies with one chime for up and two chimes for down.
- Security desk is fully accessible.
- Automatic door operators exist at every entrance to the building except P3 parking area.
- Meeting rooms' tables and seating are all wheelchair accessible.

5. Use of service animals and support persons

We are committed to welcoming people with disabilities who are accompanied by a service animal to the areas of our premises that are open to the public and other third parties.

We are committed to welcoming people with disabilities who are accompanied by a support person. Any person with a disability who is accompanied by a support person will be allowed to enter the IIROC premises with his or her support person. At no time will a person with a disability who is accompanied by a support person be prevented from having access to his or her support person while on our premises.

6. Notice of temporary disruption

IIROC will provide notice in the event of a planned or unexpected disruption in the facilities or services usually used by people with disabilities. This notice will include information about the reason for the disruption, its anticipated duration, and a description of alternative facilities or services, if available. The notice will be placed at all public entrances and service counters on our premises. Depending on the nature of the disruption, notice may also be provided on outgoing telephone and posted on our website.

7. Training for staff

IIROC will provide training to all employees as appropriate. Training will include the following:

- The purpose of the *Accessibility for Ontarians with Disabilities Act, 2005* and the requirements of the customer service standard.
- How to interact and communicate with people with various types of disabilities.
- How to interact with people with disabilities who use an assistive device or require the assistance of a service animal or a support person.
- Availability of assistive devices available on our premises.
- What to do if a person with a disability is having difficulty in accessing the IIROC services.
- IIROC's policies, practices and procedures relating to the customer service standard.

This training will be provided as soon as practicable when staff commence their duties. All staff will be required to confirm that they have been trained in IIROC's accessibility policies, practices and procedures. Staff will also be trained on an ongoing basis when changes are made to these policies, practices and procedures.

8. Feedback process

Our goal is to make it easy for you to contact us and we offer equal access to our services. We welcome your feedback. If you are not satisfied with the level of service you received, you are encouraged to contact us. Qualified IIROC staff are on hand to take your questions, provide information and lead you to appropriate resources, depending on the nature of your questions. This free service is open to the public Monday to Friday between 8:30 a.m. and 5:00 p.m. **Call toll-free: 1-877-442-4322** or get in touch by completing our on-line inquiry form from our website at www.iroc.ca. Arrangements can be made for this feedback process to be provided in an accessible format or with communication supports on request.

9. Modifications to this or other policies

We are committed to developing accessible services policies that respect and promote the dignity and independence of people with disabilities. Therefore, no changes will be made to this policy before considering the impact on people with disabilities. All policies of IIROC will respect and promote the dignity and independence of people with disabilities or be modified accordingly.

10. Questions about this policy

This policy exists to achieve services excellence to people with disabilities. If you would like to receive a copy of this policy or if you have questions, please contact IIROC's General Counsel at 416-364-6133.



Investment Industry Regulatory Organization of Canada (IIROC) Multi-Year Accessibility Plan

This 2014-2021 accessibility plan outlines the policies and actions that IIROC will put in place to improve opportunities for people with disabilities and to provide inclusive and accessible services to all its stakeholders.

Statement of Commitment

IIROC is committed to treating all people in a way that allows them to maintain their dignity and independence. We believe in integration and equal opportunity. We are committed to meeting the needs of people with disabilities in a timely manner, and will do so by preventing and removing barriers to accessibility and meeting accessibility requirements under the Accessibility for Ontarians with Disabilities Act (AODA).

Customer Service Standard

IIROC is committed to excellence in serving all its stakeholders including persons with disabilities. The IIROC Accessibility Policy outlines our commitment to accessibility for each area of the Customer Service Standard of the AODA. This policy is also available in accessible format upon request.

Accessible Emergency Information

IIROC is committed to providing available emergency information in an accessible way upon request. We will also provide employees with disabilities with individualized emergency response information when necessary.

Training

IIROC will provide training to employees, volunteers and other staff members on Ontario's accessibility laws and on the Human Rights Code as it relates to people with disabilities. Training will be provided in a way that best suits the duties of employees, volunteers and other staff members.

Information and Communications

IIROC is committed to meeting the communication needs of people with disabilities. Our internet websites, technology solutions, telephone communications and in person interactions will be based on accessibility best practices.

IIROC's website was previously redesigned to be more accessible, easier to navigate and more-user friendly for all stakeholders. IIROC's website is developed to ensure compatibility with assistive technologies providing everyone with equal and appropriate access to the information they need. IIROC will continue to make its web content conform with the World Wide Web Consortium Web Content Accessibility Guidelines (WCAG) 2.0, initially at level A and increasing to level AA.

There are five planned phases and timeframes:

- Phase one: Inventory: inventory existing web applications/sites that will be included in the assessment;
- Phase two: Detailed design and modifications to in scope pages at www.iiroc.ca;
- Phase three: Training: provide staff with the tools and requirements to maintain WCAG 2.0 Level A;
- Phase four: Independent assessment and compliance;
- Phase five: Partner with Public Affairs department and, in collaboration with operating departments, provide guidelines to all staff to ensure public documents and media are readily available in alternate accessible formats.

Timeframe:

- i) Achieve WCAG 2.0 Level A by January 2014 for: all new applications and sites created after January 2012
- ii) Achieve WCAG 2.0 Level AA by January 2021 for all new content created after January 1, 2016

Employment

IIROC is committed to employment practices that are fair and accessible across all stages of the employment cycle. IIROC will continue to develop and implement employment practices to encourage persons with disabilities to participate fully in all aspects of the organization by:

- identifying and removing workplace barriers;
- maintaining inclusive employment processes for recruitment, retention and employee development, to ensure that accessibility issues are identified and, if necessary addressed;
- providing managers with accessibility training, tools and templates to support employee/workplace accommodation and address non-discrimination;
- reviewing and adapting as required, its current policies and processes with respect to individual accommodation and return to work plans for employees with disabilities, to ensure that consistent documentation are maintained and barriers to accommodation are eliminated;

- taking the accessibility needs of employees with disabilities and, as applicable, their individualized accommodation plans, into account when assessing performance and managing career development;
- continuously reviewing standards and best practices related to accessible employment.

Design of Public Spaces

IIROC will meet the Accessibility Standards for the Design of Public Spaces when building or making major modifications to public spaces. Public spaces include waiting areas at our offices in Vancouver, Toronto and Montreal.

In the event of a service disruption, we will notify the public of the service disruption and alternatives available.

Feedback Process and For More Information

Our goal is to make it easy for you to contact us and we offer equal access to our services. We welcome your feedback. If you would like to receive a copy of this plan or if you have questions, please *call toll-free: 1-877-442-4322* Monday to Friday between 8:30 a.m. and 5:00 p.m. or get in touch by completing our on-line inquiry form from our website at www.iiroc.ca.