

# Implementing 'Duty of Care' Duties: Part 2

An approach with tools to care of your company

John Kyriazoglou



JOHN KYRIAZOGLU

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# **IMPLEMENTING 'DUTY OF CARE' DUTIES**

PART 2: AN APPROACH  
WITH TOOLS TO CARE  
OF YOUR COMPANY

Implementing 'Duty of Care' Duties: Part 2:  
An approach with tools to care of your company  
1<sup>st</sup> edition

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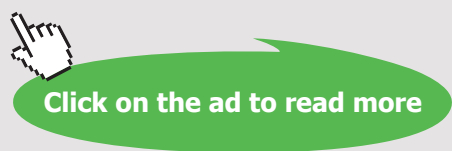
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# DEDICATIONS

This book is dedicated:

1. To God Almighty, for the blessings He bestows upon me, on a continuous basis,
2. To Divine Providence, for giving me faith to love, commit and engage in beneficial acts,
3. To Ancient Greece, for providing me with inspiration to write this book, and, last but not least,
4. To the five most important persons that adorn my world and fulfill my life, by loving me without limits and supporting me in all my endeavors and activities with warmth, kindness and best wishes: Sandy, Miranda, Christos, Dimitri and my wonderful, blue-eyed princess of my life, Melina.

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All these wonderful persons devoted their valuable time and expended their full energy to go through my very first draft offering me their valuable comments, changes, additions and improvements.

John Kyriazoglou

# SYNOPSIS OF 'DUTY OF CARE' BOOK

This book describes, in two parts, the 'duty of care' responsibilities, plans, policies and tools, as well as inspiring ways to attain and improve them for board members, executives and managers of enterprises and organizations.

I achieve these by recommending the use of:

- a) A seven-step 'Duty of Care' Implementation Approach;
- b) A 'Duty of care' model (DRAPES);
- c) The B<sup>4</sup> Workplace Wellness Model;
- d) The 'HARMONY' Milestones;
- e) The seven ancient Greek principles (faith, temperance, etc.);
- f) Numerous ancient Greek wisdom sayings and short stories; and
- g) Several strategic guidelines, management tips, plans, policies and audit tools.

All these could be used to inspire and motivate you to manage better and improve your business operations as well as protect more effectively your corporate assets, systems, data, customers and employees, considering the best use of the company's Data, Risks, Assets, People, Environment and Standards.

# SUMMARY: 'DUTY OF CARE' SUPPORT TOOLS

This is the second part of the two-part book on 'Duty of Care'. It contains 18 plans and 14 policies to support managers in establishing and executing their Duty of Care responsibilities and a set of 69 audit questionnaires with over 1000 questions to assess and improve their management duty of care tasks better.

**The contents of this book are:**

## **Part 2.1: Introduction to 'Duty of Care' Plans**

Ten chapters with 18 plans: Crafting Policies and Procedures Management Plan, Fire Safety Management and Evacuation Plan, Workplace Hazards Prevention Actions Plan, etc.

## **Part 2.2: Introduction to 'Duty of Care' Policies**

Five chapters with 14 policies: Wellness, Stress and Health Policies, Health Records and Human Rights Policies, etc.

## **Part 2.3: Introduction to 'Duty of Care' Audit Questionnaires**

Fourteen chapters with 69 audit questionnaires related to several issues, such as: Corporate Philosophy Assessment, Strategic Performance Assessment, Monitoring Controls Assessment, etc.

Bibliography

This is complemented by the first part of the book, as described next.



### **Summary: The Complete 'Duty of Care' Management Guide**

This is the first part of the two-part book on 'Duty of Care'. It contains an implementation approach of seven-steps and the description of the seven ancient Greek principles, controls and methods which can be used by managers to care for, manage and protect better the company's assets, systems, data, customers and employees.

*Also an e-book version of these books is available on:*

[www.bookboon.com](http://www.bookboon.com)

# PART 2.1: INTRODUCTION TO 'DUTY OF CARE' PLANS

**Summary:** The first part of this book contains a set of 18 plans related to the most critical issues related to 'duty of care' responsibilities, such as: Fire Safety Management and Evacuation; Workplace Hazards Prevention; Data Security Management, etc.

*For more details on how these may be used to establish and improve the implementation of hard controls and management's 'duty of care' tasks, see chapters 1 to 7 of Part 1 of this book.*

## Objective of plans

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



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

### **Plan preparation**

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

All these plans should comply with the principles embodied in the Workplace Wellness Model (see Chapter 1 in Part 1: 'B<sup>4</sup> Workplace Wellness Model': Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in the management of specific functions, employee wellness, health and safety, as well as programs, projects and activities.

### **Plan Revision History**

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

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

# 1 CRAFTING POLICIES AND PROCEDURES MANAGEMENT PLAN

## Objective of this plan

The main objective of this management plan is to present to corporate managers and other business professionals a methodology that could be used to craft a company's required policies and procedures.

## 1.1 METHODOLOGY

**STEP 1:** Establish a team (and a function) to organize and write 'The Corporate Policies and Procedures Manual'.

**STEP 2:** Set general goals, specific objectives and the schedule (time-plan) for writing, reviewing and issuing 'The Corporate Policies and Procedures Manual'.

**STEP 3:** Determine the contents of 'The Corporate Policies and Procedures Manual'. This Manual could be structured in three volumes: Volume 1 for policies, Volume 2 for procedures, and Volume 3 for forms.

**STEP 4:** Collect, analyze and process all the required material for 'The Corporate Policies and Procedures Manual'.

**STEP 5:** Design all the required corporate forms, such as: expense slips, invoices, vacation requests, time sheets, purchase orders, visitor control, etc.

**STEP 6:** Write the first draft of 'The Corporate Policies and Procedures Manual'.

**STEP 7:** Review and obtain feedback as regards 'The Corporate Policies and Procedures Manual' from all stakeholders.

**STEP 8:** Get board approval and issue 'The Corporate Policies and Procedures Manual' both in printed and in electronic form.

**STEP 9:** Maintain 'The Corporate Policies and Procedures Manual'.

**STEP 10:** Revise 'The Corporate Policies and Procedures Manual'.

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## 2 FIRE SAFETY MANAGEMENT AND EVACUATION PLAN

### 2.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Fire Safety Management and Evacuation Plan is to prevent any damage or injury to all our employees and customers, visitors or partners engaged in company offices, locations and plants.

A typical example of such a plan is:

### 2.2 FIRE SAFETY MANAGEMENT AND EVACUATION PLAN – EXAMPLE FOR COMPANY 'XXY' (FICTITIOUS BUSINESS ENTITY)

This plan contains the following actions:

Action 1: Declaration of Intent

Action 2: Fire Risk Assessment and Planning Tasks

Action 3: Senior Executive Fire Safety Responsibilities

Action 4: Department Managers' Fire Safety Responsibilities

Action 5: Fire Safety Manager's Responsibilities

Action 6: Employees' Fire Safety Responsibilities

Action 7: Evacuation Guidelines

These are presented next.

#### **Action 1: Declaration of Intent**

1.1. Our Company believes that ensuring the health and safety of employees, visitors, service users and all relevant persons is essential to our business success.

1.2. We are committed to:

- 1) Assessing and controlling the risks that arise from our work activities and operations.
- 2) Ensuring safe working methods and providing safe working equipment.
- 3) Preventing accidents and workplace related ill health.
- 4) Providing a safe and healthy working and learning environment.
- 5) Complying with statutory requirements, regulations and industry practices, as a minimum.

- 6) Providing effective guidance, information, coaching, instruction and training, as required to all our employees.
- 7) Consulting with our employees and their representatives on health and safety matters.
- 8) Monitoring and reviewing our systems and prevention measures to ensure their effectiveness.

### **Action 2: Fire Risk Assessment and Planning Tasks**

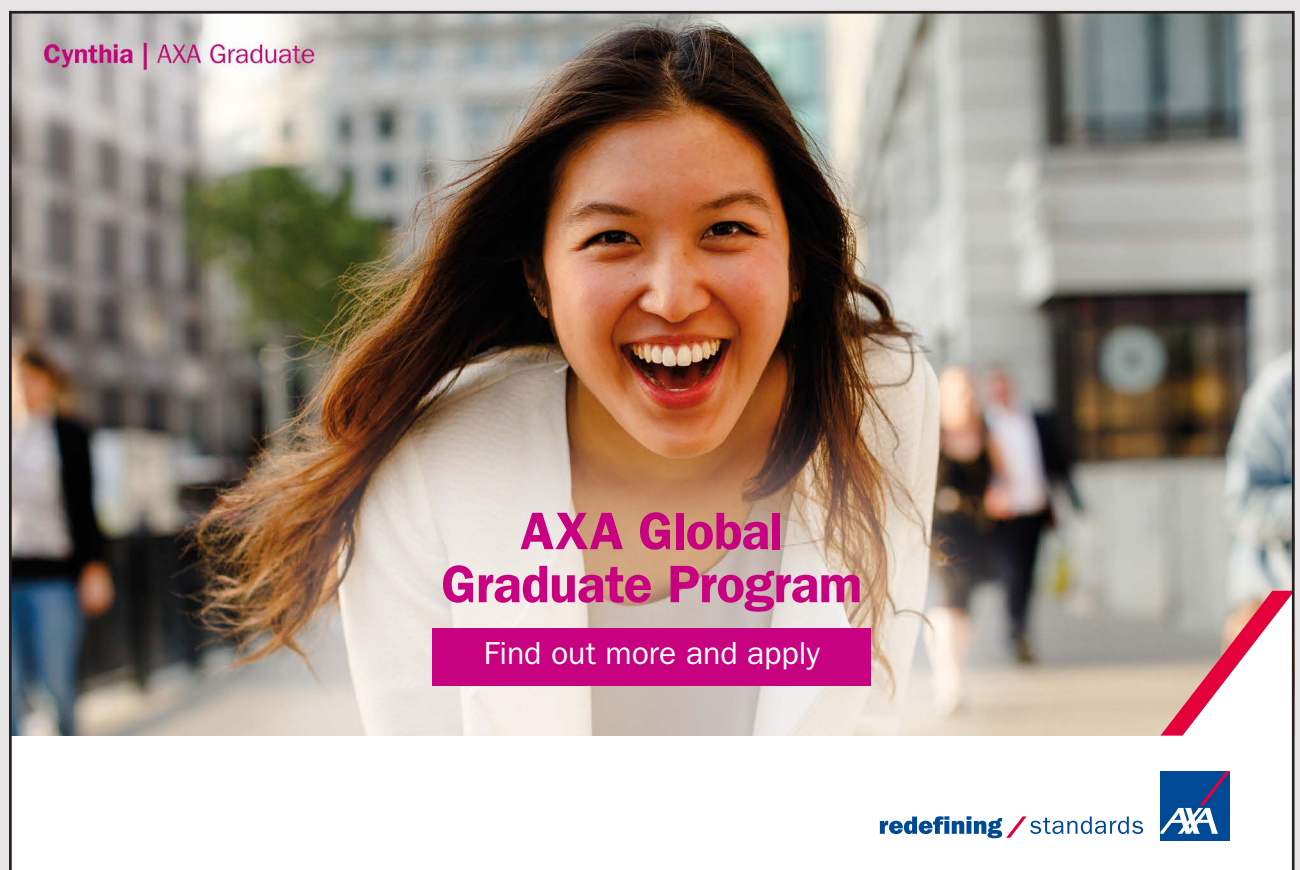
- 2.1. Fire Risk Assessments will be carried out and reviewed annually or when there is any building alteration or change of occupation and use of the premises, or following a fire incident, an emergency, etc.
- 2.2. Fire evacuation exercises will be carried out, at least annually. The purpose of these exercises is to educate all employees in the correct manner of evacuating a building in the event of an emergency situation and to meet legal obligations.
- 2.3. All evacuations will be conducted by the Fire Wardens under the guidance of a Fire Safety Officer. De-briefing sessions will accompany each evacuation drill (before and after).
- 2.4. Provisions will be made for the safe evacuation of disabled people.
- 2.5. In the event of a fire alarm outside of normal business hours, all employees and visitors are to evacuate the building. All staff, visitors and contractors will be made aware of the fire procedures.
- 2.6. All building design work shall comply with relevant fire, safety and health codes and standards.
- 2.7. Testing of building passive and active fire evacuation systems are to be conducted by an assigned officer at agreed appropriate times during normal hours and in line with current national, international or European test standards, as appropriate.
- 2.8. All building fire wardens will be trained in the use of the evacuation system.
- 2.9. Fire wardens will report any faults or problems to their respective Chief Wardens who will forward the details to the Fire Safety Officer or Health and Safety Manager.
- 2.10. A fire safety log book will be kept to record the details of all tests on passive and active preventative and protective measures, as well as training and fire drills.

### **Action 3: Senior Executive Fire Safety Responsibilities**

Our Company's Chief Executive Officer or other authorized senior officer will:

- 3.1. Make certain that this Plan and any departmental fire safety policies and codes of practice that complement this Plan are in place, properly implemented and reviewed regularly.
- 3.2. Make certain that a Responsible Person is appointed to oversee and implement fire safety arrangements, and Make certain that they are Qualified Fire Safety Professional and appropriately trained to undertake their duties.


- 3.3. Make certain that arrangements are in place for the completion of fire risk assessments, including, where appropriate, technical surveys in respect of fire protection and avoidance.
- 3.4. Make certain that fire, security, and health and safety arrangements at each location of the company are complementary and support each other.
- 3.5. Make certain that annual audits of all fire systems by the appropriate teams are executed to ascertain compliance with not only statutory provisions but with this Fire Safety Management Plan.
- 3.6. Make certain that:
  - 1) Active reviews take place quarterly prior to any likely accident or event.
  - 2) Reactive reviews take place following a fire safety event.
  - 3) A review is undertaken following a fire, changes to the building, facilities, new procedures, new equipment, new materials and changes in staff numbers and roles.
- 3.7. Make certain that all fire safety procedures are improved as needs and regulations change and after a drill or fire event.
- 3.8. Have contingency plans for when life safety systems such as evacuation lifts, fire-detection and warning systems, sprinklers or smoke control systems, emergency lighting or building power system are out of order.



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#### **Action 4: Department Managers' Fire Safety Responsibilities**

Our Company's Managers, Section Heads or Department Managers with responsibility for premises or parts of premises of the company, will:

- 4.1. Make certain that fire risk assessments are carried out for all their workplaces and locations, and for specific activities such as hot working involving welding, cutting, etc.
- 4.2. Make certain, in conjunction with the outcome of the fire risk assessment that the optimum number and type of fire extinguishers are installed in appropriate locations.
- 4.3. Make certain that fire alarm and detection systems, emergency lighting and fire extinguishers are appropriately located and properly maintained.
- 4.4. Make certain that a robust and effective emergency plan is in place at each location to safely evacuate all persons, whether employees, visitors or service users, and taking into account people with mobility, some sensory and some learning impairments, including those with temporary impairments, which will affect their ability to use stairs or otherwise evacuate premises promptly.
- 4.5. Arrange for the emergency plan to be issued to their employees, visitors, etc. to inform them what to do in the event of fire, etc.
- 4.6. Arrange for a Qualified Fire Safety Professional responsible person (who may also be the premises coordinator) to be appointed to oversee and implement fire safety arrangements at their workplace(s) on their behalf.
- 4.7. Make certain that employees are appropriately trained in fire safety procedures to reflect the requirements of the fire risk assessment.
- 4.8. Make certain that a copy of the current fire risk assessment for their premises is easily accessible.
- 4.9. Make certain that fire risk assessments are reviewed at least annually or whenever there is any alteration to the building or following an incident involving fire.
- 4.10. Ensure that effective arrangements are in place for contacting the emergency services.

#### **Action 5: Fire Safety Manager's Responsibilities**

Our Company's Fire Safety Manager, will:

- 5.1. Support and assist with the preparation and review, at least annually, of fire safety risk assessments.
- 5.2. Make certain that the necessary control measures are implemented to comply with the results of the Company's Fire Risk Assessment.
- 5.3. Prepare, issue and improve the emergency plan issued to all employees of the company.
- 5.4 Make certain all employees, visitors, partners and contractors are instructed in the emergency plan, as needed.

- 5.5. Organize fire drills, at least annually, review and improve fire safety controls accordingly.
- 5.6. Rehearse the instructions for supporting and assisting visitors, disabled people or those with temporary physical or other impairments to safely evacuate the premises.
- 5.7. Establish a set Key Performance Indicators (KPIs) will be used to monitor the effectiveness of the Fire Safety Management Plan.  
These KPIs will include:
  - 1) Number of fires recorded annually
  - 2) Number of fire related incidents.
  - 3) Number of evacuation drills
  - 4) Number of fire safety audits.
  - 5) Number alterations or prohibition notices from statutory authorities.
- 5.8. Make certain that Fire Alarms are regularly tested at the recommended frequency (e.g. weekly, monthly, etc).
- 5.9. Monitor that fire alarm systems, detection devices, emergency lighting and fire extinguishers are appropriately and regularly maintained;
- 5.10. Make certain that fire action notices are appropriate and kept up to date.
- 5.11. Make certain all escape routes are kept clear of obstructions and that access to fire extinguishers and fire alarms is not impeded.
- 5.12. Ensure all escape routes are kept clear of obstructions and that access to fire extinguishers and fire alarms is not impeded.
- 5.13. Make certain that the annual testing of portable electrical equipment and periodic testing (5 yearly or as otherwise decided ) of the fixed electrical installations has been carried out.
- 5.14. Make certain that quarterly fire safety inspections of the premises are carried out.
- 5.15. Keep the fire log book or equivalent documentation up to date.
- 5.16. Issue and distribute the relevant Evacuation Guidelines (see Action 7: Evacuation Guidelines later in this plan)

### **Action 6: Employees' Fire Safety Responsibilities**

Our employees will:

- 6.1. Make certain they are familiar with the emergency plan for their workplace.
- 6.2. Cooperate by participating in fire evacuation and drill procedures, as scheduled.
- 6.3. Observe practical fire safety arrangements, as published.
- 6.3. Cooperate with the responsible person for fire safety for their workplace.
- 6.4. Be aware and familiar with all escape routes of their location.
- 6.5. Report to their immediate manager or supervisor any concerns about fire safety;
- 6.6. Keep fire doors open, at all times.

- 6.7. Know the actions to be taken on discovering a fire, hearing a fire alarm, for raising the alarm and calling the fire and rescue service.
- 6.8. Evacuate the premises, in accordance with the emergency plan, to a place of safety without putting themselves and others at risk.
- 6.9. Not attempt to extinguish a fire unless they have been specifically trained.
- 6.10. Comply with the No Smoking legislation.

### **Action 7: Evacuation Guidelines**

- 7.1. All company employees, visitors and partners working in our company, must always follow the evacuation guidelines noted below, as instructed, and led by the Company's fire safety manager.
- 7.2. All persons must:
  - 1) Prepare and evacuate the building by way of the nearest emergency exit. Walk; do not run. Do not use elevators.
  - 2) Close but do not lock all doors as you leave.
  - 3) Before exiting through any closed door, check for heat and the presence of fire behind the door by feeling the door with the back of your hand. If the door feels very warm or hot to the touch, advise everyone to proceed to another exit.
  - 4) In the event you are unable to exit the building:
    - (4.a) Remain calm; do not panic
    - (4.b) Remain low; crawl if necessary.
    - (4.c) Place a cloth, wet if possible, over your mouth to serve as a filter
    - (4.d) Signal for help from a window. Use a towel, clothing, sign etc.
  - 5) Upon exiting the building and proceeding to the assembly area, remain at least 20 feet away from the building walls and overhangs. Do not block any driveways, as Fire Department personnel will need access to these areas.
  - 6) Employees are requested to report to their assigned assembly areas as defined by your Fire Evacuation Plan.
  - 7) All persons should stay clear of the building until your appointed fire monitor has advised you to re-enter the building/area.
  - 8) Employees must assist visitors during alarm/emergency situations.
  - 9) Visitors may not be aware of exits/alternative exits and the procedures that should be taken during alarm situations.
  - 10) Employees should calmly inform visitors of the proper actions to be taken and assist them with the evacuation.

# 3 WORKPLACE HAZARDS PREVENTION ACTIONS PLAN

## 3.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Workplace Hazard Prevention Actions Plan is to prepare the company with a set of preventive actions so that any damage or injury to all our employees and customers, visitors or partners engaged in company offices, locations and plants are minimized if not avoided all-together.

A typical example of such a plan is:

## 3.2 WORKPLACE HAZARD PREVENTION ACTIONS PLAN – EXAMPLE FOR COMPANY 'XXY' (FICTITIOUS BUSINESS ENTITY)

This plan contains the following:

1. Introduction
2. Types of Workplace Hazards
3. Actions to prevent Workplace Hazards
4. Actions to prevent high technology workplace ergonomic hazards
5. Wellness Risk Management Plan
6. Plan Revision History

These are presented next.

### 3.2.1 INTRODUCTION

Health and safety hazards exist in every workplace. Some are easily identified and corrected, while others create extremely dangerous situations that could be a threat to your life or long-term health and wellness.

The board and the senior management of companies have a responsibility to protect all employees against health and safety hazards at their workplace.

Employees have the right to know about potential workplace hazards and to refuse work that they believe is dangerous. Employees also have a duty and responsibility to work safely with hazardous materials.

The best way to protect your business from potential lawsuits and your employees from injuries is for yourself to take action to prevent them and for your employees to learn to recognize them and avoid them.

### 3.2.2 TYPES OF WORKPLACE HAZARDS

There are five main types of usual workplace hazards:

1. **Physical hazards:** *Physical hazards* are the most common hazards and are present in most workplaces at some time. Examples include: frayed electrical cords, unguarded machinery, exposed moving parts, constant loud noise, vibrations, working from ladders, scaffolding or heights, spills, tripping hazards, radiation, magnetic fields, pressure extremes (high pressure or vacuum), etc.
2. **Psychosocial hazards:** These include occupational stress, anxiety, violence, etc.
3. **Ergonomic hazards:** These include repetitive movements, improper set up of workstation and chairs, poor lighting, improperly adjusted workstations, frequent lifting, repetitive or awkward body movements, etc.
4. **Biological hazards:** These include diseases, bacteria, viruses, insects, plants, birds, animals, and humans, etc.
5. **Chemical hazards:** These include toxic substances, gases, cleaning products and solvents, vapours and fumes, carbon monoxide or other gases, gasoline or other flammable materials, etc.

### 3.2.3 ACTIONS TO PREVENT WORKPLACE HAZARDS

1. Craft and implement a risk management process to your needs (see '5. Wellness Risk Management Plan' below) as well as health and safety policies for your production function.
2. Educate all personnel on how to identify and avoid hazards.
3. Ensure that all personnel report potential hazards at the workplace when they see one.
4. Carry out inspections of workplaces and audit hazard prevention practices.
5. Maintain a workplace hazards log to record all hazards and actions taken.
6. Correct all reported hazards.

7. Label all hazardous or controlled materials and products so that they clearly identify the product and provide hazard information about it.
8. Monitor the exposure of employees to identified or new hazards including the impact on their physical, spiritual and mental health.
9. Get advice from consultants or experts on appropriate injury preventions and hazard controls.
10. Connect with other similar business organizations to share knowledge and practices on hazards.

### 3.2.4 ACTIONS TO PREVENT HIGH TECHNOLOGY WORKPLACE ERGONOMIC HAZARDS

1. Sit at an adjustable desk specially designed for use with computers.
2. Have the computer screen either at eye level or slightly lower.
3. Have your keyboard at a height that lets your elbows rest comfortably at your sides.
4. Your forearms should be roughly parallel with the floor and level with the keyboard.
5. Adjust your chair so that your feet rest flat on the floor, or use a footstool.



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6. Use an ergonomic chair, specially designed to help your spine hold its natural curve while sitting.
7. Use an ergonomic keyboard so that your hands and wrists are in a more natural position.
8. Take frequent short breaks and go for a walk, or do stretching exercises at your desk.
9. Stand often.
10. Take short walks at least every hour.

### 3.2.5 WELLNESS RISK MANAGEMENT PLAN

Depending on the hazards profile of your business you may need to consider implementing a set of Hazard Risk Controls (HRCs) to controls risks at three operating stages of your business: Inputs to your business, Processing within your business and Outputs from your business.

I am proposing the following Hazard Risk Controls (HRCs) for your consideration and implementation.

#### 5.1. First business operating stage: Input HRCs

These controls should be designed to eliminate and minimize hazards entering your business organization.

HRCs may be needed for:

**5.1.1: Physical Building.** HRCs are required to ensure that wellness is included in the design, construction and operation of all buildings, plants and offices, and generally in your workplaces in which your people produce products and provide services.

**5.1.2. Health and Safety Data.** HRCs are required to ensure that wellness is included in all health and safety data and information entering your business including: information relating directly to risk management, assessment of hazards, health and safety standards, corresponding guidance and aspects of the wellness law, and any revisions, as well as other technical and management information relating to risk control and the development of a positive health and safety culture.

**5.1.3: Personnel.** HRCs are required to ensure that wellness is included in the recruitment and selection of all employees of your company as well as in the

selection of contracting organizations and external partners working at your workplace;

**5.1.4: Physical Resources.** HRCs are required to ensure that wellness is included in the design and operation of all physical resources entering your business including materials and equipment used or operated by your people as well as the corresponding equipment and materials used by external contractors in your workplace.

## **5.2. Second business operating stage: Processing HRCs**

These controls should be designed to eliminate and minimize hazards during the processing function in your business organization. HRCs may be needed for:

**5.2.1: Work Execution.** HRCs are required to ensure that wellness is included in the way that work tasks are executed according to business standard and emergency procedures including the design of jobs and work tasks and all aspects of the way the work is done (routine or standard , non-routine or ad-hoc activities and emergency activities).

**5.2.2: Employee Competence.** HRCs are required to ensure that wellness is included in the placement of employees, their competence for the job and any health surveillance needed.

**5.2.3: Workplace Environment.** HRCs are required to ensure that wellness is included in the entrances and exits of all rooms and plant facilities and the general working (health protection, safety, mechanical, energy and electrical) environment where products are produced and services provided. This includes also the issues of destroying toxic materials and substances and dismantling equipment and facilities including cabling and other infrastructural components (e.g. chemical labs).

**5.2.4: Handling of Substances.** HRCs are required to ensure that wellness is included in the way substances, parts and materials are handled, stored and transported within the customer, business function and production areas.

## **5.3. Third business operating stage: Output HRCs**

These controls should be designed to eliminate and minimize hazards during the processing function in your business organization. HRCs may be needed for:



**5.3.1: Product Delivery.** HRCs are required to ensure that wellness is included in the way products are delivered to customers or services provided including the consideration of design and research on the health and safety and safe use of products and services, the provision of information to customers to identify evidence of harm, the delivery and transport of products including packaging, labelling and intermediate storage and the installation, setting up, cleaning and maintenance of products undertaken by employees or contractors.

**5.3.2: Environment Protection.** HRCs are required to ensure that wellness is included in the way your business outputs to the environment, particularly wastes and atmospheric emissions and the disposal of plant, equipment, hazardous substances and other wastes (water, human, digital, paper, etc.).

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# 4 DATA SECURITY MANAGEMENT PLAN

## 4.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Data Security Management Plan is to maintain effective data security for protecting the personal data of individuals collected, processed, used and held by the enterprise.

## 4.2 CONTENTS

The contents of this plan are:

- Action #1: Include Data Privacy into the Corporate Security Policy;
- Action #2: Include Data Privacy into the Information Security Policy;
- Action #3: Include Data Privacy into the Acceptable Use Policy;
- Action #4: Include Data Privacy into Security Risk Assessments;
- Action #5: Implement IT Technical Security Controls;
- Action #6: Implement Human Resources Security Controls;
- Action #7: Include data privacy into business continuity planning;
- Action #8: Develop and Implement a data-loss prevention strategy;
- Action #9: Conduct regular testing of data security; and
- Action #10: Maintain security certification;

These are detailed next.

### **Action #1: Include Data Privacy into the Corporate Security Policy**

- 1.1. The Corporate Security policy of the enterprise describes the security measures and controls that are designed to deny unauthorized access to the enterprise's facilities, equipment and resources that store personal data.
- 1.2. This corporate security policy defines the use of multiple layers of interdependent systems which include: Wire fences; Closed circuit television surveillance; Security guards; Protective barriers; Locks; Physical access control protocols, etc.

- 1.3. The Privacy Office of the enterprise ensures that this policy includes measures and controls related to the protection of personal data in accordance with the legal, compliance and other data protection and privacy regulations.

### **Action #2: Include Data Privacy into the Information Security Policy**

- 2.1. The Information Security policy is a written statement that communicates the organization's goals, purpose, objectives, requirements, responsibilities and standards for protecting the information maintained by the systems of the specific enterprise.
- 2.2. This Policy is a high level statement which clarifies the direction of, and support for information security; Describes the roles of personnel and the reasons for protecting data; Is supported by standards, guidelines, and operational procedures which explain in detail how to execute the specific instruction to support the Policy requirements; and is used to protect information assets from a wide range of threats to ensure business continuity, prevent security breaches, and reduce operational and business risk.
- 2.3. The Privacy Office of the enterprise ensures that this policy includes measures and controls related to the protection of personal data in accordance with the legal, compliance and other data protection and privacy regulations.

### **Action #3: Include Data Privacy into the Acceptable Use Policy**

- 3.1. An acceptable use policy is a set of rules applied by an enterprise that governs the use and defines the restrictions of network, website and computer system resources.
- 3.2. This policy: defines what users are, and are not; what are they allowed to do with the IT systems of an organization; and the sanctions to be applied if a user breaks the acceptable use policy of the enterprise.
- 3.3. The Privacy Office of the enterprise ensures that this use policy includes all aspects related to the protection of personal data in accordance with the legal, compliance and other data protection and privacy regulations.

### **Action #4: Include Data Privacy into Security Risk Assessments**

- 4.1. A usual security risk assessment enables an enterprise to identify threats and the associated vulnerabilities which have the potential to negatively impact its business operations.
- 4.2. The security risk assessment addresses all business functions, departments and computerized systems within the organization, including those that collect, process, maintain, store, and transmit personal data.
- 4.3. The Privacy Office of the enterprise ensures that this assessment includes all aspects related to the protection of personal data in accordance with the legal, compliance and other data protection and privacy regulations.

## Action #5: Implement IT Technical Security Controls

- 5.1. IT technical security controls are safeguards that are implemented and maintained by enterprises to prevent, avoid, counteract or minimize IT-related security risks.
- 5.2. These IT technical security controls consist of two types: hardware and software controls.
- 5.3. Enterprises use these to provide automated protection to the computer system and its computerized applications. Some examples of technical security controls include: Encryption techniques; Firewalls; Intrusion Detection System ('IDS'); Intrusion Prevention Systems ('IPS'); and Security Event and Information Monitoring System, etc.
- 5.4. Encryption is used to transform personal data using specific algorithms to turn the personal data into an unreadable format and safeguard them against those who do not possess the encryption key.
- 5.5. The Privacy Office of the enterprise ensures that all these controls as well as encryption are used to ensure the protection of personal data and that personal data are encrypted in accordance with the legal, compliance and other data protection and privacy regulations.

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### **Action #6: Implement Human Resources Security Controls**

- 6.1. Human resources security controls ensure that the individual employees who are or will be accessing personal data or holding positions of trust (e.g., in the Privacy Office, Information Security or IT) or access and maintain computerized systems are responsible and trustworthy individuals.
- 6.2. Such controls also ensure that when employees leave the enterprise or are transferred, steps are taken to restrict their access to systems and premises that house personal data, and ensure that no personal data remains in their custody after they leave.
- 6.3. The enterprise uses these controls to ensure that access to personal data is restricted to authorized employees and users with a legitimate business need.
- 6.4. This includes controls to: manage the user provisioning process (adding, modifying, and deleting user profiles); ensure that access is authorized by someone with appropriate level of authority; authenticate users; segregating duties; pre-screening applicants; performance appraisals, etc.
- 6.5. The Privacy Office of the enterprise ensures that all these controls are used to ensure the protection of personal data and in accordance with the legal, compliance and other data protection and privacy regulations.

### **Action #7: Include data privacy into business continuity planning**

- 7.1. An enterprise maintains a business continuity plan and an IT disaster recovery plan to: Identify the organization's exposure to internal and external threats; and define how the enterprise recovers from an incident while maintaining confidentiality and integrity of personal data and computer facilities and critical application systems.
- 7.2. These plans should include regular testing and taking copies to an offsite storage as defined by the enterprise's IT disaster recovery plan.
- 7.3. The Privacy Office of the enterprise ensures that all these controls and plans are used to ensure the protection of personal data and in accordance with the legal, compliance and other data protection and privacy regulations.

### **Action #8: Develop and Implement a data-loss prevention strategy**

- 8.1. Data Loss Prevention ('DLP') is a strategy and process (DLP solution) that guides and governs the protection of sensitive information in all its forms.
- 8.2. DLP solutions need to discover and fingerprint sensitive information regardless of format, and, through regular intervals, keep the DLP solution and related controls informed about changes such as new data stores.
- 8.3. An effective DLP Solution will combine network- and host-based controls to protect enterprises from careless or intentional data loss.

- 8.4. Examples include: uploading information; sending information outside the organization via email; copying information to a removable media device; data discovery; policy creation, analytics, and response; and integration with other controls such as Internet gateways for broad policy enforcement, etc.
- 8.5. The Privacy Office of the enterprise ensures that all the DLP solution is used to ensure the protection of personal data and in accordance with the legal, compliance and other data protection and privacy regulations.

#### **Action #9: Conduct regular testing of data security**

- 9.1. As the landscape of cyber risks is always changing it is good practice for all enterprises to conduct testing of their implemented security controls.
- 9.2. This testing should be done on a periodic basis (e.g., once per year) and should at least include a security penetration test of the organizations security controls.
- 9.3. The purpose of the test is to: Identify security vulnerabilities; Attempt to successfully exploit the vulnerabilities in order to gain some form of access to the enterprise's network, computer system and applications; and recommend specific improvements.
- 9.4. The Privacy Office of the enterprise ensures that all security tests are used to ensure the improvement of the protection of the privacy of personal data and in accordance with the legal, compliance and other data protection and privacy regulations.

#### **Action #10: Maintain security certification**

- 10.1. In order to improve security controls the enterprise engages with a qualified third party to provide: An independent evaluation of controls that cover security, availability, processing integrity, confidentiality and data protection and privacy; and a report that gives assurance attesting to the specific enterprise's compliance with the relevant principles and criteria.
- 10.2. The Privacy Office of the enterprise ensures that this certification improves the protection of personal data and in accordance with the legal, compliance and other data protection and privacy regulations.

# 5 CORPORATE INTELLIGENCE MONITORING MANAGEMENT PLAN

## 5.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Corporate Intelligence Monitoring Management Plan is to maintain effective collection, processing and monitoring of intelligence information for protecting the company's information and other activities from external business threats.

## 5.2 ACTIONS

**Action 1:** Define the corporate intelligence mission.

**Action 2:** Obtain the necessary resources, personnel, funds, systems, office space, equipment, subscriptions to external data bases, etc.



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**Action 3:** Establish the organizational structure for corporate intelligence by assigning responsibilities and reporting mechanisms.

**Action 4:** Identify the corporate intelligence internal and external sources that will make up the corporate knowledge base.

**Action 5:** Organize the internal computerized information systems and data as well as the other corporate data into a knowledge base.

**Action 6:** Organize and set up the collection mechanisms for obtaining external data.

**Action 7:** Obtain, review, process, analyze, prioritize and record the internal and external information in the corporate knowledge base.

**Action 8:** Operate the corporate intelligence unit and provide the required reports and analyses to approved management levels.

**Action 9:** Review and evaluate the results of the corporate intelligence unit.

**Action 10:** Improve the structure, operation, staff, systems and reports of the corporate intelligence unit.



# 6 CORPORATE RISK MANAGEMENT PLAN

## 6.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Corporate Risk Management Action Plan is to establish the context and create a risk management plan for protecting the company's operations from all business risks.

## 6.2 ACTIONS

### Action 1: Establishing the context

Establishing the context involves:

- a) Identification of risk in a selected domain of interest,
- b) Planning the remainder of the process,
- c) Mapping out the social scope of risk management, the identity and objectives of stakeholders and the basis upon which risks will be evaluated,
- d) Defining a framework for the activity and an agenda for identification,
- e) Developing an analysis of risks involved in the process, and
- f) Mitigation of risks using available technological, human and organizational resources.

### Action 2: Create a risk-management plan

The risk-management plan should document the appropriate controls or countermeasures to measure each risk.

Risk mitigation needs to be approved by the appropriate level of management.

A good risk management plan should contain a schedule for control implementation and responsible persons for those actions.

### Action 3: Set up the Risk Register.

### Action 4: Execute the risk-management plan

This involves analyzing and taking appropriate actions on resolving all the identified (actual and potential) risks affecting your company, and monitoring all the taken actions to ensure that all the risks have been handled with the least possible effect.

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# 7 CORPORATE CULTURAL RESILIENCE IMPROVEMENT PLAN

## 7.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Corporate Cultural Resilience Improvement Plan is to improve the cultural resilience of all people working for our company by executing a set of improvement actions on the soft controls aspects issues related to engaging people better.

## 7.2 ACTIONS

### Action 1: Improve 'Tone at the Top'

You can do this by:

1. **Dialogue.** Enact dialogues and discuss and resolve all ethics and integrity issues; and
2. **Ethical Model.** Adopt an ethical behavior model and provide examples of moral behavior in your daily management duties and oversight activities.

### Action 2: Improve understanding of the organization by the board

You can do this by:

1. **Board Selection.** Select and appoint board members on the basis of education, professional background and practical experience;
2. **Attendance.** Ensure that board members attend critical business operations for a specific period; and
3. **Wellness Training.** Provide board members with specialized wellness training courses on very specific health and safety issues and areas where the given organization is active.

### **Action 3: Improve integrity**

You can do this by:

1. **Compliance.** Design and implement an effective ethics and compliance office, program and organization;
2. **Awareness.** Keep all staff aware on all ethics and compliance issues;
3. **Moral Example.** Providing examples of ethical behavior in your daily supervision activities; and
4. **Compliance Improvement.** Review and improve both ethics and compliance program and policies, as the organization grows and its regulatory aspects and expectations change.

### **Action 4: Improve operational philosophy**

You can do this by:

1. **Fairness.** Deal with all people (internal staff, outside auditors, customers, external suppliers, government authorities, regulators, stakeholders, community, etc.) on the same basis of fairness;
2. **Business Conduct.** Deal with all people (internal staff, outside auditors, customers, external suppliers, government authorities, regulators, stakeholders, community, etc.) on the same written and approved rules and codes of business conduct;
3. **Business Policies.** Craft and implement effective ethics, human rights and procurement policies; and
4. **Accountability.** Communicate all company information to all parties on the basis of transparency and accountability.

### **Action 5: Improve Ethical Climate**

You can do this by:

1. **Honesty.** Use honesty in ensuring that you always maintain a positive and ethical climate in managing and interacting with your employees, your superiors and your customers,
2. **Greater Good.** Leave aside and amend, as required in certain circumstances, your personal self-interest, company profit, operating efficiency, rules, procedures, etc.,

in order to preserve and improve the ethical climate of your business and to serve the greater good, and

3. **Fairness.** Deal with all your stakeholders (employees, external auditors, customers, suppliers, authorities, regulators, community, etc.) on the same basis of fairness, and,
4. **Rules of Business.** Deal with all your stakeholders (employees, external auditors, customers, suppliers, authorities, regulators, community, etc.) on the same basis of written and approved rules and codes of business conduct.

### **Action 6: Improve Employee Empowerment**

You can do this by:

1. **Authority Assignment.** Give authority and responsibility to selected employees to carry out specific actions to achieve general corporate goals and specific objectives,
2. **Encouragement.** Encourage employees to assume a more energetic and effective role in their work,
3. **Involvement.** Involve employees in assuming responsibility for improving the way things are done in their daily work activities, and
4. **Monitoring.** Monitor these results to ensure that these are properly done.

### **Action 7: Improve Leadership**

You can do this by:

1. **Envisioning:** Have a vision, a mission and values,
2. **Organization.** Be organized to the fullest,
3. **Execution.** Plan, supervise, and execute efficiently and effectively,
4. **Delegation.** Delegate by assigning ownership of the work you give to employees, and always act with responsibility,
5. **Passion.** Be passionate and enthusiastic and get your employees involved in the decision-making process,
6. **Training.** Train and coach them as required to get the job done well,
7. **Calmness.** Handle emotional issues with calmness and fairness,
8. **Organizational Knowledge.** Know your organization extremely well,
9. **Model Behavior.** Provide a positive and moral example to others, and
10. **Motivation.** Motivate people and keep clear channels of communication.

### **Action 8: Improve Employee Motivation**

You can do this by:

1. **Reinforcement.** Provide positive reinforcement to all employees,
2. **Discipline.** Carry out effective discipline and fair punishment for all transgressions,
3. **Fairness.** Treat all people fairly,
4. **Needs Satisfaction.** Satisfy employee needs on a cost-benefit case,
5. **Goal Setting.** Set achievable work-related goals,
6. **Job Packaging.** Restructure jobs and tasks to become more manageable, and
7. **Performance Rewards.** Reward people on job performance.

### **Action 9: Improve Openness and Shared Values**

You can do this by:

1. **Appreciation.** Appreciate the opinions, skills and knowledge of all employees, and
2. **Review.** Re-examine traditional organizational standards in order to achieve better and more beneficial results.

### **Action 10: Improve Information Flow**

You can do this by:

1. **Communication Policy.** Draft and implement a communications policy, by identifying the strategic objectives of the organization, reviewing current communications practices, identifying the communications audiences and determining the communications methods and means to be used,
2. **Executive Training.** Get executives trained on listening techniques and practices.
3. **Information Collection.** Ensure that information (internal and external), critical to achieving the objectives of the organization is identified, regularly collected and reported to management and stakeholders,
4. **Performance System.** Implement a performance system that identifies, collects, stores, processes, analyzes and communicates corporate performance to all approved stakeholders of the organization, and
5. **Information Monitoring.** Implement and monitor mechanisms to allow the easy flow of information down, across, and up the organization.

## Action 11: Improve Corporate Culture

You can do this by:

1. **Discussion.** Discuss all cultural issues with employees,
2. **Model of Behavior.** Provide examples of behavior in your daily supervision activities, and
3. **Involvement.** Involve your employees in reviewing corporate statements on vision, mission and values.

## Action 12: Improve Morale

You can do this by:

1. **Employee Engagement.** Provide opportunities for employees to make decisions about and influence their own work,
2. **Provision of responses.** Provide timely, accurate and proactive responses to their questions and concerns,
3. **Fairness.** Treat them as responsible adults with fairness and consistency,

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4. **Corporate Policies.** Develop and publicize corporate policies and procedures while ensuring that they work effectively,
5. **Communication.** Communicate positively, effectively and constantly with all employees on all issues (e.g., performance, work details, etc.),
6. **Opportunity.** Afford all staff the opportunity to grow and develop, and
7. **Leadership.** Provide appropriate leadership and a framework of strategy, vision, mission, values and goals.

### Action 13: Improve Trust

You can do this by:

1. **Promotion Practice.** Promote personnel to higher levels of organizational hierarchy, who are capable of forming positive, trusting and caring interpersonal relationships with people who report to them,
2. **Coaching.** Develop the interpersonal relationship skills of all personnel and especially those of current managers and employees desiring promotion, by sending them to relevant courses or by coaching and mentoring programs,
3. **Information Sharing.** Keep organizational personnel informed, as much as possible,
4. **Commitment.** Act with integrity and keeping commitments to all participants in the affairs of the organization (employees, authorities, customers, board members, stakeholders, etc.),
5. **Protection.** Protect the interest of all employees in a work group, even those who are absent,
6. **Effectiveness.** Be effective, efficient and results-oriented, within limits, and
7. **Respect.** Listen with respect, sensitivity and full attention.

### Action 14: Improve Corporate Attitude

You can do this by:

1. **Politeness.** Use polite and positive language and manners in assigning and managing tasks,
2. **Awarding.** Connect tasks to awards,
3. **Variety.** Add variety to tasks,
4. **Balance.** Assign both liked and non-liked tasks to all employees,



5. **Support.** Think out a solution as regards the difficult task and situation with the person involved, and
6. **Coaching.** Work out a mutually-agreed solution with the person involved and coach them as required.

### Action 15: Improve Competence

You can do this by:

1. **Assessment.** Assess your skills (managers and employees) via self-evaluation methods, benchmarking or other tools,
2. **Industry Training.** Take specific industry courses yourself as managers and send your employees to courses also,
3. **Academic Courses.** Upgrade job-related knowledge by attending university and professional seminars,
4. **Coaching.** Get involved in coaching and mentoring programs, and
5. **Certification.** Get certified by a professional association.

### Action 16: Improve Expectations

You can do this by:

1. **Review.** Meet with employees on a regular basis to discuss problems, issues, goals and progress,
2. **Enthusiasm.** Promote enthusiasm for completing tasks,
3. **Acknowledgement.** Express confidence in each employee's ability, and
4. **Reinforcement.** Reinforce past achievement so that employee motivation is sustained.

### Action 17: Improve Structure of Reporting Relationships

You can do this by:

1. **Organizational Chart.** Craft an effective organizational chart and communicate it to all staff.
2. **Duties Description.** Develop job titles for all employees and use them in all dealings, and
3. **Organizational Review Process.** Review and improve both organizational chart and job titles, as the organization grows and its demands change.

## 8 CORPORATE TEAM IMPROVEMENT PLAN

### 8.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Corporate Team Improvement Plan is to improve the organizational and operational aspects of the teams working in our company.

### 8.2 ACTIONS

#### Action 1: Scope the problem

You have to know what the performance problem is with your team.  
Assess their environment and concerns against your business requirements.



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Identify the issues involved in solving the specific problem. Document the problem and the solution, in terms of specifications, needs, expectations, demands and resources.

### **Action 2: Organize the team**

Assign project manager or team manager or function manager. Develop terms of reference. Define each detail team and the roles within that team.

Assign specific responsibilities.

Develop and issue project schedule and reporting mechanisms.

### **Action 3: Link team to strategy**

Set clear vision, mission and values; establish targets for the project, team, function, etc., and its expectations.

Inform team members of the desired outcomes and measures of success.

Invite each member to be a part of the team and communicate the goals and why they were selected.

### **Action 4: Enable team culture**

Build commitment and trust by valuing the contribution of each member of the team.

Build sympathy for each person's challenges.

Ensure the competence of the whole team, as well as each member. Empower the team by allowing the members to work within the prescribed guidelines with each other to accomplish the goals. Resolve conflicts.

### **Action 5: Establish communications**

Craft and implement communication policy and associated procedures.

Ensure clarity and accountability for all types of communications. Ensure that the team shares information and develops an open mind.

### **Action 6: Monitor activities**

Establish regular monitoring.

Review progress.

Identify issues, and resolve problems.

Close the project when all project activities have been concluded successfully.

### **Action 7: Manage performance**

Develop performance policy for managers and team members. Link this policy with corresponding corporate performance system. Award managers and team members when performance targets are met.

Manage performance issues.

## 9 WORKPLACE WELLNESS PLANS

**Summary:** This chapter describes three plans (Corporate Employees' Wellness Improvement Plan, Ten Golden Values Life Improvement plan and Emotional and Mental Health Improvement plan) that contain over 16 actions (First plan - Action 1: Connect to God; Action 2: Provide adequate protection; etc., Second plan - Respect religious ideas and beliefs; Have faith and trust in both the Supreme Being and your people; etc., and Third plan - Action 1: Provide appropriate leadership and planning; Action 2: Obtain proper funds and other required resources for educating, training and coaching; etc.).

These may be used to implement and improve your 'Duty of Care' responsibilities as a manager or board member of your company or organization in the area of wellness.

Typical examples of such plans are detailed next.



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## 9.1 CORPORATE EMPLOYEES' WELLNESS IMPROVEMENT PLAN

### 9.1.1 SUMMARY

This plan contains a set of 16 actions, 72 practices and over 32 ancient Greek wisdom sayings which show you ways to employ faith, protection, governance, wealth, justice, friendship, harmony, goodness, kindness, self-management, courage, education, family life and health in an integrated, wise, practical and beneficial way in motivating, running, sustaining and improving the personal life of your employees.

### 9.1.2 INTRODUCTION

The main objective of this plan is to provide you with practical ways you may consider, review, customize and use to improve your corporate employees' wellness.

These actions and practices relate to how you may employ: Faith; protection; governance; wealth; justice; friendship; harmony; goodness; kindness; self-management; courage; education; family life; and health in an integrated, wise, practical and beneficial way in motivating, running, sustaining and improving your personal life and health: Spiritual, mental, emotional, physical and intellectual.

I crafted these to satisfy, what I may call in practice, the four dimensions of good living, inspired by ancient Greek wisdom, and especially Aristotle's, related to: Believing; Bonding; Belonging; and Benefiting.

1. Believe: Believe in God, nature, yourself, your family, your associates, your community, your country and your values and beliefs.
2. Bond: Bond with God, nature, your friends, your family, your associates, your community, your country and your profession.
3. Belong: Belong to your family, your nation, your associates, your community and your country.
4. Benefit: Benefit nature, yourself, your family, your associates, your community, your country, your nation and your friends.

These actions and practices are detailed next.

### 9.1.3 THESE ACTIONS AND PRACTICES ARE DETAILED NEXT.

#### Action 1: Connect to God

**Pythagoras** guides us: 'God embraces all and actuates all, and is but One. All life is one, and God is one'; and **Heraclitus** complements: 'Human laws are the creation of Divine Law, as it (the Divine Law) is superior to all other laws and it is applicable to all people the same way'.

**Practice 1:** Have faith and believe in The Supreme Being and the goodness of God.

**Practice 2:** Build and use your religious values to sustain your moral character and improve yourself and your business activities.

**Practice 3:** Pray to God and meditate regularly to find peace and harmony.

**Practice 4:** Infuse your religious and moral values into your personal life and business activities.

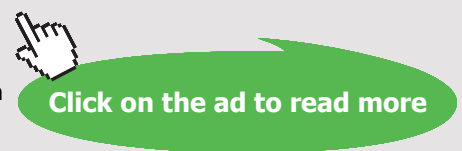


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## Action 2: Provide adequate protection

**The Seven Sages** guide us: 'Obey the law'; and **Heraclitus** complements: 'We should fight for our laws in the same way that we fight for our country'.

**Practice 1:** Protect your person.

**Practice 2:** Protect your relationships.

**Practice 3:** Protect your family.

**Practice 4:** Protect your community.

**Practice 5:** Protect your beliefs and religion.

**Practice 6:** Protect your country.

**Practice 7:** Protect your laws.

**Practice 8:** Protect the environment.

**Practice 9:** Protect others less fortunate or less intelligent than you.

## Action 3: Govern better

**Pythagoras** guides us: 'Only when you learn how to be governed, you will know how to govern'; and the **Seven Sages** complement: 'Do not use insolence to govern'.

**Practice 1:** Practice and pursue fairness and democracy in your personal affairs, family activities, holding a public office and managing a business.

**Practice 2:** Govern by example.

**Practice 3:** Only capable and virtuous men or women should govern.

**Practice 4:** Laws and regulations should apply equally to all.

## Action 4: Manage your wealth better

**The Seven Sages** guide us: 'Acquire wealth in a just way'; and **Pythagoras** complements: 'Seek the true value of all things, and enjoy all gifts of God according to Measure'.

**Practice 1:** Acquire, protect, manage and enjoy your wealth in a just and moral way.

**Practice 2:** Use your wealth to benefit not only yourself but your family, friends and others in your community.

**Practice 3:** Complement wealth with other virtuous activities in your life.

**Practice 4:** Avoid greed. Do not be greedy.

**Practice 5:** Work continuously in productive and beneficial activities. Do not let overabundance make you lazy.



### Action 5: Embrace justice

**The Seven Sages** guide us: 'Obey the law'; and **Pythagoras** complements: 'Justice has four fundamental characteristics: The first fundamental basis of all Justice is Equality: wherefore all things should be common; the next basis of Justice is sociability: association with one's fellows; and the next basis of Justice is Prudence and Providence.

**Practice 1:** Use justice and temperance and be fair in all your dealings.

**Practice 2:** Pursue harmonic co-existence with justice.

**Practice 3:** Treat people fairly and on an equal basis.

**Practice 4:** Resolve your differences with reason and peaceful negotiation.

**Practice 5:** Use justice, honor and ethics to achieve harmony.

### Action 6: Embody friendship

**The Seven Sages** guide us: 'Guard friendship'; 'Remember your friends, both, when they are near you, as well as when they are far away'; and **Pythagoras complements:** 'Unless full faith and confidence exists there is no real Friendship'; and 'A Friend is more necessary than fire and water'.

**Practice 1:** Use friendship and love in all your life.

**Practice 2:** Use friendship and love by maintain constant visual communication with the other person at all times.

**Practice 3:** Re-confirm your friendly feelings by hugging your friends.

**Practice 4:** Show that you care by expressing your true and wonderful friendly feelings to the other person.

### Action 7: Become more harmonious and peaceful

**The Seven Sages** set the tone: 'Pursue harmony'; and **Pythagoras** complements: 'It is through the principle of Harmony that men have Health and Well-Being'.

**Practice 1:** Pursue harmonic co-existence with justice.

**Practice 2:** Resolve your differences with reason and peaceful negotiation.

**Practice 3:** Examine both your point-of-view and the other party's to help you find a mutually-accepted solution.

**Practice 4:** Use friendship, justice, honor and ethics to achieve harmony.

**Practice 5:** Manage your stress (see also the contents of this book)

### Action 8: Become a good and kind person

**The Seven Sages** advise us: 'Do not beautify your external appearance, but you should look to become good in your behavior'; and **Pythagoras** adds: 'It is necessary to be good, rather than to appear so'.

**Practice 1:** Be beneficial by using goodness, kindness, your time, mind and any material goods or resources you can find.

**Practice 2:** Be positive and calm by avoiding anger and vice.

**Practice 3:** Be grateful to those who support you including God.

**Practice 4:** Be magnanimous and forget and forgive errors and coach yourself and others to learn by their mistakes.

### Action 9: Manage yourself well

**The Seven Sages** guide us: 'Know yourself'; and 'Nothing in excess'; and Pythagoras complements: 'Utmost happiness is to be found in the Peace of Mind'.



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**Practice 1:** Be modest and humble.

**Practice 2:** Manage your passions well.

**Practice 3:** Keep positively active.

**Practice 4:** Have a vision and set achievable goals both in your personal life and business activities.

### Action 10: Employ courage in life

The **Seven Sages** guide us: 'Take care to know the right opportunity'; and **Aristotle** complements: 'With regard to feelings of fear and confidence courage is the mean; of the people who exceed, he who exceeds in fearlessness has no name, while the man who exceeds in confidence is rash, and he who exceeds in fear and falls short in confidence is a coward'.

**Practice 1:** Be courageous in life.

**Practice 2:** Venture into danger with prudence.

**Practice 3:** Take calculated risks.

**Practice 4:** When you make a decision carry it out to the end.

### Action 11: Manage your time well

The **Seven Sages** guide us: 'Do not be in a hurry to undertake something. When, however, you start, stay fixed to that until the end'; and **Pythagoras** reflects in his 'Enigma 89': 'Turn away from yourself every sharp edge', meaning that you should avoid those things that harm you and that you should control your passions.

**Practice 1:** Put priorities in your life.

**Practice 2:** Manage your tasks on the basis of priority and considering that time is a limited resource.

**Practice 3:** Learn to listen with respect.

**Practice 4:** Use silence when you may need to respond with reason.

### Action 12: Be moderate in life

The **Seven Sages** guide us: 'Nothing in excess'; and 'Acquire what is not destroyed by time: piety, education, prudence, thoughtful mind, truth, belief, expense, skills and dexterities, co-operation, care, effective management, professional knowledge'.

**Practice 1:** Do not suspect anyone.

**Practice 2:** Do not envy anyone.

**Practice 3:** Do not mock others less fortunate or of no wealth.

**Practice 4:** Use humility in all your activities.

### **Action 13: Promote truth**

**The Seven Sages** guide us: 'Do not allow false accusations to influence you against persons that have earned your trust'; and **Heraclitus** reflects: 'To be temperate is the greatest virtue. Wisdom consists in speaking and acting the truth, giving heed to the nature of things'.

**Practice 1:** Use, seek, pursue and promote truth.

**Practice 2:** Expose liars and false stories.

**Practice 3:** Do not lie regardless of the issues.

### **Action 14: Educate yourself and others**

**The Seven Sages** guide us: 'Concentrate on education'; and **Pythagoras** complements: 'In science, we learn and judge not by any single hasty glance, but by the thorough examination of every detail'.

**Practice 1:** Educate and train yourself continuously.

**Practice 2:** Educate and train your children and business associates.

**Practice 3:** Couple your professional training with education related to human aspects.

**Practice 4:** Learn and practice a craft, trade or other beneficial set of skills so that you are useful to yourself, your family and your community.

**Practice 5:** Spread knowledge and education to others by non-paid activities, like writing articles, blogging, coaching, volunteering your time to assisting non-privileged people, etc.

### **Action 15: Promote greater benefit**

**The Seven Sages guide us:** 'Honor your family'; 'Love the people you feed'; 'Be kind to your own people'; 'Govern and protect your family'; and **Heraclitus** recommends: 'It is more preferable to offer forgiveness than exercise punishment'.

**Practice 1:** Promote the interests of your community or society over the interests of yourself and your business.

**Practice 2:** Sacrifice your personal interest to defend and protect the older members of your family as well as your business and country.

**Practice 3:** Forgive and forget.

### Action 16: Promote health

**The Seven Sages** guide us: 'Avoid pleasure and joy that creates pain (physical or psychic)'; and **Pythagoras** advises: 'The first task of the married couple is to live a happy, balanced life by following the rules of health, avoiding overfeeding, alcohol drinking and bad habits'.

**Practice 1:** Take preventive medical checkups. Exercise your mind, body and soul to stay fit. Improve your diet and hormonal balance of your body. For more details see also 'Healthy Living Resources' in the bibliography.

**Practice 2:** Keep your family healthy.

**Practice 3:** Provide positive and inspiring examples of healthy behavior for both your family members and business associates to follow.



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**Practice 4:** Keep your life in harmonic balance but both enjoying its benefits and withstanding its rigors and adversities.

**Practice 5:** Be resilient by practicing your high moral values at all levels and by planning for disasters at your business level.

#### 9.1.4 CONCLUSION

In closing, the meaning of all these (16 actions, 72 practices, over 32 ancient Greek sayings) is to use ethical standards in running and improving your life, considering the following three sayings, in this regard, by the **Seven Sages** (first two) and **Pythagoras** (third):

**First (Seven Sages):** 'As a child, be well behaved. As a teenager, control yourself. As a middle-aged man (person), be just. As an old man, be sensible. On reaching the end, be without sorrow'.

**Second (Seven Sages):** 'You will be remembered well by your good deeds,  
you will become more pious with the passing of time,  
you will be more brave, with your behavior,  
you will be more self-controlled, by working hard,  
you will have more respect, by instilling fear,  
you will have more friends, by becoming richer,  
you will be more persuasive, by exercising reason,  
you will be looking better, by using silence,  
you will be more just, by using intellect,  
you will be more courageous, by showing valor,  
you will be more powerful, by your achievements,  
you will attain authority, by your good name'.

**Third (Pythagoras):** 'Learn that Virtue is not merely an Ideal but is the Law of Life';

## 9.2 TEN GOLDEN VALUES LIFE IMPROVEMENT PLAN

### 9.2.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's **Ten Golden Values** Life Improvement Plan is to improve the spiritual and mental life of all people working in our company on the basis of ten ancient Greek wisdom values, such as: Faith, Protection, Governance, etc.

#### Golden Value 1: Faith

Respect religious ideas and beliefs; Have faith and trust in both the Supreme Being and your people; and meditate and pray to seek inner tranquility.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'Follow God', by the **Seven Sages** inscribed in marble at the Oracle of Delphi;

**Second:** 'God embraces all and actuates all, and is but One. All life is one, and God is one', by **Pythagoras**; and

**Third:** 'Human laws are the creation of Divine Law, as it (the Divine Law) is superior to all other laws and it is applicable to all people the same way', by **Heraclitus**.

#### Golden Value 2: Protection

Protect your person, your relationships, your family, your community, your beliefs and religion, your country, the environment, and others less fortunate or less intelligent than you.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'In order to obtain protection from other men, any means for attaining this end is a natural good', by **Epicurus**;

**Second:** 'We should fight for our laws in the same way that we fight for our country', by **Heraclitus**; and

**Third:** 'Love your country even when it is unjust to you', by Plato.

### Golden Value 3: Governance

Practice and pursue fairness and democracy in your personal affairs, family activities, holding a public office and managing a business; manage your wealth without greed; and defend and protect your country's laws and business moral regulations and practices.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'Even the worst government is better than anarchy', by **Aesop**;

**Second:** 'Good government can be firmly effected if the rulers are equal in all things to the citizens, and surpass them in nothing else than justice', by **Pythagoras**; and

**Third:** 'Acquire wealth in a just way', by the **Seven Sages**.

### Golden Value 4: Justice

Use justice and temperance and be fair in all your dealings.

Let's remember some of the ancient Greek sayings in this regard.

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**First:** 'Justice to be expressed by the rulers being equal in all things to the citizens, and surpass them in nothing else than justice', by **Pythagoras**;

**Second:** 'Obey the law', by the **Seven Sages** inscribed in marble at the Oracle of Delphi; and

**Third:** 'No government can maintain itself if it is based on injustice, betrayal and perjury', by **Dimosthenis**.

### Golden Value 5: Friendship

Use friendliness and its manifestations of kindness, love, harmony, goodness, altruism, philanthropy, forgiveness and mercy in managing and improving your relationships.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'Guard friendship', by the **Seven Sages** inscribed in marble at the Oracle of Delphi;

**Second:** 'Equality creates friendship', by **Plato**; and

**Third:** 'The major powers of the universe are two: friendship ('filotis' in ancient Greek) and hate or strife ('neikos' in ancient Greek). Friendship binds people together, while hate or strife splits them', by **Empedocles**.

### Golden Value 6: Self-Control

Exercise your mind, body and soul to stay fit. Use reason and self-control techniques to manage your sentiments and passions so that you achieve a life of more harmony, balance and happiness in a better way.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'The utmost happiness is to be found in Peace of Mind', by **Pythagoras**;

**Second:** 'Anybody can become angry, that is easy; but to be angry with the right person, and to the right degree, and at the right time, and for the right purpose, and in the right way, that is not within everybody's power, that is not easy', by **Aristotle**; and

**Third:** 'Control yourself', by the **Seven Sages**, inscribed in marble at the Oracle of Delphi.

### Golden Value 7: Moderation

Use moderation and reason in managing all your activities and sustaining your life.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'Nothing in excess', by the **Seven Sages**;

**Second:** 'Seek the true value of all things, and enjoy all gifts of God according to Measure', by **Pythagoras**; and

**Third:** 'It is an act of magnanimity for someone to withstand vicious acts with humility and gentleness', by **Democritus**.

### Golden Value 8: Truth

Use, seek, pursue and promote truth.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'It is a shame to concern yourself with more glory, money and honors while you ignore truth, wisdom and perfection of your soul', by **Plato**;

**Second:** 'Do not lie but tell the truth', by the **Seven Sages**; and

**Third:** 'Truth must always be said regardless of how cruel or bitter she is', by **Democritus**.

### Golden Value 9: Education

Educate yourself, your family and your business associates and coach others less advantaged or in need, so that all of you are becoming better.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'The root of education is bitter, but the fruits it gives us are sweet', by **Isocrates**;

**Second:** 'In science, we learn and judge not by any single hasty glance, but by the thorough examination of every detail', by **Pythagoras**; and

**Third:** 'Education is like a festival of life, because, it includes within it, many shows, theatrical performances and musical sounds of the soul', by **Socrates**.

### Golden Value 10: Greater Community Benefit

Promote the interests of your community or society over the interests of yourself and your business. Sacrifice your personal interest to defend and protect the older members of your family as well as your business and country.

Let's remember some of the ancient Greek sayings in this regard.

**First:** 'If you do not on every occasion refer each of your actions to the ultimate end prescribed by nature, but instead of this in the act of choice or avoidance turn to some other end, your actions will not be consistent with your theories', by **Epicurus**;



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**Second:** 'It is more preferable to offer forgiveness than exercise punishment', by **Heraclitus**; and

**Third:** 'One should never do wrong in return, nor mistreat any man, no matter how one has been mistreated by him', by **Plato**.

## 9.3 EMOTIONAL AND MENTAL HEALTH IMPROVEMENT PLAN

### 9.3.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Emotional and Mental Health Improvement Plan is to improve the spiritual and mental health of the people working in our company on the basis of seven actions, such as: Planning, Resources, etc.

The **Seven Sages** provide us with the guiding principle: 'Acquire what is not destroyed by time: piety, education, prudence, thoughtful mind, truth, belief, expense, skills and dexterities, co-operation, care, effective management, professional knowledge'; and

**Socrates** complements: 'The best profession that a person can exercise is the one he (or she) knows very well, after the necessary learning and study'.

Here are 7 actions to improve your professional and business emotional and mental fitness so that you benefit your company, profession and society.

**Action 1: Planning.** Provide appropriate leadership and planning the activities required for educating, training and coaching both to yourself (as a manager or senior executive, etc.) and to your business staff.

**Action 2: Resources.** Obtain proper funds and other required resources for educating, training and coaching both yourself and your business staff.

**Action 3: Evaluation.** Assess the skills of yourself and all your managers and employees via self-evaluation methods, coaching, benchmarking or other current education tools and techniques.

**Action 4: Seminars.** Upgrade job-related knowledge by attending university and professional seminars, and taking specific industry courses by both yourself and your business staff.

**Action 5: Coaching.** Get involved in coaching programs for both yourself and your staff.

**Action 6: Mentoring.** Get involved in mentoring programs for both yourself and your staff.

**Action 7: Certification.** Get certified by a professional associations (both yourself and your staff) and get various critical organizational functions (e.g. production, IT, etc.) and components (e.g. IT security) certified.

## 10 'DUTY OF CARE' APPROACH IMPROVEMENT PLANS

**Summary:** This chapter describes seven improvement plans for Corporate Governance, Board Effectiveness, Executive Leadership, Business Operations, Human Aspects, Trust and Confidence and Internal Controls of 60 actions (Action 1 of First plan: Include universal religious and moral principles in your professional and business affairs; Action 1 of Second plan: Practice what you preach; Action 1 of Third plan: Establish efficient financial and other business recording systems and procedures; etc.).

These may be used to improve your 'Duty of Care' responsibilities as a manager or board member of your company or organization in the areas of governance, board effectiveness, leadership, etc.

Typical examples of such plans are detailed next.

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## 10.1 CORPORATE GOVERNANCE IMPROVEMENT PLAN

### 10.1.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Corporate Governance Improvement Plan is to improve the spiritual and mental health of the people working in our company on the basis of ten actions, such as: Including universal religious and moral principles in business, Crafting and implement the business vision, mission and values statements, etc.

### 10.1.2 ACTIONS

**Action 1:** Include universal religious and moral principles in your professional and business affairs.

**Action 2:** Craft and implement the business vision, mission and values statements, the business ethics policy and the corporate social responsibility policy of your company using well-accepted religious principles and values in the business environment you operate.

**Action 3:** Solidify your people's trust in each other in your profession and company by practicing and promoting your professional and company's moral principles and values in all activities.

**Action 4:** Formulate and execute activities in your professional and business operations and procedures on the basis of well-accepted religious and ethical values.

**Action 5:** Avoid lying and deceptive advertising and discrimination of any kind in your professional and business affairs.

**Action 6:** Uphold the rights of your profession and industry.

**Action 7:** Uphold the rights of employees, business and community stakeholders.

**Action 8:** Be just and fair in dealing with partners, suppliers and customers.

**Action 9:** Support religious and nature-protection organizations and/or philanthropic activities by donating, as a business policy, a small percentage of your income or net profits.

**Action 10:** Report on all of these to your company board, internal staff and external stakeholders as well as your community by including all relevant data in your corporate reports and your business web-site.

## 10.2 BOARD EFFECTIVENESS IMPROVEMENT PLAN

### 10.2.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Board Effectiveness Improvement Plan is to improve the results of the board members of our company on the basis of twelve actions, such as: Practicing what you preach, Learn to be governed first, etc.

### 10.2.2 ACTIONS

These actions relate to members of the board of directors of the company.

**Action 1:** Practice what you preach. You are the best example to follow for your business and professional associates.

**Action 2:** Learn to be governed first before you govern others.

**Action 3:** Put personal and family happiness in its right perspective in your professional and business life.

**Action 4:** If you must change both your business and your life in order to relate to others better, become happy and successful, do it with a calm attitude and patience and by respecting your limits and the bounds of society.

**Action 5:** You must remember to balance happiness to other things in your business, personal and family life. Look inside you: connecting to your family, your community and your country will drive you to reach a more balanced and harmonious state.

**Action 6:** Connect with others in your profession, community, country and around the world.

**Action 7:** Protect your community, country and its institutions and its laws at all your personal costs. Also protect your person, family and friends within the framework of both your society's widely-accepted ethics and your state laws.

**Action 8:** Provide positive reinforcement to all business personnel and treat them fairly and justly.

**Action 9:** Set achievable personal, family and work-related goals and reward your business people on performance.



**Action 10:** Promote personnel to higher levels of organizational hierarchy, who are capable of forming positive, trusting and caring interpersonal relationships with people who report to them.

**Action 11:** Act with integrity and keeping commitments to all participants in the affairs of your business (employees, government authorities, customers, board members, stakeholders, society, country, etc.).

**Action 12:** Listen with respect, sensitivity and full attention and develop the interpersonal relationship skills of all personnel (family, friends, business, etc.).

## 10.3 EXECUTIVE LEADERSHIP IMPROVEMENT PLAN

### 10.3.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Executive Leadership Improvement Plan is to improve the results of the executive managers and leaders of our company on the basis of seven actions, such as: Establish efficient financial and other business recording systems and procedures, etc.



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### 10.3.2 ACTIONS

These actions relate to executive managers and leaders of the company.

**Action 1:** Establish efficient financial and other business recording systems and procedures and manage and monitor your business wealth, such as: investments, accounts payable, receivable and budget very well, and your cash flow and cash very effectively.

**Action 2:** Establish and execute optimal anti-fraud procedures.

**Action 3:** Perform due diligence on all your staff and partners.

**Action 4:** Backup all your critical business data in an offsite safe location.

**Action 5:** Register all your patents and copyrights.

**Action 6:** Innovate and keep abreast of market and technology developments.

**Action 7:** Establish and execute a business policy to contribute to social causes, ecology, philanthropy and community work.

## 10.4 BUSINESS OPERATIONS IMPROVEMENT PLAN

### 10.4.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Business Operations Improvement Plan is to improve the results of the managers of our company on the basis of seven actions, such as: Make the necessary business changes with harmony and balance, etc.

### 10.4.2 ACTIONS

These actions relate to managers of the company.

**Action 1:** Make the necessary business changes with harmony and balance.

**Action 2:** Allow time for your company personnel to make praying, meditation and silence their useful tools.

**Action 3:** As a business manager get rid of all your negative thoughts by allowing only pleasant, happy and harmonious thoughts to fill your mind.

**Action 4:** Preserve yourself by maintaining a healthy attitude towards sleeping, eating and relaxing, and by relating to nature.

**Action 5:** Learn how to handle business and professional failure and recover from it in an effective way.

**Action 6:** Handle difficult people within your business or profession in a fair and positive manner.

**Action 7:** Work out mutually-agreed solutions on problems and issues involving your associates, customers, professional and business partners.

## 10.5 MANAGE HUMAN ASPECTS IMPROVEMENT PLAN

### 10.5.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Manage Human Aspects Improvement Plan is to improve the results of managing the human resources of our company on the basis of ten actions, such as: Be sensitive, Collaborate, etc.

### 10.5.2 ACTIONS

These actions relate to managers of the company.

**Action 1: Be sensitive.** Show sensitivity to other professions and companies by avoiding derogatory comments and do not criticize, condemn or complain to anyone about them.

**Action 2: Collaborate.** Make your professional and business goal the habit to work together with other professions and companies harmoniously.

**Action 3: Patience.** Show patience and maintain good relationships with everyone in business and economy (colleagues, supervisors, senior management, customers, authorities, etc.).

**Action 4: Be honest.** In a business environment, be interested in others (colleagues, supervisors, senior management, customers, etc.) with sincerity, always showing friendship, goodness and love to all.

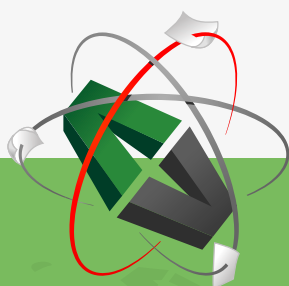
**Action 5: Be polite.** Address the other professional or business person always in plural terms, unless the other person allows you to speak in the singular.

**Action 6: Use importance in associating with others.** Make the other professional or business person feel important to you, and you do that with sincerity.

**Action 7: Employ friendly rules of communication.** Start a professional or business communication in a friendly and pleasant manner. When you are in error, accept it quickly and emphatically and apologize with honesty. Express your sympathy to the other person. Keep your humor within acceptable social boundaries while rejecting slander and vulgarities.

**Action 8: Manage your business time with friendship.** Examine your business activities in accordance with the values of love and friendship, and your obligations. Spend 60% of your business time in critical non-emergency activities, 30% of your time in critical and emergency activities, and the remaining 10% of your time in uninteresting activities. Learn

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to say a friendly “no” when others attempt to load you with activities that are not aligned with your professional and business needs, vision, mission and values.

**Action 9: Use positive and friendly thinking and priority.** Use positive and friendly thinking to manage all the events, issues, problems and facts related to your business life and take preventive action when it is required on your part. Perform your activities based on the priorities set by you and the time requirements of your life and company, but also reinforcing the values of justice, goodness, fairness, love and friendship in all business activities.

**Action 10: Participate with friendship.** Participate in social groups, professional societies and corporate volunteering (unpaid) activities on the basis of love and friendship. Understand and know your personal limits and the limits of your business organization.

## 10.6 TRUST AND CONFIDENCE IMPROVEMENT PLAN

### 10.6.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Trust and Confidence Improvement Plan is to augment the trust and confidence of our customers in the products and services of our company on the basis of seven actions, such as: Understand that goodness, kindness, friendship and collaboration (with your customers, staff, stakeholders, etc.) needs time and dedication to develop and grow, etc.

### 10.6.2 ACTIONS

These actions relate to managers of the company.

**Action 1: Understand** that goodness, kindness, friendship and collaboration (with your customers, staff, stakeholders, etc.) needs time and dedication to develop and grow.

**Action 2: Establish** and operate a corporate philanthropic program by crafting a social responsibility policy, deciding on the funds to be set aside for such purposes, ensuring all executives have clear roles and responsibilities regarding this program, and linking your corporate philanthropy to your business mission and activities.

**Action 3: Use** polite, positive and constructive discussions and communications to support your business relationships so that goodness and friendship can add benefits for yourself and your professional associates.

**Action 4: Learn** and practice ways to be good, to trust, to collaborate and co-operate with your professional associates, both in your work and in your other professional encounters.

**Action 5: Practice** good and kind social grooming to solidify your business relationships better. By this you will work in a more productive way, improve your trust in the other person, cooperate with better result for both parties and learn from each other in the process.

**Action 6: Define** your boundaries and limits to the breaches of goodness, kindness, trust and friendship by the other parties.

**Action 7: Manage** changes in your business environment in a fair, good, kind, friendly and effective way.

## 10.7 INTERNAL CONTROLS IMPROVEMENT PLAN

### 10.7.1 OBJECTIVE OF THIS PLAN

The main objective of our Company's Internal Controls Improvement Plan is to augment the good aspects of our company's internal policies and controls on the basis of seven actions, such as: Organize yourself, Advance Your People's Career, etc.

### 10.7.2 ACTIONS

These actions relate to managers of the company.

**Action 1: Organize yourself. Have a corporate ethics policy, a vision and a mission statement, plan well,** know your organization extremely well, **act in a** fair, practical, responsible, efficient and results-oriented way, and **monitor and improve your actions.**

**Action 2: Advance Your People's Career.** Promote personnel to higher levels of organizational hierarchy, who are capable of forming positive, trusting and caring interpersonal relationships with people who report to them.

**Action 3: Train Your People.** Develop the interpersonal relationship skills of all personnel and especially those of current managers and employees desiring promotion, by sending them to relevant courses or by coaching and mentoring programs.

**Action 4: Involve your personnel.** Be passionate and enthusiastic by keeping your company personnel informed and involved in the decision making process, as much as possible.

**Action 5: Show Commitment.** Motivate people and keep clear channels of communication; and act with integrity and keep commitments to all participants in the affairs of the business (employees, authorities, customers, board members, stakeholders, etc.).

**Action 6: Protect Your Personnel.** Protect the interest of all employees in a work group, even those who are absent; handle emotional issues with calmness and fairness; and provide a positive and moral example to others.

**Action 7: Manage Work Assignments.** Delegate tasks by assigning ownership of the work you give to your employees; listen to them with respect, sensitivity and full attention; and provide all necessary training, coaching and support so that they can do their job well.




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# PART 2.2: INTRODUCTION TO 'DUTY OF CARE' POLICIES

**Summary:** The second part of this book contains a set of 14 policies related to the most critical issues of the 'duty of care' responsibilities, such as: Wellness, Stress and Health, Human Rights, etc.

*For more details on how these may be used to establish and improve the implementation of hard controls and management's 'duty of care' tasks, see chapters 1 to 7 of Part 1 of this book.*

## **Objective of policies**

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

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

## **Policy preparation**

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

All these policies should comply with the principles embodied in the Workplace Wellness Model (see Chapter 1 in Part 1: 'B<sup>4</sup> Workplace Wellness Model': Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in the management of specific functions, employee wellness, health and safety, as well as programs, projects and activities.



## Policy Revision History

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

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

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

# 11 WELLNESS, STRESS AND HEALTH POLICIES

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

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

Typical examples of such policies are detailed next.



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## 11.1 POLICY #01: WORKPLACE WELLNESS POLICY

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

A typical example of such a policy is detailed next:

### Workplace Wellness Policy – Example

**Company Name:** < 'XXY' (fictitious business entity)>

#### Policy Title: Workplace Wellness Policy


1. The main aim of our Company's workplace wellness policy is to focus on healthy lifestyle and safety choices and the prevention disease and injury to all our employees and customers or partners engaged in company offices, locations and plants.
2. Our company wellness programs will comply with the principles embodied in our Workplace Wellness Model ( see 'Company 'XXY' B<sup>4</sup> Workplace Wellness Model: Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in wellness, health and safety programs, projects and activities.
3. Our programs may be offered in partnership with health insurance companies and other wellness providers, as needs and requirements arise.
4. Our company may contract with businesses that specialize in designing, implementing and operating wellness programs and solutions.
5. Our employees may choose to participate, but our company will offer incentives for employee participation. Also we will seek to create a wellness culture through activities and events that encourage our employees to track their participation and success.
6. Our company wellness solution will encourage all employees to take charge of their physical and mental health and safety while requiring management to take a holistic approach to worker health that includes workplace safety, a supportive environment and employee empowerment.
7. The company workplace wellness team headed by a dedicated and well-trained company officer will manage, evaluate and implement our wellness programs, projects

and activities so that the best results may be achieved by their full execution to all participants.


8. Our management's role will be to support wellness efforts through awareness, training and incentives for participation and related policies such as requiring healthy food choices in vending machines and at workplace events, etc.
9. Our wellness programs may include health checks, smoking cessation and rewards for fitness accomplishments, participation in leisure time activities and other wellness practices announced from time to time.
10. Our employees may participate in health screenings, fitness events, health seminars, health coaching, wellness breaks and online health tracking.
11. Our wellness program will be designed, developed and implemented to:
  - 1) Support individual choices by employees to incorporate regular physical activity at the worksite.
  - 2) Promote prevention more than recovery.
  - 3) Assess and resolve all identified and potential risks.
  - 4) Reinforce company commitment via a proper statement to improving employee wellness.
  - 5) Comply with all relevant state legislation and applicable industry standards and requirements.
  - 6) Define a clear set of responsibilities and accountabilities for wellness at all levels.

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- 7) Engage in consultation, coordination and cooperation with all duty holders on specific issues and concerns.
  - 8) Ensure continuous improvement of wellness by establishing practical and measurable objectives and targets.
  - 9) Review and monitor wellness at all levels.
  - 10) Provide adequate training and resources to implement wellness.
12. Furthermore Company managers:
- 1) Will encourage and support all staff to utilize breaks and lunch periods for physical activity;
  - 2) Will arrange flexible schedules for employee physical activity while assuring that the primary work of the unit is accomplished within corporate standards;
  - 3) Will dedicate appropriate staff to organize and disseminate information about regular and special opportunities for physical activity;
  - 4) Will incorporate physical activity breaks when they organize full working day conferences for company purposes.
  - 5) Will monitor the performance of all wellness programs to ensure they comply with these guidelines and will make the necessary revisions and improvements as requirements and laws change.
13. This policy will be complemented by other required Company policies (e.g., Health and Safety, Occupational Stress Reduction, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and management of all identified wellness issues of our Company.

## 11.2 POLICY #02: OCCUPATIONAL STRESS MANAGEMENT POLICY

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

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

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

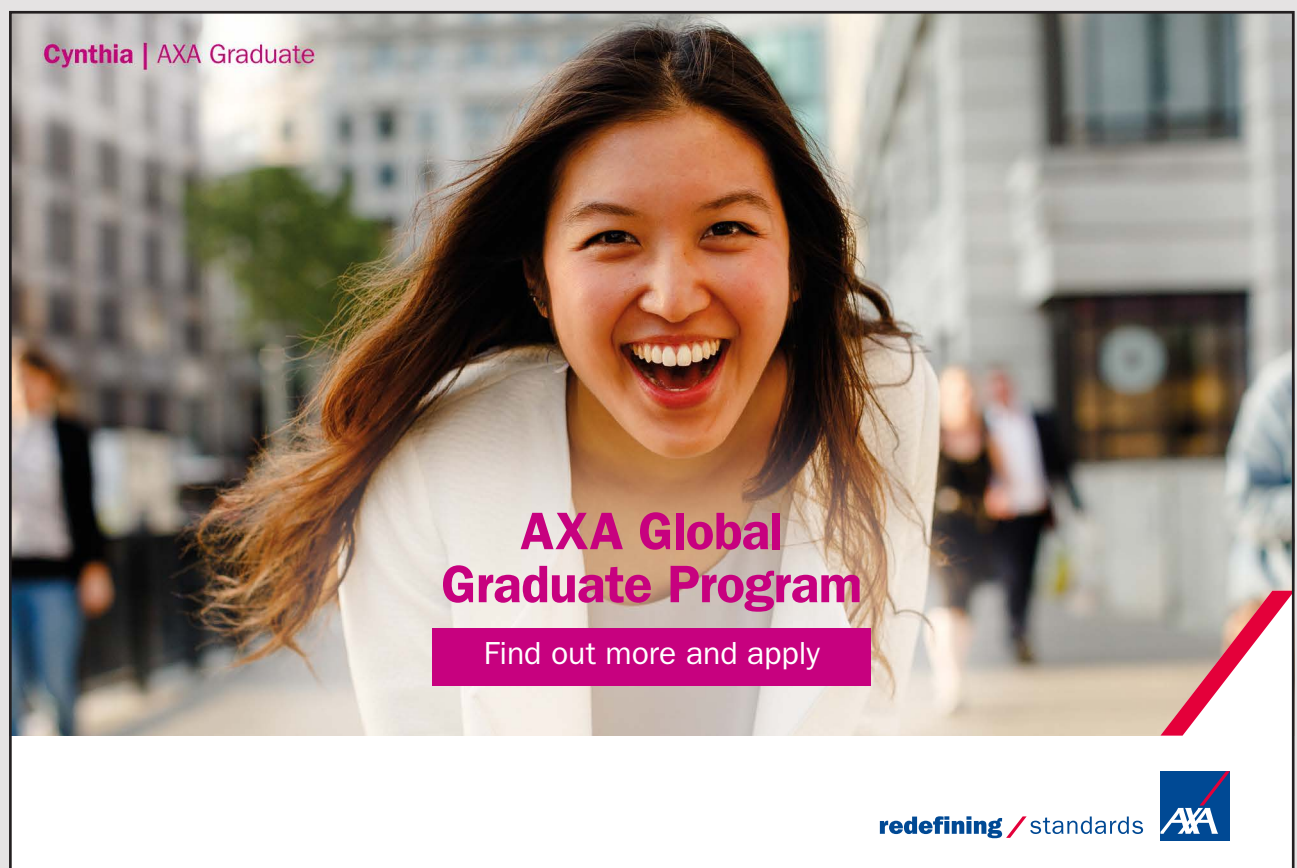
A typical example of such a policy is detailed next:

### Occupational Stress Management Policy – Example

**Company Name: < 'XXY' (fictitious business entity)>**

1. Definition of stress: 'The Company' defines stress as 'the adverse reaction people have to excessive pressure or other types of demand placed on them'. This makes an important distinction between pressure, which can be a positive state if managed correctly, and stress which can be detrimental to health.
2. The main aim of our Company's workplace occupational stress management policy is to focus on healthy lifestyle and safety choices and the prevention of occupational stress to all our employees working in company offices, locations and plants.
3. Our company occupational stress management policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see 'Company 'XXY' B<sup>4</sup> Workplace Wellness Model: Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management , wellness, health and safety programs, projects and activities.
4. The company occupational stress management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our occupational stress management programs, projects and activities so that the best results may be achieved by their full execution to all participants.
5. 'The Company' will, as regards stress and anxiety management:
  - 1) Comply with relevant legal requirements and industry standards,
  - 2) Assess, on a continuous basis, all projects, operations and work activities to eliminate and minimize risks related to occupational stress,
  - 3) Set well-defined and clear performance objectives and targets,
  - 4) Prepare action plans to train all staff on occupational stress management,
  - 5) Review training to ensure that occupational stress management is effective,
  - 6) Arrange for periodic audit of the occupational stress management system,
  - 7) Provide access to competent professional advice, as required,
  - 8) Work with regulators and industry bodies to implement relevant legal requirements and trade standards related to occupational stress management.
  - 9) Communicated this policy to all staff via the company website; Links in related websites for Wellbeing, Health and Safety, Human resources and Occupational Health and in the booklet 'Health & Wellbeing Issues and Concerns: Guidelines for staff'.
6. Responsibilities of Functional Managers
  - 1) Conduct and implement recommendations of stress risks assessments within their jurisdiction.
  - 2) Ensure good communication between management and employees, particularly where there are organisational and procedural changes.
  - 3) Ensure employees are fully trained to discharge their duties.


- 4) Ensure employees are provided with meaningful developmental opportunities.
  - 5) Monitor workloads to ensure that people are not overloaded.
  - 6) Monitor holidays to ensure that employees are taking their full entitlement.
  - 7) Attend training as requested in good management practices and health and safety issues.
  - 8) Ensure that bullying and harassment is not tolerated within their jurisdiction.
  - 9) Be vigilant and offer additional support to an employee who is experiencing stress outside work e.g. bereavement or separation, etc.
7. Responsibilities of Manager of Occupational Health & Safety
- 1) Provide specialist advice regarding occupational stress.
  - 2) Help and support functional managers and Human Resources in implementing this policy.
  - 3) Help and support individuals who report stress issues.
  - 4) Contribute to data collection and analysis regarding occupational stress.
8. Responsibilities of Employees
- 1) Raise issues of concern with your Safety Representative, functional manager or occupational health officer.
  - 2) Accept opportunities for counselling when recommended.



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



## 11.3 POLICY #03: WORKPLACE HEALTH AND SAFETY POLICY

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

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

A typical example of such a policy is detailed next:

### **Workplace Health and Safety Policy – Example**

**Company Name:** < 'XXY' (fictitious business entity)>

#### **Policy Title: Workplace Health and Safety Policy**

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

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



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

# 12 HEALTH RECORDS AND HUMAN RIGHTS POLICIES

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

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

## Policy preparations

Developing these policies should be done by the board via the given corporate committee. These should be reviewed, improved and ratified by the board.

These policies should comply with the principles embodied in the Workplace Wellness Model (see Prologue in Part 1: 'B<sup>4</sup> Workplace Wellness Model': Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in Employee Health Records Management, Human Rights, Community Relations and Corporate Communications.

Typical examples of such policies are detailed next.

## 12.1 POLICY #04: EMPLOYEE HEALTH RECORDS MANAGEMENT POLICY

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

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

A typical example of such a policy is detailed next:

## Employee Health Records Management Policy – Example

**Company Name:** < 'XXY' (fictitious business entity)>

### **Policy Title: Employee Health Records Management Policy**

1. The main aim of our Company's employee health records management policy is to ensure that procedures and practices are in place to maintain and manage accurate, relevant and reliable documentation at the correct time and place to support the health care aspects of our employees.
2. Our company's employee health records management policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (see 'Company 'XXY' B<sup>4</sup> Workplace Wellness Model: Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company's employee health records management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our workplace health and safety policy, programs, projects and activities so that the best results may be achieved by their full execution to all participants.

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

## 12.2 POLICY #05: HUMAN RIGHTS POLICY

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

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

A typical example of such a policy is detailed next:

### **Human Rights Policy – Example**

**Company Name:** < 'XXY' (fictitious business entity)>

#### **Policy Title: Human Rights Policy**

1. The main aim of our Company's human rights policy is to ensure that procedures and practices are in place to maintain and manage most effectively all issues related to our employees.
2. Our company's human rights policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (Believe; Bond; Belong; and Benefit') and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company's human resources management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our policies related to our human resources so that the best results may be achieved by their full execution to all participants.
4. The Company believes that our business should both contribute to economic wellbeing as well as to be a positive influence on people's lives in the community in which we operate. As such, we support the principles described in the relevant UN regulations (e.g., Universal Declaration of Human Rights, the Declaration of the International Labour Organization, etc.).
5. Our policy describes our approach to the principles as they relate to labour standards and human rights.
6. Our Statement of Values, policy on and Corporate Ethics, and Employee Handbook set out our standards and expectations in terms of our people.
7. In addition, we are committed to conduct our business in ways that ensure that we are not complicit in human rights abuse within the scope of our influence.
8. We have developed a human rights policy which applies to all of 'The Company' business operations.
9. We are encouraging our business partners and suppliers to respect and follow our approach.
10. An annual report on progress of this policy will be prepared by 'The Company' director of human resources and considered within our wider framework for managing corporate responsibility within the company.

11. If we were to find ourselves inadvertently implicated in abuses of human rights, we would take immediate steps to rectify such a situation.
12. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, Data Protection Policy, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified human rights issues of our Company.

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# 13 PUBLIC RELATIONS POLICIES

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

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

## 13.1 POLICY #06: COMMUNITY RELATIONS POLICY

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

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

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

A typical example of such a policy is detailed next:

### Community Relations Policy – Example

**Company Name:** < 'XXY' (fictitious business entity)>

1. The main aim of our Company's community relations policy is to ensure that procedures and practices are in place to show our real commitment to the community as an integral part of our core business strategy.
2. Our company's community relations policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (Believe; Bond; Belong; and Benefit) and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to

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

## 13.2 POLICY #07: CORPORATE COMMUNICATIONS POLICY

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

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

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

A typical example of such a policy is detailed next:

### Corporate Communications Policy – Example



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...I finally learned to speak it in just six lessons"  
Jane, Chinese architect

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**Company Name:** < 'XXY' (fictitious business entity)>

**Policy Title:** Corporate Communications Policy

1. The main aim of our Company's corporate communications is to harmonize all the consciously used forms of internal and external communications of the company.
2. Our company's corporate communications policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (Believe; Bond; Belong; and Benefit) and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company's corporate communications management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our policies related to our community relations so that the best results may be achieved by their full execution to all participants.
4. Our company's first obligation is to the health, welfare, and safety of the people most directly affected, our employees, and the protection, restoration, and recovery of company operations. We are also very committed to improving our relationships with our communities.
5. On issues of health, welfare and safety of our people, our senior management, will:
  - 1) Craft and implement strategies to improve the health, welfare and safety of our people
  - 2) Take actions to reduce the occupational stress and improve health in our workplace.
  - 3) Educate all management and line staff on best health, welfare, safety and stress reduction practices.
  - 4) Monitor all health, welfare, safety and stress reduction actions.
  - 5) Review and improve all our health, welfare, safety and stress reduction actions, at least annually.
6. On issues of corporate communications, our senior management, will craft and implement a communications program in the workplace, by:
  - 1) Identifying short-term and long-term objectives of our corporate communications and defining what communications goals we want to achieve.
  - 2) Knowing and understanding audiences (internal and external, etc.), their needs and expectations.
  - 3) Identifying communication messages and channels.
  - 4) Monitoring communications effectiveness and getting feedback on the communications that the company has planned and implemented, via the use of surveys and interviews and other means.

7. Our management, when unanticipated emergencies and critical events occur, will:
  - 1) Respond quickly.
  - 2) Act conclusively.
  - 3) Take appropriate responsibility.
  - 4) Ask for help and understanding.
  - 5) Inform company employees immediately.
  - 6) Show concern.
  - 7) Strive for transparent decision-making, behaviour, and results.
  - 8) Be open to all suggestions.
  - 9) Explain to the community as soon as possible.
  - 10) Invite local officials to help with explanations (where appropriate).
  - 11) Seek out and talk to affected groups and affected community stakeholders and institutions.
  - 12) Use simple, direct, and positive messages.
8. Our employees, in their every-day dealings, will:
  - 1) Show courtesy, tact and consideration in relationships with other fellow workers and the public.
  - 2) Show maximum respect to every other person in the organization and other contacts in a business context.
  - 3) Help others and to make our business run as effectively as possible, thereby gaining the respect of our colleagues and customers.
  - 4) Handle differences of opinion privately and discreetly.
  - 5) Avoid gossip and backbiting.
  - 6) Communicate directly with the person or persons involved to resolve differences.
  - 7) Practice positive criticism with respect and tact so that they improve business by clarifying or instructing.
  - 8) Strive to maintain a civil work atmosphere at all times and refrain from shouting, yelling, using vulgarities or swearing at co-workers or customers.
  - 9) Ensure a work environment free from disparaging remarks about religion, ethnicity, sexual preferences, appearance and other non-work related matters.
  - 10) Avoid causing embarrassment or distress to others based on comments about a particular group of people.
9. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, Data Protection Policy, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified community relations issues of our Company.

# 14 CORPORATE PHILOSOPHY POLICIES

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

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

## Policy preparations

Developing these policies should be done by the board via the given corporate committee. These should be reviewed, improved and ratified by the board.

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These policies should comply with the principles embodied in the Workplace Wellness Model (Believe; Bond; Belong; and Benefit) and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in Data Protection, Conflicts of Interest, Customer Service, Corporate Ethics, Vision, mission and values, Corporate Social Responsibility and [Environment Management](#).

Typical examples of such policies are detailed next.

## 14.1 POLICY #08: CONFLICTS OF INTEREST POLICY

### Conflicts of Interest Policy – Example

1. It is the policy of Organization 'XYZ' (a fictitious company, 'the Company'), to prohibit its management and employees from engaging in any activity, practice, or conduct which conflicts with, or appears to conflict with the interests of the Company, its customers, or its major suppliers.
2. Since it is quite impossible to describe all of the situations that might cause or give the appearance of a conflict of interest, the prohibitions included in this policy are not intended to be exhaustive and include only some of the most clear and lucid examples.
3. All managers and employees are expected to represent the Company in a positive and ethical manner. Thus, managers and employees have an obligation to avoid conflicts of interest and to refer questions and concerns about potential conflicts to their Manager.
4. Senior Management and others who have contact with customers and major suppliers may be required to sign a special statement acknowledging their understanding of and adherence to this policy.
5. Managers and employees may not engage in, directly or indirectly either on or off the job, any conduct that is disloyal, disruptive, competitive, or damaging to the Company.
6. No employee, excluding the office of the Chairman and Vice Chairman, shall engage in any outside employment with a business organized for profit without first obtaining approval of the Director of Human Resources.
7. Approval may not be given if the outside employment interferes in any manner with the proper and effective performance of the person's official duties, creates a conflict of interest or involves rendering advice or exercising opinion that is based

on information, reports or analysis, access to or availability of which results primarily from or through employment with the Company.

## 14.2 POLICY #09: CORPORATE ETHICS POLICY

### Corporate Ethics Policy – Example

1. The main aim of our Company's corporate ethics is to establish the values and principles of ethics of service in order to guide and support all our employees regardless of their hierarchy or responsibilities.
2. Our company's corporate ethics policy, procedures and practices will comply with the principles embodied in our Workplace Wellness Model (Believe; Bond; Belong; and Benefit) and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in stress management, wellness, health and safety programs, projects and activities.
3. The company's corporate ethics management team headed by a dedicated and well-trained company officer will manage, evaluate and implement our policies related to our corporate ethics so that the best results may be achieved by their full execution to all participants.
4. On issues of ethics, our senior management will be driven by a deep sense of commitment to ethical values and principles that include:
  - 1) Preservation and protection of human life: The belief that the value of preservation and protection of human life supersedes all other goods and needs.
  - 2) Procedural justice: A strong sense of fair dealing with employees establishes trust between leaders and their staff. When management make decisions in fair ways, employees assume they can follow instructions without fear of mistreatment of any kind.
  - 3) Integrity and truth: The commitment of management to telling the truth and keeping promises, and the process of applying the best of one's abilities, promise employee loyalty and commitment.
  - 4) Open communications: In an environment where managers and other corporate leaders respond well to communications from lower levels of the organization, ethical issues are more likely to surface and discussed before they become a crisis.
  - 5) Establishing trust by accepting and involving all employees as legitimate partners, listening to their concerns and meeting their needs, as much as possible, speaking clearly and with compassion.



5. All staff are required to sign at the time of employment a proprietary information agreement that restricts disclosure of proprietary, trade secrets and certain other data and information about the Company, its joint venture partners, suppliers and customers. This Policy applies to all Board Members, Directors, Managers, Employees and External Contractors without regard to whether such agreements have been formally signed.
6. All Board Members, Executive Management, Middle and Lower Level Managers, and Employees should not have private interests, other than those permitted by these measures, that would be affected particularly or significantly by actions in which they participate.
7. All Board Members, Executive Management, Middle and Lower Level Managers, and Employees may engage in employment and business activities outside the Company only when they are specifically authorized to do so.
8. All Board Members, Executive Management, Middle and Lower Level Managers, and Employees must use their best judgment to avoid situations of real or perceived conflict. In doing so, they must not accept or solicit any gifts, hospitality or other benefits that may have a real or apparent influence on their objectivity in carrying out their official duties or that may place them or the Company under obligation to the donor.

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9. This Policy applies to all Board Members, Executive Management, Middle and Lower Level Managers, Directors, Employees and External Contractors working for the Company.
10. This policy will be complemented by other required Company policies (e.g., Occupational Stress, Wellness, Data Protection Policy, Corporate Cultural Resilience Improvement Plan, etc.) and will be supported by detailed procedures and practices to ensure best implementation, monitoring and managements of all identified corporate ethics issues of our Company.

### **14.3 POLICY #10: VISION, MISSION AND VALUES STATEMENTS**

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

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

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

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

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

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

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

## 14.4 POLICY #11: CORPORATE SOCIAL RESPONSIBILITY POLICY

### Corporate Social Responsibility Policy - Example

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

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

# 15 DATA, CUSTOMER AND ENVIRONMENT POLICIES

**Summary:** This chapter contains a set of three policies on issues related to 'duty of care' (DOC) needs, requirements and demands for a company or business organization, such as: Data Protection Policy, Customer Service Policy, and [Environment Management Policy](#).

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

## Policy preparations

Developing these policies should be done by the board via the given corporate committee. These should be reviewed, improved and ratified by the board.



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These policies should comply with the principles embodied in the Workplace Wellness Model (Believe; Bond; Belong; and Benefit) and the particular 'Duty of Care' responsibilities of all company Board Members, Senior Management and other company personnel assigned to execute specific roles in Data Protection, Conflicts of Interest, Customer Service, Corporate Ethics, Vision, mission and values, Corporate Social Responsibility and Environment Management.

Typical examples of such policies are detailed next.

## **15.1 POLICY #12: DATA PROTECTION POLICY**

### **Company 'XYZ-Fictitious Enterprise Corporation' Data Protection Policy**

#### **1. Purpose of this policy**

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

#### **2. Commitment**

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

#### **3. Opportunity to decline**

When the company obtains personal information from you, or when you take a new service from the company, we will give you the opportunity to indicate if you do or do not (as applicable) wish to receive information from the company about other services or products.

Normally this will be done by way of a tick box on an application form or contract. You may revise the choice that you have made at any time by writing to the company informing us of the change.

#### **4. Personal information collection**

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

#### **5. Use of information**

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

#### **6. Credit reference checks**

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

#### **7. Disclosure of information**

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

#### **8. Protection of information**

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

### 9. Internet access

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

### 10. Monitoring of communications

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

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### 11. Data Subject Access Requests

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

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

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

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

### 12. Data Protection breaches

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

### 13. Contact

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

### Data Protection Policy Revision History

## 15.2 POLICY #13: CUSTOMER SERVICE POLICY

### Customer Service Policy - Example

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

- 1) Be courteous, polite, friendly and welcoming when we communicate to you as a customer, regardless of the means of communication, e.g., in person, in writing, by phone, fax or email, etc.



- 2) Respect your differences in age, gender, values, religion, culture and beliefs,
- 3) Treat you with dignity, due care and show you empathy and consideration,
- 4) Listen and respond in an attentive way to all your inquiries,
- 5) Protect the confidentiality of your information at all times,
- 6) Provide you with our details (name, title, role, etc.) so that you get personal attention,
- 7) Maintain a professional and responsive attitude in resolving all your problems.'

### **15.3 POLICY #14: ENVIRONMENT MANAGEMENT POLICY**

Developing the environment management policy should be done by the board via the given corporate committee. This should be reviewed, improved and ratified by the board. A typical example of such a policy is:

'The Company shall:

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

## PART 2.3: INTRODUCTION TO 'DUTY OF CARE' AUDIT QUESTIONNAIRES

**Summary:** The third part of this book contains a set of a set of 69 questionnaires with over 1000 (1057) questions on the most critical issues related to 'duty of care' responsibilities, such as: *Ethics, Strategic Planning; Policies; IT, Data Privacy, HR, Production, Health and Safety, Monitoring, etc.*

*For more details on how these may be used to evaluate and improve the performance aspects of the implementation process of hard controls, see chapter 7 of Part 1 of this book.*

*Also these audit questionnaires may be used in executing specific audits of 'Duty of Care' controls (chapters 1 to 7 of Part 1 of this book) by following the processes described in Chapter 10 (Audit process) and Chapter 11 (Risk evaluation methodology) of Part 1 of this book.*



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# 16 CORPORATE PHILOSOPHY ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of six questionnaires with a total of 40 questions related to assessing the following Corporate Philosophy issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Internal Controls Framework, Corporate Vision, Mission, and Values Statements, Departmental Vision, Mission, and Values Statements, Corporate Ethics Policy and Corporate Ethics Program.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Corporate Philosophy aspects of your 'duty of care' responsibilities as a manager of a company.

## 16.1 INTERNAL CONTROLS FRAMEWORK ASSESSMENT QUESTIONNAIRE

**Question 1:** Does the Internal Controls Framework identify the required control components?

**Question 2:** Do the key features of Internal Control contain all elements?

**Question 3:** Are Internal Controls made up of the following three types?

**Question 4:** Is there an active Audit Committee in place?

**Question 5:** Is there an Internal Audit Function in place?

**Question 6:** Are corrective and improvement measures taken when performance issues occur?

## 16.2 CORPORATE VISION, MISSION, AND VALUES STATEMENTS ASSESSMENT QUESTIONNAIRE

**Question 1:** VISION. Does the vision statement have quality attributes?

**Question 2:** MISSION. Does the mission statement reply to the questions, such as:

- 1) 'Who are we'?
- 2) 'What social or political needs do we exist to meet'?
- 3) 'What problems do we exist to resolve'?
- 4) 'How do we respond to our key stakeholders'?
- 5) 'How do we resolve social or other problems'?
- 6) 'What is our guiding philosophy or culture'?
- 7) 'What makes us unique or distinctive'?

**Question 3: VALUES:** Has a values statement been formulated and communicated to all levels of the organization?

**Question 4:** Are vision, mission and corporate strategy clear and supported by all organizational levels, such as: Staff, Suppliers, Subcontractors, Customers, Management, and Board of Directors?

### **16.3 DEPARTMENTAL VISION, MISSION, AND VALUES STATEMENTS ASSESSMENT QUESTIONNAIRE**

**Question 1:** Are there: overall corporate vision, mission and value statements?

**Question 2:** Are the departmental vision, mission and value statements in alignment with the overall corporate vision, mission and value statements?

**Question 3:** Are all the department staff aware of the department's vision, mission and value statements in carrying out their duties?

**Question 4:** Are all the department staff aware of the corporate vision, mission and value statements in carrying out their duties?

**Question 5:** Are all the stakeholders and their staff aware of the entity's corporate vision, mission and value statements in carrying out their duties to the Company/Organization?

**Question 6:** Are all the stakeholders and their staff aware of the departmental vision, mission and value statements in carrying out their duties?

**Question 7:** Are the activities of the department aligned with the corporate vision, mission and value statements?

**Question 8:** Are the departmental activities aligned with its own vision, mission and value statements?

**Question 9:** Are the corporate vision, mission and value statements kept up to date and tied to the overall strategy?

**Question 10:** Are the departmental vision, mission and value statements kept up to date and tied to the overall strategy?

## 16.4 CORPORATE ETHICS POLICY ASSESSMENT QUESTIONNAIRE

**Question 1:** Are all of the major players -- including stakeholders, shareholders, management, employees, customers, key suppliers, etc. participating?

**Question 2:** Is there meaningful participation by board members at all stages?

**Question 3:** Is a strong management committee in place to manage policy development and implementation?

**Question 4:** Does the industry have a good record of similar initiatives in the past?

**Question 5:** Are the organization leaders demonstrating strong commitment?

**Question 6:** Have the background conditions and motivations been clearly identified?

**Question 7:** Are the policy proponents inviting meaningful third-party representation and involvement by consumer groups, other standard-setting bodies, and are they prepared to pay for this involvement?

**Question 8:** Are the processes for developing and implementing the policy open and transparent?

**Question 9:** Is there a clear articulation and understanding of the rights and responsibilities of all stakeholders?

**Question 10:** Is there clear evidence that the policy will promote the corporate interest in areas such as confidentiality, fraud protection, conflict of interest, and other ethics concerns?

**Question 11:** Does the policy include effective complaints-handling and redress mechanisms accessible to everyone, effective programs to inform consumers and the public, and an evaluation framework to track progress and provide credible evidence of success and failure?

**Question 12:** Will a reputable third party regularly monitor the policy?

**Question 13:** Does the policy have the capacity to mature through time and respond to new learning and developments?

## **16.5 CORPORATE ETHICS PROGRAM ASSESSMENT QUESTIONNAIRE**

**Question 1:** Does the organization have an ethics policy?

**Question 2:** Does the organization have a meaningful anti-fraud policy statement?

**Question 3:** Does the organization have an ethics office and is it properly established?

**Question 4:** Has a communication plan for ethics been formulated, approved and executed?

**Question 5:** Has a training plan for ethics been formulated, approved and executed?

**Question 6:** Is an ethics culture apparent at all levels of the organization?

**Question 7:** Is an anti-fraud ethics culture apparent at all levels of the organization?

# 17 STRATEGIC PERFORMANCE ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of five questionnaires with a total of 119 questions related to assessing the following Strategic Performance issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Strategic Readiness, Business Idea Development, Corporate Strategic Plan, Strategic Management Controls and Organizational Controls Readiness.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Strategic Performance aspects of your 'duty of care' responsibilities as a manager of a company.

## 17.1 STRATEGIC READINESS ASSESSMENT QUESTIONNAIRE

### A. Overall Corporate Strategy

**Question 1:** What should our direction be for the future, in terms of developing new products, entering (or increasing share) of new market, and developing corporate competence and capability?

**Question 2:** Does everyone in the organization (management and staff) know what is our direction?

**Question 3:** What assistance and support do all employees in the organization need in order to assist in the process of formulating strategy?

**Question 4:** How much emphasis should be put on innovating and existing products and services provided?

**Question 5:** Does everyone have a clear view of the future of the organization in terms of vision, mission, values, and industry direction?

**Question 6:** Does everyone have a clear understanding who are our potential partners?

**Question 7:** Does everyone know who our potential competitors are?

## B. Business Unit Strategy

**Question 1:** What resources should the organization invest in innovation?

**Question 2:** What types of innovation should we focus on (product innovation? process innovation? service innovation? features of existing products? features of existing processes and services?)?

**Question 3:** How will planned innovation fit in and align with our product and services strategy?

**Question 4:** Where is strategy developed (central level? department level? product/service level?)?

**Question 5:** Does the business unit (or function) have its own vision, mission and values statements?



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**Question 6:** Are the business unit (or function) statements of vision, mission and values well aligned with the corporate vision, mission and values statements?

**Question 7:** Is the strategic process well understood and communicated at the business unit (or functional) level?

### **C. Risk Management**

**Question 1:** How is market risk managed, assuming products and services are developed (Will they produce revenue? Will they sell at a profitable price?)?

**Question 2:** How is the risk of competition managed, assuming the products and services sell (Will we be able to keep the gains?)?

**Question 3:** How is the internal capacity risk managed (Do we have the capacity to develop the products and services?)?

**Question 4:** How is the technology cost risk handled (Will we be able to produce the planned products and services at a reasonable cost?)?

**Question 5:** How is the partner and supplier risk managed (Can the suppliers provide the required raw materials and components? Will materials and components supplied be cost/effective? Can our partners take away our profits?)?

**Question 6:** Will regulators allow the products and services to be sold as the organization envisions?

**Question 7:** How is the distribution risk managed (Are appropriate channels available? Will we have adequate negotiation powers? Will they carry the products and services?)?

### **D. Human Resources Management**

**Question 1:** Do we have the right mix of competences, skills and dexterities in the organization?

**Question 2:** Do we know what competences, skills and dexterities exist in the organization?

**Question 3:** Do we manager our competences, skills and dexterities efficiently and effectively?

**Question 4:** Do we know what competences, skills and dexterities we are developing?

**Question 5:** Can we transfer competencies, skills and dexterities, when needed, to more strategic products or developments?

**Question 6:** How do we manage skills, competencies and dexterities (Obtaining them from the market? Acquiring them from internal development, Performing a cost-benefit analysis in order to decide what should be done)?

**Question 7:** Can we innovate more and improve our strategy by improving and enriching our mix of skills, competencies and dexterities?

**Question 8:** Does the organization motivate all staff to develop new ideas about products and services?

**Question 9:** Are all development opportunities communicated effectively?

**Question 10:** Do we use the hierarchical structure and supervision methods to focus people's attention on the most critical strategic issues?

**Question 11:** Do we offer and manage incentives effectively (Monetary benefits, Career incentives, Social rewards (e.g. recognition, etc.), Motivation (e.g. letting them work on projects they like, etc.)?)

**Question 12:** Do we know when to reward individuals and when to reward groups or functions?

**Question 13:** Do incentives motivate and enable people to be innovators?

**Question 14:** Does top management sponsor innovators?

**Question 15:** Do we manage the hiring process effectively (Hiring creative people, Hiring a variety of people, Enriching the experience of new employees with new innovating assignments)?

**Question 16:** Do we review performance of all employees (Evaluation policy and procedures, Are evaluations more than salary reviews? Do evaluations support people's development?)?

**Question 17:** Do we hold on to our people?

**Question 18:** Do we lose critical skills, dexterities and competencies?

### E. Management Procedures

**Question 1:** Do evaluations of individual and team performance consider the full range of the individuals and team's contribution to the organizations (Financial results? Customer support? Idea development? Other members support?)?

**Question 2:** Are performance targets agreed and set with all participants in a fair and balanced way?

**Question 3:** Are policy and procedural errors and conflicts identified and corrected quickly?

**Question 4:** Do individuals and teams get appropriate recognition on both successful and unsuccessful projects?



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**Question 5:** Are individuals and teams protected from undue and not creative interference from the highest level of management?

**Question 6:** Does management efficiently and effectively create and maintain contacts and communications with key external stakeholders?

**Question 7:** Are the appropriate levels of management, both on a continuous and on an ad hoc basis, aware of key issues, problems and conflicts?

**Question 8:** Are there effective communications in the organization (Internal communication to all staff and levels of management, External stakeholders communication, Customers and partners, Suppliers and chain value participants)?

**Question 9:** Does the organization encourage communication in an open, objective and fair way?

**Question 10:** Are all tools and media used for communication purposes?

**Question 11:** Does the communication include both financial and non-financial information?

**Question 12:** Are the right people involved in the decision making process?

**Question 13:** Do people hide their opinions for a variety of reasons (e.g. “rocking” the boat, offending the higher-level manager, etc.).

**Question 14:** Does the organization communicate the critical decisions to all levels?

**Question 15:** Is there an appeal process on decisions made?

**Question 16:** Are there review and feedback procedures for management decisions?

## **17.2 BUSINESS IDEA DEVELOPMENT ASSESSMENT QUESTIONNAIRE**

**Question 1:** What is innovative about the business/product/service idea?

**Question 2:** How unique is the business/product/service idea?

**Question 3:** Can it be protected by patent?

**Question 4:** Who are the customers?

**Question 5:** Why should the customers buy the products/services?

**Question 6:** What needs do they satisfy?

**Question 7:** Why is the product/service better than comparable alternatives?

**Question 8:** What are the competitive advantages of the new product, and why can a competitor not simply copy them?

**Question 9:** How does the product reach the customer?

**Question 10:** Can the product /service make money?

**Question 11:** What are the costs involved and what price can be asked?

### **17.3 CORPORATE STRATEGIC PLAN ASSESSMENT QUESTIONNAIRE**

**Question 1:** Does the executive and middle management of the organization have a process, in operating mode, for managing, reviewing and improving strategy?

**Question 2:** Does the strategic management process include all aspects, such as:

- 1) Monitoring performance against the corporate strategy?  
Interpreting performance data in a collaborative way?
- 2) Developing new and innovative strategic ideas and insights?
- 3) Formulating new short-term and long-term strategic directions?
- 4) Reviewing the performance measures kept by the system?
- 5) Updating the performance measures kept by the system?
- 6) Reviewing and changing the budgets, as required?

**Question 3:** Are all the results of the strategic management process properly documented?

**Question 4:** Does the strategic plan of the organization contain all required elements, such as:

- 1) SWOT (strengths, weaknesses, opportunities, threats) analysis?
- 2) PESTLE (political, economic, social, technological, legal, environmental) analysis?
- 3) Vision statement, Mission statement and Values statement?

- 4) A corporate strategy for the business affairs and activities of the organization at the general and appropriate functional level?
- 5) A contingency planning, IT disaster recovery and business continuity plan?

**Question 5:** Are there corporate plans and specific targets at the specific operational level (provide an answer for all 5 questions) of:

- 1) Business unit?
- 2) Manufacturing/Production Process?
- 3) Department (Sales, Finance, Marketing, Information Technology, Research and Development, Warehouse control, Customer support, etc.)?
- 4) Project?
- 5) Work team?

**Question 6:** Are budgets, priorities and other resources assigned to corporate strategic objectives and down to which hierarchy/ management level?

**Question 7:** Is there a communication system in place, assisting dissemination of strategies, policies and goals to all levels of the organization?

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**Question 8:** Are all the essential strategic components of the organization aligned?

- 1) Corporate pre-defined objectives to objectives of business units/divisions/departments/functions/projects?
- 2) Executive team activities to corporate strategy?
- 3) Monitoring and reviewing activities of the Board to corporate strategy?
- 4) Middle management activities to corporate strategy?
- 5) Human resources strategy to corporate strategy?
- 6) Incentives and benefits plan to corporate strategy?
- 7) Information technology strategy to corporate strategy?
- 8) Communications technology resources strategy to corporate strategy?
- 9) Public relations strategy to corporate strategy?
- 10) Financial and budgeting strategy to corporate strategy?
- 11) Sales strategy to corporate strategy?
- 12) Production (manufacturing) strategy to corporate strategy?
- 13) Research and innovation strategy to corporate strategy?
- 14) Customer support strategy to corporate strategy?
- 15) Marketing strategy to corporate strategy?
- 16) Change management strategy to corporate strategy?

**Question 9:** Do all personnel (Board, Executives, Middle management, Employees, Stakeholders, etc.) have a full understanding of the strategy, and its relevant coordination and cooperation activities required at all levels of the organization?

**Question 10:** Are the pertinent personnel educated (i.e., taught how to increase their insight and understanding of the 'why') and trained (i.e., taught how to perform a particular task/job/process) on strategy and related performance issues?

**Question 11:** Are the strategy execution activities formally documented, discussed, reviewed and improved on a time-specific basis (e.g., month, quarter, year?)?

**Question 12:** Is there trust and confidence throughout the organization that the chosen strategy will work and that it will improve the results for the organization?

**Question 13:** Is there a strong and sponsoring-type support at the executive level for the selected strategy of the organization?

**Question 14:** Does the quality management system support the strategy of the organization?

**Question 15:** Does the customer support system provide performance feedback information to the strategic management process of the organization?

## 17.4 STRATEGIC MANAGEMENT CONTROLS ASSESSMENT QUESTIONNAIRE

**Question 1:** Is the Strategic Management Control System efficient and effective, in terms of:

- 1) Reviews conducted by management at the functional and activity level?
- 2) Policies and procedures executed for human resources?
- 3) Controls executed over IT assets and systems?
- 4) Physical controls implemented over critical and vulnerable assets?
- 5) Performance measures created and reviewed?
- 6) Segregation of duties implemented?
- 7) Business transactions properly executed?
- 8) Documentation of transactions and activities maintained?
- 9) Accountability and access rules, restrictions and guidelines implemented?
- 10) Positive and supportive environment for employees and management maintained?

**Question 2:** Are the data and the reports provided by these systems useful for making strategic management decisions, i.e., complete, accurate, relevant, reliable, and timely?

**Question 3:** Do all corporate systems (manual and computerized) provide data and reports for determining that the organization is operating efficiently, effectively, and in compliance with standards, laws and regulations?

**Question 4:** Are the data and the reports provided by these systems useful for making operational management decisions, i.e., complete, accurate, relevant, reliable, and timely?

**Question 5:** Does the organization undertake testing (at least every one to three years on changes to the data or the systems) to ensure that all data and reports provided are correct?

**Question 6:** Do the data provided show the “red flags” when operations go outside of normal operating thresholds?

**Question 7:** Do the data and reports provided allow for continuous timely monitoring of daily operations of the organization?

**Question 8:** Are managers involved in the design, monitoring and review process of the strategic controls system?

**Question 9:** Does the organization have a system for collecting accurate data related to monitoring, tracking and auditing of all IT and telecommunications systems and equipment?



**Question 10:** Does the organization have (built-in) software controls to ensure the security of data access and to guard against damage, abuse and loss of data?

**Question 11:** Have adequate physical security controls been implemented that are commensurate with the risks of physical damage or access?

**Question 12:** Have adequate 'logical' (computerized application) security controls been implemented that are commensurate with the risks of 'logical' or improper access?

**Question 13:** Has an overall IT security review been performed in the last 1-3 years?

**Question 14:** Are management controls built into systems through internal software management control modules?

**Question 15:** Does the organization have and keep in good operational state a complete disaster and business continuity plan for the critical IT Applications, Systems and Data Communications equipment?



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**Question 16:** Does the organization manage and monitor all risks (internal and external)?

**Question 17:** Does the organization have effective internal and external audit units and do these units perform audits as required?

## **17.5 ORGANIZATIONAL CONTROLS READINESS ASSESSMENT QUESTIONNAIRE**

### **17.5.1 ORGANIZATIONAL STRATEGY**

**Question 1:** Are strategic plans, goals and specific work objectives in place to determine overall corporate, function, service and department objectives, budgets, priorities and to allocate resources?

**Question 2:** Are performance objectives set for all business units, departments, projects, teams and individuals?

**Question 3:** Are policies, procedures, systems and tools in place to enable top-down communication regarding corporate strategic priorities and objectives and feedback from the front-line, including customer, partner and other stakeholder needs?

### **17.5.2 STRATEGIC AND OPERATIONAL CONTROLS CULTURE**

**Question 4:** Is there is clear, positive and continuous commitment from the top leadership regarding controls?

**Question 5:** Are senior managers committed to making the organization a success through strategy and the required controls?

**Question 6:** Is there is a shared sense of direction and purpose within the organization?

**Question 7:** Is there is an awareness of the work effort and time involved to implement strategy, controls and performance measurement and a commitment to working through any setbacks?

**Question 8:** Are expectations regarding organizational goals, objectives and implementation of controls well understood by all staff?

**Question 9:** Are all management aware of practical problems and resource requirements regarding controls?

**Question 10:** Does all staff in the organization believe they have an important part to play in making the controls system a success?

### **17.5.3 PERFORMANCE MEASUREMENT AND MONITORING SYSTEM**

**Question 11:** Is a performance measurement and evaluation system in place?

**Question 12:** Is this system well regarded?

**Question 13:** Is this system considered effective and is it well understood?

**Question 14:** Are the reasons for introducing the performance measurement and evaluation system set down and clearly understood, with a common view shared by board members, management and officers responsible for its introduction?

**Question 15:** Are procedures in place to monitor overall organizational, business unit, service and individual performance against plans and objectives and to take corrective action where required?

**Question 16:** Are corporate performance staff and a management information system available to collect, process and analyze detail data to monitor and record progress, achievements and how resources are put to best use?

**Question 17:** Is there regular reporting of performance information measures, indicators and standards against objectives to indicate achievements and to highlight where improvement and action is needed?

### **17.5.4 HUMAN RESOURCE ISSUES**

**Question 18:** Are all staff and managers skilled in strategic planning and objective setting and are they able to develop practical plans and set demanding yet realistic objectives?

**Question 19:** Do all managers and staff of the organization have the required communication and negotiation skills to be able to state clearly what is required, listen to responses and reach consensus?

**Question 20:** Are all managers able to evaluate performance, review with individuals their achievements against objectives, take account of constraints, identify training and development needs and maintain high motivation?

**Question 21:** Is there a set of varied training and development seminars available to all managers and staff regarding all aspects of controls?

**Question 22:** Are training and development opportunities evaluated on a regular and ongoing basis in order to determine whether they help to achieve strategic and operational goals and objectives?

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# 18 MONITORING CONTROLS ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of six questionnaires with a total of 64 questions related to assessing the following Monitoring Controls issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Enterprise Controls Monitoring, Communications System Review, Internal Audit, Monitoring Strategic Plan, Monitoring Corporate Controls and Monitoring IT Controls.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Monitoring Controls aspects of your 'duty of care' responsibilities as a manager of a company.

## 18.1 ENTERPRISE CONTROLS MONITORING ASSESSMENT QUESTIONNAIRE

### 18.1.1 AUDIT PLANNING

**Question 1:** Has a planning meeting to discuss scope, approach, and timing with the appropriate personnel to be audited (audit contacts) been conducted?

**Question 2:** Has a planning memorandum been prepared and distributed to the appropriate audit contacts?

**Question 3:** Has sufficient understanding of the audit area, by reviewing previous internal audits, any relevant policies and procedures pertaining to company-level controls, self-assessment material, and best practices for ongoing controls monitoring been obtained by internal audit?

**Question 4:** Has an entrance meeting with audit contacts to re-establish the scope and timing of the review been conducted?

**Question 5:** Has a schedule for status meetings and ways of communication been established?

### 18.1.2 PERFORMANCE REVIEW

**Question 6:** Is the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.) organization chart outlining positions of key individuals playing an active role in the monitoring of company-level controls, the business code of conduct, and other narratives, or formal plans in support of existing company-level controls reviewed regularly?

**Question 7:** Are factors (such as: Control environment, management integrity, ethical values, commitment to competence, management's philosophy and operating style, organizational structure, human resource policies and practices, risk assessment process, and communication policy and procedures) impacting the effectiveness of company-level controls reviewed regularly?

**Question 8:** Are the ongoing controls monitoring corporate processes reviewed, in terms of:

- ✓ Are management's controls adequate and functional?
- ✓ Are there areas where controls should be enhanced or additional internal audits should be performed?
- ✓ Were any deficiencies and gaps relating to company-level controls noted during the previous assessment of internal controls over financial reporting?
- ✓ Were any of these deficiencies and gaps significant?
- ✓ Has management drafted appropriate action plans to address the deficiencies and gaps and corrected them within the proper timeframe?
- ✓ For those deficiencies and gaps for which management action plans have not yet been drafted, has management identified a proposed action plan and a projected implementation date?

**Question 9:** Are internal controls over financial reporting identified during the previous assessment discussed with management at the company-level and process- level?

**Question 10:** Are findings and discussions documented?

**Question 11:** Is the status on completion of action plans evaluated?

**Question 12:** Are any gaps in achieving the action plans by their due dates documented?

**Question 13:** Are assessment questionnaires used to identify controls currently in place at the various operating entities reviewed by management?

**Question 14:** Are self-assessment questionnaires completed by all personnel in all critical functions?

**Question 15:** Are action items identified as part of the self-assessment acted upon by the appropriate individual(s)?

**Question 16:** Are segregation of duties and levels of security access assigned among users monitored effectively?

**Question 17:** Are purchasing controls monitored?

**Question 18:** Are purchase contracts executed in accordance with stated policies and procedures?

**Question 19:** Are risk assessment procedures of the enterprise monitored effectively?

**Question 20:** Does management give proper consideration to business risks associated with all business functions?



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### 18.1.3 AUDIT REPORT

**Question 21:** Does internal audit prepare a preliminary draft of the audit findings?

**Question 22:** Is the preliminary draft of the audit findings reviewed with appropriate audit contacts?

**Question 23:** Is the preliminary draft issued to management?

**Question 24:** Is the timing and responsibility for implementing any action items identified and agreed to in the draft agreed with management?

**Question 25:** Does internal audit staff validate the accuracy of all audit report contents before report is issued?

**Question 26:** Does internal audit management review audit reports with senior corporate directors?

**Question 27:** Is final audit report issued and distributed to all relevant parties?

## 18.2 COMMUNICATIONS SYSTEM ASSESSMENT QUESTIONNAIRE

**Question 1:** Is internally generated information, critical to achieving the objectives of the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.) identified, regularly collected and reported to management?

**Question 2:** Is externally generated information, critical to achieving the objectives of the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.) and pertinent to its survival (e.g. tax regulations, legal cases, security incidents, etc.) identified, regularly collected and reported to management?

**Question 3:** Is pertinent performance and corporate information identified, collected, stored, processes, analyzed and communicated to all approved stakeholders of the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.)?

**Question 4:** Is information provided at the right level of summary or detail, depending on the level of management requiring it?



**Question 5:** Is specific financial and budgetary information provided for both internal and external financial reporting?

**Question 6:** Does management communicate to all levels that internal control responsibilities are very important and should be taken seriously?

**Question 7:** Do all personnel have a means of communicating information to higher levels of management within the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.)?)

**Question 8:** Do mechanisms exist to allow the easy flow of information down, across, and up the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.)?)

**Question 9:** Do easy communications exist between all functions (procurement, IT, production, marketing, etc.) of the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.), especially on the critical and priority issues, projects and activities?

**Question 10:** Do management communicate, in an easy and simple but effective language, all the relevant aspects of internal controls to all staff of the enterprise (private company, public enterprise (private company, public organization, non-profit, etc.)?)

**Question 11:** Do mechanisms exist for employees to recommend improvements in operations, strategy, and other critical issues (e.g., ethics)?

**Question 12:** Is communication with external parties, regulators, government officials, customers, vendors, etc., encouraged?

**Question 13:** Are all communications events, documents, surveys, reports, etc., filed and archived accordingly?

### **18.3 INTERNAL AUDIT ASSESSMENT QUESTIONNAIRE**

**Question 1:** Does the Internal Audit department of the company have terms of reference, an organizational chart, and the required expertise and resources?

**Question 2:** Does the internal audit policy document of the company contain audit review objectives, work plan, documentation, conclusions, report format, and Audit Manager review milestones?

**Question 3:** Does the internal IT audit function, if one exists, contain an audit plan, adequate resources, suitable resources, including qualification, experience, technical competence, and training?

**Question 4:** Are IT issues and application systems subject to independent review by the company's internal audit function, in terms of reviewing system developments, existing systems, computer operations, security and control issues, and use of audit software?

## 18.4 MONITORING STRATEGIC PLAN ASSESSMENT QUESTIONNAIRE

**Question 1:** Are business goals and objectives being achieved or not?

**Question 2:** Are the business goals achieved according to the timelines specified in the plan?

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**Question 3:** Should the deadlines for completion be changed?

**Question 4:** Do corporate personnel have adequate resources (money, equipment, facilities, training, etc.) to achieve the business goals?

**Question 5:** Are the business goals and objectives still realistic?

**Question 6:** Should corporate priorities be changed to put more focus on achieving the business goals?

**Question 7:** Should the business goals be changed?

**Question 8:** What can be learned from our monitoring and evaluation in order to improve future planning activities and also to improve future monitoring and evaluation efforts?

## **18.5 MONITORING CORPORATE CONTROLS ASSESSMENT QUESTIONNAIRE**

**Question 1:** Is there a monitoring procedure of both strategic and operational controls in place and is this supervised by the Executive Management of the company?

**Question 2:** Has Senior Executive Management of the company set a minimum set of Key Performance Indicators (KPIs) to be monitored?

**Question 3:** Is Senior Executive Management of the company involved in departmental, business unit and functional process performance monitoring and evaluation?

**Question 4:** Do all Senior Management Executives of the company fully understand the role of each corporate department, unit and process as well as what critical measures they should monitor?

**Question 5:** Do all Senior Management Executives of the company have adequate skills, training and attributes in monitoring and review related issues?

**Question 6:** Is monitoring of business performance related to Senior Management conduct of the company?

**Question 7:** Have specific responsibilities been established regarding monitoring controls at all levels of management of the company?

**Question 8:** Are specific actions taken on reported and reviewed concerns on control malfunctions of the company?

**Question 9:** Is there continuous awareness for monitoring controls in order to improve the performance of the company?

**Question 10:** Are all controls reviewed and reported by the audit (internal and external) and compliance functions of the company?

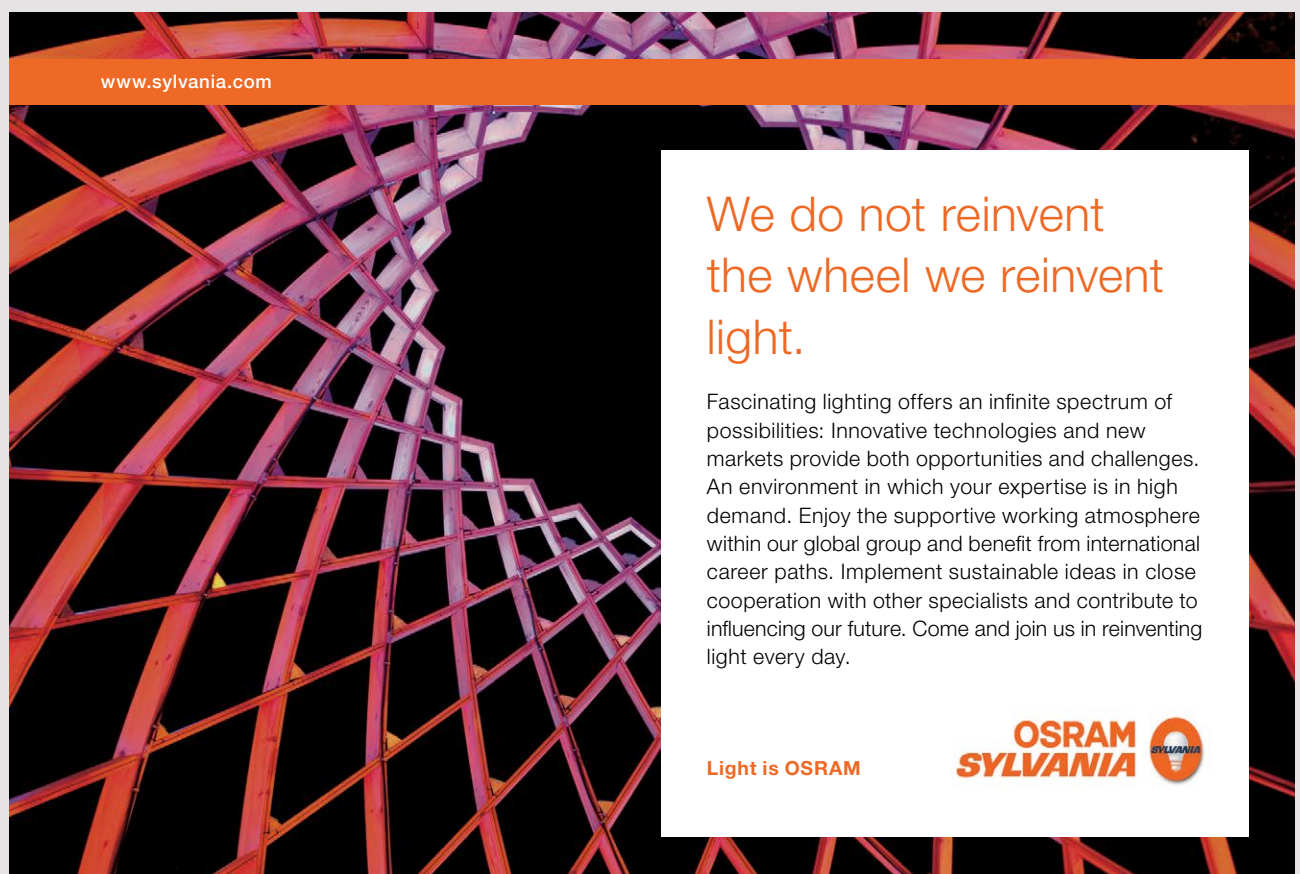
**Question 11:** Do human resources of each department, project, unit or process of the company fully understand their role in controls monitoring?

**Question 12:** Do human resources of each department, project, unit and process of the company have adequate skills, training and attributes in monitoring related control issues?

# 19 CORPORATE GOVERNANCE ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of eight questionnaires with a total of 53 questions related to assessing the following Corporate Governance issues supporting your 'duty of care' (DOC) management, review, audit and improvement responsibilities, such as: Strategic Planning, DOC Policies, Corporate Management Responsibility, Performance Management, Awareness, Communication and Training, Business Continuity, Emergency and Disaster Management and Management and Continuous Improvement.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Corporate Governance aspects of your 'duty of care' responsibilities as a manager of a company.




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## 19.1 STRATEGIC PLANNING ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there is a process in place to analyse needs, develop, review, update and maintain plans at corporate level in order to identify and achieve the DOC strategic objectives and targets?

**Question 2:** Do the DOC strategic planning process and the supporting plan address:

The resources for achieving the DOC objectives and measurable targets?

DOC responsibilities and accountabilities at all management levels?

The means and timeframe by which DOC objectives and measurable targets are to be achieved?

**Question 3:** Has this strategic plan been developed in consultation with all senior managers of the company?

**Question 4:** Has the plan been communicated and distributed to all company functions and offices in order that local plans can be developed, if needed, to support the overall company plan?

**Question 5:** Do all DOC plans include risks, such as:

1. Employee Wellbeing?
2. Occupational Stress?
3. Non-infectious Occupational Health Exposures?
4. Fatigue management?
5. Hazardous manual tasks?
6. Hazardous Chemicals and Dangerous Goods?
7. Hazardous waste such as clinical, radioactive or cytotoxic waste, etc., that may include, for example: spent solvent wastes; wastes from electroplating and other metal finishing operations; dioxin-bearing wastes; wastes from the production of certain chlorinated aliphatic hydrocarbons; wastes from wood preserving; petroleum refinery wastewater treatment sludges; multisource leachate, etc.?

**Question 6:** Are plans updated and reviewed on an ongoing basis?

**Question 7:** Is there is a process in place to identify, have access to, and receive regular updates to legal and other industry documentation such as standards and codes of practice that are directly applicable to DOC issues relating to relevant company activities and services?

## 19.2 DOC POLICIES ASSESSMENT QUESTIONNAIRE

**Question 1:** Are the current DOC (Wellness, Health, Safety, Corporate Social Responsibility, Ethics, Occupational Stress Reduction, Employee Assistance Program, etc.) Policies ratified by the Chief Executive or Board?

**Question 2:** Are these DOC Policies in full effect?

**Question 3:** Have these *DOC Policies* been designed, developed and implemented for your company by taking into full consideration, for each policy:

1. Prevention more than recovery?
2. Assessment and resolution of all identified and potential risks?
3. Reinforcing company commitment via a proper statement to improving your employee safety culture?
4. A commitment to comply with all relevant state legislation and applicable industry standards and requirements?
5. A clearly defined set of responsibilities and accountabilities for DOC at all levels?
6. A commitment to engage in consultation, coordination and cooperation with all duty holders on specific issues and concerns?
7. A commitment to the continuous improvement of health and safety by establishing practical and measurable objectives and targets?
8. A system of review and monitoring of DOC issues at all levels?
9. A commitment to awareness and the provision of adequate training and resources?
10. A commitment to communicating of these policies to all company stakeholders?

## 19.3 CORPORATE MANAGEMENT RESPONSIBILITY ASSESSMENT QUESTIONNAIRE

**Question 1:** Have company officers and senior managers received information and training in their DOC responsibilities, in terms of:

1. Having up-to-date knowledge of DOC matters and trends?
2. Having a full understanding of the operations of the company and of the hazards and risks associated with it?
3. Ensuring the company has and uses required and proper resources and processes to eliminate or minimise health and safety risks from the work carried out?

4. Ensuring the company has appropriate organization and processes to receive information about events, incidents, hazards and risks and responding in a timely manner to that information?
5. Ensuring the company has and implements adequate processes to comply with any duty or obligation under the relevant DOC laws, standards and regulations?

**Question 2:** Do managers and supervisors have performance development plans in place that include DOC performance objectives specific to their role?

**Question 3:** Are staff performance development plans in place that include DOC performance objectives specific to their roles?

**Question 4:** Are all performance development plans reviewed on an annual basis?



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## 19.4 PERFORMANCE MANAGEMENT ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there is a DOC performance documented system to identify and establish both *Proactive* (lead) performance indicators (e.g.: audit outcomes, training outcomes, risk control outcomes, infection control audits etc.) and *Reactive* (lag) performance indicators (e.g.: incident rates, injury rates, hours lost, costs, etc.)?

**Question 2:** Are these proactive and reactive performance indicators monitored on a continuous basis?

**Question 3:** Are the performance indicators reviewed and evaluated for relevance and effectiveness, at a minimum every two years?

## 19.5 AWARENESS, COMMUNICATION AND TRAINING ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there a documented DOC Awareness, Communication and Training Management System in place to:

1. Analyse the needs and identify the work health and safety awareness, communication and training requirements by job position?
2. Determine when the awareness, communication and training needs to be taken?
3. Determine frequency of refresher awareness, communication and training where required, e.g., first aid legislative requirements, etc.?

**Question 2:** Is there is adequate documented evidence that awareness, communication and training needs are reviewed, evaluated and updated as required, e.g. legislation changes, new plant, new process, incident review, etc.?

**Question 3:** Have specific training needs been identified for employees, including all managers (senior, middle-level, etc.) and have awareness, communication and training plans been developed which include refresher training where applicable?

**Question 4:** Is induction training conducted for all employees appropriate to the work to be carried out?

**Question 5:** Is information provided to employees regarding their roles and responsibilities in relation to new or revised DOC policies, procedures and practices?

**Question 6:** Is there is adequate documented evidence that good communication practices are carried out, such as:

1. Have health and safety as a regular topic at all departmental or management meetings?
2. Regularly update information on notice boards and displays?
3. Passing on information via newsletters and internal publications?
4. Sending e-mail alerts to all staff?
5. Placing a safety page or section on company intranet or internet site, etc.?

## 19.6 BUSINESS CONTINUITY ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there a Business Continuity Plan?

**Question 2:** How is this developed, implemented, tested and reviewed?

**Question 3:** Does this plan cover all potential disaster conditions/ disruptions: Building (Fire, Flood, Storm, Weather), Electrical Power, Telephony (PBX), Networking Equipment, Personnel, Budget (Funds allocation), Information Systems, Computer Hardware and Software, Business Function, Documentation and Supplies (e.g., forms, consumables), Alternate Recovery Facilities, and Technology (Manufacturer, Developments)?

**Question 4:** Up to what level plans exist (and are tested) to make information systems recoverable at the level of : Data (file), Data Center, Network, End User, Corporate or Business Function?

**Question 5:** Are Disaster Recovery Alternatives for Data center Recovery (Hot Site, cold site, warm site, Dual Data Center, etc.) assessed?

**Question 6:** Do manual fall-back systems, to operate during short disruptions and during the initial stages of major disruptions for all information systems exist?

**Question 7:** Are manual or alternate fall-back systems for each of the disruptions detailed above and the personnel responsible for their initiation documented?

**Question 8:** Do Escrow Agreements for software licensed to run at the EDP Data Center exist?

**Question 9:** Are the physical contents of the software copy stored in the Escrow Account checked?

**Question 10:** Are Alternate Recovery Facilities tested?

**Question 11:** Are the alternatives related to handling the potentiality of the disruption or business discontinuance of the major suppliers of computer hardware and software and the technology platform used regularly assessed?

## 19.7 EMERGENCY AND DISASTER MANAGEMENT ASSESSMENT QUESTIONNAIRE


**Question 1:** Are there emergency response plans for the company offices, facilities, services, functions, systems, personnel, etc. and do they outline roles and responsibilities in the event of an emergency?

**Question 2:** Do the company emergency response plans cover the elements outlined in government legislation and industry standards, such as:


1. Fire and smoke?
2. Medical emergency?
3. Bomb threats?

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4. Infrastructure and other internal emergencies?
5. Personal threats?
6. Evacuation?
7. Severe weather, etc.?

**Question 3:** Are company emergency response plans tested via table top exercises, actual drills and simulations, etc., on a pre-determined basis?

**Question 4:** Is emergency equipment tested as required and any equipment with expiration dates, such as fire extinguishers kept current?

**Question 5:** Are improvement action plans to emergency readiness developed on the basis of response and emergency equipment testing?

**Question 6:** Are fire safety surveys conducted according to standards?

**Question 7:** Are company emergency response plans supplemented by a business continuity process, policy and plan and an IT disaster recovery plan, as required?

**Question 8:** Is there a mechanism to provide immediate and ongoing support to company workers affected by an emergency?

**Question 9:** Are workers aware of how to access support mechanisms if they are affected by an emergency?

**Question 10:** Are workers trained on the proper responses to an emergency?

**Question 11:** Are records maintained on all emergency test and events, as per legislative requirements and industry standards?

## **18.8 MANAGEMENT AND CONTINUOUS IMPROVEMENT ASSESSMENT QUESTIONNAIRE**

**Question 1:** Is there a documented procedure and process that outlines the process for the continual improvement of the company's DOC policies, procedures and practices, and includes the review frequency?

**Question 2:** Does the documented DOC improvement procedure and process include the roles and responsibilities for the review of the DOC policies, procedures and practices and the frequency of review relevant to the level of risk and at a minimum every two years?

**Question 3:** Are reviews of the effectiveness of the DOC improvement procedure and process carried out at scheduled intervals at a minimum of once every two years?

**Question 4:** Are improvements and changes made to the DOC improvement procedure and process made as required?

**Question 5:** Are changes to the DOC improvement procedure and process communicated to all employees impacted by the changes?

**Question 6:** Are DOC improvement procedure and process records retained as required under legislation and company policies and procedures?

**Question 7:** Is there is a process for the notification of significant risks, incidents, notices and penalties, etc., of the Chief Executive and senior management of the company?

**Question 8:** Is the Chief Executive provided with reports on the performance of all the DOC policies, procedures and practices?

**Question 9:** Is there an action plan that describes what activities will be undertaken and by which time-frame by the company's senior management on all audit findings and recommendations?

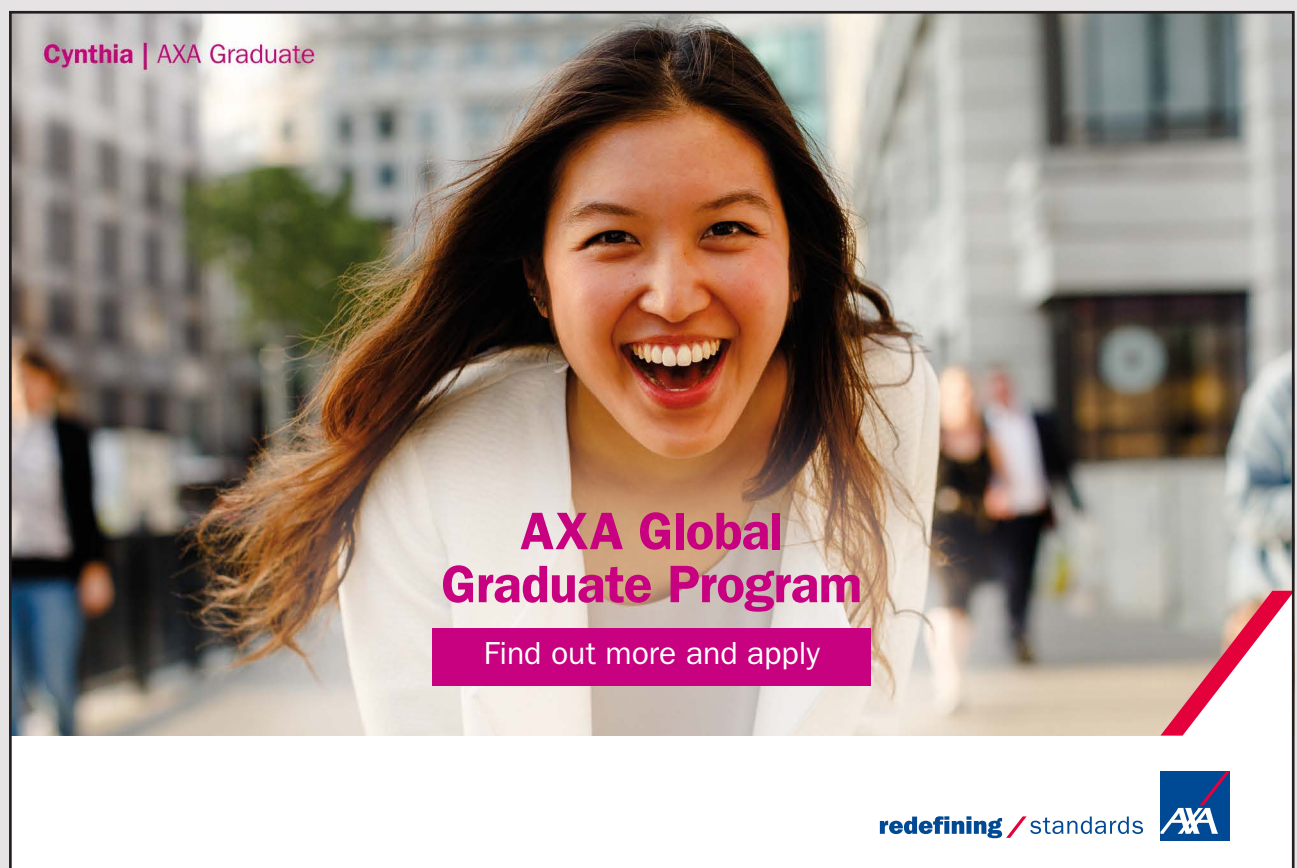
## 20 IT GOVERNANCE ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of five questionnaires with a total of 125 questions related to assessing the following IT Governance issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: IT Terms of Reference, IT Vision, Mission, and Values, IT Strategic Planning, IT Technology Coverage, IT Performance and IT Controls Monitoring.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your IT Governance aspects of your 'duty of care' responsibilities as a manager of a company.

### 20.1 IT TERMS OF REFERENCE ASSESSMENT QUESTIONNAIRE


**Question 1:** Is the CIO/IT Manager reporting to the official / organizational responsibility centre of the IT unit?



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**Question 2:** Are the Terms of Reference detailed enough and tailored to the specific activities of each IT function/department and responsibility centre?

**Question 3:** Are the Board members and/or executive management of the Company/Organization familiar with these terms of reference and have they been ratified at the appropriate executive / board level?

**Question 4:** Are the IT department managers familiar with these terms of reference?

**Question 5:** Are the IT department personnel familiar with these terms of reference?

**Question 6:** Are the IT user managers familiar with these terms of reference?

**Question 7:** Are the IT users familiar with these terms of reference?

**Question 8:** Are these terms of reference aiding the IT managers and staff in discharging their duties?

**Question 9:** Are these terms of reference known to the external stakeholders of IT (maintenance vendors, society interest groups, community groups, regulatory agencies, etc.)?

**Question 10:** Is the IT function structured effectively to serve the Organization and its divisions / functions: as a separate division, or as a part of another division? interfacing with an outsource entity? shared service among several departments? a combination of above? A separate company, with its own Board of Directors? At the right organizational and responsibility level?

## **18.2 IT VISION, MISSION, AND VALUES ASSESSMENT QUESTIONNAIRE**

**Question 1:** Are there: overall corporate vision, mission and value statements?

**Question 2:** Are the IT vision, mission and value statements in alignment with the overall corporate vision, mission and value statements?

**Question 3:** Are all IT staff aware of the IT vision, mission and value statements in carrying out their duties?

**Question 4:** Are all IT staff aware of the corporate vision, mission and value statements in carrying out their duties?

**Question 5:** Are all stakeholders and their staff aware of the entity's corporate vision, mission and value statements in carrying out their duties to the Company/Organization?

**Question 6:** Are all stakeholders and their staff aware of the IT vision, mission and value statements in carrying out their duties to the entity's IT function?

**Question 7:** Is the IT function aligned with the corporate vision, mission and value statements, and a professional ethics code?

**Question 8:** Is the IT function aligned with the IT vision, mission and value statements?

**Question 9:** Are the corporate vision, mission and value statements kept up to date and tied to the overall strategy?

**Question 10:** Are the IT vision, mission and value statements kept up to date and tied to the overall strategy?

### **18.3 IT STRATEGIC PLANNING ASSESSMENT QUESTIONNAIRE**

**Question 1:** Does the chosen planning method (PM) involve detailed examination of all activities?

**Question 2:** Does the chosen PM identify beneficial uses of IT?

**Question 3:** Has an IT Strategic Planning project (PJ) been set up (with participants from both IT and users) and is it linked to corporate goals?

**Question 4:** Is the PJ sponsored by the CEO and ratified by the Board?

**Question 5:** Were meetings held with key users?

**Question 6:** Were meetings held with business managers?

**Question 7:** Were any external consultants used?

**Question 8:** Are minutes kept and circulated of PJ meetings?



**Question 9:** Have business plans been linked to IT systems

**Question 10:** Have IT benefits been identified in the organization's business plan?

**Question 11:** Have existing / new IT applications been identified in terms of strategic impact to the organization?

**Question 12:** Have new corporate data been identified?

**Question 13:** Have present IT systems been examined in terms of errors and gaps?

**Question 14:** Has the hardware platform (present, future) been examined?

**Question 15:** Has the application software platform (present, future) been examined?

**Question 16:** Has the database software (present, future) been examined?

**Question 17:** Are IT action plans agreed and signed off by key-users?



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**Question 18:** Are IT action plans and report (as per deliverables) reviewed and ratified by CEO / board?

**Question 19:** Is PJ plan reviewed every six months?

**Question 20:** Is there a budget prepared (short-term, long-term) for all required approved acquisitions, internal developments, and enhancements?

## 18.4 IT TECHNOLOGY COVERAGE ASSESSMENT QUESTIONNAIRE

### 18.4.1 DETAIL QUESTIONS

**Question 1:** Does Technology Coverage include items and issues such as:

- ✓ mainframe/mini/micro/laptop computer hardware platforms?
- ✓ operating systems and data base management technologies?
- ✓ information systems?
- ✓ data centre?
- ✓ personal computers and office systems and applications?
- ✓ electronic mail and related aspects?
- ✓ electronic data interchange (EDI) and Internet?
- ✓ networking (cabling, hubs, WAN/LAN/ INTRANET)?
- ✓ data transmission with external parties and protocols?
- ✓ voice communications?
- ✓ advanced systems, knowledge systems, and competitive intelligence applications, and decision support systems?
- ✓ other special systems (e.g. security , building management, embedded systems etc.)?

**Question 2:** Is the issue of Technology Coverage adequately covered (i.e., there are no missing items)?

**Question 3:** Is Technology Coverage included in the IT vision, mission and value statements?

**Question 4:** Does the CIO have the official responsibility for the Technology issues?

**Question 5:** Are all the IT staff kept up-to-date on all technological issues by training, seminars, web-based tuition, etc?

**Question 6:** Is the Technology Coverage issue adequately managed in the IT Re-structuring plan and/or other business process re-engineering/improvement in progress?

**Question 7:** Is there a short-term as well as a long-term technology plan in place for the organization?

**Question 8:** Is the technology plan reviewed annually, improved (according to the firm's needs and new business requirements and processes, and with the participation and commitment of all parties), and communicated to all stakeholders and relevant parties?

**Question 9:** Is adequate documentation maintained properly on all technological changes?

## 18.5 IT PERFORMANCE ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there an IT Performance Policy in effect?

**Question 2:** Is this policy valid and used?

**Question 3:** Are operational statistics collected?

**Question 4:** Are operational statistics on equipment and systems availability and down -time and how these processing problems (and their resolution) are communicated to end-user and Top Management assessed?

**Question 5:** Are operational performance problems and issues communicated to end-user and Top Management?

**Question 7:** Is hardware capacity planning in effect?

**Question 8:** Is the IT Governance Framework in effect reviewed annually?

**Question 9:** Are Performance Indicators (such as: Functions developed worth to users, No. of lines coded / tested / changed, Hours spent on maintenance (person, program), Timely delivery of reports to users, Average response time, Average availability time, Volume of data stored, Mean time between failures, No. of lines printed, Volume of data maintained, No. of on-line transactions processed, Adherence to budget, Expenditures on maintenance vs. new development, Expenditures on preventative maintenance, Ratio of administrative (staff) costs to production (line) costs, Turn over ratios, Training per employee (amounts, hours), Average tenure within the company) and their effectiveness for the particular IT function audited?

## 18.6 MONITORING IT CONTROLS ASSESSMENT QUESTIONNAIRE

### 18.6.1 IT STRATEGIC MANAGEMENT

**Question 1:** Is there an IT Strategic Plan?

**Question 2:** Is there a mechanism by which the business community articulates expected events (transactions, new locations, etc.) to IT so that IT can adequately plan?

**Question 3:** Are IT Policies and Procedures developed, approved and centrally maintained for key IT processes and application systems?

**Question 4:** Are the Policies and Procedures reviewed and updated at least annually?

**Question 5:** Are IT performance measures (including an IT budget) used to monitor system performance and output?

**Question 6:** Is there an acceptable used policy regarding company IT assets that all personnel are required to acknowledge?

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**Question 7:** Are IT compliance issues fully understood by all IT staff?

**Question 8:** Does the IT function appear to be adequately staffed?

**Question 9:** Is there a mechanism to monitor the productivity of IT personnel?

**Question 10:** Are IT personnel required to attend certain training or obtain certain qualifications?

**Question 11:** What is the average length of service for IT personnel?

**Question 12:** Are there policies that expressly prohibit the usage of company programs or data for purposes other than work?

**Question 13:** Are all third party services properly managed and monitored?

**Question 14:** Is the IT asset inventory properly managed and its elements monitored?

### **18.6.2 DATA MANAGEMENT**

**Question 1:** Is there a data dictionary (usually provided by the standards DBMS package) of data identified as critical?

**Question 2:** Is it clear who is formally responsible for data integrity?

**Question 3:** Is DBA access to databases restricted to the authorized personnel only?

**Question 4:** Is all database activity logged and monitored?

**Question 5:** Are sensitive data (e.g., credit card numbers, social insurance numbers, etc.) encrypted or masked in the databases?

**Question 6:** Are the data transferred to the corporate data warehouse properly controlled?

**Question 7:** Is ownership of the data in and access to the data warehouse appropriately defined and controlled?

**Question 8:** Are all data removed from laptops or workstations prior to their disposal?

**Question 9:** Has the flow of key corporate (e.g., financial, compliance, production, customer, etc.) reporting or other key critical data been documented so that all computer programs are properly identified?

### 18.6.3 DATA CENTRE OPERATIONS

**Question 1:** Does IT management monitor the performance and capacity levels of the systems and internal corporate network?

**Question 2:** Does IT management monitor the formal problem management and help desk process?

**Question 3:** Does IT management review and monitor the average length of time to close reported problems?

**Question 4:** Are changes to programs or systems documented, formally approved and monitored by IT management?

**Question 5:** Is there a formal process to handle emergency requests?

**Question 6:** Are all changes initiated by business needs and requirements?

**Question 7:** Is the operation and testing of the uninterrupted power supply for the data center monitored?

**Question 8:** Is the operation of the non-liquid fire suppression system for the data center monitored?

### 18.6.4 CORPORATE APPLICATIONS DEVELOPMENT

**Question 1:** Is there a System Development Life Cycle (SDLC) model that is utilized (e.g., waterfall, rapid application development, spiral, agile, etc.) and monitored?

**Question 2:** Are test results approved and monitored?

**Question 3:** Is there a committee (end-users and IT) that monitors the progress of each project?

**Question 4:** Is the source code protected through copyright and is this monitored?

**Question 5:** Is the source code placed in escrow and is this monitored?

**Question 6:** Does the IT management monitor that an inventory has been performed of applications and databases that support business processes and that these are in alignment with Sarbanes-Oxley or other data protection regulation?

**Question 7:** Is there a formal process, including documentation, by which users are provided with access to the application?

**Question 8:** Is there immediate communication from Human Resources regarding employee termination that results in the timely removal of user accounts?

**Question 9:** Is security, including segregation of duties, considered and monitored during the development cycle?

**Question 10:** Are interfaces between systems subjected to an SDLC process that includes retention of test results and approvals?

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**Question 11:** Are there separate development, quality assurance and production environments and are these monitored?

**Question 12:** Is the access by development staff to the production environment monitored?

**Question 13:** Is there a monitoring mechanism to track the labor involved during the development cycle so that those costs can be capitalized?

**Question 14:** Is there an on-going monitoring process to manage segregation of duties conflicts?

**Question 15:** Are company-wide licenses utilized and monitored for standard software packages?

**Question 16:** Is the company up to date on all vendor released patches and is this monitored by IT management?

#### **18.6.5 END USER APPLICATION DEVELOPMENT**

**Question 1:** Is the inventory of spreadsheets that are relevant to financial reporting or other high-risk, of the highest importance processes maintained and monitored?

**Question 2:** Has the logic in all spreadsheet been verified, tested, etc., by somebody other than the creators of the spreadsheets?

**Question 3:** Is access to key spreadsheets restricted via a password mechanism?

**Question 4:** Are each of these spreadsheets backed-up periodically and is this monitored?

#### **18.6.6 SECURITY AND DISASTER RECOVERY MANAGEMENT**

**Question 1:** Are access rights at the application and operating system level periodically monitored, reviewed and confirmed?

**Question 2:** Is there an intrusion detection system and are all incidents monitored?

**Question 3:** Are external vulnerability scans (security penetration tests) performed periodically and monitored by management?



**Question 4:** Is access to IT assets (e.g., data center assets), appropriately restricted, monitored and controlled?

**Question 5:** Is there a formal Disaster Recovery Plan and are its activities (tests, offsite areas, alternate sites, etc.) monitored?

**Question 6:** Are the formal backups taken for data bases, application software, end-user data monitored according to a plan?

### **18.6.7 OPERATING SYSTEM AND NETWORK SOFTWARE**

**Question 1:** Are all system and network elements and activities monitored?

**Question 2:** Is each operating system currently supported by its manufacturer?

**Question 3:** Is each operating system up to date with patches provided by the manufacturer?

**Question 4:** Are there any users with unsupported operating systems on their laptops or workstations that transmit data into the network?

**Question 5:** Is there a formal process, including documentation, by which users are provisioned with access to the operating systems(s)?

**Question 6:** Is there a topology diagram of the network hardware?

**Question 7:** Is wireless and other traffic encrypted?

**Question 8:** Is each point of entry protected by a firewall?

**Question 9:** Is each VPN or other remote access to the network protected?

## 21 ADMINISTRATION ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of four questionnaires with a total of 41 questions related to assessing the following Administration issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Policies and Procedures, Departmental Terms of Reference, Records Management System and Legal Issues.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Administration aspects of your 'duty of care' responsibilities as a manager of a company.

### 21.1 POLICIES AND PROCEDURES ASSESSMENT QUESTIONNAIRE

**Question 1:** Have policies and procedures been formally established and communicated to all levels of the organization?



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**Question 2:** Is there an approved performance policy, system and evaluation process in place?

**Question 3:** Is there an approved human resources management policy, set of procedures, a system and an evaluation processes in place?

**Question 4:** Is there an approved financial and cost management policy, and a set of related procedures in place?

**Question 5:** Is there an approved asset management, disposition and protection system in place?

**Question 6:** Is there an approved Information Technology policy and a set of related procedures covering all areas such as: Strategy, Security, Contingency Planning and Disaster Recovery, Information Systems Development and Operation, Data Base and Data Privacy protection, WEB services, etc.?

**Question 7:** Is there an approved research and innovation system in place?

**Question 8:** Is there a Management Reporting System (MRS) in place?

**Question 9:** Is there a quality management system in place?

**Question 10:** Is there a risk management system in operation?

**Question 11:** Is there an ethics policy in place?

**Question 12:** Is there a security system (policy, procedures, staff, etc.) in place?

**Question 13:** Is there a business continuity process (plan, procedures, staff, etc.) in place?

## **21.2 DEPARTMENTAL TERMS OF REFERENCE ASSESSMENT QUESTIONNAIRE**

**Question 1:** Is each Department Manager (of all corporate departments, such as: sales, marketing, finance, production, customer support, research and development, information technology, etc.) reporting to the appropriate organizational responsibility centre in accordance with board guidelines?

**Question 2:** Are the Terms of Reference detailed enough and tailored to the specific activities of each function/department and responsibility centre?

**Question 3:** Are the Board members and/or executive management of the Company/Organization familiar with these terms of reference and have they been ratified at the appropriate executive / board level?

**Question 4:** Are the managers of the various units of the department familiar with these terms of reference?

**Question 5:** Are the department personnel familiar with these terms of reference?

**Question 6:** Are the customers of the department familiar with these terms of reference?

**Question 7:** Are these terms of reference aiding the unit managers and staff in discharging their duties?

**Question 8:** Are these terms of reference known to the external stakeholders of the department (maintenance vendors, society interest groups, community groups, regulatory agencies, etc.)?

### **21.3 RECORDS MANAGEMENT SYSTEM ASSESSMENT QUESTIONNAIRE**

**Question 1:** Have operational guidelines/manuals been formally established, communicated to all levels of the organization, and used in the every-day work by all personnel for Finance activities, Security Issues, Treasury transactions, Asset management, Inventory management, and IT activities?

**Question 2:** Does the record keeping system (for both manual and computerized files, media and data) of the organization produce complete and accurate results?

**Question 3:** Is there an adequately documented and effective audit trail for all critical transactions and activities?

**Question 4:** Is there an approved segregation of duties policy, and a set of related procedures in operation for Finance activities, Treasury transactions, Asset management, IT activities between programmers, and system programmers for production systems?

**Question 5:** Is there an approved employee rotation policy for critical jobs/tasks in operation?

**Question 6:** Have levels of authorization been defined for all levels of management and all business transactions and activities?

**Question 7:** Are adequate asset protection and disposition controls (e.g., Asset management policy, and inventory disposition procedure, etc.) in operation?

**Question 8:** Are effective financial and cost management policy, procedures and controls in operation?

**Question 9:** Is there an active security committee, security policy and procedures (for all elements: data, plants, installations, offices, infrastructure, systems, records, files, hardware, software, digital media, etc.) in operation at all levels?

**Question 10:** Is there an active performance management and measurement and exception reporting system in place?

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## 21.4 LEGAL ISSUES ASSESSMENT QUESTIONNAIRE

**Question 1:** Are all purchases and services contracts executed by a formal procedure?

**Question 2:** Are all original contracts safely stored?

**Question 3:** Is the data protection legal framework used in all transactions, activities and data stored by the organization?

**Question 4:** Are there employment or project contracts for all employees and external contractors?

**Question 5:** Is there a clause in these contracts protecting the property and copyright aspects of the organization?

**Question 6:** Is there a WEB site policy in the internet site of the organization with all the necessary protection clauses?

**Question 7:** Is there an approved Employee Handbook used by all personnel of the organization?

**Question 8:** Are there job descriptions for all personnel in the relevant files?

**Question 9:** Is the organization complying with the IT aspects of statutory and regulatory requirements (Consider: Data Protection Act, EU GDPR, Computer Misuse Act, Companies Act, Banking Act and Central Bank regulations, Fire Protection Act, Health and Safety at Work Act, Police and Criminal Evidence Act, Financial Services Act, Copyright Damages and Patents Act, Other statutes, covering tax, VAT, and Customs)?

**Question 10:** Is personal information registered, if required, in terms of the National Data Protection Act or EU GDPR?

## 22 HR MANAGEMENT ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of three questionnaires with a total of 22 questions related to assessing the following Human Resource Management issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Human Resources Management System, Personnel Responsibilities and Skills and Personnel Management Policy.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Human Resource Management aspects of your 'duty of care' responsibilities as a manager of a company.

### 22.1 HR MANAGEMENT SYSTEM ASSESSMENT QUESTIONNAIRE

**Question 1:** Does the enterprise (private company, public organization, non-profit, etc.) conduct reviews or have an ongoing reporting system for awarding benefits and pay increases to ensure that they are operated in a fair and equitable manner?

**Question 2:** Does the enterprise (private company, public organization, non-profit, etc.) have a positive and supportive attitude towards integrity and ethics education and training?

**Question 3:** Does the enterprise (private company, public organization, non-profit, etc.) conduct periodic reviews or have an ongoing system to report on outside activities, financial disclosure and other components of the ethics program?

**Question 4:** Have all employees received conflict of interest/ethics training?

**Question 5:** Does the enterprise (private company, public organization, non-profit, etc.) conduct merit promotion case file reviews or have an ongoing reporting system that is used to assure that these programs are operating in a fair and equitable manner?

**Question 6:** Does the enterprise (private company, public organization, non-profit, etc.) ensure that there is equity of treatment and opportunity within the employee relations and training programs?

**Question 7:** Does the enterprise (private company, public organization, non-profit, etc.) periodically review or have an ongoing system to report the activities (attendance, projects, etc.) of all employees?

**Question 8:** Does the enterprise (private company, public organization, non-profit, etc.) ensure that there is equity of treatment and opportunity within the equal employment opportunity and affirmative employment program?

**Question 9:** Does the enterprise (private company, public organization, non-profit, etc.) have an Employee Handbook outlining the Code of Conduct, and policies and procedures for: vacation, leave of absence, sick leave, bereavement, personal leave, military leave, holidays, drug, alcohol, smoking, medical support, life insurance, travel expenses, training, complaints handling, racial or other abuse, etc.?

**Question 10:** Did all personnel who left the enterprise (private company, public organization, non-profit, etc.) last year go through an exit review process whereby all feedback of the personnel that left was recorded for action to be taken, as needed?

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## 22.2 PERSONNEL RESPONSIBILITIES AND SKILLS ASSESSMENT QUESTIONNAIRE

**Question 1:** Do all personnel (Board members, Executives, Middle management, and Employees) have the required attitude, know-how and skills in executing their business tasks?

**Question 2:** Do all personnel (Board members, Executives, Middle management, and Employees) have the required skills in the design, implementation and monitoring process of performance measurement?

**Question 3:** Do all personnel (Board members, Executives, Middle management, and Employees) have a clear understanding of their role in performance measurement?

**Question 4:** Are individual accountabilities for performance activities well prescribed, instituted and executed?

**Question 5:** Are all personnel (Board members, Executives, Middle management, and Employees) heavily involved (on a clear and concise basis) in performance measurement?

**Question 6:** Have performance process leaders been assigned and trained to drive and implement performance measurement?

**Question 7:** Does management (Board, Senior Management) review, improve and change (at least every 6-12 months) both the business model and the strategic aspects of the enterprise (private company, public organization, non-profit, etc.)?

## 22.3 PERSONNEL MANAGEMENT POLICY ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there a Personnel Management Policy in effect?

**Question 2:** Is this policy is applied to all personnel for career planning, remuneration, training, performance, etc.?

**Question 3:** Do all Personnel Files contain employment contracts, job descriptions, confidentiality statements, fidelity bonding statements (if required), educational and training transcripts and performance evaluation forms?

**Question 4:** Does the Time Recording System record the activities of all personnel (and up to what level)?

**Question 5:** Are Personnel Skills reviewed on an ongoing basis?

# 23 PERSONAL WELLNESS ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of three questionnaires with a total of 74 questions related to assessing the following **Personal Wellness** issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Personal Happiness Audit, Personal Stress Audit Questionnaire and Occupational Stress Audit.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Personal Wellness aspects of your 'duty of care' responsibilities as a manager of a company.

## 23.1 PERSONAL HAPPINESS AUDIT QUESTIONNAIRE

**Question 1:** Are you satisfied with your visions and desires?

**Question 2:** Are you meeting your life's dreams?

**Question 3:** Does your every-day basic vocabulary contain stories or myths?

**Question 4:** Do you follow well-accepted moral values and beliefs in your life?

**Question 5:** Do you find many things you enjoy doing?

**Question 6:** Would like to be someone else if you had another life?

**Question 7:** Do you enjoy reading most of the time?

**Question 8:** Do people describe you in positive and friendly terms?

**Question 9:** Is music a part of your life?

**Question 10:** Do you think that you have talents? **Question 11:** Are you satisfied with how you have developed yourself

**Question 12:** Do you admire and follow the positive aspects of people you admire?

**Question 13:** Are you satisfied about the way you spend your time?

**Question 14:** Do you feel excited about your daily activities?

**Question 15:** Do you feel happy most of the time?

**Question 16:** Do you feel sad when bad things happen in life or in the life of others?

**Question 17:** Do you feel angry without any observable reason?

**Question 18:** Do you feel stressed a lot of times during the day?

**Question 19:** Do you find praying or meditation activities soothing for your soul?

**Question 20:** Are you satisfied with your career so far?

**Question 21:** Do you meet with friends regularly?

**Question 22:** Do you have adequate social activities?



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**Question 23:** Do you support others in need to the best of your ability?

**Question 24:** Do you exercise regularly?

**Question 25:** Do you visit nature whenever you can?

## 23.2 PERSONAL STRESS AUDIT QUESTIONNAIRE

*What stresses you?*

**Question 1:** Death of a family member or friend?

**Question 2:** Health of a family member or friend?

**Question 3:** A vicious crime or other harmful incident of a family member or friend?

**Question 4:** Abuse you inflicted on your own person?

**Question 5:** Family change (marriage of yourself, a family member, friend, pregnancy, divorce, etc.)?

**Question 6:** Sexual problems of yourself, a family member or friend?

**Question 7:** Argument with a loved family member or friend?

**Question 8:** Sleep changes or not getting enough sleep?

**Question 9:** New work hours at your place of employment?

**Question 10:** Vacation or time-off issues, like not knowing where to go, what to do, etc.?

**Question 11:** Moving to a new location?

**Question 12:** Money issues like not having enough or having too much, etc.?

**Question 13:** Demands and issues related to a new job?

**Question 14:** Other unspecified issues?

## **23.3 OCCUPATIONAL STRESS AUDIT QUESTIONNAIRE**

### **23.3.1 THE DEMANDS OF THE JOB**

**Question 1.1:** Do you work extremely long hours?

**Question 1.2:** Do you have to attend too many meetings after business hours?

**Question 1.3:** Do you have unreasonable tasks and deadlines imposed upon you?

**Question 1.4:** Do you have conflicting demands, tasks and deadlines?

**Question 1.5:** Do you have unachievable targets and deadlines?

### **23.3.2 THE CONTROL YOU HAVE OVER HOW YOU DO THE WORK**

**Question 2.1:** Do you have opportunities to express your ideas and points of view?

**Question 2.2:** Do you have encouragement to use your skills, talents and knowledge to do your work?

**Question 2.3:** Do you control the corporate resources necessary to do your job?

### **23.3.3 THE SUPPORT YOU RECEIVE FROM COLLEAGUES AND SUPERIORS**

**Question 3.1:** Do you have appropriate training and coaching?

**Question 3.2:** Do you have management support in carrying out your duties?

**Question 3.3:** Do you have feedback on you have achieved?

**Question 3.4:** Do your colleagues and co-workers support you in your job?

### **23.3.4 YOUR RELATIONSHIPS WITH COLLEAGUES**

**Question 4.1:** Do you have excellent relationships with your manager?

**Question 4.2:** Do you get along well with staff, co-workers and colleagues?

**Question 4.3:** Do you get along well with customers?

**Question 4.4:** Do you have high regard for the company?

### **23.3.5 WHETHER YOU UNDERSTAND THE ROLES AND RESPONSIBILITIES ASSIGNED TO YOU**

**Question 5.1:** Do you know what is expected of you?

**Question 5.2:** Do you have the required skills to do the job?

**Question 5.3:** Do you feel that you contribute to your department's goals?

### **23.3.6 HOW FAR THE COMPANY CONSULTS YOU OVER WORKPLACE CHANGES**

**Question 6.1:** Are you consulted before changes are implemented?

**Question 6.2:** Are changes supported by top management when they are implemented?

**Question 6.3:** Are you fully trained to accommodate the changes in your work?

### **23.3.7 TECHNOLOGY**

**Question 7.1:** Are you well trained in technological issues affecting your work?

**Question 7.2:** Does your company provide support to you on technological issues?

**Question 7.3:** Do you understand how technology is adding value to your work?

### **23.3.8 RULES AND REGULATIONS**

**Question 8.1:** Are you well trained in complying with rules and regulations?

**Question 8.2:** Does your company provide support to you on compliance issues?

**Question 8.3:** Do you understand how compliance affects your work?

### **23.3.9 INFORMATION OVERLOAD**

**Question 9.1:** Do you neglect some tasks because you have too much to do?

**Question 9.2:** Do you know how to handle work and information overload?

### **23.3.10 OTHER ISSUES**

**Question 10.1:** Are you spending too much at work and neglecting your family?

**Question 10.2:** Do you feel that your managers exhibit leadership?

**Question 10.3:** Do you feel that there is equity in terms of your performance level and awards?

**Question 10.4:** Do you feel that the issues concerning the long-term survival of the company are handled well?

**Question 10.5:** Do you have good business management controls?

# 24 EXECUTIVE WELLNESS ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of three questionnaires with a total of 131 questions related to assessing the following **Executive Wellness** issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Senior Executives Occupational Stress Audit, Corporate Wellness Audit and Board and Executive Management Performance Audit.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Executive Wellness aspects of your 'duty of care' responsibilities as a manager of a company.

## 24.1 SENIOR EXECUTIVES OCCUPATIONAL STRESS AUDIT QUESTIONNAIRE

**Question 1:** Have the control needs and requirements of the various stakeholders of the organization been defined?

**Question 2:** Are high levels of corporate ethics maintained at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 3:** Does the Board of Directors (BOD) monitor Executive Management (EM) to ensure short-term financial stability of the business?

**Question 4:** Does the BOD monitor EM to ensure long-term financial stability of the business?

**Question 5:** Does the BOD monitor EM to ensure long-term success of corporate and business-related changes?

**Question 6:** Does the BOD ensure high level of corporate governance and accountability at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 7:** Does the BOD supervise the setting up and monitoring of the operation of an effective risk assessment and management system by EM?



**Question 8:** Does the BOD supervise the setting up and operation of an effective crisis assessment and business continuity management system by EM?

**Question 9:** Does the BOD ensure that an effective internal audit and corporate compliance management system is in place and operates effectively by EM?

**Question 10:** Does the BOD ensure that an effective corporate performance management system is in place and operates effectively by EM?

**Question 11:** Does the BOD review and approve all business plans, organizational and restructuring plans and major investments crafted and executed by EM?

**Question 12:** Does the BOD ensure that an effective corporate management system is in place and operates effectively by EM?

**Question 13:** Does the BOD ensure that an effective corporate management succession system is in place (particularly for the senior positions of CEO, CFO, CTO, CIO, General Management of divisions and functions, etc.)?



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**Question 14:** Does the BOD ensure that an effective skills-training system is in place at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 15:** Does the BOD ensure that an effective stress reduction system is in place at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 16:** Does the BOD ensure that all IT systems, data centers, etc., are operated effectively by all management levels and serve all critical business functions in a top results way?

**Question 17:** Does the BOD ensure that all company functions (personnel, risk, compliance, IT, sales, marketing, production, finance, etc.), are operated effectively by all management levels and serve all critical customer demands in the best results way?

**Question 18:** Does the BOD ensure that an effective corporate management research and development system is in place?

## 24.2 CORPORATE WELLNESS AUDIT QUESTIONNAIRE

### 24.2.1 'TONE AT THE TOP'

**Question 1: Dialogue.** Do members of the Board and Executive suite (BOD/CEO members) use dialogues as mechanisms to discuss and resolve all ethics and integrity issues?

**Question 2: Behavior Model.** Have BOD/CEO members adopted an ethical behavior model and use it to provide examples of moral behavior in their daily management duties and oversight activities?

### 24.2.2 UNDERSTANDING OF THE ORGANIZATION BY THE BOARD

**Question 1: Board Selection.** Are board members selected and appointed on the basis of education, professional background and practical experience?

**Question 2: Board Attendance.** Do board members attend critical business operations for a specific period?

**Question 3: Board Training.** Do board members take specialized training courses on very specific issues and areas where the given organization is active?

### 24.2.3 INTEGRITY

**Question 1: Ethics and Compliance Program.** Are effective ethics and compliance programs crafted, implemented and communicated to all staff?

**Question 2: Ethics and Compliance Office.** Is the office of compliance and ethics established and functioning well?

**Question 3: Examples of Behavior.** Does company management provide examples of behavior in their daily supervision activities?

**Question 4: Ethics and Compliance Review.** Are ethics and compliance programs and policies reviewed and improved as the organization grows and its regulatory aspects and expectations change?

### 24.2.3 OPERATIONAL PHILOSOPHY

**Question 1: Fairness.** Does company management deal with all people (internal staff, outside auditors, customers, external suppliers, government authorities, regulators, stakeholders, community, etc.) on the same basis of fairness?

**Question 2: Business Conduct.** Does company management deal with all people (internal staff, outside auditors, customers, external suppliers, government authorities, regulators, stakeholders, community, etc.) on the same written and approved rules and codes of business conduct?

**Question 3: Business Policies.** Are effective corporate governance, risk, production, finance, ethics, human rights and procurement policies crafted and implemented?

**Question 4: Accountability.** Is all company information communicated to all parties on the basis of transparency and accountability?

#### 24.2.4 ETHICAL CLIMATE

**Question 1: Honesty.** Does company management use honesty in ensuring that they always maintain a positive and ethical climate in managing and interacting with all employees, superiors, regulators and customers?

**Question 2: Greater Good.** Does company management leave aside and amend, as required in certain circumstances, their personal self-interest, company profit, operating efficiency, rules, procedures, etc., in order to preserve and improve the ethical climate of the company and to serve the greater good?

**Question 3: Fairness.** Does company management deal with all stakeholders (employees, external auditors, customers, suppliers, authorities, regulators, community, etc.) on the same basis of fairness?

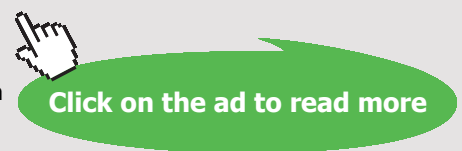
**Question 4: Rules of Business.** Does company management deal with all stakeholders (employees, external auditors, customers, suppliers, authorities, regulators, community, etc.) on the same basis of written and approved rules and codes of business conduct?

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### 24.2.5 EMPOWERMENT

**Question 1: Authority Assignment.** Does company management give authority and responsibility to selected employees to carry out specific actions to achieve general corporate goals and specific objectives?

**Question 2: Encouragement.** Does company management encourage employees to assume a more energetic and effective role in their work?

**Question 3: Involvement.** Does company management involve employees in assuming responsibility for improving the way things are done in their daily work activities?

**Question 4: Monitoring.** Does company management monitor these results to ensure that these are properly done?

### 24.2.6 LEADERSHIP

**Question 1: Envisioning:** Does company management have a vision, a mission and values for the company?

**Question 2: Organization.** Is company management organized to the fullest?

**Question 3: Execution.** Does company management plan, supervise, and execute efficiently and effectively all tasks and actions?

**Question 4: Delegation.** Does company management delegate by assigning ownership of the work given to employees, and always act with responsibility?

**Question 5: Passion.** Is company management warm, passionate and enthusiastic and get all employees involved in the decision making process?

**Question 6: Training.** Does company management train and coach employees as required to get the job done well?

**Question 7: Calmness.** Does company management handle emotional issues with warmth, calmness and fairness?

**Question 8: Organizational Knowledge.** Does company management know the organization extremely well?

**Question 9: Model Behavior.** Does company management provide a positive and moral example to others?

**Question 10: Motivation.** Does company management motivate people and keep clear channels of communication?

#### **24.2.7 EMPLOYEE MOTIVATION**

**Question 1: Reinforcement.** Does company management provide positive reinforcement to all employees?

**Question 2: Discipline.** Does company management carry out effective discipline and fair punishment for all transgressions?

**Question 3: Fairness.** Does company management treat all people fairly, kindly and in a good spirits approach?

**Question 4: Needs Satisfaction.** Does company management satisfy employee needs on a cost-benefit case, for both employees and company?

**Question 5: Goal Setting.** Does company management set achievable work-related goals, and objectives?

**Question 6: Job Packaging.** Does company management restructure jobs and tasks to become more manageable?

**Question 7: Performance Rewards.** Does company management reward people on job performance?

**Question 8: New Employees:** Does your company's new employee orientation program treat new hires with a warm and kind embrace and support them in getting established in their new company and practices better?

#### **24.2.8 OPEN MIND AND SHARED VALUES**

**Question 1: Appreciation.** Does company management appreciate the opinions, skills and knowledge of all employees?

**Question 2: Embrace the Unknown.** Does company management embrace the unknown in a spirit of friendship, goodness and kindness?

**Question 3: Review.** Does company management re-examine traditional organizational standards, policies and practices in order to achieve better and more beneficial results?

**Question 4: Practices.** Does company management behave in an open-mind approach with practices, such as: Listening more than talking, avoiding snap decisions, thanking people for their suggestions, using politeness and courtesy, encouraging frankness, and speaking the truth?

#### 24.2.9 INFORMATION FLOW THROUGHOUT THE ORGANIZATION

**Question 1: Communication Policy.** Does company management draft and implement the company communications policy, by identifying the strategic objectives of the organization, reviewing current communications practices, identifying the communications audiences and determining the communications methods and means to be used?



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**Question 2: Executive Training.** Do company executives get trained on listening techniques and practices?

**Question 3: Information Collection.** Does company management ensure that information (internal and external), critical to achieving the objectives of the organization is identified, regularly collected and reported to management and stakeholders?

**Question 4: Performance System.** Has company management implemented a performance system that identifies, collects, stores, processes, analyzes and communicates corporate performance to all approved stakeholders of the organization?

**Question 5: Information Monitoring.** Has company management implemented a system to monitor the easy flow of information down, across, and up the organization?

#### 24.2.10 CORPORATE CULTURE

**Question 1: Discussion.** Does company management discuss all cultural issues with employees?

**Question 2: Model of Behavior.** Does company management provide examples of behavior in their daily supervision activities?

**Question 3: Involvement.** Does company management involve all employees in reviewing corporate statements on vision, mission and values?

#### 24.2.11 MORALE

**Question 1: Employee Engagement.** Does company management provide opportunities for employees to make decisions about and influence their own work?

**Question 2: Provision of responses.** Does company management provide timely, accurate and proactive responses to employee questions and concerns?

**Question 3: Fairness.** Does company management treat employees as responsible adults with fairness and consistency?

**Question 4: Corporate Policies.** Does company management develop and publicize corporate policies and procedures while ensuring that they work effectively?



**Question 5: Communication.** Does company management communicate positively, effectively and constantly with all employees on all issues (e.g., performance, work details, etc.)?

**Question 6: Opportunity.** Does company management afford all staff the opportunity to grow and develop?

**Question 7: Leadership.** Does company management provide appropriate leadership and a framework of strategy, vision, mission, values and goals?

#### 24.2.12 TRUST

**Question 1: Promotion Practice.** Does company management promote personnel to higher levels of organizational hierarchy, who are capable of forming positive, warm, kind, friendly, trusting and caring interpersonal relationships with people who report to them?

**Question 2: Coaching.** Does company management develop the interpersonal relationship skills of all personnel and especially those of current managers and employees desiring promotion, by sending them to relevant courses or by coaching and mentoring programs?

**Question 3: Information Sharing.** Does company management keep organizational personnel informed, as much as possible?

**Question 4: Commitment.** Does company management act with integrity, goodness and kindness and keeping commitments to all participants in the affairs of the organization (employees, authorities, customers, board members, stakeholders, etc.)?

**Question 5: Protection.** Does company management protect the interest of all employees in a work group, even those who are absent?

**Question 6: Effectiveness.** Is company management effective, efficient and results-oriented, within limits?

**Question 7: Respect.** Does company management listen with respect, sensitivity and full attention?

### 24.2.13 CORPORATE ATTITUDE

**Question 1: Politeness.** Does company management use polite and positive language and friendly manners in assigning and managing tasks?

**Question 2: Awarding.** Does company management connect tasks to awards?

**Question 3: Variety.** Does company management add variety to tasks, when possible?

**Question 4: Balance.** Does company management assign both liked and non-liked tasks to all employees?

**Question 5: Support.** Does company management think out a solution as regards the difficult task and situation with the person involved?

**Question 6: Coaching.** Does company management work out a mutually-agreed solution with the person involved and coach them as required?



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#### 24.2.14 COMPETENCE

**Question 1: Assessment.** Does company management assess the skills of both managers and employees via self-evaluation methods, benchmarking or other tools?

**Question 2: Industry Training.** Does company management take specific industry courses both for them and their employees?

**Question 3: Academic Courses.** Does company management upgrade job-related knowledge by attending university and professional seminars, as required?

**Question 4: Coaching.** Does company management get involved in coaching and mentoring programs for their staff?

**Question 5: Certification.** Does company management get certified by a professional association?

#### 24.2.15 EXPECTATIONS

**Question 1: Review.** Does company management meet with employees on a regular basis to discuss problems, issues, goals and progress?

**Question 2: Enthusiasm.** Does company management promote enthusiasm for completing tasks?

**Question 3: Acknowledgement.** Does company management express confidence in each employee's ability?

**Question 4: Reinforcement.** Does company management reinforce past achievement so that employee motivation is sustained?

#### 24.2.16 STRUCTURE OF REPORTING RELATIONSHIPS

**Question 1: Organizational Chart.** Does company management craft an effective organizational chart and communicate it to all staff?

**Question 2: Duties Description.** Does company management develop job titles for all employees and use them in all dealings?

**Question 3: Duties Segregation.** Does company management segregate duties, as required?

**Question 4: Organizational Review Process.** Does company management review and improve both organizational chart and job titles, as the organization grows and its demands change?

#### 24.2.17 WELLNESS PRACTICES

**Question 1: Psychological Contract.** Do company managers support and enable all employees to function with trust, faith, commitment and enthusiasm?

**Question 2: Commitment.** Do company managers enable you to commit to yourself, your values, your family, your country, and your company?

**Question 3: Convictions.** Do you feel that the company facilitates you to align your actions with your beliefs and convictions, the Supreme Being and nature?

**Question 4: Co-operation.** Do company managers promote co-operation with others for the greater good of all?

**Question 4: Co-existence.** Do company managers promote the idea that we all exist not for the company only but also for ourselves, our family, country, community and country?

**Question 5: Employee health practices.** Does your company operate an employee health program, both physical and mental, for all employees with seminars, prevention techniques, onsite and on demand medical and psychological support, insurance coverage, nature visits program, risk assessment for work place hazards, using soft music at work, forming and conducting athletic and social company events, etc.?

**Question 6: Employee relaxation.** Does your company have a 'quiet room' where an employee can go for a few minutes and relieve stress by various ways, such as: praying, meditation, just being silent, practicing visualization, etc.?

**Question 7: Staff engagement.** Does your company facilitate you to engage well with all its business, community, professional and social activities?

**Question 8: Workplace violence.** Does your company operate a program to prevent workplace violence with steps: Problem recognition, securing commitment from top management, identification of risk factors in the workplace, developing an action plan, implementing this plan, monitoring and reviewing its impact, and improving the whole process?

**Question 9: Workplace environment.** Do all company buildings, offices, warehouses and plants operate in accordance with safety and health regulations in terms of providing a clean and healthy environment, free from any water, air, and other contaminants?

**Question 10: Wellness indicators.** Does your company operate a wellness program that measures and improve lifestyle and biometric factors, such as: weight, blood pressure, cholesterol, sleep, stress, life satisfaction, etc.?

#### **24.2.18 BOARD AND EXECUTIVE MANAGEMENT PERFORMANCE AUDIT QUESTIONNAIRE**

**Question 1:** Have the control needs and requirements of the various stakeholders of the organization been defined?

**Question 2:** Are high levels of corporate ethics maintained at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 3:** Does the Board of Directors (BOD) monitor Executive Management (EM) to ensure short-term financial stability of the business?

**Question 4:** Does the BOD monitor EM to ensure long-term financial stability of the business?

**Question 5:** Does the BOD monitor EM to ensure long-term success of corporate and business-related changes?

**Question 6:** Does the BOD ensure high level of corporate governance and accountability at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 7:** Does the BOD supervise the setting up and monitoring of the operation of an effective risk assessment and management system by EM?

**Question 8:** Does the BOD supervise the setting up and operation of an effective crisis assessment and business continuity management system by EM?

**Question 9:** Does the BOD ensure that an effective internal audit and corporate compliance management system is in place and operates effectively by EM?

**Question 10:** Does the BOD ensure that an effective corporate performance management system is in place and operates effectively by EM?

**Question 11:** Does the BOD review and approve all business plans, organizational and restructuring plans and major investments crafted and executed by EM?

**Question 12:** Does the BOD ensure that an effective corporate management system is in place and operates effectively by EM?

**Question 13:** Does the BOD ensure that an effective corporate management succession system is in place (particularly for the senior positions of CEO, CFO, CTO, CIO, General Management of divisions and functions, etc.)?

**Question 14:** Does the BOD ensure that an effective skills-training system is in place at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 15:** Does the BOD ensure that an effective stress reduction systems is in place at all levels (Board, Executive Management, Middle Managers, operating staff, etc.)?

**Question 16:** Does the BOD ensure that all IT systems, data centers, etc., are operated effectively by all management levels and serve all critical business functions in a top results way?

**Question 17:** Does the BOD ensure that all company functions (personnel, risk, compliance, IT, sales, marketing, production, finance, etc.), are operated effectively by all management levels and serve all critical customer demands in the best results way?

**Question 18:** Does the BOD ensure that an effective corporate management research and development system is in place?

# 25 PERSONNEL ENGAGEMENT ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of four questionnaires with a total of 31 questions related to assessing the following Personnel Engagement issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Consulting Employees on Health and Safety, Employee Wellbeing, Return to Work and Annual Employee Satisfaction.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Personnel Engagement aspects of your 'duty of care' responsibilities as a manager of a company.

## 25.1 CONSULTING EMPLOYEES ON HEALTH AND SAFETY ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there a documented consultation arrangement in place to meet appropriate legislative and industry or trade union requirements?

**Question 2:** Does this arrangement outline how consultation and cooperation will take place all duty holders including workers, external consultants, managers with shared duties, etc.?

**Question 3:** Is there adequate documentation to show that consultation arrangements are agreed with all workers (office, plant, mobile, etc.)?

**Question 4:** Do good practices in consulting with employees include items, such as:

1. All health and safety issues that could have an effect on employees?
2. Changes in policies, procedures or processes?
3. Hazards, risks and their control measures including policies, procedures and safe working practices, planning of health and safety awareness and training?
4. Consequences arising from the introduction of new technology and processes?

**Question 5:** Have arrangements been established for consulting and cooperating external people such as contractors, subcontractors, vendors, etc.?

**Question 6:** Is there adequate evidence of consultation occurring prior to changes that may impact on health and safety, including:

1. Identifying hazards and assessing risks arising from the work carried out or to be carried out within company offices or other authorized offices or locations?
2. Making decisions about ways and practices to eliminate or minimise those risks?
3. Making decisions about the adequacy of facilities for the welfare of all workers (internal, external)?
4. Proposing changes that may affect the health or safety of all workers (internal, external)?
5. Resolving all health or safety issues?
6. Monitoring health of all workers?
7. Monitoring the conditions at the workplace?
8. Providing information and training on DOC issues for all workers?

**Question 7:** Can all workers outline their responsibilities within the company to take reasonable care for themselves and others, and to comply with reasonable policies, procedures, practices and instructions that have been communicated to them?

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## 25.2 EMPLOYEE WELLBEING ASSESSMENT QUESTIONNAIRE

**Question 1:** Do position descriptions for all employees include physical, sensory, psychosocial and environmental requirements relevant to the job?

**Question 2:** Is there is a Health Assessment Program which may be used by all workers of the company on a confidential basis?

**Question 3:** Is a pre-employment Health Declaration completed by all applicants as a minimum requirement?

**Question 4:** Is there is a system to support workers to continue or return to work with non-work related health issues?

**Question 5:** Is there is a Corporate Employees Assistance Program (CEAP) which is provided on a confidential and free basis to all workers?

**Question 6:** Is CEAP usage reviewed and analysed to identify needs?

**Question 7:** Is there a health promotion and fitness program which encourages all company employees to improve their personal health and fitness?

**Question 8:** Is there a process to manage flexible work practices and reasonable workloads?

**Question 9:** Are all company employees aware of how to access corporate wellbeing programs?

## 25.3 RETURN TO WORK ASSESSMENT QUESTIONNAIRE

**Question 1:** Does the company's Return to Work (RTW) Program include elements, such as:

1. Does the workplace have a strong commitment to health and safety, which is demonstrated by the conducts of the workplace parties?
2. Does the employer make an offer of modified work (also known as work accommodation) to injured or ill workers so they can return early and safely to work activities suitable to their abilities?
3. Do RTW planners ensure that the plan supports the returning worker without disadvantaging co-workers and supervisors?
4. Are managers and supervisors trained in work disability prevention and included in RTW planning?
5. Does the employer make early and considerate contact with injured or ill workers?

6. Is there an officer assigned with the responsibility to coordinate RTW?
7. Does the employer communicate with health-care providers about the workplace demands as needed, and with the worker's consent<sup>3</sup>?

**Question 2:** Is the Return to Work Program consistent with legislative requirements and industry practices?

**Question 3:** Was the Return to Work Program developed in consultation with workers and where relevant the union representing the workers?

**Question 4:** Does the Return to Work Coordinator have the appropriate qualification?

**Question 5:** Is proper documentation maintained on the Return to Work Program by retaining all records, etc.?

## 25.4 ANNUAL EMPLOYEE SATISFACTION ASSESSMENT QUESTIONNAIRE

This assessment could be carried out for each company employee by an independent party (e.g. external company) who can carry out the survey, analyze the results and produce a report to the company.

**Question 1:** Do you think that company activities and work has an impact on your mental health and wellbeing?

**Question 2:** Do you think that your mental health and wellbeing has an impact on your ability to do your work?

**Question 3:** Have you noticed company activities and work having an effect on your colleagues' mental health and wellbeing?

**Question 4:** Are you affected by your colleagues' emotions, mental health and wellbeing?

**Question 5:** Do you know how your company manages your workplace mental health and wellbeing?

**Question 6:** Are you aware of any support your company offers to staff?

**Question 7:** Would you know where to access mental health and wellbeing services outside your company?

**Question 8:** Do you feel supported by your manager and colleagues?

**Question 9:** Are the responsibilities and expectations of your work clearly communicated to you?

**Question 10:** Is there anything else your company could do to improve your mental health and wellbeing?



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## 25.5 END NOTES

1. For more details, see:

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[https://osha.europa.eu/en/tools-and-publications/publications/reports/culture\\_assessment\\_soar\\_TEWE11005ENN](https://osha.europa.eu/en/tools-and-publications/publications/reports/culture_assessment_soar_TEWE11005ENN)

<https://osha.europa.eu/en/about-eu-osha/what-we-do/corporate-strategy-and-work-programmes>

<https://www.cdc.gov/workplacehealthpromotion/model/assessment/index.html>

<https://www.wellsource.com/>

<https://www.healthylife.com/template.asp?pageID=62>

2. For more details, see:

<https://www.easna.org/>

<https://www.shrm.org>

<https://www.shrm.org/resourcesandtools/tools-and-samples/hr-qa/pages/whatisaneap.aspx>

<https://www.easna.org/documents/PS2-NBGRecommendationsforDefiningandMeasuringEAPs.pdf>

3. For more details, see:

<https://osha.europa.eu/en>

<https://osha.europa.eu/el/tools-and-publications/publications/rehabilitation-and-return-work-analysis-eu-and-member-state>

<https://www.canada.ca/en/treasury-board-secretariat/services/values-ethics/diversity-equity/disability-management/fundamentals-return-to-work-plan.html>

<http://www.iwh.on.ca/seven-principles-for-rtw>

<http://www.safework.nsw.gov.au/law-and-policy/employer-and-business-obligations/return-to-work-programs>

<https://www.dol.gov/odep/return-to-work/>

<http://www.hse.gov.uk/sicknessabsence/>

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# 26 FINANCIAL MANAGEMENT ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of three questionnaires with a total of 73 questions related to assessing the following Financial Management issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Detail Management Controls, Financial Management Controls, Asset Management Controls and Corporate Fraud Management Controls.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Financial Management aspects of your 'duty of care' responsibilities as a manager of a company.

## 26.1 DETAIL MANAGEMENT CONTROLS ASSESSMENT QUESTIONNAIRE

**Question 1:** Are there adequate and effective financial controls in place at the detail level, as required?

**Question 2:** Are there adequate and effective customer service controls in place at the detail level, as required?

**Question 3:** Are there adequate and effective production/manufacturing controls in place at the detail level, as required?

**Question 4:** Are there adequate and effective information technology and communications controls in place at the detail level, as required?

**Question 5:** Are there adequate and effective asset management controls in place at the detail level, as required?

**Question 6:** Are there adequate and effective sales management controls in place at the detail level, as required?

**Question 7:** Are there adequate and effective management reporting controls in place at the detail level, as required?

**Question 8:** Are there adequate and effective internal audit controls in place at the detail level, as required?

**Question 9:** Are there adequate and effective human resource management controls in place at the detail level, as required?

**Question 10:** Are there adequate and effective research and innovation controls in place at the detail level, as required?

## **26.2 FINANCIAL MANAGEMENT CONTROLS ASSESSMENT QUESTIONNAIRE**

**Question 1:** Does the enterprise (private company, public organization, non-profit entity, etc.) have a system for recording and tracking commitments, obligations and expenditures and reconciling financial data?

**Question 2:** Does the enterprise (private company, public organization, non-profit entity, etc.) have controls that prevent incurring obligations in excess of funds available within a budget cost category?

**Question 3:** Does the enterprise (private company, public organization, non-profit entity, etc.) have a mechanism to ensure that periodic audits of the financial management area are undertaken?

**Question 4:** Does the enterprise (private company, public organization, non-profit entity, etc.) adjust financial plans to be appropriate in the light of the actual operating budget?

**Question 5:** Does the enterprise (private company, public organization, non-profit entity, etc.) monitor the reliability and confidentiality of financial data used in mission critical budgetary decisions?

**Question 6:** Does the enterprise (private company, public organization, non-profit entity, etc.) guard against breaches in confidentiality and loss of budget data integrity?

**Question 7:** Does the enterprise (private company, public organization, non-profit entity, etc.) use an operating budget to control project funds?

**Question 8:** Does the enterprise (private company, public organization, non-profit entity, etc.) link goals to budget activities?

## 26.3 ASSET MANAGEMENT CONTROLS ASSESSMENT QUESTIONNAIRE

**Question 1:** Does the enterprise (private company, public organization, non-profit entity, etc.) have and maintain a corporate assets inventory?

**Question 2:** Does the enterprise (private company, public organization, non-profit entity, etc.) periodically balance property records to the general ledger?

**Question 3:** Does the enterprise (private company, public organization, non-profit entity, etc.) have complete and accurate records with descriptions of all assets, purchased items and systems, including their cost and location?

**Question 4:** Does the enterprise (private company, public organization, non-profit entity, etc.) prepare periodic reports on the status and condition of property, plants, installations, equipment, and other valuable assets (e.g., Information systems)?

**Question 5:** Does the enterprise (private company, public organization, non-profit entity, etc.) have reliable data related to property management for monitoring, tracking, auditing and forecasting future needs?

**Question 6:** Does the enterprise (private company, public organization, non-profit entity, etc.) periodically check all assets by checking the physical inventory?

**Question 7:** Does the corporate asset inventory include IT assets?

## 26.4 CORPORATE FRAUD MANAGEMENT ASSESSMENT QUESTIONNAIRE

### 26.4.1 ETHICS POLICY STATEMENT

**Question 1:** Does the enterprise (private company, public organization, non-profit entity, etc.) have, within the corporate ethics policy, a statement with respect to fraud?

**Question 2:** Who is responsible for the issue of this statement?

**Question 3:** Has this policy statement been approved and ratified by the Board or other Top Management Committee?



**Question 4:** Is this statement widely publicized in the enterprise (private company, public organization, non-profit entity, etc.)?

**Question 5:** Is this statement reviewed and improved annually (at least)?

**Question 6:** Is the policy statement linked to Internal Controls?

#### 26.4.2 FRAUD POLICY STATEMENT

**Question 7:** How is fraud defined?

**Question 8:** Does the enterprise (private company, public organization, non-profit entity, etc.) have a Fraud Policy?

**Question 9:** Has this policy been approved and ratified by the Board?

**Question 10:** What kind of aspects does the policy deal with (e.g. preventive, investigative or recovery aspects)?



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**Question 11:** What are the objectives of the policy (e.g., avoid fraud, catch fraud, take legal action, etc.)?

**Question 12:** Does the policy apply to all employees, management, board members, and external contractors?

**Question 13:** Who is (manager, function, etc.) responsible for ownership and administration of the Fraud Policy?

**Question 14:** How are fraud risks monitored e.g. through risk registers?

**Question 15:** Is there a budget for investigative costs on potential fraud issues?

**Question 16:** Does the enterprise (private company, public organization, non-profit entity, etc.) specify roles and responsibilities within the Fraud Policy (e.g., for the audit committee, the Board, the HR Function, a Fraud Liaison Officer, etc.)?

### **26.4.3 REPORTING FRAUD AND CORRUPTION**

**Question 17:** What is the procedure for reporting suspicions of fraud?

**Question 18:** What guidance is provided on dealing with incoming mail (such as anonymous letters, e-mails, etc.)?

**Question 19:** Who are the first points of contact for reporting suspected dishonesty?

**Question 20:** Does the enterprise (private company, public organization, non-profit entity, etc.) operate a Fraud Hot-line?

**Question 21:** Does the enterprise (private company, public organization, non-profit entity, etc.) have a Whistle blowing Policy, which sets out the principles for protection of employees when reporting suspicions?

### **26.4.4 RESPONSE TO FRAUD AND CORRUPTION**

**Question 22:** Does the enterprise (private company, public organization, non-profit entity, etc.) keep a register of fraud?

**Question 23:** Who is responsible for maintenance of this register (e.g., A Fraud Officer)?

**Question 24:** What the access rights to the fraud register?

**Question 25:** Is the fraud register held securely?

**Question 26:** Who is responsible for the investigation (e.g., Internal Audit)?

**Question 27:** Who oversees the investigation?

**Question 28:** Do written reports have to be submitted and to whom?

**Question 29:** How does the enterprise (private company, public organization, non-profit entity, etc.) deal with enquiries from the media?

**Question 30:** Are employees suspended from work pending an investigation?

**Question 31:** Are all reasonable means of recovering any identified loss pursued?

#### **26.4.5 INVESTIGATION OF FRAUD AND CORRUPTION**

**Question 32:** Who monitors actual resources used against the agreed budget?

**Question 33:** If a member of staff refuses to cooperate in a workplace investigation, are they liable to disciplinary action?

**Question 34:** How is the interview recorded?

**Question 35:** If the interview is tape recorded, is this with the permission of the suspect?

**Question 36:** What does the enterprise (private company, public organization, non-profit entity, etc.) do to avoid a similar occurrence of fraud in the future?

**Question 37:** Who is responsible for making claims under insurance policies?

**Question 38:** What is the process for notifying the police?

#### 26.4.6 RIGHTS OF EMPLOYEES

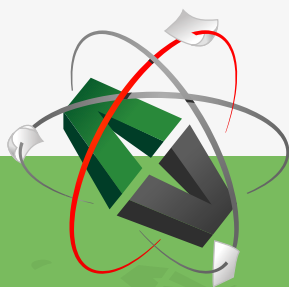
**Question 39:** If an employee is charged with a criminal offence involving potential exposure to a term of imprisonment, are they required to report this and who to?

**Question 40:** If an employee is the subject of an improper approach where a bribe is offered, is there a requirement for this to be reported and to whom?

**Question 41:** Is there a presumption of innocence, unless proved otherwise?

**Question 42:** At fact finding or investigative interviews, are employees suspected of dishonesty entitled to representation and by whom?

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# 27 PLANT SAFETY ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of five questionnaires with a total of 43 questions related to assessing the following **Plant Safety** issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Health and Safety Hazards and Risks Management, Plant Safety, Maintenance and Testing, Hazardous Waste Disposal, Health and Safety Incident Management and First Aid.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Plant Safety aspects of your 'duty of care' responsibilities as a manager of a company.

## 27.1 HEALTH AND SAFETY HAZARDS AND RISKS MANAGEMENT ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there a documented system and process that outline roles and responsibilities in managing health and safety hazards (physical, chemical, biological, psychological, ergonomic) and risks (the chance, high or low, that somebody could be harmed by a hazard, together with an indication of how serious the harm could be) and the requirements about when to use a risk management approach?

**Question 2:** Does the documented system and process include hazard identification requirements?

**Question 3:** Does the documented system outline the roles and responsibilities in assessing the level of risk and identifying the appropriate company controls in line with the hierarchy of controls, such as (example):

1. Level 1- Eliminate the hazards?
2. Level 2- Substitute the hazard with something safer?
3. Level 3- Isolate the hazard from people
4. Level 4- Reduce the risks through engineering or management controls.
5. Level 5- Reduce exposure to the hazard using Personal Protective Equipment, etc.?

**Question 4:** Does the documented system outline the requirements for evaluating the effectiveness and efficiency of controls to ensure they are working as planned and changes are made where necessary?

**Question 5:** Does the documented system include the process to ensure that risk information is available to all workers and relevant duty holders?

**Question 6:** Are all workers aware of how to access health and safety risk information?

**Question 7:** Is there evidence of a documented process for carrying out inspection activities of the environmental workplace conditions as part of the hazard management process?

**Question 8:** Is there is a documented system to identify and manage the elimination or control of hazardous manual tasks?

**Question 9:** Have hazardous manual task risk assessments, where required, been conducted in consultation with all workers?

**Question 10:** Are training materials specific to hazardous manual tasks available?

**Question 11:** Are hazardous (automated or manual) tasks included on the hazard or risk register and easily accessible to all workers?

**Question 12:** Are Health and Safety Controls reviewed for efficiency and effectiveness and changes made where required?

## **27.2 PLANT AND EQUIPMENT SAFETY, MAINTENANCE AND TESTING ASSESSMENT QUESTIONNAIRE**

**Question 1:** Are policies, procedures and practices implemented for the scheduled inspection, maintenance and testing of plant and equipment (including electric beds, mechanical beds, lifters, etc.) as per manufacturer requirements?

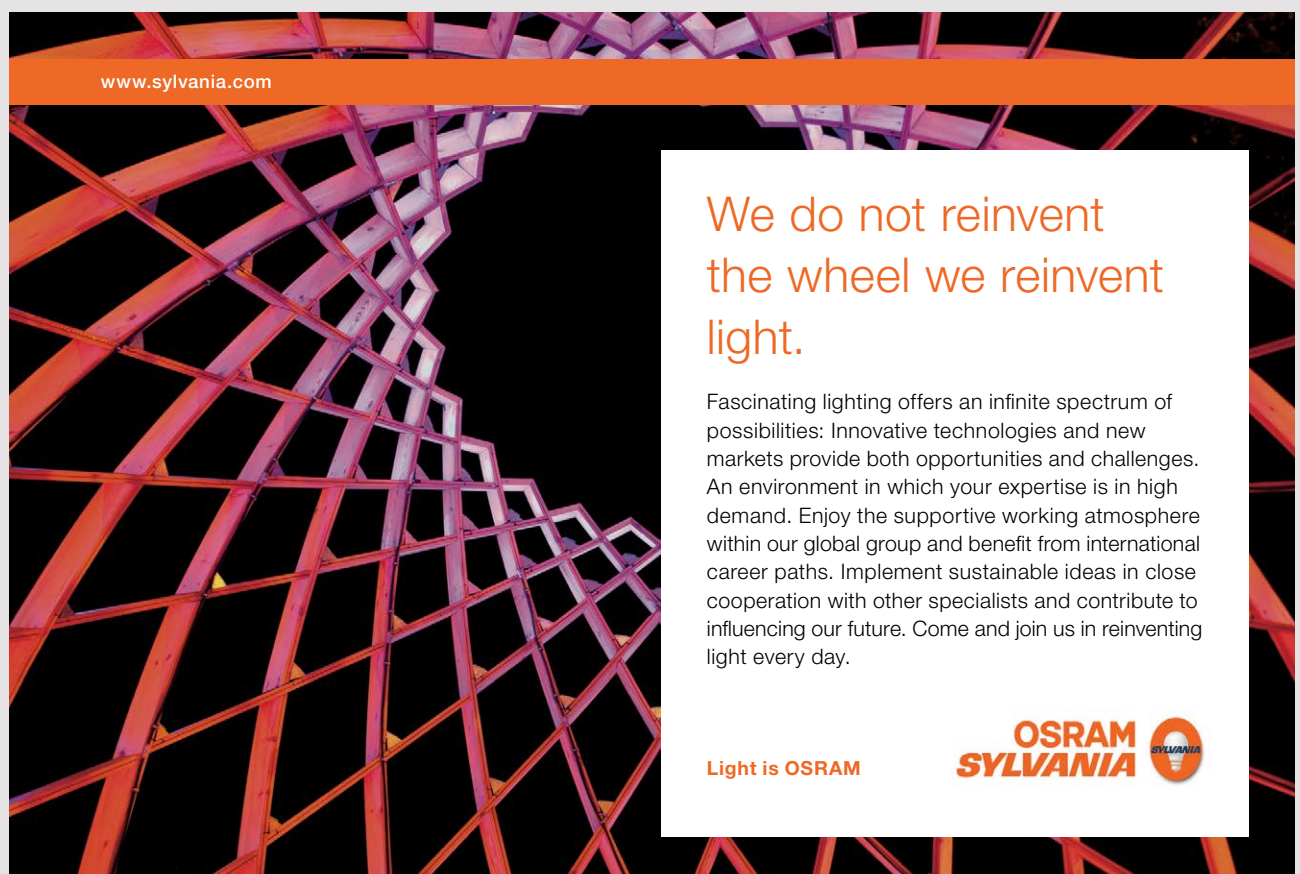
**Question 2:** Are policies, procedures and practices implemented to comply with legislative requirements in relation to plant and equipment, such as lifts, pressure vessels, forklifts etc.?

**Question 3:** Is there is a process in place to ensure workers are appropriately licensed to perform high risk work (e.g., cranes, scaffolding, elevated work platforms, forklifts, etc.)?

**Question 4:** Is there is a plan in place for the replacement of plant and equipment that has been identified risky in terms of health and safety?

**Question 5:** Are controls in place, appropriate to the level of risk and in line with the required measures of control to ensure enhanced plant and equipment safety, maintenance and testing, ensuring that:

1. Maintenance is carried out by a competent person (someone who has the necessary skills, knowledge and experience to carry out the work safely)?
2. Plant and equipment is regularly maintained, by using the manufacturer's maintenance instructions as a guide, particularly if there are safety-critical features?
3. A procedure is in place that allows workers to report damaged or faulty equipment?
4. Proper tools are provided for the maintenance person
5. Maintenance is scheduled to minimise the risk to other workers and the maintenance person wherever possible?
6. Maintenance is done safely (e.g., machines and moving parts are isolated or locked and that flammable/explosive/toxic materials are dealt with properly)?
7. Signs and barriers are set up and positioned at key points, as needed to keep other people out?




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**Question 6:** Is there a plant and equipment inspection program to review machinery and equipment for possible mechanical and non-mechanical hazards, such as:

1. Machinery and equipment with moving parts that can be reached by people?
2. Machinery and equipment that can eject objects (parts, components, products or waste items) that may strike a person with sufficient force to cause harm?
3. Machinery and equipment with moving parts that can reach people such as booms or mechanical appendages (arms)?
4. Mobile machinery and equipment, such as forklifts, pallet jacks, earth moving equipment, operated in areas where people may gain access?
5. Machinery and equipment do not include harmful emissions, contained fluids or gas under pressure, chemicals and chemical by-products, electricity and noise, etc.?
6. Machinery and equipment do not include any access hazards (i.e., they are easy to get to)?

**Question 7:** Do the controls implemented pertain to providing safety to avoid the plant and equipment hazards, such as:

1. Injury from entanglement?
2. Crushing by falling or moving objects, or plant tipping over?
3. Crushing from people being thrown off or under plant?
4. Cutting or piercing due to sharp or flying objects?
5. Friction burns?
6. Injury from high-pressure fluids?
7. Injury from electricity?
8. Injury from explosion?
9. Slips, trips and falls and suffocation?
10. Working in confined spaces?
11. Handling dangerous goods?
12. High temperatures, dust, vibration, noise, radiation, etc.?

**Question 8:** Are policies and procedures implemented to comply with legislative requirements in relation to licence to operate motor vehicles (e.g., current driver licences for vehicles)?

**Question 9:** Are fleet vehicles fit for purpose and maintained per manufacturer requirements and tested, where required, at the manufacturer recommended frequency?

**Question 10:** Are training materials specific to minimising risk associated with plant and equipment health and safety available and include a competency component as identified?



**Question 11:** Has training of workers in relation to minimising risk associated with plant and equipment health and safety been undertaken?

**Question 12:** Are plant and equipment health and safety records maintained as per legislative requirements and industry standards?

### **27.3 HAZARDOUS WASTE DISPOSAL ASSESSMENT QUESTIONNAIRE**

**Question 1:** Is there a documented system in place, including roles and responsibilities for Hazardous Waste Management, and includes legislative requirements and industry standards, for e.g. disposal of hazardous waste including, cytotoxic, clinical, radiological waste (if relevant)<sup>1</sup>?

**Question 2:** Is hazardous waste segregated into streams, colour coded, labelled and handled according to legislative requirements and industry standards?

**Question 3:** Are staff trained in handling hazardous waste?

**Question 4:** Are waste service providers and their licence information accurate and current?

**Question 5:** Are hazardous waste records retained and maintained as required by the relevant legislation and industry standards?

### **27.4 HEALTH AND SAFETY INCIDENT MANAGEMENT ASSESSMENT QUESTIONNAIRE**

**Question 1:** Is there a documented Health and Safety Incident Management system supplemented by appropriate policies (e.g., Health and Safety Policy and Environment Management Policy, etc.) and procedures for the identification, prioritization, investigation, resolution and reporting of incidents according to legal requirements and industry standards and good practices<sup>2</sup>?

**Question 2:** Are all incidents reported as required (Company Executive Management, police, health authorities, etc.) through the Incident Management System?

**Question 3:** Are all incidents investigated in the required timeframe?

**Question 4:** Is effective corrective action taken within the identified timeframe for each health and safety incident?

**Question 5:** Are staff trained in handling health and safety incidents?

**Question 6:** Are health and safety incident records retained and maintained as required by the relevant legislation and industry standards?

## 27.5 FIRST AID ASSESSMENT QUESTIONNAIRE

**Question 1:** Are effective first aid mechanisms in place appropriate to the level of risk and the nature of the work being carried out at the workplace by all company employees?

**Question 2:** Are first aid locations easily accessible by all company employees?

**Question 3:** Are first aid facilities easily available by all company employees?



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**Question 4:** Are employees interviewed are aware of the first aid process and their closest first aid location, facility and kit?

**Question 5:** Is proper documentation maintained on the first aid kits in cars or other arrangements and use of the first aid mechanisms?

**Question 6:** Are first aid staff easily identified and have current and appropriate registration and certification as per legislation?

**Question 7:** Are employees aware of where to find information on the first aid staff in the location where they are working, and how to contact them?

**Question 8:** Are first aid arrangements (mechanisms, equipment, kits, facilities, etc.) properly maintained?

## 27.6 END NOTES

1. For more details, see:

[http://ec.europa.eu/environment/waste/hazardous\\_index.htm](http://ec.europa.eu/environment/waste/hazardous_index.htm)  
<http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:31991L0689>  
<http://ec.europa.eu/environment/waste/legislation/a.htm>  
<https://www.ec.gc.ca/gdd-mw/default.asp?lang=En&n=4379B169-1>  
<https://www.ec.gc.ca/lcpe-cepa/eng/regulations/detailReg.cfm?intReg=68>  
<https://www.epa.gov/hw/learn-basics-hazardous-waste>  
<http://nzic.org.nz/ChemProcesses/environment/14B.pdf>

2. For more details, also see:

<https://osha.europa.eu/el/legislation/directives/the-osh-framework-directive/1>  
<http://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX%3A31989L0391>  
[http://hse.ie/eng/about/Who/qualityandpatientsafety/MeasuringandLearning/SCDQIDQIProgramme/Safety\\_Incident\\_Management\\_Policy.pdf](http://hse.ie/eng/about/Who/qualityandpatientsafety/MeasuringandLearning/SCDQIDQIProgramme/Safety_Incident_Management_Policy.pdf)  
<http://www.etenders.gov.za/sites/default/files/tenders/32-95-%20Revision%205.pdf>

# 28 PRODUCTION PROCESS ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of four questionnaires with a total of 59 questions related to assessing the following Production Process issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Production Process Controls, Purchasing Controls, Inventory Controls and Quality Management Controls.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Production Process aspects of your 'duty of care' responsibilities as a manager of a company.

## 28.1 PRODUCTION PROCESS CONTROLS ASSESSMENT QUESTIONNAIRE

**Question 1:** Is the Supply Chain Management process cost effective?

**Question 2:** Does this process enhance collaboration, communication, and timeliness across the value chain from demand to supply side?

**Question 3:** Does this process enhance efficiencies of product delivery activities?

**Question 4:** Does this process enhance Supplier/Vendor relationships, particularly in pricing and delivery specifications?

**Question 5:** Does this process enhance operational performance?

**Question 6:** Does this process enhance key business process improvements?

**Question 7:** Is the Inventory Management process effective, in terms of inventory on-hand by location?

**Question 8:** Is the Inventory Management process effective, in terms of inventory movements (recording and reporting)?

**Question 9:** Is the Inventory Management process effective, in terms of purchasing procedures to assure cost effective product acquisition while maintaining appropriate levels of stock?

**Question 10:** Is the Inventory Management process effective, in terms of inventory handling procedures to minimize losses from damage, theft, etc.?

**Question 11:** Is the Inventory Management process effective, in terms of inventory carrying costs?

**Question 12:** Is the Inventory Management process effective, in terms of inventory liquidation strategies for excess and overstocks?


**Question 13:** Is the Inventory Management process effective, in terms of execution of best practices on taking physical inventory?

## 28.2 PURCHASING CONTROLS ASSESSMENT QUESTIONNAIRE


**Question 1:** Does the enterprise (private company, public organization, non-profit, etc.) have operating controls to protect against fraud, waste, abuse and mismanagement in the use of all purchasing and contracting mechanisms?

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**Question 2:** Does the enterprise (private company, public organization, non-profit, etc.) have systems that ensure compliance with all regulatory and policy requirements of both the enterprise (private company, public organization, non-profit, etc.) and the state/government?

**Question 3:** Does the enterprise (private company, public organization, non-profit, etc.) have a positive, supportive attitude towards integrity, ethics education and training in procurement and contracts?

**Question 4:** Does the enterprise (private company, public organization, non-profit, etc.) monitor the reliability and confidentiality of data used in all purchasing and contracting decisions?

**Question 5:** Are the criteria such as objectivity, fairness, etc., known to all bidders and to the market (well publicized) and are these assured in the competitive review and selection of a contractor?

**Question 6:** Are checklists used to ensure that purchasing and contract files are complete and accurate?

**Question 7:** Does the enterprise (private company, public organization, non-profit, etc.) have a system that integrates procurement/contracts with asset management systems and financial management?

**Question 8:** Does the enterprise (private company, public organization, non-profit, etc.) complete closeouts of contracts in a timely and appropriate manner?

## 28.3 INVENTORY CONTROLS ASSESSMENT QUESTIONNAIRE

**Question 1:** Does the enterprise (private company, public organization, non-profit, etc.) have operating controls to protect against fraud, waste, abuse and mismanagement in the use of all inventory items, such as:

- 1) Model for measuring inventory performance?
- 2) Monitoring critical inventory reorder levels?
- 3) Monitoring slow moving items?
- 4) Recording and escorting visitors to inventory areas?
- 5) Ensuring adequate funds in the budget process?
- 6) Selecting ethical employees for inventory control?
- 7) Training employees in modern inventory control issues?
- 8) Planning for taking annual physical inventory physical counts?
- 9) Protecting inventory items in safe storage bins and locations?

**Question 2:** Does the enterprise (private company, public organization, non-profit, etc.) balance actual physical inventory to what is recorded in the computerized inventory control system (at least annually)?

**Question 3:** Does the enterprise (private company, public organization, non-profit, etc.) ensure that double or under counting of physical inventory items is not taking place?

**Question 4:** Does the enterprise (private company, public organization, non-profit, etc.) ensure that non-existent inventory is not counted?

**Question 5:** Are all inventory receipts (movements in) and shipments (movements out) recorded in the computerized inventory control system immediately (i.e., when they take place)?

**Question 6:** Are movements of inventory items monitored and reported daily by the appropriate level of management?

**Question 7:** Are the storerooms locked after regular operating hours?

**Question 8:** Do security control procedures protect all storerooms and inventory areas in the most effective way (e.g., camera system, access control system, security guard visit after hours, etc.)?

**Question 9:** Are destructions and returns of all damaged inventory items authorized, recorded, and reported to management?

**Question 10:** Are inventory suppliers adequately monitored to ensure delivery of critical raw materials, supplies and parts?

## **28.4 QUALITY MANAGEMENT CONTROLS ASSESSMENT QUESTIONNAIRE**

**Question 1:** Does the enterprise (private company, public organization, non-profit, etc.) have quality inspection, assurance and error correction policies and procedures?

**Question 2:** Does the quality system have complete and accurate records for identifying errors, conducting inspections and doing corrections?

**Question 3:** Are the customers of the enterprise (private company, public organization, non-profit, etc.) contacted on a regular basis (every year or three, etc.) regarding the quality of goods and services provided?

**Question 4:** Does the enterprise (private company, public organization, non-profit, etc.) involve all staff in quality?

**Question 5:** Is the quality system linked to the benefits and rewards system of the enterprise (private company, public organization, non-profit, etc.)?

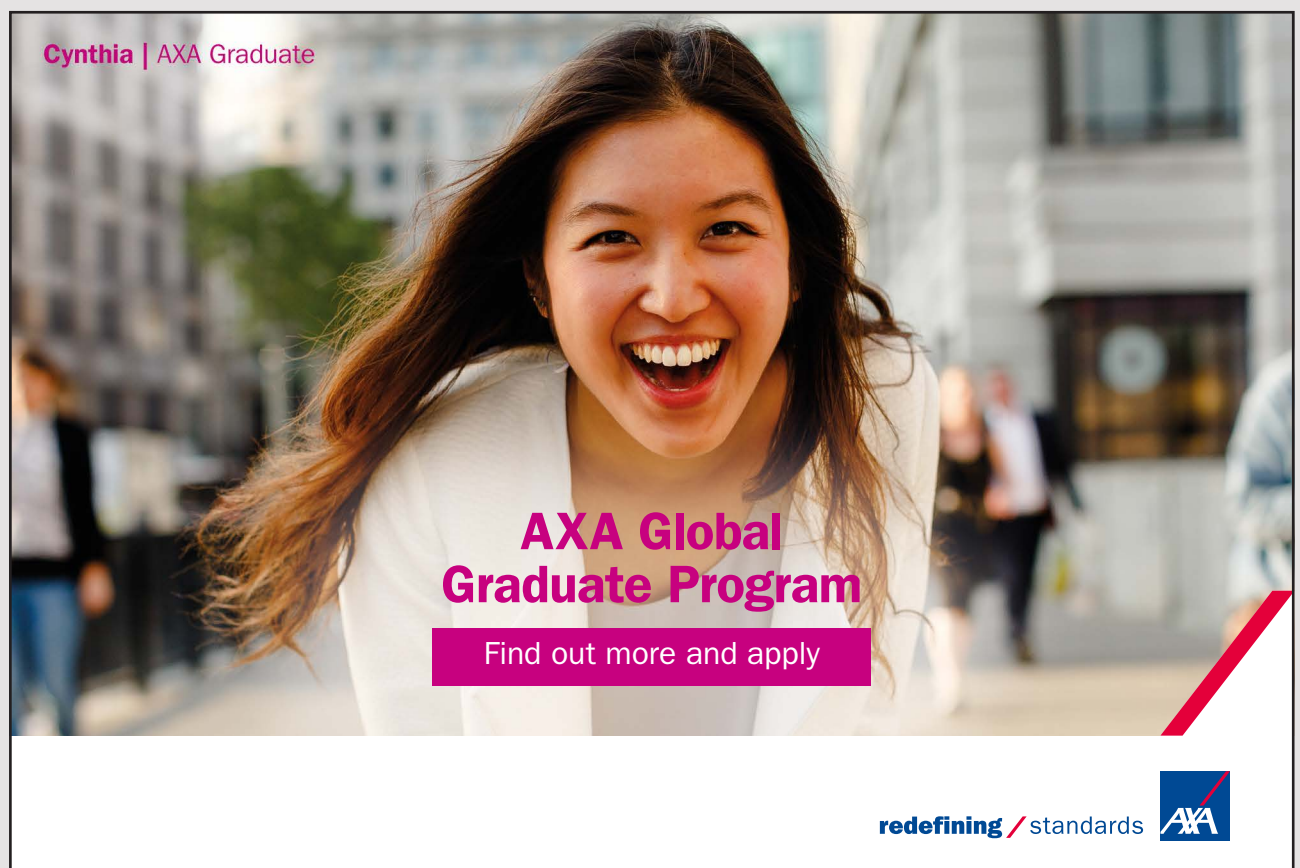
**Question 6:** Is the quality system supported by board and management?

**Question 7:** Are quality responsibilities and accountabilities assigned to all levels of management?

**Question 8:** Are all staff trained on quality issues?

**Question 9:** Is the quality management system linked to the performance system of the enterprise (private company, public organization, non-profit, etc.)?


**Question 10:** Are performance measures designed to collect detail data on the critical issues of quality?



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# 29 WORKPLACE HEALTH AND SAFETY ASSESSMENT QUESTIONNAIRES

**Summary:** This chapter contains a set of six questionnaires with a total of 44 questions related to assessing the following Workplace Health issues supporting your 'duty of care' management, review, audit and improvement responsibilities, such as: Violence and Security, Fatigue, Infectious Diseases, Noise, Radiation and Asbestos.

**Objective:** The objective of these questionnaires is to help you review, assess and improve your Workplace Health aspects of your 'duty of care' responsibilities as a manager of a company.

## 29.1 WORKPLACE HEALTH - VIOLENCE AND SECURITY ASSESSMENT QUESTIONNAIRE

**Question 1:** Is there is a documented and effective system in operation which includes the roles and responsibilities for supporting zero tolerance approach to workplace violence and related security incidents?

**Question 2:** Does this occupational violence include:

1. Threatening behaviour (e.g., shaking fists, destroying property or throwing objects, etc.)?
2. Verbal or written threats (e.g., any expression of an intent to inflict harm)?
3. Harassment (e.g., any behaviour that demeans, embarrasses, humiliates, annoys, alarms or verbally abuses a person and that is known or would be expected to be unwelcome, including words, gestures, intimidation, bullying, or other inappropriate activities)?
4. Verbal abuse (e.g., swearing, insults or condescending language)?
5. Physical attacks (e.g., hitting, shoving, pushing or kicking, etc.)?

**Question 3:** Is there is a documented and formal occupational violence complaint investigation and resolution process implemented that includes roles and responsibilities for the investigation and resolution of occupational violence complaints which has been communicated to all workers?

**Question 4:** Are all workers aware of what constitutes occupational violence and their roles and responsibilities and their options to manage occupational violence incidents if it occurred in the workplace?

**Question 5:** Are training materials specific to minimizing occupational violence available and include a competency component (related knowledge, skills, abilities, and attributes) to enable and support people to handle such violent incidents?

**Question 6:** Has effective training of all workers in relation to minimizing occupational violence been undertaken?

**Question 7:** Have controls appropriate to the level of risk been identified, developed and implemented to eliminate or minimise the risk of workplace violence?

**Question 8:** Are controls reviewed for effectiveness and changes made where required, on an annual basis?

**Question 9:** Have annual internal security audits been carried out as required and any improvement actions identified through the audits and implemented?

## **29.2 WORKPLACE HEALTH - FATIGUE ASSESSMENT QUESTIONNAIRE**

**Question 1:** Is there is a documented process for the management of fatigue and does it include:

1. The roles and responsibilities of management staff?
2. The requirement to consider fatigue as a hazard when developing or changing processes and scheduling shift or overtime work?
3. The responsibility of each individual worker for managing fatigue, etc.?

**Question 2:** Are workplace hazards and risks that can contribute to fatigue identified and assessed as required by legislation, industry standards or company policies?

**Question 3:** Do controls implemented to minimise risk in relation to fatigue, include actions, such as:

1. Ensure workplaces are well-lit and ventilated?
2. Ensure employees take adequate breaks?

3. Provide information and training on fatigue management?
4. Encourage employees to report any concerns they may have about work-related fatigue?
5. Avoid work arrangements that provide incentives to work excessive hours?
6. Ensure clear work processes and effective planning (e.g., plans to deal with workload changes due to absenteeism, staff on leave or seasonal work pressures, etc.)?
7. Establish processes that enable the review of incidents, near misses, illnesses and other data such as absenteeism and staff turnover rates to see if they could be attributed to fatigue?

**Question 4:** Are controls reviewed for effectiveness and changes made where required?

**Question 5:** Is fatigue training material or information available to all workers?

**Question 6:** Are all managers and supervisors trained to recognize fatigue, how fatigue can be managed and how to implement control measures, including how to design suitable rosters and work schedules in consultation with workers, take appropriate action when a worker is displaying fatigue related impairment, etc.?



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## 29.3 WORKPLACE INFECTIOUS DISEASES ASSESSMENT QUESTIONNAIRE

**Question 1:** Are there documented procedures for infection prevention and control which comply with legislative and regulatory requirements?

**Question 2:** Is there a documented occupational assessment, screening and vaccination program implemented in line with state legislation and industry standards including the management of records and monitoring?

**Question 3:** Is there a surveillance program for biological hazard (pathogenic micro-organisms, viruses, toxins (from biological sources), spores, fungi and bio-active substances, etc.) testing, as appropriate, etc.?

**Question 4:** Are controls implemented, appropriate to the level of risk and in line with the occupational health exposures of an infectious nature?

**Question 5:** Are controls reviewed for effectiveness and changes made where required?

**Question 6:** Are training materials specific to minimizing exposure to infectious diseases available?

**Question 7:** Has training of all workers in relation to minimizing exposure to infectious diseases been undertaken?

**Question 8:** Are managers and supervisors trained to:

1. Ensuring the development, implementation and maintenance of the Infection Prevention and Control Program?
2. Listing all job classifications (occupation or title) and job tasks where there are risks of exposure to infectious diseases?
3. Ensuring the risk identification process and risk assessments are completed and documented?
4. Ensuring all necessary equipment and personal protective equipment (PPE) and training is provided to employees at risk of exposure?
5. Encouraging all eligible employees to be vaccinated for Hepatitis B and other infectious diseases, as needed?
6. Maintaining records as required?
7. Monitoring the workplace to ensure that safe work procedures are followed?
8. Investigating and reporting accidental exposures to infectious diseases?

9. Ensuring education and training on workplace specific infectious diseases and the exposure control plans are conducted periodically?
10. Consulting with the appropriate medical experts and state authorities regarding their company's Health Programs and various challenging issues, as they may occur?

**Question 9:** Are employees trained to:

1. Using safe work procedures to prevent or minimize the potential for exposure to infectious diseases?
2. Wearing personal protective equipment as required and using it as instructed?
3. Using standard precautions in all situations where the risk of exposure to blood and body fluids may be present?
4. Participating in education and training sessions relating to the prevention of transmission of infectious diseases?
5. Reporting incidents of exposure to infectious diseases to the employer?
6. Following specified pre and post exposure procedures?
7. Following proper response and disposal procedures (e.g., clean up, disposing of all used needles, broken glass, and razor blades, etc.)?
8. Obtaining immediate first aid and medical treatment when required?

## **29.4 WORKPLACE HEALTH - NOISE ASSESSMENT QUESTIONNAIRE**

**Question 1:** Is there is a documented process in place for the management of hazardous noise levels, where applicable, and the monitoring of and testing of noise and hearing as required by law?

**Question 2:** Are hazards and risks that can contribute to hearing loss identified and assessed as required by legislation?

**Question 3:** Are controls in place to control and reduce noise at the workplace?

**Question 4:** Is environmental noise level testing conducted as per legislative requirements?

**Question 5:** Is audiometric testing conducted as per legislative requirements?

**Question 6:** Are training materials specific to hazardous noise control available and used?

**Question 7:** Is training of workers in relation to hazardous noise been undertaken?

## 29.5 WORKPLACE HEALTH - RADIATION ASSESSMENT QUESTIONNAIRE

**Question 1:** Are safe work practices and procedures documented in a Radiation Management Plan<sup>1</sup> and implemented in order that all employees and visitors are not exposed to ionising radiation that exceeds the dose limits as set out in state and industry regulations?

**Question 2:** Is radiation exposure monitored, as required?

**Question 3:** Are radiation monitoring devices and the appropriate personal protective equipment made available to and utilised by occupationally exposed staff, as required?

**Question 4:** Are controls to minimize the risk implemented, appropriate to the level of risk in relation to occupational health exposures, as required?

**Question 5:** Are controls reviewed for effectiveness and changes made where required?

**Question 6:** Are training materials specific to minimizing radiation exposure available?

**Question 7:** Has training of workers in relation to minimizing radiation exposure been undertaken?

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## 29.6 WORKPLACE HEALTH - ASBESTOS ASSESSMENT QUESTIONNAIRE

**Question 1:** Has asbestos been identified by a series of tests, a competent person or presence assumed, depending on the age of the office or plant building(s) of the company?

**Question 2:** Is there is a documented system (e.g., Asbestos Management System and Plan) which outlines the process for all defined workers who are carrying out asbestos related work?

**Question 3:** Does this system or plan include health monitoring of workers who carry out asbestos related work at the workplace and the maintenance of health monitoring records?

**Question 4:** Are training materials specific to minimizing asbestos exposure available?

**Question 5:** Do protection controls from asbestos exposure include:

1. Training of employees who will be working with and around asbestos?
2. Properly ventilated workspaces?
3. Monitoring of employees for asbestos exposure levels (including daily monitoring for workers involved in the removal of asbestos-containing materials, etc.)?
4. Warning signs and instructions in areas where asbestos-related work is performed?
5. Protective clothing like coveralls, gloves, foot coverings, face shields, goggles, respirators, etc.?
6. Showers and other post-exposure precautions?
7. Medical examinations for certain workers who are exposed to high levels of asbestos?

**Question 6:** Is asbestos monitoring and removal undertaken by a suitably qualified person and adequate controls are in place, including;

1. Air monitoring as required?
2. Waste containment and disposal procedures?
3. Clearance inspections conducted and clearance certificates issued?

## 29.7 END NOTES

1. For more details, see:  
[https://www.nde-ed.org/EducationResources/CommunityCollege/RadiationSafety/safe\\_use/controlling\\_exposure.htm](https://www.nde-ed.org/EducationResources/CommunityCollege/RadiationSafety/safe_use/controlling_exposure.htm)  
[https://www.labour.gov.on.ca/english/hs/pubs/uvradiation/gl\\_uvradi\\_4.php](https://www.labour.gov.on.ca/english/hs/pubs/uvradiation/gl_uvradi_4.php)
2. For more details, see: <https://www.osha.gov/SLTC/asbestos/>

# 30 DATA PROTECTION AND PRIVACY ASSESSMENT QUESTIONNAIRES

## Summary

This chapter contains four (4) audit questionnaires with over 138 audit questions which are designed to review, assess and improve the data protection security and privacy aspects of all enterprise structured and unstructured data (financial, personal, production, sales, e-mail messages, etc.) processed and maintained by the IT function and information systems of the enterprise.

## 30.1 DATA SENSITIVITY PROTECTION ASSESSMENT QUESTIONNAIRE

**Question 1:** Does the risk assessment process of the company evaluate the risk involved of sensitive data files, application programs and/or operating systems accessed and/or amended without appropriate authority?

**Question 2:** Have sensitive data and applications been identified?

**Question 3:** Have appropriate security measures been implemented to restrict users' access to sensitive data and programs?

**Question 4:** Are application development staff prevented from accessing sensitive data and software in the production environment?

**Question 5:** Are unique user IDs assigned to each user for sensitive data?

**Question 6:** Are passwords changed very regularly for sensitive data?

**Question 7:** Is the password file encrypted?

**Question 8:** Is the allocation, authorisation and use of powerful user IDs or passwords for sensitive data controlled and monitored?

**Question 9:** Are there adequate procedures to control the use of dial-up modems or web access for sensitive data?



**Question 10:** Are other logical access controls applied to sensitive data?

**Question 11:** Are there established procedures to be applied for sensitive data if and when the security officer is not available?

**Question 12:** Are utilities managed effectively for sensitive data?

**Question 13:** Is a standard computerised access control system used for sensitive data?

**Question 14:** Is the operation of the security events log for sensitive data monitored by management, and are all incidents followed up?

**Question 15:** Are password lists for sensitive data stored in a safe vault?

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## 30.2 HUMAN RESOURCE CULTURAL CONTROLS ASSESSMENT QUESTIONNAIRE

**Question 1:** Does the organization maintain up-to-date corporate human resources policies and procedures, an employee handbook, along with the relevant IT personnel files and their supporting documentation?

**Question 2:** Does the organization conduct reviews, or have an ongoing reporting system for awarding benefits and pay increases (to all personnel, including IT), to ensure that they are operated in a fair and equitable manner?

**Question 3:** Does the organization have a positive and supportive attitude towards integrity and ethics education and training, and does this include all personnel, including IT?

**Question 4:** Does the organization conduct periodic reviews on ethics issues for IT personnel, and have an ongoing system to report on outside activities, financial disclosure and other components of the ethics program?

**Question 5:** Have all IT employees received conflict of interest/ethics training?

**Question 6:** Does the organization ensure that there is equity of treatment and opportunity within the employee relations and training programs, and does this include IT personnel?

**Question 7:** Does the organization periodically review, or have an ongoing system to report, the time and attendance of IT employees?

**Question 8:** Does the organization ensure that there is equity of treatment and opportunity within the equal employment opportunity and affirmative employment program, and does this include IT personnel?

**Question 9:** Does the organization have an employee handbook outlining the code of conduct, and policies and procedures for: vacation, leave of absence, sick leave, bereavement, personal leave, military leave, holidays, drugs, alcohol, smoking, medical support, life insurance, travel expenses, training, complaints handling, racial or other abuse, etc. and does this apply to IT personnel as well?

**Question 10:** Do all IT personnel who leave the organization go through an exit review process whereby all entrusted items, passwords, keys, etc. are properly returned, and all feedback from the personnel who leave are recorded for action to be taken, as needed?

### 30.3 DATA PRIVACY PRINCIPLES COMPLIANCE ASSESSMENT QUESTIONNAIRE

This audit questionnaire contains 44 questions and is designed to support the review and audit process of your company's Data Privacy Principles, as detailed in the European Data Protection Directive (<http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32016R0679&qid=1462359521758&from=EN>).

**Principle 1: Lawful Processing.** Personal data shall be processed fairly and lawfully

**Question 1:** Has the data subject (an individual who is the subject of 'personal data') been informed of the processing by the company?

**Question 2:** Has the data subject been informed of the people or organizations/companies their data may be passed onto by the company?

**Question 3:** Has the data subject given their consent to the processing by the company?

**Question 4:** If the data subject has not given their consent, can the processing by the company be justified on the basis of necessity?

**Question 5:** If the data collection process by the company includes sensitive data has the data subject given their explicit consent to process such data?

**Principle 2: Purpose Specification.** Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes.

**Question 1:** Is the processing of the data legal by the company?

**Question 2:** Has it been made clear to the data subject what the data will be used for by the company?

**Question 3:** Have any 'non-obvious' uses of the data by the company been made clear to the data subject?

**Principle 3: Data Relevancy.** Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.

**Question 1:** Is there a clear reason documented for processing each item of data by the company?

**Question 2:** Has the company verified that the same outcome or result could not be achieved, safely and effectively, with less data?

**Question 3:** Where data is collected on a form by the company, does it indicate to the data subject that data which is essential and that which is voluntary to give?

**Question 4:** Is the data that is being processed by the company adequate for the purpose?

**Question 5:** Is the data that is being processed by the company no more than is necessary?

**Principle 4: Data Accuracy.** Personal data shall be accurate and, where necessary, kept up to date.

**Question 1:** Have steps (organizational unit/role, methodology, policies, procedures, practices, etc.) been taken by the company to ensure the accuracy of the data?

**Question 2:** Is there a system of quality reviews in operation of data held by the company to keep the data up to date?



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**Question 3:** Do the data held by the company have the criteria of quality related to Accuracy, Validity, Reliability, Timeliness, Relevance, Completeness and Compliance?

**Question 4:** Accuracy

- 4.1. Do the data held by the company have a clear representation of the activity/interaction?
- 4.2. Are they in sufficient detail?
- 4.3. Are they captured once only as close to the point of activity as possible?

**Question 5: Validity.** Are the data recorded and used by the company in accordance with agreed requirements, rules and definitions to ensure integrity and consistency?

**Question 6: Reliability.** Are the data collection processes used by the company clearly defined and stable to ensure consistency over time, so that data accurately and reliably reflect any changes in performance?

**Question 7: Timeliness**

- 7.1. Are the data held by the company collected and recorded as quickly as possible after the event or activity?
- 7.2. Are the data held by the company available for the intended use within a reasonable or agreed time period?

**Question 8: Relevance**

- 8.1. Are the data held by the company relevant for the purposes for which they used?
- 8.2. Are the data requirements clearly specified and regularly reviewed to reflect any change in needs?
- 8.3. Are the data collected by the company proportionate to the value gained from them?

**Question 9: Completeness**

- 9.1. Are the data held by the company complete?
- 9.2. Do the data held by the company contain redundant records?

**Question 10:** Compliance. Do the data comply with regulations on data protection and data security?

**Principle 5: Limited Data Retention.** Personal data processed for any purpose or purposes shall not be kept for longer than necessary for that purpose or those purposes.

**Question 1:** Does the company have a data retention or business records retention policy?

**Question 2:** Are the data held by the company being kept for no longer than is necessary to comply with relevant laws and regulations that define minimum periods of retention?

**Question 3:** If data are being kept for periods longer than the legal minimum is there a good reason for doing so and is this documented?

**Question 4:** Are files (paper, digital computerized) periodically cleaned out of irrelevant data by the company?

**Question 5:** Is there a clear justification for the length of time the data are retained by the company?

**Question 6:** Can it be confirmed that data held by the company are not being kept on a 'just in case' basis?

**Principle 6: Fair Processing.** Personal data shall be processed in accordance with the rights of data subjects under the relevant Data Protection Act.

**Question 1:** Does the data subject know that their personal data are being processed by the company?

**Question 2:** Does the data subject know why their personal data are being processed by the company?

**Question 3:** Does the data subject know how their personal data are being processed by the company?

**Question 4:** Has the data subject been informed of their rights of access by the company?

**Principle 7: Accountability.** Appropriate technical and organizational measures shall be taken against unauthorized or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.

**Question 1:** Is the level of security adopted by the company appropriate to the risks represented by the processing and the nature of the data to be protected?

**Question 2:** Are measures taken to guard against theft, malicious damage or corruption (e.g. computer viruses), unlawful access, accidental disclosure, loss and destruction, etc., by the company?

**Question 3:** Are specific measures taken for the added security of sensitive data by the company?

**Question 4:** Are there clear lines of responsibility implemented by the company for the processing operations?

**Question 5:** Are company staff who deal with personal data aware of the purposes for which they have been collected by the company?

**Question 6:** Are company staff who deal with personal data held by the company aware of the parties to whom they can legitimately disclose the data?

**Question 7:** Are external (non-Company) personnel who handle personal data while working at, or for, the company aware of their responsibilities and obligations under the Data Protection Act?

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**Question 8:** Are external (non- Company) personnel who handle personal data while working at, or for, the company adequately supervised?

**Question 9:** Is there a data protection statement in place in the contract setting out their obligations with regard to the security and use of data held by the company for external personnel (consultants, contractors, suppliers, vendors, etc.) who have access to or process the data held by the company?

**Question 10:** Are appropriate measures in place by the company for the secure disposal and/or destruction of personal data that are no longer required?

**Principle 8: Transferring personal data overseas.** Personal data shall not be transferred to a country or territory outside the European Economic Area unless that country of territory ensures and adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

**Question 1:** Where applicable, has the consent of the data subject been obtained to transfer personal data to countries outside the European Economic Area which are not designated as 'adequate' by the appropriate state authority (Data Protection Authority, Information Commissioner, etc.)?

## **30.4 DATA PRIVACY CORPORATE ISSUES ASSESSMENT QUESTIONNAIRE**

This audit questionnaire contains 71 questions and is designed to support the review and audit process of your company's Data Privacy Corporate aspects and the specific issues (e.g. Organization and Management controls, Corporate Staff Training and Awareness program, etc.) contained in them.

### **30.4.1 ORGANIZATION AND MANAGEMENT ISSUES**

**Question 1:** Are the board and senior management members of the company/organization fully aware of:

- 1.1. The obligations imposed by the Act upon the company?
- 1.2. The liabilities imposed by the Act at both corporate and individual level?
- 1.3. The rights provided to individuals by the Act?



**Question 2:** Is data protection a fixed, frequent or rare item on meeting agendas at senior management and board level of the company?

**Question 3:** Does the company/organization need to maintain a data protection register entry at the Authority Office?

**Question 4:** If required to have a register entry, is the register entry reviewed in a meaningful way on an annual basis to ensure that the processing undertaken by the organization is reflected appropriately?

**Question 5:** Has a data protection compliance officer been identified or appointed?

**Question 6:** Are there mechanisms (policies, procedures, practices, etc.) in place for formal review of data protection activities within the company/organization by the compliance officer?

**Question 7:** Are the policies and procedures the company/organization has in place with regard to ensuring compliance with the Act effective?

**Question 8:** How often are such policies and procedures reviewed and updated?

**Question 9:** Does the company/organization provide fair processing notices to individuals in respect of the processing of their information?

**Question 10:** What security arrangements and controls (management and maintenance of filing system, monitoring of activity, removal of records, etc.) are there in place in respect of paper records?

### **30.4.2 CORPORATE STAFF TRAINING AND AWARENESS ISSUES**

**Question 1:** Are all company staff aware of their data privacy role?

**Question 2:** Are all company staff aware of their data protection responsibilities?

**Question 3:** How often is data protection awareness training (initial, refresher, etc.) for staff?

**Question 4:** Does induction training for new company staff include awareness of their data protection responsibilities?

**Question 5:** Do company staff know where to seek advice from as regards data privacy and protection?

**Question 6:** Is information security addressed in all training sessions?

**Question 7:** Are all company staff aware that unauthorised access to information of any form (manual systems, computerized systems, etc.) is not allowed?

**Question 8:** Are all company staff leaving employment aware that any corporate (customer, employees, research, etc.) information remains subject to confidentiality?

**Question 9:** Is there a clause to this effect built into all company staff (all levels of the organization) employment contracts?

**Question 10:** Do all employee files maintained in the Human Resources Department include all documents related to training and data protection controls, such as: signed confidentiality statements by all company staff?

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### 30.4.3 IT SYSTEMS DEVELOPMENT ISSUES

**Question 1:** Are all new IT developments (projects and initiatives) that entail processing information 'privacy-proofed' at the planning and design stages?

**Question 2:** Is a data privacy impact assessment (DPIA) conducted at analysis, design, development, testing and implementation stages, i.e. pre- and post-implementation?

**Question 3:** Have all documents passing around the company been documented to show what information is collected and passed to specific systems?

**Question 4:** Have all information flows and data been documented in data flow diagrams?

**Question 5:** Do the data flow diagrams show:

5.1. The information that enters and leaves the system (in terms of External entities, Processes, Data stores and Data flows)?

5.2. The people/roles/other systems that generate and/or receive that information?

5.3. The processes that occur in the system to manipulate the information?

5.4. The information that is stored in the specific system?

5.5. The boundary of the system indicating what is (and what is not) included?

### 30.4.4 IT SECURITY ISSUES: PASSWORD MANAGEMENT SYSTEM

**Question 1:** Is the password management system used by the company configured in line with best practices in terms of: Enforcing the use of individual username/passwords, Maintaining a history of passwords and preventing re-use of previous passwords, Allowing users to select / change their own passwords, Enforcing secure passwords, Forcing periodic changes, Storing and transmitting passwords securely, etc.?

**Question 2:** Is there a procedure to verify the identity of the user prior to resetting or sending a password to them?

### 30.4.5 IT SECURITY ISSUES: PHYSICAL SECURITY MEASURES

**Question 3:** Is physical access to the building controlled for both staff and visitors of all types (vendors, suppliers, consultants, etc.)?

**Question 4:** Are all entry routes to server rooms/ computer centre subject to access control?

#### **30.4.6 IT SECURITY ISSUES: ACCESS RIGHTS MANAGEMENT**

**Question 5:** Has the company instituted a Computer Users Policy?

**Question 6:** Is there a user registration and removal procedure in place?

**Question 7:** Are users required to sign the Computer Users Policy prior to having an account created?

**Question 8:** Is there a generic administrator account?

**Question 9:** Is there a record of the authorisation process and the privileges assigned?

**Question 10:** Does management conduct a review of access rights allocated at periodic intervals using a documented process?

**Question 11:** Are user access rights re-allocated when they move groups within the organisation?

#### **30.4.7 IT SECURITY ISSUES: REMOVABLE DEVICES/MEDIA**

**Question 12:** Are ports relayed to CD, DVD, and USB drives enabled?

**Question 13:** Are such drives capable of copying files?

**Question 14:** Under what circumstances is 'personal data' held on laptops?

**Question 15:** Do laptops have remote access to corporate databases?

**Question 16:** Are laptops password protected?

**Question 17:** Are laptops encrypted?

**Question 18:** Do company staff have remote access via their laptops to data when they are offsite so that 'personal data' does not need to be stored elsewhere?

#### **30.4.8 IT SECURITY ISSUES: USER RESPONSIBILITIES**

**Question 19:** Are users advised to keep passwords safe and not share passwords?

**Question 20:** Are users advised that they should not write down their password?

**Question 21:** Are users advised to select quality passwords of a minimum length (e.g. alpha-numeric)?

**Question 22:** Are users advised to /enforced to change passwords frequently and change temporary passwords at first log-on?

**Question 23:** Are suitable controls in place to authenticate remote users?

**Question 24:** Are documents sent externally by email encrypted or password protected?

### 30.4.9 BACKUP-RECOVERY PROCEDURES

**Question 25:** Has the company designed and implemented backup-recovery procedures?

**Question 26:** Are these backups taken according to a pre-designed time period (daily, weekly, monthly, etc.)?



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**Question 27:** Are the back-ups kept in safe locations (onsite and offsite)?

**Question 28:** Is the recovery process tested according to a pre-designed time period (monthly, annually, etc.)?

#### **30.4.10 INTERNAL CORPORATE DATA TRANSFER**

**Question 1:** Is corporate data transferred electronically internally (such as: spreadsheet applications, data repositories, data marts, data warehouses, etc.)?

**Question 2:** What security measures (E.g. encryption) are in place for this action (i.e. data transfer)?

**Question 3:** Are there any audit trails/logs in place for this action (i.e. data transfer)?

#### **30.4.11 IT OPERATIONS MONITORING**

**Question 1:** Are audit logs recording: user activities, including read access, exceptions, and information security events and produced and kept for an agreed period to assist future investigations and access control monitoring by company management and other stakeholders?

**Question 2:** Are patterns of abnormal usage identifiable from log recording by the company IT security staff?

**Question 3:** Has the company implemented procedures for monitoring use of information processing systems?

**Question 4:** Are the results of such monitoring activities reviewed regularly by the appropriate level of company management?

#### **30.4.12 BUSINESS AND DATA RECORDS RETENTION**

**Question 1:** Is the company aware of any relevant legal requirements, or industry standards, for periods of record retention?

**Question 2:** Does the company have a record retention policy for all the differing types of information, computerised and/or manual stating how long the information should be retained?

**Question 3:** Does the company have a policy on deleting information when it is no longer required for the specified purpose or purposes?

**Question 4:** How is the information deleted or destroyed by company when this is no longer required?

**Question 5:** Does the company have archive facilities or off-site storage?

**Question 6:** How does the company clean the information stored in an off-site facility?

**Question 7:** Does the company regularly clean corporate databases and files of information that are no longer required?

#### **30.4.13 REQUESTS FOR PERSONAL DATA**

**Question 1:** Does the company have procedures for dealing with subject access requests?

**Question 2:** Does the company log all subject access requests received to ensure that they are dealt with within the time-frame defined in the Data Protection Act?

**Question 3:** Are staff aware of these procedures (subject access requests)?

**Question 4:** Has the company appointed an individual company officer to ensure compliance with subject access requests?

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8. **'Problem Management Methodology'**  
<http://www.easywriter.gr/ebooks/item/1263>
9. **'How to Implement Corporate Policies Better'**  
<https://flevy.com/browse/business-document/how-to-implement-corporate-policies-better-1668>
10. **'Audit Report Model and Sample'**  
<https://flevy.com/browse/business-document/audit-report-model-and-sample-268>
11. **'Auditing and Improving Business Performance'**  
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12. **'BSC Case Studies'**  
<https://www.slideshare.net/jkyriazoglou/bsc-case-studies>

#### **A.4. WORKPLACE WELLNESS BOOKS**

1. **'How to Reduce Occupational Stress'**, 2015, bookboon.com.  
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2. **'Seven Milestones for a Better Life'**, 2015, bookboon.com.  
<http://bookboon.com/en/seven-milestones-for-a-better-life-ebook>

3. **'How to Improve Your Workplace Wellness- 3 volumes'**, 2015, bookboon.com.  
<http://bookboon.com/en/how-to-improve-your-workplace-wellness-volume-i-ebook>  
<http://bookboon.com/en/how-to-improve-your-workplace-wellness-volume-ii-ebook>  
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4. **'Corporate Wellness: Management and Evaluation Toolkit'**, 2016, bookboon.com, <http://bookboon.com/en/corporate-wellness-ebook>
5. **'An Anthology of Short Stories and Sayings of Ancient Greece'**, at no cost  
<https://www.slideshare.net/jkyriazoglou/anthology-of-ancient-greek-sayings>
6. **Achieving Better Implementation of Controls: The Human Aspects of Management Controls - Part I**  
<http://bookboon.com/en/achieving-better-implementation-of-controls-ebook>
7. **Tools Supporting Better Implementation of Controls: The Human Aspects of Management Controls - Part II**  
<http://bookboon.com/en/tools-supporting-better-implementation-of-controls-ebook>



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## SECTION B: OTHER PUBLICATIONS

### BOOKS BY PROFESSOR MARTHA CATHERINE BECK

1. Upon this Moral Law the World Depends: A Reading of Euripides' **Hecuba** through the Categories of Aristotle. New York, New York: Global Scholarly Publications, 2011.
2. Essays on Paideia: Education for Practical Wisdom in Ancient Greek Tragedy and Philosophy: Finding the Connections between Tragedy, Plato, and Aristotle. New York, New York: Global Scholarly Publications, 2011.
3. "The gods . . . so ordained that fate should stand against fate to check any person's excess" (1025-1027): Applying Aristotle's Ethical and Political Theory to the Characters in Aeschylus' Agamemnon. New York, New York: Global Scholarly Publications, 2011.
4. Civilized Killing: Maintaining a Strong Military in a Free and Open Society: A Reading of Plato's **Laches**. New York, New York: Global Scholarly Publications, 2011.
5. A Commentary on Plato's **Phaedo**: the Importance of Plato's View of the Human Soul and Immortality for Our Time. New York, New York: Global Scholarly Publications, 2010.
6. The Quest for Wisdom in Plato and Carl Jung: A Comparative Study of the Healers of the Soul, Lewiston, New York, Edwin Mellen Press, 2008.
7. Reading Sophocles' **Philoctetes** Through the Categories of Aristotle's Theory of Tragedy: How Do We Educate People to Be Wise?, Lewiston, New York, Edwin Mellen Press, Fall, 2008.
8. The Autobiography of a Mid-Western Methodist Woman: What It Was Like to be an American in the Second Half of the Twentieth Century, Lewiston, New York: Edwin Mellen Press, Summer, 2008.
9. Tragedy and the Philosophical Life: A Response to Martha Nussbaum. Volume One: Protagoras. Lewiston, New York: Edwin Mellen Press, 2006.
10. Tragedy and the Philosophical Life: A Response to Martha Nussbaum. Volume Two: The Republic. Lewiston, New York: Edwin Mellen Press, 2006.
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Sources: Keuzegids Master ranking 2013; Elsevier 'Beste Studies' ranking 2012; Financial Times Global Masters in Management ranking 2012

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# PEER REVIEW COMMENTS

## Comments by Reviewer 1:

**Dr. Martha C. Beck,**

Professor of Philosophy, USA

[martha.beck@lyon.edu](mailto:martha.beck@lyon.edu)

John Kyriazoglou, The Complete 'Duty of Care' Management Guide:

A systematic approach to caring better for your company's assets, systems, data and people

Mr. Kyriazoglou's book is his effort to pass down to posterity, to other leaders and to future leaders, the insights he has gained from many decades as a leader who seeks to embody the classical model of human excellence and practical wisdom.

It is amazing to reflect upon the many, many opportunities those living in Western societies have become complacent about. We have an entitlement mentality without being conscious of it. We have had too high a standard of living for too long, too many opportunities. We have squandered our time, our money, our natural resources, our social respect from members of other countries and the social capital and friendship bonds among our fellow citizens, people we depend upon to preserve all of these expectations. I think Mr. Kyriazoglou realizes all of this and wants to make the best contribution he can make to preventing decline and promoting improvement.

I wish him and all those inspired and educated by his book in their own quest for the preservation of civilization, wherever they live and in whatever profession they are in.

## Comments by Reviewer 2:

**Edmund J. Saunders,**

FCIB, CFS, CICA, C.Dip.A.f. (ACCA)

[edmund.saunders@fejs.org.pl](mailto:edmund.saunders@fejs.org.pl)

I enjoyed reading John Kyriazoglou's new book entitled "The Complete 'Duty of Care' Management Guide".

This is not John's first book, but in my opinion it is one of his best. In particular, the subject is well chosen as it is of very much in tune with the market's needs at this moment



in time as the subject of management's duty to exercise due care in respect of their duty to take appropriate care and responsibility for the results of their decisions and resulting consequences. John clarifies that executives' duty of care is not to be viewed within the narrow parameters of profitability and protection of assets, as the scope is much wider, covering compliance and even social responsibility – all of which are linked to specific risk factors. Thus effective risk management is an important activity within the duty of care. The book is well documented with models, standards, references, views and opinions and even an element of ethical and moral/philosophical reasoning drawn on Greek thinking.

I believe that the guidelines, models and actions described in this book will greatly assist Management and Supervisory Board members as well as line officers to perform in a better organized way, achieve improved results in a controlled business atmosphere.

I highly recommend to to aspiring as well as seasoned managers.

### **Comments by Reviewer 3:**

#### **Jeroen De Flander**

[jeroen.de.flander@the-performance-factory.com](mailto:jeroen.de.flander@the-performance-factory.com)

bestselling author Strategy Execution Heroes and The Execution Shortcut.

<http://www.the-performance-factory.com/en/strategy-execution-heroes/>

<https://www.amazon.com/Execution-Shortcut-Strategies-Hidden-Success/dp/9081487361>

„Duty of Care is an inspiring book. It forces you to look at management from a different perspective“.

### **Comments by Reviewer 4:**

#### **Yiangos Charalambous**

F.C.C.A, Vice Chairman

UHY Axon Certified Auditors S.A.

Bs Email: [ycharalambous@axonaudit.gr](mailto:ycharalambous@axonaudit.gr)

HmEmail: [charalambousy@ath.forthnet.gr](mailto:charalambousy@ath.forthnet.gr)

John's book, under the title «The Complete 'Duty of Care' Management Guide» is 'a Manager's guide- tool' with full of useful information for Senior executives, Middle-level managers, Auditors and Other professionals, based on ancient Greek principles in a novel

way, for the above stated professionals to apply and improve the running of their business activities and operations.

Yiangos Charalambous F.C.C.A, is currently the Vice Chairman of UHYAxon Certified Auditors, ex First Vice Chairman of the Hellenic Capital Market Commission, Deputy Senior Partner of KPMG-Greece.

**Date: November 1st, 2017**