

Policies of Duty of Care

Duty of Care – Part V

John Kyriazoglou



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POLICIES OF DUTY OF CARE

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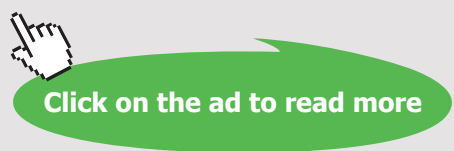
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SUMMARY AND CONTENTS

Summary: This is the fifth part of the ‘Duty of Care’ book.

It contains examples of policies that support, complement and enhance the contents of Parts 1, 2, 3 and 4 of this book.

Contents of Part 5

- Chapter 1: Wellness, Stress and Health Policies
- Chapter 2: Health Records and Human Rights Policies
- Chapter 3: Public Relations Policies
- Chapter 4: Corporate Philosophy Policies
- Chapter 5: Data, Customer and Environment Policies
- Chapter 6: Asset Protections Policies

The contents of the other parts of this book are:

Part 1: Governance Aspects of Duty of Care

The first part contains a prologue and the first three steps of the implementation approach of seven-steps.

Part 2: Operations Aspects of Duty of Care

The second part contains the last four steps of the seven-step implementation approach.

Part 3: Principles and Methods of Duty of Care

The third part describes the principles, controls and methods used to support the implementation of management’s duty of care tasks.

Part 4: Plans of Duty of Care

The fourth part presents several plans that may be used to support better the implementation of management’s duty of care tasks.

Part 6: H R Management Controls of Duty of Care

The sixth part describes a number of human resource management controls that may be used to support better the implementation of management’s duty of care tasks.

INTRODUCTION

Objective of plans

The main objectives of the policies contained in this Part of the book is to present a set of ready-made policies that could be used to implement and improve the ‘Duty of Care’ responsibilities of board members, corporate managers and other business professionals of an enterprise (private company, public organization, etc.).

For more details on how these may be used to improve the implementation process of hard controls, see chapters 1 to 7 of Parts 1 and 2 of this book.

Plan preparation

Developing each policy should be done by the board via the given corporate committee (finance, production, IT, etc.). All these should be reviewed, improved and ratified by the board before their execution and implementation.

All these policies should comply with the principles embodied in the Workplace Wellness Model (see Chapter 1 in Part 1: ‘B⁴ Workplace Wellness Model’: Believe; Bond; Belong; and Benefit’) and the particular ‘Duty of Care’ responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in the management of specific functions, employee wellness, health and safety, as well as programs, projects and activities.

Plan Revision History

Each policy should have a revision history paragraph at the end to make it easier to maintain. The contents of this are:

1. **Title of Plan:** <e.g.: Fire Safety Plan>
2. **Original Creation Date:** <day, month, year>
3. **Approved by:** <Name of Company officer>
4. **Details:** <....>
 - 4.1 **Version Number (1):** <...>
 - 4.2 **Revision Creation Date1:** <day, month, year>
 - 4.3 **Approved by:** <Name of Company officer>
5. **Details:** <....>
 - 5.1 **Version Number (1):** <...>
 - 5.2 **Revision Creation Date (N):** <day, month, year>
 - 5.3 **Approved by:** <Name of Company officer>

For more details on how these may be used to improve the implementation process of hard controls, see chapters 1 to 7 of Parts 1 and 2 of this book.

1 WELLNESS, STRESS AND HEALTH POLICIES

Summary: This chapter contains a set of three policies on issues related to ‘duty of care’ (DOC) needs, requirements and demands for a company or business organization, such as: Workplace Wellness, Occupational Stress Management and Workplace Health and Safety.

Objective: The objective of these policies is to help you analyze, design, develop and execute, in the best way possible, your ‘duty of care’ responsibilities as an owner, Board member, senior executive or other type or level professional or manager of a company in the areas of wellness, stress and health.

Typical examples of such policies are detailed next.

Policy #01: Workplace Wellness Policy

Introduction: Workplace wellness is any health promotion activities designed to support healthy behaviour in the workplace and to improve health outcomes for the employees of the given company. To establish it in your corporate environment you need to provide a set of “what to do” guidelines (a policy) for both your management staff as well as your employees.

A typical example of such a policy is detailed next:

Workplace Wellness Policy – Example

Company Name: < ‘XXY’ (fictitious business entity)>

Policy Title: Workplace Wellness Policy

1. The main aim of our Company’s workplace wellness policy is to focus on healthy lifestyle and safety choices and the prevention disease and injury to all our employees and customers or partners engaged in company offices, locations and plants.
2. Our company wellness programs will comply with the principles embodied in our Workplace Wellness Model (see ‘Company ‘XXY’ B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit’) and the particular ‘Duty of Care’ responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in wellness, health and safety programs, projects and activities.

3. Our programs may be offered in partnership with health insurance companies and other wellness providers, as needs and requirements arise.
4. Our company may contract with businesses that specialize in designing, implementing and operating wellness programs and solutions.
5. Our employees may choose to participate, but our company will offer incentives for employee participation. Also we will seek to create a wellness culture through activities and events that encourage our employees to track their participation and success.
6. Our company wellness solution will encourage all employees to take charge of their physical and mental health and safety while requiring management to take a holistic approach to worker health that includes workplace safety, a supportive environment and employee empowerment.
7. The company workplace wellness team headed by a dedicated and well-trained company officer will manage, evaluate and implement our wellness programs, projects and activities so that the best results may be achieved by their full execution to all participants.
8. Our management's role will be to support wellness efforts through awareness, training and incentives for participation and related policies such as requiring healthy food choices in vending machines and at workplace events, etc.
9. Our wellness programs may include health checks, smoking cessation and rewards for fitness accomplishments, participation in leisure time activities and other wellness practices announced from time to time.
10. Our employees may participate in health screenings, fitness events, health seminars, health coaching, wellness breaks and online health tracking.
11. Our wellness program will be designed, developed and implemented to:
 - 1) Support individual choices by employees to incorporate regular physical activity at the worksite.
 - 2) Promote prevention more than recovery.
 - 3) Assess and resolve all identified and potential risks.
 - 4) Reinforce company commitment via a proper statement to improving employee wellness.
 - 5) Comply with all relevant state legislation and applicable industry standards and requirements.
 - 6) Define a clear set of responsibilities and accountabilities for wellness at all levels.
 - 7) Engage in consultation, coordination and cooperation with all duty holders on specific issues and concerns.
 - 8) Ensure continuous improvement of wellness by establishing practical and measureable objectives and targets.
 - 9) Review and monitor wellness at all levels.
 - 10) Provide adequate training and resources to implement wellness.

12. Furthermore Company managers:
- 1) Will encourage and support all staff to utilize breaks and lunch periods for physical activity;
 - 2) Will arrange flexible schedules for employee physical activity while assuring that the primary work of the unit is accomplished within corporate standards;
 - 3) Will dedicate appropriate staff to organize and disseminate information about regular and special opportunities for physical activity;
 - 4) Will incorporate physical activity breaks when they organize full working day conferences for company purposes.
 - 5) Will monitor the performance of all wellness programs to ensure they comply with these guidelines and will make the necessary revisions and improvements as requirements and laws change.
13. This policy will be complemented by other required Company policies (e.g., Health and Safety, Occupational Stress Reduction, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified wellness issues of our Company.

Policy #02: Occupational Stress Management Policy

Introduction: Stress is a feeling of emotional or physical tension. It can come from any event or thought that makes you feel frustrated, angry, or nervous. The term ‘stress’ is derived from Latin ‘*stringere*’ which means ‘draw tight, bind tight, compress, press together, which comes from Greek ‘*strangein*’, which means ‘twist’.

Experience has shown that reducing stress in the workplace (occupational stress) need specific actions that must be executed very well.

To achieve it in your corporate environment you need to provide a set of “what to do” guidelines (a policy) for both your management staff as well as your employees.

A typical example of such a policy is detailed next:

Occupational Stress Management Policy – Example

Company Name: < ‘XXY’ (fictitious business entity)>

1. Definition of stress: ‘The Company’ defines stress as ‘the adverse reaction people have to excessive pressure or other types of demand placed on them’. This makes an important distinction between pressure, which can be a positive state if managed correctly, and stress which can be detrimental to health.

2. The main aim of our Company's workplace occupational stress management policy is to focus on healthy lifestyle and safety choices and the prevention of occupational stress to all our employees working in company offices, locations and plants.
3. Our company occupational stress management policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see 'Company 'XXY' B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
4. The company occupational stress management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our occupational stress management programs, projects and activities so that the best results may be achieved by their full execution to all participants.
5. 'The Company' will, as regards stress and anxiety management:
 - 1) Comply with relevant legal requirements and industry standards,
 - 2) Assess, on a continuous basis, all projects, operations and work activities to eliminate and minimize risks related to occupational stress,
 - 3) Set well-defined and clear performance objectives and targets,
 - 4) Prepare action plans to train all staff on occupational stress management,
 - 5) Review training to ensure that occupational stress management is effective,
 - 6) Arrange for periodic audit of the occupational stress management system,
 - 7) Provide access to competent professional advice, as required,
 - 8) Work with regulators and industry bodies to implement relevant legal requirements and trade standards related to occupational stress management.
 - 9) Communicated this policy to all staff via the company website; Links in related websites for Wellbeing, Health and Safety, Human resources and Occupational Health and in the booklet 'Health & Wellbeing Issues and Concerns: Guidelines for staff'.
6. Responsibilities of Functional Managers
 - 1) Conduct and implement recommendations of stress risks assessments within their jurisdiction.
 - 2) Ensure good communication between management and employees, particularly where there are organisational and procedural changes.
 - 3) Ensure employees are fully trained to discharge their duties.
 - 4) Ensure employees are provided with meaningful developmental opportunities.
 - 5) Monitor workloads to ensure that people are not overloaded.
 - 6) Monitor holidays to ensure that employees are taking their full entitlement.
 - 7) Attend training as requested in good management practices and health and safety issues.
 - 8) Ensure that bullying and harassment is not tolerated within their jurisdiction.
 - 9) Be vigilant and offer additional support to an employee who is experiencing stress outside work e.g. bereavement or separation, etc.

7. Responsibilities of Manager of Occupational Health & Safety
 - 1) Provide specialist advice regarding occupational stress.
 - 2) Help and support functional managers and Human Resources in implementing this policy.
 - 3) Help and support individuals who report stress issues.
 - 4) Contribute to data collection and analysis regarding occupational stress.
8. Responsibilities of Employees
 - 1) Raise issues of concern with your Safety Representative, functional manager or occupational health officer.
 - 2) Accept opportunities for counselling when recommended.
 - 3) Resist perfectionism. When you set unrealistic goals for yourself, you're setting yourself up to fall short. Aim to do your best, no one can ask for more than that.
 - 4) Be positive. Try to think positively about your work, avoid negative-thinking co-workers, and pat yourself on the back about small accomplishments, even if no one else does.
 - 5) Don't try to control the uncontrollable. Many things at work are beyond our control (e.g., the behaviour of other people). Rather than stressing out over them, focus on the things you can control such as the way you choose to react to problems.
 - 6) Look for humour in the situation. When used appropriately, humour is a great way to relieve stress in the workplace. When you or those around you start taking things too seriously, find a way to lighten the mood by sharing a joke or funny story.
 - 7) Organize yourself better. Set your clocks and watches fast and give yourself extra time. Clean up your desk. Just knowing where everything saves time and cuts stress.
9. Responsibilities of Director/Manager of Human Resources
 - 1) Give guidance to functional managers on the stress policy.
 - 2) Help monitor the effectiveness of measures to address stress reduction by analysing statistics on sickness and other absences.
 - 3) Advise functional managers and individuals on training requirements.
 - 4) Provide continuing support to functional managers and individual employees in a changing environment, as required.
 - 5) Encourage referral to occupational workplace counsellors where appropriate.
10. Responsibilities of Director/Manager of Wellbeing
 - 1) Support individual employees who report occupational stress related concerns particularly if this has an adverse impact on their employment and personal life.
 - 2) Provide access to a variety of support interventions, including counselling, groups and specific consulting to departments.
 - 3) Arrange for wellbeing related workshops to combat work related stress as appropriate.
11. This policy will be complemented by other required Company policies (e.g., Health and Safety, Wellness, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified occupational stress issues of our Company.

Policy #03: Workplace Health and Safety Policy

Introduction: Workplace Health and Safety involves the identification, assessment and resolution of risks that may impact the health, safety or welfare of your customers, employees, visitors, contractors and suppliers, while they are at your workplace.

To resolve these identified health and safety risks in your corporate environment you need to provide a set of ‘what to do’ guidelines (a policy) for both your management staff as well as your employees.

A typical example of such a policy is detailed next:

Workplace Wellness Policy – Example

Company Name: < ‘XXY’ (fictitious business entity)>

Policy Title: Workplace Health and Safety Policy

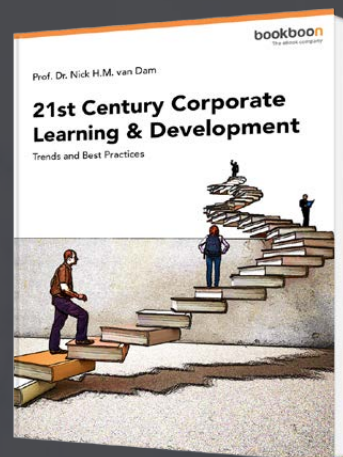
1. The main aim of our Company’s workplace health and safety policy is:
 - 1) To show the commitment of company’s management and employees health and safety;
 - 2) To remove or reduce the risks to the health, safety and welfare of all employees, contractors and visitors, and anyone else who may be affected by our business operations; and
 - 3) To ensure all work activities are done safely.
2. Our company’s workplace health and safety policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see ‘Company ‘XXY’ B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit’) and the particular ‘Duty of Care’ responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company’s workplace health and safety management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our workplace health and safety policy, programs, projects and activities so that the best results may be achieved by their full execution to all participants.
4. Our company management, as regards workplace health and safety, will:
 - 1) Adopt an effective health and safety management system;
 - 2) Allocate clear accountabilities to support its implementation;
 - 3) Provide suitable resources to meet its commitments;
 - 4) Maintain consultation and dialogue with employees on any unresolved implementation issues;
 - 5) Comply with relevant legal requirements and industry standards;

- 6) Assess work activities to eliminate hazards and minimize risks;
 - 7) Set production objectives and targets, and prepare action plans to maintain compliance and support performance improvement;
 - 8) Provide suitable training to develop appropriate competencies and skills for all employees;
 - 9) Specify standards for the selection and management of maintenance contractors;
 - 10) Review production performance, investigate incidents and implement lessons learned;
 - 11) Arrange for periodic audit of the production management system and production policies and procedures, and provide access to competent professional advice; and
 - 12) Work with regulators and industry bodies to implement relevant legal requirements and trade standards related to production.
5. Our company employees, as regards workplace health and safety, will be motivated, trained and coached:
- 1) To comply with safe work practices, with the intent of avoiding injury or harm to themselves and others and damage to systems, plant and equipment;
 - 2) To take reasonable care of the health and safety of themselves and others;
 - 3) To wear personal protective equipment and clothing where necessary and as instructed;
 - 4) To comply with any direction and instructions given by management for health and safety;

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- 5) To avoid misusing or interfering in any way with anything provided for health and safety;
 - 6) To never wear loose clothing or jewellery around machinery.
 - 7) To never distract the attention of another employee, as this might cause him or her to be injured.
 - 8) To not operate machines or equipment until they have been properly instructed and authorized to do so by the authorized supervisor.
 - 9) To shut down the machine they are working with before cleaning, repairing, or leaving.
 - 10) To keep their work area clean.
 - 11) To observe smoking regulations.
 - 12) To never block access to fire extinguishers.
 - 13) To not engage in practices that may be inconsistent with ordinary and reasonable common sense safety rules.
 - 14) To report all accidents and incidents on the job immediately, no matter how trivial or minor deemed at the time; and
 - 15) Report all known or observed or potential hazards to their supervisor or manager as soon as possible.
 - 16) To follow our company's Workplace Hazard Prevention Practices.
6. Our company Managing Director or Safety Advisor, as regards workplace health and safety will ensure that:
- 1) All employees have access to the Health and Safety Policy.
 - 2) Each employee will be given a copy of the general policy on commencement of his or her employment.
 - 3) All employees know where the first-aid kit is located, have a copy of the emergency plan and be trained on the emergency plan and evacuation procedures.
 - 4) A risk assessment is undertaken for all members of staff, work activities and systems annually. This will consist of identifying the hazards; identifying who might be harmed and how; evaluating the risks from identified hazards; and recording the results of the risk assessments so that safety procedures are adjusted to ensure adequate levels of health, safety and welfare.
7. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified occupational stress issues of our Company.

2 HEALTH RECORDS AND HUMAN RIGHTS POLICIES

Summary: This chapter contains a set of two policies on issues related to ‘Duty of Care’ (DOC) needs, requirements and demands for a company or business organization, such as: Employee Health Records Management Policy and Human Rights Policy.

Objective: The objective of these policies is to help you analyse, design, develop and execute, in the best way possible, your ‘Duty of Care’ responsibilities as an owner, Board member, senior executive or other type or level professional or manager of a company in the areas of health records management and human rights.

Typical examples of such policies are detailed next.

Policy #04: Employee Health Records Management Policy

Introduction: Employee Health Records Management is the process of managing and protecting digital and traditional medical information and data related to health records of individuals.

To establish it in your corporate environment you need to provide a set of ‘what to do’ guidelines (a policy) for both your management staff as well as your employees.

A typical example of such a policy is detailed next:

Employee Health Records Management Policy – Example

Company Name: < ‘XXY’ (fictitious business entity)>

Policy Title: Employee Health Records Management Policy

1. The main aim of our Company’s employee health records management policy is to ensure that procedures and practices are in place to maintain and manage accurate, relevant and reliable documentation at the correct time and place to support the health care aspects of our employees.
2. Our company’s employee health records management policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see ‘Company ‘XXY’ B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit’) and the particular ‘Duty of Care’ responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.

3. The company's employee health records management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our workplace health and safety policy, programs, projects and activities so that the best results may be achieved by their full execution to all participants.
4. Definition of a Health Record. A health record is anything that contains information, which has been created or gathered by any of our company employees as a result of any aspect of the delivery of health care including: Employee health records (all media e.g. electronic, paper based and scanned images); Radiology and imaging reports, photographs and other images; Audio and video tapes, cassettes, etc.; Computer databases, output and disks etc.; and all other electronic records related to health care.
5. Our company management, as regards employee health records management, will:
 - 1) Ensure an appropriate level of infrastructure is in place to allow for the safe storage of health electronic records.
 - 2) Ensure a documented procedure is implemented for the retention, destruction and archiving and transfer of records and that confidentiality is maintained at all times.
 - 3) Ensure that all company staff related to health care properly trained as regards their personal responsibilities for health records keeping.
 - 4) Ensure that security and confidentiality of all health care information is maintained at all times, in terms of: Storing records must in secure areas; Ensuring that only authorised persons gain access to them; Securing all areas where records are kept; Setting up controls to monitor any breaches of confidentiality and missing files, etc.; Protecting all electronic health record information systems with strong passwords, etc.
 - 5) Ensure that strict security measures and controls are implemented in order to protect personal health information, such as: Practices to check the quality of the health data; Encrypting health records on our websites; Backing up health data to offsite locations, etc., in order to ensure compliance with all applicable legal requirements'.
6. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, Data Protection Policy, etc.) and will be supported by detailed procedures and practices to ensure best implementation, motoring and managements of all identified occupational stress issues of our Company.

Policy #05: Human Rights Policy

Introduction: Human rights are [moral](#) principles or standards, which describe certain standards of human behaviour, and are regularly protected as [legal rights](#) in national and international laws and regulations.

To endure these in your corporate environment you need to provide a set of ‘what to do’ guidelines (a policy) for both your management staff as well as your employees.

A typical example of such a policy is detailed next:

Human Rights Policy – Example

Company Name: < ‘XXY’ (fictitious business entity)>

Policy Title: Human Rights Policy

1. The main aim of our Company’s human rights policy is to ensure that procedures and practices are in place to maintain and manage most effectively all issues related to our employees.
2. Our company’s human rights policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see ‘Company ‘XXY’ B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit’) and the particular ‘Duty of Care’ responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company’s human resources management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our policies related to our human resources so that the best results may be achieved by their full execution to all participants.
4. The Company believes that our business should both contribute to economic wellbeing as well as to be a positive influence on people’s lives in the community in which we operate. As such, we support the principles described in the relevant UN regulations (e.g., Universal Declaration of Human Rights, the Declaration of the International Labour Organization, etc.).
5. Our policy describes our approach to the principles as they relate to labour standards and human rights.

6. Our Statement of Values, policy on and Corporate Ethics, and Employee Handbook set out our standards and expectations in terms of our people.
7. In addition, we are committed to conduct our business in ways that ensure that we are not complicit in human rights abuse within the scope of our influence.
8. We have developed a human rights policy which applies to all of ‘The Company’ business operations.
9. We are encouraging our business partners and suppliers to respect and follow our approach.
10. An annual report on progress of this policy will be prepared by ‘The Company’ director of human resources and considered within our wider framework for managing corporate responsibility within the company.
11. If we were to find ourselves inadvertently implicated in abuses of human rights, we would take immediate steps to rectify such a situation.
12. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, Data Protection Policy, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified human rights issues of our Company.

3 PUBLIC RELATIONS POLICIES

Summary: This chapter contains a set of two policies on issues related to ‘Duty of Care’ (DOC) needs, requirements and demands for a company or business organization, such as: Community Relations Policy and Corporate Communications Policy.

Objective: The objective of these policies is to help you analyse, design, develop and execute, in the best way possible, your ‘Duty of Care’ responsibilities as an owner, Board member, senior executive or other type or level professional or manager of a company in the areas of public relations.

Policy #06: Community Relations Policy

Introduction: The term ‘Community Relations’ defines, in general terms, a company’s interactions with the people constituting the environment it operates in and draws resources from, to foster and promote mutual understanding, trust, and support.

When a company makes a commitment to the community part of its long-term business strategy, it not only helps attract and retain the best employees, but it also positions itself positively among customers and, increasingly, improves its position in the market, as well as its revenues and net profits.

To establish ‘Community Relations’ aspects in your corporate environment you need to provide a set of ‘what to do’ guidelines (a policy) for both your management staff as well as your employees.

A typical example of such a policy is detailed next:

Community Relations Policy – Example

Company Name: < ‘XXY’ (fictitious business entity)>

1. The main aim of our Company’s community relations policy is to ensure that procedures and practices are in place to show our real commitment to the community as an integral part of our core business strategy.
2. Our company’s community relations policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see ‘Company ‘XXY’ B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit’) and the particular ‘Duty of Care’ responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.

3. The company's community relations management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our policies related to our community relations so that the best results may be achieved by their full execution to all participants.
4. To foster and promote mutual understanding, trust, and support with our communities in which our company operates, our Company senior management, will:
 - 1) Play an active role in local communities as an essential part of being a good corporate citizen.
 - 2) Address issues of wider social concern relevant to our business and our communities.
 - 3) Focus our resources where we can make an effective contribution and support our employees in their own volunteer activity where possible.
 - 4) Build positive and sustainable relationships in our communities with key individuals, groups and organizations.
 - 5) Demonstrate sensitivity to community concerns and issues.
 - 6) Design, implement and monitor community programs, such as: philanthropy, volunteerism, partnerships and donations of products and services, that improve the quality of community life and promote the company's long-term business strategies and goals.
 - 7) Communicate the company's commitment through speeches, memos to employees and a leadership role in the community, by one or more senior officers.
 - 8) Allocate human, financial and technical resources, including naming a senior-level community relations director or officer, to implement the company's community relations strategy.
 - 9) Establish policies and procedures for implementing the strategy.
 - 10) Promote and reward volunteerism by employees.
 - 11) Establish training and development activities to make sure the policies are regularly and effectively carried out.
 - 12) Undertake regular evaluations and internal audits in order to monitor the strategy and its consistent progress.

Policy #07: Corporate Communications Policy

Introduction: Corporate communication is a set of activities involved in managing and organizing all internal and external communications aimed at creating favourable point of view among stakeholders on which the company depends.

Both internal and external corporate communication policies help a company maintain a professional image while clarifying and capitalizing on the ways colleagues and business associates and partners interact with one another. Companies with poor corporate communication strategies have a greater likelihood of misunderstanding, miscalculated delivery of service and internal chaos that can result in lower productivity and performance.

To establish ‘Corporate Communications’ in your own business environment you need to provide a set of ‘what to do’ guidelines (a policy) for both your management staff as well as your employees.

A typical example of such a policy is detailed next:

Corporate Communications Policy – Example

Company Name: < ‘XXY’ (fictitious business entity)>

1. The main aim of our Company’s corporate communications is to harmonize all the consciously used forms of internal and external communications of the company.
2. Our company’s corporate communications policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see ‘Company ‘XXY’ B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit’) and the particular ‘Duty of Care’ responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company’s corporate communications management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our policies related to our community relations so that the best results may be achieved by their full execution to all participants.
4. Our company’s first obligation is to the health, welfare, and safety of the people most directly affected, our employees, and the protection, restoration, and recovery of company operations. We are also very committed to improving our relationships with our communities.
5. On issues of health, welfare and safety of our people, our senior management, will:
 - 1) Craft and implement strategies to improve the health, welfare and safety of our people
 - 2) Take actions to reduce the occupational stress and improve health in our workplace.
 - 3) Educate all management and line staff on best health, welfare, safety and stress reduction practices.
 - 4) Monitor all health, welfare, safety and stress reduction actions.
 - 5) Review and improve all our health, welfare, safety and stress reduction actions, at least annually.

6. On issues of corporate communications, our senior management, will craft and implement a communications program in the workplace, by:
 - 1) Identifying short-term and long-term objectives of our corporate communications and defining what communications goals we want to achieve.
 - 2) Knowing and understanding audiences (internal and external, etc.), their needs and expectations.
 - 3) Identifying communication messages and channels.
 - 4) Monitoring communications effectiveness and getting feedback on the communications that the company has planned and implemented, via the use of surveys and interviews and other means.
7. Our management, when unanticipated emergencies and critical events occur, will:
 - 1) Respond quickly.
 - 2) Act conclusively.
 - 3) Take appropriate responsibility.
 - 4) Ask for help and understanding.
 - 5) Inform company employees immediately.
 - 6) Show concern.
 - 7) Strive for transparent decision-making, behaviour, and results.
 - 8) Be open to all suggestions.
 - 9) Explain to the community as soon as possible.
 - 10) Invite local officials to help with explanations (where appropriate).
 - 11) Seek out and talk to affected groups and affected community stakeholders and institutions.
 - 12) Use simple, direct, and positive messages.
8. Our employees, in their every-day dealings, will:
 - 1) Show courtesy, tact and consideration in relationships with other fellow workers and the public.
 - 2) Show maximum respect to every other person in the organization and other contacts in a business context.
 - 3) Help others and to make our business run as effectively as possible, thereby gaining the respect of our colleagues and customers.
 - 4) Handle differences of opinion privately and discreetly.
 - 5) Avoid gossip and backbiting.
 - 6) Communicate directly with the person or persons involved to resolve differences.

- 7) Practice positive criticism with respect and tact so that they improve business by clarifying or instructing.
 - 8) Strive to maintain a civil work atmosphere at all times and refrain from shouting, yelling, using vulgarities or swearing at co-workers or customers.
 - 9) Ensure a work environment free from disparaging remarks about religion, ethnicity, sexual preferences, appearance and other non-work related matters.
 - 10) Avoid causing embarrassment or distress to others based on comments about a particular group of people.
9. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, Data Protection Policy, etc.) and will be supported by detailed procedures and practices to ensure best implementation, motoring and managements of all identified community relations issues of our Company.



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4 CORPORATE PHILOSOPHY POLICIES

Summary: This chapter contains a set of four policies on issues related to ‘Duty of Care’ (DOC) needs, requirements and demands for a company or business organization, such as: Conflicts of Interest Policy, Corporate Ethics Policy, Vision, mission and values statements and Corporate Social Responsibility Policy.

Objective: The objective of these policies is to help you analyse, design, develop and execute, in the best way possible, your ‘Duty of Care’ responsibilities as an owner, Board member, senior executive or other type or level professional or manager of a company in the areas of data protection, customer service, etc.

Typical examples of such policies are detailed next.

Policy #08: Conflicts of Interest Policy

Conflicts of Interest Policy – Example

1. It is the policy of Organization ‘XYZ’ (a fictitious company, ‘The Company’), to prohibit its management and employees from engaging in any activity, practice, or conduct which conflicts with, or appears to conflict with the interests of the Company, its customers, or its major suppliers.
2. Since it is quite impossible to describe all of the situations that might cause or give the appearance of a conflict of interest, the prohibitions included in this policy are not intended to be exhaustive and include only some of the most clear and lucid examples.
3. All managers and employees are expected to represent the Company in a positive and ethical manner. Thus, managers and employees have an obligation to avoid conflicts of interest and to refer questions and concerns about potential conflicts to their Manager.
4. Senior Management and others who have contact with customers and major suppliers may be required to sign a special statement acknowledging their understanding of and adherence to this policy.
5. Managers and employees may not engage in, directly or indirectly either on or off the job, any conduct that is disloyal, disruptive, competitive, or damaging to the Company.

6. No employee, excluding the office of the Chairman and Vice Chairman, shall engage in any outside employment with a business organized for profit without first obtaining approval of the Director of Human Resources.
7. Approval may not be given if the outside employment interferes in any manner with the proper and effective performance of the person's official duties, creates a conflict of interest or involves rendering advice or exercising opinion that is based on information, reports or analysis, access to or availability of which results primarily from or through employment with the Company.

Policy #09: Corporate Ethics Policy

Corporate Ethics Policy – Example

1. It is the policy of Organization 'XYZ' (a fictitious company, 'The Company'), to prohibit its management and employees from engaging in any activity, practice, or conduct which conflicts with, or appears to conflict with the interests of the Company, its customers, or its major suppliers.
2. Our company's corporate ethics policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see 'Company 'XXY' B⁴ Workplace Wellness Model: Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company's corporate ethics management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our policies related to our corporate ethics so that the best results may be achieved by their full execution to all participants.
4. On issues of ethics, our senior management will be driven by a deep sense of commitment to ethical values and principles that include:
 - 1) Preservation and protection of human life: The belief that the value of preservation and protection of human life supersedes all other goods and needs.
 - 2) Procedural justice: A strong sense of fair dealing with employees establishes trust between leaders and their staff. When management make decisions in fair ways, employees assume they can follow instructions without fear of mistreatment of any kind.
 - 3) Integrity and truth: The commitment of management to telling the truth and keeping promises, and the process of applying the best of one's abilities, promise employee loyalty and commitment.
 - 4) Open communications: In an environment where managers and other corporate leaders respond well to communications from lower levels of the organization, ethical issues are more likely to surface and discussed before they become a crisis.

- 5) Establishing trust by accepting and involving all employees as legitimate partners, listening to their concerns and meeting their needs, as much as possible, speaking clearly and with compassion.
5. All staff are required to sign at the time of employment a proprietary information agreement that restricts disclosure of proprietary, trade secrets and certain other data and information about the Company, its joint venture partners, suppliers and customers. This Policy applies to all Board Members, Directors, Managers, Employees and External Contractors without regard to whether such agreements have been formally signed.
6. All Board Members, Executive Management, Middle and Lower Level Managers, and Employees should not have private interests, other than those permitted by these measures, that would be affected particularly or significantly by actions in which they participate.
7. All Board Members, Executive Management, Middle and Lower Level Managers, and Employees may engage in employment and business activities outside the Company only when they are specifically authorized to do so.
8. All Board Members, Executive Management, Middle and Lower Level Managers, and Employees must use their best judgment to avoid situations of real or perceived conflict. In doing so, they must not accept or solicit any gifts, hospitality or other benefits that may have a real or apparent influence on their objectivity in carrying out their official duties or that may place them or the Company under obligation to the donor.
9. This Policy applies to all Board Members, Executive Management, Middle and Lower Level Managers, Directors, Employees and External Contractors working for the Company.
10. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, Data Protection Policy, Corporate Cultural Resilience Improvement Plan, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified corporate ethics issues of our Company.

Policy #10: Vision, mission and values statements

Vision: ‘Provide a healthier and less-stressful environment for my business organization Company AXZ (FICTITIOUS ENTITY)’.

Mission: ‘Craft and implement wellness and stress management and reduction strategies and action plans to reduce occupational stress and improve wellness in the workplace in the most effective way’.

Values: ‘The company management and board will use the following values to manage wellness and reduce the occupational stress of all our staff as best as possible.

Value 1: Commitment. Commit to yourself, your values, your family, your country, and your company.

Value 2: Conviction. Align your actions with your beliefs and convictions, the Supreme Being and nature.

Value 3: Co-operation. Co-operate with others for the greater good of all.

Value 4: Co-existence. You exist not for yourself alone, but for your family, country, community and company’.

Policy #11: Corporate Social Responsibility Policy

Corporate Social Responsibility Policy – Example

Our Company ‘XXX’ (a fictitious name) focuses on delivering essential products and services to millions of people every day. By understanding our impact on society, the economy and the wider environment, we can develop positive relationships with stakeholders to benefit both business and the community. Outlining our approach to corporate responsibility with details of the policies and initiatives that illustrate our commitments, includes:

1. How our core products and services impact on society including how we buy and sell goods and services;
2. Information about the major environmental impacts of our business and how we are working to reduce them;
3. How we support our employees within the working environment to help them balance the competing demands of work and life;
4. How we seek to achieve positive impact in local communities through our community investment program; and
5. How we are managing key diversity issues through developing a greater understanding of customer and employee needs’.

5 DATA, CUSTOMER AND ENVIRONMENT POLICIES

Summary: This chapter contains a set of three policies on issues related to ‘Duty of Care’ (DOC) needs, requirements and demands for a company or business organization, such as: Data Protection Policy, Customer Service Policy, and Environment Management Policy.

Objective: The objective of these policies is to help you analyse, design, develop and execute, in the best way possible, your ‘Duty of Care’ responsibilities as an owner, Board member, senior executive or other type or level professional or manager of a company in the areas of data protection, customer service, etc.

Typical examples of such policies are detailed next.

Policy #12: Data Protection Policy

Company ‘XYZ-Fictitious Enterprise Corporation’ Data Protection Policy

1. Purpose of this policy

This policy explains how ‘XYZ-Fictitious Enterprise Corporation’ (hereby termed the company) may collect personal data of individuals (customers, employees, partners, etc.) and use them in order to satisfy particular data protection and privacy regulatory requirements. It also outlines some of the data protection and security measures that the company is taking in order to protect data privacy and provide certain assurances on things that the company will not do.

2. Commitment

The Company considers the protection of the privacy of personal data to be of utmost importance and is committed to providing all people with a personalized service that meets the requirements of the specific individuals in a way that safeguards their privacy in accordance with the data protection and privacy regulations in force.

3. Opportunity to decline

When the company obtains personal information from you, or when you take a new service from the company, we will give you the opportunity to indicate if you do or do not (as applicable) wish to receive information from the company about other services or products. Normally this will be done by way of a tick box on an application form or contract. You may revise the choice that you have made at any time by writing to the company informing us of the change.

4. Personal information collection

Some of the personal information the company holds about you may be sensitive personal data within the meaning of the Data Protection Act and other relevant laws. The company may collect personal information about you from a number of sources, including: (a) from you when you agree to take a service from us in which case this may include your personal and/or business contact details, (b) from you when you contact the company with an enquiry or in response to a communication from the company, in which case this may tell us something about your preferences, and (c) from publicly available sources.

5. Use of information

Information you provide to the company or the company holds about you may be used by the company to: (a) identify you when you make enquiries, (b) help administer, and contact you about improved administration of, any accounts, services and products provided by the company previously, now or in the future, (c) carry out marketing analysis and customer profiling and create statistical and testing information, (d) help the company to prevent and detect fraud or loss, and (e) contact you by any means (including mail, email, telephone, etc.) about other services and products offered by the company, and authorized selected partners.

6. Credit reference checks

The company, in some circumstances, may do certain credit checks with licensed credit reference agencies when you apply to take a service or product. If this is applicable, then it will be stated in the terms and conditions of doing business between you and the company.

7. Disclosure of information

The company may disclose information only where legitimately requested for legal or regulatory purposes, as part of legal proceedings or prospective legal proceedings.

8. Protection of information

The company maintains strict data protection, privacy and security measures and controls in order to protect personal information. This includes following certain administrative and security policies, procedures, and data protection practices to check your identity when you telephone us, encrypting data on our websites, backing up data to offsite locations, etc., in order to ensure data protection and privacy with all applicable legal requirements.

9. Internet access

If you communicate with the company via the internet then we may occasionally use e-mail to contact you about our services and products. Please be aware that communications over the Internet, such as emails, are not secure unless they have been encrypted. The company cannot accept responsibility for any unauthorized access or loss of personal information that is beyond the company's control. We may use "cookies" to monitor website user traffic patterns and site usage. You can normally alter the settings of your browser to prevent acceptance of cookies. However, rejecting cookies may affect your ability to use some of the products and/or services at the company's web site.

10. Monitoring of communications

All Company communications with you (including phone conversations, emails, Fax, etc.) may be monitored and recorded by the company for security, quality assurance, legal, regulatory and training purposes.

11. Data Subject Access Requests

The Company is required to permit individuals to access their own personal data held by the Company via a subject access request. Any individual wishing to exercise this right should do so in writing to the Company Data Protection Officer.

A standard form is available on the Company's data protection web pages.

The Company aims to comply with requests for access to personal information as quickly as possible, but will ensure that it is provided within the time limit set out in the Data Protection Act or other privacy regulation in force.

Individuals will not be entitled to access information to which any of the exemptions in the privacy regulation applies. However, only those specific pieces of information to which the exemption applies will be withheld and determining the application of exemptions will be made by the Company.

12. Data Protection breaches

Where a Data Protection breach occurs, or is suspected, it should be reported immediately in accordance with the Data Security Breach Management Policy of the Company.

13. Contact

Queries regarding this policy or the Data Protection Act at large or any other privacy issue should be directed to the Company Data Protection Officer (provide <phone....Fax:...e-mail: xxxabc@the company.com> and other details).

Data Protection Policy Revision History

Policy #13: Customer Service Policy

Customer Service Policy – Example

‘We at ‘XXX Company (fictitious business entity)’ are fully committed to improving customer service and customer satisfaction on a continuous basis. We aim to create an environment where the customers know that their satisfaction is the most important issue to us. To achieve the best and highest quality service standards in our daily practice, we will:

- 1) Be courteous, polite, friendly and welcoming when we communicate to you as a customer, regardless of the means of communication, e.g., in person, in writing, by phone, fax or email, etc.
- 2) Respect your differences in age, gender, values, religion, culture and beliefs,
- 3) Treat you with dignity, due care and show you empathy and consideration,
- 4) Listen and respond in an attentive way to all your inquiries,
- 5) Protect the confidentiality of your information at all times,
- 6) Provide you with our details (name, title, role, etc.) so that you get personal attention,
- 7) Maintain a professional and responsive attitude in resolving all your problems.’

Policy #14: Environment Management Policy

A typical example of such a policy is:

‘The Company shall:

1. Meet or surpass all environmental legislation, regulations, and other applicable requirements and continuously improve the company’s environmental performance consistent with defined goals;
2. Fully integrate environmental and economic considerations into the company’s processes of planning, constructing, operating and decommissioning;
3. Ensure that the environmental impacts and risks of company activities are identified, assessed and managed;
4. Proactively advocate socially responsible laws and regulations and, where appropriate, market-based and voluntary approaches for achieving environmental objectives;
5. Inform and encourage meaningful consultation and collaboration with employees, customers, contractors and the public related to the company’s operations and its impact on the environment;
6. Be an environmentally responsible neighbor in the communities in which the company operates;
7. Act promptly and responsibly to correct incidents or conditions that endanger the environment and inform those who may be affected; achieve ongoing improvements in eco-efficiency through reductions in wastes and emissions per unit of electrical and thermal energy produced and delivered;
8. Identify and develop new business practices and business opportunities which represent solutions to environmental problems and create value for shareholders;
9. use a performance assurance process to assess compliance with this policy and the company’s environmental management system;
10. Report performance assurance results periodically to the board of directors; and
11. Use an environmental management system to set environmental objectives and targets that support this policy and regularly review performance against these objectives with senior management’.

6 ASSET PROTECTION POLICIES

Summary: This chapter contains a set of four policies on issues related to ‘Duty of Care’ (DOC) needs, requirements and demands for a company or business organization, such as: financial accounting controls, fixed asset management, etc.

Objective: The objective of these policies is to help you analyse, design, develop and execute, in the best way possible, your ‘Duty of Care’ responsibilities as an owner, Board member, senior executive or other type or level professional or manager of a company in the areas of asset protection, etc.

Typical examples of such policies are detailed next.

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Policy #15: Financial Accounting Controls Policy

1. **Purpose:** This Policy establishes guidelines and procedures related to keeping books and records that in reasonable detail accurately and fairly reflect the Company's transactions and dispositions of assets. The Company shall maintain a system of internal accounting controls to ensure reliability and adequacy of its books and records and proper recording of all transactions including dispositions of assets.
2. **Financial Accounting Policy:** 'The Company' is committed to preparing statutory accounts in compliance with the regulatory requirements existing in the country of corporate domicile. Responsibility for this lies with the Directors of 'The Company'. In addition to complying with any local requirements for a statutory audit, all principal operating companies are further subjected to both internal corporate audit and external audit procedures by an independent auditor, in order to review and prepare consolidated financial statements for 'The Company' to reflect accurately the financial status, transactions and affairs of 'The Company'. In support of this a fuller policy document, incorporating a Code of Accounting Practices and Financial Accounting Procedures Manual, is communicated to all relevant and authorized parties in order to provide direction throughout all the operating units of 'The Company'.
3. **Policy issues:** This policy deals with the issues of authorization, approval, posting of transactions, reporting, management responsibility, auditing, evaluation, and improvement.
 - 3.1. **Authorization.** The only transactions to be entered into by the Company are those which are executed in accordance with management's specific approval (as set forth in the following paragraph) or established, formalized policies and procedures.
 - 3.2. **Approval.** No transaction will be recorded in the accounts of the Company unless it is within the scope of written policies and procedures or is specifically and formally approved by an appropriate and designated Employee. Such approval requires the determination that the transaction (i) has been authorized in accordance with this Corporate Policy and (ii) is supported by documentary evidence to verify the validity of the transaction.
 - 3.3. **Posting of transactions.** All transactions entered into the books by the Company will be recorded in the accounts of the Company in accordance with normal, standard procedures. Each entry will be coded into an account which accurately and fairly reflects the true nature of the transaction.

- 3.4. **Reporting.** All transactions that have been accounted for in accordance with this Corporate Policy will be accumulated and processed in a manner which will permit timely preparation of financial statements, reports and data for purposes of internal, public and regulatory reporting. Such statements, reports and data must be understandable and prepared in a form sufficient to reflect fully, accurately and fairly the results of transactions entered into by the Company and to permit proper accountability for assets.
- 3.5. **Management responsibility.** The implementation and maintenance of internal accounting controls, procedures and records that are adequate in all respects to satisfy the requirements of this Corporate Policy will be the primary responsibility of the Chief Financial Officer.
- 3.6. **Evaluation:** The Company will continuously evaluate its internal accounting controls, procedures and records to ensure compliance with the requirements of this Corporate Policy. Such evaluation will be documented in a form suitable for inspection by outside parties, such as regulatory authorities, if the need arises.
- 3.7. **Improvement.** The Company will take action to remedy any deficiency in internal accounting controls, procedures and records to ensure continuing compliance with the requirements of this Corporate Policy.
- 3.8. **Auditing.** Compliance with the provisions and requirements of this Corporate Policy will be tested and evaluated by the Company's Internal Audit Services in connection with the ongoing internal audit program. All control failures regarding this Corporate Policy will be reported to management so that deficiencies can be corrected and assurance of compliance with the terms of this Corporate Policy maintained.

Policy #16: Fixed Assets Management Policy

A typical example of such a policy is:

'The Company' shall: meet or surpass all environmental legislation, regulations, and other applicable requirements and continuously improve the company's fixed assets; fully use the information systems controlling the fixed assets of the company; ensure that the fixed assets of the Company are identified, protected and managed;

Furthermore, the Fixed Asset (or Purchasing or Inventory Control) Manager is responsible for developing and administering property management processes and the data integrity of the fixed assets system.

Each Department Manager or his/her delegate, is responsible for maintaining physical control and maintenance over all assets (inventoried and non-inventoried) purchased and assigned to their department. Departments are responsible for developing internal procedures to control the use and distribution of all assets assigned to their unit.

The Inventory Control Manager is responsible for: maintaining fixed asset records, labeling and tagging fixed assets, preparing fixed asset inventory reports, coordinating the annual physical inventory, reconciling property inventory and fiscal records, and making financial reports of fixed assets contained on a yearly basis’.

Policy #17: Fraud and Theft Policy

A typical example of such a policy is:

‘The Company’ is committed to the prevention and detection of fraud, abuse and theft within the business. The Directors of ‘The Company’ are charged with prime responsibility for this. In order to reduce the risk of its occurrence ‘The Company’ maintains an appropriate system of internal controls, has established suitable security measures, conducts structured pre-employment screening, and has established a corporate ethics program, policy and training. A Response Team exists to investigate any report by an employee of suspected fraud, abuse or theft. In support of this a fuller policy document, incorporating a corporate ethics policy, and an employee handbook are communicated in order to provides awareness, standards and direction throughout the ‘The Company’.

Policy #18: Performance Management Policy

A typical example of such a policy is:

1. **Policy Description:** It is the policy of the ‘The Company’ that individual and organizational goals will be communicated to all employees. Individual responsibility for accomplishing team and organizational goals will be identified, employees will be provided feed back regarding performance, performance will be evaluated and improved, and performance results will be used as a basis for appropriate personnel actions. All participants in this process should expect to be held accountable for accomplishment of their performance management responsibilities as identified in this directive. Communication between the manager and the employee is essential throughout this process. Management and employees should work together to jointly clarify how competencies apply within the work environment so that there is a common understanding about the expectations for performance. In addition, there should be a discussion of the goals of the individual work unity and the employee’s involvement/contribution to unit goals for the upcoming year. The manager of each business unit is ultimately responsible for setting performance targets. The Board of ‘The Company’ is responsible for setting performance standards.

2. **Planning Performance Planning Process:** Planning performance is the process of developing performance work plans that align individual performance with organizational goals. The focus must be placed on accomplishments (that is, end results) rather than on activities. Standardized performance elements have been established by 'The Company' and are available for use in developing performance work plans. If the employee refuses to agree with the performance work plan at the beginning of the appraisal period, the manager should note this in the employee's file. Lack of the employee's signature and date on the performance work plan does not negate implementation of the plan.
3. **Monitoring and Evaluating Performance:** The employee and his/her manager will meet periodically throughout the appraisal period to provide feedback relating to performance. This feedback will be accomplished through progress reviews and performance ratings. Management is responsible for initiating communication with the employee about actual performance and ensuring that progress reviews are held. Open dialog between the employee and the manager is crucial during these discussions. Progress reviews are conducted one or more times during a full appraisal period. Normally, these required reviews will be accomplished during the midpoint of the appraisal period. The manager should make written comments concerning the employee's performance on the appropriate performance form at the time of the progress review. The purpose of the written comments is to provide for a more formal identification of the employee's performance in relation to the performance work plan. Also, employees are encouraged to provide written comments on the form at this time. The employee and the manager initial and date the appropriate blocks to indicate that the discussions were held. If a progress review is not conducted, the employee has the option of contacting the manager involved to inquire of the status. If the progress review is still not held, the employee may seek assistance from the second level manager (usually the reviewing official). All employees must be issued a rating of their performance annually. Employees who have not served under established standards for the minimum appraisal period must have the timeframe extended to meet this requirement. An overall summary rating of "Results Achieved" indicates that the employee has met the performance expectations for each element. An overall summary rating of "Results Not Achieved" means that the employee has not met performance expectations for one or more element(s) and constitutes unacceptable performance. Managers shall discuss and consider reasonable means by which to assist employees in improving performance. Such assistance may include training, closer supervision, revision of assignments, and coaching, etc. If the employee's performance is still not improved, the manager will contact the servicing human resources office to determine further action necessary, such as reassignment, demotion, or removal.

4. **Promotions:** No employee shall receive a promotion unless the most current rating of record is “Results Achieved.” Managers and employees should be aware, however, that a “Results Achieved” rating is not the only criteria for promotion.
5. **Training and Development:** The performance appraisal process may be used as a basis for identifying the training needs of employees. Additional performance elements are particularly useful for this purpose.
6. **Program Evaluation:** Ongoing evaluation of the performance management program will be conducted by the Board in order to identify continuous improvement opportunities and to make adjustments to the overall policy. The evaluation of overall organizational results, employee satisfaction, and consistency with mission objectives will promote the continued enhancement of a performance management program supportive of critical organizational results.

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