Functional Area 05 Employee Relations and Risk Management

Professional in Human Resources – International (PHRi) -

2021

Professional in Human Resources – International (PHRi) Workbook

Module Five: Employee Relations and Risk Management

2021 Edition

Introduction

This workbook is not a textbook. These materials include workbooks and practice exams are intended for use as an aid to preparation for the **PHRi** Certification Exam conducted by the HR Certification Institute. By using all of the preparation materials, you will be well-versed in the **six** key functional areas that make up the HR Certification Institute **PHRi** body of knowledge. Studying these materials does not guarantee, however, that you will pass the exam. These workbooks are not to be considered legal or professional advice.

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Part One: Employee Relations

1.Employee Relations and HR Practices

Employee Relations involves the body of work concerned with maintaining employer- employee relationships that contribute to satisfactory productivity, motivation, and morale. Essentially, Employee Relations is concerned with preventing and resolving problems involving individuals who arise out of or affect work situations.

The dramatic corporate downsizing occurred in most industries and at all ranks, breaking the traditional deal of a lifelong job with mutual loyalty between the employer and the
employee. Replacing this tradition is the so-called "new employment relationship".
Instead of loyalty (i.e., job security), the employer offers the employee a challenging job, a fixed compensation package, and the promise of opportunities to learn valuable skills.

The employee, in turn, pays back the employer through job performance without making a strong commitment to the organization. In other words, the bond between employer and employee has shifted from a long-term relationship involving loyalty and commitment to a contract-like economic exchange.

1.1. Nature of Employee Relations

Scholars proposed a framework that juxtaposes two key considerations in the
Employee Relations (ER). One consideration is the set of contributions an employer
may expect from employees, such as work performance, commitment, or suggestions for organizational improvement. The other consideration is the array of rewards
(defined broadly) or inducements an employer offers to employees in exchange for their contributions. We use the terms expected

contributions and offered
inducements to refer to these two major considerations. The nature of the new employment relationship can be understood within this framework.

Hierarchy of Importance Among Justice Characteristics

	Low/Narrow	High/Broad
Low/Narrow	(1) Quasi-spot Contract	(2) Under-Investment
[illegible]	[illegible]	[illegible]

Source: Tsui, A.S. & Wu, J.B. (2005). The new employment relationship versus the mutual investment approach: Implications for human resource management. Human Resource Management, 44(2), 115-121.

1.1.1. Quasi-spot Contract

The new employment relationship is a quasi-spot contract (Cell 1 of Figure 1) defined by a relatively narrow set of inducements offered by an employer and a narrow set of contributions expected from an employee. Employers adopting this ER are interested primarily in a high level of employee task performance without requiring commitment from the employees to the overall success of the organization. In return, employees obtain the promised rewards once they meet the predetermined output expectations. Additionally, employees do not expect the employer to provide long-term job security.

This employment relationship represents a pure economic exchange focused on a short-term and relatively well-defined set of duties s (e.g., brokerage firms' contracts with stockbrokers). Under competitive pressure, many well-regarded employers are shifting to the use of temporary, part-time employees or contractors to keep from paying benefits. All this breaks the traditional employer-employee contract and the bond between the two parties.

Though this type of exchange is usually found in relationships with contractors in unskilled, skilled, and even professional jobs, its application recently has extended to senior executives. Temporary executives, interim executives, and so-called "corporate samurai" are becoming popular in today's labor market. Rather than having a job, this new employment relationship form focuses on doing a job. Clearly, firms use the quasi-spot contract approach to gain flexibility in the employment and deployment of people resources.

1.1.2. Under-Investment

Another form of the new employment relationship is the underinvestment approach. Underinvestment occurs when a firm offers a narrow set of inducements but in return expects a broad set of contributions from employees. This ER is imbalanced to the advantage of employers because they get more (from employees) out of less (from themselves). The economic downturn and slow recovery have increased market competition, which pushes employers to increase productivity with limited resources. This demanding situation increases employee workload while holding inducements constant. Without noticeable economic recovery, employees lack alternatives and have to sustain this imbalance in the employment exchange. Some labor economists have observed that "not only are companies making people work harder, but some people want to . . . they are trying to protect their job security".

Organizations adopting the quasi-spot contract and the underinvestment approach reported a number of unfavorable employee outcomes. These negative outcomes
included lower performance as rated by the supervisors, lower employee engagement in organizational citizenship behaviors (OCB: behaviors beyond the call of duty, such as helping coworkers), expressing a tendency to leave the company if there were
alternative employment opportunities, and being less psychologically committed toward the organization. The employees also perceived a lower level of fairness, had less trust in their coworkers, and reported more frequent absences. Thus, while firms may gain some flexibility in employment, they may lose high-performing and committed employees.

1.1.3. Over-Investment

Many state own organizations adopt overinvestment approach of ER, which arises when organizations couple high or broad inducements with low or narrow expected

contributions. This exchange favors employees, who receive more than they give and is practiced by government bureaucracies and quasi-monopolistic corporations. To
illustrate, Chinese state-owned enterprises historically supply lifetime jobs and cradle- to-grave benefits to workers while demanding minimal productivity with few
responsibilities. Over-investment employers do not obligate sizeable returns, lessening employees' indebtedness. Consequently, they do not need to trust employees as
much—nor express as much trust— because they do not intend to fully collect on those "debts."

1.1.4. Mutual-Investment

According to many research findings, organization performance was the best when firms adopted the mutual investment employment relationship. The goal of the
mutual investment ER is to solicit a broader range of behaviors and stronger
commitment from employees by offering a large number of inducements in exchange for significant employee contributions. The firm focuses on developing a long-term and open-ended relationship with the employees. Under this approach, employees are expected to contribute broadly to their organization instead of focusing only on performing their own jobs.

The underlying rationale for the effectiveness of the mutual investment ER is twofold.
First, when employees experience long-term investment from employers, they
reciprocate with loyalty to these organizations and contribute much more than simple job performance. Second, the mutual investment ER sets higher performance goals and expectations for employees. Empirical research confirms that difficult and challenging goals lead to higher performance. Mutual investment is the "older and wiser" approach, contrary to the common wisdom in most companies now facing competitive pressure. Psychological research has shown that money is not a

motivating factor for employees (assuming that basic needs are being met), and other factors, such as job satisfaction, respect, advancement, and work environment, are much more important in influencing employee attraction, motivation, and retention. In general, the mutual investment ER focuses on social and career investment more than monetary benefits.

1.2. Recruitment and Selection

To establish a mutual investment ER from the outset, employers must clearly communicate their endorsement of the value of long term loyalty and commitment to job applicants and show that they are looking for the same from employees.
Applicants especially should be informed about the company's expectations of broad contributions from employees.

Unfortunately, recruiters may exaggerate inducements (both tangible and intangible) to attract talent while remaining vague about performance expectations. Peer recruiting or work team interviewing could be a useful tool to facilitate the communication of accurate expectations. Talking with their prospective colleagues will give applicants a more realistic picture of what mutual commitment and trust mean in the organization, how to contribute broadly, and what to expect in terms of a long-term career within the firm.

1.3. Training and Development

To signal long-term investment, the focus of training and development is not on improving skills to perform the current job but on preparing employees for future responsibilities. Job rotation and participation in cross functional or cross-divisional project teams are effective methods to build an organization wide perspective and to promote organizational interests. Promotion from within and succession planning are the core elements of a company's broader development plans for its human resources.

Finally, in order for employees to make broad contributions, teamwork training is essential for them to learn the skills of effective collaboration.

1.4. Performance Management

The mutual investment ER focuses employees' attention on their teams and the organization. Excellence in doing one's own job is only a small part of a total performance assessment. Performance appraisal criteria and processes should be related to broad contributions. In addition to individual evaluation, performance appraisal by peers and team-based performance are common features of the evaluation process. The broad based contributions can be captured in a 360-degree feedback system. Employees' superiors, peers, subordinates, and even customers rate their performance.

1.5. Compensation and Benefits

The key to using compensation and benefits in building a mutual investment ER is not focusing merely on increasing the absolute amount of pay or benefits but on communicating preferred behaviors and accentuating long-term investment in employees. The important point is that compensation and benefits practices in the mutual investment ER breed and facilitate mutual commitment rather than serve merely as an economic bond.

The backbone of the mutual investment ER is generalized reciprocal loyalty, trust, and a focus on a long-term relationship. It emphasizes a high level of both offered inducements and expected contributions. Future human resource executives can shape a mutual investment ER by using human resource practices that accentuate both dimensions.

Evidence is strong that the mutual investment ER is a wise tool that will strengthen an organization's ability to compete in the dynamic global environment through building a committed workforce eager to contribute to the organization's success.

2.Employee Survey

Many companies regularly conduct employee engagement or internal climate survey to assist in making accurate HR decisions for attracting and retaining HCNs. Employee survey 'season' is now in full flow and it's a great chance for HR to show their expertise and added value.

A well conducted and executed employee survey helps organizations create impact by increasing key focus areas such as employee engagement, as well as improving organizational performance. A poorly conducted and executed employee survey will damage employees' confidence in future employee surveys, as well as in HR.

Many of the most successful approaches to employee surveys are tailored to that organization, and there is no one size fits all versions. While each survey will require a
different plan, this article aims to highlight some of the key aspects for consideration in the setting up of an effective employee survey process, and how to use that data in a way that benefits your organization and your people. Your organization's culture, employee profile,
leadership approach and even geographical location will dictate the format and content.

Employee Survey Process

Source: Barends, A. (2014). 5 steps to create impactful employee surveys. Effectory.

2.1. Preparation

How to create impactful employee surveys tackles the preparation of your employee survey. Do you have a clear idea of your survey aim? Are your stakeholders involved from the start? Can you guarantee anonymity?

There are many things to remember if you want a successful employee survey. First of all, you have to have a clear idea of the aim of your survey. Secondly, it is important to involve stakeholders in the survey right from the start. Which method is appropriate to your organization? How should you draw up a questionnaire? And how will you handle the anonymity of the employees?

2.1.1. Determine the Survey Objectives

You carry out an employee survey to gain insights into your employees' perception of their work. The aim is to use this to make targeted improvements to your organization. Are your employees engaged? Are teams productive? What issues are important within your organization? Among other things, your employee survey gives you an insight into the satisfaction, employee commitment, employee engagement, loyalty, motivation and customer orientation of the employees.

There are many constructs regarding the objectives of employee survey. HR professionals should distinguish among these terms as follows:

Job satisfaction defined as degree to which employees have a positive affective orientation towards employment by the organization. Employee satisfaction depends on company and administrative policies, supervision, salary, interpersonal relations, working conditions, work itself, achievement, recognition, responsibility, and advancement.

Organizational commitment has been defined as an individual's dedication and loyalty to an organization. Organizational commitment embraces the following three elements. These are (a) the acceptance of organizational goals and a strong belief in these goals (b) willingness to perform substantial efforts on behalf of the organization (c) having a definite desire to maintain organizational membership.

Organizational climate may be defined as "members' collective perceptions about their organization with respect to such dimensions as autonomy, trust, cohesiveness, support, recognition, innovation and fairness.

Job involvement is defined as the degree to which a person psychologically identifies with, and is related with the work motivation that a person has with a job. Job involvement is grouped into four diverse categories. These categories: 1) work as a central life interest, 2) active participation in the job, 3) performance as central to self- esteem, and 4) performance compatible with self-concept.

Employee engagement has become a widely used and popular term, and it has its basis in practice rather than theory and empirical research, while its construct often overlaps with other constructs, such as organization commitment, job involvement, or organizational citizenship behaviors (OCB). However, engagement is not an attitude; it is the degree to which an individual is attentive and absorbed in the performance of their roles. In HR practice, the concept is commonly seen as capturing levels of commitment and discretionary effort exhibited by employees.

In order to clarify the purpose of your survey, ask yourself: Why do you want to gain an insight into the work perceptions of your employees? Without a clear objective, your survey won't succeed and it won't lead to improvement.

2.1.2. Creating buy-in

As well as having a clear objective, it's important to create broad support for your survey within the organization. Too many surveys end up in the bottom drawer because the results are ultimately not accepted or applied. To avoid this pitfall, it is essential to involve all the relevant stakeholders in the survey from an early stage. The aim is that various groups should be able to take action afterwards on the basis of the results. The support of these groups for the survey must be won in advance.

The stakeholders that should be involved in the survey from an early stage are:

- (Line) managers
- Other direct reports
- HR directors and managers

- Top management
- Executive Board / Supervisory Board
- Communication department
- Works Council (if applicable)
- Trade unions (if necessary)

It's advisable to involve works council representatives from the outset, not only to adhere to rules and expectations but also because a works council can play an important role in embedding the survey in the organization. If you work at an international level, get the branch managements/units involved as well.

2.1.3. Determining the survey method

When setting up your survey, think about which survey method is appropriate for your organization. This is also the time to consider whether you should implement the survey and the associated follow-up yourself or engage an external agency. There are three phases of the methodology to be considered:

- Distribution: How can you distribute the questionnaires in such fashion as to reach everyone with ease?
- Participation: What is the easiest way for respondents to participate in the survey?
- Data collection: How do you ensure that you receive the maximum number of responses?

There are many methods for conducting surveys. For a good survey of employees, two methods are widely used: via an online questionnaire and/or via a written questionnaire. Choose the method that best suits your situation and make it easy for employees to complete the questionnaire.

A good survey also leads to a high response rate. If, despite everything, you anticipate a low response rate, you might consider

scheduling a time when all the employees fill in the questionnaire together, such as the end of a shift. In that case, do make sure that an external person supervises it. Employees can address any question to that person.
Moreover, this approach avoids consultation between respondents as the questionnaires are completed. If that happens, you will be recording group opinions instead of individual perspectives.

2.1.4. Guaranteeing anonymity

As well as a high response, you also want a reliable one. You want employees to feel free to give their honest opinion. Can you guarantee that employees will be able to complete the questionnaire anonymously? In the interests of anonymity, you should observe the following points at a minimum:

- Ensure that employees can complete the questionnaire where colleagues cannot watch them;

- Make sure that answers are received and stored on a secure server;
- Keep questions about personal characteristics to a minimum (avoid insofar as possible questions on gender, educational level, years of service etc.);
- Convert handwritten answers into standard (computer) fonts;
- When reporting the results, keep it at group level insofar as possible.

In addition, prevent situations where employees can fill in the questionnaire more than once. To avoid duplication and unreliable results, employees should only be able to give their opinion once. Therefore, be sure to work with unique login codes that can only be used once.

2.1.5. Designing the questionnaire

Keep it simple. The participation rate can be very adversely affected if employees are daunted by the time it will take to complete the survey or if they feel the questions are irrelevant to them. Employee survey questionnaires allow an organization to understand their employees and to see what can be done to increase their satisfaction, their engagement and their commitment to the organization. Employee surveys can be designed in-house or by an external consultant. If you wish to do your own, there are some steps to follow to ensure you will get the results you need to build positive employee relations to impact your business.

- Determine the need for your survey. Employee survey questionnaires can evaluate a wide range of topics including overall satisfaction, engagement, organization commitment, job involvement, pay and benefit perception, career advancement, supervision, communication, processes and policies, productivity and efficiency, job stress and work-life balance. The aim of your survey will determine the types of questions you will ask.
- Choose which questions need to be asked to get the answers you need to evaluate your employee perceptions in regard to the need of your questionnaire.

- Select the methodology you will use to ask your questions and gather you data. It can be both quantitative and qualitative. The way you ask your questions will be greatly influenced by the methodology you pick. It is possible to write an employee survey questionnaire that mixes both methodologies for a more complete evaluation of the situation.
- Decide which vehicle you will use to send the survey and gather the results. You can offer your employees multiple options or you can decide ahead of time that all staff members have to fill out the questionnaire on a paper format, via email, or via a secure online website.
- Proof and test your questionnaire before sending the survey to your employees. This stage allows you to ensure the validity of the result and that you will get the desired results. If the results are positive, you have completed the design of your employee survey questionnaire. If the results are not conclusive enough, start again and try changing questions or methodology until you have testing results

satisfying enough to send the survey to your employees.

If the survey is to be taken by employees from other countries and cultures then it is best practice to have the survey items checked both for the accuracy of language translation and cultural fit. If possible, have a native speaker of each language translate so that the correct phraseology and wording is used to ensure consistency of meaning for each item. This is very important when there is a need to compare results from different countries.

2.2. Communication

How you communicate your employee survey to stakeholders, managers and employees has a dramatic impact on the response rate of the survey. Well thought out communication is key to avoiding resistance and a poor response rate, and this blog provides you with practical steps on how to create a successful communication plan.

Keeping your employees informed about the survey's progress, as well as clear communication in every phase of the survey are essential to its success. Promoting your employee survey to all the stakeholders as early as possible is a must for there to be adequate support, and having people involved from the beginning of the process will favorably affect the response rate.

If people feel involved in the survey, this will considerably increase their willingness to act on the results. If you do not communicate clearly with employees on important issues (such as information about anonymity), they may resist it. In the worst case, employees won't trust the survey and could even sabotage the survey by deliberately giving wrong answers.

2.2.1. Creating a project plan

A good communication process requires time, energy and experience and is vital to the success of the survey.

Before the Survey

All employees must understand why you are conducting the survey and what the benefits will be if they cooperate (i.e. 'what's in it for me'). You should promote the survey before the actual start of the project and let employees know what they can expect from the survey. Remember to clearly communicate the following:

- The start date of the survey
- The planning schedule for the survey
- The intended aim
- The guarantee of strictly anonymous participation
- The deadline for completion of the questionnaire
- The possibilities for asking questions about the survey
- How you will announce the results

- What will be done with the results

The more thorough your communication is, the better. You will find that response to the survey increases substantially and don't forget to thank the employees for their cooperation!

Start of the Survey

Whether you have opted for a paper questionnaire or online, all employees should receive a survey package. If you have chosen for a written survey, your employees
should receive an envelope containing the questionnaire and an accompanying letter. In the letter you should explain what is expected of the employees and why. Don't forget to include an anonymity guarantee, and for further details, you can also to include a pamphlet explaining the background and purpose of the survey. Completing the package by including the postage-paid envelope also makes it easier for employees to return the questionnaire.

For logistical reasons, it may be a better idea to issue the questionnaires on site. For example, you may wish to do this if you do not have the home addresses of your
employees. In some sectors, such as retail and manufacturing, this is often the best method to get a good response.

If you have opted for an online questionnaire, you can send the link to the questionnaire by email. In doing so you can also provide additional information about the survey and anonymity in completing the questionnaire. If some employees have no email address, you can also opt to provide login codes by written letter. If necessary, these codes can be made anonymous by means of a scratch-off layer.

During the Survey

Of course, you want to avoid any last-minute surprises. It's important to track the response daily while the survey is underway and address the following:

- What is the response so far?

- Which departments are showing the most response?
- How much time is there left to respond?

It's advisable to inform managers after three or four days as to how their groups are responding, which can be done easily by email. If the response is disappointing, you can resend the survey invitation and also encourage managers to remind employees to complete the questionnaire.

After the Survey

Share what the initial results are and what steps for improvement are going to be taken together with your employees. Indicating what the actual planning for these are will help you generate the right expectations with regard to the follow-up period. In addition, it also has a positive effect on the response generated during the next survey.

2.2.2. Designing communication materials

There are many ways of bringing the survey to the attention of others. Some
possibilities are listed below, although you may have other ideas on how to promote the survey in a creative manner. Ways to communicate your survey include:

- Letter
- Email
- Flyer
- Staff magazine
- Posters
- Intranet
- On-screen pop-up
- Workplace meetings
- Short Message Service (SMS)
- Holiday card
- Introductory video
- Presentation
- Soapbox addresses
- Employee meetings
- Slogan

2.3. Implementation

You've prepared and communicated your employee survey. Now for the practical part- implementing-review the distribution, data collection, verification and the reporting associated with your employee survey.

2.3.1. Distribution of questionnaires

In principle, you should distribute the questionnaire to every employee. If you are conducting the employee survey yourself in a small or medium-sized organization (up to 500 employees), it is perfectly feasible to print the questionnaires yourself. If you work for a larger organization, it is often better to outsource the printing and distribution.

If you are using an online questionnaire, make sure you have a system that works properly. Consider, for example, having an email with a link to the questionnaire, plus the possibility to save what has been filled in so far and return to it at a later time.

Which questionnaire for whom? If you work with multiple business units across international borders and with a variety of cultures, keep in mind the differences that you will encounter. You should therefore adapt questionnaires to take into account the nature of the different parts of the organization. By customizing questionnaires for each business unit, you will increase the employee commitment across the entire organization.

2.3.2. Response period

The 80/20 rule also applies to survey response times. By far the largest response is generated during the first few days. Allowing 2 weeks for responses is usually enough, but if the response is disappointing, you can always extend the deadline by a week.

2.3.3. Data collection

How to get the completed questionnaires back to you? With a digital survey, this is simple. Written (paper) questionnaires can be returned to a freepost address. In view of the anonymity guarantee, we recommend that you designate a freepost address to be used specifically for the survey.

If the questionnaires are distributed on site, you could still use return envelopes but another option is to place collection boxes at the various locations. Sometimes, to promote a high response rate, it is important to offer employees the facility to deposit their completed questionnaires in a collection box as soon as they have filled them in. This can offer a solution for safeguarding your planning schedule, especially if you are centrally directing the survey in an international organization.

How will you recognize the various questionnaires returned by different departments? The bigger and more international your organization, the greater the need to draw up specific questionnaires. You can distinguish a questionnaire in English from one in German at a glance, but how easily can you tell the difference between one from the marketing department and one from the sales department?

It is therefore always practical to mark the questionnaires with a specific

code
according to surveyed group, for example per team. To maintain anonymity, write only the group name on the questionnaire.

2.3.4. Verifying responses

How to process the returned questionnaires? Processing data by hand is time- consuming and requires precision. You can save a lot of time by having people
complete the questionnaire via the internet, providing you have set up a good system. In most cases the best option is to have your data processed by a specialized bureau, who can automatically import the completed questionnaires (optical character
reading).

How to process open questions? Employees' answers to open questions, such as "What suggestions would you make for...", constitute an additional source of
information. As previously mentioned, it is important that handwritten answers are converted to standard fonts to maintain anonymity. It is also a good idea to process the comments in such a way to not lose their content.

When processing answers, eliminate personal criticisms, you can also delete any coarse language, such 'creative' words frequently attract undeserved attention and usually demotivate the people involved. Revising open answers in this manner results in a more authoritative survey. If necessary, you can choose to distribute the unrevised versions among a limited audience.

3.3.5. Reporting

What should you mention in the reports? In effect, you should include everything in your report. Why was the survey conducted? What was the response? And of course, the results. Do keep it concise. Be sure to substantiate the scores by including a statistical analysis of the results and displaying answers to open questions is important to help you get a better feel for the results.

How do you report? We recommend using graphics, charts for example. They allow you to see the progress that is made at a single glance. Use as many colors or icons as necessary to visualize issues that score well and to indicate areas in which improvement is required. Pages full of text do not inspire reading, and so, will not inspire action either. Try to divide the answers to open questions into as few categories as possible. When presenting the results for a group, make sure that you hold people's attention. Visualize the results, using images as well as text. After all, a picture is worth a thousand words.

At what level should you report your results? The survey pays for itself when stakeholders get reports that they can truly make use of. You should therefore attune the reports to the level of the various stakeholders:

- An A4 sheet with the main outlines for the Board of Management;
- A detailed report for HR;
- An action-oriented report for the business unit and/or the department or manager.

2.4. Analysis

The employee survey has been completed, and the data has been collected.

The issue now is how to analyze the results: How should you structure the data? Should you use benchmarks? How should you prioritize? Taking care to correctly analyze your employee survey is essential in order for there to be impact. Without adequate analysis, your organization might address the wrong issues. The results of your survey should immediately disclose the state of affairs in your organization. As a rule of thumb, the data should therefore be structured to immediately reveal: the successes and the areas in need of improvements

2.4.1. Benchmarking

Whilst there may be some debate surrounding benchmarks, our experience has shown us that benchmarking is an essential addition to the structured data. A comparison of your results with those of similar companies or of the countries where you have branches can reveal valuable insights.

One of the questions you should ask is do you have good benchmark data? Much time is often wasted by drawing hasty, incomplete conclusions. For example, a subject such as remuneration usually gets a low score in an organization. After discovering the low score, you may come to the conclusion that you should act upon the low score. This however is not always wise.

A good benchmark can inform you where your organizations stand in comparison to others. In the case above, the benchmark could inform you that despite your low score, your organization scores better than many comparable organizations. Such insights can really help you decide where to take action, and further help ensure that you do not devote unnecessary time and money to an area where it is not needed.

2.4.2. Setting priorities

What do your employees consider important and in which areas is your organization's score (relatively) low? A statistical program is a useful tool in this prioritization. It enables you to measure the effect of each factor on various HR themes. In this way you obtain a list of priorities showing which aspects employees are proud of and which ones call for improvement. You can see at a glance where the priorities lie and which points have a direct impact on the way your employees perceive their work.
Furthermore, it immediately becomes clear which elements make you stand out as an employer in the labor market.

2.4.3. Identifying trends

Compare your current scores with those from the previous survey in order to follow trends in the results. This will provide insight into the effectiveness of the improvement measures you have taken. Once again, communicate this clearly to the organization.
This will show employees that the survey is having an effect.

2.5. Action planning

An employee survey only becomes effective when something is done with the results.
To delve further into process issues: not telling employees the results of a survey is frustrating, but, worse, it tells them their input is not really wanted. That can result in disengagement, apathy, and "working by the rules," not

positive outcomes in an
increasingly competitive and dynamic world.

The biggest challenge lies in ensuring that your organization takes action. But how can you ensure that there is action throughout the entire organization?

After your survey is complete and the results are in, you should begin informing people within your organization. It is advisable to consult with employees about how action can be taken, and to monitor the progress of planned actions. Finally, in order to establish whether the actions have really led to improvements, conduct a repeat survey and consider making an employee survey a permanent fixture in the calendar year.

2.5.1. Internal communications

Providing information in broad terms. Plan the initial presentation of the survey immediately after delivering the results. First, present the results to the higher echelons (directors, Management Board or senior management). However, make sure that the setup has been approved by the project group before presenting the results.

What should you present? Show the facts and figures, but don't make an exhaustive list of them. Omit everything irrelevant, but make sure that you present the low and high scores. Where possible, make comparisons: comparisons with other companies, countries, teams and equivalent groups. Having heard the facts, the management will immediately want to look for explanations and causes, which is fine. You give the directors some 'homework' so they can discuss the results together and make concrete improvements. This is how organization-wide points for improvement are created.

The result presentation should last no longer than one hour, otherwise those present will lose interest. Moreover, observing this time limit will ensure that the meeting deals with the most relevant points.

Providing information at group level. After the meeting with the management, let employees know what form the follow-up procedure will take. Making clear arrangements will prevent the project from losing momentum. Think about who is responsible for giving feedback on the team results; consider when and how you will give feedback on the results at group level:

Consider where the responsibility lies for the follow-up. Taking action starts with informing the employees. Don't wait too long, and be honest. Employees will soon realize if you are procrastinating. The faster you show the results, the quicker something can be done about them. Don't stop at presenting problems, but also pay specific attention to the positive points. It is important that you carefully discuss issues that cannot be remedied with your employees. The report contains meaningful information, enabling you to discuss things together and then take joint action. At a minimum, you should inform all employees with regard to the following points:

- Response
- Important scores

- Points to be proud of
- Points for improvement

Consider whether to schedule extra presentations, for example to the (European) works council or the group managers. In some countries, the trade union is an
important stakeholder; decide when and how you want to give feedback to all the employees.

2.5.2. Action planning

How do you ensure that immediate action can be taken on the results? The signal to take action should follow immediately after employees have been informed about the outcomes of the survey. The basis was created at an earlier stage with a clear report available, for every level. The important thing now is to translate the report into concrete, well-coordinated actions.

- Decide who is responsible for drawing up action plans;
- Set a deadline for drawing up the action plans.

The responsible managers, project owners and team managers need to discuss the results. These are then discussed with the employees. Any uncertainties among the management members can be discussed at that time. The dialogue with the employees can be initiated per business unit or team in order to arrive at improvement plans at operational level. When that has been accomplished, the path leads upward again. You compare your plans with those of other business units or teams. Frequently, the same improvements can be adopted. You should also check that the improvement plans are in line with your organization's vision and objectives.

2.5.3. Monitoring

Once you have drawn up plans for improvement, it is important to monitor progress.

- Decide who is responsible for monitoring the action plans;
- Consider the extent to which the results and action plans are incorporated in the year plan and the evaluation system;
- Communicate regularly regarding the progress of the improvement projects.

3.5.4. Repeating the survey

Have the actions you have taken led to positive results? The next survey is the ideal time to establish the effects your investments have had and how much employees have appreciated the effort. If you establish the employee survey as a permanent instrument, you increase the likelihood that the results will continue to improve. As you gain insight, adapt the survey to include different or additional questions or action points.

There are as many different ways to survey employees as there are organizations in the world. The specific questions are not the most important thing though; the critical components are the actions that follow. There is no reason to waste resources on a survey that does not lead to change within the organization. Every company has areas of opportunity, especially when it comes to getting their employees more engaged.

3.Employee Assistance Program (EAP)

In today's business world corporations strive to increase profits and maximize shareholder wealth in creative and new ways. Businesses implement methods such as drawing top talent with attractive compensation packages, funding innovative research and development to produce new technology, or improving the productivity and efficiency of employees' work. Each of these factors contributes to the growth and development of a corporation along with helping increase the bottom line. Arguably the most important asset of any business is its people. When businesses ensure their employees are working
at their greatest potential, productivity and efficiency usually follow; however, many issues can inhibit and restrict a business's employees from working at their prime. Physical and mental issues both stand as potential hazards to employees and employers alike. These problems may come in the form of depression, sickness, disability, stress, burnout, absenteeism, and presenteeism. Businesses endeavor to reduce or eliminate these
negative elements present in the organizational environment. Various workshops or counseling activities may be provided to increase employee awareness of such issues and how to cope with them.

One tool corporations can use to reduce or eliminate these problems is an employee assistance program. Employee Assistance Programs (EAPs for short) are programs sponsored by the employer intended to support the removal of various workplace problems. A scholar explains, EAPs typically provide screening, assessments, brief interventions, referrals to other services and case management with longitudinal follow-up for mental health concerns and substance abuse problems. The source of these employee problems can be either personal or work related.

Despite their design and growth, though, many businesses today are reluctant to invest in an EAP because of the debate over their return on investment. Copious amounts of research cite utilization rates or the number of times employees click through a web page to access resources provided by the EAP; however, many of these studies never truly address the effectiveness of a specific employee assistance program. Scholars note, "In other words, are employees achieving positive outcomes, and is the employer realizing the benefit—i.e., is an employee more productive at work because he or she is no longer suffering from depression, combating stress, dealing with substance abuse, or coping with marital conflict?". By examining various studies and examples from specific businesses using EAPs, a case will be presented that businesses that use EAPs do in fact achieve a sufficient return on investment, thereby justifying and recommending the implementation of EAPs by businesses worldwide.

Beginning in the early 1990s, managed behavioral care (MBC) companies partnered with EAPs to provide care that is more continuous. EAPs took on an initial assessment and advocacy role to help employees determine the appropriate level of care and treatment plan, as well as to advocate for care and reduce barriers for employees to access mental

health benefits. As EAPs became more accepted within public and private workplaces, they continued to expand their services to meet the changing needs of employees and

employers. Services broadened to cover issues such as work-life balance, elder care, workplace violence, and supporting companywide changes, such as mergers and downsizing.

3.1. Assessment and Brief Counseling

One of the most defining services EAPs offer is direct, confidential, short-term problem resolution or counseling to individual employees and often their family members. A critical skill of the EA professional is his or her ability to assess underlying problems that are not always presented as the cause for work-related, personal related, or other mental health complaints. Because EAPs work with diverse populations on a daily basis, EA professionals must be savvy enough with regard to objective assessment and procedures to uncover hidden problems that are often the underlying cause of presenting symptoms and complaints. It is typical for employees to present to the EAP with the problem being related to their family or work. After a proper and comprehensive clinical assessment, it may be revealed that other, sometimes more troubling issues are also involved, such as a drinking problem, a gambling addiction, or an undiagnosed depressive disorder.

3.2. Work Performance Focus

How an individual's personal problems may be affecting his or her ability to function at work is another key component of the EAP assessment. With every client, HR professionals assess not only the individual's health, mental health, and overall personal well-being but also how individual and personal problems affect productivity and work performance. The most common initial reason employees seek help from an EAP is for personal relationship/marital problems.

3.3. More Than Mental Health

More recently, employees have been coming to EAPs for problems related to or exacerbated by financial and legal problems, for which EAPs usually provide consultative and educational services (Wilburn, 2007). Additional problems commonly addressed by EAPs include work and other personal relationships, mental health (depression and anxiety), stress, substance abuse and other addiction problems, child/parenting concerns, and other emotional issues.

3.4. Management Services

While perhaps better known for their provision of direct services to employees, EAPs also provide support services to managers and supervisors. Services such as management consultation and organizational programs are often considered more important to both employers and the EAP, as they tend to be the types of services that reach the most troubled employees and, when handled appropriately, provide the best return-on-investment (ROI). For managers and supervisors, as well as the broader work organization, EAPs provide a wide array of organizational solutions and services ranging from education and training to health fairs and screenings, to crisis intervention and consultation to managers and supervisors regarding dealing with troubled employees, new policies related to behavioral health, and much more. One of the original core technology functions that all EAPs are expected to provide is consultation to managers and supervisors. This is often provided through education about constructive confrontation and other ways to interact with troubled employees often resulting in a referral to the EAP. Although the majority of contacts made by employees to the EAP are through "self-referral," EAPs and businesses place a high priority on their ability to support managers in making supervisory referrals to the EAP for employees who have been observed as having work performance and/or productivity issues.

3.5. Organizational Services

EAP services are also provided at the organizational level, either to the entire company or to smaller business units within the work organization. Some of these services include advance planning and immediate response services for crisis events (e.g., accidents, violence, and natural disasters) and leading group interventions and support groups, companywide educational programs, and supporting other internal areas with planning and implementing policy and programmatic changes. Other organizational roles for EAPs involve interacting with union leaders and members and benefit coordinators, such as work-life, health and wellness, drug-free workplace training and mandatory referrals, and outplacement. EAPs also work with managers and supervisors around organizational issues that may result from pending or actual change in the workplace or related workforce development issues. Specific services around these issues include providing guidance regarding how to appropriately support employees during times of organizational change, supporting return-to-work and work accommodation efforts, offering performance management guidance for managers, training and education, and other consulting and coaching services, disability management, and risk management services.

3.6. Crisis Services

Because of their use of systems theory and ability to view the workplace at multiple levels-the micro level with individuals and the macro level with the organization EAPs are well-suited to work with employees and employers at all stages of crisis. EAPs received increased recognition by workplace leaders after they provided support to thousands of individuals and groups following the World Trade Center terrorist attacks on September 11, 2001. Following these events and subsequent incidents of violence and terrorism, EAPs saw a surge of utilization among employees seeking crisis support and short-term assistance but not necessarily in need of formal and long-term mental health services. Additional consultation to the workplace regarding preparedness, crisis communication, and strategic response has been viewed by management as a primary benefit offered by EAPs

3.7. EAP Delivery Models

Employees and managers often have the choice as to whether they access EA services in-person, via phone, or-less often but increasing-via web-based technologies. Usually this choice depends on the type of EAP offered or the EAP model. Currently, several kinds of operating models exist from which companies can purchase EA services. The model of EA services is important as it directly impacts the type of service provided and often the relationship the EAP has with the broader work organization. The more traditional EAP model is referred to as an **"internal"** EAP. Internal EA professionals are employed by the company or work organization offering the EAP. As outsourcing benefits and other workplace programs such as EAPs became popular in the 1990s and continues today, EAPs integrated with larger managed behavioral health companies, functioning as contractors to the workplace to provide EAP services. This is referred to as an **"external"** model of EA service delivery and is currently the most popular model within the United States today. . Two additional models of EA service delivery include the "combination" or "hybrid" EAP that typically began as an internal EAP and expanded services to be offered to other workplaces, as well as the "consortium" model, which describes a situation when several smaller companies share the cost of purchasing the EAP.

3.8. Service Delivery Channels

Due to the physical distance between the external EAP and the workplace, the use of telephone-based EAP counseling service is often emphasized and 24-hour access is almost always offered. Additionally, EAP websites often include information and services that can be used by employees and their family members from any computer.

A consequence of this primarily offsite approach is that the use of the EAP for management consultations and other workplace or organizational services tends to be lower when compared to internal or onsite EAPs and oftentimes the number of management referred clients and serious substance abuse cases are lower.

3.9. Research

For most of their existence, EAPs have relied on anecdotal evidence with limited empirical data to support outcomes from clinical and organizational interventions.

Improvement resulting from to EAP counseling interventions were traditionally measured through self-report surveys of client satisfaction and sometimes basic indicators of mental health and well-being, or other more general level of functioning scales.

3.10. Service Utilization Issues

One area of research suggests that EAP service utilization and impact rate is relatively limited with face-to-face utilization for counseling services averaging 3% to 5% each year. This raises questions about whether or not employees in the most need are actually accessing and using services. Some EAPs report that individuals who self-refer to the EAP often do so for mild to

moderate problems that cause acute stress (e.g., family/marital issues, legal problems, financial concerns), rather than for serious mental health disorders and substance abuse. One of the major limiting factors to EAP use is that stigma and discrimination for mental health and addiction problems is
widespread. This may result in many employees who could benefit from professional help do not seek help because of fears of discrimination or shame at work.

3.11. Clinical Best-Practices

Given the recent push to develop best practice and evidence based practice, the EAP field has expanded its breadth of research as it tries to better understand which
specific interventions are most appropriate and effective for various employee
problems. For example, EAPs have been studying the application of psychological first aid following workplace critical incidents and disasters and cognitive-behavioral
therapy for employees with mild depression and/or stress-related illnesses.

3.12. Disability and Return-to-Work

Another promising trend for EAP research is to examine the effects of EAP collaboration with Disability Management and Return-to-Work (RTW) programs for
employees with primary or co-morbid mental health conditions. Implementing a RTW

program can meet the employer's duty to accommodate and facilitate the return of disabled employees to the workplace. These programs are based on the philosophy that people can safely perform progressively more demanding levels of work while also participating in the process of recovery and getting medical and/or mental health care for their problem. Workplace accommodations can be done in many areas for when the employee is back at work, either part time or full time. It is common for such accommodations to be modified or even discontinued as the employee recovers. EAPs can serve a valuable role in coordinating such care and supporting the employee and their family through this transitional period. It is particularly important for the EAP to be involved in supporting the employee's RTW due to the high overlap of behavioral health conditions and stress-induced illness issues with other chronic medical problems.

3.13. Productivity Measurement

The impact the EAP has on the larger work organization can be challenging to objectively measure. A recently developed standardized measure to assess work performance outcomes related to the EAP and the field of Health and Productivity Management is the use of the Health and Productivity Questionnaire (HPQ). The HPQ measures the impact of chronic illness on productivity using measures of presenteeism and absenteeism-two important outcomes for EAPs. A shorter, more workplace-friendly version of the HPQ, the HPQ-Select, administered by the Integrated Benefits Institute (IBI), is leading the way in corporate benchmarking in health and productivity. The HPQ-Select is currently being adopted by many EAPs that are working to combine their operational experiences in a large international reporting database.

3.14. Workplace Outcomes

Studies show that, when appropriately administered to emphasize the EAP core technology components, EAP services produce positive clinical change, as well as contribute to better work-related outcomes such as reduced absenteeism and turnover, increased productivity, and cost savings in medical, disability, or workers' compensation claims.

3.15. Referral and Case Management

Some studies suggest that EAPs are particularly effective at helping employees with behavioral health and substance abuse issues navigate successfully through the many treatment options available. EAPs are also well-suited to provide longer-term follow- up support and case-management assistance after treatment to reduce the likelihood of relapse and improve the overall RTW process.

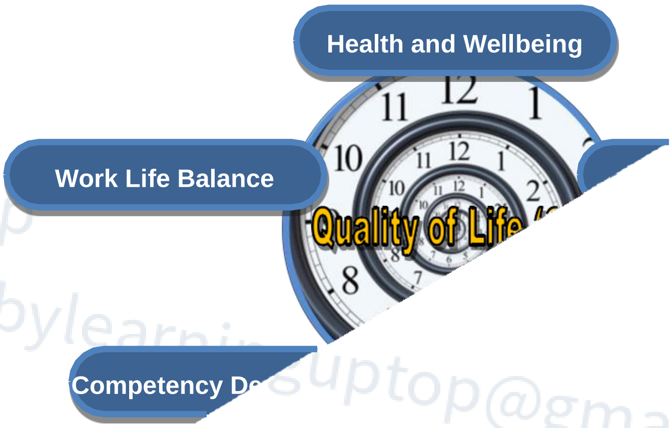
4.Quality of Work Life (QWL)

The quality of work life (QWL) is a wide term covering an immense variety of programs, techniques, theories and management styles through which organizations and jobs are designed, so as grant employees more autonomy, responsibility and authority than is usually done.

In recent years the Quality of Work Life (QWL) has become an important tool in the

struggle for best employees. Organizations are seeking the ways for increasing the QWL in order to retain the best employees and attract the most talented employees. Traditionally used transaction rewards are easily imitable and have lost their power, especially in knowledge-based economy. This is the main reason why many corporations attempt to
find appropriate methods for increasing the QWL.

The concept of QWL is based on the assumption that a job is more than just a job. It is the center of a person's life. In recent years there has been increasing concern for QWL due to several factors:



Source: Reddy, L. & Reddy, M. (2011). Quality of work life of employees: emerging dimensions. Asia Journal of Management Research, 1(2), 827-839.

4.1. Health and Well-being

Health and wellbeing of QWL refer to physical and psychological aspects of an
individual in any working environment. Studies showed that higher job demand leads to higher strain work environment, hence; it affects their health and wellbeing. An unstrained work environment ensures good health and psychological conditions which enable the employees to perform job and non-work related functions without inhibitions. Thus, it leads to a stress less work environment providing comfortable work life. There are many definitions of stress as it is deemed as a subjective phenomenon of QWL. Stress as a

response to the perceived relationship between the demands on individuals and the ability to adjust to their work environment.
Stress arises in the process of interaction between a person and the work environment that threatens the individual's physical, psychological and physiological homeostasis.
Physical illness and psychological disorders increase when pressure at work increases.
Stress causes problems to the muscular system and circulation thus, increasing the risk of myocardial infarction which is well documented in psychosomatic studies.

4.2. Job Security

A dramatic change of workforce in contemporary work environment has revealed a significant amount of organization change. Organization change such as downsizing, rightsizing and outsourcing have adversely affected employees' loyalty, morale, motivation and perceived job security. Organization of Economic Cooperation and Development (OECD) highlighted that job security is the most controversial issue in contemporary work environment. Job security, the central aspect of QWL represents strength of the organizations to provide permanent and stable employment regardless of the changes in work environment. Hence, providing a sense of security is important especially in the work environment where many facets of jobs can be outsourced.

4.3. Job Satisfaction

The cognitive aspect represents an employee's belief about his job or job situation. This means an employee may believe that his or her job is interesting, stimulating, or otherwise. The behavioral component represents an employee's behavioral tendencies toward his or her job. The action of attending work regularly, working hard and intending to stay in the organization for long period of time shows the positive behavior which indicates job satisfaction. In contrast, negative behavioral outcomes reveal dissatisfaction in job. Job satisfaction of an employee differs in meaning and importance in relations to the facets of work. Some may feel pay and fringe benefits that meet his expectations to be extremely important; another, it may be essential to have a job that provides an opportunity for challenging assignment. The results of previous studies indicate that many different aspects of the job, such as pay, promotions, supervision, fringe benefits, one's coworkers support, and excessive working hours are associated with levels of satisfaction.

4.4. Competency Development

Growth in skills and knowledge is an important aspect of competency development that enhances QWL. Therefore competency development is operationalized as the nature of the job that provides opportunities and stimulates growth in skills and knowledge either for career or organizational development. Career development opportunity will provide essential training that will help the individual employees to equip with the new skills to spearhead in their career. Most contemporary organizations do not limit themselves to just training an employee for a job, but they go beyond to furnish them with a support system that encourages workplace learning.

Learning opportunities and skill discretion have also proven to have a positive effect on job satisfaction and reduced job stress that will lead to better QWL. The opportunity to develop and the use of skills are associated with learning mechanisms. This applies especially when the job requires employees to deploy cognitive skills.
With respect to learning, greater autonomy on job enhances the acquisition and utilization of knowledge whilst greater participation is held to promote cognitive growth via increased knowledge transfer among employees (job rotation). Such a job environment expands knowledge base, leads to a better understanding of how the job is related to other organizational practices and a greater ability to solve problems. In such a situation, employees gain the cognitive and behavioral repertoire to predict, control or cope with uncertain demands thus reducing the likelihood of poor QWL. In contrast, high job demands with inadequate control reduce the ability and opportunities to develop new skills and knowledge and thus enforce negative attitudes and anxiety which deteriorate QWL.

4.5. Work Life Balance

A major component of QWL, which is important for both the employees and the employers, is the relationship between work and home life. In an increasing competitive environment, it is difficult to separate home and work life. Employees today are more likely to express a strong desire to have a harmonious balance among career, family life and leisure activities. This has been suggested at the international level the need for national policies in many countries convention that was adopted in 1981, states that it is necessary for organizations to help employees to balance their work and nonwork demands.

Work-life refers to specific organizational practices, policies and programs that are guided by a philosophy of active support for the efforts of employees to achieve success within and outside the workplace. The term "work-life" refers to the intersection of self (the worker), career (work), family and community. These employer sponsored initiatives comprise a strategic framework referred to as the work-life portfolio, a key element of the organization's total rewards strategy to attract, motivate and retain employees.

WorldatWork, A non-profit association dedicated to knowledge leadership in compensation, benefits and total rewards, proposed seven categories of work-life effectiveness:

5.5.1. Caring for Dependents

Work-life support began in response to the influx of women into the workforce after World War II. The first work-life issue that employers faced was the need to find or provide quality care for the children of mothers going to work. Employer-sponsored child care is the highest quality in the country today. At a time when only a third of secondary school students graduate and employers are faced with too many poorly educated workers, investment in

dependent care for employees' children not only
pays off in more productive, engaged employees but creates a more solid educational foundation for the workforce of the future. Dependent care encompasses policies and services that are designed to reconcile parenthood, other unpaid care giving and employment, for men as well as women. This service has greatly expanded over the past decade to include elder-care support for the parents and other elderly relatives
of the growing number of dual-career families. More recently, given an increase in the incidence of children with special needs (such as autism) and elders with Alzheimer's, there is a new focus on providing support for employed caregivers themselves. Some examples of typical programs and services are:

- Child-care resource and referral services
- Child-care discount program at national providers
- Emergency backup child-care service (two options: center-based and in-home care)
- Elder-care resource and referral services
- Long-term care insurance

- Emergency backup elder-care service

5.5.2. Proactive Approaches to Health and Wellness

Reduction of performance-inhibiting and morale-draining stressors in the workplace is the central premise of work-life effectiveness. Because the negative impact of stress- related illness has been shown to eclipse the combined annual profits of the FORTUNE 500 companies, focusing on this category of work-life support holds the most promise of contributing to the reduction of escalating health-care costs. Some examples of these programs and services are:

- Employee assistance programs (EAP)
- Health promotion initiatives
- Concierge service
- Workplace convenience services
- Fitness center affiliations
- On-site work-life seminars (e.g., stress reduction, financial planning, parenting, etc.)

5.5.3. Creating a More Flexible Workplace

Workplace flexibility refers to management practices that optimize control over when, where and how work gets done by individuals and teams. Flexibility (broadly defined) is empirically shown to increase engagement, retention, productivity and even wellness, and is thus an essential pillar of the work-life portfolio. It is grounded in a business strategy that connects flexible management practices with the need to increase the levels of speed, agility, innovation and creativity in an increasingly complex and ever changing global economic, social and political context. There are many tools and approaches employed to enhance workplace flexibility, including flexible career strategies, flexible benefit options, management training and work redesign that streamlines processes and eliminates low-value work.

One of the most common tools employed to increase workplace flexibility involves the provision of
flexible scheduling. When the employer's focus is on the work being done, the employees can focus on meeting deadlines and producing good work - not on
watching the clock tick the seconds until it's time to go home. Some examples of these options for customizing how work is done are:

- Flextime (require employees to work an established number of hours per week but allows starting and ending times to vary. However, the utility costs may be higher because of longer operating hours, and it may be hard to administer attendance.)
- Telework or Telecommuting (the process of working via electronic computing and telecommunications equipment. It is often referred to as "home-based work."
  Accordingly, telecommuting may become a reasonable accommodation for others with disabilities.)

- *Compressed workweek (a full week's work is accomplished in fewer than regulated work days.)*
- *Part-time schedule (A work schedule that is less than full time but is at least half of the regularly scheduled full time amount.)*
- *Job sharing (two employees voluntarily share the responsibilities of one full time job, and receive salary and benefits on pro-rata basis. Job sharing creates regular part time where there was one full time position, and thus avoids a total loss of employment in a layoff.)*
- *Phased return from leave (offers employees the opportunity to return to work at an earlier stage of recovery from illness (they may not yet be fully fit) by allowing them to do fewer hours and/or modified duties based on a structured return to work plan.)*

5.5.4. Financial Support for Economic Security

Providing financially for one's self and loved ones is fundamental to achieving work- life effectiveness. On this front, benefits, compensation and work-life professionals collaborate and communicate the value of financial strategies and programs. Some examples of these programs and services are:

- *Personal financial planning service*
- *Pension plan*
- *Adoption reimbursement*
- *Tuition reimbursement (student aid/loan programs)*
- *Dependent care flexible spending accounts*
- *Health care flexible spending account*
- *Voluntary benefits (e.g., auto, home, pet insurance)*
- *Mortgage assistance*
- *Pre-negotiated discounts on a variety of products and services*

5.5.5. Creative Use of Paid and Unpaid Time Off

Time to spend with loved ones and in one's community is the most fundamental element of work-life support. Some newer policies in this category include paid family leave for new fathers as well as mothers, and paid or release time for community service. Some examples of these programs and services are:

- Personal days/vacation
- Paid holidays
- Paid family leave for new parents (fathers as well as mothers)

- Sabbaticals (a time period in which a person does not report to his regular job but who remains employed with that company.)
- Responsive shift-work policies (work that takes place on a schedule outside the traditional work schedule)
- Paid leave bank and buy-back programs
- Extreme travel comp-time policies
- After-hours email and calling policies

5.5.6. Community Involvement

Employers' and employees' interests are in close alignment when it comes to community, because both the workforce and customers come from the community in which the organization operates. Community focus is expanding to include not only new types of external community outreach, but also a renewed internal focus on building a strong internal sense of community. Some examples of these programs and services are:

- Community volunteer program
- Matching gift program
- Shared leave program (donating personal/vacation time to others facing emergency situations, such as a child with terminal illness or other family catastrophe)
- Disaster relief fund
- Corporate Social Responsibility
- "Green" initiatives

5.5.7. Eliciting Management Buy-In and Transforming Organizational Culture

Achieving culturally embedded work-life effectiveness at all organizational levels requires strong leadership in culture change management, change communication, new approaches to management education, training and role modeling to create collegial, agile, productive and more profitable work environment. Culture is the organizational oxygen that everyone breathes, so employees need to understand their accountability as well. Great workplaces aren't accidental. They are engineered and sustained by a workforce committed from top to bottom to a higher quality of life for the good of the business, workers, their families and communities.

In order to eliminate any residual barriers to the full engagement and productivity of every contributor, it is sometimes necessary to launch specific interventions to
eliminate existing cultural barriers to the full productivity of every individual contributor. Thus, there is synergy between work-life effectiveness, diversity initiatives, women's advancement, mentoring, networking and other change management endeavors. Some examples of these programs and services are:

- Diversity/inclusion initiatives
- Women's advancement initiatives
- Work redesign (efforts to reduce work overload and burnout by transforming the work itself and not the people who do it)
- Team effectiveness approaches
- Generational diversity management
- Work environment initiatives
- Affinity or employee interest groups

5.Employee Suggestion System

In order to improve employee communication and engagement in the organization, many companies use suggestion systems. "Suggestion systems are programs designed to enhance upward communication by soliciting ideas for improved work operations from employees." Employees can express their recommendation by putting the written ideas in the suggestion box. Sometimes, company has a reward for employee who has the best suggestion. Another model related to suggestion systems is query systems. Employees can find an answer for the frequently asking question.

Employee suggestion system can and do succeed. The ones that do succeed share common elements to their success. There are a number of factors to be considered significant in the overall success of any program. These factors are common to any successful process that will take the employees' time, as well as offering the possibility for significant rewards.

5.1. Appoint a Cross-functional Suggestion Review Team

A cross-functional team must review any suggestions and be acknowledged within 48 hours. If this team is made up of all directors or management, it can be seen as being out of touch with the rest of the workforce. However, it will have power to implement the suggestions. If it involves other employees, the process can be time-consuming and perceived to serve self-interests. Senior management's agreement and ownership become a second step in the approval process.

5.2. Establish Guidelines for Your Employee Suggestion Program

Set out guidelines as to which topics are on the table to suggest. Some that are likely to be included are ideas that produce savings, increased productivity, revenue and
morale. Employee suggestions need to be more than just any old suggestion. Primarily it must offer some detail about how the proposer would implement their suggestion. It's easy to get carried away with an idea. Additional detail would be required but not a detailed action plan – some meat on the bones of the idea is sufficient.

5.3. Keep the channel open and flowing

Designate an administrator for employee suggestions, who will ensure the process moves at a steady pace. A firm that finds itself with over a hundred suggestions will get bogged down very quickly. What a morale buster for people who had turned in those suggestions!

5.4. Rewards and Recognition in Your Employee Suggestion Program

The reward for suggestions must be clearly outlined upfront. If a suggestion form comes in with a suggestion for cost savings, the employee receives a percentage of the savings. This reward can be between 5-25% of the proven cost savings. Rewards can also include company merchandise sporting company logos, gift certificates or an awards dinner.

5.5. Feedback in Your Employee Suggestion Program

Pass on any feedback to people in a private setting, especially if the idea was rejected. Otherwise, people will not stick their necks out by offering any more suggestions that could be implemented. However, when a suggestion is implemented, publicly acknowledge the contribution at a staff meeting, with permission of the employee.
You can also post the employee suggestion and names of the employees on the
implementation team the reward given, on notice boards or via company e-mail.

Keep the employee suggestion program participants informed of the progress of their suggestions in the program. Employees just want to know what is happening with their ideas. In many organizations, suggestions disappear into a vortex from which they may never emerge.

When done right, suggestion programs can champion innovation, increase employee
engagement and even save you some cash. However, most of them were fail! One thing you absolutely need for a suggestion program is management buy-in. Without this, your employees and their ideas will not be going anywhere.

If senior managers are not interested, your employee suggestion program will not go far. If you want serious employee suggestions – or suggestions at all – management needs to be interested in your employee suggestion program and actively show your employees that the program is valuable to them.

Part Two: Employee Policies

1.Importance of HR Policies

Human resource policies are the formal rules and guidelines that businesses put in place to hire, train, assess, and reward the members of their workforce. These policies, when organized and disseminated in an easily used form, can serve to preempt many misunderstandings between employees and employers about their rights and obligations in the business place.

Many observers have pointed out that even the best policies will falter if the business owners or managers who are charged with administering those policies are careless or incompetent in doing so. But for those businesses that are able to administer their HR policies in an intelligent and consistent manner, benefits can accrue in several areas:

1.1. Communication with employees

A well written and thoughtfully presented human resource policy manual can establish the tone that a new business person wishes to maintain within his or her business.
Such a policy also serves to disseminating information about what employees may expect from the company as well as what the employer expects from the employees regarding work performance and behavior while on the job.

1.2. Communication with managers and supervisors

Formal policies can be helpful to managers and other supervisory personnel faced with hiring, promotion, and reward decisions concerning people who work under them.

1.3. Time Savings

Prudent and comprehensive human resource management policies can save companies significant amounts of management time that can then be spent on other business activities, such as new product development, competitive analysis, marketing campaigns, etc.

1.4. Curbing litigation

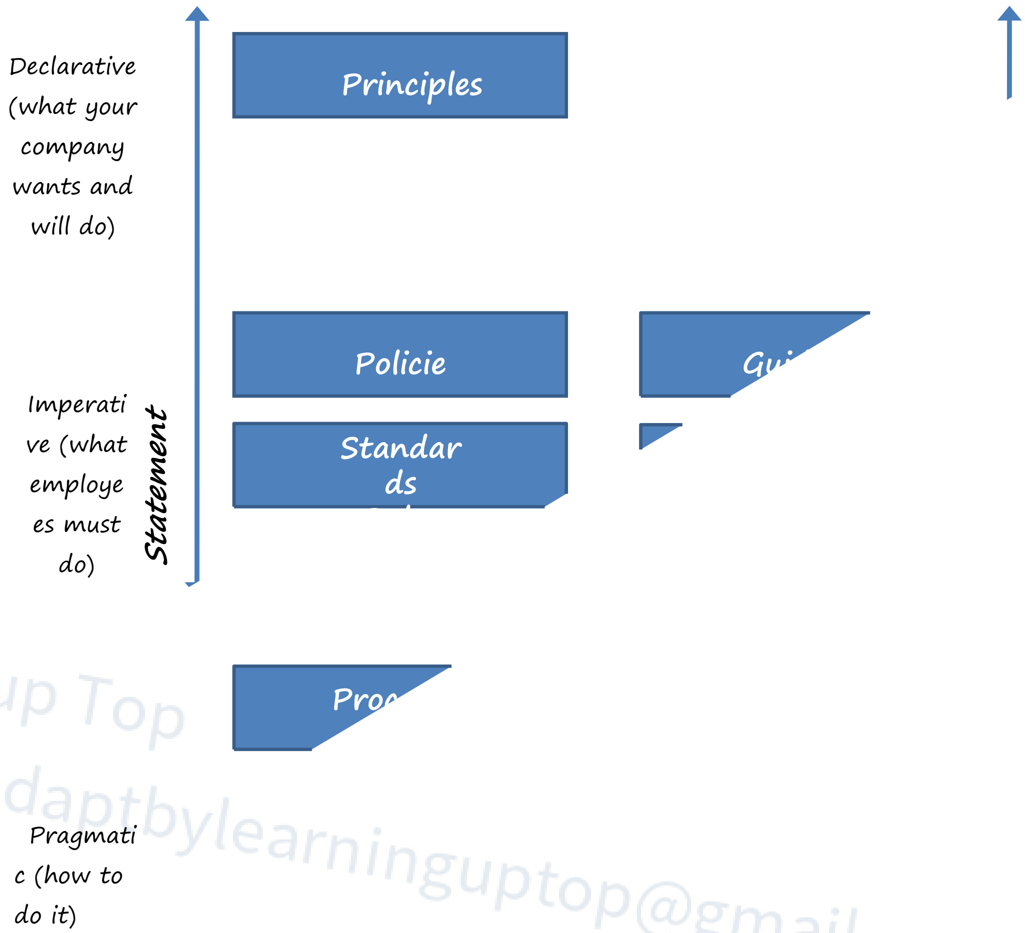
Members of the legal and business communities agree that organizations can do a lot to cut off legal threats from disgruntled current or ex-employees simply by creating— and applying—a fair and comprehensive set of personnel policies.

2.Type of HR Policies

HR Policies should face up and down. They should fulfill your company's business goals (up) and be actionable (down). Likewise, HR procedures face up and down. When you're trying to think clearly about such documents, it's useful to clarify them along three dimensions: statement type, level of generality, and level of obligation.

- Statement Type: documents can be declarative (what your company wants),
  imperative (what employees must do), or pragmatic (how employees should do it).

- Level of Generality: documents range from general to specific.
- Level of Obligation: documents range from mandatory to optional but recommended.



2.1. Principles

Principles are declarative, general, and mandatory. They are sometimes called Business Objectives.

2.2. Policies

A formal, brief, and high-level statement or plan that embraces an organization's general beliefs, goals, objectives, and acceptable procedures for a specified subject area. Policies always state required actions, and may include pointers to standards.

2.3. Standards and Rules

A mandatory action or “rule” designed to support and conform to a policy. A standard should make a policy more meaningful and effective. A standard must include one or more accepted specifications for employee behavior.

Rules are more specific than standards; they create bright line tests such as whether a driver exceeded the speed limit of 55 miles per hour. Greater specificity decreases the flexibility of a rule, often at the expense of an optimal fit between the coverage of a rule and the regulated conduct.

2.4. Guideline

General statements, recommendations, or administrative instructions designed to achieve the policy's objectives by providing a framework within which to implement procedures. A guideline can change frequently based on the environment and should be reviewed more frequently than standards and policies. A guideline is not mandatory, rather a suggestion of a best practice. Hence "guidelines" and "best practice" are interchangeable.

2.5. Procedures

Procedures describe the process: who does what, when they do it, and under what criteria. They can be text based or outlined in a process map. Represent implementation of Policy. It is a series of steps taken to accomplish an end goal.
Procedures define "how" to protect resources and are the mechanisms to enforce policy. Procedures provide a quick reference in times of crisis. Procedures help eliminate the problem of a single point of failure, it is also known as a SOP (Standard Operating Procedure).

2.6. Work Instructions

Describe how to accomplish a specific job.Visual aids, various forms of job aids, or specific assembly instructions are examples of work instructions. Work instructions are specific.

2.7. Forms

Forms and Other Documents: Forms are documentation that is used to create records, checklists, surveys, or other documentation used in the creation of a product or service. Records are a critical output of any procedure or work instruction and form the basis of process communication, audit material, and process improvement initiatives.

2.8. Policy Manual

A policy manual is a collection of documents that define an organization's rules, policies and procedures, and helps staff and management run the business. Policy manuals may be offline, paper documents and/or virtual documents, which are stored electronically.

3.Employee Disciplinary Procedure

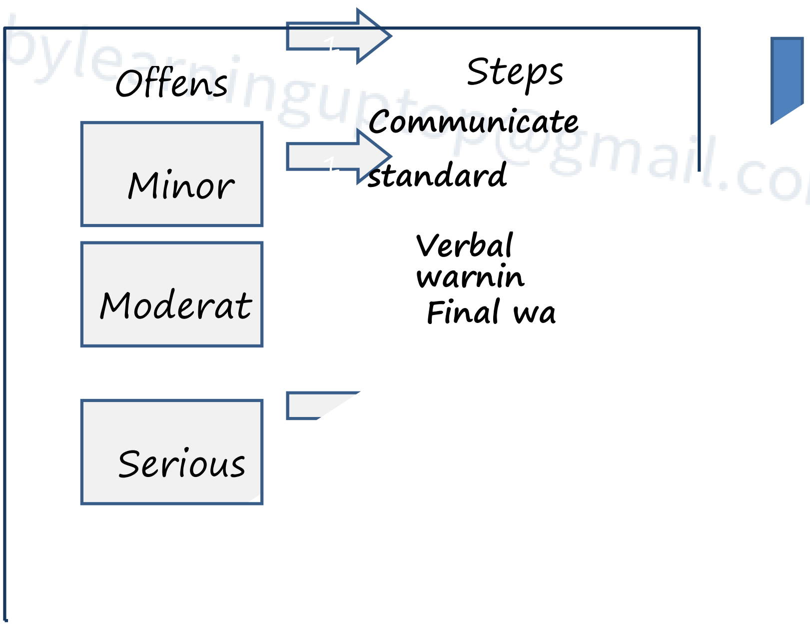
A disciplinary procedure is a process for dealing with perceived employee misconduct.
Organizations will typically have a wide range of disciplinary procedures to invoke depending on the severity of the transgression.

A disciplinary procedure is sometimes the best way for an employer to tell their employees when something is wrong. It allows them to explain clearly what improvement is needed and should give the employees an opportunity to put their side of the situation. Employer can put their disciplinary procedure in writing, and make it easily available to you (for example, by giving details in the employee handbook). It should include the rules, what
performance and behavior might lead to disciplinary action, and what action the employer might take.

Disciplinary procedures vary between informal and formal processes. Informal disciplinary procedures may not be codified and may be handled 'discretely' by a manager, while formal procedures are more likely to be codified in a company handbook or employment contract and followed closely by the employer because disagreement over handling could result in an employment tribunal.

Before a disciplinary procedure is invoked at all, the employee should be informally counselled about his conduct, attendance, work standards, or whatever it is that's causing the problem. The pre-disciplinary procedure informal counselling should be carried out to ensure the employee knows the standards expected, and should be carried out by a supervisor/manager. If this informal counselling does not bring about the required improvement the formal disciplinary procedure will be invoked.

The steps in the disciplinary procedure generally follow graduated steps including a verbal warning, written warning, final written warning, and dismissal. However, in cases of gross or serious misconduct it is permissible to start at stage 3 of the procedure.



3.1. Stage 1: Verbal warning

Generally an employee should receive a verbal warning for a first transgression. Even though the employer is "only" giving a verbal warning, it is still part of a formal disciplinary process and the principles of natural justice, fair procedures, and equity/fairness would apply at all times.

This would involve a meeting with the employee at which the employee could bring a colleague or other representative. There is no right to bring a legal representative, unless the employer agrees.

This may be a trade union representative, even though the employer may not formally recognize or engage with the union. His role will be as a minute taker and witness, not an advocate or spokesperson.

At the meeting the employee should be advised of what the problem is and invited to respond and explain his actions. There should be no rush to judgement by the
employer as the meeting is investigatory.

Following the meeting a confirmatory letter should be given to the employee. This
letter confirms that the employee has been given a verbal/oral warning. It should also contain the improvements required of the employee in respect of the behavior which led to the warning and the timeframe within which the improvement must be made.

This letter should also state that failure to improve will lead to the 2nd stage of the disciplinary procedure and ultimately dismissal.

It should also state the time period for which it will remain on the employee's file, after which it will be removed. 3 months would be a reasonable period for this 1st verbal warning to stay on file, but it could remain for 6 months.

If an employee was suspended with pay pending an investigation it is vital that he knows how long the suspension is to last and the investigation must be held within a reasonable time frame. "Justice delayed is justice denied".

Once this disciplinary procedure has started the employer should assist the employee to improve conduct or performance, whichever was the source of the problem in the 1st place.

The employer should record the details of this 3 month monitoring period and retraining or relocation should be considered, if possible and reasonable.

However, if the employee fails to improve or there is a repeat of the activity that caused the oral warning in the 1st place the employer can then issue a first written warning.

3.2. Stage 2: Written Warning

The 1st written warning can be issued within the period of time advised for
monitoring after the verbal warning, provided there is no improvement in conduct or performance.

Before issuing it the employee should be invited to another meeting, told of the transgression, and given the opportunity to respond.

The written warning will then be issued and last for another 3 months. This warning should also clearly set out the nature of the problem, suggest solutions such as retraining, and advise of the possible sanctions (including dismissal) if no
improvement is observed within the 3 months.

The employer should again afford all reasonable assistance to the employee to help him improve conduct and/or performance. However the empo9yer must be mindful of his duty of care to other employees also.

If the required improvement is not forthcoming within the 3 month period after the 1st written warning then a 2nd written warning may be issued. This is entirely a
matter for the employer and it is common for many employers to only issue a 1st and final written warning.

This warning is done in a similar fashion to the other 2 warnings referred to above but you would consider giving a 6 month monitoring period to allow improvement.

3.3. Stage 3: Final Warning

If the required improvement is not happening then a final written warning would be issued with a 12 month monitoring period. The letter confirming this warning will advise that if there is no improvement or if the bad behavior/performance is repeated then dismissal will occur.

This warning letter will be the final one prior to dismissal so it is important that it is well drafted as it will be scrutinized closely by the employee and probably his legal advisor. This letter should only refer to the matters which have been the subject of the disciplinary procedure to date, no other matters which have never been put to the employee.

3.4. Stage 4: Dismissal or action short of dismissal

If there is no improvement after the final written warning then dismissal is the likely outcome. A meeting should be called and the employee and his representative invited.

The employer should remind the employee of the behavior/conduct that has led to this point, the repeated transgressions/failure to improve performance sufficiently, and that the dismissal is in accordance with the disciplinary procedure.

The employee should be given the opportunity to appeal within 14 days. He should also be given a letter confirming the dismissal and the right to appeal, the time period for appeal, and who to appeal to.

3.5. Gross or Serious Misconduct

Gross or serious misconduct will be normally dealt with under the final stage- stage 3 or stage 4, depending on how many stages you use in your procedure. Serious/gross misconduct should be dealt with as follows:

3.5.1. Notify the employee of the allegation without delay

This would involve, firstly, a preliminary gathering of the facts and, secondly, an invite to the employee to attend a meeting to lay the allegation. The employee should be told he can bring a work colleague or union representative to this meeting.

It is important that strict confidentiality is maintained as the employee is innocent until proven otherwise and is entitled to the protection of his good name.

3.5.2. Investigation

An investigation will be carried out and the employee may be suspended with pay pending the outcome of this investigation.

It should be carried out as quickly as possible by a party/parties with the necessary expertise, agreeable to employer and employee, and in accordance with the terms of reference for the investigation. The terms of reference should set out

- the timescale of the investigation and

- the scope of the investigation, that is, deciding whether or not the allegation has been upheld.

A written record of all meetings should be kept and confidentiality maintained. The
investigator should be able to interview any employee who may be able to assist the investigation.

The employee against whom the allegation has been made should be given copies of all written notes prior to and during the investigation, e.g., witness statements, details of the alleged misconduct, notes. He should also be allowed representation at any meetings during the investigation process.

Once the investigation has completed a written report setting out the investigator's decision, based on the balance of probabilities, will be given to senior management and the employee. If the allegation has been upheld a further disciplinary meeting will be held with the employee.

3.5.3. Disciplinary hearing

The employee should be advised of the disciplinary meeting in writing and told:

- It is a formal disciplinary meeting under Stage 4 or 5 of the disciplinary procedure
- The purpose of the meeting is to hear representations on behalf of the employee and to decide whether a disciplinary sanction is appropriate
- The possible outcome of the hearing
- The right to be accompanied

Once representations have been made, and the hearing is not to look into the allegations again, the meeting will then be adjourned to allow the decision maker to decide what action, if any, is to be taken.

The meeting will be reconvened and the decision advised to the employee who will also be told of his right to appeal the decision.

None of the above will apply to situations of gross misconduct which may lead to instant dismissal. Also, more serious transgressions of conduct may lead to the procedure being started with a written warning or at a different point in the procedure.

The key point is that there is a procedure that is fair and transparent and both
employer and employee know where they stand. Equally important is that other employees see the procedure as fair and equitable and that they will get fair procedures when there is a problem.

4.Grievance Management

A union is an organized group of workers who collectively use their strength to have a voice in their workplace. Through a union, workers have a right to impact wages, work hours, benefits, workplace health and safety, job training and other work-related issues.

Unions and employers know that employee dissatisfaction is a potential source of trouble, whether it is expressed or not. Hidden dissatisfaction grows and creates reactions that may be completely out of proportion to the original concerns. Therefore, it is important that dissatisfaction be given an outlet. A complaint, which is merely an indication of employee dissatisfaction that has not been submitted in writing, is one outlet.

If the employee is represented by a union, and the employee says, "I should have received the job transfer because I have more seniority, which is what the union contract states," and she submits it in writing, then that complaint is a grievance. A grievance is a complaint that has been put in writing and thus made formal. Management should be concerned with both complaints and grievances, because both may be important indicators of potential problems within the workforce. Without a grievance procedure, management may be unable to respond to employee concerns because managers are unaware of them. Therefore, a formal grievance procedure is a valuable communication tool for the organization.

4.1. Grievance Responsibilities

The following table shows the typical division of responsibilities between the HR unit and line managers for handling grievances. These responsibilities vary considerably from one organization to another, even between unionized firms. But the HR unit usually has more general responsibilities. Managers must accept the grievance procedure as a possible constraint on some of their decisions. Management should recognize that a grievance is a behavioral expression of some underlying problem.
This statement does not mean that every grievance is a symptom of something radically wrong. Employees do file grievances over petty matters as well as over important concerns, and management must be able to differentiate between the two.
However, to ignore a repeated problem by taking a legalistic

approach to grievance resolution is to miss much of what the grievance procedure can do for management.

HR Department	Managers
• Assists in designing the grievance	• Operate within provisions of the
• Monitors trends in grievance rates for the organization	• Attempt to resolve grievances where possible
• May assist in preparing grievance	• Document grievance cases for the
• May have responsibility for settling grievances	• Engage in grievance prevention efforts

4.2. Grievance Procedures

Grievance procedures are formal communications channels designed to settle a grievance as soon as possible after the problem arises. First-line supervisors are usually closest to a problem; however, the supervisor is concerned with many other matters besides one employee's grievance, and may even be the subject of an employee's grievance. Supervisory involvement presents some problems in solving a grievance at this level.

The illustration shows how easily an encounter between an employee and a supervisor can lead to a breakdown in the relationship. A unionized employee generally has a right to union representation if he or she is being questioned by management and if discipline may result. A grievance procedure begins with the first- level supervisor and may end—if the grievance is not resolved along the way—with arbitration by a third party. Grievance procedures can vary in the number of steps they include. The following figure shows a typical procedure, which includes the following steps:

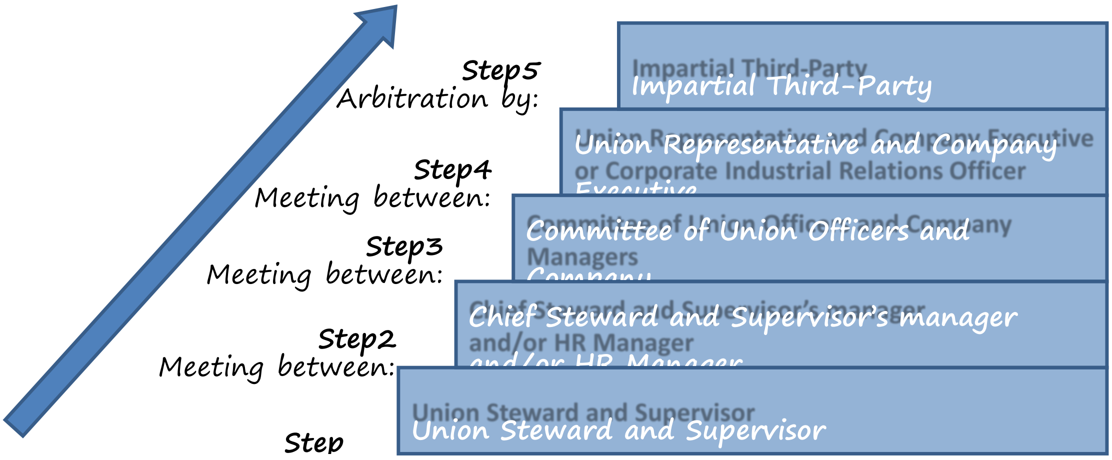
4.2.1. The employee discusses the grievance with the union steward (the union's representative on the job) and the supervisor.

4.2.2. The union steward discusses the grievance with the supervisor's manager.

4.2.3. The union grievance committee discusses the grievance with appropriate company managers.

4.2.4. The representative of the national union discusses the grievance with designated company executives.

4.2.5. The final step may be to use an impartial third party for ultimate disposition of the grievance.



If the grievance remains unsettled, representatives for both sides would continue to meet to resolve the conflict. On rare occasions, a representative from the national union might join the process. Or, a corporate executive from headquarters (if the firm is a large corporation) might be called in to help resolve the grievance.

If not solved at this stage, the grievance goes to arbitration. Arbitration is flexible and can be applied to almost any kind of controversy except those involving criminal matters. Advisory, or voluntary, arbitration may be used in negotiating agreements or in interpreting clauses in existing agreements. Because labor and management generally agree that disputes over the negotiation of a new contract should not be arbitrated in the private sector, the most important role played by arbitration in labor relations is as the final step in the grievance procedure.

4.3. Grievance Arbitration

Grievance arbitration is a means by which disputes arising from different interpretations of a labor contract are settled by a third party. This should not be confused with contract or issues arbitration, discussed earlier, when arbitration is used to determine how a contract will be written.

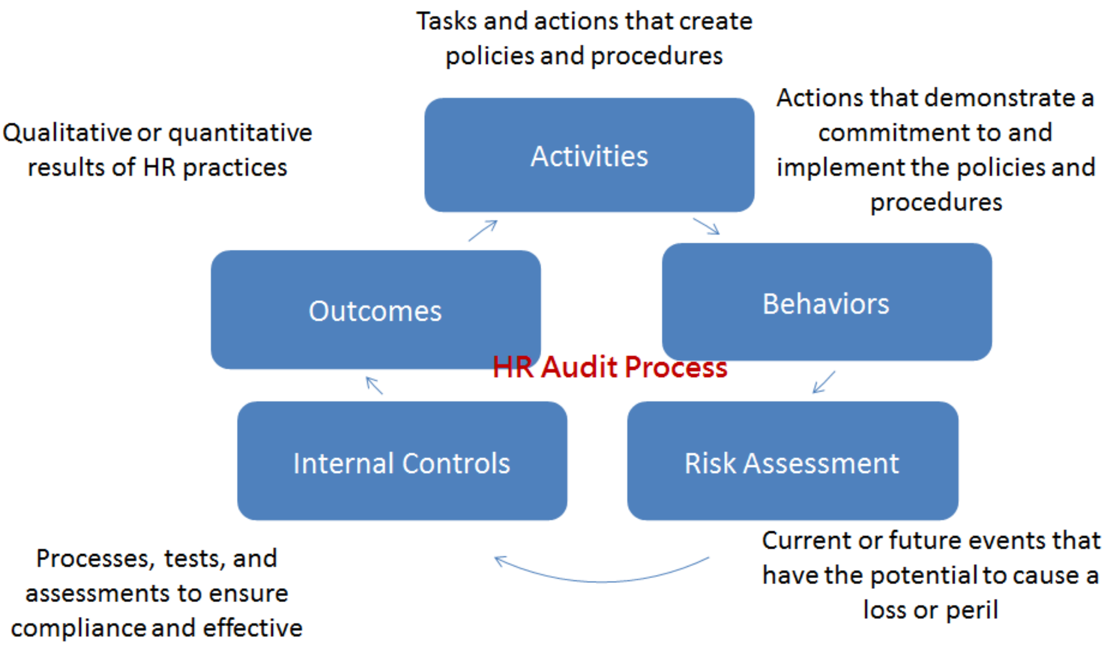
Grievance arbitration presents several problems. It has been criticized as being too costly, too legalistic, and too time-consuming. One study found that arbitrators generally treated women more leniently than men in disciplinary grievance situations. In addition, many feel that there are too few qualified and experienced arbitrators.
Despite these problems, arbitration has been successful and is currently seen as a potentially superior solution to traditional approaches to resolving union-management problems.

5.Human Resource Audit

HR Audit means the systematic verification of HR responsibilities demonstrated on the body of knowledge. HR audit is very much useful to achieve the organizational goals, and it is a vital tool that helps to assess the efficiency and effectiveness of HR functions.

The HR auditing process is — or should be — an independent, objective, and systematic evaluation that provides assurance that: 1) compliance and governance requirements are being met; 2) business and talent management objectives are being achieved; 3) human resource management risks are fully identified, assessed, and managed; and 4) the organization's human capital adds value. Under this definition, HR audits are more than an audit activity that solely collects and presents evidence of compliance. HR audits are increasingly expected to look behind and beyond the organization's assertions of sound and proper HR management practices and to assess the assumptions being made, to benchmark the organization's processes and practices, and to provide the necessary consultative services that help the organization achieve its business goals and objectives.

There are five critical components, which should be addressed in every HR audit, are shown and discussed below:



Source: Alder, R. (2014). The Evolution of HR Audits: The five critical components of the HR audit. Available on www.hr.com

5.1. Activities

The starting point of the HR auditing process is a review of the organization's activities, that is, the tasks and actions that create or implement employment policies, practices, procedures, and programs. Activities include such actions as the promulgation of an EEO policy statement and other employment policies, and the posting of required employment posters. The Activities component of HR audits is typically evaluated by using a "checklist approach," that is, the item is checked off when it is completed. Here are some most used HR policies and procedures in globe:

5.1.1. Employee Handbook

An employee handbook is written with employees as the intended audience. It is most often written using a straightforward layout for easy referencing of company policies and procedures and is a vehicle for familiarizing employees with basic company policies and benefit programs, as well as the general expectations of the company, including acceptable and unacceptable behavior and disciplinary measures.

5.1.2. HR Policies and Procedures Manual

A policies and procedures manual is a comprehensive text that details every aspect of company policy, the procedures for following those policies and the forms needed to complete each process. A policies and procedures manual is a reference tool for managers and supervisors. This tool is much more complete in detail than the employee handbook and should be used for back-up when more information is needed to explain a policy or when a deeper understanding of a process is desired. As a benefit to management, the manual can contain references to federal and state laws that correlate to each policy. Managers and supervisors then have access to the rationale for the policies, thus providing them with assistance for enforcement.

A policy is a guiding principle used to set direction in an organization. A procedure is a series of steps to be followed as a consistent and repetitive approach to accomplish an end result. Together they are used to empower the people responsible for a process with the direction and consistency they need for successful process improvement.

5.1.3. Code of Conduct

A code of conduct lays out an organization's expectations and guiding principles for appropriate workplace behavior. This Code of Conduct sets out the fundamental standards to be followed by employees in their everyday actions on behalf of the organization. Code of conduct gives guidance in areas where staffs need to make personal and ethical decisions.

5.1.4. Work Rules

While policies are broad guidelines that reflect the aims and objectives of the organization, rules are meant more for day to day operations to proceed smoothly without any glitches. Rules are meant to guide the behavior and attitude of the employees to help them behave according to situations arising in day to day operations. These rules make sure that there is no inconvenience to any employee and they can work with their full efficiency. For example, if employees are asked not to smoke in the premises of a factory or keep their mobiles switched off during a meeting, these are considered rules.

5.2. Behaviors

Behaviors in this context are actions and conduct that affect – either positively or negatively – the implementation or effectiveness of the organization's policies, practices, procedures, and programs, and demonstrate the organization's commitment to stated goals and objectives. Examples of Behaviors include: the creation of a corporate culture that values and promotes equal employment op-portunities, diversity, and compliance; the visible and unequivocal support by senior management for the organization's diversity efforts; and the budgeting of sufficient resources to achieve compliance and diversity goals. Behaviors are frequently assessed using qualitative measures, such as culture scan and employee satisfaction surveys.

5.3. Risk Assessment

Risk assessment is the identification of current and/or future events that have the potential to cause loss, peril, or vulnerabilities, and management's willingness to accept those risks. Risk assessment is also the identification of events or conditions that create new opportunities for the organization to achieve its business objectives. Risk assessment provides management with the information to make informed decision about the allocation of the organization's human, physical, and financial capital and about effective ways to eliminate, mitigate, control, or transfer those risks. Human resource management and employment practices liability related risks include: employment law and regulation compliance failures; lost business opportunities due to the failure to attract, hire, and retain top talent; intangible asset losses due to turnover

and the loss of top talent and key employees; ineffective staff development and
succession plan-ning; and lower profitability due to the inability to control labor costs.
HR auditing activities include assessments of the external and internal factors that
impact human resource management and em-ployment practices – including: 1) the
economy; 2) legal, regulatory, and litigation trends; and 3) demographic and structural changes in the workplace and work force.

5.4. Internal Controls

Internal controls are processes, tests, and as-sessments that help ensure compliance, manage risks, identify fraud, and help ensure the achievement of organizational goals. HR auditing activities include: 1) assessments of the effectiveness and efficiency of HR management processes, policies, practices, and procedures; 2) the reliability and accuracy of HR management reporting; and 3) the level of compliance with: laws and regulations; industry and professional standards; codes of conduct and ethics;
organizational policies; and budgets.

5.5. Outcomes

Outcomes are quantitative and qualitative measure-ments and metrics that measure and help assess the achievement of organizational goals and objectives. HR auditing activity includes the identification of metrics used by the organization to measure organizational and individual performance; the assessment of results by comparing actual results against projected results, budgets, and internal and external standards; and a description of the activities, behaviors, and internal controls that are needed to maintain or improve future results.

Part Three: Employee Safety and Health

1.Workforce Risk Management

Risk management involves responsibilities to consider physical, human, and financial factors to protect organizational and individual interests. Its scope can range from workplace safety and health to disaster preparation. A well-done HR risk management program can affect the bottom line through direct savings in workers' compensation costs, civil liability damages, and litigation expenses, as well as by increasing the likelihood of winning bids and government contracts.

Preparing an employer for the variety of potential problems that can occur when doing business is the focus of risk management. For human resources, risk management includes:

- Preventing accidents and health problems at work
- Preparing for natural disasters
- Planning for terrorism attacks
- Anticipating global disease outbreaks
- Protecting against workplace violence
- Ensuring HR data are secure

Research from global independent organizations shows that risk related to human resource management (''People Risk'') is largely ignored or misunderstood by HR and strategic-level planners. Furthermore, People Risk does not commonly feature as part of Enterprise Risk Management (ERM). A study by the Economist Intelligence Unit highlighted risk associated with human resource management as the most significant threat to global business operations. Another study by the Conference Board classified this risk as the fourth biggest impact on business performance, but placed it tenth in terms of how effectively it is measured and managed within the business.

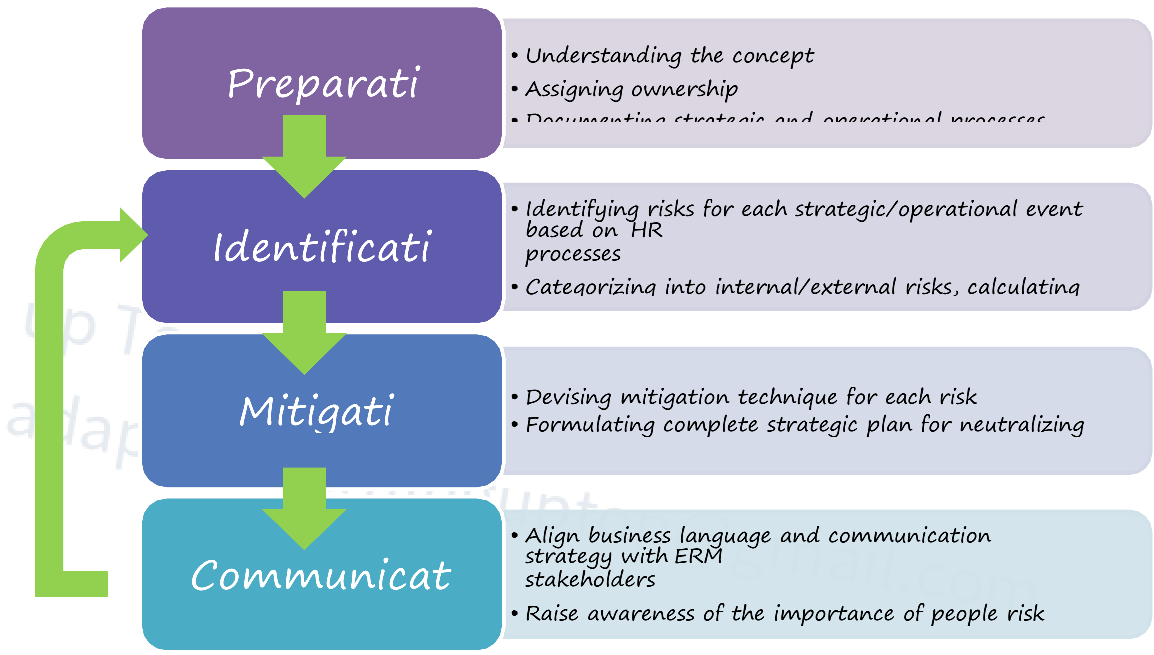
By including the assessment of People Risk in regular HR planning activities, relevant stakeholders can recognize its significance and potential impact and then determine the necessary steps to mitigate those risks.

With the size and scope of People Risk, it's important to get a clear understanding of the various elements that sit under this concept and place them in a structure that allows a business to include People Risk as an integral part of their risk management strategy.

The below figure illustrates a four-step process that Aon Hewitt has developed to allow HR professionals and related stakeholders to begin implementing a review of People Risk
within their daily operations. The first step is for HR to prepare to handle People Risk by aligning its processes and language with the other types of risk that are already managed within the business. The second step is to identify People Risks based on the operational processes and strategic decisions in which the business partakes. The third step is to
devise a strategy to minimize the impact of each risk on the business. Lastly, the fourth

step is to communicate your findings to the risk management stakeholders within the organization and to ensure that HR is covered for the consequences of risk. Once this is done, HR can return to identifying and monitoring risks as they appear. The following pages flesh out each stage of the diagram in detail.

HR Process for Including People Risk as Part of the Company's Enterprise Risk Management Strategy



Source: Wade, G. (2012). Understand People Risk from Holistic Perspective. Aon Hewitt.

1.1. Preparation

Developing an effective Risk Management Plan can help keep small issues from developing into emergencies. Different types of Risk Management Plans can deal with calculating the probability of an event, and how that event might impact you, what the risks are with certain ventures and how to mitigate the problems associated with those risks. Having a plan may help you deal with adverse situations when they arise and, hopefully, head them off before they arise.

1.1.1. Understand Risk Management

Risk is the effect (positive or negative) of an event or series of events that take place in one or several locations. It is computed from the probability of the event becoming an issue and the impact it would have (See Risk = Probability X Impact). Identifying, evaluating and understanding risks is a very important aspect of business management. Businesses can also suffer dreadful consequences if risks are not appropriately managed. The most widely understood risks are occupational health and safety risks. Most people generally associate the word 'risk' with injury, health risks and death, but there are many other types of risk faced by any business.

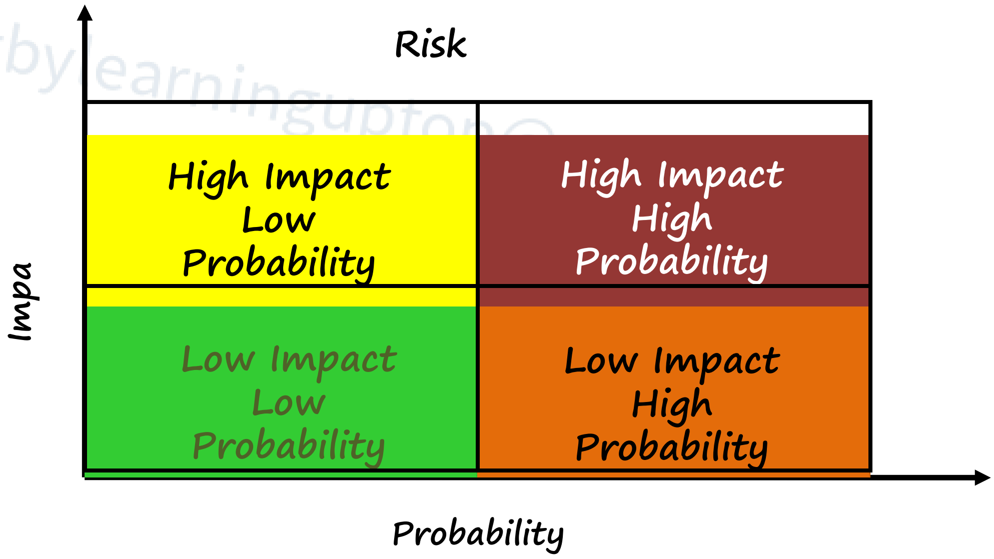
The matrix below is adapted from the Risk Management Standard. It can be used to record a priority rating for each risk identified in the risk audit. Each risk identified must be evaluated in terms of:

1.1.2. Probability

A risk is an event that "may" occur. The probability of it occurring can range anywhere from just above 0 percent to just below 100 percent. (Note: It can't be exactly 100
percent, because then it would be a certainty, not a risk. And it can't be exactly 0 percent, or it wouldn't be a risk.)

1.1.3. Impact

A risk, by its very nature, always has a negative impact. However, the size of the
impact varies in terms of cost and impact on health, human life, or some other critical factor.



A risk exposure that has both a high likelihood and a high severity of consequence should be given the greatest consideration for elimination or control. A risk that is both low in likelihood and low in severity can easily be retained and self-funded.

1.1.4. Low impact/low probability

Risks in the bottom left corner are low level, and you can often ignore them.

1.1.5. Low impact/high probability

Risks in the bottom right corner are of moderate importance – if these things happen, you can cope with them and move on. However, you should try to reduce the likelihood that they'll occur.

1.1.6. High impact/low probability

Risks in the top left corner are of high importance if they do occur, but they're very unlikely to happen. For these, however, you should do what you can to reduce the impact they'll have if they do occur, and you should have contingency plans Add to My Personal Learning Plan in place just in case they do.

1.1.7. High impact/high probability

Risks towards the top right corner are of critical importance. These are your top priorities, and are risks that you must pay close attention to.

1.1.8. Assign Risk Owner

A risk 'owner' should be identified for each risk, who should be the person best situated to keep an eye on it. Manager will normally suggest the 'owner' and the risk board or committee should make the decision. Allocating ownership of the risk process as a whole and the various components is fundamental from the outset.
Normally the risk 'owner' will have the responsibility of monitoring each risk.

1.1.9. Document Risk

Organizations implement risk management because they have decided to take a position on it.

Implementation could be for reasons of legislative compliance or cost containment, or as part of an innovation project or decision making strategy. The organization's policy on risk management should reflect its position and include the areas in which it must perform (Key Result Areas or KRA's) and be endorsed by senior management.

Each stage of the risk management process should also be documented. Documentation should include assumptions, methods, data sources and results.

Th

e reasons for documentation are as follows:

- to demonstrate the process is conducted properly
- to provide evidence of a systematic approach to risk identification and analysis
- to provide a record of risks and to develop the organisationï¿½s knowledge database
- to provide the relevant decision makers with a risk

management plan for approval and subsequent implementation

- to provide an accountability mechanism and tool
- to facilitate continuing monitoring and review
- to provide an audit trail, and
- to share and communicate information

At each stage of the process, documentation should include objectives, information sources, assumptions, and decisions made upon the information. In some circumstances, and based upon an organization's size, a compliance and due diligence statement may be required, so that managers formally acknowledge their responsibility to comply with risk management policies and procedures. Decisions concerning the extent of documentation may involve costs and benefits and should take into account the above factors. The organization's risk audit, risk register, treatment plans, action plans and progress reports are examples of the appropriate documentation to be kept as part of the organization's risk management plan.

These examples are indicative rather than comprehensive.

1.2. Identification

Risk is the chance that something will happen, positively or negatively, that will affect business goals and objectives. Risk management is the process of analyzing exposure to risk and determining how to best handle such exposure.

A risk assessment is a process to identify potential hazards and analyze what could happen if a hazard occurs. A business impact analysis (BIA) is the process for
determining the potential impacts resulting from the interruption of time sensitive or critical business processes.

Risk Assessment

Source: Ready.gov

1.2.1. Hazard Identification

There are numerous hazards to consider. For each hazard there are many possible scenarios that could unfold depending on timing, magnitude and location of the hazard. Consider hurricanes: A

Hurricane forecast to make landfall near your business could change direction and go out to sea. The storm could intensify into a major hurricane and make landfall.

There are many "assets" at risk from hazards. First and foremost, injuries to people should be the first consideration of the risk assessment. Hazard scenarios that could cause significant injuries should be highlighted to ensure that appropriate emergency plans are in place. Many other physical assets may be at risk. These include buildings, information technology, utility systems, machinery, raw materials and finished goods.
The potential for environmental impact should also be considered. Consider the
impact an incident could have on your relationships with customers, the surrounding community and other stakeholders. Consider situations that would cause customers to lose confidence in your organization and its products or services.

1.2.2. Vulnerability Assessment

As you conduct the risk assessment, look for vulnerabilities- weaknesses that would make an asset more susceptible to damage from a hazard. Vulnerabilities include deficiencies in building construction, process systems, security, protection systems and loss prevention programs. They contribute to the severity of damage when an incident occurs. For example, a building without a fire sprinkler system could burn to the ground while a building with a properly designed, installed and maintained fire sprinkler system would suffer limited fire damage. The impacts from hazards can be reduced by investing in mitigation. If there is a potential for significant impacts, then creating a mitigation strategy should be a high priority.

1.2.3.Impact Analysis

A business impact analysis (BIA) predicts the consequences of disruption of a business function and process and gathers information needed to develop recovery strategies. Potential loss scenarios should be identified during a risk assessment. Operations may also be interrupted by the failure of a supplier of goods or services or delayed deliveries. There are many possible scenarios which should be considered.

Identifying and evaluating the impact of disasters on business provides the basis for investment in recovery strategies as well as investment in prevention and mitigation strategies. The BIA should identify the operational and financial impacts resulting from the disruption of business functions and processes. Impacts to consider include:

- Lost sales and income
- Delayed sales or income
- Increased expenses (e.g., overtime labor, outsourcing, expediting costs, etc.)
- Regulatory fines

- Contractual penalties or loss of contractual bonuses
- Customer dissatisfaction or defection
- Delay of new business plans

1.2.4.Timing and Duration of Disruption

The point in time when a business function or process is disrupted can have a significant bearing on the loss sustained. A store damaged in the weeks prior to the holiday shopping season may lose a substantial amount of its yearly sales. A power outage lasting a few minutes would be a minor inconvenience for most businesses but one lasting for hours could result in significant business losses. A short duration disruption of production may be overcome by shipping finished goods from a warehouse but disruption of a product in high demand could have a significant impact.

1.2.5.Conducting the BIA

Use a business impact analysis (BIA) questionnaire to survey managers and others within the business. Survey those with detailed knowledge of how the business manufactures its products or provides its services. Ask them to identify the potential impacts if the business function or process that they are responsible for is interrupted. The BIA should also identify the critical business processes and resources needed for the business to continue to function at different levels.

1.2.6.BIA Report

The BIA report should document the potential impacts resulting from disruption of business functions and processes. Scenarios resulting in significant business interruption should be assessed in terms of financial impact, if possible. These costs should be compared with the costs for possible recovery strategies. The BIA report should prioritize the order of events for restoration of the business. Business processes with the greatest operational and financial impacts should be restored first.

Risks should be ranked based on financial impact and likelihood of occurrence. This assessment will place risk events in one of four risk response categories:

Mitigate risk: activities with a high likelihood of occurring, but financial impact is small. The best response is to use management control systems to reduce the risk of potential loss.

Avoid risk: activities with a high likelihood of loss and large financial impact. The best response is to avoid the activity.

Transfer risk: activities with low probability of occurring, but with a large financial impact. The best response is to transfer a portion or all of the risk to a third party by purchasing insurance, hedging, outsourcing, or entering into partnerships.

Accept risk: if cost-benefit analysis determines the cost to mitigate risk is higher than cost to bear the risk, then the best response is to accept and continually monitor the risk.

1.3. Mitigation

Many hazards can be prevented. Workplace accidents are a good example. A comprehensive accident prevention program can reduce the frequency of accidents dramatically. Most fires can be prevented. Spills of hazardous chemicals can be avoided. Business disruptions resulting from machinery breakdown can be prevented by following the manufacturer's recommendations for inspection and maintenance.

Resources for hazard prevention include free on-site consultation that may provide
many resources to evaluate and improve workplace safety. Many insurance companies provide free workplace safety, property loss prevention and other assistance for their policyholders. Check with your agent, broker or underwriter to see what services are available. Contact your local fire department's fire prevention division for assistance with fire prevention.

Deterrence is a strategy to prevent criminal activity. A building with clear lines of sight and lighting around its perimeter is not an easy target for criminals. Security of all
entrances and screening of visitors, contractors, employees and packages is another element in a good security program. A properly designed and installed intrusion

detection system provides a measure of deterrence and can provide notification of unauthorized entry. Security begins with every employee. Consider providing basic training for all employees so they know how they can contribute to a secure workplace.

Cyber or information security should be a part of the security program. Installation of antivirus and anti-spyware software and maintaining strong firewalls are essential to protect network and information security. Keeping computers updated with the latest operating system and application "patches" should be part of the cyber security program.

Natural hazards such as flooding, earthquakes and hurricanes cannot be prevented. However, there are still opportunities to reduce damage from natural hazards.

1.3.1. Risk Mitigation

Natural hazards have been the cause of the vast majority of Country's Disaster Declarations. Hurricanes, earthquakes, tornadoes and other natural hazards cannot be prevented. Some technological hazards such as a regional power outage cannot be prevented by an individual business. Accidents that were not prevented and intentional acts that were not deterred can result in property damage and business disruptions. For those hazards that cannot be prevented, there are still many opportunities to reduce the potential impacts on life, property, business operations and the environment. These opportunities are addressed in risk mitigation.

1.3.2. Mitigation Strategies

There are many mitigation strategies that can reduce damage from hazards. The first is site selection. Selecting a building site that is not subject to flood, storm surge, significant ground shaking from earthquakes or in proximity to hazardous facilities is a first consideration. Building construction should meet applicable building codes that include requirements for fire protection and life safety. High valued assets including data centers, expensive production equipment and hazardous processes should be carefully reviewed to determine the most appropriate protection in accordance with national standards. Computer network security should be evaluated to determine whether electronic information is secure.

Strategies to mitigate business disruption include providing uninterruptible power supplies (UPS) and an emergency standby generator for critical equipment.
Development of a business continuity plan with recovery strategies is another method of risk mitigation.

You should research applicable fire prevention regulations, national standards and best practices to identify mitigation opportunities and requirements. Confer with your
insurance agent, broker or underwriter to determine if they provide consultation services to assist with the development of customized protection specifications for a new or renovated facility. Highly protected facilities may be eligible for reduced
insurance premiums.

1.3.3. Insurance is Financial Risk Mitigation

Purchasing insurance is a way to reduce the financial impact of a business interruption, loss or damage to a facility or equipment. Insurance companies provide coverage for property damage, business interruption, workers' compensation, general liability, automobile liability and many other losses. Insurers only pay when the peril (i.e., hazard) that caused the loss is insured by a policy. Losses caused by flood, earthquake, terrorism or pollution may not be covered by standard property insurance policies.
Flood insurance coverage for a facility located within a flood zone may be purchased through the National Flood Insurance Program. Earthquake, terrorism and pollution coverage may be purchased separately or as an endorsement to an existing policy.
Coverage for other hazards such as mold may be provided as part of the basic property insurance but the amount of loss payable under the policy may be limited.

Business interruption coverage is available to reimburse profits during the business shutdown and certain continuing expenses. Contingent business interruption coverage is available to reimburse losses caused by a supplier failure. Endorsements to standard policies can cover extra expenses such as the additional costs for expedited delivery of replacement machinery following an insured loss.

Review your insurance policies with your agents, brokers or directly with your insurers to determine whether your insurance policies adequately cover your potential losses. Consider the following recommendations.

- Download the Insurance Coverage Review Worksheet.
- Review the risk assessment and the identified hazards and potential impacts to your business.
- Use the business impact analysis as a tool to quantify potential financial impacts.
- Examine any scenario that results in impacts to multiple facilities. Evaluate whether the limits of insurance are adequate.

- Compile an inventory of properties and assets and determine whether insurable values reflect inflation costs over time.
- Review whether property insurance policies cover actual cash value or replacement cost.
- Be sure you understand deductibles, waiting periods before coverage begins, and procedures for notification of insurers when a loss occurs.

1.4. Communication

Risk communication is now frequently a two-way, interactive and long-term process, one where the public and risk communicators are engaged in a dialog, rather than acting as senders and receivers. You need to be continually communicating what you're doing in relation to risk management and why you're doing it. Once you're clear on your aims, you need to ensure you're clearly communicating those aims to
everyone in your group, as well as external stakeholders who might be affected by the process and its outcomes, so that everyone is aware what's at stake.

Good communication is essential for any effective risk management strategy. Managing risks involves everyone in your organization: board/committee, staff, volunteers, players/clients/members/visitors – anyone who comes into contact with your group.

It's vital therefore that everybody in your organization understands what risk management is and why it is important, and that they are involved in developing and implementing a risk management strategy.

You need to bring them into the process right from the start so they are not scared off and do not feel that decisions are being imposed from above. At the same time, members of your group should get the message that there is a commitment from leaders of your organization to effective risk management.

Implementing risk management may well require a significant culture shift in your group, affecting the way you operate at every level. Effective communication is therefore vital.

You also need to develop systems to ensure good communication between different levels of the organization, as well as a feedback loop – you don't want all the communication to be going one way.

There are many possible ways of communicating risk management to your organization, apart from just keeping the lines open on the subject all the time (which you should do anyway). Some ideas are outlined below.

1.4.1.Form a risk management committee

While good risk management is the job of everybody in your organization, having a core group of people dedicated to the task is a good idea. It's important that strong communication links are established between the risk management committee and your board – regular reports should be included in board meetings.

The size of a committee will depend on the size of your organization. Large groups
may have an eight-member committee with specific risk management roles assigned to each person. For a smaller group it might only be one or two people who take on the job of overseeing your risk management strategy. Someone from within this group must be tasked specifically with communicating progress throughout the organization.

1.4.2.Meetings

Getting everyone in one room (if that is possible) is possibly the best way to start the
risk management process, so you can explain face to face what it is about and why you are doing it. This initial meeting should give people the opportunity to ask questions and provide input into the process.

Further briefings (the shorter the better - you don't want to turn people off) held at regular intervals should aim to keep people informed of what stage of the process your organization is at, and give them the opportunity to help shape progress.
Meetings will continue to play an important role after the risk management strategy is in place, as part of the continual monitoring and review of the strategy.

1.4.3.Brainstorming sessions

Brainstorming is one of the simplest but most effective methods of drawing on the wisdom of the crowd to shape your risk management strategy, as well as promoting 'ownership' of the strategy among all stakeholders.

Essentially, this involves everyone in your group racking their brains to come up with any answers they can think of to a particular question. The questions you will be asking will have much more than one answer; for example: "What aspects of our organization could put people at risk?" You need to capture them all.

The easiest way to brainstorm is get everyone in one room and have someone up the front writing everything down on a whiteboard or sheets of butchers' paper. In these situations, there are no wrong answers - write everything down.

Brainstorming sessions are excellent communication tools because they make
everyone feel involved and they also draw on your best resource: the people who know most about the risks. A specialist committee could work on risk management for months but not realize one of the cricket helmets is missing a visor, something one of the players, or a parent, could point out straight away.

1.4.4.Newsletters and bulletins

Getting everyone to meetings is not always possible, so it's useful to put down on paper what's happening in risk management. Providing a written account of your risk management strategy will also help to dispel any misunderstandings or rumors about what's being done and why.

Your notes can be distributed through your newsletter (hard copy or online), through email, in flyers or posted on your noticeboard. You should include the results (or a summary) of any brainstorming session and decisions made at meetings, so everyone is kept aware of what's going on.

1.4.5.Questionnaires/surveys

At the start of the risk management process and at critical steps along the way, it can be a good idea to send out a questionnaire to invite people to outline risks they
perceive in your organization's activities, and ideas for their abatement. You can do this through a written survey, or set up an online survey.

1.4.6.Write a guide

A risk management guide is an excellent tool for ensuring everyone involved in your organization is aware of risk management issues. It can be used to define key terms so everyone is working on the same wavelength and can also serve as a reference throughout the risk management process, for information and as a reference point to ensure nobody strays too far off track. A risk management guide can also include a component that invites feedback from your staff/volunteers/members.

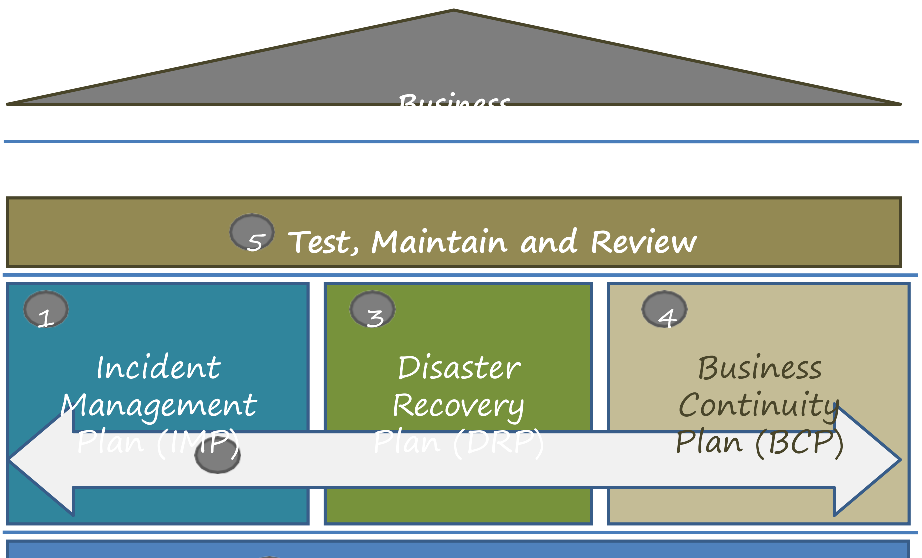
1.4.7.Keeping it going

Communication does not start and finish with a single meeting to explain the risk management strategy, or one notice on a noticeboard. You have to continue to communicate what you are doing, and why you are doing it, at every step of the risk management process. Take feedback seriously and remember to always ensure that you keep the context of your group in mind.

Aim to document every step as sooner or later board members (or insurers) will want to refer back to what has taken place. Also remember to ensure that you keep documentary evidence of risks you identify and any incidents that occur.

2.Business Continuity

Business continuity (sometimes referred to as business continuance) describes the processes and procedures an organization puts in place to ensure that essential functions can continue during and after a disaster. Business continuance planning seeks to prevent interruption of mission-critical services, and to reestablish full functioning as swiftly and smoothly as possible. The creation of a strategy through the recognition of threats and risks facing a company, with an eye to ensure that personnel and assets are protected and able to function in the event of a disaster. Business continuity planning involves defining potential risks, determining how those risks will affect operations, implementing safeguards and procedures designed to mitigate those risks, testing those procedures to ensure that they work, and periodically reviewing the process to make sure that it is up to date. Business continuity planning and programs can be breakdown to different plans as follows:



2.1. Incident Management Plan

Incident management planning involves developing a plan in writing, training staff in
incident procedures, keeping good records, reviewing your response after an incident, and clearly identifying whose responsibility it is to take certain actions if an incident actually happens. Incident management planning is everything your business does to prepare for potential disruptive or damaging incidents such as a fire, assault or threat against a driver, or a medical emergency.

2.2. Emergency Communication Plan

A typical emergency communications plan should be extensive in detail and properly planned by a business continuity planner. Internal alerts are sent using either email, overhead building paging systems, voice messages or text messages to cell/smartphones with instructions to evacuate the building and relocate at assembly points, updates on the status of the situation, and notification of when it's safe to return to work. External emergency communications that should fit into your business continuity plan include notifying family members of an injury or death, discussing the disaster with the media, and providing status information to key clients and stakeholders. Each message needs to be prepared with the audience (e.g., employees, media, families, government regulators) in mind; broad general announcements may be acceptable in the initial aftermath of an incident, but these will need to be tailored to the audiences in subsequent releases.

2.3. Disaster Recovery Plan

Disaster recovery planning is the process of creating a document that details how your business will recover from a catastrophic event. Many businesses take the time to create a disaster recovery plan and then it sits on a shelf collecting dust. Nobody every reviews it to make sure it meets the goals of the company and it will be successful if implemented. Here are six goals and objectives to you can use to make sure your disaster recovery plan will be successful.

2.3.1. Reduce Overall Risk

The main goal of any disaster recovery plan is to reduce the overall risk to the company. Look carefully at the plan and ask the question "Is there anything missing that would prevent the business from restarting rapidly?" In the event of a disaster, your biggest enemy is time. The plan must be concise and yet comprehensive. Look for holes that will jeopardize the successful implementation of your disaster recovery plan.

2.3.2. Maintain and Test Your Disaster Recovery Plan

Many plans are written and few are ever updated. Even fewer are ever tested. A
disaster recovery plan that was written five years ago when your business was half the size is not going to allow a rapid recovery. Review the plan every year to insure new aspects of the business are covered. Test the plan at least every two years. Pick a
Saturday and pretend that you have to bring back the office operations in less than 24 hours. You don't have to physically do it, but sitting around a table offsite without any access to any resources in the office can shed a lot of light on your disaster recovery plan's inadequacies.

2.3.3. Alleviate Owner/Investor Concerns

Once developed and tested, you should present your disaster recovery plan to the owners and/or board of directors. Record any and all feedback and make sure it is addressed in the revised plan. If they are more apprehensive after you present your disaster recovery plan, you need to revisit each and every item before you present it again.

2.3.4. Restore Day-To-Day Operations

The bottom line is "Can your disaster recovery plan restore the day-to-day operations in a reasonable time?" Your customers will be understanding and sympathetic, if you ever experience a disaster. But they will not wait forever for you to get your feet back on the ground. Operations must be restored quickly before customers start leaving for the competition.

2.3.5. Comply With Regulations

If your business is in a regulated industry (healthcare, food, education, etc.) make sure your disaster recovery plan takes into consideration all government regulations. Just because you are operating out of a temporary office, does not exempt your business from regulations.

2.3.6. Rapid Response

Any disaster recovery plan must be written and developed with the goal of responding rapidly to any disaster. Time is your biggest enemy after disaster strikes. Make sure a copy of the disaster recovery plan is stored off site (electronically or on paper) and can be accessed 24 hours a day, seven days a week. An emergency contact list with multiple phone numbers for each manager must be accessible at any time of the day or night.

2.4. Business Continuity Plan

A business continuity action plan is a document that contains the critical information a business needs to stay running in spite of adverse events. A business continuity plan is also called an emergency plan. Your business continuity plan should contain all of the information you need to get your business running again after an incident or

crisis. The size and complexity of your business continuity plan will depend on your business. It will typically include the following sections:

2.4.1. Introduction

The introduction section of a business continuity plan includes information on the
distribution of your plan, its objectives and a summary of common terms used in the plan. The following are some of the key aspects of the introduction section.

Distribution list: where copies of the plan are stored (including e-records stored off site), in case your original copy is destroyed or unreachable in an incident who needs a copy of the plan any other associated documents and plans (e.g. an evacuation
plan) and checklists for specific incidents (e.g. natural disasters, pandemics).

Executive summary: The executive summary provides an overall picture of your business continuity plan. It includes information on your priorities and an overview of what you will need to do to continue if your business is affected by an incident. The executive summary section is often written last, when you have assessed the potential risks to your business and developed some strategies for dealing with them.

Objectives: The objectives section outlines what you hope to achieve with your business continuity plan and helps your staff understand what is expected of them in the event of an incident.

Glossary: The glossary explains terms, definitions and acronyms used throughout your business continuity plan.

2.4.2. Risk management plan

The risk management plan identifies your critical business activities. It assesses the risks to your business and the strategies needed to minimize the impacts they could have. Your risk management plan:

- lists the potential risks for your business
- analyses the likelihood of the risks happening
- evaluates the consequences of the risk happening
- ranks the risks that need to be dealt with in order of priority
- identifies ways of managing risks

2.4.3. Business impact analysis

A business impact analysis identifies the activities in your business that are key to its survival, also known as critical business activities. It also helps you identify:

- the resources needed to support each activity
- the impact of ceasing to perform these activities
- how long your business could cope without these activities

2.4.4. Incident response plan

Your incident response plan contains all the information you will need to respond
immediately before and after an incident or crisis. The plan may also have associated documents or plans attached to it (e.g. an evacuation plan).

Plan activation: The opening section of your incident response plan should include a clear statement of the circumstances when the plan will be activated, such as a natural disaster. It also includes details of which staffs are authorized to activate the plan.

Incident response team: Putting together an incident response team will depend on the number of staff you have and the types of incidents you may need to respond to.
If you have enough staff members, you should identify who will be critical in responding to an incident, and, if possible, a suitable backup in case they are
unavailable. For smaller businesses, you may find that all your staff will be needed if an incident occurs.

Communications: The communications section of your incident response plan lists the key communication methods and timings needed to keep everyone safe and get your business running again in the event of an incident.

Contact lists: The contact lists section includes details of all the people you will need to communicate with in an incident, such as:

- internal staff and their families
- emergency services
- external contacts (e.g. suppliers, customers)

6.4.5. Recovery plan

The recovery plan outlines the steps you will need to take to get your business
running again after an incident or crisis. It includes a realistic time frame in which you can get your operations back on track to minimize financial losses.

6.4.6. Test, evaluate and update schedule

The testing and maintenance section includes details about how you will test the reliability of your business continuity plan and keep it up to date. It includes:

- strategies and a schedule for testing the plan
- review and update timetables and deadlines
- a detailed revision history

2.5. Test, Maintain and Review

Once you have a business continuity plan in place, don't forget to test, update and adapt it regularly. The best way to do that is to integrate business continuity planning into every business decision, incorporate plan maintenance in job descriptions, assign responsibility for periodic review of the plan and perform regular audits and tests.

Typically the business recovery coordinator is responsible for seeing that the plan is kept current. Recovery teams are responsible for reviewing and updating their parts of the plan and any related materials. The recovery management team is responsible for overall plan coverage and incident management procedures, making sure the plan addresses any new risks as changes to the company and its operations take place.

Twice a year business updates should be identified and applied, and the revision
history should be updated to record the changes. Revisions should be included in the master copy of the plan.

To keep the plan current, an active program of testing or exercising should be followed in order to coordinate review and updates of the plan with the recovery management teams and other recovery teams.

2.6. Training and Awareness

Training and awareness activities form important components of managing a business continuity program. Such activities assist in providing an understanding of, as well as developing skills and competencies in, business continuity management.

2.6.1. Training

Training is a key component to the management of a business continuity program. Active participation in business continuity exercises is a key method of developing staff skills and competencies. It is often necessary to provide staff with theoretical training.

Effective training is tailored to the needs of the target audience. For example:

The executives: require training in business continuity program management; business continuity standards, guidelines and applicable legislative requirements; and incident management training as appropriate;

Business continuity custodians: require training in business continuity program management; business continuity standards, guidelines and applicable legislative requirements; conducting a business impact analysis; mitigating single point of failure risks; developing and maintaining a business continuity plan; and running tests and exercises; and

Staff with a business continuity role: require training in the skills necessary to undertake their business continuity role. For example, incident managers may require media communications training, while recovery coordinators may require training in managing teams, operating in stressful situations, or negotiation skills

2.2.2. Raising awareness

An ongoing education and information program for staff can raise and maintain awareness of business continuity management and why it is important to the entity. Staffs particularly need to be aware of the crucial role they play in maintaining the delivery of products and services, and that business continuity management has the ongoing support of the executive. Better practice entities include business continuity issues in induction training for new staff.

Effective communication can instill confidence in stakeholders of the entity's ability to cope with business disruption events. Better practice entities extend their business continuity awareness activities to interdependent organizations, such as suppliers and other portfolio entities.

3.Employee Safety

Typically, safety refers to a condition in which the physical well-being of people is protected. The main purpose of effective safety programs in organizations is to prevent work-related injuries and accidents. In other words, safety refers to freedom from hazard, risk, or injury for employees on the job.

Well-designed and well-managed safety programs can pay dividends in reduced accidents and associated costs, such as workers' compensation and possible fines. Further, accidents and other safety concerns usually decline as a result of management efforts that emphasize safety.

Successful safety management has been researched extensively. A summary of what is known about managing safety effectively and reducing accidents includes the following necessary components:

Source: Mathis, R.L. & Jackson, J.H. (2010). Human Resource Management. (13th Edition). Mason, OH: South-Western Cengage Learning.

3.1. Organizational Commitment and a Safety Culture

At the heart of safety management is an organizational commitment to a comprehensive safety effort that should be coordinated at the top level of
management and include all members of the organization. It also should be reflected in managerial actions. A president of a small electrical manufacturing firm who does not wear a hard hat in the manufacturing shop can hardly expect to enforce a requirement that all employees wear hard hats in the shop. One result of a strong commitment to safety is that a "safety culture" pervades the organization. Successful programs may use the following activities in dealing with safety issues.

3.1.1. Safety and Engineering

Employers can prevent some accidents by designing machines, equipment, and work areas so that workers who perform potentially dangerous jobs cannot injure themselves and others. Providing safety equipment and guards on machinery, installing emergency switches, installing safety rails, keeping aisles clear, and installing adequate ventilation, lighting, heating, and air conditioning can all help to make work environments safer.

Designing a job properly requires consideration of the physical setting of the job. The way the work space surrounding a job is utilized can influence the worker's performance of the job itself. Several factors that affect safety have been identified, including size of work area, kinds of materials used, sensory conditions, distance between work areas, and interference from noise and traffic flow.

3.1.2. Individual Considerations in Accidents

Engineers approach safety from the perspective of redesigning the machinery or the work area. Industrial psychologists and "human factors" experts see safety differently. They address the proper match of individuals to jobs and emphasize employee training in safety methods, fatigue reduction, and health awareness.

Numerous field studies with thousands of employees, have looked at the human factors in accidents. The results have shown a definite relationship between cognitive factors and occupational safety. Behavior-based safety (BBS) approaches are efforts to reduce risky behavior and increase safe behavior by defining unsafe behavior and attempting to change it. While BBS is beneficial, it does not constitute a complete approach to dealing with safety.

3.1.3. Work Schedules

Work schedules can be another cause for accidents. The relationship between work schedules and accidents can be explained as follows: Fatigue based on physical exertion sometimes exists in the industrial workplace of today. Boredom, which occurs when a person is required to do the same tasks for a long period of time, is rather common. As fatigue increases, motivation decreases; when motivation decreases, workers' attention wanders, and the likelihood of accidents increases. A particular area of concern is overtime in work scheduling. Overtime work has been consistently related to accident incidence because the more overtime worked, the higher the incidence of severe accidents.

Another area of concern is the relationship of accident rates to different shifts, particularly late-night shifts. Because there tend to be fewer supervisors and managers working the "graveyard" shifts, workers tend to receive less training and supervision. Both of these factors lead to higher accident rates.

3.1.4. Incentive and Recognition

Many companies offered safety incentive programs provided cash, prizes, awards or other forms of recognition to employees for performance related to "lagging
indicators." That is, management tallied up the number of accidents, incidents and near misses. If the numbers fell below a certain level, employees would be rewarded. If they were above the designated levels, they would not be rewarded. Some companies tied the rewards to individual performance. Others tied them to team, departmental or
even company performance.

Group recognition: The most common and least expensive method. It is also one of the most effective safety incentive programs. An example would be recognizing employee groups that work for a period of time without a lost-time accident.

Drawing attention to safe work habits: providing special uniforms or equipment for
employees who have worked a year or more without an accident or providing jackets or hard hats with safety logos as a way to keep the message of safety in front of
employees.

Tangible gifts: management recognizes and appreciates efforts toward safety such as safety award pins, trophies, plaques, and useful items imprinted with safety mottoes, such as pen/pencil sets or tie clips.

Plant safety scoreboards: Constant reminders of the number of days without a lost work-time injury.

While the philosophy behind such programs seemed sound (giving rewards to employees for results), there were a number of criticisms levelled at such programs by some safety consultants. First and foremost on the list of concerns was the idea that such programs could create pressure on employees not to report accidents, injuries, near misses or other incidents so as to keep the "record" intact. While one might expect that coworkers would lead this pressure (and they frequently did), there were even some documented cases of supervisors and managers pressuring employees not to report accidents. These cases tended to be in situations where rewards that were designated for teams or whole departments were on the line.

Another concern was that failure to report incidents, even minor incidents and near misses, was defeating the whole purpose of a proactive safety program, which is to generate as much information as possible on trends so that steps can be taken to curb future problems. That is, if employees are pressured not to report incidents, management will have virtually no information on which to base future safety initiatives. In fact, some experts suggested, employees should actively be encouraged to report any and all incidents so preventive measures could be introduced.

A third concern was that, in a lot of cases, accidents could occur through no fault of an employee, so why penalize the employee or work team for such an incident?

3.2. Safety Policies, Discipline, and Recordkeeping

Designing safety policies and rules and disciplining violators are important components of safety efforts. Frequently reinforcing the need for safe behavior and frequently supplying feedback on positive safety practices are also effective ways of improving worker safety. Such safety-conscious efforts must involve employees, supervisors, managers, safety specialists, and HR staff members.

For policies about safety to be effective, good recordkeeping about accidents, causes, and other details is necessary. Without records, an employer cannot track its safety performance, compare benchmarks against other employers, and may not realize the extent of its safety problems.

3.3. Safety Training and Communication

An effective method to sensitize employees is goal-oriented safety training sessions, such as job instruction, basic safety, and accident prevention training. Such preventive, work-related training is crucial, especially in the early periods of employment. Good safety training reduces accidents. Supervisors should receive the training first, and then employees should receive it as well, because untrained workers are more likely to have accidents. Safety training involving behavioral modeling, lots of practice, and dialogue is most effective. Safety training can be done in various ways. Regular sessions with supervisors, managers, and employees are often coordinated by HR staff members.

Communication of safety procedures, reasons why accidents occurred, and what to do in an emergency is critical. Common ways to communicate safety ideas include safety films or videotapes, safety booklets, posters, motivational talks on safety, and articles in corporate publications. Without effective communication about safety, training is insufficient. To reinforce safety training, continuous communication to develop safety consciousness is necessary. Merely sending safety memos is not enough. Producing newsletters, changing safety posters, continually updating bulletin boards, and posting safety information in visible areas are also recommended.

Employers may need to communicate in a variety of media and languages. Such efforts are important to address the special needs of workers who have vision, speech, or hearing impairments; who are not proficient in English; or who are challenged in other ways.

3.3. Safety Committees

Employees frequently participate in safety planning through safety committees, often composed of workers from a variety of levels and departments. A safety committee generally meets at regularly scheduled times, has specific responsibilities for conducting safety reviews, and makes recommendations for changes necessary to avoid future accidents. A safety committee should foster a sense of ownership by giving employees an opportunity to directly improve safety and reduce injuries within a company, while enhancing communication between management and employees. Therefore, the committee's members should come from different department at different levels.

To achieve this, a commitment to safety must become a shared responsibility between management and employees. Safety committee members are responsible for
developing and reviewing safety procedures and policies, investigating and reviewing accidents and communicating safety issues or policies to company employees.

Establishing workplace safety committees is one way management can encourage employees to participate in implementing and monitoring the company's safety program. Typical responsibilities of safety committees include:

- Developing safe work practices.
- Crafting written safety programs.
- Leading safety training.
- Conducting workplace inspections and safety audits.
- Reviewing incidents, near misses, accident investigation reports, claim summaries and loss analyses to prevent reoccurrences of similar incidents.

- Establishing dispute resolution procedures.
- Proposing and creating safety checklists.
- Promoting employees' interests in health and safety issues.
- Providing a forum in which labor and management can discuss health and safety issues and collaborate on solutions.

Ultimately the purpose of safety committees is to help reduce the risk of workplace injuries and illnesses and ensure compliance with federal and state health and safety regulations.

3.4. Inspection, Investigation, and Evaluation

It is not necessary to wait for a government inspector to check the work area for safety hazards. Inspections may be done by a safety committee or by a company safety coordinator regularly. Problem areas should be addressed immediately in order to keep work productivity at the highest possible levels.

Organizations investigate business upsets because they are required to by law or their own company standards, or the public or shareholders expect it. But, whatever the motivation, the goal is to identify why the incident happened and to take action to reduce the risk of future incidents.

Identifying why an accident occurred is useful; taking steps to prevent similar accidents from occurring is even more important. Closely related to accident investigation is research to determine ways of preventing accidents. Employing safety engineers or having outside experts evaluate the safety of working conditions may be useful. If many similar accidents seem to occur in an organizational unit, a safety training program may be necessary to emphasize safe working practices.

Investigations often find that similar scenarios have occurred previously but, for a variety of reasons, did not result in serious consequences. This is increasingly recognized in high-risk industries where "near misses" are also investigated as well as incidents which actually resulted in loss. A six-step, structured approach to incident investigation helps to ensure that all the causes are uncovered and addressed by appropriate actions.

Six Steps of Incident Investigation

Source: Riskworld (2015). Six steps for successful incident investigation.

3.4.1. Step 1 – Immediate action

In the event of an incident, immediate action to be taken may include making the area safe, preserving the scene and notifying relevant parties. The investigation begins even at this early stage, by collecting perishable evidence, e.g. CCTV tapes, samples.

3.4.2. Step 2 – Plan the investigation

Planning ensures that the investigation is systematic and complete. What resources will be required? Who will be involved? How long will the investigation take? For severe or complex incidents, an investigation team will be more effective than a single investigator.

3.4.3. Step 3 – Data collection

Information about the incident is available from numerous sources, not only people involved or witnesses to the event, but also from equipment, documents and the scene of the incident.

3.4.4. Step 4 - Data analysis

Typically, an incident is not just a single event, but a chain of events. The sequence of events needs to be understood before identifying why the incident happened. When asking why, we need to identify the root and underlying causes, as well as the direct causes. Failures and mistakes don't just happen by themselves; organizations allow error-enforcing environments that encourage direct causes to develop and persist. Such environments, and the basic management failings behind them, are the root causes – the ultimate source of the incident.

While human error plays a part in the majority of incidents, people are not generally stupid, lazy, forgetful or willfully negligent. Human errors occur because of influencing factors associated with the work, the environment, an individual's mental or physical abilities, the organization and its management systems. Any investigation which sets out to find someone to blame is misguided.

3.4.5. Step 5 – Corrective actions

Many investigations make the mistake of raising actions which deal only with the direct causes – a quick fix, putting last-lines-of-defense back in place. By ignoring the root and underlying causes, not only do they miss an opportunity to reduce the risk of recurrence of the incident, but they also leave open the possibility that other, dissimilar incidents may also occur, arising from the same, common root cause.

3.4.6. Step 6 – Reporting

The investigation is concluded when all outstanding issues have been closed out and the findings have been communicated so that lessons can be shared. Communication mechanisms include formal incident investigation reports, alerts, presentations and meeting topics.

3.5. Measuring Safety Efforts

Organizations should monitor and evaluate their safety efforts. Just as organizational accounting records are audited, a firm's safety efforts should be audited periodically as well. Accident and injury statistics should be compared with previous accident patterns to identify any significant changes. This analysis should be designed to

measure
progress in safety management.

Various safety efforts can be measured. Some common ones are workers' compensation costs per injury/illness; percentage of injuries/illnesses by department, work shifts, and job categories; and incident rate comparisons with industry and
benchmark targets. Regardless of the specific measures used, it is critical to be able to track and evaluate safety management efforts using relevant HR metrics.

Employers in a variety of industries have found that emphasizing health and safety pays off in a number of ways. Lower employee benefits costs for health care, fewer work-
related accidents, lower workers' compensation costs, and more productive employees can all be results of employer efforts to stress health and safety.

4.Employee Health

The terms health, safety, and security are closely related. The broader and somewhat more nebulous term is health, which refers to general state of physical, mental, and

emotional well-being. A healthy person is free from illness, injury, or mental and
emotional problems that impair normal human activity. Health management practices in organizations strive to maintain employees' overall well-being.

Employee health problems are varied—and somewhat inevitable. They can range from minor illnesses such as colds to serious illnesses related to the jobs performed. Some
employees have emotional health problems; others have alcohol or drug problems. Some problems are chronic; others are transitory. All may affect organizational operations and
individual employee productivity.

Employers face a variety of workplace health issues. In employee safety, cumulative trauma injuries and exposure to hazardous chemicals were discussed. Other concerns associated with employee health include substance abuse, emotional/mental health, older workers, smoking, obesity, and fetal protection.

4.1. Substance Abuse

Use of illicit substances or misuse of controlled substances, alcohol, or other drugs is called substance abuse. The millions of substance abusers in the workforce cost global employers billions of dollars annually, although recently there has been a decline in illegal drug use by employees. Most companies have a drug screening policy that focuses on pre-employment testing.

A company should have a written policy covering alcohol and drugs and the possession of illegal drugs at work. Such a policy should prohibit employees from coming to work under the influence of alcohol or drugs. The policy should be communicated in writing, and each employee should sign off and understand that failure to take a test can lead to adverse inference.

Employers' concerns about substance abuse stem from the ways it alters work

behaviors, causing increased tardiness, increased absenteeism, a slower work pace, a higher rate of mistakes, and less time spent at the work station.

It can also cause an increase in withdrawal (physical and psychological) and antagonistic behaviors, which may lead to workplace violence. Alcohol testing and drug testing are used by many employers, especially following an accident or some other reasonable cause. Some employers also use random testing programs.

There are several different types of tests for drug use: urinalysis, radioimmunoassay of hair, surface swiping, and fitness-for-duty testing. The innovative fitness-for-duty tests can be used alone or in conjunction with drug testing. These tests can distinguish individuals under the influence of alcohol or prescription drugs to the extent that their abilities to perform their jobs are impaired. Some firms use fitness- for-duty tests to detect work performance safety problems before putting a person behind dangerous equipment. As an example, in one firm when a crew of delivery truck drivers comes to work, they are asked to "play" a video game—one that can have serious consequences. Unless the video game machine presents receipts saying they passed the test, they are not allowed to drive their trucks that day. It works like this: the computer has already established a baseline for each employee. Subsequent testing measures the employees against their baselines. Interestingly, most test failures are not drug or alcohol related. Rather, fatigue, illness, and personal problems more frequently render a person unfit to perform a sensitive job.

To encourage employees to seek help for their substance abuse problems, a firm- choice option is usually recommended and has been endorsed legally in many countries. In this procedure, a supervisor or a manager confronts the employee privately about unsatisfactory work-related behaviors. Then, in keeping with the disciplinary system, the employee is offered a choice between help and discipline.
Treatment options and consequences of further unsatisfactory performance are
clearly discussed, including what the employer will do.

Confidentiality and follow-up are critical when employers use the firm-choice option.

4.2. Emotional/Mental Health

Many individuals are facing work, family, and personal life pressures. Although most people manage these pressures successfully, some individuals have difficulty handling the demands. Specific events, such as death of a spouse, divorce, or medical problems, can affect individuals who otherwise have been coping successfully with life pressures. A variety of emotional/mental health issues arise at work that must be addressed by employers. It is important to note that emotional/mental illnesses such as schizophrenia and depression are considered disabilities under local labor laws.

Stress that keeps individuals from successfully handling the multiple demands they face is one concern. All people encounter stress; but when "stress overload" hits, work-related consequences can result. Beyond trying to communicate with the employees and relieving some workload pressures, it is generally recommended that supervisors and managers contact the HR staff, who may intervene and then refer affected employees to outside resources through employee assistance programs.

Depression is another common emotional/mental health concern. The effects of depression are seen at all organizational levels, from warehouses and accounting offices to executive suites. Employees who appear to be depressed are guided to employee assistance programs and helped with obtaining medical treatment.

Stress is the mental and physical condition that results from a real or perceived threat (physical or emotional) and the inability to remove it or cope with it. However, when the attempts of minimize stress are not successful or are not implemented in a timely manner, job burnout may occur. Burnout occurs when work is no longer meaningful to a person. It has been defined as the total depletion of physical and mental resources caused by excessive striving to reach an unrealistic work related goal.

4.3. Older Employees

The graying of the workforce has been mentioned previously, but there are implications for health and safety. All signs point to an abundance of older workers, as many are showing signs of working beyond age. Data show that older workers have fewer injuries, but are out of work longer when they do, and these injuries cost more to fix. Musculoskeletal disorders are more severe. Key practices for dealing with older workers are:

- Preventing slips and falls
- Eliminating repetitive stress and heavy lifting
- Using ergonomically sound workspaces
- Emphasizing driver safety
- Providing means for healthy gradual transitions back to work

4.4. Smoking at Work

Arguments and rebuttals characterize the smoking-at-work controversy, and statistics abound. In response to health studies, complaints by nonsmokers, and resulting state laws, many employers have instituted no-smoking policies throughout their workplaces. Although employees who smoke tend to complain initially when a smoking ban is instituted, they seem to have little difficulty adjusting within a few weeks. Many quit smoking or reduce the number of cigarettes they inhale and exhale each workday. Some employers also offer smoking cessation workshops as part of health promotion efforts.

The most successful no-smoking policies include extensive planning, establishing employee committees, designating smoking areas, offering smoking-cessation classes, and implementing a completely smoke-free environment only after giving people time to adjust.

4.5. Obesity

A study in the American Journal of Health Promotion finds that, on average, a morbidly obese employee costs an employer over USD4,000 more per year in health care and related costs than an employee who is of normal weight. The study also revealed that obese individuals who had comorbidities such as high blood pressure, diabetes, and high cholesterol incurred more costs than obese workers without these conditions. For example, someone who is overweight or obese and also has diabetes is more likely to file a short-term disability claim compared to someone who doesn't have diabetes but is overweight or obese.

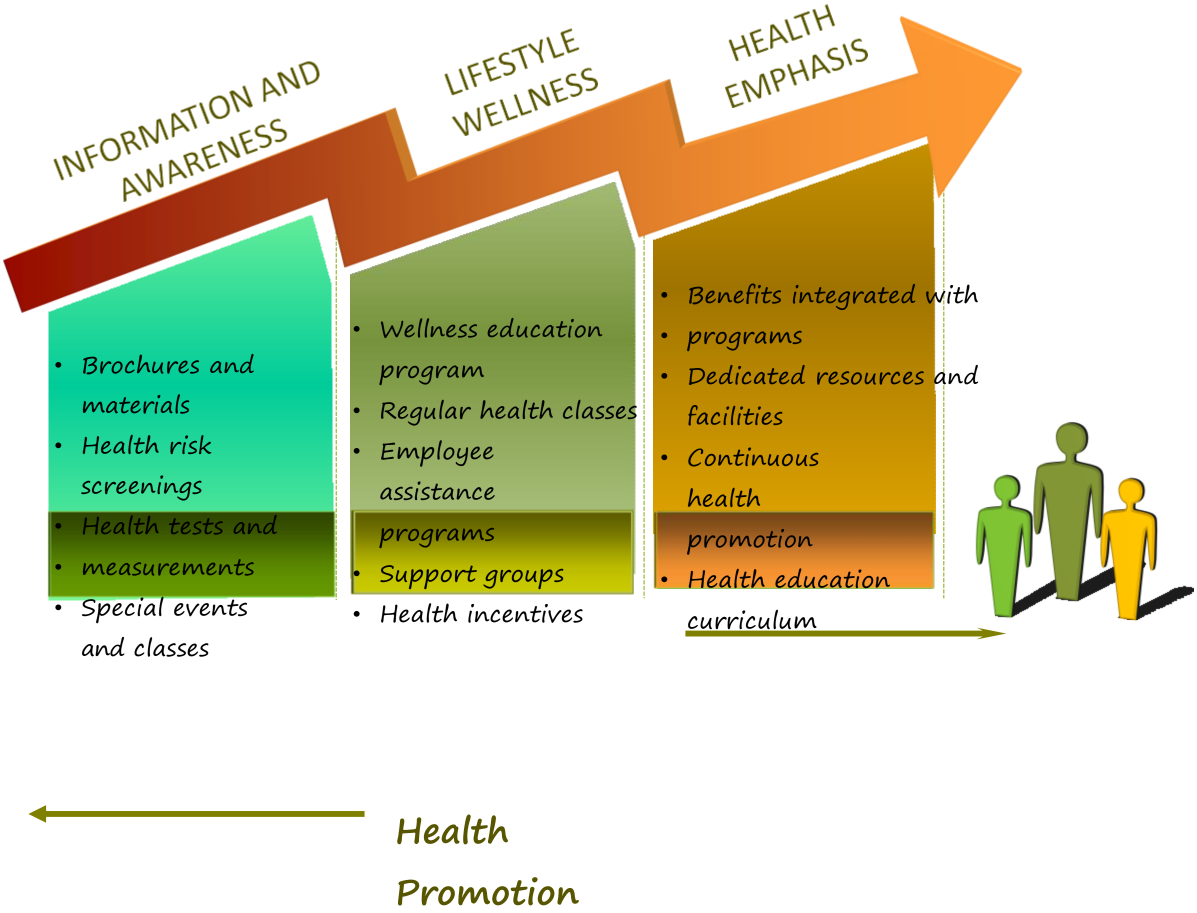
The role employers can play in helping employees engage at an individual level with the health issues associated with obesity is, obviously, important and should naturally be the principal driver for health promotion and education in this area.

4.6. Fetal Protection

Fetal protection policies are policies that attempt to protect the fetus from workplace hazards. Products that affect a fetus but not the pregnant mother are labeled teratogens. Because of the potential workplace hazard posed by teratogens, a number of companies have instituted fetal protection policies that reflect a concern for the vulnerability of the fetus and the fetus's inability to protect its own interests should they be contrary to those of its mother.

5.Health Promotion

Employers concerned about maintaining a healthy workforce must move beyond simply providing healthy working conditions and begin promoting employee health and wellness in other ways. Health promotion is a supportive approach of facilitating and encouraging healthy actions and lifestyles among employees. Health promotion efforts can range from providing information and increasing employee awareness of health issues to creating an organizational culture supportive of employee health enhancements. Going beyond simple compliance with workplace safety and health regulations, organizations engage in health promotion by encouraging employees to make physiological, mental, and social choices that improve their health.



5.1. Level of Health Promotion

The first level of health promotion (see the Figure) leaves much to individual initiatives for following through and making changes in actions and behaviors.

Employers provide information on such topics as weight control, stress management, nutrition, exercise, and smoking cessation. Even though such efforts may be beneficial for some employees, employers who wish to impact employees' health must offer second-level efforts, such as more comprehensive programs and actions that focus on the lifestyle "wellness" of employees. The third level requires a commitment to wellness that is seldom seen in employers.

5.2. Wellness Programs

Employers' desires to improve productivity, decrease absenteeism, and control health care costs have come together in the "wellness" movement. Wellness programs are designed to maintain or improve employee health before problems arise by encouraging self-directed lifestyle changes.

There are two types of wellness programs. First there are insurance-based programs (that lower premiums if employees agree to certain lifestyle changes). Second there are employer-based programs (in which the employer is truly trying to change the lives of its employees for the better).

Wellness programs usually focus on prevention of health problems, may be offered by the organization or even its employees, and are frequently conducted in a group setting. Such programs can also help employees deal with stress management, job burnout, violent behavior, and chemical dependency and abuse issues. Wellness programs can be delivered in a group setting at the company, so confidentiality, while respected, cannot be guaranteed.

Early wellness programs were aimed primarily at reducing the cost and risk of disease. Newer programs emphasize healthy lifestyles and environment, including reduced cholesterol and heart disease risks and individualized exercise programs and follow- up. Employer-sponsored support groups have been established for individuals dealing with health issues such as weight loss, nutrition, and smoking cessation. The top-rated topics for wellness programs are stress management, exercise/fitness, screenings/checkups, health insurance education, disease management (heart disease, diabetes, etc.), nutrition and diet, and smoking cessation.

Online and Web-based wellness programs have grown in popularity. These programs use information and subtle psychology to motivate people to live healthier lifestyles. They typically focus on exercise, nutrition, sleep, stress, and life balance.

A well-managed wellness program can have impact on employee recruitment, engagement, and retention. When employees feel that their employer cares about them as individuals, they tend to be more productive and to want stay where they are valued.

5.3. Employee Assistance Programs

One method organizations use as a broad-based response to health issues is an employee assistance program (EAP), which provides counseling and other help to employees having emotional, physical, or other personal problems. In such a program, an employer typically contracts with a counseling agency for the service.

Employees who have problems may then contact the agency, either voluntarily or by employer referral, for assistance with a broad range of problems. Counseling costs are paid for by the employer, either in total or up to a pre-established limit.

EAPs commonly provide help with troubled employees, problem identification, short- term intervention, and referral services. The most common employee issues dealt
with in EAPs are: (1) depression and anxiety, (2) marital and relationship problems, (3) legal difficulties, and (4) family and children concerns. Other areas commonly
addressed as part of an EAP include substance abuse, financial counseling, and career advice.

Critical to employee usage of an EAP is preserving confidentiality. For that reason, employers outsource EAPs to trained professionals, who usually report only the
numbers of employees and services provided, rather than details on individuals using an EAP. The effectiveness of an EAP depends on how well the employer integrates and supports it in the workplace. Done well, EAPs can help reduce health care and other costs.

6.Workplace Violence

Workplace violence includes termination, stalking, threats, inappropriate communication, verbal harassment, defacing of property, invasion of privacy, and confining or restraining victims. The formula for violence is: "Stress + Inappropriate responses + Opportunity".

6.1. Antecedences of Violence

6.1.1. Stress

Stress often precipitates violence. Factors beyond the employer's control include an unstable economy, domestic problems, and poor health. Factors the employer can control are harassment, poor management style, pressure for increased productivity, and unrealistic job expectations.

6.1.2. Inappropriate responses

People who are at risk of violence tend to be isolated, identify too much with their job, show a lack of restraint, have a tendency to blame others, have strong biases and obsessions, and may have a history of violence.

6.1.3. Opportunity

Having a zero tolerance policy for weapons possession will minimize the chances of a spur-of-the-moment violent act.

6.2. Workplace Violence Context

Workplace violence is violent acts directed at someone at work or on duty. For example, physical assault, threats, harassment, intimidation, and bullying all qualify. Workplace violence can occur in four contexts:

6.2.1 Criminal

A crime is committed in conjunction with the violence by a person with no legitimate relationship with the business (e.g., robbery, shoplifting, trespassing).

6.2.2.Customer

A person with a legitimate relationship with the business becomes violent (e.g., patients, students, inmates, customers).

6.2.3.Coworker

A current or past employee attacks or threatens another employee (e.g., contractor, temp).

6.2.4.Domestic

A person who has no legitimate relationship with a business but has a personal relationship with the victim commits some form of violence against an employee (e.g., family member, boyfriend).

Too often violence that begins at home with family or "friends" can spill over to the workplace. One in five homicides of women at work is perpetrated by current or former husbands or boyfriends. Also, many abused women report being harassed frequently at work, by telephone or in person, by abusing partners. A reaction by employers is to ignore obvious signs of domestic violence. In fact, some employers have been sued and found liable for ignoring pleas for help from employees who later were victims of domestic violence in company parking lots or on employer premises.

Most workplace homicides were criminal, and only a small number were between coworkers. Work-related homicides have decreased. Employees in some of these occupations and others such as nurses routinely receive training on dealing with violent behaviors.

6.3. Workplace Violence Warning Signs

There are a number of warning signs and characteristics of a potentially violent person at work. Individuals who have committed the most violent acts have had the relatively common profile such as verbal threats, blaming others, conflict with others, intimidation, telephone or email harassment, upset over minor injustices, etc.

A person with some of these signs and characteristics may cope for years until a trauma pushes that person over the edge. A profound humiliation or rejection, the end of a marriage, the loss of a lawsuit, termination from a job, or other sources of stress may make a difficult employee turn violent.

6.4. Workplace Incivility and Bullying

Workplace incivility occurs when rude behavior by ill-mannered coworkers or bosses makes the targets of incivility feel annoyed, frustrated, or offended. Most do not find incivility serious enough for formal action. But incivility can escalate into bullying, which is more likely to require action. Bullying is behavior that the victim perceives as oppressive, humiliating, threatening, or infringing on the victim's human rights. Such behavior must occur over an extended period of time. Bullying, especially by supervisors, can result in damage to the employee and to the organization and turnover. Perceptions of organizational support moderate the impact on a person's intention to leave an organization due to bullying. This suggests a need for management attention to the problem through training, policies, and codes of conduct.

6.5. Dealing with Workplace Violence

The increase in workplace violence has led many employers to develop policies and practices for trying to prevent and respond to workplace violence. Policies can identify how workplace violence is to be dealt with in conjunction with disciplinary actions and referrals to Employee Assistance Programs (EAPs). Training of managers and others is an important part of successful practice.

One application of these policies is a violence response team. Composed of security personnel, key managers, HR staff members, and selected employees, this team functions much like a safety committee, but with a different focus. Such a team conducts analyses, responds to and investigates employee threats, and may even help to calm angry, volatile employees. Employers must be careful because they may face
legal action for discrimination if they discharge employees for behaviors that often precede violent acts. For example, in several cases, employees who were terminated or suspended for making threats or even engaging in physical actions against their coworkers then sued their employers by claiming they had mental disabilities covered under the domestic laws.

Post-violence response is another part of managing workplace violence. Whether the
violence results in physical injuries or deaths or just intense interpersonal conflicts, it is important that employers have plans to respond afterward. Their response must
reassure employees who may be fearful of returning to work or who experience anxiety and sleeplessness, among other reactions. Providing referrals to EAP

resources, allowing employees time to meet with HR staff, and arranging for trained counselors on-site are all part of post-violence response efforts.

6.6. Violence Prevention

In most workplaces where risk factors can be identified, the risk of assault can be prevented or minimized if employers take appropriate precautions.

- Stress
- Inappropriate responses
- Opportunity

6.6.1. Zero-Tolerance Policy

One of the best protections employers can offer their workers is to establish a zero- tolerance policy toward workplace violence. This policy should cover all workers,
patients, clients, visitors, contractors, and anyone else who may come in contact with company personnel.

By assessing their worksites, employers can identify methods for reducing the
likelihood of incidents occurring. A well-written and implemented workplace violence prevention program, combined with engineering controls, administrative controls and training can reduce the incidence of workplace violence in different workplaces.

6.6.2. Workplace Surveillance

Numerous employers have installed video surveillance systems in workplaces. Some employers use these systems to ensure employee security, such as in parking lots, garages, and dimly lit exterior areas. Other employers have installed them on retail sales floors and in production areas, parts and inventory rooms, and lobbies. When video surveillance is extended into employee restrooms, changing rooms, and other

more private areas, employer rights and employee privacy collide. It is important that employers develop a video surveillance policy, inform employees about the policy,
perform the surveillance only for legitimate business purposes, and strictly limit those who view the surveillance results. Because filming can implicate privacy rights,
however, employers must be very careful not to cross the line.

6.6.3. Background check

Many professional institutes recommended that all organizations should implement to prevent workplace violence. If you fail to do an employment background check on applicants for certain positions, you could make your organization vulnerable to a
negligent-hiring lawsuit by any worker or customer who's been
hurt by a violent employee.

6.6.4. Violence Training

The purpose of the training course is to help employees and supervisors better
understand the scope and nature of violence in the workplace. Participants will learn how to recognize the key elements of a comprehensive workplace violence prevention program, how organizational systems impact workplace violence, how to apply individual strategies, and develop skills for preventing and responding to workplace violence.

6.6.5. No-Weapons Policies

Many employers have "no weapons" policies which are often posted on doors and in entryways. Weapons are defined to include all devices that are intended to inflict harm, injury or death to an individual, such as, but are not necessarily limited to,
firearms, knives, throwing devices, chemical and inert sprays or agents, stun guns, clubs, or types of devices that are designed to discharge some type of projectile, as well as any other type of device used to inflict injury to another individual, or to threaten to do so.

6.6.6. Employee Assistance Programs (EAPs)

An Employer Assistance Programs (EAP) is a valuable and viable resource for
employers to utilize to address the issues of violence in the workplace. EAPs are workplace-based programs that provide services to employers and employees on a wide range of issues that can impact an individual and a company's bottom line. Losses, both personal and professional, often require confidential and professional assistance. EAPs have the capacity and experience to intervene with individuals, as well as to develop preventative infrastructures organization-wide. Many EAPs already offer violence counseling and education as a part of comprehensive health and wellness centered portfolios of employer services.

6.6.7. Psychological Assessments

Many employers conducted psychological testing, such as personality assessment, for pre-screen job applicants who intent to be involved in workplace violence. However, psychological assessments cannot predict workplace violence precisely according to many researches.

6.6.8. A Post-incident Review

Post-incident response and evaluation are essential to an effective violence prevention program. All workplace violence programs should provide comprehensive treatment for employees who are victimized personally or may be traumatized by witnessing a workplace violence incident. Injured staff should receive prompt treatment and psychological evaluation whenever an assault takes place, regardless of its severity.
Provide the injured transportation to medical care if it is not available onsite. Consequently, a strong follow-up program for these employees will not only help them to deal with these problems but also help prepare them to confront or prevent future incidents of violence.

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