



CHAPTER 4

Global Human Resource Management

After you have read this chapter, you should be able to:

- Discuss the major factors influencing global HR management.
- Define *culture* and explain how national cultures can be classified.
- List and define several types of international employees.
- Explain why staffing activities are more complex for international jobs than for domestic ones.
- Discuss three aspects of international training and development.
- Identify basic international compensation practices.
- Describe several international health, safety, and security concerns.

HR TRANSITIONS

Mercedes-Benz Builds World-Class Vehicles in Alabama

Building Mercedes vehicles in Alabama may have seemed somewhat unusual a few years ago, but not any longer. Certainly, when Mercedes-Benz announced that it had selected Alabama as the site for building its “M” class sports utility vehicles, many skeptics wondered how successful that plant would be. Along with other car manufacturers such as Toyota, Nissan, and BMW, all of which have established manufacturing plants in the United States, Mercedes followed the growing trend—also seen in other industries—of foreign-owned corporations establishing operations in the United States. Now one of the most notable successes in combining foreign firms and U.S. workers can be seen at Mercedes-Benz and its Vance, Alabama, plant.

Central Alabama is hardly where one would have expected Mercedes to build a new plant. Vance, Alabama (population 400), is an hour’s drive from Birmingham, and now has a 1-million-square-foot plant for building Mercedes M class vehicles. Mercedes chose to build in Vance for several reasons. First, wage rates and overall labor costs in the U.S. are significantly lower compared to German wage and benefit costs. Second, the U.S. is the largest market for sport utility vehicles. Third, the State of Alabama offered Mercedes incentives valued at \$250 million, including \$90 million in training assistance. Finally, there was a supply of quality workers, who could be trained to build the M class vehicles.

When Mercedes started taking applications for workers, the state of Alabama provided employment screening assistance. Over 40,000 Alabamians applied for the 650 jobs the plant would fill at start-up. Virtually none of the applicants had previous experience building cars. Andreas Renschler, a German sent to head up the M class plant, referred to the plant as a “learning field” both for workers and Mercedes. In choosing workers, Mercedes focused on adaptability and the ability of individuals to work in teams. For Mercedes, the firm could try new and more flexible production methods

those traveling to Germany or Alabama.

The Mercedes M class management team was international in nature also. Renschler hired a Canadian with experience at Toyota and an American who had worked at General Motors and Nissan plants in the United States.

Five years later, the plant and the M class vehicles are a huge success. About 80,000 vehicles are being produced annually, and the plant cannot keep up with the demand. The quality of vehicles produced in the Alabama plant has equaled or exceeded the quality of other vehicles produced in

One of the most notable successes in combining foreign firms and U.S. workers can be seen at Mercedes-Benz and its Vance, Alabama, plant.

that were not typical in its German plants.

Once selected, approximately 160 Alabama workers went to Germany to work at Mercedes plants as part of their training. There they learned production tasks from specially selected German workers and supervisors. As more Alabama workers were trained in Germany, it ultimately became less necessary to send the remaining new hires to Germany, so 70 Germans were sent to Alabama to work for two years as trainers at the training facilities in Alabama. In preparation for these interchanges, two weeks of language and culture training were given to

Germany over much longer periods of time. As a result, the Alabama plant is being expanded and more workers are being added. With all of these successes, probably the best indicator that Alabama workers are building world-class vehicles is this: Because of the high demand for the M class vehicles in Europe and worldwide, Mercedes has had to convert a plant in Austria to produce M class vehicles. Mercedes is sending Alabama workers to train Austrian workers in the production methods and working approaches used in Alabama. Truly Alabama workers and Mercedes have become global in nature.¹

“You develop long-lasting company power by developing local people.”

YUICHI KATO

The internationalization of business has proceeded at a rapid pace as the world has become a global economy. Many U.S. firms receive a substantial portion of their profits and sales from outside the United States, and estimates are that the largest 100 U.S. multinational firms have foreign sales of more than \$500 billion in one year. For firms such as Colgate and Coca-Cola, foreign sales and profits account for over 60% of total sales and profits. Other U.S. firms have substantial operations in other countries as well.²

Globalization has had a major impact on HR management,³ and has raised a number of issues noted in earlier chapters. But additional issues have included:

- How should a company staff plants around the world with a mix of parent-country nationals, host-country nationals, or third-country nationals?
- How will these employees be recruited, selected, trained, compensated, and managed?
- What characteristics of the countries being considered affect the HR decisions that must be made?

A Survey of Business Issues Worldwide



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ECA International Global Partners in Human Resources

This global human resource network provides expatriate remuneration survey reports for 68 countries and publications dealing with human resource management issues.

<http://www.ecaltd.com>

The impact of global competition can be seen in many U.S. industries. The automobile, steel, and electronics industries have closed unproductive facilities or reduced employment because of competition from firms in Japan, Taiwan, Korea, Germany, and other countries. At the same time, as the opening discussion of Mercedes in Alabama illustrates, foreign-owned firms have been investing in plants and creating jobs in the United States. The growth in employment resulting from foreign investments has helped to replace some of the jobs lost at U.S. firms due to downsizing.

An international agreement, the General Agreement on Tariffs and Trade (GATT), was signed to provide general guidelines on trade practices among nations, but a number of provisions in GATT affect HR practices in the various countries, including the United States. The brief look at the various areas of the world that follows illustrates some of those HR issues, as well as the changing nature of international economic linkages.

North America

The United States, Canada, and Mexico have recognized the importance of world trade by eliminating barriers and working more closely together, starting in North America.⁴ One aspect of this cooperation is that U.S. firms, as well as companies from other nations such as Japan, South Korea, and Taiwan, have taken advantage of the lower Mexican wage rates to establish operations in Mexico. The signing of the North American Free Trade Agreement (NAFTA) expanded trade opportunities among Canada, the United States, and Mexico. But NAFTA also placed restrictions on employers to ensure that their HR practices in Mexico met certain standards. The Commission on Labor Cooperation (CLC) was established as part of NAFTA to review complaints filed in the United States, Canada, or Mex-

ico regarding occupational safety and health, child labor, benefits, and labor-management relations.

Latin America

One highlight of recent years in Latin America is the resurgence of the economies of the largest countries, specifically Brazil, Argentina, and Chile. Economic austerity programs in those countries have reduced their inflation rates to more normal levels. Expanding populations created by relatively high birthrates have led to those countries being seen as attractive for foreign investment, and many multinational organizations based in the United States, Asian countries, and European nations have expanded operations through joint ventures with host-country firms.⁵

Asia

In Asia, Japan's economy has been maturing, and Japanese society has been changing because of a rapidly aging population. Also, younger Japanese are becoming more "westernized" and are buying more imported goods. Gradually the Japanese government has had to open up its markets and make changes in its economy in response to pressure from the United States and other countries.

Economic relations between foreign firms and firms in such Asian countries as Taiwan, South Korea, Singapore, and Malaysia have become more complex, and their exports have increased dramatically. The rapid growth of the economies in those Asian countries, as well as in Indonesia, Thailand, and Vietnam, has led more foreign firms to establish manufacturing facilities there and to increase trade opportunities.

Two other Asian countries, India and China, have huge populations. Consequently, a growing number of foreign firms are establishing operations in those nations.⁶ But the difficulty of attracting foreign managers and professionals to these countries and the costs of providing for them have created a shortage of qualified human resources in both India and China.

Europe

Changes in Europe, after the disintegration of the USSR into 14 independent states, include opening to international commerce the economies of Eastern European countries. This change has given U.S.-based and other firms dramatically expanded opportunities to sell products and services. Also, the ample supply of workers available in those countries, whose wage rates are relatively low, means that labor-intensive manufacturing facilities can be established to tap the available labor pools.⁷

In Western Europe, efforts to create a unified European economic market have led to cross-country mergers of firms and greater cooperation by European governments. The creation of the Euro, a unified currency, is reshaping European economies also. At the same time, some national governmental efforts may have the effect of limiting the import of U.S.- and Japanese-made goods to participating European countries. Therefore, U.S. and Asian firms have added offices and production facilities in Europe to avoid potential trade restrictions.

The stagnation of the economies and high costs imposed on employers in Western European countries such as Germany and France have led to double-

digit unemployment rates. As a result, many European-headquartered organizations have shifted production to new plants in the United States and other countries, as the Mercedes-Benz plant in Alabama illustrates.

Africa

In many parts of Africa, opportunities for international operations are inhibited by civil strife and corrupt governments. Also, the infrastructure in many countries is inadequate. A more positive outlook exists for the country of South Africa since its discredited apartheid policy was repealed. As a result, foreign firms are entering South Africa and establishing operations and joint ventures. But race relations still must be considered by HR professionals in global organizations operating in South Africa.

Factors Affecting Global HR Management

Managing human resources in different cultures, economies, and legal systems presents some challenges. However, when well done, HR management pays dividends. A seven-year study in Britain of over 100 foreign companies showed that good HR management, as well as other factors, accounted for more of the variance in profitability and productivity than did technology, or research and development.⁸

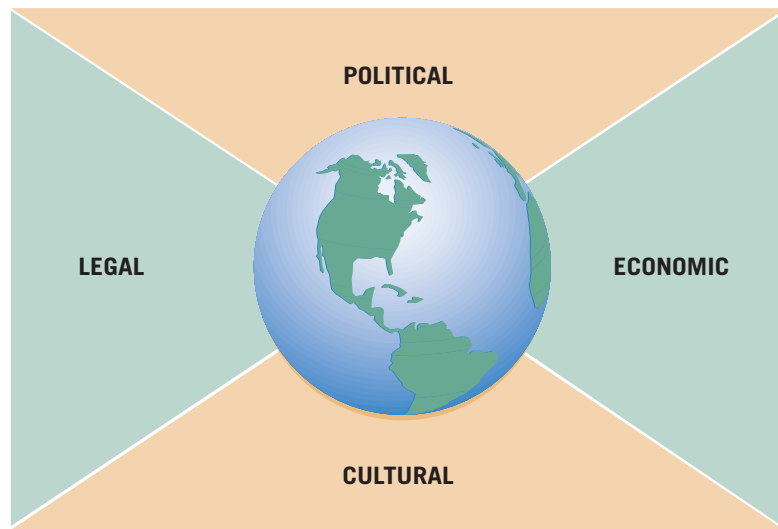
The most common obstacles to effective HR management are cross-cultural adaptation, different organizational/workforce values, differences in management style, and management turnover. Doing business globally requires that adaptations be made to reflect these factors. It is crucial that such concerns be seen as interrelated by managers and professionals as they do business and establish operations globally. Figure 4–1 depicts the general considerations for HR managers with global responsibilities. Each of those factors will be examined briefly.

Legal and Political Factors

The nature and stability of political systems vary from country to country. U.S. firms are accustomed to a relatively stable political system, and the same is true in many of the other developed countries in Europe. Although presidents, prime ministers, premiers, governors, senators, and representatives may change, the legal systems are well-established, and global firms can depend on continuity and consistency.

However, in many other nations, the legal and political systems are turbulent. Some governments regularly are overthrown by military coups. Others are ruled by dictators and despots who use their power to require international firms to buy goods and services from host-country firms owned or controlled by the rulers or the rulers' families. In some parts of the world, one-party rule has led to pervasive corruption, while in others there are so many parties that governments change constantly. Also, legal systems vary in character and stability, with business contracts sometimes becoming unenforceable because of internal political factors.

International firms may have to decide strategically when to comply with certain laws and regulations and when to ignore them because of operational or political reasons. Another issue involves ethics. Because of restrictions imposed

FIGURE 4–1 *Considerations Affecting Global HR Management*

on U.S.-based firms through the Foreign Corrupt Practices Act (FCPA), a fine line exists between paying “agent fees,” which is legal, and bribery, which is illegal.

HR regulations and laws vary among countries in character and detail. In many Western European countries, laws on labor unions and employment make it difficult to reduce the number of workers because required payments to former employees can be very high, as the HR Perspective on the next page indicates. Equal employment legislation exists to varying degrees.

In some countries, laws address issues such as employment discrimination and sexual harassment. In others, because of religious or ethical differences, employment discrimination may be an accepted practice.

All of these factors reveal that it is crucial for HR professionals to conduct a comprehensive review of the political environment and employment-related laws before beginning operations in a country. The role and nature of labor unions should be a part of that review.

Economic Factors

Economic factors affect the other three factors in Figure 4–1. Different countries have different economic systems. Some even still operate with a modified version of communism, which has essentially failed. For example, in China communism is the official economic approach. But as the government attempts to move to a more mixed model, it is using unemployment and layoffs to reduce government enterprises bloated with too many workers.⁹

Many lesser-developed nations are receptive to foreign investment in order to create jobs for their growing populations. Global firms often obtain significantly cheaper labor rates in these countries than they do in Western Europe, Japan, and the United States. However, whether firms can realize significant profits in developing nations may be determined by currency fluctuations and restrictions on transfer of earnings.

HR PERSPECTIVE

The Legal and Political Environment of Unemployment in Europe

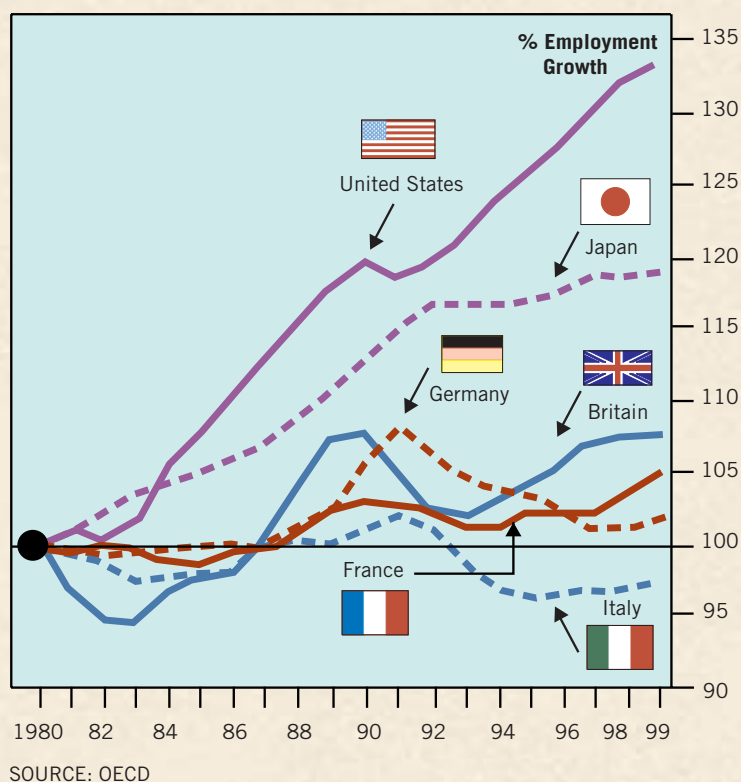
Europe cannot seem to shake its chronic unemployment. The unemployment rate has ranged from almost 20% in Spain to over 10% in France—but it averages about 12%. Joblessness is much higher in Europe than in the United States or Japan. The accompanying chart shows the percent employed recently compared to the base year of 1980. While the United States has created many new jobs, Europe has created very few.

Forecasts are that even with an improvement in the economy and employment, unemployment at over 10% will continue in European Union (EU) countries. Why?

Economists disagree about many matters, but not about unemployment. Generally they agree that labor markets need to be flexible, but in European countries they are relatively rigid. Very generous unemployment benefits, high minimum wages, strong unions, and unique

(by U.S. standards) laws dissuade employers from hiring more employees. For example, in Spain, a permanent employee who is fired can get 45 days' pay times the number of years he has been with the company. It is a large liability, so few firms create more permanent jobs. Similar legislation in other countries tends to keep those who have jobs at work, but the effect of the protective legislation keeps employers from creating more jobs. Economists tell us that in the long run, without such laws, firms that cut costs and become more productive create more jobs because productive industries tend to expand.

The pressure of world competition that is forcing painful reform is not popular in Europe. Many Europeans are crying "enough," and questioning how quickly the European economies can transform themselves into the Anglo-Saxon model of capitalism—that formula—high productivity, low jobless rates, and a minimal social safety net—is not typical in most Western European countries. For example, a recent French poll found that two-thirds of the French people prefer their rich benefits and high unemployment to America's approach of lower unemployment and limited social welfare benefits. Of course, elected politicians tend to follow the wishes of their constituents, bringing political and legal factors together—in this case, resulting in an average of 12% unemployment.¹⁰



Also, political instability can lead to situations in which the assets of foreign firms are seized. In addition, nations with weak economies may not be able to invest in maintaining and upgrading the necessary elements of their infrastructures, such as roads, electric power, schools, and telecommunications. The absence of good infrastructures may make it more difficult to convince managers from the United States or Japan to take assignments overseas.

Economic conditions vary greatly. For example, Figure 4–2 shows the relative *cost of living* for major cities in the world. Cost of living is a major economic consideration for global corporations.

In many developed countries, especially in Europe, unemployment has grown, but employment restrictions and wage levels remain high. Consequently, many European firms are transferring jobs to lower-wage countries, as Mercedes-Benz did at its Alabama plant. In addition, both personal and corporate tax rates are quite high. These factors all must be evaluated as part of the process of deciding whether to begin or purchase operations in foreign countries.

Cultural Factors

Cultural forces represent another important concern affecting international HR management. The culture of organizations was discussed earlier in the text, and



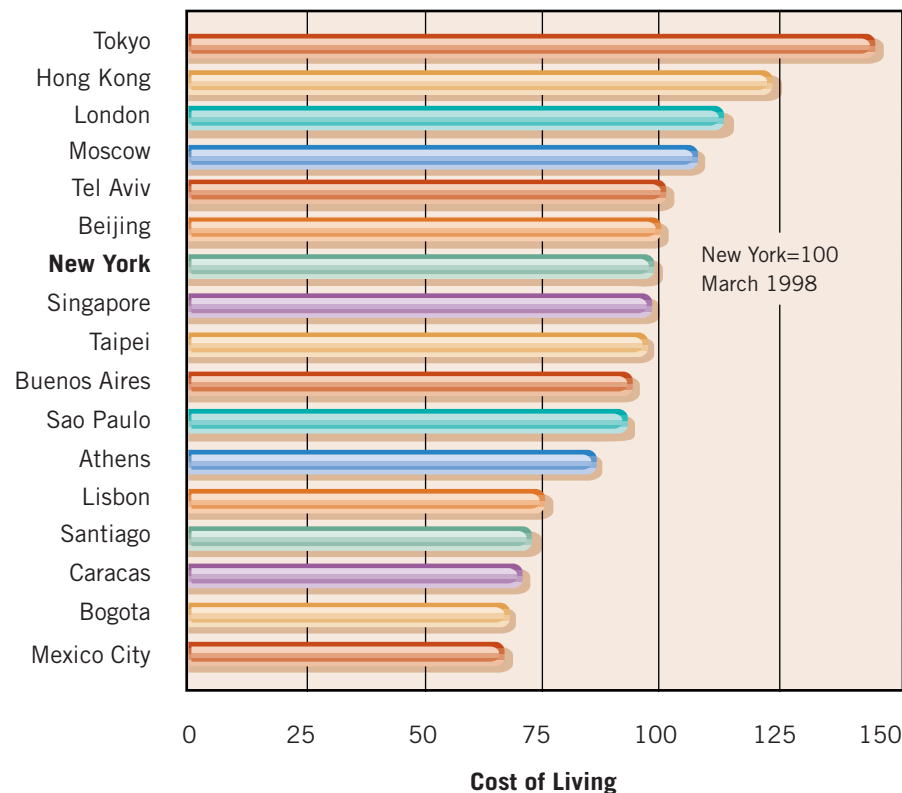
LOGGING ON . . .

The Online Development Center of Basil Rouskas Associates, Inc.— International HR Issues

An international directory of HR professionals is listed at this website to assist HR professionals with international issues. Other related websites are also listed for expatriates and travelers.

<http://www.basilrousas.com/international.htm>

FIGURE 4–2 Cost-of-Living Comparison in Major World Cities



SOURCE: European Information Union, 1998.

Culture

The societal forces affecting the values, beliefs, and actions of a distinct group of people.

of course, national cultures also exist. **Culture** is composed of the societal forces affecting the values, beliefs, and actions of a distinct group of people. Cultural differences certainly exist between nations, but significant cultural differences exist within countries also. One only has to look at the conflicts caused by religion or ethnicity in Central Europe and other parts of the world to see the importance of culture on international organizations. Getting individuals from different ethnic or tribal backgrounds working together may be difficult in some parts of the world. Culture can lead to ethical differences among countries. The HR Perspective on the next page gives several examples.

One widely used way to classify and compare cultures has been developed by Geert Hofstede, a Dutch scholar and researcher. Hofstede conducted research on over 100,000 IBM employees in 53 countries, and he identified five dimensions useful in identifying and comparing culture. A review of each of those dimensions follows.¹¹

Power distance

Dimension of culture that refers to the inequality among the people of a nation.

POWER DISTANCE The dimension of **power distance** refers to the inequality among the people of a nation. In countries such as Germany, the Netherlands, and the United States, there is a smaller power distance—which means there is less inequality—than in such countries as France, Indonesia, Russia, and China. As power distance increases, there are greater status and authority differences between superiors and subordinates.

One way in which differences on this dimension affect HR activities is that the reactions to management authority differ among cultures. A more autocratic approach to managing is more common in most other countries, while in the United States there is a bit more use of participatory management.

Individualism

Dimension of culture that refers to the extent to which people in a country prefer to act as individuals instead of members of groups.

INDIVIDUALISM Another dimension of culture identified by Hofstede is **individualism**, which is the extent to which people in a country prefer to act as individuals instead of members of groups. On this dimension, people in Asian countries tend to be less individualistic and more group-oriented, whereas those in the United States score the highest in individualism. An implication of these differences is that more collective action and less individual competition is likely in those countries that deemphasize individualism.

Masculinity/Femininity

Dimension of cultures that refers to the degree to which “masculine” values prevail over “feminine” values.

MASCULINITY/FEMININITY The cultural dimension **masculinity/femininity** refers to the degree to which “masculine” values prevail over “feminine” values. Masculine values identified by Hofstede were assertiveness, performance orientation, success, and competitiveness, whereas feminine values included quality of life, close personal relationships, and caring. Respondents from Japan had the highest masculinity scores, while those from the Netherlands had more femininity-oriented values. Differences on this dimension may be tied to the role of women in the culture. Considering the different roles of women and what is “acceptable” for women in the United States, Saudi Arabia, Japan, and Mexico suggests how this dimension might affect the assignment of women expatriates to managerial jobs in the various countries.

Uncertainty avoidance

Dimension of culture that refers to the preference of people in a country for structured rather than unstructured situations.

UNCERTAINTY AVOIDANCE The dimension of **uncertainty avoidance** refers to the preference of people in a country for structured rather than unstructured situations. A structured situation is one in which rules can be established and there are clear guides on how people are expected to act. Nations high on this factor, such as Japan, France, and Russia, tend to be more resistant to change and more

HR PERSPECTIVE

Cultural and Ethical Differences

Why do negotiators from some countries get loud, angry, emotional, and gesture wildly in business negotiations, while others sit quietly, smile, and make sure they get what they want? It is, in many cases, differences in culture. Culture is in one sense a shared set of meanings, values, and common views on relations with other people, right and wrong, etc. These differences lead to different ideas as to what constitutes ethical business behavior. For example:

- In one Eastern European country, obtaining a new telephone line in less than three months requires making a cash payment, referred to as an “expediting charge” (a bribe in most places), to the local manager of the telephone office. All parties to the deal know that the manager will retain the cash, but a telephone is essential for doing business internationally.
- Foreign firms wishing to do business in one Asian Pacific country

must hire a “business representative” in order to obtain appropriate licenses and operating permits. In this country, it is well known that the two best representatives are relatives of the head of the country. It also is common to give the representative 10%–20% ownership in the business as a “gift” for promptly completing the licensing process.

A U.S.-based firm engaged in such practices could be violating the Foreign Corrupt Practices Act (FCPA), which prohibits U.S. firms from engaging in bribery and other practices in foreign countries that would be illegal in the United States. Competing firms from other countries are not bound by similar restrictions. However, the law reflects the U.S. culture’s view on the ethics of bribery.

Specifically relating to HR management, another major concern is the use of child labor and prison

labor. According to one estimate, over 80 million children under age 18 are working in factories and fields for international companies. In some countries, people convicted of “political crimes” are forced to work in factories that manufacture goods to be sold to U.S. and European firms. In those countries, prison labor also competes with other labor sources at lower wage rates.

When stories of these situations have been publicized, customer boycotts and news media coverage have focused unfavorable attention on the companies involved. To counter such concerns, firms such as Levi Strauss and Starbuck’s Coffee, among others, have established minimum standards that must be met by all operations of their subcontractors and suppliers. Unfortunately, other firms have not been as aggressive.¹²

rigid. In contrast, people in places such as Hong Kong, the United States, and Indonesia tend to have more “business energy” and to be more flexible.

A logical use of differences on this factor is to anticipate how people in different countries will react to changes instituted in organizations. In more flexible cultures, what is less certain may be more intriguing and challenging, which may lead to greater entrepreneurship and risk taking than in the more “rigid” countries.

LONG-TERM ORIENTATION The dimension of **long-term orientation** refers to values people hold that emphasize the future, as opposed to short-term values, which focus on the present and the past. Long-term values include thrift and persistence, while short-term values include respecting tradition and fulfilling social obligations. People scoring the highest on long-term orientation were China and Hong Kong, while people in Russia, the United States, and France tended to have more short-term orientation.

Differences in many other facets of culture could be discussed. But it is enough to recognize that international HR managers and professionals must recognize that cultural dimensions differ from country to country and even within coun-

Long-term orientation

Dimension of culture that refers to values people hold that emphasize the future, as opposed to short-term values focusing on the present and the past.

tries. Therefore, the HR activities appropriate in one culture or country may have to be altered to fit appropriately into another culture or country.

Types of Global Organizations

A growing number of organizations that operate within only one country are recognizing that they must change and develop a more international perspective.¹³ Organizations may pass through three stages as they broaden out into the world, as shown in Figure 4–3. A discussion of each stage follows.

Importing and exporting

The phase of international interaction in which an organization begins selling and buying goods and services with organizations in other countries.

IMPORTING AND EXPORTING The first phase of international interaction consists of **importing and exporting**. Here, an organization begins selling and buying goods and services with organizations in other countries. Most of the international contacts are made by the sales and marketing staff and a limited number of other executives who negotiate contracts. Generally, HR activities are not affected except for travel policies for those going abroad.

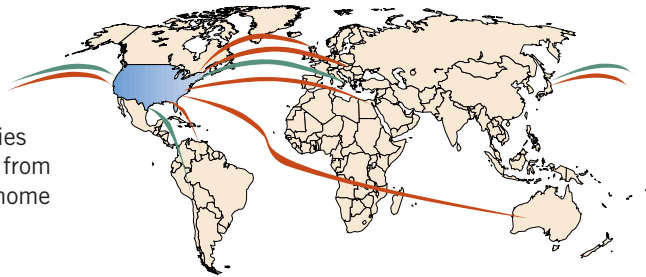
FIGURE 4–3 *Transition to Global Organization*

I. Importing-Exporting



Home country

Lines indicate countries involved in importing from and exporting to the home country.

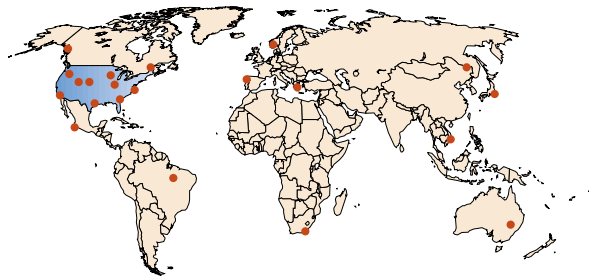


II. Multinational Enterprise



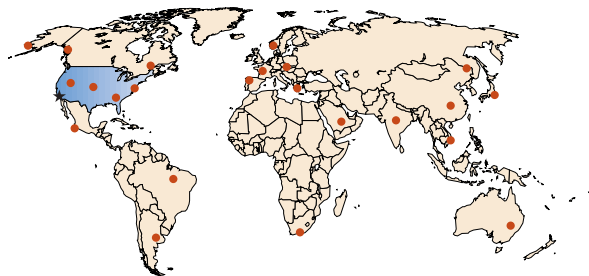
Home country

- Location of operations (some are located in home country).



III. Global Organization

- Operations
- ★ Headquarters



MULTINATIONAL ENTERPRISES As firms develop and expand, they identify opportunities to begin operating in other countries. A **multinational enterprise (MNE)** is one in which organizational units are located in foreign countries. Typically these units provide goods and services for the geographic areas surrounding the countries where operations exist. Key management positions in the foreign operations are filled with employees from the home country of the corporation. As the MNE expands, it hires workers from the countries in which it has operations. HR practices for employees sent from corporate headquarters must be developed so that these employees and their dependents may continue their economic lifestyles while stationed outside the home country. Ways to link these individuals to the parent company are also critical, especially if the international job assignment is two to three years long. There are likely to be laws and regulations differing from those in the home country that must be considered. As a result, the HR professionals in the parent organization must become knowledgeable about each country in which the MNE operates and know how staffing, training, compensation, health and safety, and labor relations must be adapted.¹⁴

GLOBAL ORGANIZATION The MNE can be thought of as an *international* firm, in that it operates in various countries but each foreign business unit is operated separately. In contrast, a **global organization** has corporate units in a number of countries that are integrated to operate as one organization worldwide. An MNE may evolve into a global organization as operations in various countries become more integrated.

Another example of making the transition from MNE to global organization involves Ford Motor Co. in the early 1990s. Ford started shifting from having a separate, relatively autonomous unit on each continent to operating as a global firm. One facet of Ford's approach illustrates the shift. Previously, Ford had its major design centers in the United States, and centers elsewhere adapted U.S.-designed vehicles to market needs in various countries. If separate Ford vehicles were developed, they often differed in model name and style. Under the global approach, Ford is merging design facilities and people from all over the world. In centers located in several countries, designers, engineers, and production specialists will work in teams to develop cars. Ford plans to develop a common "platform" and model for what it hopes will become a "world car" that can be produced and sold throughout the world. It will differ in different countries only in having the steering wheel and the instrumentation on the right for such countries as Great Britain and Australia.

HR management in truly global organizations moves people, especially key managers and professionals, throughout the world. Individuals who speak several languages fluently are highly valued, and they will move among divisions and countries as they assume more responsibilities and experience career growth. As much as possible, international HR management must be viewed strategically in these organizations.¹⁵ Global HR policies and activities are developed, but decentralization of decision making to subsidiary units and operations in other countries is necessary in order for country-specific adjustments to be made.¹⁶

Managing Internationally

Are good domestic managers going to make good managers in another country? How is management on a day-to-day basis different internationally? The specific

Multinational enterprise (MNE)

An organization with units located in foreign countries.

Global organization

An organization that has corporate units in a number of countries that are integrated to operate as one organization worldwide.



LOGGING ON . . .

HR Global Network

This site contains archives and resources on the latest new ideas in global HR and training. A list of resources and archives for academic knowledge is also provided to assist HR professionals in global management.

<http://www.mcb.co.uk/hr/>

answers to these questions depend on the countries involved. However, some observations from those who have managed in multiple countries can be useful.

Managing globally means dealing with eclectic staffs and teams, understanding foreign competition, and studying the politics, culture, and operating style in different markets. Global managers apparently must handle more complexity, relate well to very diverse groups, learn to listen rather than talk, and be comfortable with the observation “I have no idea what will happen today.”¹⁷ Clearly understanding their own company objectives and administrative approach is important as well.¹⁸

Differences in successful managers can be great across countries. For example, the successful head of a major Chinese appliance manufacturer approaches management and leadership much differently than would be tolerated in the United States. He assesses employees’ performance each month and adjusts pay monthly—up or down. Poor employees are humiliated. The slowest worker on each shift must explain his problems in public. Managers who fail to reach goals are named in the company paper, and must volunteer for a pay cut.¹⁹

Protocol, dress, greetings, and even business cards are potentially cultural differences that can work against the unattentive manager.²⁰ Dealing with gender issues among countries can be a problem as well, as the HR Perspective shows.

Despite somewhat different challenges for global managers than those faced by domestic managers, the need for international managerial talent is increasing. Finding and selecting good expatriates (including managers) is the next topic.

International Staffing

Staffing (or finding, choosing and placing) good employees is difficult even at home. However, it becomes more difficult in other countries. For example, until recently in Russia, very few Russians had resumes available to give to prospective employers with vacant positions. Consequently, recruiting is often done only by word of mouth. Only recently have more sophisticated methods—such as structured interviews, testing or work samples—been used on a limited basis. More systematic selection is becoming necessary in Russia and many of the former Soviet-bloc countries as younger, more highly educated candidates are being needed by international firms.²¹

Deciding on the mix of local employees, employees from the home country, and even people from third countries that will best meet organizational goals is a challenge.²² In staffing an overseas operation, cost is a major factor to be considered. The cost of establishing a manager or professional in another country can run as high as \$1 million for a three-year job assignment. The actual costs for placing a key manager outside the United States often are twice the manager’s annual salary. For instance, if the manager is going to Japan, the costs may be even higher when housing costs, schooling subsidies, and tax equalization payment are calculated. Further, if a manager or professional executive quits an international assignment prematurely or insists on a transfer home, associated costs can equal or exceed the annual salary. “Failure” rates for managers sent to other countries run as high as 45%.²³

HR PERSPECTIVE

The Female Factor

Even though slightly more than half of the world population is female, in some countries being female presents some special problems in dealing with local males about business issues.

For example, in Pakistan a female pilot for a major international carrier made radio contact with ground control personnel who were so astonished to hear a woman they refused to speak to her. Consequently, the male copilot had to take over the landing. Many American women wonder if they must start all over again overseas after attaining success in the United States. Their bosses often have similar concerns, especially in male-dominated cultures of the Middle East, Latin America, and Asia. The fear is that women will not be taken seriously and therefore are unable to represent the company's interests effectively.

Male chauvinism is still a fact of life in many other countries as well.

For example, in Poland, most of the business persons one will meet are male. In such a male-dominated society, admonishing Polish businessmen for their sexist attitudes, real or perceived, does not help change those attitudes or advance women's business efforts.

The female factor may have its greatest impact in some Islamic countries. The role of women in much of the Islamic world is different from that in the United States, though not uniformly so. For example, in Egypt only 9% of women are in paid employment, and only about 10% of managers are female. In very conservative countries such as Iran and Saudi Arabia, even shaking hands with a woman can cause extreme embarrassment. Just getting into Saudi Arabia is difficult for a woman who is unaccompanied by a husband or close relative, because the government will not issue her a visa. Once in Saudi Arabia, a woman will find that people are segregated

by gender and a woman must be escorted in public. She may not drive, and taxi drivers will not pick up unaccompanied female customers.

Although small mistakes in etiquette are usually forgiven in most countries, some social customs regarding females elicit strong emotional reactions if ignored. For instance, proper dress is very important for women working abroad. Longer skirts and higher necklines are good rules of thumb. In Asia, modest and gentle behavior is the expectation for females. Also, in many places the friendly, open smiles of U.S. women business professionals may be seen as an invitation for a more personal relationship. As a result, U.S. businesswomen should learn that it is best to err on the side of formality when doing business in many countries.²⁴

Factors that are most likely to be causes of concern for an employee sent overseas are shown in Figure 4-4. The figure shows that only roughly two-thirds to three-fourths of employees sent to another country are satisfied with the way the top five support needs are being met.

To meet these needs, organizations are outsourcing various functions, citing gains in cost effectiveness, expertise, and efficiency. Several respondents to a survey on the subject suggested that outsourcing certain HR functions to international experts may be a long-term trend.²⁵

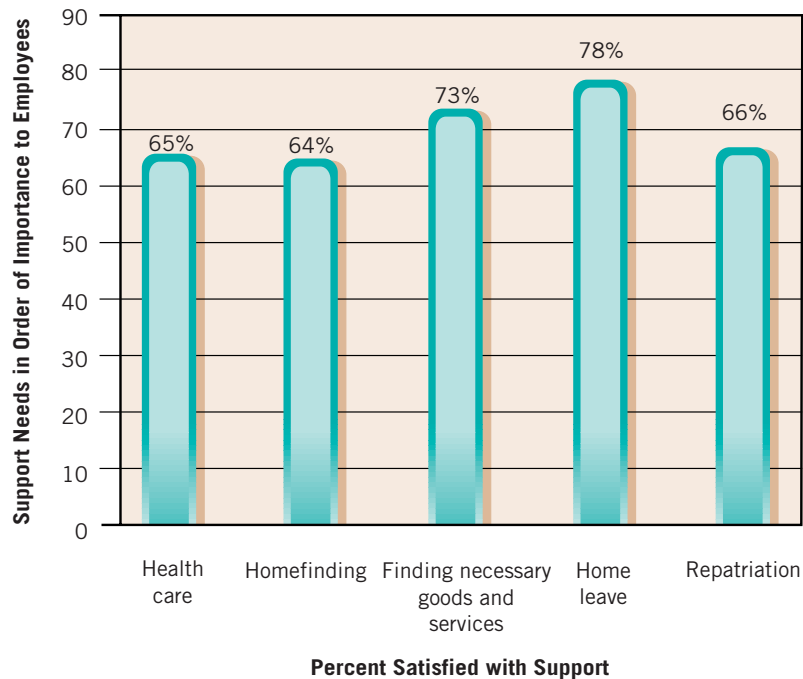
Types of International Employees

International employees can be placed in three different classifications.

- An **expatriate** is an employee working in a unit or plant who is not a citizen of the country in which the unit or plant is located but is a citizen of the country in which the organization is headquartered.

Expatriate

An employee working in a unit or plant who is not a citizen of the country in which the unit or plant is located, but is a citizen of the country in which the organization is headquartered.

FIGURE 4-4 Concerns in International Assignments

SOURCE: 1997 *International Assignee Research Project*, Berlitz International, HFS Mobility Services, SHRM International HR, 1997, 3.

Host-country national

An employee working in a unit or plant who is a citizen of the country in which the unit or plant is located, but where the unit or plant is operated by an organization headquartered in another country.

Third-country national

An employee who is a citizen of one country, working in a second country, and employed by an organization headquartered in a third country.

- A **host-country national** is an employee working in a unit or plant who is a citizen of the country in which the unit or plant is located, but where the unit or plant is operated by an organization headquartered in another country.
- A **third-country national** is a citizen of one country, working in a second country, and employed by an organization headquartered in a third country.

Each of these individuals presents some unique HR management challenges. Because in a given situation each is a citizen of a different country, different tax laws and other factors apply. HR professionals have to be knowledgeable about the laws and customs of each country. They must establish appropriate payroll and record-keeping procedures, among other activities, to ensure compliance with varying regulations and requirements.

EXPATRIATES Many MNEs use expatriates to ensure that foreign operations are linked effectively with the parent corporations. Generally, expatriates also are used to develop international capabilities within an organization. Experienced expatriates can provide a pool of talent that can be tapped as the organization expands its operations more broadly into even more countries. Japanese-owned firms with operations in the United States have rotated Japanese managers through U.S. operations in order to expand the knowledge of U.S. business practices in the Japanese firms.

Several types of expatriates may be differentiated by job assignment, because not all individuals who decide to work as expatriates are similar in the assignments undertaken.

- *Volunteer expatriates:* These are persons who want to work abroad for a period of time because of career or self-development interests. Often, these expatriates volunteer for shorter-term assignments of less than a year so that they can experience other cultures and travel to desired parts of the world.
- *Traditional expatriates:* These are professionals and managers assigned to work in foreign operations for one to three years. They then rotate back to the parent corporation in the home country.
- *Career development expatriates:* These individuals are placed in foreign jobs to develop the international management capabilities of the firm. They may serve one to three “tours” in different countries, so that they can develop a broader understanding of international operations.
- *Global expatriates:* The broadcast category comprises those individuals who move from one country to another. Often, they prefer to work internationally rather than in the home country.

American managers are developing a reputation as being somewhat more versatile and adaptable, perhaps because of leading a more diverse workforce at home. Their management education is often very good as well—both from formal business schools and in-house training programs.²⁶ Whirlpool, GTE, Quaker Oats, and others are using retired American managers to staff hard-to-fill temporary international jobs. They find it is faster and less expensive than relocating a regular expatriate, who would normally expect to stay three years or more.²⁷

HOST-COUNTRY NATIONALS Using host-country nationals is important for several reasons. It is important if the organization wants to establish clearly that it is making a commitment to the host country and not just setting up a foreign operation. Host-country nationals often know the culture, politics, laws, and business customs better than an outsider would. Also, tapping into the informal “power” network may be important. In one Southeast Asian country, foreign companies have learned that a firm’s problems are resolved more quickly if a family member of that country’s president is a consultant to the firm or a member of its management. But U.S. firms must take care that the individuals used actually perform work for the company; the “salary” must not be a disguised bribe paid in order to obtain contracts. Otherwise, the firms could be in violation of the FCPA addressing foreign corrupt practices. Another reason to use host-country nationals is to provide employment in the country. In many lesser-developed countries, compensation levels are significantly lower than in the United States, so U.S. firms can gain cost advantages by using host-country nationals to staff many jobs.

Recruiting the first group of local employees can be a challenge. The initial group helps create a culture for that organization—for better or worse. Yet, the opportunity for serious errors is great. For example, many countries have very different employment laws, which may make it difficult to dismiss an employee. In countries where there is a shortage of qualified candidates, good potential employees may be lost if not approached correctly. To accomplish successful hiring of host-country nationals, many firms form partnerships with local companies to help with hiring.²⁸

THIRD-COUNTRY NATIONALS Using third-country nationals emphasizes that a truly global approach is being taken. Often, these individuals are used to handle responsibilities throughout a continent or region. For instance, a major U.S.-based electronics company has its European headquarters in Brussels, Belgium.



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Hiring Foreign Nationals

This section provides an overview of the U.S. Visa requirements for non-U.S. citizens hired by U.S. employers.

While most employees on the clerical staff are Belgians, only about 20% of the professionals and managers are from Belgium. Most of the rest, except for five U.S. expatriates, are from other Western European countries.

It is unusual to find third-country nationals in a new multinational enterprise (MNE). These are usually staffed with qualified nationals and expatriates. Third-country nationals are often first hired when a company has several foreign operations and decides to open another. The choice is often between transferring another expatriate from headquarters or transferring an employee from another overseas operation. Third-country nationals are more common in MNEs with headquarters in North America than in other regions.²⁹

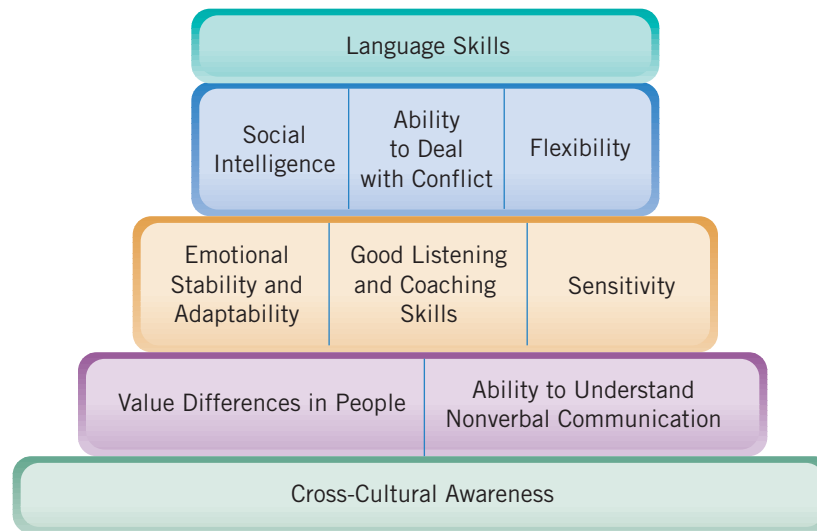
TRANSNATIONAL PROJECT TEAMS There has been a dramatic increase in the number and variety of multicultural or “transnational” teams. These teams may be temporary or somewhat permanent and are formed to solve a specific problem or to handle ongoing activities. They often include headquarters representatives, host-country nationals, and third-country nationals. They are useful not only as potentially valuable business units but also as development vehicles for leaders. Eastman Kodak formed a transnational team based in London to launch its photo CD at the same time in several European countries. The team dealt with complex strategic issues across geographic and cultural barriers.³⁰

Selection for International Assignments

The selection process for an international assignment should provide a realistic picture of the life, work, and culture to which the employee may be sent. HR managers should prepare a comprehensive description of the job to be done. This description especially should note responsibilities that would be unusual in the home nation, including negotiating with public officials; interpreting local work codes; and responding to ethical, moral, and personal issues such as religious prohibitions and personal freedoms. Figure 4–5 shows the most frequently cited key competencies for expatriates. Most of these competencies can be categorized as either cultural adaptability or communication skills. The following discussion examines those ideas.

CULTURAL ADAPTABILITY Most staffing “failures” among those placed in foreign assignments occur because of cultural adjustment problems, not because of difficulties with the jobs or inadequate technical skills. Organizational support for the employees is particularly important for successful cultural adjustment. Once employees have been selected for international assignments, continuing organizational support for the employees is crucial. The intention of expatriates to quit and their commitment to their organizations are affected by how they view the support given to them by their employers.

Throughout the selection process, especially in the selection interviews, it is crucial to assess the potential employee’s ability to accept and adapt to different customs, management practices, laws, religious values, and infrastructure conditions. For example, in Nigeria the local telephone system is so inefficient that overseas calls can be made more easily than crosstown calls, especially in Lagos, the capital city. A U.S. citizen who is accustomed to the convenience and reliability of the U.S. telephone system may become impatient and angry when confronted with such delays.

FIGURE 4-5 *Global Skills and Competencies for Successful Expatriates*

SOURCE: Adapted from Michael L. Wheeler, "Global Diversity," *Business Week*, December 1, 1997, 37.

COMMUNICATION SKILLS One of the most basic skills needed by expatriate employees is the ability to communicate orally and in writing in the host-country language. Inability to communicate adequately in the language may significantly inhibit the success of an expatriate. Numerous firms with international operations select individuals based on their technical and managerial capabilities and then have the selected individuals take foreign language training. Intensive 10-day courses offered by Berlitz and other schools teach basic foreign language skills.

But in any language there is more to communication than simply vocabulary. Greetings, gestures, pace, and proximity all are different in various countries.³¹ Basic values about other people and interacting with them are at least as important as speaking the language.

FAMILY FACTORS The preferences and attitudes of spouses and other family members also are major staffing considerations. Two of the most common reasons for turning down international assignments are family considerations and spouses' careers.³² Nearly three-fourths of expatriates are married, and most are male. Of the expatriates who are married, only about 13% are not accompanied on overseas assignments by their spouse.³³

With the growth in dual-career couples, the difficulty of transferring international employees is likely to increase, particularly given work-permit restrictions common in many countries. Some international firms have begun career services to assist spouses in getting jobs with other international firms.

EQUAL EMPLOYMENT OPPORTUNITY (EEO) CONCERNS The assignment of women and members of racial/ethnic minorities to international posts involves

legal issues, because these individuals may be protected by U.S. Equal Employment Opportunity (EEO) regulations. Many U.S. firms operating internationally have limited assignments of women and other protected-class individuals in deference to cultural concerns. The Civil Rights Act of 1991 extended coverage of EEO laws and regulations to U.S. citizens working internationally for U.S.-controlled companies. However, the act states that if laws in a foreign country require actions that conflict with U.S. EEO laws, the foreign laws will apply. If no laws exist, only customs or cultural considerations, then the U.S. EEO laws will apply.

In a related area, some foreign firms in the United States, particularly those owned by Japan, have “reserved” top-level positions for those from the home country. Consequently, EEO charges have been brought against these firms. Previous court decisions have ruled that because of a treaty between Japan and the United States, Japanese subsidiaries can give preference to Japanese over U.S. citizens.

However, it should be noted that most other EEO regulations and laws do apply to foreign-owned firms. In a closely related area, women have brought sexual harassment charges against foreign managers, and other protected-class individuals have brought EEO charges for refusal to hire or promote them.³⁴ In those cases, courts have treated the foreign-owned firms just as they would U.S.-owned employers.

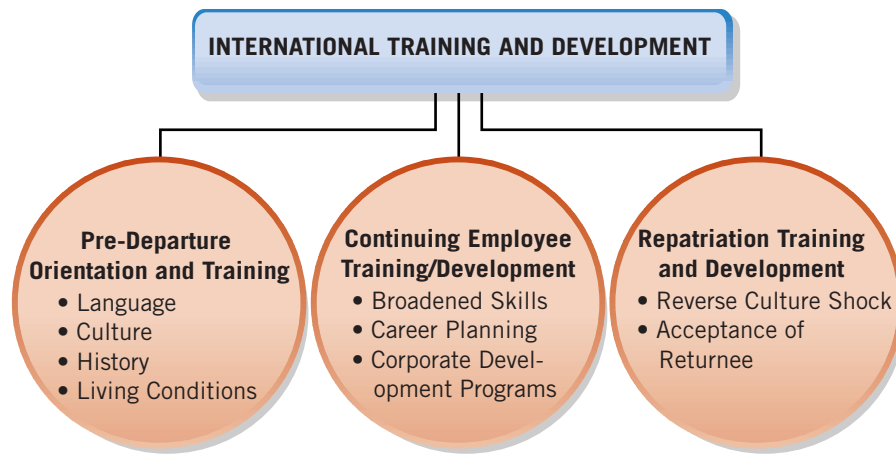
International Training and Development

Just as in any organization—global in scope or not—training and development are key factors for HR success. For the global firm these activities are just as important, but for incoming expatriates, host-country nationals, and third-country nationals, training and development is crucial. The training needs of a German expatriate assigned to the United States for the first time might be very different than the needs of an employee working for the company as a factory assembler in Mexico, but both need training to be effective.³⁵ For example, when companies first began to put down roots in Mexico on the U.S./Mexican border, there was little incentive to train employees who were seen simply as a source of cheap labor. But employee turnover rates ran over 20% a month in many places, and employers found that the gains in labor costs were offset with shoddy quality. Training quickly became an important part of turning the HR catastrophe around. Greatly improved productivity has resulted from programs of continuous training, skills improvement, vocational training, and employees training other employees.³⁶

Figure 4–6 shows three different kinds of training and development activities for global employees. Not all apply to every type of international employee, but all are important.

Pre-Departure Orientation and Training

The orientation and training that expatriates and their families receive before departure have a major impact on the success of the overseas assignment. Three areas affect the cross-cultural adjustment process: (a) work adjustment, (b) interaction adjustment, and (c) general adjustment. Permeating all of those

FIGURE 4-6 International Training and Development

areas is the need for training in foreign language and culture familiarization. Many firms have formal training programs for expatriates and their families, and this training has been found to have a positive effect on cross-cultural adjustment.³⁸

Individuals selected to work outside the United States for MNEs need answers to many specific questions about their host countries. Such areas as political and historical forces, geographic and climatic conditions, and general living conditions are topics frequently covered in the orientation and training sessions on the culture of the host country. Expatriates and their families also must receive detailed, country-specific training on customs in the host country. Such knowledge will greatly ease their way in dealing with host-country counterparts. Training in such customs and practices also should be part of the training programs for individuals who will not live outside the home country but will travel to other countries for business purposes.

A related issue is the promotion and transfer of foreign citizens to positions in the United States. As more global organizations start or expand U.S. operations, more cross-cultural training will be necessary for international employees relocated to the United States. For example, many Japanese firms operating in the United States have training programs to prepare Japanese for the food, customs, and other practices of U.S. life. The acceptance of a foreign boss by U.S. workers is another concern. These issues point to the importance of training and development for international adjustment.

Once global employees arrive in the host country, they will need assistance in “settling in.” Arrangements should be made for someone to meet them and assist them. Obtaining housing, establishing bank accounts, obtaining driver’s licenses, arranging for admissions to schools for dependent children, and establishing a medical provider relationship are all basics when relocating to a new city, internationally or not. But differences in culture, language, and laws may complicate these activities in a foreign country. The sooner the expatriates and their families can establish a “normal” life, the better the adjustment will be, and the less likely that expatriate failure will occur.

Continuing Employee Training/Development

Career planning and continued involvement of expatriates in corporate employee development activities are essential. One of the greatest deterrents to accepting foreign assignments is employees' concern that they will be "out of sight, out of mind." If they do not have direct and regular contact with others at the corporate headquarters, many expatriates experience anxiety about their continued career progression. Therefore, the international experiences of expatriates must be seen as beneficial to the employer and to the expatriate's career.³⁷

One way to overcome problems in this area is for firms to invite the expatriates back for regular interaction and development programs with other company managers and professionals. Another useful approach is to establish a mentoring system. In this system, an expatriate is matched with a corporate executive in the headquarters. This executive talks with the expatriate frequently, ensures that the expatriate's name is submitted during promotion and development discussions at the headquarters, and resolves any headquarters-based problems experienced by the expatriate.³⁹

Opportunities for continuing education represent another way for international employees to continue their development. In some of the more developed European countries, foreign executives and professionals may enroll in Master of Business Administration (MBA) programs at well-respected universities. By obtaining an MBA while on the international assignment, the expatriate keeps up with those with similar jobs in the home country who pursue advanced degrees while working full time.

Repatriation Training and Development

Repatriation

The process of bringing expatriates home.

The process of bringing expatriates home is called **repatriation**. Some major difficulties can arise when it is time to bring expatriates home. For example, the special compensation packages often available to expatriates are dropped, which means that the expatriates experience a net decrease in total income, even if they receive promotions and pay increases. In addition to concerns about personal finances, repatriated employees must readjust to a closer working and reporting relationship with other corporate employees. Often, expatriates have a greater degree of flexibility, autonomy, and independent decision making than do their counterparts in the United States.

Expatriates often must also be reacclimatized to U.S. lifestyles, transportation services, and other cultural practices, especially if they have been living in less-developed countries.⁴⁰ For example, the wife of a U.S. expatriate was accustomed to bargaining for lower prices when she shopped in the foreign country. During the first week after her return to the United States, she tried to bargain with the checkout cashier at a supermarket before she realized that she was back in a place where this practice was not normal.

International Compensation

Organizations with employees in many different countries face some special compensation pressures. Variations in laws, living costs, tax policies, and other factors all must be considered in establishing the compensation for expatriate managers and professionals. Even fluctuations in the value of the U.S. dollar must be tracked and adjustments made as the dollar rises or falls in relation to currency

rates in other countries. Add to all of these concerns the need to compensate employees for the costs of housing, schooling of children, and yearly transportation home for themselves and their family members. When all these different issues are considered, it is evident that international compensation is extremely complex. Typical components of an international compensation package for expatriates are shown in Figure 4-7. Several approaches to international compensation are discussed next.

Balance-Sheet Approach

Many multinational firms have compensation programs that use the balance-sheet approach. The **balance-sheet approach** provides international employees with a compensation package that equalizes cost differences between the international assignment and the same assignment in the home country of the individual or the corporation. The balance-sheet approach is based on some key assumptions, which are discussed next.⁴¹

HOME-COUNTRY REFERENCE POINT The compensation package is developed to keep global employees at a level appropriate to their jobs in relation to similar jobs in the home country. Special benefits or allowances are provided to allow the global employees to maintain a standard of living at least equivalent to what they would have in the home country.

Balance-sheet approach

An approach to international compensation that provides international employees with a compensation package that equalizes cost differences between the international assignment and the same assignment in the home country of the individual or the corporation.

FIGURE 4-7 *Typical Expatriate Compensation Components*





LOGGING ON . . .

Runzheimers International Compensation and Relocation

This website offers compensation tools including news releases, publications, survey information, other web sites, and much more to address the global HR issues faced by organizations.

<http://www.runzheimers.com/intcomp.htm>



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Income Tax Exclusions

Notice in this section that withholding of federal income tax is not required of U.S. citizens working outside the U.S.

Tax equalization plan

Compensation plan used to protect expatriates from negative tax consequences.

LIMITED DURATION OF GLOBAL ASSIGNMENT Another basic premise of the balance-sheet approach is that expatriate employees generally have international assignments lasting two to three years. The international compensation package is designed to keep the expatriates “whole” for a few years until they can be reintegrated into the home-country compensation program. Thus, the “temporary” compensation package for the international assignment must be structured to make it easy for the repatriated employee to reenter the domestic compensation and benefits programs. Also, it is assumed that the international employee will retire in the home country, so pension and other retirement benefits will be home-country-based.

Global Market Approach

Increasingly, global organizations have recognized that attracting, retaining, and motivating managers with global capabilities requires taking a broader perspective than just sending expatriates overseas. As mentioned earlier, in many large multinational enterprises, key executives have worked in several countries and may be of many different nationalities. These executives are moved from one part of the world to another and to corporate headquarters wherever the firms are based. It appears that there is a high demand for these global managers, and they almost form their own “global market” for compensation purposes.

Unlike the balance-sheet approach, a global market approach to compensation requires that the international assignment be viewed as continual, not just temporary, though the assignment may take the employee to different countries for differing lengths of time. This approach is much more comprehensive in that the core components, such as insurance benefits and relocation expenses, are present regardless of the country to which the employee is assigned. But pegging the appropriate pay level, considering rates in the host country, home country, and/or headquarters country, becomes more complex. Further, the acceptability of distributing compensation unequally based on performance varies from country to country.⁴² Therefore, global compensation requires greater flexibility, more detailed analyses, and greater administrative effort. Some factors affecting executive compensation include the “cultural distance” from headquarters and how much responsibility and autonomy the subsidiary incurs.

Tax Concerns

Many international compensation plans attempt to protect expatriates from negative tax consequences by using a **tax equalization plan**. Under this plan, the company adjusts an employee’s base income downward by the amount of estimated U.S. tax to be paid for the year. Thus, the employee pays only the foreign-country tax. The intent of the tax equalization plan is to ensure that expatriates will not pay any more or less in taxes than if they had stayed in the United States.

Global Employee Relations Issues

Several issues related to employee relations are often concerns in international situations. *Health and safety issues* may be of concern to employees overseas, and *security* has become a very difficult issue in certain areas of the world. The nature

of *labor unions* and labor laws can be an important variable for managers from other countries when dealing with host-country national employees. Finally, *maintaining the expatriate employee* in an international position given the potential difficulties deserves attention.

Global Health and Safety

Safety and health laws and regulations vary from country to country, ranging from virtually nonexistent to more stringent than in the United States. The importance placed on workplace safety varies among different countries.

With more and more expatriates working internationally, especially in some of the less-developed countries, significant health and safety issues are arising, and addressing these issues is part of the HR role.⁴³ For instance, in many parts of the former Soviet Union, medical facilities are more primitive, treatment is not as available, and pharmaceuticals are less easily obtained. U.S. expatriates traveling to such countries as Turkmenistan and Tajikistan commonly take antibiotics, other medications, and syringes and needles with them in case they need them. Similar practices are recommended for those traveling or working in some African and lesser-developed Asian countries, including China.

Another consideration is provision of emergency evacuation services. For instance, how to evacuate and care for an expatriate employee who sustains internal injuries in a car accident in the Ukraine or Sierra Leone may be a major issue. Many global firms purchase coverage for their international employees from an organization that provides emergency services, such as International SOS, Global Assistance Network, or U.S. Assist. To use such a service, an employer pays a membership fee per employee, and all employee travelers are given emergency contact numbers. If an emergency arises, the emergency services company will dispatch physicians or even transport employees by chartered aircraft. If adequate medical assistance can be obtained locally, the emergency services company maintains a referral list and will make arrangements for the expatriate to receive treatment. Legal counsel in foreign countries, emergency cash for medical expenses, and assistance in retrieving lost documents or having them reissued also are provided by emergency services firms.

International Security and Terrorism

As more U.S. firms operate internationally, the threat of terrorist actions against those firms and the employees working for them increases. U.S. citizens are especially vulnerable to extortions, kidnapping, bombing, physical harassment, and other terrorist activities. In a three-month period in a recent year, several hundred terrorist acts were aimed at businesses and businesspeople. Many of these acts targeted company facilities and offices. Nevertheless, individual employees and their families living abroad must constantly be aware of security issues.⁴⁴

Countries vary in the extent to which they are likely to see violence at the workplace. Figure 4-8 shows the share of workers reporting violence on the job in different countries.

It should be noted, of course, that not all violence occurs at work. Kidnapping, murder, home invasion, robberies, and car-jackings are relatively frequent in some places.⁴⁵ People who appear affluent are targets, and in some countries a person can appear ostentatiously wealthy simply by wearing eyeglasses.⁴⁶ Many firms provide bodyguards who escort executives everywhere. Different routes of

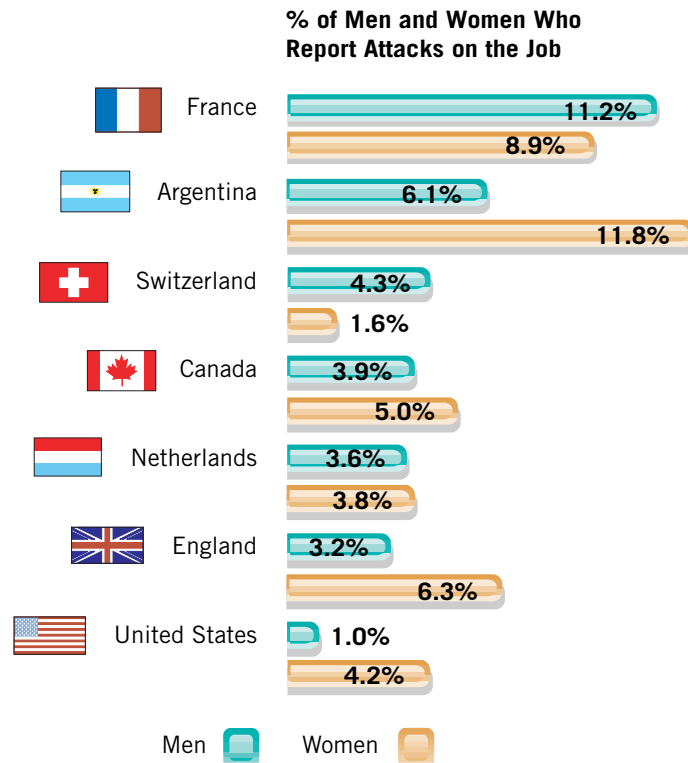


LOGGING ON . . .

Travel Advisories

U.S. State Department Warnings and Consider Advisory Sheets are distributed by St. Olaf College (Minnesota) of all countries at

<http://www.stolaf.edu/network/travelisories.html>

FIGURE 4–8 Violence at Work Globally

SOURCE: International Labor Organization Data, 1998

travel are used, so that “normal” patterns of movement are difficult for terrorists to identify. Family members of employees also receive training in security. Children are told to avoid wearing sweatshirts with U.S. logos and to be discreet when meeting friends. In a number of countries schools for children of U.S. expatriates have instituted tight security measures, including sign-in procedures for visitors, guards for the grounds, and improved security fences and surveillance equipment.⁴⁷

Firms themselves are taking other actions. For example, one U.S. firm removed its large signs from facilities in a Latin American country. Removal of signs identifying offices and facilities reduces the visibility of the firm and thus reduces its potential as a target for terrorist acts. Many international firms screen entry by all employees, and many use metal detectors to scan all packages, briefcases, and other items. Physical barriers, such as iron security fences, concrete barricades, bulletproof glass, and electronic surveillance devices, are common in offices.

Global Labor-Management Relations

The strength and nature of unions different from country to country. In some countries, unions either do not exist at all or are relatively weak. Such is the case in China and a number of African countries. In other countries, unions are extremely strong and are closely tied to political parties.⁴⁸ This is the case in

HR PERSPECTIVE

Research on Expatriate Withdrawal from International Assignments

Margaret Shaffer and David Harrison conducted research using a sample of over 600 expatriates living in 45 countries to determine reasons behind their decisions to quit their international assignments. Using their research, as reported in *Personnel Psychology*, the authors of the study built a model to predict turnover among expatriates.

The picture that emerged from the research was consistent with what turnover research in the United States has found: Work-related factors of *job satisfaction* and *organiza-*

tional commitment were significant predictors of expatriate withdrawal. The researchers also found that factors including non-work satisfaction and several family variables—spouse adjustment, spouse satisfaction, and living conditions—were important.

The researchers concluded that international Human Resources management efforts must address *non-work factors*, including those associated with the foreign environment and with the expatriate's family, in order to reduce turnover of

expatriates. They also concluded that family issues have a strong impact on satisfaction and adjustment throughout the entire duration of the overseas assignment, and expatriate retention can be improved by initiating HR management strategies that focus on them. Additionally, researchers identified listing of family-related practices that international employers should consider using.⁴⁹

some European countries. In still other countries, such as the United States and Great Britain, unions have declined in influence and membership during the last decade.

Some countries require that firms have union or worker representatives on their boards of directors. This practice is very common in European countries, where it is called **co-determination**. But signs of change in Europe are beginning to emerge.⁵⁰ Predictions are that in the next decade unions will have less power in Europe as competition worldwide forces change.⁵¹ However, union militancy is increasing in some lesser-developed countries, such as Brazil, Mexico, Poland, and Romania.

Differences from country to country in how collective bargaining occurs also are quite noticeable. In the United States, local unions bargain with individual employers to set wages and working conditions. In Australia, unions argue their cases before arbitration tribunals. In Scandinavia, national agreements with associations of employers are the norm. In France and Germany, industry-wide or region-wide agreements are common. In Japan, local unions do the bargaining but combine at some point to determine national wage patterns. In spite of these differences, unions appear to have somewhat similar effects internationally in most situations regarding employment and provision of benefits.

Maintaining the Expatriate Employee

Problems associated with expatriate assignments have been noted throughout the chapter. Some interesting research on expatriates' psychological withdrawal from international assignments is reflected in the HR Perspective. Those problems are well-documented but not always dealt with very well by employers who need to send employees overseas. Yet, international strategies are threatened with

Co-determination

A practice whereby union or worker representatives are given positions on a company's board of directors.

ineffectiveness when those who are offered such international assignments refuse them or take them unwillingly.

Whether the problem is with the family, salaries, loss of visibility in the company, living conditions, danger, or whatever, the loss of good employees with international experience is a big issue for some organizations. For example, one executive noted that after spending three years of hard work overseas—generating millions of dollars in profit for the company—when it was time to come home, suddenly his supervisors were saying, “Where will we send him?” “What will he do?” “What will we pay him?” “Why won’t he stay overseas?” Another notes that when his three years were over and he needed to come back to the United States because of his children’s ages, his superiors quickly turned the discussion toward another three years abroad. In the end he became discouraged and gave up 18 years with the company to move to another firm in the United States.⁵²

Behind the hype and the horror stories, there is one valid generalization about foreign assignments: They can pay professional and personal dividends, but they carry some real risks.⁵³ The organizations that help their expatriates deal with the risks—and choose the right people for those very challenging assignments—ultimately share in the benefits with their successful employees.

Summary

- International HR activities must be adapted to reflect what is appropriate in different countries.
- Global HR management is most influenced by legal, political, economic, and cultural factors.
- Culture is composed of the societal forces affecting the values, beliefs, and actions of a distinct group of people.
- One scheme for classifying national cultures considers power distance, individualism, masculinity/femininity, uncertainty avoidance, and long-term orientation.
- Organizations doing business internationally may evolve from organizations engaged in importing and exporting activities, to multinational enterprises, to global organizations.
- Staffing international jobs can be costly, and selection criteria must include a wide range of skills, abilities, and family factors in addition to the required business knowledge and experience.
- Training and development activities for international employees focus on pre-departure orientation and training, continued employee development, and readjustment training for repatriates.
- Compensation practices for international employees are much more complex than those for domestic employees, because many more factors must be considered.
- Global organizations must be concerned about the health, safety, and security of their employees.
- Labor-management relations vary from country to country.

Review and Discussion Questions

1. Discuss the following statement: “Shifts in the types of jobs and the industries in which jobs are gained or lost reflect global competition and other economic shifts that are occurring in the United States.”
2. Select a country and identify how you believe it would stand on Hofstede’s five dimensions of culture.
3. What are some advantages and disadvantages associated with using expatriate managers instead of host-country nationals?

4. Assume you have been asked to consider a job in a foreign country with a U.S.-based corporation. Develop a list of questions and issues that the corporation should address with you before you make your decision.
5. Assuming you accepted a foreign job, what should the content of the pre-departure training be for you and your family?
6. Discuss the following statement: Global compensation packages should keep expatriates even with what they would receive at home, but not allow them to get rich.
7. Suppose an expatriate employee is to work in Bulgaria for two years. What health, safety, and security issues should be addressed?

Terms to Know

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Using the Internet



Training Your Workforce for Global Business Negotiations

With the globalization of the marketplace, your company has decided to explore some international business opportunities. They have informed you, the HR manager, that they are sending a team to Colombia to negotiate a business agreement. It is your responsibility to train the team on some of the customs and

negotiating tactics that are acceptable in Colombia. Use the website <http://www.getcustoms.com> to obtain the information. Access the passport database, choose Colombia, and go to Colombia's business practices. Then identify five negotiating tactics to share with the team.

CASE

McDonald's Global HR

One of the best-known companies worldwide is McDonald's Corporation. The fast-food chain, with its symbol of the golden arches, has spread from the United States into 91 countries. With over 18,000 restaurants worldwide, McDonald's serves 33 million people each day. International sales are an important part of McDonald's business, and over 50% of the company's operating income results from sales outside the United States. To generate these sales, McDonald's employs over one million people, and by

2000, McDonald's had grown to over two million employees.

Operating in so many different countries means that McDonald's has had to adapt its products, services, and HR practices to legal, political, economic, and cultural factors in each one of those countries. A few examples illustrate how adaptations have been made. In some countries, such as India, beef is not acceptable as a food to a major part of the population, so McDonald's uses lamb or mutton. To appeal to

Japanese customers, McDonald's has developed teriyaki burgers. Separate dining rooms for men and women have been constructed in McDonald's restaurants in some Middle Eastern countries.

HR practices also have had to be adapted. Before beginning operations in a different country, HR professionals at McDonald's research the country and determine how HR activities must be adjusted. One method of obtaining information is to contact HR professionals from other U.S. firms operating in the country and ask them questions about laws, political factors, and cultural issues. In addition, the firm conducts an analysis using a detailed outline to ensure that all relevant information has been gathered. Data gathered might include what employment restrictions exist on ages of employees and hours of work, what benefits must be offered to full-time and part-time employees (if part-time work is allowed), and other operational requirements. For instance, in some of the former communist countries in Eastern Europe, employers provide locker rooms and showers for their employees. These facilities are necessary because shower facilities, and even consistent water supplies, are unavailable in many homes, particularly in more rural areas around major cities. Also, public transportation must be evaluated to ensure that employees have adequate means to travel to work.

Once a decision has been made to begin operations in a new country, the employment process must begin. Often, McDonald's is seen as a desirable employer, particularly when its first restaurant is being opened in a country. For instance, in Russia, 27,000 people initially applied to work at the first Moscow McDonald's, which currently has over 1,500 employees. Because customer service is so important to McDonald's, recruiting and selection activities focus on obtaining employees with customer service skills. For worker positions such as counter representative

and cashier, the focus is to identify individuals who will be friendly, customer-service-oriented employees. A "trial" process whereby some applicants work for a few days on a conditional basis may be used to ensure that these individuals will represent McDonald's appropriately and will work well with other employees.

For store managers, the company uses a selection profile emphasizing leadership skills, high work expectations, and management abilities appropriate to a fast-paced restaurant environment. Once applicant screening and interviews have been completed, individuals are asked to work for up to a week in a restaurant. During that time, both the applicants and the company representatives evaluate one another to see if the job "fit" is appropriate. After the first group of store managers and assistant managers are selected, future managers and assistant managers are chosen using internal promotions based on job performance.

Once the restaurants are staffed, training becomes crucial to acquaint new employees with their jobs and the McDonald's philosophy of customer service and quality. McDonald's has taken its Hamburger University curriculum from the United States and translated it into 22 different languages to use in training centers throughout the world. Once training has been done for trainers and managers, they then conduct training for all employees selected to work at McDonald's locations in the foreign countries.⁵⁴

Questions

1. Identify cultural factors that might be important in a training program for food handlers at McDonald's in Saudi Arabia.
2. Rather than focusing on the differences, what similarities do you expect exist among McDonald's customers and employees in both the United States and abroad?

Notes

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Human Resources Policies and Procedures

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Abstract

Within various types of organizations, the employees as well as the employers need to carry out their job duties in accordance to policies and procedures. In leading to well-being and progression and enhance the reputation of the organization, it is necessary to formulate human resources policies and procedures. When the human resources abide by the policies and procedures, they are not only able to implement their job duties appropriately, but also would promote discipline within the working environment. The policies and procedures need to be concerned in terms of various areas such as, technical, clerical, management, administration and so forth. When the employees get recruited within the organizations, they are required to go through training and development programs. In these programs, they are imparted with knowledge in terms of human resources policies and procedures. When the human resources follow the policies and procedures, they are able to benefit to a major extent. The main areas that have been taken into account in this research paper are, meaning and significance of human resources policies and procedures, types of human resources policies, and areas in which human resources policies and procedures are implemented.

Keywords: Activities, Employees, Goals, Human Resources, Objectives, Organizations, Policies, Procedures, Tasks

Human resources (HR) policies and procedures are regarded as formal commitments that are focused upon the ways, in which employers treat the employees. Within the organization, it is apparent that members cannot carry out tasks and activities in isolation. In order to carry out various tasks and functions, they need to organize meetings, exchange ideas and suggestions, share viewpoints and work in co-ordination with each other. Collaboration and integration among the members are regarded to be of utmost significance in promoting a healthy and safe working environment. It is apparent that members need to form good terms and relationships with each other. The primary objective of HR policies and procedures is to create a working environment, which makes provision of support and assistance to the employees to build up self-esteem and self-confidence. They are able to implement

behavioural traits, which enable them to carry out their job duties in accordance to the expectations of the employers.

HR policies and procedures are subjected to changes. They do not remain the same throughout. With advancements taking place and with the advent of modernization and globalization, changes take place in HR policies and procedures. For instance, when changes take place in the production methods, traditional methods get replaced by technical methods and machines, then it is apparent that changes will take place in HR policies and procedures as well. The HR policies and procedures aim at promoting an environment, in which the individuals feel appreciated and empowered. Furthermore, it is vital to take into consideration various factors that would promote implementation of job duties and achievement of organizational goals satisfactorily. These include, management of resources, initiating training and development programs, providing infrastructure, amenities, facilities, machines, tools and technologies, encouraging effective communication processes, promoting employee health and safety and creating an amiable and pleasant working environmental conditions. Therefore, it can be stated that it is necessary to formulate policies and procedures which would contribute efficiently in the implementation of these factors.

Meaning and Significance of Human Resources Policies and Procedures

The human resources policies and procedures are regarded as the backbone of any organization. These documents consists of all the details regarding the treatment, which needs to be given to the employees in the organization and make provision of assistance to the employees in acquiring an efficient understanding of the organizational culture. The HR policies and procedures manual is compiled first and thereafter an employee handbook is prepared in conjunction with the prevailing policies and procedures as laid down in the earlier document. Such documents make provision of clear description in terms of the benefits and incentives that need to be given to the employees. Within the organization, it is necessary to ensure employees implement their job duties in accordance to rules and policies and proper standards need to be recognised within the working environment. In the case of occurrence of issues, either on the part of the employers or employees, the HR manual is regarded as one of the important sources to provide resolutions (HR Policies and Procedures Manual, 2019).

The human resources, employed in various positions, such as, managers, administrators, supervisors and so forth consult these documents from time to time, before

formulating procedures and orders. Through these documents, they are able to acquire the details necessary in the effective implementation of organizational policies and procedures to be followed. Furthermore, these documents can also acquaint the employees in terms of the ways in which organizational policies and procedures lead to progression and well-being. The employees may also generate information in terms of ways such as, leaves sanction, different allowances, insurance plans, anti-harassment rules, anti-drugs rules and so forth. The handbook of the employees contain the information, pertaining to employment procedures of the employees. The significance of HR policies and procedures is primarily recognized in making provision of essential information to the employees, so they are able to put into operation their job duties in an appropriate manner. In addition, they are able to generate information in terms of departments, personnel, organizational goals and so forth (HR Policies and Procedures Manual, 2019).

Organizations can hire an HR Consulting Firms for the preparation of both or either of the HR policies and procedures manual and the employee handbook. An HR consultant can provide assistance to the organization in preparation of new HR policies and procedures manual and employee handbook for the organization. He can revise certain aspects of the documents or completely revise the HR policies and procedures manual and employee handbook. It is necessary to check the documents for the rules that have been changing within the course of time. Audit the existing HR policies and procedures manual and or employee handbook to make sure that the details provided are relevant to the organization. The job duties of the HR consultant can include just one covering document or both, these are the HR policies and procedures manual and employee handbook. Also as per the requirement of the administration, the consultant may be asked to either work upon the entire document or just a few policies (HR Policies and Procedures Manual, 2019).

When compiling the HR policies and procedures manual, an HR consultant needs to be trained, taking into account various factors. These include, organizational culture, legal rules and regulations and market trends. On the other hand, when the individuals are preparing employee handbooks, they need to take into consideration various aspects. These include, HR policies and procedures manual of the organization, present rules and regulations related to employees within the organization, legal compliances and industry norms (HR Policies and Procedures Manual, 2019). Within the organizations, this is comprehensively understood that in order to carry out one's job duties in an appropriate manner, it is vital for the individuals to follow the norms, principles and standards. When they adequately follow

the norms, principles and standards, they are able to carry out their job duties in a well-organized manner. When the members are working towards formulation of policies and procedures, they need to ensure they are in accordance to the organizational structure and organizational objectives. This aspect needs to be clearly understood by the members.

The HR policies and procedures make provision of help and assistance to the organization in achieving its goals and objectives. It is of utmost significance for the organization to determine the ways that may help the individuals in reaching its goals and objectives. Organizations need to formulate an HRM strategy as well as the business drivers, which may make the strategy indispensable for their success. It is a fact that to thrive and prosper in the challenging business environment, organizations need to generate awareness in terms of utilization of modern and innovative methods. As with advancements taking place, when there will be introduction of modern and innovative methods in the implementation of job duties, then there will be changes taking place in the HR policies and procedures. It is vital for the employees to be well-equipped with the usage of these methods and procedures. Therefore, it can be stated that with the introduction of modern and innovative methods, HRM turns into a valuable tool for the management to lead to progression and goodwill (HR Policies and Procedures Manual, 2019).

The practice of HRM needs to be integrated with the overall strategy to ensure the effectiveness of the human resources in the implementation of tasks and activities. Within the organization, there are number of departments, i.e. financial, marketing, human resources, clerical, technical, and so forth. In various departments, human resources are recruited in accordance to their educational qualifications, competencies and aptitude. They undergo training and development programs, at the time of recruitment as well as within the course of their employment to generate information in terms of modern, technical and pioneering methods. Furthermore, the HR policies and procedures need to be modified, particularly when changes are taking place in the methods and procedures. There are introduction of novice approaches, which may enable the individuals to carry out their job duties in a well-ordered manner and achieve organizational goals. Therefore, it can be stated that HR policies and procedures make provision of assistance and support to the employees, which may enable them to generate information and carry out their job duties in a well-organized and satisfactory manner.

Types of Human Resources Policies

Some of the laws require the employers to communicate workplace information to the employees in a written form. In the absence of specific requirement, the employers need to implement policies that would communicate to the employees, benefits and expectations. The employees need to be well-aware in terms of policies and abide by them in an appropriate manner. The various types of human resources policies have been stated as follows: (15 Must-Have HR Policies and Forms, 2015).

At-will Employment – This statement reiterates that either the employer or the employee have the right to terminate the employment relationship at any time. Furthermore, the reasons for termination can also be numerous, but it needs to be ensured that reasons are lawful and valid. In other words, when the employers and employees are bringing an end to the employment relationship, when employees are quitting their jobs or when employers are terminating the employees, in accordance to the policy the reason should be genuine and lawful. Therefore, it can be stated that at-will employment is an important HR policy, applicable in various types of organizations.

Anti-harassment and Non-Discrimination – These are the policies that prohibit harassment and discrimination within the working environmental conditions. Within the organization, there are individuals, who are different from each other on the basis of number of factors. These include, caste, creed, race, religion, gender, age, ethnicity, educational qualifications, competencies and socio-economic background. It is necessary to make provision of equal rights and opportunities to all individuals and there should not be any form of discrimination on the basis of any of these factors. In order to lead to enrichment of the organizational structure, it is essential to abide by the policies of anti-harassment and non-discrimination.

Employment Classifications – The employment classifications are defined as jobs, which are full-time and part-time. In various types of organizations as well as educational institutions, the individuals seek employment opportunities on full-time as well as part-time basis. When the individuals form the viewpoint that they are engaged in other tasks for which they need to take out time or have other responsibilities, they are engaged in their jobs on part-time basis. Normally, individuals are engaged in jobs on full-time basis to enhance their career prospects and to sustain their living conditions in an appropriate manner. Employment classifications determine the eligibility for pay and benefits.

Leave and Time off Benefits - When employees are overwhelmed by various issues and problems and are required to take leave, it is necessary to grant them leave in accordance to the policies and procedures. On the other hand, when they need time off, such as, when they are required to leave the workplace within the course of working hours, then too it has to take place in accordance to policies. These policies address the rules and procedures of the organization in terms of holidays, vacations, sick leaves, bereavement leaves, leaves due to personal problems, family issues and other time off benefits. Furthermore, it is necessary to check the state and local law to ensure all the leave requirements are included in employee handbook.

Meals and Breaks – The meal timings and breaks within the organizations also takes place in accordance to laws and policies. When the employees are going for lunch, in some cases, they are allowed one hour and in some half an hour. Normally, employees are allowed to take a ten minute break, after they have worked for three to four hours. The employees need to be communicated in terms of these policies at the time of recruitment. On the other hand, when employees fail to follow these policies, they are given warning by their supervisors. Rest periods, and meal periods are provided in accordance to the federal, state and local laws.

Timekeeping and Pay – A timekeeping policy makes provision of information to the employees in terms of the methods for recording of the time worked and the significance of recording their time in an accurate manner. A policy on paydays lets the employees generate information in terms of the frequency of paydays, methods available for receiving pay and any special procedure, particularly when the pay day falls on a holiday or when the employees are absent from work. The policies in terms of timekeeping and pay enable the employees to generate contentment, as they are made aware in terms of pay procedures.

Safety and Health – Safety and health of the employees are regarded to be of utmost significance. It is indispensable for the employees to maintain good health in order to carry out their job duties in an appropriate manner. Safety policies are related to the safety procedures. When employees are engaged in hazardous jobs, it is essential for them to generate awareness in terms of safety and health procedures that are necessary to generate the desired outcomes. On the other hand, policies related to maintenance of good health conditions among the employees are primarily concerned with methods that are necessary to prevent accidents, injuries and various types of health problems. It is essential for the

employees to take precautions, especially when they are engaged in hazardous occupations and are required to work with chemicals and machines.

Employee Conduct, Attendance and Punctuality – Policies related to employee conduct enable them to maintain good terms and relationships with each other, communicate effectively and inculcate the traits of morality and ethics. Whereas, policies related to attendance and punctuality make provision of information to the employees that they need to maintain their attendance and depict punctuality. The employees need to be scheduled to work in their required work timings. Within the course of performance of their job duties, they need to be aware of measures and approaches that are necessary to achieve personal and organizational goals and incur the feeling of job satisfaction.

Hiring Forms – There are a variety of forms that would make provision of help and assistance that can render a significant contribution in identifying well-qualified and competent candidates during the pre-hiring process. These hiring forms include, job application and candidate evaluation form. When recruitment and selection of candidates takes place, it is vital to make sure they possess the essential skills and abilities. Therefore, the hiring forms enable the hiring authorities to determine, whether the employees are well-qualified for the implementation of job duties or not. Therefore, it is necessary to formulate policies to lead to recruitment and selection of employees in an effectual manner.

Use of Technologies and Materials – In order to perform job duties in an appropriate manner, it is apparent that employees need to make use of technologies and materials. There are formulation of certain policies as well in terms of usage of technologies and materials. For instance, excessive printing should be avoided. On the other hand, when the employees are making use of materials in the production of goods, then also they need to make sure that raw materials need to be used in accordance to the job requirements. Wastage should be avoided. The employees need to be well-aware and competent regarding use of technologies and materials in the implementation of job duties.

Handbook Acknowledgements – When an employee signs the form, he or she acknowledges that they are responsible for reading and complying with all the organizational policies. The employers are required to obtain the signed acknowledgements, when one first issues the handbook. When the new employees are hired, then too changes are required to be made to the handbook, as information is put regarding them. When the employees get recruited within the organization and throughout their tenure, there are records maintained.

The employers need to obtain demographic information in terms of the employees and maintain records. When the employees are no longer part of the organization, the information regarding them is no longer available.

Performance and Discipline – Policies regarding performance and discipline are regarded to be of utmost significance. These policies make provision of information to the employees regarding how they need to conduct themselves within the organization. This include various aspects such as, implementation of job duties, communicating and dealing with the other members of the organization, generating awareness in terms of programs and procedures, managing resources, making use of technologies and resources and contributing in the formation of amiable environmental conditions. The members of the organization need to be disciplined. When they have experienced a conflicting situation or disagreement, then also they are required to implement peaceful conflict resolution methods. Therefore, it can be stated that following of policies related to performance and discipline would enable the employees to perform their jobs well and incur the feelings of job satisfaction.

Management of Resources – Management of resources is regarded as one of the important areas. The members of the organization need to pay adequate attention towards management of resources on a continuous basis. There are three important resources within the organization, financial, human resources and technical. There are formulation of policies in terms of management of these resources. On the other hand, when changes takes place in terms of these resources, it is apparent that changes will take place in the policies as well. Therefore, it can be stated that members need to follow the policies in terms of adequate management of resources, prevent their wastage and use them in an efficient manner.

Conflict Resolution Methods – Conflict resolution methods need to be put into operation in a peaceful manner. In some cases, there are occurrence of conflicting situations and disagreements among the members of the organization. In such cases, there are formulation of policies that they need to be implemented in a peaceful manner. Peaceful settlement of conflicting situations and disagreements enable the individuals to form good terms and relationships with each other, carry out their job duties in an efficient manner and incur the feeling of job satisfaction. When there are occurrence of conflicting situations and disagreements, it is vital to implement effective communication skills and listen to each other in a calm manner. Therefore, it can be stated that conflict resolution methods are effective in the maintenance of good terms and relationships with each other and work in co-ordination.

Organizational Expenses – In leading to effective functioning of the organization, there are expenses involved. In other words, financial resources are regarded to be of utmost significance in promoting operative functioning of organization, its departments and human resources. There are organizations, which possess sufficient financial resources, and there are organizations, which possess limited financial resources. When financial resources are sufficient, the organizations do not experience any problems in the implementation of tasks and activities, bringing about changes, initiating modern and innovative methods, introducing new technologies, promoting an increase in salaries and reimbursements and so forth. On the other hand, when the organizations possess limited financial resources, they need to conduct adequate planning. Therefore, it can be stated that it is necessary to formulate appropriate policies in terms of management of financial resources and utilizing them in an efficient manner in order to lead to progression and well-being of human resources and organization.

Areas in which Human Resources Policies and Procedures are implemented

Within different types of organizations, there are number of areas in which HR policies and procedures are implemented. Some of these have been stated as follows:

Recruitment and Selection – When job vacancies takes place within the organizations, then the employers and hiring authorities need to implement the policies and procedures for recruitment and selection of individuals. When these aspects are to be implemented, the employers and hiring authorities need to take into consideration various factors. These include, educational qualifications, skills, abilities, demographic factors and so forth. It is unlawful to discriminate against the individuals on the basis of factors, such as, caste, creed, race, ethnicity, religion, gender and socio-economic background. On the other hand, recruiting individuals on the basis of educational qualifications and competencies is appropriate. Therefore, it is essential to follow proper procedures and policies, particularly when recruitment and selection of individuals takes place (Avishikta, n.d.).

Employment – Within various types of organizations, there are number of policies that are related to employment of individuals. These include, minimum hiring qualifications and experience, sources which would facilitate recruitment and selection, reservation for different groups, maintenance of effective terms and relationships among the members of the organization, reliance on various selection devices such as, tests, reference checks and

interviews, placement of new employees and orientation of new employees (Avishikta, n.d.). The primary objective of employment policies is to generate awareness and augment understanding among the employees in terms of various aspects of the organization. Furthermore, the employees need to maintain appropriate terms and relationships with others and work in harmony. Therefore, it can be stated that employment policies need to render a significant contribution towards the attainment of desired goals and objectives.

Training and Development – When the employees get recruited within the organization, they are required to undergo training and development programs. These programs are attended by the employees not only at the time of recruitment, but also within the course of implementation of job duties. The employees are able to generate sufficient awareness in terms of organization as well as in the implementation of job duties. To make available the facilities for promoting efficient training and development of the employees, it is necessary to make use of appropriate teaching-learning methods, teaching-learning materials and instructional strategies. Furthermore, the trainers need to be well-qualified, competent and put into practice instructional strategies in an appropriate manner. Therefore, it can be stated, when the initiation of training and development programs takes place, they have to be in accordance to policies and procedures.

Labour Welfare – In order to bring about improvements in industrial relations, it is necessary to bring about changes in policies and procedures. The main objective of labour welfare policy is to put into operation the areas, which would facilitate up-gradation of employees. In the case of occurrence of problems and challenges, it is necessary to make use of suitable methods. Labour welfare policies are regarded as effectual in the encouragement of mutual negotiations, preparation and execution of labour welfare programs and to make arrangements for all the possible facilities for health, education and other welfare programs. In other words, the labour welfare policy focuses upon up-gradation of health conditions and education among employees. Furthermore, the employees need to be enabled to perform their job duties and responsibilities in an effectual manner, leading to achievement of personal as well as organizational goals.

Transfer and Promotion – Transfer and promotion of members are an integral parts of organization. It is apparent that all employees aspire to attain promotional opportunities, but it is not necessary that they would require transfer. In order to put into operation, transfer and promotion in an appropriate manner, it is necessary to formulate policies and procedures.

These need to take into account the factors such as, purpose of transfer, period of transfer, causes of transfer, availability of promotional opportunities, factors that need to be taken into consideration to acquire promotional opportunities and period of service within the organization. In order to acquire promotional opportunities, there are certain aspects that need to be taken into consideration. These include, providing service to the organization for certain period of time, possessing sufficient knowledge and competencies, implementing appropriate behavioural traits, inculcating the traits of morality and ethics and maintaining good terms and relationships with others. These factors are important on the part of employees, but on the part of the employers as well, it is necessary to implement policies related to transfer and promotion in an efficient manner.

Worker's Compensation – Worker's compensation is a publicly sponsored system that pays monetary benefits to the workers, who suffer from accidents and injuries within the course of their jobs. Worker's compensation is the type of insurance that makes provision of compensation for the injuries or disabilities sustained within the course of their employment. By agreeing to receive worker's compensation, the workers in some cases are also provided with the right to sue their employers for their negligence (Kagan, 2019). When the members of the organization are formulating worker's compensation policies, they need to ensure that compensation has to be in accordance to the injuries or accidents that the workers have undergone. When the accidents are minor and injuries are less, the compensation is also less. Whereas, in the case of major accidents and injuries, the compensation is more. Worker's compensation policies are helpful to the employees in recuperating and reimburse for the losses they have suffered.

Integration and Human Relations – Within the organizations, individuals cannot carry out their tasks and activities in isolation. Therefore, it is necessary for them to work in integration and form good terms and relationships with each other. Integration and human relations with the organizations are referred to as the processes of bringing about improvements in motivation by encouraging proper working environmental conditions, training programs, timely payment of wages and so forth. Human relations are referred to an integrated approach derived from various disciplines such as psychology, sociology, economics and management. Promoting integration and human relations among the members of the organization is considered important in augmenting their knowledge and competencies, so they are able to carry out their job duties in accordance to the expectations of their employers and incur job satisfaction. Therefore, it can be stated, both employers and

employees need to pay attention towards reinforcement of integration and human relations policies.

Work Management – Work management policies are the policies that are related to job duties, responsibilities and well-being of the employees. The work management policies are referred to as the set of guidelines that structure the plan of the organization for dealing with an issue. Work management policies are the sources of communication between the employers and the employees (Policies and Procedures in the Workplace, 2019). The employers are required to make provision of appropriate information to the workforce in terms of implementation of job duties. It is the primary job duty of the supervisors to lead the workforce in the right direction. On the other hand, it is vital on the part of the employees to stimulate their mind-sets towards work and acquire an efficient understanding of work management policies. Therefore, it can be stated that work management policies are regarded to be indispensable in the implementation of job duties satisfactorily as well as in achieving the desired goals and objectives.

Performance Appraisal – Performance appraisal is referred to as the systematic process in which the job performance of the employees is evaluated. The job performance is primarily evaluated in terms of research projects or presentations on which they have worked. In addition, the performance of the employees is also evaluated in terms of contributions to the organization. It is also known as the annual review or performance review. The primary objective of performance appraisal is to identify the employees worth and contribution to the organization. The important factors include, rate of absenteeism, amount of work, efficiency, resourcefulness, conscientiousness and so forth. The performance appraisal policies make provision of assistance to the managers in placing the right employees for the right jobs, depending on their skills and aptitude (Performance Appraisal, n.d.). Furthermore, these policies also help in identifying the limitations and bringing about improvements. Therefore, it can be stated that employers and managers need to generate awareness and put into operation the performance appraisal policies to generate the desired outcomes and promote well-being of employees and organization as a whole.

Administration – Administrative functions are indispensable in various types of organizations. These functions make provision of information and direct the individuals in an appropriate manner that would enable them to carry out administrative functions satisfactorily. The administrative management theory makes an attempt to find a way to

design an organization on the whole. This theory calls for an organised management structure, a clear division of labour and delegation of power and authority to the individuals, pertinent to their areas of job duties and responsibilities (What is Administrative Management Theory? 2019). Research has indicated that within organizations, the directors or heads are vested with the power and authority to carry out the managerial and administrative functions in a satisfactory manner. In order to put into operation, the administrative policies in an appropriate manner, it is vital for the individuals to generate awareness in terms of numerous areas. These include, organizational goals and objectives, methods and procedures, infrastructure, technologies and equipment, financial resources, and the overall working environmental conditions. Furthermore, it is necessary to augment one's understanding in terms of advancements taking place and modern, scientific and innovative methods. Therefore, it can be stated that generating information in terms of these factors will lead to implementation of administrative policies in an efficient manner.

Conclusion

HR policies and procedures are regarded as formal commitments that are focused upon the ways in which employers deal with the employees. Within the organizational structure, the members are assigned various job duties in accordance to their educational qualifications, competencies and aptitude. It is apparent that they need to generate adequate information in terms of implementation of job duties satisfactorily. Apart from this, it is vital for them to acquire information in terms of HR policies and procedures as well. Through these HR policies and procedures, the members of the organization obtain proper guidance and direction. Within the course of time, changes take place in HR policies and procedures. The various types of human resources policies are, at-will employment, anti-harassment and non-discrimination, employment classifications, leave and time off benefits, meals and breaks, timekeeping and pay, safety and health, employee conduct, attendance and punctuality, hiring forms, use of technologies and materials, handbook acknowledgements, performance and discipline, management of resources, conflict resolution methods and organizational expenses.

The areas in which HR policies and procedures are implemented within the organization are, recruitment and selection, employment, training and development, labour welfare, transfer and promotion, worker's compensation, integration and human relations, work management, performance appraisal, and administration. Bringing about effective

growth and development of the organization, satisfying customer demands, enhancing its reputation within the marketplace are some of the objectives of the organization. All the members of the organization are required to dedicate themselves wholeheartedly towards the achievement of desired goals and objectives. Therefore, in order to carry out their tasks and activities in a satisfactory manner, it is necessary to upgrade their knowledge in terms of modern and innovative methods as well as HR policies and procedures. The members of the organization need to work in collaboration with each other in order to augment their understanding and modifying HR policies and procedures. Finally, it can be stated that they need to be beneficial to the members and organization as a whole.

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Human Resources Policies and Procedures Manual

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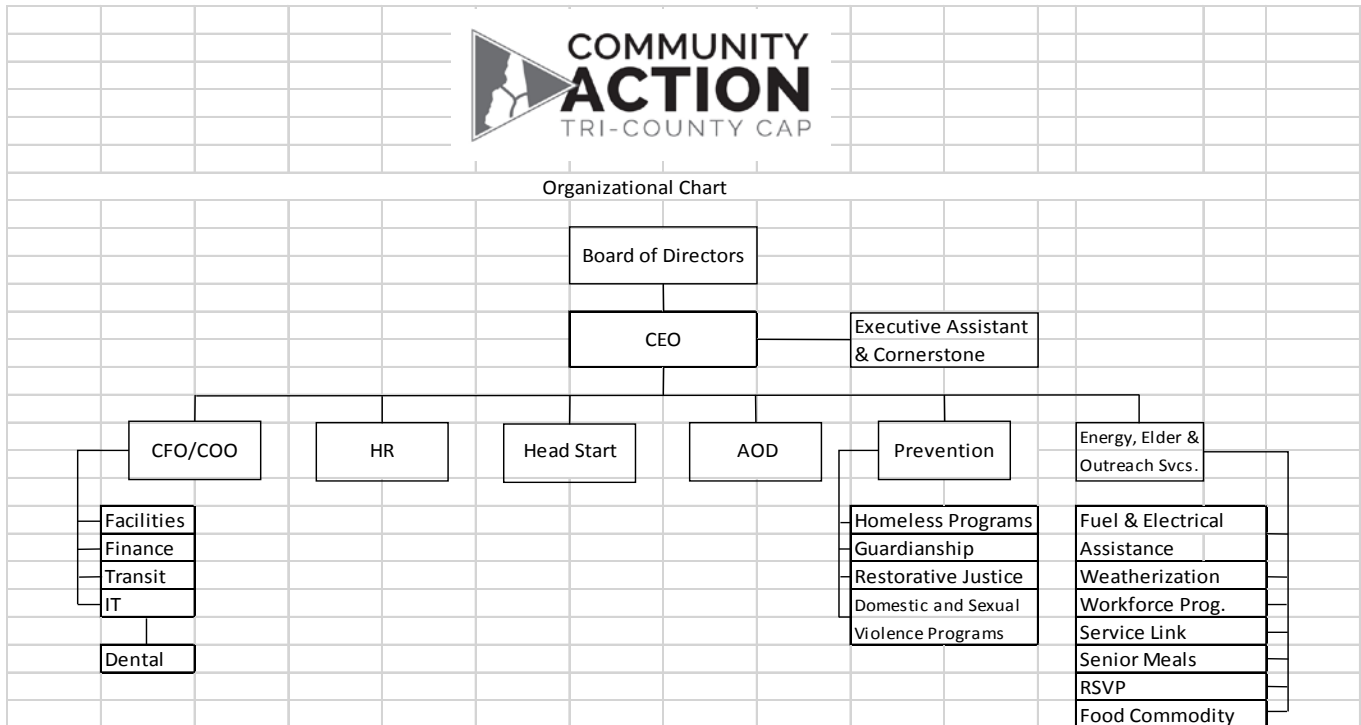
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SECTION 1

INTRODUCTORY

Tri-County Community Action Programs Inc. Organizational Chart

This organization chart defines the reporting relationships within Tri-County Community Action Program, Inc.



POLICY AND PROCEDURE MANUAL

*Latest Update: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program (the “Organization”) Human Resources Policy and Procedure Manual (“Manual”) provides management with an approach to administering personnel, payroll and human resource department policies and procedures.

PROCEDURE

1. The Manual will be distributed to Board of Directors, Policy Council, Administrators and Division Directors and new employees. The Manual applies to employees and volunteers.
2. In response to updated regulations, laws, personnel, payroll and human resources best practices, the Manual is subject to change at any time with Board of Directors and Policy Council approval. Updates will be brought to the immediate attention of the appropriate groups of employees and/or volunteers.
3. This Manual is available to employees and an up to date copy will be kept at each program’s administrative location. An electronic copy will also be available on the company website at <http://tccap.org/hr-manual.pdf>.

SECTION 2

EMPLOYMENT POLICIES AND PRACTICES

EMPLOYMENT-AT-WILL

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Employment-at-will impacts employment relationships at Tri-County Community Action Program, Inc. Employees who do not have a written employment agreement for a definite period of time are employed at the will of the Organization for an indefinite period. Employees may resign from the Organization at any time. Employees may be terminated by the Organization at any time, for any reason, and with or without notice.

PROCEDURE

1. No one may modify this policy for any employee or enter any agreement contrary to this policy. No one will make any representation to any employee or applicant concerning any term or condition of employment with the Organization that is not consistent with this policy.
2. No statement contained in this policies and procedures manual, employee handbook, employment application, recruiting material, Organization memorandum, or other material provided to any employee in connection with his or her employment, will be construed as contradicting this policy by creating any express or implied contract of employment.
3. At the time of hiring, each employee will be informed that he or she is employed at the will of the Organization and is subject to termination at any time, for any reason, with or without notice and with or without cause.
4. Completion of an introductory period will not change an employee's status as an employee-at-will or in any way restrict the Organization's right to terminate such an employee.
5. Head Start employees: Involuntary termination of an Head Start employee who is charging 51% or more of time to the /Head Start grant, will require Head Start Policy Council/Committee involvement as provided in the Termination Policy.

EQUAL EMPLOYMENT OPPORTUNITY

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. will provide its employees and applicants Equal Employment Opportunities (EEO) without regard to race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation or any other status protected under Federal and state law as outlined in the Equal Employment Opportunity Commission (EEOC) regulations.

This policy applies to recruiting, hiring, appointment and promotion into all position classifications. The Organization will ensure all personnel will be administered without discrimination.

PROCEDURE

1. The HR Director is responsible for overseeing the administration of the EEO Policy and may act through designee as necessary to carry out this policy. The HR Director will function as the agency's EEO Compliance Officer.
2. The Organization is responsible for ensuring that it does not illegally discriminate, harass or retaliate in any policy, practice or procedure on the basis of any non-merit factor as outlined in the Federal and state laws and regulations.
3. The HR Director will administer the Organization's applicant tracking system and compiling data for required EEOC reports, ensuring the Organization meets all EEOC-related requirements, including confirming appropriate notices are posted on the bulletin boards of the various programs and sites. This information may also be used to ensure that employment related decisions are made in compliance with Federal and state non-discrimination laws and this policy.
4. Tri-County Community Action Program, Inc. is committed, and required by law, to take action if it learns of discrimination, harassment or retaliation in violation of the Organization's EEO Policy, whether or not the aggrieved employee files a complaint.
5. An employee, applicant, or volunteer will be given the option to file a discrimination, harassment or retaliation complaint with the EEO/Compliance Officer. Both parties will be promptly informed at the conclusion of the investigation whether allegations have been found to be founded, unsubstantiated or unfounded.
6. EEO/Compliance Officer is responsible for promptly responding to, reporting, and/or investigating any suspected acts of unlawful discrimination, harassment, and retaliation in violation of Tri-County Community Action Program, Inc. EEO Policy. The EEO/Compliance Officer must immediately report suspected unlawful discrimination, harassment and retaliation to the CEO. If the claim involves the CEO, the EEO/Compliance Officer will report information to the Board Chair.

POLITICAL AFFILIATIONS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc., its management and administration will assure, so far as reasonably possible, that all program activities are conducted in a manner which provides assistance effectively, efficiently and free of any partisan political bias.

A Tri-County Community Action Program, Inc. employee may not:

1. Use his or her official authority or influence for the purpose of interfering with or affecting the result of an election or nomination for office; or
2. Directly or indirectly coerce, attempt to coerce, command, or advise another employee to pay, lend, or contribute anything of value to a political party, committee, organization, agency, or person for a political purpose; or

PROCEDURE

1. Programs will not be carried on in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with:
 - a. Any partisan or nonpartisan political activity or any other political activity associated with a candidate, or contending faction or group, in an election for public or party office; or
 - b. Any voter registration activity.

HARASSMENT

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. is committed to maintaining a work environment that is free from harassment where employees at all levels of the Organization are able to devote their full attention and best efforts to the job. Harassment, of any kind, either intentional or unintentional, will not be allowed in the workplace. Tri-County Community Action Program, Inc. prohibits, and will not tolerate any form of, harassment of or by any employee or individual within the Organization (whether managerial or non-managerial) based on race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation, or any status protected by Federal and state law and regulation.

PROCEDURE

Harassment

1. All persons involved in the Organization are entitled to work in an atmosphere free of harassment of any kind. Individuals may occasionally make statements or use words, objects, or pictures that others could interpret as being insulting, hostile or derogatory towards persons based on their race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation or any other status protected by Federal and state law or regulation.
2. Such conduct may make a reasonable person uncomfortable in the work environment or could interfere with an individual's ability to perform his or her job. Comments or actions of this type, even if intended as a joking matter among friends, are always inappropriate in the workplace and will not be tolerated.

Resolution

1. Employees' first action should be to request the offender to stop the action. If the action does not stop, or speaking with the offender is not reasonable, then the Employee should follow the reporting procedure(s) below:

Reporting Procedures

1. Any individual, regardless of position, who has a complaint of, or who witnesses, harassment at work by anyone has a responsibility to immediately bring the matter to their Division Director's attention. The Division Director will report any incidents to the HR Director who is responsible for immediately investigating the alleged incident. The CEO will be notified of the complaint, and kept apprised of investigation's progress.
2. If the complaint is with the Division Director, the CFO or the HR Director the complaint will go to the CEO. If the complaint is with the CEO the complaint will go to the Board Chair.
3. Tri-County Community Action Program, Inc. will make every reasonable effort to conduct all proceedings in a manner that will protect the confidentiality of all parties. Parties to the complaint should treat the matter under investigation with discretion and respect for the reputation of all parties involved.
4. Once a complaint has been accepted for review, an investigation will begin. The investigation may include, but is not limited to, review of written statements from both parties, witness interviews, obtaining witness declarations, review of documentation, and on-site investigation. Any person conducting an investigation will maintain a written record of all witness interviews, evidence gathered, the outcome of the investigation, and any other appropriate documents. Records of such an investigation will not be maintained in personnel files unless they are part of a formal corrective action.
5. Results of the investigation will be shared with the appropriate people. When there is sufficient evidence to support the complaint, written notification of investigative findings will be sent to the complainant and the respondent.
6. If it is concluded that discrimination, harassment or retaliation has occurred, a determination will be made as to the appropriate sanctions or corrective action.

AFFIRMATIVE ACTION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. recruits and hires a diverse workforce and provides equal opportunities to all candidates to better reflect our job market and better service our clients.

PROCEDURE

1. When recruiting for open positions, it is the responsibility of Division Directors or their designee to advertise and recruit in media and markets that offer equal opportunities.
2. The HR Department reviews hiring records to ensure a diverse workforce is being maintained.
3. The HR Director will be responsible for monitoring and maintaining the affirmative action records.
4. All advertisements will state equal opportunity employer.
5. Advertisements must be approved by the EEO/ Officer

CERTIFICATION AND LICENSE REQUIREMENTS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. requires employees to obtain and maintain all job related licenses and certifications.

PROCEDURE

1. Prior to beginning work, employees whose position requires licenses and/or certifications must show the original for verification to their Division Director. A copy of the license and/or certification will be kept in the personnel file.
2. Where licenses or certifications are required, renewal must be made according to Federal and/or state law. It is the employee's responsibility to ensure the licenses and/or certifications are kept current and copies are submitted to Division Directors.
3. Failure to keep required licenses and/or certifications current may result in suspension/termination.

CHILD ABUSE AND SEXUAL ABUSE POLICY

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. must respond to suspected or known child abuse or sexual abuse whether it occurs inside or outside of the program. Each person within the Organization must report child abuse and neglect in accordance with the provisions of applicable state or local law. Tri-County Community Action Program, Inc. encourages staff and volunteers to take a helpful rather than a punitive attitude toward abusing or neglecting parents and other caretakers, even in the identification and reporting of child abuse and neglect.

PROCEDURES

1. Individuals in the Organization will preserve the confidentiality of all records pertaining to child abuse or neglect in accordance with applicable state law.
2. No one within the Organization will independently undertake, on their own, to treat or respond to cases of child abuse and neglect unless this is part of their job description and normal duties.
3. Each person in the Organization will cooperate fully with child protective service agencies.
4. Tri-County Community Action Program, Inc. will make every effort to retain in the program children allegedly abused or neglected.
5. Division Director is designated with responsibility for:
 - a. Establishing and maintaining cooperative relationships with the agencies providing child protective services in the community, and with any other Organization to which child abuse and neglect must be reported under state law, including regular formal and informal communication with staff at all levels of the agencies;

- b. Informing parents and staff of what state laws require in cases of child abuse and neglect;
- c. Knowing what community medical and social services are available for families with an abuse or neglect problem;
- d. Discussing the report with the family if it appears desirable or necessary to do so;
- e. Informing other staff regarding the process for identifying and reporting child abuse and neglect.

6. Training:

Tri-County Community Action Program, Inc. divisions that deal with young children and families will offer training to their staff, volunteers and parents, as appropriate, and will arrange for training for employees who request it. Head Start will provide this training annually.

PROBLEM RESOLUTION / GRIEVANCE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. provides means for all persons involved in the Organization to bring problems and complaints concerning their employment, other than harassment, to management.

Employees will be given an opportunity to present their complaints and to appeal decisions by management through a formal complaint and grievance procedure. All complaints or incidents will be documented. This policy in no way alters the policy of employment-at-will.

Non-employee volunteers will also be given an opportunity to present their complaints and to appeal decisions by management through a formal complaint and grievance procedure as outlined in the Volunteer Handbook. All complaints or incidents will be documented and placed in a file.

PROCEDURE

1. **Immediate Supervisor:** All grievances should be presented to the immediate Supervisor. The individual and Supervisor should attempt to address the problem through discussion or after consulting with appropriate management, when necessary. The Supervisor will document the discussion. If the problem involves an employee's immediate Supervisor or if the immediate Supervisor cannot resolve the issue, the employee should proceed to the Division Director.
2. **Division Director:** If previous efforts fail to bring a satisfactory resolution, the individual may petition the Division Director. The Division Director counsels and advises the employee, assists in putting the problem in writing, and visits with the employee's Supervisor(s), if necessary. If the problem is not resolved, the employee should proceed to the HR Director.
3. **HR Director:** If previous efforts fail to bring a satisfactory resolution, the individual may petition the HR Director. The HR Director will make every effort to assist in a satisfactory resolution of the grievance. If the problem cannot be resolved at this level, the employee and HR Director should proceed to the CEO for final resolution.
4. **CEO:** The problem must be presented to the CEO in writing. The CEO will review and consider the problem. The CEO will inform the individual of the decision and forward a copy of the written

response to the HR Director for filing. The CEO has full authority to make any adjustment deemed appropriate to resolve the problem.

PERSONS WITH DISABILITIES

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. will not discriminate in employment opportunities or practices, including recruitment, hiring, promotion, training, layoff, termination, compensation, benefits, or other employment related activities. The Organization complies with the Americans with Disabilities Act of 1990 (ADA) and ensures equal employment opportunity for qualified persons with disabilities.

PROCEDURE

1. Employment opportunities will be afforded to persons with disabilities who are qualified to perform the essential functions of the job with or without reasonable accommodation. Tri-County Community Action Program, Inc. will seek reasonable accommodations that do not result in undue hardship on business operations for qualified individuals with disabilities.
2. The HR Director will be responsible for implementation of guidelines and operational procedures related to ensuring Organization compliance with the ADA.
3. Employees who experience a disability may be entitled to leave under the Family Medical Leave Act (FMLA) or an extension of their medical leave as a reasonable accommodation under the ADA. Questions regarding leave rights should be directed to the HR Director.
4. Tri-County Community Action Program, Inc. will comply with Federal law and state law and regulation that provide persons with disabilities greater protection than the ADA.
5. Employees who believe they have a qualifying disability that requires an accommodation should contact the HR Director.

EMPLOYEE CATEGORIES AND DEFINITION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. classifies employees and defines categories and responsibilities of employment according to the Fair Labor Standards Act (FLSA).

PROCEDURE

1. Job descriptions will indicate whether the position is exempt or non-exempt, per Fair Labor Standards Act regulations.
2. Classification must be determined based solely on the FLSA criteria.

The following are the descriptions of each category.

DEFINITIONS:

Employees are classified as exempt or nonexempt from the overtime provisions of the FLSA (29 CFR Part 541) and state Wage and Hour laws. Guidance is available on the US Department of Labor website at <http://www.dol.gov/elaws/esa/flsa/screen75.asp>.

Exempt Employee

Employees in exempt positions are:

- Paid to do the job and must meet the DOL requirements for exemption
- Excluded from specific provisions of Federal and state wage and hour laws
- Not eligible for overtime pay

Non-Exempt Employee

Employees in non-exempt positions are:

- Paid on an hourly or salary basis
- Entitled to overtime pay for hours worked in excess of 40 in a work week

Nothing contained in this policy will impact the policy of employment-at-will.

CATEGORIES:

Regular Full-Time Non-Academic Employee

A regular full-time employee is an employee regularly scheduled to work at least Thirty (30) hours per week, may be exempt or non-exempt, and is not in a temporary status or introductory period. Regular full-time employees are eligible for all standard benefits, subject to the terms, conditions, and limitations of each benefit program.

Regular Part-Time Employee

A regular part-time employee is an employee regularly scheduled to work less than Thirty (30) hours per week, and is not in a temporary status or introductory period. Regular part-time employees are not eligible for all Tri-County Community Action Program, Inc. benefits.

Head Start Employee (Academic Year Employee)

Employees working primarily within the Head Start program (51%) or more of the time are classified as Head Start employees. These employees may work less than 12 months and are subject to additional Head Start and state regulations and requirements. Academic employees are considered full-time when working at least Thirty (30) hours per week.

Introductory Employee

All exempt and non-exempt regular full-time and regular part-time employees are on an introductory period for Ninety (90) days of employment.

Temporary Employee

A temporary employee is hired as an interim replacement to supplement the work force or to assist in a specific project. Temporary staff should only be hired in an emergency. Employment should be limited to 30 days, but may extend to a maximum of 120 (if necessary).

Temporary employees retain that status until notified of a status change. Temporary workers receive all legally required benefits (e.g., Workers' Compensation (WC) and Social Security), but are not eligible for any of Tri-County Community Action Program, Inc.'s benefit programs.

Seasonal Employee

A seasonal employee is hired on a seasonal basis to supplement the work force at a time of year when the workload temporarily increases. Individuals hired on a seasonal basis are not eligible for benefits except those legally required (e.g., Workers' Compensation (WC) and Social Security), and TCCAP designated holidays.

Substitutes

A substitute employee is an individual who is hired either full-time or part-time for a limited period (120 days) under the following conditions:

1. Substitute Teachers and Teacher Assistants can be requested by immediate Supervisor. A request for a substitute will be made to the Head Start Director.
2. When requesting the services of a substitute, the following information must be provided:
 - a. Reason substitute is required;
 - b. Person the substitute is replacing; and
 - c. Functions to be performed.

NON-EMPLOYEE CATEGORIES

Consultant/Independent Contractor

The term "Consultant" or "Independent Contractor" means a person who receives compensation for professional or technical services at a fee agreed upon and paid by the Organization for specified services and is not a Tri-County Community Action Program, Inc. employee. Consultants/Contractors must meet the test for being considered a contractor vs. an employee. Assistance for determining this distinction is available on the IRS website at: <http://www.irs.gov/Businesses/Small-Businesses-&Self-Employed/Independent-Contractor-Self-Employed-or-Employee>. Consultants will be informed that their compensation will be reported to the IRS and IRS Form 1099 will be issued to all consultants who earn six hundred dollars (\$600) or more in a given calendar year.

The Consultant will:

1. Provide professional documents and certification giving evidence of the ability to conduct the services outlined in the contract.
2. Carry the appropriate liability insurance including workers compensation when appropriate and provide evidence of the insurance. Consultants will be provided clear descriptions of the services to be provided and must meet qualifications.
3. Maintain proper documentation of time and attendance. In addition, it is the responsibility of Division Directors to assure that all required reports are completed and submitted in a timely manner.

All contracts for consultants will be forwarded to Division Director for review. Final approval on all contracts and work agreements must be approved by Division Director.

Student Teachers / Internships

Program agreements with educational institutions providing for internships will be subject to the prior approval of Division Director.

Volunteer

The term "volunteer" means an unpaid person who is trained to assist in implementing ongoing program activities on a regular basis under the supervision of a staff person in areas such as health, education, transportation, nutrition, and management. Volunteers are required to follow Tri-County Community Action Program, Inc.'s Policies and Procedures. (See Appendix for additional Volunteer policies).

Board of Directors

The group of community volunteers designated with legal and fiscal responsibility for administering the programs within the organization.

Policy Council

The formal group of parents and community representatives required to be established by the agency to assist in decisions about the planning and operation of the Head Start program.

OUTSIDE EMPLOYMENT

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc.'s policy regarding outside employment is to ensure it does not interfere with performance or ability to meet the job requirements at the Organization. An employee may hold outside employment as long as he or she can satisfactorily meet his or her job responsibilities with Tri-County Community Action Program, Inc.

PROCEDURE

1. When an employee provides consultation or training to organizations on his or her own time, and the service is rendered entirely outside of the employee's working hours, the service is considered secondary employment. In this situation, the use of Tri-County Community Action Program, Inc. office equipment and supplies and the utilization of Tri-County Community Action Program, Inc. personnel in the preparation of such services are prohibited.
2. Employees are prohibited from utilizing other Tri-County Community Action Program, Inc. employees for services not related to Organization business during an employee's regularly scheduled work hours.
3. An employee will not be allowed to work for another employer while on a leave of absence, other than annual leave, or while absent from Organization because of illness.

CONFLICT OF INTEREST

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. conducts business ethically and avoids conflicts of interest including the appearance of such conflicts. All persons involved in the Organization operations have an equal obligation to avoid conflicts of interest, and have a duty of loyalty to the agency.

PROCEDURE

1. Employees are expected to report conflicts of interest to Division Director immediately upon discovery or suspicion of the conflict. The Division Director will make a determination as to whether the conflict is significant and needs to be addressed. Examples of conflicts of interest are listed below (but are not limited only to these items):
 - a. An employee who is employed by or has financial interest in an outside business that competes with the activities of the Organization.
 - b. An employee who is employed by or has financial interest in an outside business that is a purchaser or supplier of goods or services to the Organization.
 - c. An employee who is employed by or has financial interest in an outside business involvement or employment that interferes with the ability to devote necessary attention to the responsibilities at the Organization (moonlighting).
 - d. Purchase inducements (gifts, premiums, money, goods, or services) from vendors that benefit the employee personally (directly or indirectly) or are unauthorized or questionable in nature.
2. Personal gifts and favors from people with whom the Organization has a business relationship are prohibited. Minor gifts of more than nominal value (Twenty-five dollars) should be tactfully declined or returned, to avoid any appearance or suggestion of improper influence.
3. Members of the Board of Directors, Governing Board or Administering Board of any public, private or nonprofit organization funded by Tri-County Community Action Program, Inc., or members of any major policy advisory bodies, are not eligible for employment with the Organization. Former members of these Boards and advisory bodies are eligible for employment following their resignation.
4. Tri-County Community Action Program, Inc. expects employees to conduct business in accordance with relevant policies, procedures, and laws and to refrain from any illegal, dishonest, or unethical conduct.
5. Disregarding or failing to comply with this standard of business ethics and conduct could lead to disciplinary action, up to and including possible termination of employment.

EMPLOYMENT OF RELATIVES / NEPOTISM

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. prohibits employment of relatives in a direct reporting relationship to avoid creating or perpetuating circumstances in which the possibility of favoritism, conflict of interest, or impairment of efficient operations may occur.

Employees are prohibited from using their positions for a purpose that is, or gives the appearance of, being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other relationships.

Further, a person with an immediate family member serving on a Board or Committee, which either by rule or practice, regularly nominates, recommends or screens candidates for positions with Tri-County Community Action Program, Inc. may not be employed.

For purposes of this policy, relatives are defined as "immediate family" meaning wife, husband, son, daughter, mother, father, brother, sister, step relative, or a relative by marriage of comparable degree, significant other, and fiancé.

PROCEDURE

1. Relatives of current employees may not occupy a position that will be working directly for or supervising a relative. Individuals involved in a dating relationship with a current employee may also not occupy a position that will be working directly for or supervising the employee with whom they are involved in a dating relationship.
2. Administrators and managers should exercise caution in hiring decisions to ensure that a new employee is not placed in a direct reporting relationship with a relative, defined by this policy.
3. If, due to promotion, a direct reporting relationship is created between relatives, CEO should work with the employees to resolve the situation. Resolution may include transfer of one family member or a change in reporting relationships. Division Director will be contacted to discuss resolution options.
4. If the relative relationship is established after employment, the CEO should work with employees to resolve the situation. Resolution may include transfer of one family member or a change in reporting relationships. Division Director will contact to report the relationship and discuss resolution options.
5. No employees will be transferred into a position that would result in a reporting relationship to a relative.
6. When a recipient organization cannot adequately staff positions without hiring such an individual, the recipient may deviate from this policy. However, employment records must provide evidence that no other individual within the service area is qualified and available for employment. This must be approved by the Organization's Director and Board of Directors.
7. In other cases where a conflict or the potential for conflict arises because of the relationship between employees, even if there is no line of authority or reporting involved, the employees may be separated by reassignment or terminated from employment.
8. Employees in a relationship should refrain from public workplace displays of affection or excessive personal conversation.

EMPLOYMENT OF FORMER EMPLOYEES

*Effective Date: **October 28, 2015***

PURPOSE

Tri-County Community Action Program, Inc. allows former employees to be rehired provided there are no prior performance problems or policy violations.

PROCEDURE

1. Employees rehired within 30 days will be credited for illness days, using their original date of hire. Retirement plan and insurance benefits will be reinstated in accordance with the provisions of the individual plans.

2. Former employees will not be given preference as job applicants for rehiring.
3. Employees rehired after a year's time will be subject to a complete background check, as if they are a new employee.

RECRUITMENT AND SELECTION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To maintain consistent procedures for recruiting and selecting applicants, Tri-County Community Action Program, Inc. recruits and selects the most qualified applicants for available positions, in compliance with all applicable Federal and state laws and regulations and with the Organization's commitment to Equal Employment Opportunity.

PROCEDURE

1. Use a variety of recruitment efforts to attract qualified applicants. Division Director coordinates recruitment and selection processes for staff in consultation with the program components.
2. Division Director approves the filling of an open position. The CEO approves the creation of a new position.
3. Before internal posting or external advertising, positions are reviewed by the HR Director, in collaboration with Division Director, for appropriate title, pay range, educational requirements and exemption status.
4. Staff positions will be posted internally.
5. Newspaper advertising, when necessary, will be placed through the Division Director with prior approval from HR Director. All positions open to the public should be posted on the TCCAP website.
6. To be considered a job applicant, a person must specify on the employment application, résumé or letter of application the posted job vacancy for which he or she is applying. Applications that do not specify a posted job vacancy will not be considered, and should be returned to sender. Valid applications remain active until the posted position is filled. Applicants who submit valid applications should be notified of receipt of their application material as soon as practical.
7. All applicants for positions in the Organization are entitled to a thorough and consistent evaluation of their qualifications for employment. Consistency will be maintained by having the Division Director perform the initial screening of applications and résumés.
8. The Division Director develops a list of candidates to be interviewed and may create an interview committee.
9. The Division Director will be responsible to ensure pre-employment checks are conducted on the final candidates for the position.
10. The Division Director or interview committee selects the individual for hire. Hiring decisions will be monitored by HR Director for consistency with Organization policies. HR Department requires a completed employment application on all regular hires and may request additional documentation from the applicant to support a hiring decision.

11. The HR Director will develop and extend an offer letter to selected candidate and notify other candidates not selected.
12. The HR Department will maintain records of the selection process, such as applications, evaluation criteria, notes from interviews, and reference checks, in the administration office for two years after the selection of a candidate for employment.
13. Appointment to a senior management position requires the prior approval of CEO. The CEO is appointed by the Board of Directors.

PROCEDURE FOR /HEAD START EMPLOYEES

1. In addition to the procedures above, when hiring employees working for the Head Start program 51% or more of the time, procedures below must be followed:
 - a. The Head Start Policy Council will be consulted in the decision-making process. This can be achieved by having a Policy Council member on the interview committee. The Policy Council can be called upon to give advice or information.
 - b. The Policy Council must give final approval for hiring decisions for all Head Start positions except Head Start Program Director. Selected candidates may start working prior to PC approval in cases where the PC does not meet at a time prior to the need to fill the position, but final hiring is contingent upon Policy Council approval and the results of a criminal record check which includes a child abuse & neglect check and fingerprinting.
 - c. The appointments of all other Head Start staff, other than those listed above, are subject to the recommendation of Head Start Director of the applicable component and the Organization Head Start Policy Council.
 - d. Current and former Head Start and Head Start parents must receive preference for employment vacancies for which they are qualified.
 - e. The appointment of the Head Start Program Director is subject to prior approval from the CEO and the ACF Regional Office.

JOB POSTING AND HIRING

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc.'s job posting procedures provide employees with information regarding job opportunities.

PROCEDURE

1. Job openings will be posted via internet, paper, etc. and normally remain for two (2) weeks. Each job posting notice can include, but is not limited to, the date of posting, job title, component/program, location, job summary, essential duties, skills and abilities necessary to perform the job, and degrees or certification required for the job.
2. Employees interested in applying for an opening should submit a résumé, with a cover letter to named contact in posting. Employees must possess the necessary knowledge, skills and abilities to perform the work of the open position to be considered for an interview. Past work history, including attendance will be considered in making the final determination. For positions requiring a degree or college credits, transcripts will need to accompany the résumé.

3. The Division Director will determine the pool of candidates to be interviewed and conduct interviews in conjunction with the appropriate committee. The Division Director will extend offers of employment and either be responsible to inform candidates who were not selected or have a designee make that contact.
4. All decisions concerning promotions, transfers, demotions, etc., will be made without regard to race, color, religion, sex, national origin, age, disability (physical and mental), veteran status, pregnancy, marital status, medical, sexual orientation, or any other status protected under Federal and state law.

PRE-EMPLOYMENT INVESTIGATION/BACKGROUND CHECK

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To ensure pre-employment checks are conducted within legal and professional limits to be employed in the position for which the candidate is applying, the Organization will conduct pre-employment investigation for all employees to determine or verify background information, which may include criminal history and information in compliance with the Fair Credit Reporting Act (FCRA), or other checks as required by the position. Having a criminal history or criminal conviction will not necessarily preclude employment.

PROCEDURE

1. Applicants who are chosen for interview are required to sign a release form authorizing the pre-employment investigation and the release of information by former employers, educational institutions, or other organizations as part of the reference and background checking process. A refusal to sign such a release form may disqualify the applicant from further consideration for employment.
2. Pre-employment investigation applies to all new hires, as a condition of employment. Employment will be contingent upon the results of the pre-employment investigation.
 - a. HR Director coordinates obtaining the pre-employment investigation. HR and Division Directors will evaluate the relevance of any offense in accordance with Federal and state laws.
 - b. An applicant who provides misleading, erroneous, or deceptive information on the application form, résumé, or in an interview will be eliminated from further consideration for employment.
3. Personal and professional reference checks should be conducted by the HR Director or designee before the job offer is made. Employment will be contingent upon the results of the pre-employment investigation.
4. Employees whose position requires licensure or certification are to provide a copy of their licensure or certification prior to beginning work. Where licensure or certification is required, renewal must be made according to state law and a copy of the current licensure or certification submitted to the HR Director. Failure to keep required licenses or certifications current may result in termination.
5. Some TCCAP programs require additional background checks. TCCAP complies with all state and federal regulations and procedures regarding necessary background checks and drug tests

where applicable. Any job applicant not willing to comply with required checks and tests will be ineligible for employment.

HEAD START

In addition to the employment checks detailed above, the following must be performed for Head Start candidates.

1. All employees hired to positions within the Head Start program are required, in accord with the Department of Health and Human Services guidelines, to declare all convictions related to child abuse and neglect, and all convictions of violent felonies. Convictions in either of these areas preclude employment at TCCAP.
2. The Head Start Director or their designee will obtain at least two professional references and one personal reference for a Head Start applicant before an offer of employment is made.
3. After employment has been offered, a health exam including TB screening is required for Head Start staff and regular volunteers. Periodic re-examinations may also be required.
4. A state or national criminal record check, including fingerprinting as required by state law or administrative requirement, must be conducted.
5. Tri-County Community Action Program, Inc. requires that all current and prospective Head Start employees sign a declaration prior to employment that lists:
 - a. All pending and prior criminal arrests and charges related to child sexual abuse and their disposition;
 - b. Convictions related to other forms of child abuse and neglect; and
 - c. All convictions of violent felonies.
6. The Head Start Director must review each application for employment individually in order to assess the relevancy of an arrest, a pending criminal charge, or a conviction.

EMPLOYEE ORIENTATION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

New employees must understand Tri-County Community Action Program, Inc.'s mission, goals and objectives. This includes the scope of services and location, and an employee's contribution in the accomplishment of those goals and objectives. All newly hired employees and volunteers are required to participate in an Employee Orientation Program.

PROCEDURE

1. Divisional Director or Designee Responsibilities:
 - a. Provide each new employee with orientation specific to his or her workplace, as soon as is practical.
 - b. Provide on-the-job training (OJT) needed for new employees to assume their responsibilities, as soon as is practical.
 - c. Provide new employees with the dates and locations of orientation program.
2. New Employee and Volunteers Responsibilities:

- a. Participate in appropriate orientation processes.
- b. Seek information to enhance his or her orientation process.
- c. Complete and return appropriate personnel forms.

3. HR Director Responsibilities:

- a. Offer regularly scheduled sessions for new employee orientation, which includes orientation to TCCAP's mission and Community Action history.
- b. Provide new employees with timely and relevant benefit information.
- c. Provide information and resources concerning Organization-wide policies.
- d. Provide program/components with strategies, resources and tools for development of its workplace orientation process.

- 4. All staff members, volunteers, and consultants are to be provided with information and training about the underlying philosophy and goals of the program in which they work.

IMMIGRATION POLICY

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. complies with the regulations of the Immigration Reform and Control Act of 1986 (IRCA) as enforced by the Department of Homeland Security. This Act requires that all employees provide appropriate documentation to prove that they are eligible to work in the United States.

PROCEDURE

Tri-County Community Action Program, Inc. requires, as a condition of employment, that all new hires and/or rehires must complete the employment eligibility verification INS Form I-9. Completed I-9 will be retained by HR in a secure location

INTRODUCTORY PERIOD

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

All new and rehired regular employees, and all current regular employees who have transferred or been promoted to a new position, will be placed on introductory status.

The introductory period gives employees the opportunity to decide whether the position suits him or her and gives the Organization the opportunity to decide whether the employee meets the expectations of the position.

The introductory period will not be considered an employment contract or that an employee is employed other than at will. This policy will not change the policy of employment-at-will.

This policy does not apply to temporary employees, or to those employees who are provided employment opportunities through special employment and training program agreements.

PROCEDURE

1. The introductory period is defined as ninety (90) days.
2. Upon completion of this introductory period, immediate supervisor will conduct a formal performance appraisal with the employee to review the employee's progress/performance to date. Introductory periods may be extended, if deemed appropriate, by Division Director.
3. Transferred or promoted employees who do not meet job requirements in their new position during introductory period, may be returned to their original job, if a vacancy exists, or be terminated at the discretion of the Organization.
4. Upon completion of the introductory period, an employee enters the "regular" employment classification and may be eligible for organization sponsored benefits.

HUMAN RESOURCES RECORDS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To ensure the proper handling of, and limit Organization liability with regard to, confidential information and paper records pertaining to employees and their personnel matters.

PROCEDURE

1. Records should be secured in locked file cabinets and access will be controlled by HR Director.
2. At no time should employee files leave the premises.
3. HR Director is responsible for creating and maintaining employee personnel files. Main employee file should have a separate file for each employee, and include the following information:
 - a. Employment application (or résumé and cover letter)
 - b. Job title
 - c. Job description including exempt from overtime or non-exempt classification
 - d. CORI check for designated High Risk positions
 - e. Hire date
 - f. W-2 form
 - g. W-4 form
 - h. Employment offer letter (signed acceptance by employee); contracts, if applicable
 - i. Employee authorization for release of information, if used
 - j. Employee signature acknowledging review of Tri-County Community Action Program, Inc. policies and receipt of employee handbook
 - k. Forms relating to employee benefits including documentation of annual SPD distribution
 - l. ACH Authorization Form approving direct deposit if applicable
 - m. 403B Application or waiver.
 - n. Forms providing next of kin and emergency contacts
 - o. Performance appraisals
 - p. Salary history
 - q. Substantiated complaints from customers and/or coworkers
 - r. awards or citations for excellent performance
 - s. records of attendance or completion of training programs
 - t. Discipline
 - u. Grievances

- v. Performance goals
 - w. Scheduled training and completed training records
 - x. documents relating to the worker's departure from the company (such as reasons why the worker left or was fired, unemployment documents, insurance continuation forms, and so on
4. Employees are responsible for notifying HR Director immediately if there is a change in any of the following information:
- a. Legal Name
 - b. Home Mailing Address
 - c. Telephone Number
 - d. Marital Status
 - e. Number and Names of Dependents if applicable for benefit or tax coverage
 - f. Number of Tax Exemptions on your W-4 form
 - g. Insurance Classification
 - h. Emergency Contacts
 - i. Beneficiary Changes
 - j. Driving record or status of driver's license, if you operate any Organization vehicles
 - k. Military or draft status
 - l. Training certificates if a job requirement
 - m. Professional license

Failure to inform of personal data changes may have a significant impact on benefits and the ability to contact the employee or a family member in the event of an emergency.

5. Human Resources is responsible for employee files. Managers and Division Directors requiring access to an employee's file should contact the HR Department.
6. Employee files must be reviewed in Tri-County Community Action Program, Inc. offices.
7. Employees should not provide references or any comments, written or verbal, to individuals requesting information on current or former employees. All requests for information should be referred to the HR Director.
8. Only basic employment information, (i.e., dates of employment, title of position held, and confirmation of salary) for employment verifications and those requests meeting legal requirements, will be provided by HR.
9. Detailed personnel information will not be released to anyone outside the Organization without prior written consent by the employee. Exceptions will only be made as required by law as in the case of subpoenas or other court orders.
10. Employees have the right to review their file contents. Employees may review their own personnel files in the Administration department, on the employee's own time, and in the presence of an individual appointed by the Organization. Employees who wish to review their own file should make a written request to the HR Director. Tri-County Community Action Program, Inc. will fulfill within 5 business days of the written request.

Exceptions to this include:

- a. Letters of reference;
- b. Materials relating to employer staff planning and business development;
- c. Information of a personal nature about another person, the disclosure of which could constitute an unwarranted invasion of privacy; and

- d. Investigatory or security records maintained by the employer to investigate employee misconduct or other conduct which could be harmful to the Organization.
 - e. Information in the personnel file of a requesting employee who is the subject of an investigation at the time of his request if disclosure of such information would prejudice law enforcement;
 - f. Information relating to a government security investigation.
11. If an employee disagrees with any of the information in their personnel record and cannot reach an agreement with the employer to remove or correct it, the employee may submit an explanatory written statement along with supporting evidence. Statement must be maintained as part of personnel file and shall be included in any transmittal of the file to a third party and shall be included in any disclosure of the contested information made to a third party.
12. Former employees may request copies of information contained in their personnel file. The information will be copied at a reasonable cost and returned within 10 working days.

HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. complies with the proper handling of all private information and individually identifiable health information and outline steps in appropriate Health Insurance and Portability and Accountability Act (HIPAA) compliance.

PROCEDURE

1. Any Protected Health Information (PHI) is confidential and may not be discussed with anyone except on a "need to know" basis in order to perform job duties.
2. PHI is a record that contains health information that can be traced to an individual through inclusion of individually identifiable characteristics such as names, addresses, birth dates, telephone numbers, fax numbers, electronic mail addresses, social security numbers, health plan beneficiary numbers, or any other unique identifying number, characteristic, or code.
3. The regulations are applicable to all health information held or created by Tri-County Community Action Program, Inc.
4. Tri-County Community Action Program, Inc. is prohibited from using or disclosing health information except as authorized by the employee or specifically permitted by the regulation. This includes all personally identifiable health information.
5. Tri-County Community Action Program, Inc. HIPAA Compliance Officer (HR Director) will be responsible for developing and implementing privacy policies and procedures, as well as ensuring general compliance.
6. Any complaint of a violation will be reported to the HIPAA Compliance Officer. They will investigate and take appropriate action to ensure that privacy practices are being followed.
7. Records should be secured in locked file cabinets and access will be controlled by the HIPAA Compliance Officer.

ATTENDANCE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. understands occasions arise when an employee must be absent from work. At the same time, it is important for employees to understand that in order for Tri-County Community Action Program, Inc. to operate efficiently, regular attendance of all employees is imperative. Employees need to be present and accountable during their scheduled work time and there are attendance expectations.

PROCEDURE

1. Authorized Absence - the employee notifies immediate supervisor or designee in advance and obtains approval to be away from or late to work. This includes absences such as vacations, holidays, personal days (academic year employees), etc.
2. Unauthorized Absence – an employee not showing up for work, not calling in, and not having a valid reason for an absence, as determined by his or her direct supervisor. Advance notification of an absence is necessary to make arrangements to handle work in the absence of a scheduled employee.
3. Tardiness – an employee late for work, or leaving early from work on any work day without giving prior notification and receiving approval for the tardiness.
4. A non-exempt salaried or hourly employee who does not work or does not work his or her full shift will be paid only for the actual time worked. If an employee has not called in to the immediate supervisor or designee before the start of scheduled work time, the employee will be considered as having an unauthorized absence without pay. Timesheets will be noted accordingly.

Excessive Absenteeism/Tardiness

1. An employee who is chronically or excessively absent or tardy may be subject to disciplinary action up to and including termination.

CONFIDENTIALITY OF ORGANIZATION INFORMATION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. has information which should not be discussed with anyone outside the Organization, except when required in the normal course of business. Information concerning the activities or operations of the Organization, or concerning service recipients must be treated as confidential or on a need-to-know basis.

PROCEDURE

1. All information pertaining to Tri-County Community Action Program, Inc. clients is confidential, and must not be discussed with or divulged to anyone, unless the performance of their official

duties requires access to the information. Even the presence of a particular client should not be acknowledged to others without proper authorization.

2. The two situations under which confidential Information may be released are with informed and written consent of the client, or in response to a subpoena.
3. Confidential information is to be used only in connection with the legitimate functions of an employee's job duties. The release of confidential information other than in the treatment of clients will occur only with proper authorization. If contacted personally about confidential information, the employee should direct the inquiring party to his or her Division Director.
4. Client files should not be removed from the offices of Tri-County Community Action Program, Inc. except in cases where the files are needed to deliver services. In these cases, only necessary portions of family files should be taken, files should be guarded closely and be returned to the offices as soon as practical.
5. Upon termination of employment with TCCAP, an employee must surrender all material containing confidential information.

PROMOTIONS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Each employee should have equal access to opportunities for growth and development. First consideration will be given to internal candidates who have a history of satisfactory performance and meet the job qualifications for the vacancies. In all its selection and promotion decisions, Tri-County Community Action Program, Inc. complies with equal employment opportunity requirements.

PROCEDURE

1. Two types of advancement opportunities are outlined below:
 - a. A promotion is the movement from one position to another position which is in a higher salary grade and may involve a salary increase. A promotion may be within a program or between programs and may result in a title change.
 - b. A reclassification is an approved change in pay grade of an existing position as a result of significant changes in the duties and responsibilities of that position. A reclassification may result in a pay grade and/or title change.
2. Every effort is made to fill vacancies by promoting qualified employees. Immediate Supervisors are encouraged to identify employees for promotion. Employees must possess the necessary skills, abilities and knowledge to satisfactorily perform the work of the advanced position. Past work history, including attendance, will also be reviewed in order to make this determination.
3. Employees are encouraged to maintain an awareness of vacancies and to seek job opportunities for which they qualify. An expression of interest in a promotion, either by submitting an application as a result of a job posting, or through discussions with immediate supervisor, will not have any adverse effect on the status of the employee's current position.
4. The Division Director will select the appropriate candidate for promotion. Refer to the policy on Recruitment and Selection for more information.

5. The newly promoted employee will be subject to an introductory period. Refer to the policy on Introductory Period for more information.

TRANSFERS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

An employee may transfer, or may be transferred, when the employee meets the job qualifications and when the transfer will benefit both the employee and the Organization.

PROCEDURE

1. An employee who is transferred temporarily to a higher paying position will be compensated at the rate of the new job. Temporary assignment constitutes a formal assumption of another position's duties for an established period of time, not the occasional filling in for a job or "helping out."
2. An employee who is transferred temporarily, at the request of Tri-County Community Action Program, Inc., to a lower paying position will continue to be paid at his or her existing rate for as long as the temporary transfer is in effect.
3. If the employee has not been returned to his or her regular position at the end of thirty (30) days from the date of temporary transfer, Tri-County Community Action Program, Inc. will review the situation and either return the employee to his or her former position, extend the period of temporary transfer, or make the transfer permanent.
4. Employees permanently transferred to lower paying positions will be paid at the lower rate of the new position.

JOB DESCRIPTIONS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

The agency will create job descriptions, and properly determine exemption status for every job according to the Fair Labor Standards Act (FLSA). Records will be maintained of all authorized positions within the Organization.

PROCEDURE

1. The Division Director will be responsible for ensuring that employees are performing the tasks included in their jobs or assignments. Each description will include, but not be limited to:
 - a. Job's purpose, essential and other functions
 - b. Principal duties and responsibilities
 - c. Reporting relationship
 - d. Education, credentials, and experience qualifications
 - e. Salary scale information
 - f. Date of last review.

2. Job descriptions will indicate whether the position is exempt or non-exempt, with determination of such classification based on the FLSA criteria.
3. Newly created positions or changes in position qualifications which may result in salary adjustment require a budget review and approval of CEO. Based on this review, HR Director will assign the position to a recommended salary grade and appropriate FLSA exemption status.
4. All new or revised job descriptions will be approved by CEO.
5. Changes to existing Head Start job descriptions will be reviewed by Policy Council. Upon approval the Head Start Director and CAP CEO will sign and the Policy Council approval date will be added.

PERFORMANCE MANAGEMENT

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Evaluate strengths and areas of improvement in performance of all employees in a fair and equitable manner. The Performance Appraisal (PA) process is intended to be a positive experience. Regular, ongoing discussions regarding an employee's job performance are recommended year round.

Performance management is completed to modify staff performance agreements as necessary, assist staff in improving skills and professional competencies and to identify training and development needs.

PROCEDURE

1. The HR Department will provide notification of upcoming appraisals to the individual responsible for writing an evaluation. Notification should occur thirty (30) days prior to the performance appraisals due date. Performance appraisals will be conducted on an annual basis using a standardized performance appraisal system, designed to ensure reviews are conducted objectively.
2. The schedule for performance appraisals are:
 - a. Each employee's performance will be evaluated upon completion of the introductory period and at least once annually thereafter. Each Department will determine which month to complete employee evaluations.
 - b. Ten month employees will be evaluated annually.
3. The Immediate Supervisor will schedule a review with the employee.
4. The Immediate supervisor may require a Self-Appraisal.
5. The reviewer and the employee may discuss the following topics:
 - a. Previous performance plans and achievement of past goals.
 - b. Current performance appraisal including demonstrating appreciation for employee contributions.
 - c. Employee Self Appraisal form.
 - d. Providing constructive feedback on employee's performance.
 - e. Setting future expectations and goals.
 - f. Identifying employee training needs and professional development opportunities.

6. The Immediate Supervisor will complete the Performance Appraisal Form summarizing the conversation and Supervisor's and Employee's input. The employee may submit comments or statements of their own with the Performance Appraisal Form.
7. Immediate Supervisor will sign the completed form. The employee will sign the completed review acknowledging that they have read and understand it, although may not necessarily agree with the appraisal. A refusal to sign should be documented by HR Director.
8. Performance appraisals will be placed in the employee's personnel file and may be used for such actions as transfers, promotions, pay adjustments, and salary considerations.
9. Leaves of absence and breaks in services may affect the timing of performance appraisals.

SECTION 3

EMPLOYEE BENEFITS PROCEDURES

HOLIDAYS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Holidays are recognized as non-work days for employees. Tri-County Community Action Program, Inc. provides regular full-time and regular part-time employees the benefit of paid holidays.

PROCEDURE

The following will be paid holidays for all regular employees of the Agency, except Head Start Academic employees; HS Director and Administrative Staff follow Agency policy. All other Head Start employees follow academic policy.

REGULAR EMPLOYEES

New Year's Day
Martin Luther King Day
President's Day
Memorial Day
Independence Day
Labor Day
Columbus Day
Veterans' Day
Thanksgiving Day (2)
Christmas Day (2)

ACADEMIC EMPLOYEES

Veterans' Day
Thanksgiving Day and the day after
Two weeks at Christmas
Martin Luther King Day
February School Vacation Week
Memorial Day (if encompassed by Academic Calendar)

1. Holiday on Scheduled Work day. Regular employees who are required to work on their holiday will be granted an alternative day in lieu of the holiday.
2. A recognized holiday that falls on Saturday will be observed on the proceeding Friday. A recognized holiday that falls on Sunday will be observed on the following Monday.
3. Holiday pay will be calculated based on the employee's regular rate of pay multiplied by the number of hours the employee was regularly scheduled to work that day.
4. An employee who has an unauthorized absence the working day prior to and/or following a holiday will not be paid for that holiday. An authorized absence includes only approved sick time, vacation time, bereavement leave, and jury duty.

5. Part-Time and Seasonal/Limited-Term Employees: will be paid for observed holidays which fall on days on which they would otherwise be scheduled to work, according to the number of hours for which they are scheduled to work that day.
6. If a paid holiday falls during an employee's scheduled vacation period, holiday pay will be provided and they will still have a vacation day to use.
7. Employees on a paid approved leave of absence are eligible for holiday pay. If the approved leave of absence is not paid, the employee is not eligible for holiday pay.
8. Holiday pay will not be counted as hours worked for the purposes of determining overtime.

VACATION/ANNUAL LEAVE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

All regular full-time and regular part-time employees will accrue and use vacation time in accordance with the guidelines outlined below.

PROCEDURE

1. Employees begin to accrue annual leave immediately upon hire, but may not use annual leave until after 90 days of employment.
2. Employees who are eligible for annual leave earn vacation time based on the following schedule:

Upon Date of Hire

Paid Vacation Time

Less than 2 years

1.5 pro-rated days per month

Years 2 – 6

1.75 pro-rated days per month

7 or more years of service

2 pro-rated days per month

- a. Employees accrue Annual Leave only as pro-rated against actual hours worked: for example, a 20-hour/week employee accrues at half the rate of a 40 hour employee.
- b. Employee's can accumulate no more than twenty (20) days which is the equivalent of 160 hours of annual leave.
3. Employees should request approval in writing at least two weeks in advance before taking vacation. Scheduled absences are preplanned with immediate supervisor in accordance with department guidelines, negotiating the least impact to the work area.
4. When scheduling conflicts arise, authorization for vacation leave will be established at the discretion of management.
5. Any earned, but unused vacation will be paid at the time of termination. Vacation may not be used to extend the termination date. This payment will be made in a lump sum.
6. Vacation will not accrue during any unpaid period of time.

SICK LEAVE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

All regular full-time and regular part-time employees will accrue and use sick time in accordance with the guidelines outlined below.

PROCEDURE

1. Sick leave time will begin to accrue at the rate of one pro-rated day per month during the introductory period, but may not use sick leave until after 90 days of employment.
2. Employees may request use of paid illness time after successful completion of the introductory period.
3. Illness time may not be used as additional vacation leave, but is granted when a person is unable to perform his/her assigned duties because of illness or injury. This could include appointments with physicians, dentists, or other recognized practitioners, or for a serious illness, disability or injury of an immediate family member such as parent, child or spouse. Employees may not substitute sick leave for annual leave because of illness during an approved period of annual leave.
4. Each employee is responsible for notifying their Immediate Supervisor before the regular starting time that he or she intends to utilize illness time for that day. The employee is also responsible for keeping their Immediate Supervisor informed regularly of his or her condition.
5. Employees who have breaks in employment, including unpaid leaves of absence (e.g., FMLA, military leave) will not accrue illness time during their absence.
6. Employee's receiving Workers' Compensation benefits are not entitled to illness pay.
7. If a serious health condition absence exceeds three (3) consecutive work days, the employee may be asked to provide medical certification to support the absence. Also, a release to return to work from a physician may be required.
8. Illness leave may accumulate up to a total of 360 hours. If the employee's benefit reaches this maximum, further illness leave benefits will not accrue until the employee has reduced the balance below the limit.
9. If all earned leave (i.e., illness time, vacation time, and personal time) has been used and the employee requires more illness time off, they may request an extended Personal Leave of Absence without pay from the CEO. FMLA provisions may also cover such leaves of absence.
10. There may be occasion that an employee may want to donate sick time to another employee who is in need in an emergency basis. TCCAP will allow, on a case by case, basis the donation of sick time not to exceed 50% of the donating employee's balance upon approval from HR.
11. Unused illness time will not be paid out upon termination.

PERSONAL LEAVE OF ABSENCE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Personal leaves of absence are authorized, without pay, to full-time employees with one or more years of continuous service, for up to three months.

PROCEDURE

1. Only CEO may authorize personal leaves of absence.
2. Employees who wish to continue benefits coverage during their leave of absence must bear the full cost of those benefits.
3. Employees on extended personal leave of absence will be informed prior to the leave as to whether or not they are guaranteed that his or her or that a similar position will be available when he/she returns from his/her absence. If a comparable position is not available at the time the employee returns to work, the employee may be offered a lesser position. If no acceptable position is available at the time the leave expires, the employee's employment with Tri-County Community Action Program, Inc. will be terminated.
4. It should be determined whether the personal leave of absence is covered under the Family and Medical Leave Act (FMLA). See the policy on FMLA for more information.

FEDERAL FAMILY AND MEDICAL LEAVE ACT (FMLA)

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

It is the policy of Tri-County Community Action Program, Inc. to provide leaves in compliance with Federal FMLA.

PROCEDURE

1. Employees are eligible for leave under the Federal FMLA if they have been employed by Tri-County Community Action Program, Inc. for at least twelve months and have worked at least 1,250 hours for Tri-County Community Action Program, Inc. during the most recent twelve consecutive month period.
2. Tri-County Community Action Program, Inc. uses a "rolling" 12-month period measured backward from the date the employee's Federal FMLA leave begins to track FMLA leave.
3. Under the Federal Family and Medical Leave Act, up to twelve weeks of leave may be taken during a twelve month period that begins on the employee's first day of leave, for any one or more of the following reasons:
 - a. An employee's own serious health condition;
 - b. To care for a spouse, parent, biological child, adopted child, foster child, step-child, legal ward, or a child of a person standing in loco parentis (who is under 18 years of age, or 18 years or older and incapable of self-care because of a mental or physical disability), with a serious health condition; and
 - c. For the birth of an employee's child, or placement of a child with an employee for adoption or foster care. Leave for birth, adoption or foster care must conclude within twelve months of the birth or placement.
 - d. To care for an eligible employee's spouse, son, daughter, parent, or next of kin who is a covered military service member recovering from a serious illness or injury sustained in the line of duty on active duty (*Note: The eligible employee is entitled to up to 26 weeks of leave in a single 12-month period to care for the service member; this military caregiver leave is*

available during a single 12-month period (which period begins on the first day leave is taken for this qualifying reason), during which an eligible employee is limited to a combined total of 26 weeks of all types of FMLA leave);

- e. Due to any "qualifying exigency" (as defined in regulations issued by the Department of Labor) arising from the fact that an employee's spouse, child, or parent is on active duty status in the National Guard or Reserves in support of a contingency operation.
4. When possible, employees should notify Division Director and HR Director at least thirty days before the date of the anticipated leave. A written request for time off DOL Form must be completed. In an emergency situation, notice must be given as soon as possible, but no later than 48 hours after the occurrence of the reason for leave. Failure to make timely notification of the need for leave may result in the delaying of leave until proper notification is received.

MILITARY SERVICE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

It is the policy of the Organization to comply with all applicable statutes that require reservists and National Guard personnel to be given leave of absence for active duty and training exercises under Uniformed Services Employment and Reemployment Rights Act (USERRA) of 1994.

PROCEDURE

1. It is the employee's responsibility to inform HR Director as soon as orders for military duty have been received. When requesting a military leave of absence, the employee should present a copy of the training orders.
2. Employees will continue to receive full pay while on leave for those military related absences that are two weeks or less. The portion of any military leave of absence in excess of two weeks will be unpaid. Employees may use any available paid time off for the absence.
3. Continuation of health insurance benefits is available as required by USERRA based on the length of the leave and subject to the terms, conditions and limitations of the applicable plans for which the employee is otherwise eligible.
4. Benefit accruals, such as vacation, illness leave, and holiday benefits will be suspended during the USERRA leave and will resume upon the employee's return to active employment.
5. When an employee returns from military leave, he or she will be assigned to a position as required by law. Military leave time is immediately credited to the employee's length of service and all benefits would apply as if the employee had never left his or her job. The employee's salary will be equal to or greater than the salary at the time the leave commenced unless salaries have declined.

JURY DUTY

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

The policy of Tri-County Community Action Program, Inc. is to accommodate all employees who are called to serve on jury duty.

PROCEDURE

1. All regular full-time and regular part-time employees are eligible for jury duty pay for up to five days. Additional required days off will be granted without pay.
2. When an employee receives a summons for jury duty, he or she must present a copy of the summons to Division Director or designee.
3. Employees are expected to report for work whenever the court schedule permits.
4. Employees must present a copy of all fees, except travel, received for serving on the jury to Fiscal Director. The employee will receive the difference between the fees received and the wages missed during the regular payroll cycle for all paid jury time.
5. Jury duty pay is calculated based on employee rate of pay at the time of the absence and the number of hours the employee would have been scheduled to work. If an employee was not scheduled to work, they will not be paid.
6. Jury duty pay is not used in the calculation of overtime.
7. Employees will continue to receive and accrue benefits during jury duty including vacation, illness leave, holiday pay and health insurance coverage.

BEREAVEMENT LEAVE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To provide compensation for regular full-time and regular part-time employees who must be off work during a period of bereavement as defined in this policy.

Employees will be paid their regular straight-time wages each day up to five work days due to the death of an immediate family member as defined in this policy. The bereavement leave may be taken to make funeral arrangements, attend a funeral and/or to take care of personal affairs normally associated with a death.

The term "immediate family" means spouse, domestic partner, children or step children, and parents.

Up to two days off for the death of a brother, sister, grandparent, grandchild, step relative or a relative by marriage of comparable degree.

Bereavement leave will not be paid for Saturday or Sunday unless employee normally would have worked on one of those days, or any day on which holiday pay or vacation pay is paid.

PROCEDURE

1. Employees who need to take time off due to a death of an immediate family member should notify immediate supervisor as soon as possible and will inform them of the expected date of return.
2. CEO may allow employees to use any available paid leave for additional time as necessary.
3. Employees will continue to accrue vacation and illness leave time during the bereavement leave.
4. Bereavement pay is calculated based on the employees rate of pay at the time of the absence and the number of hours they would have been scheduled to work.
5. Bereavement pay is not used in the calculation of overtime.

BENEFIT PLANS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To provide a brief summary of medical insurance, dental insurance, life insurance, short-term disability (STD) insurance, long-term disability (LTD) insurance, and retirement benefits provided by Tri-County Community Action Program, Inc.. Employees should refer to their Summary Plan Description (SPD) for plan details. In the event of any discrepancy between this document and the SPD, the latter will prevail. Tri-County Community Action Program, Inc. provides group insurance for its employees. The following section provides a summary of benefits provided by the Organization's current insurance provider.

PROCEDURE

Medical Insurance

1. On the first of the month following 60 days of employment, regular full-time and regular part-time employees working more than 30 hours per week become eligible for health insurance.
2. A SPD and information on cost of coverage will be provided to eligible employees in advance of enrollment. Contact HR Department for more information about the health insurance benefit and its cost.

Dental Plan

1. On the first of the month following 60 days of employment, regular full-time employees become eligible for the dental plan.
2. A SPD and information on cost of coverage will be provided to eligible employees in advance of enrollment. Contact HR Department for more information about the dental plan benefit and its cost.

Vision Plan

1. On the first of the month following 60 days of employment, regular full-time employees become eligible for the vision plan.
2. A SPD and information on cost of coverage will be provided to eligible employees in advance of enrollment. Contact HR Department for more information about the vision plan and its cost.

Life Insurance

1. After 90 days of employment, regular full-time and regular part-time employees become eligible for voluntary life insurance coverage. Interested employees should contact the Fiscal Department for more information.

Short-Term Disability Insurance

2. After 90 days of employment, regular full-time employees become eligible for voluntary short-term disability insurance. Interested employees should contact the Fiscal Department for more information.

403(b) Savings Plan

1. TCCAP has contracted with Mutual of America to provide retirement plan services through a 403 (b) arrangement.
2. All employees are eligible to participate upon hire. The plan allows both Roth and tax deferred options. For more information refer to the Summary Plan Description or contact HR.

CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT (COBRA)

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

When an eligible employee terminates employment with Tri-County Community Action Program, Inc., the employee or qualified beneficiary is entitled to continue participating in the Organization's group health plan for a prescribed period of time, usually 18 months. In certain circumstances, such as an employee's divorce or death, the length of coverage period may be longer for qualified dependents. A summary of the Consolidated Omnibus Budget Reconciliation Act of 1985, better known as COBRA is discussed below.

PROCEDURE

1. Initial notice – will be sent to employees and spouses covered by the plan within 90 days of individuals coverage date.
2. Written notice of continued health insurance coverage will be provided to the terminated employee and/or dependents by third party administrator.
3. If a former employee chooses to continue group benefits under COBRA, he or she must pay the total applicable premium plus a 2% administrative fee (optional & may vary by state). The first payment must be received 45 days after initial election, and thereafter no later than the fifth working day of each month.
4. Coverage will cease if the former employee fails to make premium payments as scheduled, becomes covered by another group plan, or becomes eligible for Medicare, or when the plan terminates for all employees.
5. For detailed information or questions on COBRA, employees are requested to check with HR Department.

WORKERS' COMPENSATION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Employees hurt on the job, regardless of fault, may be entitled to benefits under Workers' Compensation.

PROCEDURE

Employee Responsibilities

1. Inform immediate supervisor of the injury or accident as soon as possible. The employee should immediately fill out (DOL) form which will include the following:
 - a. Date, time, and place of injury or accident;
 - b. Brief description of and conditions that caused the injury or accident; and
 - c. Description of injured parts of the body or disease resulting from the injury or accident.
2. Request doctor to promptly provide information requested by the employer about the condition of the employee.
3. Keep records of all bills, dates of treatment, compensation payment dates worked and not worked, to whom the injury or accident was reported and any other information relating to the employee's injury or accident.

Supervisor Responsibilities

1. Promptly conduct a thorough investigation to determine if the injury or accident was caused by a work-related injury or accident.
2. Fill out a First Report of Injury form.
3. Notify HR Department of the accident or injury and work with them to resolve or correct the cause of the accident or injury.
4. Consult HR department to determine whether injury and recovery time will trigger FMLA Leave.

TRAINING AND DEVELOPMENT

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. supports the development of employee and volunteers skills through both in-house and outside training opportunities.

PROCEDURE

1. It is a joint responsibility between Division Director and employees to identify training opportunities and needs.
2. Safety training and employee orientation will be provided to all employees. Please see specific program policies for details.

3. Other training courses are offered on an “as needed” basis
4. It is an employee’s Supervisor’s responsibility to identify, with input from the employee, ongoing training and professional development needs. It is the responsibility of Division Directors to authorize training.
5. An employee desiring other, specialized training must complete a written request for the specific training to Division Director for review and approval.

Education Assistance

Tri-County Community Action Program, Inc. recognizes that the skills and knowledge of its employees are critical to the success of the Organization. TCCAP encourages personal development through formal education so employees can elect to maintain and improve job related skills or enhance their ability to compete for reasonably attainable jobs within Tri-County Community Action Program, Inc. Training and educational opportunities are determined by Division and allowable when funding is available.

EMPLOYEE PARTICIPATION IN PROGRAM SERVICES

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Employees are not prohibited from participation in programs or service operated by the Organization. Employees must meet all economic and all other program eligibility requirements. Employees are not given priority or preferential treatment over other applicants. All employees will pay fees if a program requires a fee for services.

SECTION 4

TIMEKEEPING AND PAYROLL

HOURS OF WORK

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. maintains work hours in accordance with Federal and state regulations and in accordance with workload, program participants' requirements, and the efficient management of personnel resources.

PROCEDURE

1. The workweek of the Organization begins 12:00 a.m. Saturday and ends at 11:59 p.m. Friday.
2. Standard working hours are 8:00 a.m. to 4:30 p.m., Monday through Friday. Certain divisions may have different standard working hours. Employees may be required to work hours different from their regular schedule such as evenings or weekends, depending on the needs of the Organization.
3. Employees will receive an unpaid meal period of thirty minutes in length. Lunches should accommodate staffing needs and operating requirements.
4. During the meal break, employees are relieved from duty and free from interruptions except when an emergency arises. If a nonexempt employee is unable to take an uninterrupted meal break during their shift, the employee should notify his/her immediate supervisor who will assign relief so the meal break can be taken or authorize the additional time. Employees may waive their right to a meal break, and eat during work hours if their Supervisor permits them to do so. In this case, the employee should sign a written waiver.
5. Division Directors must approve any deviations from regularly scheduled work hours in advance. Division Director must approve all overtime hours in advance and initial employee's time card/activity reports. Disciplinary action may be taken if no prior approval for overtime was obtained, refusal to work required overtime, or failure to record overtime worked.
6. Non-exempt (hourly) employees scheduled to attend a meeting, training class, workshop, or seminar at the request of the Organization will be paid for the hours of the meeting or seminar.
7. Training and travel time will be counted as time paid in the calculation of overtime.
8. The Organization retains the option to determine the mode of transportation for which it will pay travel time for any given trip. An employee will not be paid for travel time exceeding the time required for selected mode of transportation.
9. Travel time to and from home is not considered work time.
10. Exempt employees that attend a meeting or class will not receive additional compensation; as such training is considered part of their job.

TIMEKEEPING

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Federal and state law and regulations require Tri-County Community Action Program, Inc. to maintain accurate records of all time worked by employees. Employees must record all time actually spent on the job performing assigned duties or other work-related projects.

PROCEDURE

1. New employees will receive training during orientation on procedures for completing time sheets/activity reports.
2. All employees must accurately record the hours worked each day and include any approved time-off (vacation, holiday, jury, etc.).
3. Employees are responsible for recording and verifying their own time worked. Tampering, altering, or falsifying time records or recording time on another employee's time sheet is not allowed and may result in disciplinary action, up to and including suspension/termination. Under no circumstances is an employee allowed to record time for another employee.
4. Time sheets/activity reports must be submitted every two weeks. The schedule and submission process may vary by division. Employees should follow Division procedures. Failure to do so may result in not receiving a check at the normal payroll distribution time.

PAYCHECK DISTRIBUTION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. is committed to maintaining appropriate control regarding the security and distribution of employee paychecks.

PROCEDURE

1. The pay period runs from 12:00 a.m. Saturday and ends 11:59 p.m. on the Friday that occurs 14 days later.
2. Employees will receive paychecks or direct deposit vouchers on a biweekly basis.
3. Payroll checks may be electronically deposited to an account at a financial institution that the employee designates. Employees are responsible for notifying Payroll Specialist of any change in banks or bank accounts to ensure the proper direct deposit of payroll to the employee's account.
4. Employees who do not have direct deposit may pick up paychecks on paydays from their Division headquarters. They may instead request that their checks be mailed to the address on record. Employees are responsible for keeping their mailing addresses current.
5. Notify Payroll Specialist immediately if a paycheck is lost, stolen, or destroyed. If the check has not been negotiated, a duplicate check will be issued to the employee, but the employee may be responsible for any stop payment charges assessed by the banking institution.

WAGE AND SALARY ADMINISTRATION

*Effective Date: **October 28, 2015***

PURPOSE /POLICY

Being responsive to market influences federal and state prevailing wage requirements, Tri-County Community Action Program, Inc. strives to recruit and retain highly qualified individuals. Equitable and compliant wage and salary administration not only recognizes different performance levels among employees, but also provide financial incentive for employees at all levels of the Organization.

PROCEDURE

1. Employees will receive fair and equitable compensation not to exceed salaries for similar positions in the community, and will not receive less than minimum wage. Tri-County Community Action Program, Inc. will establish a pay schedule as part of a comprehensive salary plan.
2. Any increase in salary must be able to be sustained by the funding source on a long term basis.
3. Salary considerations:
 - a. Workload or job responsibilities adjustment
 - Adjustment for substantial, documented reassignments or changes in the duties/responsibilities within the same position may be initiated after consultation with CEO.
 - b. Change in position
 - An employee who moves from one position to another with a higher pay grade must be paid at least the minimum of the new pay range.
 - Employees whose current salary is already within the pay range for the higher level position may be granted a salary increase dependent upon the availability of funds, internal equity, and other pertinent factors.
 - Change to a position in the same pay grade is not eligible for an increase and change to a lower pay grade may be subject to a corresponding salary reduction.
 - c. Merit Increases
 - Increases are based on level of performance identified through documentation, including a positive appraisal.
 - d. Incentive compensation may be available (see regulation referenced below) as part of a plan approved by CEO, given adequate funding.
4. Davis Bacon Act - If Tri-County Community Action engages in any work that is covered under the Davis-Bacon act, the agency will comply with all pertinent regulations.
5. Head Start:
 - a. Cost-of-living allowances, if any, are determined annually by the funding source, and are subject to the approval of the Board of Directors and Policy Council. Cost-of-living allowances, including retroactive COLA's, will only be paid to actively employed staff.

- b. When funding is available all eligible Head Start employees will receive a step raise. Eligible is identified as employees in good standing and not currently on a corrective plan.

PAYROLL DEDUCTIONS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Paycheck deductions are made from employee paychecks according to various laws and to pay for elected benefits, where necessary. Various Federal and state laws requires Tri-County Community Action Program, Inc. to make deductions for Federal, state, and local income taxes and payments, as well as social security. In addition, eligible employees may voluntarily authorize deductions from their paychecks to cover contributions to the pension plan, health insurance, etc.

PROCEDURE

1. Mandatory deductions and wage attachments that are required by law will automatically be made from all paychecks issued by Tri-County Community Action Program, Inc. These deductions may change as they are affected by changes in the amount earned, by legislation, and by the number of dependents declared.
2. Employees desiring to change the amount withheld for taxes may submit a revised form to HR.
3. Additional deductions the Organization is authorized to make, or which are required by law (e.g., garnishments, child support) are automatically deducted and will not be stopped until proper documentation has been received.
4. Court orders, wage deduction summonses, tax levies and other similar orders against an employee should be immediately forwarded to HR.
5. HR will:
 - a. Notify the employee of the legal action being taken against him or her;
 - b. Provide the employee with a copy of the official court order or tax levy;
 - c. Inform the employee of the dates the garnishment will be deducted from the employee's paycheck;
 - d. Advise the employee of his or her rights under the Consumer Credit Protection Act (CCPA); and
2. In the event that garnishment or similar proceedings are instituted against an employee, the Organization will deduct and remit the required amount from the employee's paycheck in accordance with CCPA guidelines.
3. An employee may not be terminated for having a garnishment served against him or her for filing a petition for bankruptcy.

TRAVEL/EXPENSE REIMBURSEMENT

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Employees will be reimbursed for actual and necessary travel and other expenses incurred while conducting Organization business. This policy outlines the procedures and authority for expenditures and reimbursement.

PROCEDURE

1. Employees required to travel out of area for business must obtain advance approval from Division Director.
2. Employees who receive an advance for travel will sign a form agreeing to provide receipts for expenses. Failure to submit verifying receipts or to repay the advance within 7 business of return will result in money being deducted from their pay.
3. Tri-County Community Action Program, Inc. will reimburse employees for reasonable meal, transportation, lodging, and incidental expenses actually incurred (or per diem rates) while traveling for business purposes. Employees are expected to limit expenses to reasonable amounts and remain within the standard, approved rates as stated on the Government Services Administration website:

http://www.gsa.gov/portal/content/104877?utm_source=OCM&utm_medium=print-radio&utm_term=HP_01_Requested_perdiem&utm_campaign=shortcuts

4. Tri-County Community Action Program, Inc. does not reimburse for personal activities while traveling or other expenses such as entertainment, liquor, dry cleaning, etc.
5. Employees should submit a travel expense report containing receipts within 7 business days of completion of travel. Expenses will be paid to the employees on the next regular pay period following receipt of the request.
6. Mileage will be reimbursed at a rate determined by the CEO not to exceed the prevailing IRS Rate (which encompasses expenses for general maintenance, insurance, gas, oil, etc.) for travel other than to and from the employee's residence and regular work site and includes:
 - a. If an employee travels from his or her residence to a different meeting site (or returns), further than the regular work site, only the additional mileage will be reimbursed. If the mileage is less, no reimbursement will be made.
 - b. Travel from the regular worksite to a different site of official business and subsequent return to the regular work site is reimbursable for the mileage in both directions.
7. Tri-County Community Action Program, Inc. requires employee's to provide proof of a current driver's license each year and proof the employee is insurable and has adequate (as defined by Tri-County Community Action Program, Inc.) liability and comprehensive insurance before driving any vehicle on Tri-County Community Action Program, Inc. business.
8. An employee who is involved in an accident while traveling on business must promptly report the incident to HR Director. Vehicles owned by the Organization, leased, or rented while traveling on business for Tri-County Community Action Program, Inc. may not be used for personal use.

9. Employees driving or riding in any vehicle on Organization time are expected to observe area traffic laws, wear seatbelts, and refrain from using cellular telephones. Tri-County Community Action Program, Inc. does not reimburse employees for tickets, fines, bail bonds, etc., incurred by the employee.
10. Prior approval must be obtained from Division Director before expensing any items not listed here.
11. The Organization may use current General Services Administration (GSA) per diem rates.

SECTION 5

EMPLOYEE CONDUCT

*Effective Date: **October 28, 2015***

SAFETY

PURPOSE / POLICY

To provide employees with a safe place to work, Tri-County Community Action Program, Inc. operates as safely as possible in accordance with the Occupational Safety and Health Administration (OSHA) and other applicable Federal and state laws and regulations. The procedure below applies to all TCCAP employees, additional safety procedures may exist at the specific sites and will be covered in depth by the Division Director.

PROCEDURE

1. Tri-County CAP has a Safety Committee made up of representatives of several TCCAP programs that shall meet at least 4 times each year, keeping minutes of their meetings. The Safety Committee is responsible for establishing and communicating all safety policies and procedures.
2. All safety and/or health related inspections, accidents, or incidents will be reported to Safety Committee immediately.
3. Each employee, as a condition of continuing employment, is required to work safely, to observe all safety rules and regulations, to wear required, Personnel Protective Equipment (PPE) and to perform his or her job in a manner to avoid accidents and injury to others.
4. Each location will post a list of emergency telephone numbers that are readily accessible to employees.
5. The HR Director will complete, submit, and maintain records and reports in accordance with established OSHA and the Department of Labor requirements.
6. Tri-County Community Action Program, Inc. will promote safety awareness among children and parents by incorporating it into child and parent activities as well as in interactions with all clients served.
7. In Head Start the Lead Teacher will maintain readily available, well-supplied first aid kits appropriate for the ages served. The first aid kits will be maintained at each location and available on outings away from the site. Each kit will be accessible to staff members at all times, and will be kept out of the reach of children.
8. Each Division may have specific safety procedures unique to their location(s). Employees are responsible to adhere to site specific safety procedures and policies.

MEDICATION – ADMINISTRATION AND STORAGE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To establish appropriate guidelines for Tri-County Community Action Program, Inc. regarding the administration, handling, and storage of medication when necessary.

PROCEDURE

All TCCAP programs that store and/or administer medications must have and periodically update written plans for managing these medications that meet the requirements of their programs. Plans will be kept up to date by the Division Director, or designated representative. Plans will be located at the effected site. It is the responsibility of the employee to become familiar with the site plan.

HYGIENE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Personal hygiene and good grooming are expected at all times. All staff and volunteers are required to follow accepted personal hygiene guidelines.

PROCEDURE

1. Nonporous (e.g., latex) gloves must be worn by employees and volunteers when they are in contact with spills of blood or other visibly bloody bodily fluids.
2. Employees, volunteers, and children must wash their hands with soap and running water (at a minimum):
 - a. After toilet use;
 - b. Before food preparation, handling, consumption, or any other food-related activity (e.g., setting the table);
 - c. Whenever hands are contaminated with blood or other bodily fluids;
 - d. After handling pets or other animals;
 - e. Before and after giving medications;
 - f. Before and after treating or bandaging a wound.
3. Spills of bodily fluids (e.g., urine, feces, blood, saliva, nasal discharge, eye discharge or any fluid discharge) must be cleaned and disinfected immediately in keeping with professionally established guidelines (e.g., standards of the Occupational Safety Health Administration, U.S. Department of Labor). Any tools and equipment used to clean spills of bodily fluids must be cleaned and disinfected immediately. Other blood-contaminated materials must be disposed of in a plastic bag with a secure tie.

SECURITY / INSPECTION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

This policy establishes the use and the right to inspect all Tri-County Community Action Program, Inc. equipment and property.

PROCEDURE

1. Operations often require others to have access to work areas, desks, files, or computers. There is **no** guarantee of privacy. Authorized individuals may have access and business needs to retrieve information on personal voicemail and e-mail.
2. Keep all passwords confidential.

3. All equipment and property are here for business purposes. Management has the right to access and inspect them.
4. Security concerns may warrant inspection of a facility and any personal property on the premises, including vehicles, purses, backpacks, lunch containers, and other items.

WORKPLACE ACTIVITY MONITORING

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. maintains the right to conduct workplace monitoring for the purposes of quality control, employee safety, security, and the satisfaction of those serviced by Tri-County Community Action Program, Inc. Tri-County Community Action Program, Inc. is sensitive to the legitimate privacy rights of staff, volunteers, and those served. Every effort will be made to conduct workplace monitoring in an ethical and respectful manner.

PROCEDURE

1. Employees who regularly communicate with those served by Tri-County Community Action Program, Inc. may have their telephone conversations monitored or recorded. Telephone monitoring is used to identify positive interactions, and to collect and correct performance problems through targeted training.
2. Tri-County Community Action Program, Inc. may conduct video surveillance of non-private workplace areas. Video monitoring is used to identify safety concerns, maintain quality control, detect theft and misconduct, and discourage or prevent acts of harassment and workplace violence.
3. Employees can request access to information gathered through workplace monitoring that may impact employment decisions. Access will be granted unless there is a legitimate business reason to protect confidentiality or an ongoing investigation.

WORKPLACE VIOLENCE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To prevent workplace violence and to maintain a safe work environment, Tri-County Community Action Program, Inc. does not tolerate acts of workplace violence committed by or against employees and/or all persons involved in the Tri-County Community Action Program, Inc.'s operation. Employees are prohibited from making threats or engaging in violent acts.

PROCEDURE

1. All employees, volunteers and community members should be treated with courtesy and respect at all times. Employees are expected to refrain from fighting, horseplay, or other conduct that may alarm or be dangerous to others.
2. All threats of violence, or violent acts, whether direct or indirect, should be reported immediately to HR and Division Director. This includes threats by employees, community members, vendors,

solicitors, or other members of the public. HR Director should attempt to obtain the most specific and detailed information as possible from the affected individual.

3. All suspicious individuals or activities should also be reported as soon as possible to Division Director.
4. Conduct that threatens, intimidates, or coerces another employee, parent, child, or member of the public at any time, including off-duty periods, will not be tolerated. This prohibition includes all acts of harassment.
5. Tri-County Community Action Program, Inc. will thoroughly and promptly investigate all reports of threats of violence, actual violence, or suspicious individuals and activities.
6. Anyone determined to be responsible for threats of or actual violence or other conduct is in violation of these guidelines will be subject to prompt disciplinary actions up to and including suspension/termination and/or legal action as appropriate
7. There will be thorough and prompt investigations of disputes or differences among employees, and brought to the attention of HR Director before the situation escalates into potential violence. Tri-County Community Action Program, Inc. is eager to assist in the resolution of employee disputes, and will neither discipline employees nor tolerate retaliation against employees for raising such concerns.
8. Dangerous or hazardous devices or substances are prohibited on the premises.

WEAPONS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To prevent violence and to maintain a safe work environment Tri-County Community Action Program, Inc. prohibits all unauthorized persons who enter its premises from carrying a handgun, firearm, knife, or other weapon of any kind regardless of whether the person is licensed to carry the weapon or not.

This policy does not pertain to authorized security or law enforcement personnel.

PROCEDURE

1. Any employee who wishes to carry a weapon on work premises must first obtain permission from the CEO. Permission will be granted only when there is a clear and compelling reason to do so, and will be for a specified period of time only.
2. Any individuals in violation of this policy will be subject to disciplinary action, up to and including suspension/termination and/or legal action as appropriate.
3. All individuals are required to report incidents of threats or acts of physical violence of which he/she is aware. The report should be made to the agency HR Director.

SMOKING / TOBACCO USAGE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

In order to promote wellness and maintain a safe, healthy, and efficient work environment, all programs and services will be conducted in a tobacco-free environment. This policy applies to all persons in the Tri-County Community Action Program, Inc.'s facilities.

PROCEDURE

1. No one may use tobacco anywhere on Tri-County Community Action Program, Inc.'s premises at any time. Personnel may use their personal vehicle as an authorized tobacco use area.
2. Employees who want to use tobacco during work hours must leave the premises during designated breaks approved by their supervisor.
3. Division Directors are responsible for monitoring compliance with this policy.
4. Complaints for violation of this policy should be submitted to HR Director.

FIRE SAFETY / PREVENTION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To prevent fires and to communicate appropriate procedures for all persons to follow in case a fire should occur within Tri-County Community Action Program, Inc. buildings, all persons involved in Tri-County Community Action Program, Inc. should follow outlined fire prevention and evacuation procedures as specified below.

PROCEDURES

Fire Prevention:

1. Know the location of the nearest fire extinguisher(s) and ensure they are kept accessible at all times.
2. Notify Property Manager if an extinguisher is used or if the seal is broken. Extinguishers rated A, B, or C can be used for paper, wood, or electrical fires.
3. All flammable liquids must be stored in approved and appropriately labeled safety cans and not exposed to any ignition source.
4. Candles, fragrance burners and any sort of device with a flame are prohibited.

In Case of Fire:

1. If the fire is small and contained, locate the nearest fire extinguisher. This should only be attempted by employees who are knowledgeable in the correct use of fire extinguishers.
2. Dial 911 or the local fire department if necessary.

3. If possible, immediately contact Property Manager or Division Director. Evacuate all people from the area.
4. If the fire is out of control, leave the area immediately. No attempt should be made to fight the fire.
5. Proceed, in an orderly fashion to a parking lot near the building. Be present and accounted for during roll call.

When the fire department arrives, direct the crew to the fire. Do not re-enter the building until directed to do so by the fire department.

Emergency Evacuation:

1. Stop all work immediately.
2. Contact outside emergency response agencies, if needed.
3. Shut off all electrical equipment and machines, if possible.
4. Walk to the nearest exit, including emergency exit doors.
5. Exit quickly, but do not run. Do not stop for personal belongings.
6. Proceed in an orderly fashion to a parking lot near the building. Be present and accounted for during roll call.
7. Do not re-enter the building until instructed to do so.

DISASTER RECOVERY

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Identify steps to take before, during, and after a disaster by creating a tool and approach for identifying critical processes and insuring their availability. A disaster may be defined as an event that negatively impacts operations, causes interruption for a significant period of time or could threaten the continued effectiveness or even survival of Tri-County Community Action Program, Inc. TCCAP is committed to developing a disaster plan by 9/30/2016 utilizing the following procedures.

PROCEDURES

1. Establishing the DR Planning Team
2. Setting Expectations
3. Methods for Identifying Risks
 - Each department and functional area undertakes the effort to answer:
 - What disasters could affect the services that department or area provides?
 - Reviewing services provided or functions of the department, rank them as **critical**, **important**, or **non-essential**
 - Which People, Places, and / or Systems are essential for each of these services?

- Record this information in a standard form or template used by all areas of the organization

4. Defining Critical Processes and the Order of Recovery

5. Designing the DR Plan

- Collect essential data
 - Use common forms
 - Examples of essential data:
- Master call list – critical staff for each department or area
- IT System inventories by area
 - Servers, desktops, printers, software
- System Recovery Passwords (in an encrypted database)
- IT Services Vendor information
 - ISP contract information and contact numbers
 - Telecommunications contract information and contact numbers
 - Hardware and Software support numbers, replacement orders
- Off-site storage location and inventory

6. Organize the written plan

- Develop procedures for recovery of the critical services or functions
- Determine and document the following:
 - When to declare a disaster or activate the plan
 - Who can activate the plan?
 - Chain of command and responsibility
 - Order of execution of the recovery efforts
- Process for revision and testing of the plan

DRUG AND ALCOHOL USE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. ensures the health and safety of others in accordance with the Drug Free Workplace Act of 1988. Accordingly, the unlawful manufacture, distribution, dispensing, possession, use, and being under the influence of a controlled substance, including cannabis and alcohol, are prohibited on Tri-County Community Action Program, Inc. premises.

Any employee who has engaged in drug abuse violations occurring in the workplace will be suspended immediately and may be terminated.

PROCEDURE

1. Employees in safety-sensitive positions, including any employee who drives a vehicle as part of their workday, are required to notify HR Director of any criminal conviction under a drug or alcohol statute for a violation no later than five days after such conviction.
2. Employees who have a problem with the use of controlled substances are encouraged to seek professional advice and assistance. One source of assistance may be a drug rehabilitation program acquired through their health insurance provider. Participation in a rehabilitation program is confidential and is encouraged by Tri-County Community Action Program, Inc.; however, it will

not preclude normal disciplinary action or relieve an employee of responsibility for performing assigned duties.

3. An employee with a drug or alcohol problem that has not resulted in, and is not the immediate subject of disciplinary action, may request approval to take unpaid time off to seek treatment. Leave may be granted if the employee abides by all policies, rules and prohibitions relating to conduct in the workplace; and provided that such leave will not cause Tri-County Community Action Program, Inc. undue hardship.
4. The legal use of controlled substances prescribed by a licensed medical physician is permitted and will not be considered a violation of this policy so long as it does not impair the employee's ability to perform the essential functions of the job effectively and in a safe manner that does not endanger persons involved at Tri-County Community Action Program, Inc.
5. Tri-County Community Action Program, Inc. has the right to require blood and/or urine samples in any of the following situations:
 - a. All candidates for employment may be required to submit blood and/or urine samples as a condition of an employment offer. This testing will be done at the same time and in conjunction with the employment physical examination, if required. In the event that the drug test is positive, the employment offer will immediately be rescinded.
 - b. Each prospective employee will be informed of our drug free workplace policy at the time of the interview and again at the time of the employment offer.
 - c. A current employee involved in any accident involving injury or Organization property damage at the work site or while on duty.
 - d. When a Division Director has reasonable suspicion that an employee's behavior is being influenced by one or more illegal drugs, alcohol, or misuse of a controlled substance the Director should consult with the HR Director before testing is ordered.
6. Employees refusing to submit to a test or testing positive for drugs or alcohol will be subject to disciplinary action up to and including suspension/termination. Tri-County Community Action Program, Inc. will determine, on a case-by-case basis, whether first-time offenders will be allowed to seek counseling/rehabilitation as an alternative to suspension/termination.
7. Any employee testing positive has the right to appeal the results and have the original sample re-tested at his/her own expense. If the test again indicates a positive result, Tri-County Community Action Program, Inc. may take disciplinary action up to and including immediate suspension/termination.

INCLEMENT WEATHER

*Effective Date: **Pending***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. realizes that there will be emergency inclement weather situations. This policy will outline actions to be taken in the event of inclement weather.

PURPOSE / POLICY

1. When a state of emergency is declared by the Governor, or designated representative, for an area that contains a Tri-County Cap operation, or site location, TCCAP will adhere to the emergency order as recommended.

2. Closure or delay in operations decisions for inclement weather will be the responsibility of the Division Director, based on the safety of employees and/or clients served. In the rare event that closure or delay occurs employees may use Accumulated Leave time to compensate for work time lost.
3. Employees who have the capability to work from their home will be expected to complete a normal work day from their remote location.
4. Notification of closure or delay will be the responsibility of the Division Director to call or implement a call tree to contact employees.
5. When feasible local radio stations will be notified by the Division Director of the closure/delay to assist in notifying employees. The radio station selected to be notified will be announced to employees and determined by the area of broadcast for each TCCAP site.
6. Post emergency, employees will report to their normal workstations.

ELECTRONIC MEDIA USE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

All persons with access to internet, intranet and e-mail systems are responsible for seeing that they are used properly and in accordance with the following policy. Questions concerning the policy should be directed to HR Director.

PROCEDURE

1. The internet, intranet and e-mail system is for business purposes. Conducting personal business should be limited to lunch or breaks.
2. At no time should any subject matter of a sexual nature be viewed.
3. There is no personal privacy in any matter created, received or sent from the internet or through the TCCAP e-mail system. Tri-County Community Action Program, Inc., in its discretion, reserves the right to monitor and access any matter created in, received through, or sent from the internet or through the TCCAP e-mail system.
4. Messages sent during working hours should be sent only with good business reason for doing so. Copies should be forwarded only for good business reasons.
5. Each employee is responsible for the messages that are sent from his or her computer. Employees with e-mail passwords should not share their passwords with anyone.
6. All e-mails must follow Organization policy banning solicitation and distribution. Chain letters, pyramid schemes, and other solicitations are prohibited.
7. No e-mail that constitutes intimidating, hostile or offensive material on the basis of race, color, religion, sex, national origin, age, disability (physical or mental), veteran status, pregnancy, marital status, medical condition, sexual orientation or any other status protected by Federal, state or local law or regulation may be created, sent or received at any time. Tri-County

Community Action Program, Inc.'s policy against harassment applies fully to the internet and e-mail system.

8. The unauthorized use, installation, copying, or distribution of copyrighted, trademarked, or patented material on the internet is expressly prohibited. Employees are also responsible for ensuring that the person sending any material over the internet has the appropriate distribution rights.
9. To ensure a virus free environment, no programs may be downloaded from the internet without the permission of the IT Consultant. E-mail messages and attachments should not be opened unless the sender is known to the receiver.
10. Tri-County Community Action Program, Inc. purchases and licenses the use of various computer software for business purposes and does not own the copyright to this software or its related documentation. Unless authorized by the software developer, neither Tri-County Community Action Program, Inc. nor any of its employees may reproduce such software for use on more than one computer.
11. Employees who become aware of misuse of the internet, intranet or e-mail system should promptly contact Division Director or HR Director.

SOCIAL MEDIA

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. has determined that Social Media is a tool that can be used to further our mission and goals. Social Media can provide a cost effective method of engaging our communities in discussion, foster positive relationships with our clients, and represent Tri-County Community Action Program, Inc. in these emerging electronic communications.

While all Tri-County Community Action Program, Inc. employees are welcome to participate in Social Media, we expect everyone who participates in online commentary to understand and to follow these simple but important guidelines. The goal is to participate online in a respectful, relevant way that protects our reputation and follows the letter and spirit of the law. Portraying TCCAP in a negative manner could result in disciplinary action.

PROCEDURES

1. If you are writing in the Social Media about Tri-County Community Action Program, Inc., use your real name, identify that you work for Tri-County Community Action Program, Inc., and be clear about your role. If you have a vested interest in what you are discussing, be the first to say so.
2. If you are posting to a page that is owned by a TCCAP program:
 - a. Never represent yourself or Tri-County Community Action Program, Inc. in a false or misleading way. All statements must be true and not misleading; all claims must be substantiated.
 - b. Post meaningful, respectful comments — no spam and no remarks that are off-topic or offensive. Use common sense and common courtesy.

- c. Protect sensitive or personal information. Make sure your efforts to be transparent don't violate Tri-County Community Action Program, Inc.'s privacy, confidentiality, and legal guidelines for external communication. Never discuss clients of Tri-County Community Action Program, Inc.
 - d. Stick to your area of expertise and do feel free to provide unique, individual perspectives on non-confidential activities at Tri-County Community Action Program, Inc.
 - e. When disagreeing with others' opinions, keep it appropriate and polite.
 - f. Never comment on anything related to legal matters, litigation, or any parties Tri-County Community Action Program, Inc. may be in litigation with.
 - g. Never participate in Social Media when the topic being discussed may be considered a crisis situation. Even anonymous comments may be traced back to your or Tri-County Community Action Program, Inc.'s IP address. Refer all Social Media activity around crisis topics to your Manager.
 - h. Always protect yourself, your privacy, and Tri-County Community Action Program, Inc.'s confidential information. What you publish is widely accessible and will be around for a long time, so consider the content carefully. Social Media users should always be aware that these types of communications are considered public records.
3. Personal use of Social Media is the right of every employee using their own equipment and on their own time. They are expected to never post or create anything that would be potentially embarrassing or considered offensive to Tri-County Community Action Program, Inc.

NOTE: Mainstream media inquiries must be referred to the CEO.

DRESS POLICY AND APPEARANCE

*Effective Date: **October 28, 2015***

PURPOSE

All employees are required to present a positive image to the public and clients. Accordingly, each employee is required to wear appropriate attire while conducting business. Appropriate dress is defined below, although job and work location should be taken into account as well.

PROCEDURE

1. At all times appearance will be neat and professional. Individuals with community and client contact will be expected to wear appropriate attire.
2. Division Directors are responsible for monitoring the dress policy, and may have specific dress requirements for their division employees.
3. Dress which is not acceptable may include items such as:
 - a. Form fitting stretch clothing (spandex, lycra, etc.)
 - b. Sweat pants/sweat suits/jogging suits/warm-up suits
 - c. Tank tops/halter tops/low-cut tops/cropped tops/shorts
 - d. T-shirts/sweat shirts
 - e. Hats/caps/sweat bands/bandanas
 - f. Torn, worn, or frayed clothing

4. Clothing that contains offensive graphics or messages are not permitted in the workplace or outside the workplace while conducting business.
5. Employees working with the children and/or going to the playground must wear closed toe and closed heel shoes with heels less than three inches.
6. Long fingernails and loose, flowing garments that can be caught or pulled, are prohibited.

PERSONAL PHONE CALLS, MAIL AND SUPPLIES

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Use of telephone and mail facilities will be available during working hours for effective communication with the Organization's service recipients and business associates. Use of TCCAP's facilities for personal communication should be kept to an absolute minimum.

PROCEDURE

1. Use of the Organization's telephone lines should be confined to business calls. Incoming and outgoing personal telephone calls should be limited to those that are absolutely necessary and should be as brief as possible.
2. Use of personal cell phones during work time, for brief conversations is acceptable and subject to any restrictions the supervisor considers appropriate and necessary. For example use of cellular telephones is not permitted in the classroom during scheduled classroom activities.
3. In order to avoid adding to the increasing volume of email, employees should minimize the receipt of personal email at work.
4. Office supplies are not for personal use. Organization stationery may not be used for personal correspondence as any communication sent out on Organization stationery might be considered official communication.

ORGANIZATION BULLETIN BOARDS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Concerning bulletin boards and their use for communicating with all persons involved in the Tri-County Community Action Program, Inc., only authorized Organization bulletin boards may be displayed. Bulletin boards are placed in key locations to be used to communicate employment information to employees.

PROCEDURE

1. Information on those boards must be approved in advance by Division Director.
2. Division Director is responsible for authorizing and maintaining or delegating the communication posted on display boards.

3. Division Director or site supervisor must approve and supervise the posting of all materials on authorized boards. Postings will be limited to Organization related matters.
4. Division Director or their designee will place job postings on bulletin boards in order to give current employees the opportunity to apply.

STANDARDS OF CONDUCT

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Tri-County Community Action Program, Inc. expects all persons involved in the Organization act in a professional and responsible way at all times. Some of the more obvious unacceptable activities are noted below; however, this list is not all-inclusive and other inappropriate conduct may result in disciplinary action.

PROCEDURE

1. All persons involved in Tri-County Community Action Program, Inc. must abide by these standards of conduct.
2. Contact HR Director with any questions concerning any standard of conduct or the unacceptable activities listed.

Unacceptable Activities

Unacceptable activities include, but are not limited to the following:

1. Violation of any Organization rule or policy; any action that Tri-County Community Action Program, Inc. deems detrimental to its efforts to operate.
2. Negligence or any careless action which endangers the life or safety of another person.
3. Being under the influence of a controlled substance or alcohol while at work, or reporting to work under the influence; use, possession or sale of a controlled substance in any quantity while on Organization premises, except medications prescribed by a physician which do not impair work performance or endanger clients, agency property or other employees.
4. Unauthorized possession of firearms, weapons or explosives in the workplace or while on duty.
5. Engaging in criminal conduct or acts of violence, intimidating or coercing fellow employees at any time and for any purpose or making threats of violence toward anyone on Tri-County Community Action Program, Inc. premises or when representing the Organization; disorderly conduct, fighting, or provoking a fight on Organization property.
6. Insubordination or refusing to obey a legal work order issued by immediate supervisor pertaining to job responsibilities and performance.
7. Engaging in an act of sabotage; negligently causing the destruction or damage of Organization property, or the property of all persons involved in Tri-County Community Action Program, Inc. in any manner.

8. Theft or unauthorized possession of Organization property or the property of fellow employees; removal of or damage to any Organization property, including removal of documents from the premises without prior permission from management; unauthorized use of Tri-County Community Action Program, Inc. equipment or property for personal reasons; using Organization equipment for profit.
9. Dishonesty, falsification, misrepresentation, or material omission on your application for employment or other work records; lying about medical or personal leave; falsifying reason for a leave of absence or other data requested by the Organization; falsification of Organization records or other Organization documents.
10. Violating confidentiality policy; giving confidential or proprietary information of the Tri-County Community Action Program, Inc. to competitors or other Organizations or individuals or to unauthorized Organization employees; working for a competing business while an Organization employee; breach of confidentiality of personnel information.
11. Unsatisfactory or careless work.
12. Any act of harassment.
13. Leaving work before the end of a work day or not being ready to work at the start of a workday without approval of immediate supervisor stopping work before time specified for such purposes.
14. Sleeping or loitering during working hours except for overnight positions that do not require the employee to be awake.
15. Excessive use of Tri-County Community Action Program, Inc. telephone for personal calls.
16. Creating or contributing to unsanitary conditions.
17. Failure to report an absence or late arrival; excessive absence or lateness.
18. Obscene or abusive language toward any person; any disorderly/antagonistic conduct on Organization premises.
19. Failure to immediately report damage to, or an accident involving, Organization equipment.
20. Leaving the premises during working hours without immediate Supervisor's knowledge or permission.
21. A child may not be left alone or unsupervised while under the program's care.
22. Failure to use positive methods of child guidance and engaging in corporal punishment, emotional or physical abuse, or humiliation. In addition, employ methods of discipline that involve isolation, the use of food as punishment or reward, or the denial of basic needs.

DISCIPLINE PROCEDURE

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

To be effective, disciplinary action should emphasize performance improvement. Tri-County Community Action Program, Inc.'s policy provides for progressive disciplinary action except in instances of gross misconduct when more severe action, up to and including termination, may be taken.

PROCEDURE

1. Progressive discipline may not be followed in all cases.
2. Depending on the circumstances involved, discipline issued may range from coaching up to termination.
3. Depending on the nature of the violation and other circumstances including, but not limited to, the employee's past conduct, one or more steps of progressive discipline may be repeated or skipped.

SUSPENSION / TERMINATION

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

Either the employer or employee may terminate the employment relationship at any time for any reason or no reason at all.

Voluntary terminations are those initiated by the employee and include:

- Resignation
- Retirement
- Death
- Failing to report to work as scheduled
- Failing to return from an approved extended leave of absence
- Failing to provide notification and obtain approval for absences of three or more consecutive days

Involuntary terminations are those initiated by the Organization and may include:

- Exhaustion of approved leave of absence
- Inability or failure to perform duties or to meet prescribed standards on the job
- Conduct not in the best interest of the Organization
- Layoff resulting from changes in services, resources, or qualification requirements for designated programs or projects

PROCEDURE

1. Any Suspension/Termination must be approved by the CEO. If the CEO is satisfied the employee has been given sufficient guidance and time to improve, or the offense is sufficient to warrant immediate Suspension/Termination, suspension/termination will be approved. Suspensions will normally be "with pay" until the investigation is complete. All investigations will be completed in an accurate and timely manner.

Head Start Specific

1. In cases of severe misconduct requiring an employee's immediate removal from his or her position (suspension), the /Head Start Policy Council/Committee will be notified immediately/at their next regularly scheduled monthly meeting. Layoffs do not count as terminations and do not require the approval of the Head Start Policy Council/Committee. All notifications of termination will be documented in the minutes of the meeting at which the notification was made.
2. Employees recommended for termination will be suspended with/without pay pending the Head Start Policy Council/Committee decision.
3. In the event that unsatisfactory performance continues and leads to termination, the Head Start Policy Council/Committee shall review the termination to ensure that proper procedures were followed. The termination, if upheld, will be effective upon the initial notice. If termination is not upheld, the matter will be treated in accordance with the Problem Resolution procedure.

EXIT INTERVIEWS

*Effective Date: **October 28, 2015***

PURPOSE / POLICY

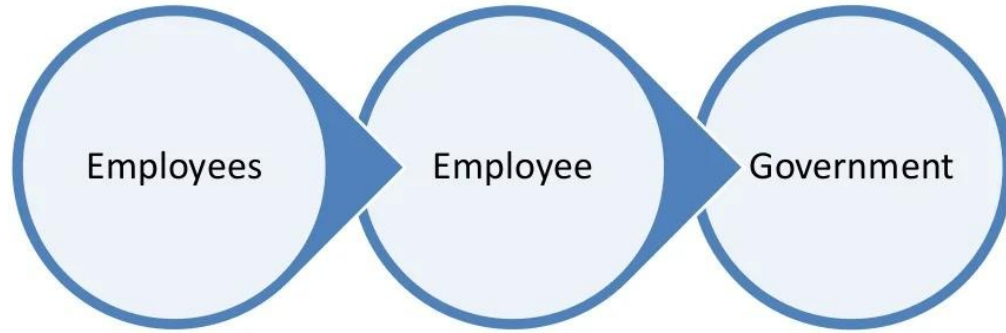
When practical and useful, exit interviews will be conducted for employees leaving Tri-County Community Action Program, Inc. who are willing to be interviewed.

PROCEDURE

1. HR Director utilizes the standard exit interview form to conduct an exit interview with the terminating employee.
2. HR Director is responsible for tracking and analyzing exit interview data and following up on issues identified in exit interviews to ensure resolution.

INTERNATIONAL INDUSTRIAL RELATIONS

Key Players



Labour Relations or IR is concerned **with:**

- Collective Bargaining
- Role management, unions and Government
- Machinery for resolution of industrial disputes,
- Individual Grievances and disciplinary policy and practices.
- Labour legislations and
- Industrial Relations training

Approaches to IR:

- 1. Unitary:** The unitary approach emphasis on the growth of the org. and both management as well as employees are expected to work towards its success. The approach also believes in the existence of unions, government and tribunals.
- 2 Pluralistic:** Departs from the unitary approach, it perceives: Organizations as coalitions of competing interests, where the management's role is to mediate amongst the different groups. Trade union as legitimate representative of employees interests. Stability in IR as the product of concessions and compromises between management and unions.
- 3. Marxist:** Focuses on the type of society in which an org. functions. CONFLICT ARISES not because of competing interests within the org. but because of the division within society – the class.

Impact of Globalization to IR

1. **Intra country system for consulting** employees at an early stage in any potential conflicts – Austria & Germany.
2. **Rapid development economics**, high productivity gives ample scope for dealing with wage claims and avoiding potential disputes – Latvia and Slovakia.
3. In the **RUSSIAN Federation**, the low level of disputes can be attributed to complex legal procedures that make all but a minority of strikes technically, illegal.
4. Greece and Italy have a strange practice of holding regular **one day national strikes** that involve large sections of the working population.
5. **High levels of inward investment** also give increased opportunities for individuals to change their mentality as well as their jobs.
6. Finally **quality movement** in the world wide.

Key Issues in IIRs: Key issues in IIRs can broadly divided into categories:

1. **Who should handle Labour Relations – HQ or Subsidiaries in the concerned countries.**

2. **What should be the Union Tactics?**



Global issues in HR

Introduction (cont.)

- These differences in union structures have had a major influence on the collective bargaining process in Western countries. Some changes in union structure are evident over time.
- The lack of familiarity of multinational managers with local industrial and political conditions has sometimes needlessly worsened a conflict that a local firm would have been likely to resolve.
- Increasingly, multinationals are recognizing this shortcoming and admitting that industrial relations policies must be flexible enough to adapt to local requirements.
- This is evidently an enduring approach, even in firms that follow a non-union labor relations strategy where possible.

Key issues in international industrial relations

- Industrial relations policies and practices of multinational firms
 - Because national differences in economic, political and legal systems produce markedly different industrial relations systems across countries, multinationals generally delegate the management of industrial relations to their foreign subsidiaries. However, a policy of decentralization does not keep corporate headquarters from exercising some coordination over industrial relations strategy.
 - Generally, corporate headquarters will become involved in or oversee labor agreements made by foreign subsidiaries because these agreements may affect the international plans of the firm and/or create precedents for negotiations in other countries.
 - Multinational headquarters involvement in industrial relations is influenced by several factors, as detailed below.

(cont.)

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **The degree of inter-subsidiary production integration.**
 - High degree of integration was found to be the most important factor leading to the centralization of the industrial relations function within the firms studied.
 - Industrial relations throughout a system become of direct importance to corporate headquarters when transnational sourcing patterns have been developed, that is, when a subsidiary in one country relies on another foreign subsidiary as a source of components or as a user of its output.
 - In this context, a coordinated industrial relations policy is one of the key factors in a successful global production strategy.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **Nationality of ownership of the subsidiary.**
 - A number of studies have revealed that US firms tend to exercise greater centralized control over labor relations than do British or other European firms.
 - US firms tend to place greater emphasis on formal management controls and a close reporting system (particularly within the area of financial control) to ensure that planning targets are met.
 - Foreign-owned multinationals in Britain prefer single-employer bargaining (rather than involving an employer association), and are more likely than British firms to assert managerial prerogative on matters of labor utilization.
 - Further, Hamill found US-owned subsidiaries to be much more centralized in labor relations decision making than British-owned. Hamill attributed this difference in management procedures to the more integrated nature of US firms, the greater divergence between British and US labor relations systems than between British and other European systems, and the more ethnocentric managerial style of US firms.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **International human resource management approach.**
 - The various international human resource management approaches utilized by multinationals; these have implications for international industrial relations.
 - An ethnocentric predisposition is more likely to be associated with various forms of industrial relations conflict.
 - Conversely, it has been shown that more geocentric firms will bear more influence on host-country industrial relations systems, owing to their greater propensity to participate in local events.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **MNE prior experience in industrial relations.**
 - European firms have tended to deal with industrial unions at industry level (frequently via employer associations) rather than at firm level.
 - The opposite is more typical for US firms. In the USA, employer associations have not played a key role in the industrial relations system, and firm-based industrial relations policies are the norm.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **Subsidiary characteristics.**
 - Research has identified a number of subsidiary characteristics to be relevant to centralization of industrial relations.
 - First, subsidiaries that are formed through acquisition of well-established indigenous firms tend to be given much more autonomy over industrial relations than are greenfield sites set up by a multinational firm.
 - Second, according to Enderwick, greater intervention would be expected when the subsidiary is of key strategic importance to the firm and the subsidiary is young.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **Subsidiary characteristics (*cont.*).**
 - Third, where the parent firm is a significant source of operating or investment funds for the subsidiary, that is, where the subsidiary is more dependent on headquarters for resources, there will tend to be increased corporate involvement in industrial relations and human resource management.
 - Finally, poor subsidiary performance tends to be accompanied by increased corporate involvement in industrial relations. Where poor performance is due to industrial relations problems, multinationals tend to attempt to introduce parent-country industrial relations practices aimed at reducing industrial unrest or increasing productivity.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **Characteristics of the home product market.**
 - An important factor is the extent of the home product market.
 - If domestic sales are large relative to overseas operations (as is the case with many US firms), it is more likely that overseas operations will be regarded by the parent firm as an extension of domestic operations.
 - This is not the case for many European firms, whose international operations represent the major part of their business.
 - Lack of a large home market is a strong incentive to adapt to host-country institutions and norms.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - **Characteristics of the home product market (*cont.*).**
 - Since the implementation of the Single European Market in 1993, there has been growth in large European-scale companies (formed via acquisition or joint ventures) that centralize management organization and strategic decision-making.
 - However, processes of operational decentralization with regard to industrial relations are also evident.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms
(*cont.*)
 - **Management attitudes towards unions.**
 - An additional important factor is that of management attitudes or ideology concerning unions.
 - Knowledge of management attitudes concerning unions may provide a more complete explanation of multinational industrial relations behavior than could be obtained by relying solely on a rational economic model.
 - Thus, management attitudes should also be considered in any explanation of managerial behavior along with such factors as market forces and strategic choices.
 - Denmark has the highest level of union membership, the USA has the second lowest and France has the lowest in the Western world.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - Although there are several problems inherent in data collection for a crossnational comparison of union-density rates, several theories have been suggested to explain the variations among countries. Such theories consider economic factors such as wages, prices and unemployment levels, social factors such as public support for unions and political factors. In addition, studies indicate that the strategies utilized by labor, management and governments are particularly important.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - Another key issue in international industrial relations is industrial disputes. Hamill examined strike-proneness of multinational subsidiaries and indigenous firms in Britain across three industries. Strike proneness was measured via three variables – strike frequency, strike size and strike duration. There was no difference across the two groups of firms with regard to strike frequency, but multinational subsidiaries did experience larger and longer strikes than local firms. Hamill suggests that this difference indicates that foreign-owned firms may be under less financial pressure to settle a strike quickly than local firms – possibly because they can switch production out of the country.

Key issues in international industrial relations (cont.)

- Industrial relations policies and practices of multinational firms (*cont.*)
 - Overall, it is evident that international industrial relations are influenced by a broad range of factors. Commenting on the overall results of his research, Hamill concluded that:

“General statements cannot be applied to the organization of the labor relations function within MNEs. Rather, different MNEs adopt different labor relations strategies in relation to the environmental factors peculiar to each firm. In other words, it is the type of multinational under consideration which is important rather than multinationality itself.”