Summer 2021

Implementing Best Practices in Human Resources for a Local United Way Organization

Keyona McNeill Bostick
Gardner-Webb University

Consultancy Project
Executive Summary

Organization: Gardner-Webb University School of Education

Project Title: IMPLEMENTING BEST PRACTICES IN HUMAN RESOURCES FOR A LOCAL UNITED WAY ORGANIZATION

Candidate: Keyona McNeill Bostick

Consultancy Coach: Dr. Jeffrey Hamilton

Defense Date: June 29, 2021

Authorized by: United Way of Forsyth County, Cappi Shelton /Human Resources Manager

Approval

This consultancy project was submitted by Keyona McNeill Bostick under the direction of the persons listed below. It was submitted to Gardner-Webb University School of Education and approved in partial fulfillment of the requirements for the degree of Doctor of Education at Gardner-Webb University.

_____   _____
Dr. Jeffrey Hamilton, Faculty Advisor   Date
Gardner-Webb University

_____   _____
Cappi Shelton, Site Advisor   Date
Human Resources Manager

Acknowledgments

I sincerely want to give honor, glory, and thanks to God almighty for giving me the courage to start this doctoral program and for being there every step of the journey with grace, mercy, faithfulness, and love. I know all things are possible when I include God.

I would like to thank my husband, family, and friends for the love, time, support, and patience during this doctoral journey. I want to thank my GWU cohort, professors, and mentors for the support, encouraging words, and knowledge they passed on to me to be successful. I would like to dedicate this to the memory of my parents and brother, who instilled in me determination and perseverance to complete this doctoral journey no matter how impossible it looked at times.

Abstract

IMPLEMENTING BEST PRACTICES IN HUMAN RESOURCES FOR A LOCAL

UNITED WAY ORGANIZATION. Bostick, Keyona McNeill, 2021: Consultancy

Project, Gardner-Webb University.

This consultancy project provides Human Resources (HR) best practices, policies, and

procedures for a small nonprofit organization. The project focused on developing

solutions that will decrease risk and improve performance for the challenges faced in HR

departments. The challenges discovered were inadequate employee personnel files,

absence of compliance policies and training, lack of a health and safety program, and

other HR internal practices. The results of this project included establishing HR policies

and the significance of each policy that was implemented with step-by-step procedures. It

also included solutions to assist with compliance of employee personnel files, compliance

training programs that included Occupational Safety and Health Administration (OSHA)

and Equal Employment Opportunity (EEO) training with written documentation, and

health and safety internal procedures for employees who may suffer an injury along with

a return to work policy. United Way has successfully adopted and implemented the

Employee Personnel File policy, process, and file folder structure; a Compliance Training

Program with the processes; and the initial training being conducted for all employees.

The research methodology included the study of HR information related to policies,

procedures, compliance and risk for nonprofit organizations. The success of the project

has reached the desired outcome and expectation from the organization.

Keywords: human resources policies and procedures, employee personnel files,

nonprofit, compliance training, health and safety

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1   Introduction

1.1   Project Purpose

The purpose of this project was to develop internal policies, procedures, practices, and training for the Human Resources (HR) department in the United Way in support of its strategic plan to ensure that its HR department complies with federal and state laws. The goal was to make these as general as possible to be used by any small nonprofit organization interested in decreasing risk and improving performance within their HR department.

> United Way is a nonprofit organization that focuses on improving education, increasing financial stability among lower-income individuals and families, and broadening access to health care. In collaboration with United Way partners and neighbors, they identify the community's most pressing needs. They seek to address the root causes of those problems through strategic investments and partnerships that achieve measurable, lasting results. United Way vision is a world-class community where no one lives in poverty and EVERYONE holds the power to access opportunities and resources needed to thrive (United Way of Forsyth County, 2021, What We Do Section, para. 1-4).

The HR manager of United Way needs a record management system for employee personnel files that will be in compliance with state and federal guidelines, a health and safety program, and a compliance training program. The challenge United Way faced was an inadequate HR personnel filing system that needed to be updated and improved within federal and state regulations. HR policies, health and safety program, and compliance training are needed, and additional HR processes need to be created and implemented.

The consultancy project focused on developing systematic best practices for the United Way HR team. This project outlined some challenges and opportunities United Way can implement that will assist them with being in federal and state compliance. This project explored HR challenges United Way is currently facing with policies, processes, and procedures. This plan included the benefits of being in compliance and the risks that organizations faced while not being in compliance.

Technical Terms and Definitions
- **Personnel Files**- Files that have information about employees.
- **Records Management System**- Different files that include an employment file, benefits/medical file, employer relations file, performance and payroll files.
- **Process**- How to do things in the organization.
- **Procedures**- United Way steps of ways to do things in the organization.
- **Practices**- United Way internal way of doing things in the organization.

- **Compliance Training Program**- Equal Employment Opportunity (EEO), Health and Safety
- **Occupational Safety and Health Administration (OSHA)**-U.S. "To assure safe and healthful working conditions for working men and women; by authorizing enforcement of the standards developed under the Act" (OSHA, n.d., Introduction).
- **Return to Work-** United Way practices to return to light-duty work after an injury.

1.2 Associated Documents
- Professional Literature Review (Appendix A)
- Personnel Records Management Policy With File Review Access Request Form (Appendix B)
- Employee Personnel File Folder Checklist (Appendix C)
- HR Customer Service Satisfaction Survey (Appendix D)
- Employee Engagement Surveys (Appendix E)
- Compliance Training Policy (Appendix F)
- Training Attendance Acknowledgement Form (Appendix G)
- Health and Safety/Workers Compensation Internal Procedure and Return to Work Practices (Appendix H)

1.3 Project Plan Maintenance

The maintenance plan for the consultancy project included the HR manager (site supervisor), the chief executive officer (CEO), and myself. The HR manager and I met biweekly and planned, modified, oversaw the progress, and implemented each goal from December 2018 to June 2020. To update goals, activities, timelines, responsible people, and due dates for the project, a phased approach, task burn down and Microsoft Project, was utilized. The HR manager reviewed the list and approved items along with updates based on each goal.

The HR manager was very active in working with me to develop and approve the records management system policy and file folders and facilitating training for all employees. The CEO approved or declined information that was submitted to all employees; for example, HR and employee engagement survey and compliance training. Due to COVID-19, the HR manager was not able to participate in person after March 2020, and then she was terminated in June 2020. The project was 80% completed and 75% implemented before that occurred. The new HR manager has been very helpful.

Dr. Jeffrey Hamilton, project coach, reviewed, evaluated, and gave feedback on each milestone through the entire consultancy project.

2 Project Scope

The scope of this consultancy project focused on providing guidance as a subject matter expert on HR best practices to the United Way HR department that will be used in their daily operation. This project included analyzing, developing procedures training, and implementing according to federal and state HR compliance laws. This project did not include selecting the specific employees or facilitating actual training, website building, or technical updates to the client's current system.

2.1 Outline of Partnering Organization's Objectives

2.1.1 Objectives

These objectives included
- developing an internal Personnel Records Management Policy and procedures for the HR department that will bring United Way within federal and state employer compliance standards, while securing the files and maintaining internal customer satisfaction by September 2019;
- designing and implementing a compliance training program with procedures and training for all current and new employees by March 2020; and
- creating a workplace health and safety guidelines to reduce injuries by 25% and provide resources supervisors can utilize.

2.1.2 Success Criteria

- Achievement of the completion of the new Employee Personnel File System.
- Efficient and effective HR policies and processes.
- All employees OSHA trained.
- Keep the original timeline and completion of the Statement of Work.
- Desired outcome met for each that added value to the HR department.
- The HR manager experienced professional growth.
- Customer satisfaction with positive feedback from management on new changes in HR.

2.1.3 Risks

The major risk of this project occurred when the HR manager was terminated from United Way in June 2020. This created a problem for Goal 3 being implemented. The new HR manager was connected with me around November 2020, but the progress has slowed tremendously.

Other probable risks included
- Failure to implement the project
- Project delays
- Resistance to change
- Website update delays

- Donors losing confidence

Mitigate risk of
- Insecure or inappropriate access of employee personnel files
- Identity theft of employee personal information
- Breach of confidentiality
- OSHA audit
- Department of Labor audit
- Employee injury awareness

2.2 Outline of Student's Objectives

2.2.1 Objectives
My objective was to propose a plan of HR practices for the partnering organization that would decrease risk and improve performance.

My objectives for this consultancy project were to
- Develop my skills as a leader to lead more effectively
- Enhance my skills and knowledge as a project manager
- Conduct academic research and serve as a consultant on a project
- Develop skills to advance my professional career to a senior role
- Provide the HR manager with a plan of action and goals for HR to implement to project successfully
- Design and develop objectives and an implementation plan of HR best practices for United Way and other small nonprofit organizations
- Create HR policies, procedures, practices, and training
- Bring the organization and the HR department within compliance of federal and state regulations.

2.2.2 Success Criteria
In addition to Section 2.1.2, the success criteria for the student were
- The project was a success once all the goals were completed and approved by the partnering organization prior to implementation and Dr. Hamilton during the evaluation of the milestones.
- This project plan can be implemented for any small nonprofit organization.
- The project was successful when I observed how efficient and effective the HR manager functioned during tasks that required the new HR processes.
- Success was determined by growth as a transformational leader for myself.

2.2.3 Risks
The probable risks were
- Lack of support and priority from the new HR manager

- Technology
- Delays and time commitments
- Termination of the project after the HR manager was terminated
- Buy-in on surveys for the organization
- Organizational constraints

2.3 Definitive Scope Statement

This project was responsible for the creation of Implementing Best Practices in HR for a Local United Way Organization and other small nonprofit organizations. The project included designing, creating, and implementing policies, procedures, practices, and compliance training to mitigate risk, improve performance, and align with the vision and mission. This project is only to improve the Employee Records Management System, OSHA and EEO Training, and a Health and Safety Program.

3 Deliverables

3.1 To Partnering Organization

Goal 1: Develop internal Personnel Records Management Policy and Procedures for the HR department that will bring United Way in compliance with federal and state law for nonprofit organizations, while securing the files and maintaining internal customer satisfaction above 80% for the new changes that will be approved by the Chief Operating office by September 30, 2019.

- **Personnel records management policy:** A documented plan for federal and state laws and regulations for employee personnel files and practices for consistent records management and retention.
  Estimate Due Date: September 30, 2019 (Appendix B)

- **Personnel folder checklist:** A list that has what should be kept in each personnel folder.
  Estimate Due Date: September 30, 2019 (Appendix C)

- **HR department survey:** A questionnaire used to measure the perceptions employees have about the department. The information is useful for customer service, performance, and developing practices within the HR department.
  Estimate Due Date: September 30, 2019 (Appendix D)

- **Employee Engagement Survey:** A questionnaire used to measure the engagement level of the employees and whether they are engaged or disengaged.
  Estimate Due Date: September 30, 2019 (Appendix E)

Goal 2: Create a mandatory compliance training policy and design and deploy a mandatory compliance training for all 43 current United Way employees and future new hires to be trained and to fully comply with federal and state laws that will be approved by the Chief Operating office by March 31, 2020.

- **Compliance Training Policy**: A policy that educates employees on the policies, procedures, and practices required to prevent violations of the laws and regulations in the workplace.
  Estimate Due Date: March 31, 2020 (Appendix F)

- **Training Signature Form**: A form that acknowledges that employees have attended a training session.
  Estimate Due Date March 31, 2020 (Appendix G)

- **EEO Supervisor Training**: Employee Equal Opportunity Training. This training will ensure that supervisors consistently enforce regulations

without discriminating and quickly identify potential problems before they get to unlawful discrimination.
Estimate Due Date: March 31, 2020 Created by ADP (Third-Party Vendor)

- **OSHA Training PowerPoint:** OSHA employer requirement training to workers.
Estimate Due Date: March 31, 2020 Created by ADP (Third-Party Vendor)

Goal 3: Implement workplace health and safety guidelines for United Way employees to reduce injuries by 25% by the end of March 31, 2021.

- **Health and safety/workers compensation procedures and return to work practices**: Written processes that ensure employees who experience an on-the-job injury or illness receive medical care and equitable benefits. Also, to promote the recuperation process of work-related injuries while decreasing expenditures and returning the employee to modified work. Estimate Due Date: March 31, 2021 (Appendix H)

3.2 From Student
- Served as an HR consultant to the organization.
- Provided leadership and guidance as the project consultant for "Implementing Best Practices in Human Resources for a Local United Way Organization" from start up to implementation.
- Facilitated meeting with the payroll/HR vendor ADP about developing an employee handbook, EEO training, and OSHA training.
- Consulted with the CEO to discuss and review the overall project.
- Created and organized United Way paper employee personnel filing system.
- Gathered feedback using the observation method.

4   Project Approach

4.1   Project Lifecycle Processes

The overall project was split into phases from December 2018 to March 2021. The work was completed by the student as the project consultant, the CEO, and the HR manager of United Way; and each phase had to be approved. The overall objective of the project was to ensure that the organization was in compliance with federal and state laws.

Kickoff Phase:
- Consulted with the CEO and HR manager to identify and discuss organizational challenges.
- Created and presented a detailed project work plan to the HR manager and CEO for review and approval.
- Utilized a Microsoft Project to keep track of how the work got done and who was responsible for doing it, timelines, and deadlines.
- Attended site meetings on a biweekly basis.

Policy and Training Design Phase:
- Worked with United Way HR manager to gather requirements and information to create policies and training and establish metrics.
- Attended site meetings on a biweekly basis.

Build Phase:
- Completed all policy development for File Folder, Mandatory Compliance Training, and Workers Compensation for approved policy design.
- Developed an internal Personnel Records Management Policy and procedures that will bring the client in compliance with federal and state law for nonprofit organizations.
- Updated Microsoft Project chart after each task.
- Attended site meetings on a biweekly basis.

Implementation Phase:
- Implemented the new policies and training programs that included the Personnel Records Management Policy, Mandatory Compliance Training Policy, and Workers Compensation Policy with training for all policies. Updated Microsoft Project chart after each goal was completed.
- Attended site meetings on a biweekly basis.

Survey Phase
- Took a class on Microsoft forms to learn to develop surveys.
- Created surveys for customer satisfaction for new policies and training.
- Gathered and analyzed feedback from informal observation and verbal feedback only due to being declined to distribute the survey within the organization.

- Completed updates during this phase based on the feedback from the end users and management.
- Attended site meetings on a biweekly basis.

Training Phase:
- Provided training documentation and material for the training facilitator in accordance with the approved training plan. The HR manager facilitated the training to all 43 employees over a 2-week period.

Project Handoff/Closure:
- Provided the United Way with all documentation in accordance with the approved project plan.
- Presented the project recommendations and closure report to United Way for review and approval by May 31, 2021.

4.2 **Project Management Processes**

The program management processes included phases (4.1) monitored and evaluated up to the successful completion and implementation of each goal. This process also includes completing milestones reviewed by the consultancy advisor each semester for the consultancy project. HR Best Practices Team included consultant, HR manager, and CEO.

Meetings held:
- Regular Monthly Meetings
  - ➢ Created dates to meet regularly along with an agenda and goals.
  - ➢ Consulted onsite with the HR manager (site supervisor) on a monthly basis during the project life cycle 2018-2020. During these meetings, we discussed the challenges, ideas, performance, possible solutions, and ways to mitigate risk as well as employee engagement.
  - ➢ Logged risk and changes on the Microsoft Project Plan spreadsheet.
  - ➢ Created a training agenda for OSHA and compliance training. After COVID-19, we continued to have monthly meetings by zoom and telephone calls.
  - ➢ Discussed new companies and bids for a new third-party HR/payroll vendor.
  - ➢ Identified, analyzed, and monitored possible risks with the HR manager. Discussed risk management during the monthly meetings to determine the level of risk for each phase (4.1). All phases were low-level risk except the survey and implementation phase; they were medium-level risk due to executive-level leadership delays or declines. We updated some of the processes to mitigate what we could.
  - ➢ Met biweekly during the time we implemented parts of the project (records management system, OSHA training, and policy creation) or if we made changes.
  - ➢ Discussed possible risks and any constraints that altered the deadlines.

- Miscellaneous Meetings
  - ➢ Met with the CEO and the management team at the initial proposal and scope of the project.
  - ➢ Met with the CEO to get approval for the Personnel Records Management Policy.
  - ➢ Met twice with the HR third-party vendor ADP to discuss updating the Employee Handbook with the new policies, procedures, practices, and training.

4.3 Project Support Processes

This project was supported by the CEO, HR manager, consultancy advisor, and me (consultant). I worked closely with the HR manager who supported all phases of the project and served as the site supervisor. I was physically available and present on-site for the entire project except when COVID-19 came in March 2020. During COVID-19, I was available via zoom, email, and telephone. We met regularly to discuss all steps, decisions, changes to the project, feedback, and checkpoints and measured the progress of the new HR deliverables. All changes with the original schedule and the project scope were always done in advance with an alternate schedule provided. The consultancy advisor provided feedback and support during each milestone.

4.4 Organization

4.4.1 Project Team

Implementing Best Practices in HR for a Local United Way Organization Team included the following:
- Doctoral candidate (consultant, project manager, HR intern)
- HR manager (site supervisor)
- Dr. Hamilton (consultancy advisor)
- CEO
- ADP (third-party HR/payroll vendor)

The project was organized using a Microsoft Project Spreadsheet (Section 6).

4.4.2 Mapping Between United Way and Student
- Doctoral candidate (student)-provided proposal and oversaw project
- HR manager (site supervisor)-provided challenges and worked to resolve
- Dr. Hamilton (consultancy advisor)-provided feedback from milestones
- CEO- approved tasks of the project
- ADP (third-party HR/payroll vendor)-provided a platform to deploy HR communications to employees

Student

Consultancy Advisor

Chief Executive Officer

Human Resources Manager

ADP
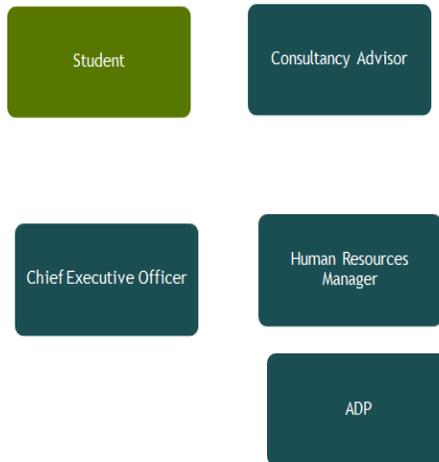
5   Communications Plan

Who needs the info-Stakeholder	What info do they need	Why do they need it	When will they get it	How will they get it
Chief Executive Officer	Challenges identified	To determine the need for project	Fall 2018	Site face to face meeting
	Project Scope and possible financial responsibility	To understand the overall project and Return on Investment	Spring 2019	Site face to face meeting
	Project Approval	To get support buy-in from executive leadership	Spring 2019	Site face to face meeting
HR Manager */Site Supervisor*	Project Plan- objectives, task activities, and measurable goals	To gain an understanding of the need, scope of the project and communicate information to employees	Spring 2019	Site face to face meeting
	Phases of Work	To be able to fully support the project	Spring 2019	Site face to face meetings Zoom Meetings
	Status of goals/ Measure performance	To make decisions or modification about the project	Ongoing	Emails
	Risk Assessment/ Issues/	Identify and measure risks Provide Resolutions	Fall 2019	Site face to face meetings Zoom Meetings
	Delays/Modifications	To get approval	Various Times	Monthly Meetings
	Employee morale and engagement survey/ Observation/Informal interview	Gathered feedback to see if employees are engaged or not	Fall 2019	Email link/ Microsoft Forms Observing on-site/informal conversations
Management Team	Training on new	To get buy-in for	Spring 2020	Site face to face

	processes	a successful project / training material to educate and enhance overall understanding of new HR practices		Training
ADP (Third Party Vendor)	ADP Internal HR/Payroll Site	To update Employee Handbook with new policies and procedures	Summer 2020	Conference call meetings
Employees	New HR Policies, procedures, practices	To be transparent about new HR requirements and expectation	Spring 2019 - Summer 2020	Employee Handbook
Technology Department	Website update	To communicate with employees to make improvements to the employee site	Fall 2020	Website
Partnering Organization-CEO, HR Manager, and Management Staff	Implementation Period	To put the plan into effect	Summer 2019- Summer 2021	Site face to face Training Zoom Email
	Progress Report	Provide a summary of outcomes	Spring 2021	email
	Project Conclusion/ Final Draft	Provide Desired Outcome	Spring 2021	Email/Zoom/ Presentation
	Recommendations / Final Handoff	Provide all documentation, recommendations for ongoing success	Spring/Summer 2021	Email/Zoom/ Presentation

6 Work Plan

6.1 Work Breakdown Structure

Activities	Duration	Start	Finish	Responsible Individual
Presented United Way with the project proposal with timelines and received signatures	1 day	12/17/2018	12/17/2018	HR Manager/Project Mgr. (Student)/CEO
Gather requirements and information for the policies, training, and metrics. Create Scope of Work (SOW)	55 days	12/18/2018	3/4/2019	Project Mgr. (Student)
Present Draft Scope of Work (SOW) for review to United Way	26 days	3/5/2019	4/9/2019	HR Manager/Project Mgr.(Student)/CEO
Scope of Work Updates (SOW)	11 days	4/5/2019	4/19/2019	Project Mgr.(Student)
Goal 1: Develop an internal Personnel Records Management Policy and procedures for the HR department that will bring United Way in compliance with federal and state law for nonprofit organizations and while securing the files and maintaining internal customer satisfaction above 80% for the new changes that will be approved by the Chief Operating office by September 30, 2019.	**116 days**	**4/22/2019**	**9/30/2019**	
Create a launch checklist. Update it monthly by 5 p.m. on the last Friday of each month	3 days	4/22/2019	4/24/2019	Project Mgr.(Student)
Get Signature Approval for SOW	3 days	4/24/2019	4/26/2019	Project Mgr.(Student)
I will attend a 365 Microsoft Forms class to learn to create surveys for the HR dept.	1 day	4/29/2019	4/29/2019	Project Mgr.(Student)
Create Personnel Records Management Policy	29 days	5/1/2019	5/29/2019	HR Manager/Project Mgr.(Student)
Present Draft for approval (HR Manager, CEO, and possible Legal department)	5 days	6/14/2019	6/18/2019	Project Mgr.(Student)
Create a folder checklist form of what should be included in each file folder -Email monthly status updates of the file folders and the policy to client by 4 p.m. on the last Friday of each month	6 days	6/21/2019	6/26/2019	Project Mgr.(Student)
Create a File Folder request forms to keep track of who is viewing the employee file folder Develop the HR survey	3 days	6/25/2019	6/27/2019	Project Mgr.(Student)
Create Survey and get approval	1 day	7/1/2019	7/1/2019	HR Manager/Project Mgr.(Student)
Send out HR survey to all employees and use feedback to improve the department	35 days	7/15/2019	8/18/2019	HR Manager

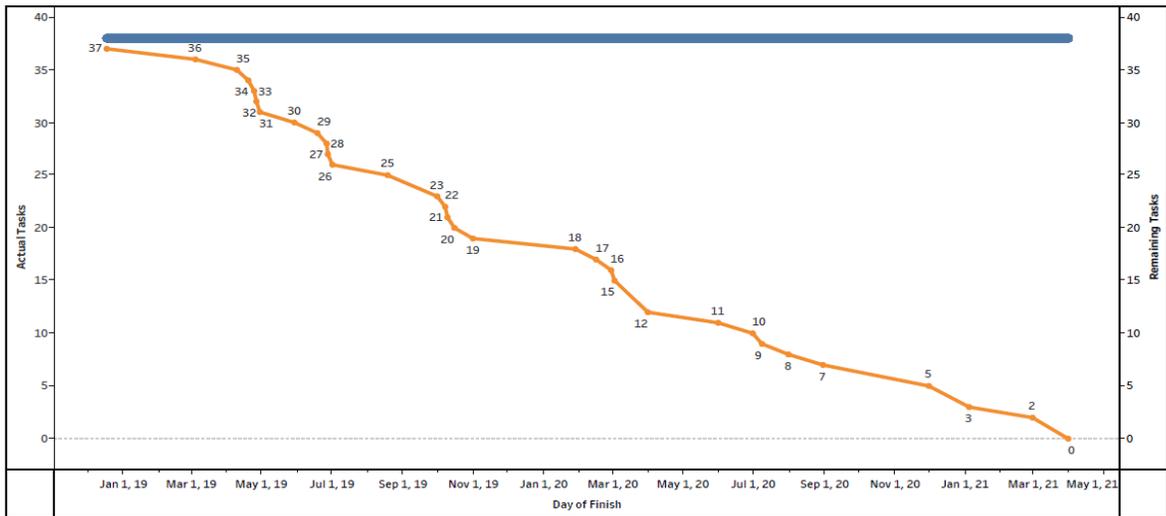|				
I will have this project completed Goal #1	1 day	9/30/2019	9/30/2019	HR Manager/Project Mgr.(Student)
Live implementation		9/30/2019	9/30/2019	HR Manager/Project Mgr.(Student)
Goal 2: Create a Mandatory Compliance Training policy and design and deploy a mandatory compliance training program for all 43 current United Way employees and future new hires to be trained and to fully comply with federal and state laws that will be approved by the Chief Operating office by March 31, 2020.	**129 days**	**10/3/2019**	**3/31/2020**	
Create a launch checklist. Update the task list monthly by 5 p.m. on the last Friday of each month	3 days	10/3/2019	10/7/2019	Project Mgr.(Student)
Meet with ADP about the training they currently provide	4 days	10/4/2019	10/9/2019	HR Manager/Project Mgr.(Student)
Develop a Mandatory Compliance training policy with the HR manager and get approval	1 day	10/15/2019	10/15/2019	HR Manager/Project Mgr.(Student)
Provide policy interpretation to the HR Manager and Chief Operating officer and get approval	1 day	10/31/2019	10/31/2019	Project Mgr.(Student)
Design Mandatory Compliance Training Program (OSHA, EEO, etc.)	1 day	1/28/2020	1/28/2020	HR Manager/Project Mgr.(Student)
Set up training groups of 10 employees to train each month until all are trained. All new hires will go through training within 60 days of the hire date.	1 day	2/15/2020	2/15/2020	HR Manager/Project Mgr.(Student)
Publish all new policies and training material to the company website.	2 days	2/28/2020	3/2/2020	HR Manager/Project Mgr.(Student)
Complete quarterly audits to make sure all employees are aware and have received training on all compliance policies	1 day	2/28/2020	2/28/2020	Project Mgr.(Student)
Verify that all employees have been trained and include a signature form in their personnel folders	1 day	3/31/2020	3/31/2020	Project Mgr.(Student)
I will have this project completed Goal #2	1 day	3/31/2020	3/31/2020	HR Manager/Project Mgr.(Student)
Live implementation		03/31/2020	03/31/2020	HR Manager/Project Mgr.(Student)
Goal 3: Implement workplace safety guidelines for United Way employees to reduce injuries by 25% by the end of March 31, 2021.	**219 days**	**5/31/2020**	**3/31/2021**	
Create and launch a plan for the execution	1day	5/31/2020	5/31/2020	Project Mgr.(Student)

Develop a workers compensations training program plan with the HR manager that will include mandatory training for all supervisors and employees	1 day	6/30/2020	6/30/2020	Project Mgr.(Student)
Communicate to supervisors and employees of the initiatives to reduce workplace injuries by 25%	1 day	7/8/2020	7/8/2020	HR Manager
Demonstrate safe work habits by following the proper protocols and procedure 100% of the time during rating period	183 days	6/1/2020	11/30/2020	Employees
Analyze and address existing risk sources with supervisors and develop programs to address anticipated risk sources. Create a return to work program for employees that may have work restrictions	1 day	7/31/2020	7/31/2020	HR Manager/Project Mgr.(Student)
Start training all supervisors until all are trained	1 day	8/30/2020	8/30/2020	HR Manager/Project Mgr.(Student)
Train a group of 10 employees every month until all employees are trained.	1 day	11/30/2020	11/30/2020	HR Manager/Project Mgr.(Student)
Run reports to see if the organizations had any injuries to get metrics. Achieve at least a 98% accident-free work environment.	5 days	12/31/2020	1/4/2021	HR Manager/Project Mgr.(Student)
Monitor, track, and follow up on the progress of all new policies and training. Run risk assessments and impact of possible audits and assumptions. Perform surveys to the employee population.	59 days	1/1/2021	2/28/2021	HR Manager/Project Mgr.(Student)
I will have this project completed Goal #3	1 day	3/31/2021	3/31/2021	HR Manager/Project Mgr.(Student)
Draft Documentation and Recommendations	1	04/01/2021	04/17/2021	Project Mgr.(Student)
Documentation and Recommendation Handoff of entire project	1	04/30/2021		Project Mgr.(Student)

6.2 Resources

Activities	Non-People Resources (provided by United Way)	Timeline
GOAL 1: Develop an internal Personnel Records Management Policy and procedures for the HR department that will bring United Way in compliance with federal and state law for nonprofit organizations and while securing the files and maintaining internal customer satisfaction above 80% for the new changes that will be approved by the Chief Operating office by September 30, 2019.	-Designated space for File cabinets and meetings -File Cabinets with locks -File Folders -Computer/Laptop -Printer, Labels, Paper -Internet -Microsoft Forms software -Microsoft Word/Excel software -Microsoft Project software -Google Docs -Günter Software -Policies -Personnel File Folders -Electronic Survey -Copy of current employee handbook -Zoom and email -Time	Fall 2018-Fall 2019
GOAL 2: Create a Mandatory Compliance Training policy and design and deploy a mandatory compliance training program for all 43 current United Way employees and future new hires to be trained and to fully comply with federal and state laws that will be approved by the Chief Operating office by March 31, 2020.	-Designated space for trainings and meetings -Binders -Paper -Ink -Computer/Laptop/Printer -Internet -Microsoft PowerPoint/Excel software -Google Docs -Overhead Projector -Sign in Train Sheet -Acknowledgement Forms -Time -Zoom and email	Fall 2019-Spring 2020
GOAL 3: Implement workplace safety guidelines for United Way employees to reduce injuries by 25% by the end of March 31, 2021.	-Binders -Paper -Ink -Printer -Microsoft Word software -Google Docs -Zoom and email -Time	Spring 2020-Summer 2021

Finish Date
All values

Task Burndown

Actual Tasks (left axis) / **Remaining Tasks** (right axis)

37, 36, 35, 34, 33, 32, 31, 30, 29, 28, 27, 26, 25, 23, 22, 21, 20, 19, 18, 17, 16, 15, 12, 11, 10, 9, 8, 7, 5, 3, 2, 0

Day of Finish — Jan 1, 19 · Mar 1, 19 · May 1, 19 · Jul 1, 19 · Sep 1, 19 · Nov 1, 19 · Jan 1, 20 · Mar 1, 20 · May 1, 20 · Jul 1, 20 · Sep 1, 20 · Nov 1, 20 · Jan 1, 21 · Mar 1, 21 · May 1, 21

Project Name, Measure Names
United Way of Forsyth County Project, Project Task Count
United Way of Forsyth County Project, Remaining Task Count

7 Milestones

Milestone Number	Title	Forecast date
1	Project proposal-United Way CEO	Fall 2018
2	Goals, scope of work, objectives, and outline of project	Spring 2019
3	Organizational deliverables	Spring 2019
4	Microsoft Project Spreadsheet	Spring 2019 - Spring 2021
5	Microsoft Forms to create an HR Survey and Employee Engagement Survey	Spring 2019
6	HR Departmental Survey and an Employee Engagement/ Morale Survey	Spring 2019
7	Employee Records Management System policy with new file folders (Employment, Benefits with Medical Information, Payroll, Employer Relations and Performance Management for all current employees	Summer 2019-Fall 2019
8	Training Program	Spring 2020
9	Health & Safety Program/Workers Compensation	Summer 2020
10	Organizational recommendations	Fall 2020
11	Draft of handoff	Spring 2021
12	Approval from Consultancy Advisor	Spring 2021
13	Final Project with Recommendations complete with all documentation to United Way	Spring/Summer 2021
14	Executive Summary/Defense Presentation	Summer 2021
15	Personal Reflection, Goals, Achievements	Summer 2021

8   Metrics and Results

Metrics
The consultancy project metrics and results were based on the scope of work and mitigating the risks identified while ensuring employee morale and engagement levels were at an 80% satisfaction rate.

An HR Customer Service and Employee Engagement/Morale Survey was created through Microsoft Forms to measure satisfaction and engagement but the CEO did not allow it to be distributed. The observation and fieldwork method was used as an alternative to collect data as a complete participant observer without disturbing the natural activity of the United Way. Ethnography was the methodology used for the qualitative data, and Likert scale questions (see Appendix E) were used for collecting quantitative data.

Data collected:
- Review of current organization documents
- Research documents collection
- Literature Review for Implementing Best Practices in HR for a Local United Way Organization
- Observational and fieldwork data collection (60 hours)
- Field memos: Informal conversations with staff, volunteers, and vendors
- Informal interview surveys
- Unapproved semi-structured interview questions from 10 employees (five male, five female) to follow up and clarify findings from initial observations
- Feedback from implementation for Goal 1 and Goal 2.

Results
- Completed and implemented Goal 1 and Goal 2.
- Goal 3 was completed but was not implemented due to COVID-19 and employees teleworking; no injuries were reported for Spring 2020-Summer 2021.
- HR manager increased her leadership skills and improved her daily workflow by 2 hours per workday.

Recommendations From the Likert Scale Survey Questions (See Appendix E)
In this small population survey, respondents provided valuable feedback on how United Way can improve. The following themes emerged:
- Leadership training
- Pay more attention to best practices when it comes to policies and procedures as well as successes and failures, challenges, and lessons learned.
- Focus on new employees, including new initiatives and onboarding.
- Improve accessibility, functionality, visual appeal, and user experience of online professional development.

- More details and resources are needed for employee evaluations including. systematically sharing knowledge and identifying standard measures and feedback sessions.
- Focus on integrity and transparency in the organization, including issues of governance and safeguarding.

Fieldnotes

Date	Time	Time Observed (minutes)	Participant	# attended	Observation/ Quote/activities being observed, detailing activities of interest	Location/ Surroundings	Personal thoughts	visit
01/27/2020	9:00 a.m.	120	HR Director	1	Issues	United Way HR Office - small area, desk with 3 chairs and 2 tall file cabinets	The HR Director - excited about the new venture - has not received any additional money for her additional HR duties- Leadership is a huge problem. The HR dept. is lacking several vital EEO processes, employee handbook, and OSHR training. Need help with OSHR policy and training, they have nothing	in person
02/4/2020	11:00 a.m.	160	HR Director & CEO	2	Meeting about conducting a survey for HR. She wants to know what to improve on.	Conference Room- large room with 8 tables and 50 chairs. United Way decor on walls; fundraiser giving scale on wall	The CEO is clearly unaware of what is going on in the organization. Based on the interviews, she doesn't care and plans to run the organization her way. She doesn't care what others think and doesn't care to know. She does understand that the organization is lacking some vital HR processes and procedures. She has approved OSHA policies and training to be provided to employees to be able to meet the minimum state requires	in person
02/18/2020	2:00 p.m.	80	Staff Meeting	40	Fundraiser; community awareness;	Conference Room- large room with 8	I noticed that the leadership team is not concerned with policies and practices for	in person

Date	Time					Location		
					financial business; new initiatives; years of service awards	tables and 50 chairs. United Way decor on walls; fundraiser giving scale on wall	the organization. They are not concerned about risk or legal matters either. They have expressed that training staff on EEO policies is a waste of time and unnecessary.	
2/28/2020	6:00 p.m.	140	Staff Social Event	85	Fundraiser event/ chili cook-off	Event Room at Law Firm	I observed different staff members grouping together with people they are very familiar with. Lots of laughing and weird looks towards leadership from the staff. Everyone appears to have fun until the CEO made a speech about how happy they should be for a 2% COLA increase she is giving them. She started off positive and ended very negatively.	in person
03/03/2020	1:00 p.m.	120	Leadership/ Volunteers	18	Staff meeting on rising number of homeless in the county; fundraising; more donors	Conference Room- large room with 8 tables and 50 chairs. United Way decor on walls; fundraiser giving scale on wall	Volunteers are overwhelmed with the amount of work that is needed. Lots of attitudes and negative behavior in the meeting.	in person
4/16/2020	7:00 p.m.	30	Social Media	1		zoom/phone	Director need assistance with new benefit lineup for the upcoming year and COVID-19 HR policy creation	phone/Skype, instant messaging, email, Twitter, LinkedIn, and Facebook
		620						
Total Hours		10.33333333						

9 Risks, Constraints, Assumptions

9.1 Risks

Risk Description	Mitigation Plan (what to do to avoid the risk occurring)	Contingency Plan (what to do if the risk occurs)	Impact (what the impact will be to the project if the risk occurs)	Likelihood of occurrence (e.g., %, or high/medium/low)
Staying on schedule with the entire project	Eliminating multiple task duties and adding additional support (volunteers) to this project. The elimination of multiple task duties will keep the HR Manager focused on their immediate tasks, which lessens the probability of schedule conflict. This will reduce risk within the project with scheduling and reach the end goal on time.	Create a task list and timeline for the HR Manager and encourage her to stay on task. I will increase the number of scheduled follow-up meetings to make sure everything is on schedule. Monthly meetings were increased to biweekly meetings.	High- The project may fail and not be completed or implemented.	Low
Additional staff member will trigger new laws and create risk if United Way hire over 50 employees	United Way is currently at 47 employees and they are thinking about hiring more staff. I will have a conversation with the CEO about the risk of hiring over 50 employees and the requirements to offer FMLA under federal guidelines. I will explain that this will create additional duties for the current HR Manager. Also, they will need to have a required place for the FMLA records due to HIPPA. I will inform them that all supervisors will need to be trained on FMLA federal laws, processes, and forms. HR would also need to train managers to spot and respond to possible FMLA time off which will cost time and resources and	Create policies and processes before they reach 50 employees. Create mandatory training for supervisors and senior management for future needs N/A They have decided not to go over 50 employees as of 02/01/2021 ever	High- This will create additional work, rules, and regulations.	Low

	track employee time while on FMLA.			
Suggesting a new direction of new policies may be a risk for the organization. There may be a cultural risk when requiring employees to develop their leadership skills.	I will invite the management team to attend a presentation about the new policies and procedures to make sure I have the necessary buy-in. I will speak with the HR Manager about working with upper management to emphasize the importance of the new policies, procedures and attending training.	Alternative practices for the HR dept.	Medium - Without management buy-in, this project would not benefit the organization.	Low
Technology	I will investigate outsourcing a third-party administrator for their website and sending out the surveys. I have prepared a brief presentation for management that shows how the project is making a contribution to the organization by getting them in compliance with state and federal laws.	Get an estimate from a third-party vendor. Present the estimate and ideal to senior management. Hire a third-party vendor for technical services. Send out the employee engagement survey anonymously, get results and make improvements. Next, I will request a skill set assessment of the Information Technology staff. Also, I will suggest that the internal Information Technology staff of United Way receive updated training on survey tools and additional software that will allow them to be more efficient and effective.	High-The website is one of the main sources for communicating with employees. Information can be emailed out to all employees as an alternative	Medium
Change in Site Supervisor	HR leadership change was not predictable	The consultant will continue with the project.	High-Communication Void with Consultant and partnering organization	High

9.2 Constraints
- The major constraint for this consultancy project was the HR manager being terminated, which left a void of communication with the partnering organization and me for 5 months.

● Another major constraint was the COVID-19 pandemic which limited the availability to implement and measure Goal 3 (Workers Compensation injuries) due to employees teleworking.
● Lack of buy-in from leadership to distribute the HR and employee engagement surveys was a constraint, but I was able to find alternate ways to collect feedback.

9.3 Assumptions

Below are the key assumptions used in preparing "Implementing Best Practices in Human Resources for a Local United Way Organization" for United Way covering the period of December 2018 to April 2021. Regulatory discussions that alter the assumptions contained within this project may change the risk profile and hence require modification of proposals to achieve an acceptable level of risk and financial return.

● United Way desires to put forth a good faith effort to its stakeholders.
● COVID-19 is going to impact the United Way.
● The same leadership will be in place throughout the consultancy project period.
● Leadership will be a challenge in the near future to the organization.

10 Financial Plan

Summarized year-to-date budget performance. Below is the actual cost of the project from 12/18/2018 to 4/10/2021. Time was the significant cost used for the project, which was calculated based on staff average wage rate per hour. I budgeted $175 for supplies; see below.

Activity/Task/ Items	Actual Cost as of 4/10/2021	Projected rate	Quantity (hours)
HR Manager Hourly Rate	$15,382.40	$34.96 per hours	440 hours used towards this project
CEO Rate	$1225.92	$76.62 per hour	16 hours
Technology Rate	$152.00	$38.00	4 hours
ADP Payroll Upgrades for Policies and Handbooks	$172		2 hours
ADP Payroll Meetings	3 Free (Meetings)	$0	7 hours
Office Supplies for Personnel Folder Filing System upgrade	$150 (Paper, folders, labels, ink for the Training acknowledgment form and OSHA PowerPoint print out for 43 employees)		
Training	43 employees @ 45 minutes $1,777.30	Average hourly rate $31 per hour	43 employees @ 45 minutes
Total	$18,859.62		

11 Quality Assurance Plan

This consultancy project utilized the Plan, Do, Study, Act model for the quality assurance plan from 12/18/2018 to 3/31/202 for the goals listed below.

Goals:
- Developed a Personnel Records Management Policy and procedures and tested between 4/22/2019 to 9/30/2019
- Created a Mandatory Compliance Training policy between 10/3/2019 to 3/21/2020
- Implemented workplace safety guidelines for United Way from 4/01/2020-present

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Plan- **What exactly are we going to do? Create Project Scope**

- Evaluate the current filing system
- Research nonprofit HR laws
- Create a secure filing system process
- Schedule time to remove the old system
- Remove and replace the current filing system with the new and improved system
- Create a survey to determine how the management team likes the new processes
- Secure the files and maintain internal customer satisfaction above 80% for the new changes approved by the Chief Operating office by September 30, 2019.
- Design and deploy a mandatory compliance training program for all 43 current employees and future new hires.
- Train all staff fully to comply with federal and state laws that will be approved by the Chief Operating office by March 31, 2020.
- Create a safety and health program to reduce injuries by 25% by the end of March 31, 2021.

DO - **When and how did we do it? Design & Train**

- Launched a checklist for the actions needed. Created a Personnel Records Management Policy. Researched other policies for-profit and nonprofit. Consulted every 2 weeks to discuss the research and ideas for the procedure. Created a folder checklist form to be included in each file folder. Created a folder system with new folders (personnel, benefits, performance mgmt., employer relations, etc.). The new process and filing system were implemented. A survey was created to evaluate new strategies. The survey was never sent out to employees to evaluate.
- Documented problem: No way to receive feedback information from employees who used the new processes. No data analysis.
- Implemented the training program.
- Trained all 43 employees and update their performance folders with signed certificates of completion.

- Decreased the risk from an audit finding for not being in compliance
- Researched workplace safety and other workers comp problems.
- Created some guidelines.

STUDY- **What were the results? Fidelity check and monitor performance**

- Observed and evaluate all new processes to see how they are going quarterly.
- Find alternate ways to get feedback from other employees without completing a formal survey.
- Continue to be more efficient and organized with the new processes.
- The agency complies with some policies.
- Measure the time it takes the HR manager to use the filing system and retrieve information for employees.
- The HR manager learned about different efficient procedures and processes for the department.
- Positive feedback and direct observations served as measurements for evaluations.

ACT - **What changes are we going to make based on our findings? Improvements**

- Adopted all new changes under the "Implementing Best Practices in Human Resources for a Local United Way Organization" scope of work. Discontinue the old way of handling employee personnel files.
- Continued without having formal surveys completed.
- The monthly effectiveness and efficiency evaluation will be complete.
- Verbal feedback from the management staff who utilized the new HR processes and training was valuable for new updates. For example, 1. Email the OSHA PowerPoint training prior to the training; 2. Provide filing system access form on the website for easy access; and 3. Provide all new supervisors with all EEO training within the first week of hiring.

Repeat the PDSA Cycle

Appendix A

Professional Literature Review

This is the review and analysis of the recent literature related to Implementing Best Practices in Human Resources (HR) for a Local United Way Organization. This review is written for the United Way but may be utilized to improve the HR department's policies, procedures, and practices for other nonprofit organizations. "Even though nonprofit organizations generally operate with limited resources, laws governing employers—which may impose costly demands—often apply equally to both nonprofits and businesses" (5 Key HR Issues Facing Nonprofit Organizations, 2016, para. 5).

The United Way's challenge is that their HR department's employee personnel records/filing management system and their policies need to be updated in compliance with laws and regulations. Another challenge facing this organization is the lack of compliance training programs and a health and safety program with established guidelines in the event an employee is injured on the job.

My goal is to provide a training program and some best practices that will assist with decreasing multiple challenges and risks within HR. Compliance training is important because it serves as an opportunity for an organization to become a more competent, effective, and efficient workplace.

This review is based on multiple sources about HR, nonprofit, the best practices, and policies for small organizations. These articles are organized and sorted using the thematic review of literature, which I organize around a topic or issue.

This literature review is organized into three sections. The first section discusses HR employee records management. The second addresses HR policies, procedures, and

practices. The third addresses compliance and risk in an organization. The last section offers a summary and suggestions.

HR Employee Records Management

> Murphy Law Group (2017) defined employee records as any
>
> record kept by an employer that identifies an employee, to the extent that the
>
> record is used or has been used, or may affect or be used relative to that
>
> employee's qualification for employment, promotion, transfer, additional
>
> compensation or disciplinary action. (para. 5)

Employee personnel files hold delicate records, such as employment applications, background checks, letters of recommendation, documentation of internal investigations, and sensitive data about other individuals (Martucci & Shankland, 2011).

> All employers must maintain records regarding employees because, (1) it makes
>
> good business sense to have personnel files and records that are well organized;
>
> (2) some federal and state laws mandate that employers keep detailed information
>
> about their employees and prescribe the length of time it should be kept, such as
>
> wage and hour laws and safety and health laws; and (3) the day will probably
>
> come when these files and records will be needed for a hearing or litigation.
>
> (Muller & Books, 2014, p. 247).

Currently, United Way is not maintaining proper and secure employee personnel files, which means they are operating outside of state laws and the Health Insurance Portability and Accountability Act (HIPAA) regulations by allowing drug tests, I-9's, medical information, and financial and employment records together in the same file folder.

To maintain a solid legal footing, a good paper trail is needed. First, you need a good history of an employee's tenure with the company, which you can establish by keeping organized files. Second, you need written policies on employee record management that establish the company's expectations and you need to communicate those to your employees.

Written policies can nip misunderstandings in the bud before they turn into pitched legal battles. Employee personnel files provide a cogent point of reference when you discuss problems with an employee, increasing the likelihood of reaching an amicable resolution. And in a worst-case scenario, employee record management policies can help you defend yourself in legal proceedings, showing that you treated employees consistently and fairly. (Steingold, 2017, p. 54)

An employer should keep different types of employee personnel files, some legal and some for employment purposes, so the employer has a precise view of an employee's employment history. "Documentation of employee personnel, medical documentation, payroll, records of contribution and achievement, disciplinary notices, promotions, I-9's [Right to work in the U.S], performance development plans, and ADA, all belong in multiple separate personnel files" (Complying With Employment Record Requirements, 2018, para. 4).

Research suggests that some of the best practices for employee files are to make sure they are confidential and kept in a secure location. Steingold (2017) stated,

to make them available only to people in your company who have a legitimate business need to have access to the files, such as managers, who must make a

decision about promotions and discipline. Inform company personnel that the information in the files must remain confidential. (p. 56)

"An employee's medical records should be kept separate and apart from the general personnel file" (Viau, 2015, p. 258). Employers collect medical information regarding employees for many reasons, including processing health and life benefits, evaluating the fitness for duty, addressing disability and workers' compensation issues, and considering a leave of absence; ad each purpose can impose different record-keeping obligations (Viau, 2015, p. 258). "Employers often also collect information regarding their obligations under the Americans with Disabilities Act (ADA). ADA requires that employers implement reasonable workplace accommodations for qualified employees with disabilities" (Viau, 2015, p. 259). To meet this obligation, an employer must have an understanding of the physical or mental limitations that may affect the employee's ability to perform the job duties. "Often, this includes gathering medical histories and job-related medical examinations. Accordingly, employers should create and maintain a separate, confidential 'medical file' for each employee for whom the employer collects medical information" (Viau, 2015, p. 259).

"An effective workplace records policy is the blueprint for compliance with federal and state laws and regulations, as well as the practical guidance for consistent and effective records management and retention" (Complying With Employment Record Requirements, 2018, para. 7).

Several key elements should be considered when developing, implementing, and maintaining a workplace records policy. First, clearly define what is meant by "record" so that the appropriate documents will be governed by the policy.

Second, identify the retention period for each category of documents. Lastly, limit access to those with a legitimate business need. (Complying With Employment Record Requirements, 2018, Guidelines for Policy Section, para. 2)

Laws such as HIPAA and data privacy regulations contain specific provisions for who may access information and how it may be used (Complying With Employment Record Requirements, 2018). "Record retention rules and procedures must be consistently applied to ensure compliance. Periodically audit the policy and practice to ensure that internal requirements are current and are being followed correctly" (Complying With Employment Record Requirements, 2018, para. 11).

"A checklist placed on top of each section avoids misfiling and enables management to see, at a glance, whether it is complete and current. Files should be reviewed periodically to ensure compliance with established requirements and procedures" (Fleischer 2017, p. 49).

HR Policies, Procedures, and Practices

Human Resources policies and procedures are written by human resources department leaders to comply with federal and state mandates to eliminate risk and lawsuits. Well-written Human Resources Management policies and procedures will cover applicable laws, as well as items that are specific to the industry and business (Withaar, 2019).

"It is critical that human resources policies be aligned with the organization's strategic plan and operational goals in order to support its competitive strategy" (Becker & Huselid, 1998, p. 55). An organization's Human Resource policies and procedures will reflect the relationship between management and employees (Bastida et al., 2018).

Nonprofit organizations should shift their views of human resource policies and practices to a strategic issue since this area needs development in most nonprofits (Barbeito, 2004). Adequate HR policies and procedures will ensure that strategic goals are met while supporting the mission and vision of the organization. Well-developed policies, procedures, and practices will educate employees and allow the organization to operate effectively with decreased risk.

Sirbu and Alexandrescu (2014) stated, "Human Resources policies and procedures are vital as they contribute consistency, structure, management, honesty, and rationality in subject matter experts" (p. 25). Policies and procedures offer guidance for supervisors to manage employees consistently and fairly. They are beneficial when answering questions, which can save time while explaining what policies apply to the workplace, and setting standards for employees (Sirbu & Alexandrescu, 2014). "They also ensure compliance with employment statutes and inform employees of their rights, responsibilities and the organization expectations. Policies and procedures are also the key factors for improving the chances of success in nonprofit organizations" (Sirbu & Alexandrescu, 2014, p. 25).

Listed below are some best practices for HR policies, procedures, and practices that will be beneficial for United Way to adopt to assist with their current challenges:

- Personnel records policy that includes record retention practices: "Adopting a written policy will allow supervisors and the human resources department to be consistent with replies when employees request access to their files" (Fleischer, 2017, p. 50).

- Compliance training procedures (Equal Employment Opportunity supervisor training, sexual harassment, diversity, and inclusion): Having a written training practice for the organization to enforce and act on laws to safeguard the identity of employees, respect their people, and protect them from any unlawful undertaking. Compliance training is key to ensuring employees are knowledgeable about the company policies, regulations, and legal requirements that apply to their day-to-day responsibilities (Martinelli, 2017).

- Safety and health practices for Occupational Safety and Health Administration (OSHA) laws and workers compensation practices: "This practice is to promote workplace safety and health and to make workers more knowledgeable about workplace hazards and their rights" (OSHA, n.d., Program Overview Section, para. 1).

Overall, HR policies, procedures, and practices must comply with all pertinent laws while reflecting the organization's mission, goals, and values. They must also include the purpose, define who it affects, and function as a general guide to new and current employees of nonprofit organizations.

Compliance and Risk

Nonprofit organizations can reduce risk by implementing more effective human resource practices and training according to Nonprofit Mutual of Concord. The insurer for nonprofit organizations stated, "When you adopt and enforce clear personnel policies, practices, and training you can cut your legal risk" (Nonprofits Cut Legal Risks With Better Personnel Policies, 1996, p. 7).

HR risks identified are securing and inappropriate access to employee personnel files, breach of confidentiality, compliance training, and OSHA deficiencies. "All of these risks could lead to legal and financial risks that violate the laws and regulations that may be substantial plus the costs of failing to comply with employment laws are significant" (Fleischer, 2017, pp. 53-55).

> The biggest risk of not securing employee personnel files and unauthorized access to personnel information is breach of confidentiality and identity theft. Identity theft has become so common that it makes up nearly half of all complaints filed with the Federal Trade Commission (FTC). (Daniel, 2006, para. 6)

With increasing concerns about privacy violations, Congress passed several laws in recent years that regulate how employers guard personnel information (Daniel, 2006).

> The Americans with Disabilities Act, the Health Insurance Portability and Accountability Act, the Sarbanes-Oxley Act and the Patriot Act all govern the handling of employment documents, as does the Fair and Accurate Credit Transactions Act, which has a "disposal rule" that requires documents to be shredded, burned or pulverized after a certain time. (Daniel, 2006, para. 11)

If employee personnel records were released to the public, it would cause the company to lose its status as a reliable, effective, and accountable company. Ways to mitigate the risk of the employee personnel files are to secure the files in a locked room, create a culture of information security and elevate the awareness and importance of it (Daniel, 2006).

Compliance training program failure risk cuts over each area of an organization's day-to-day performance and typically results from an absent training program that does not place employees in situations of achievement. "A rise in equal employment

opportunity (EEO) complaints, compliance violations or performance issues can all be solved through superior training and, in most cases, could have been stopped in its early development as a result of training as well" (Training as the Centerpiece of Risk Mitigation, n.d., para. 1). Ways to mitigate the risk from compliant training deficiencies are developing written materials and putting in place an orientation program to train all current and new employees on EEO laws then enforce it and hold them accountable (Henckel, 2017). This training should include ways to recognize potential issues, defects, and other common risk factors that can lead to claims. It should also include ways for supervisors to spot and deal with human resources-related issues such as sexual harassment and discrimination. "Without effective training, supervisors may not understand how to recognize when employees are not being treated fairly under the law" (Henckel, 2017, para. 5).

OSHA risks are ongoing issues for small and large employers since all jobs entail some risk for injury, and the magnitude of risk varies widely across each job.

> While office workers may not be exposed to the risks of hard manual labor, individuals can still encounter serious injuries on the job. The injuries can be caused by lifting or pushing heavy objects in the office, mental stress, slips, falls, ergonomic and repetitive motions. (OSHA, n.d., p. 21)

To mitigate these risks, organizations should establish and train staff on occupational health and safety annually and assign staff to key roles in the event of an emergency.

> This is one of the most effective ways of protecting your most valuable asset: your workers. Losing employees to injury or illness, even for a short time, can

cause significant disruption and cost to the organization, employees and their

families. It can also damage workplace morale, productivity, turnover, and

reputation. (OSHA, 2016, p. i)

Health and safety programs foster a proactive approach to "finding and fixing"

workplace hazards before they can cause injury or illness. Research states, "that

employers who have implemented health and safety programs have also found

that managing health and safety risk, results in higher-quality output and higher

profits. (OSHA, 2016, p. 3)

The best practice for compliance in nonprofits is to ensure that compliance

programs incorporate the elements of the organization's mission (Totten, 2014). Totten

(2014) emphasized, "education and training need to be provided to the organization at

least annually on current and emerging laws, areas of regulatory focus, and other

compliance issues and risks" (p. 18). Some of the best practices include risk assessments

at least annually and creating a work plan to address deficiencies while sharing results

with the entire organization (Totten, 2014).

Summary

"Creating a prevention climate by making sure employees understand the issues

and are equipped with solutions. Conducting periodic checks to be sure that employees

understand and follow the policies" (Koesnadi et al., 2002, p. 32). Employers should

ensure supervisors are aware of the organization's liability for their conduct as well as the

behavior of employees they supervise.

Creating employee policies, procedures, and practices and making sure all

employees and volunteers read them are vital to the continued success of the organization

and its mission. The best protection against lawsuits is to communicate procedures annually in writing and have employees sign an acknowledgment form. An acknowledgment form on file can help the organization when an employee claims they were unaware of current policies, procedures, and practices.

This literature review may help nonprofit organizations and human resource professionals identify HR record management; policies, procedures, and practices; compliance; and risks that need improvement.

This literature review does not provide an outline for building HR best practices in every nonprofit organization; however, it reveals some of the parts that must be systematized and strengthened. The growth of nonprofit HR management, the interest in developing effective policies and practices, and the emergence of for-profit organizations and journals suggest there are opportunities for building nonprofit HR best practices in the United Way. This literature review can serve as a starting point for HR professionals within the United Way and other nonprofit leaders to enhance opportunities for addressing HR employee records management, policies, and procedures in the nonprofit sector.

Appendix B

Personnel Records Management Policy With File Review Access Request Form

United Way Employee Personnel Records Management Policy

Established 09/30/2019

Purpose

Employee personnel records are required for the management of personnel records, directions for consistent and effective records and retention administration which will be maintained. This policy provides directions for use of the United Way personnel records, with the Human Resources Department creating rules and regulations for the safety of the records.

This policy applies to:

- United Way employees,
- Previous United Way employees
- Candidates for employment.

Personnel Files Information/Definitions:

- A personnel file consists of any employment related information obtained by United Way
- Authorized personnel: Human Resources/Payroll personnel, Chief Operating Officer and United Way Management.
- Records are available to inspection by employee, supervisor or hiring manager or authorized personnel. The following information will be maintained:
  - Name, Age, Date of employment, the terms of any contract.
  - Position, Salary, Title, Incentives, Bonuses, and other forms of compensation.
  - Increase or decrease in salary
  - Promotion, demotion, transfer, suspension, separation, or other position classification changes with reasons and dates for each change.
  - Dismissal, suspension, or demotion for disciplinary reasons with a copy of the written notice of the final decision including the basis of the dismissal.
  - Department of the employee.

Confidential Information

United Way will maintain information that is relevant to accomplishing employee personnel administration purposes related to employment.

Information collected regarding the employee medical condition or medical history of an applicant must be maintained in a separate Employee Benefits file in compliance with the Americans with Disabilities Act (ADA).

If a public record request is made for information in an employee's personnel file, United Way must get both the consent of the employee and legal counsel before releasing the information.

United Way Types of Employee Personnel Files:

- Personnel Employment File
- Benefits and Other Records
- Workers Compensation
- Performance Management Reviews/Training
- Payroll
- Employer Relations

Information included in each type of employee personnel record file:

Personnel Employment File

- Application, Resume
- Temporary agency agreement or Written contract agreement
- Job description for the position,
- Applicant Selection
- Offer Letter with Initial salary, Initial vacation and sick leave
- Home address
- Social security number
- Marital status
- Receipt or signed acknowledgment of employee handbook
- Background check, Education & Employment verification
- Decline letter
- Relocation agreements
- Employee reference check
- Recognitions and Awards
- Organization communications
- Needs assessments signed
- Employee resignation
- Exit interview form
- Other: _____

Employee /Volunteer Personal information:

- Social security number
- Personal financial data
- Marital status and dependents

- Home address
- Medical history
- Beneficiaries

Benefits and Other Records

- Prior Non- Profit Verification Form
- Accident
- Critical Illness
- Retirement Forms
- Health
- Medical
- Dental
- Benefit selection information
- Retirement selection information
- Dependents information
- Beneficiary information
- 1095c

- Medical history
- Leave of absence
- Cobra notification
- Medical Leave (Non- FMLA)- ADP
- Short Term Disability (180 days) -ADP
- Long Term Disability (up to 2 years) ADP
- Executive Disability (Age 65) – ADP
- **Other:**
  _____

Workers Compensation

- Form 18
- Form 19
- Incident report
- Police report
- Claim form
- Doctor notes

- Doctor bills
- Form 22
- Attorney letters
- Settlement information
- Other:
  _____

Performance Management Reviews

- Work Plan
- Initial Review
- Midterm Review
- Year-end review
- Performance improvement plan documentation
- ADP (other)
- Other
- Job Description updates
- Job Analysis

- Promotions
- Demotions
- Transfers
- Employee Self-Assessment
- Employer Self-Assessment
- Training and Development
- Formal Counseling
- Notes on Attendance or tardiness
- Other _____

Payroll

- Tax forms
- Garnishments
- Dual employment
- All Garnishments
- Payouts

- Email Correspondents for payroll errors
- Miscellaneous deductions
- ADP confirmation for new hire
  - o Other
  _____

Employer Relations

- Suspension
- Disciplinary actions
- Termination
- Records from any formal counseling sessions
- Disciplinary action reports

- Investigations
- Grievances
- Appeals
- Fit for duty testing
- Other
_____

The Release of Confidential Information

An individual that requests access to confidential information will be required to submit proof of identity and a Personnel File Review Access Request Form that must be completed and placed in the employee's personnel file.

Once the form is completed, the employee personnel file will be made available for review and/or copies may be made by the employee, supervisor or hiring manager or authorized.

The release of records will include a copy of the United Way Personnel File Review Access Request Form and the form must be kept for a period of two years.

Any person denied access to any records will have the right to appeal to the President of United Way.

When an employee's disagree with information in the file

An employee that disagrees with the material in the employee personnel file will include a written statement in the file that the employee disagrees with. An employee can request the removal of the information they claim to be inaccurate in the employee personnel file. This decision to remove the information will be based on Human Resources and the employee.

Securing the employee confidential information

United Way will establish ways to protect confidential information from unauthorized access and disclosure.

Retention and Disposal of Records

Retention Period: 10 years after separation, retirement or application submission if not hired.

At the end of the retention period, these records will be properly disposed of. If the record retention period has expired and the record is not appropriate for United Way anymore, the Record should be recycled or destroyed. Human Resources will determine the retention and disposal date of records.

<div align="center">United Way Personnel File Review Access Request Form</div>

Employee or Former Employee Name:

_____

I am requesting to:
____Review my entire employee personnel file
____Obtain a copy of my employee personnel file
____Receive copies of specific documents from my personnel file:_____
____For Hiring purposes (The hiring supervisor)
____Other (By Supervisor)
____Other (Authorized Personnel)

Employment Status:
_____Current Employee/ Volunteer
_____ Former Employee/ Volunteer

I understand the following: (For Employee Only)
___ I may not add, remove or revise any documents.
___ I may submit a statement in writing, if I do not agree with documents in my employee personnel file.

Specified Documents Requested: (Please check all that apply)
___Application
___ Offer Letter
___Performance management plan

___ Disciplinary letter

___Payroll deductions or withholdings of pay

___Employment & Salary History

___ Government-issued identification

___Performance Development Documents

___Retirement Application

___Education Records

___Certifications

__Benefits

__Payroll

__Employer Relations

__Other

Requestor Authorization:

I certify that the information provided is accurate and that I have requested, reviewed and/or received a copy of the personnel file:

Employee Name: _____ Date: _____

Requestor Name: _____ Date: _____

Requestor Department_____Telephone Number_____

HUMAN RESOURCES USE ONLY:

Date Requested:_____

Time Requested: _____

Date File Picked Up_____ Processed By: _____

ID verified: Yes _____No _____

HR Representative: _____

Date File Returned:_____

Appendix C

Employee Personnel File Folder Checklist

Information included in each type of employee personnel record file:

Personnel Employment File

- Application
- Resume
- Job description for the position,
- Selection
- Initial salary
- Initial vacation and sick leave
- Offer Letter/ Rejection letter
- Written agreement/ Contracts
- Temporary agency agreement
- Social security number
- Marital status
- Dependents information
- Home address
- Receipt or signed acknowledgment of employee handbook
- Background check
- Education /Employment verification
- Relocation agreements
- Employee reference check
- Award letters / Recognition
- Organization communication
- Needs assessments signed
- Employee resignation
- Exit interview form
- Other:

  _____

Confidential Personal information:

- Social security number
- Personal financial data
- Marital status
- Home address
- Medical history
- Dependents
- Beneficiaries

Benefits File

- Prior Non- Profit Verification Form
- Accident
- Critical Illness
- Retirement Forms
- Health

- Medical
- Dental
- Benefit selection information
- Retirement selection information
- Beneficiary information
- 1095c
- Medical history
- Leave of absence
- Cobra notification

- Medical Leave (Non-FMLA)-ADP
- Short Term Disability (180 days) -ADP
- Long Term Disability (up to 2 years) ADP
- Executive Disability (Age 65) –ADP
- Other: _____

Workers Compensation File

- Form 18
- Form 19
- Incident report
- Police report
- Claim form
- Doctor notes

- Doctor bills
- Form 22
- Attorney letters
- Settlement information
- Other: _____

Performance Management Reviews File

- Work Plan
- Initial Review
- Midterm Review
- Year-end review
- Performance improvement plan documentation
- ADP (other)
- Other
- Job Description updates
- Job Analysis

- Promotions
- Demotions
- Transfers
- Employee Self-Assessment
- Employer Self-Assessment
- Training and Development
- Formal Counseling
- Notes on Attendance or tardiness
- Other _____

Employer Relations File

- Suspension
- Disciplinary actions
- Termination

- Records from any formal counseling sessions
- Disciplinary action reports

- Investigations
- Grievances
- Appeals

- Fit for duty testing
- Other
  _____

Payroll File

- Tax forms
- Garnishments
- Dual employment
- All Garnishments
- Payouts

- Email Correspondents for payroll errors
- Miscellaneous deductions
- ADP confirmation for new hire
- Other_____
  __

Appendix D

Human Resource Customer Service Satisfaction Survey

Please indicate your satisfaction with the Office of Human Resources on the following items: **1 means poor and 5 means excellent**

1. Please indicate the reason that best describes your interaction with the office of Human Resources.
   - 1-Benefits
   - 2-Compensation, and classification
   - 3- Employee relations, employment
   - 4- Leave Administration
   - 5-New hire orientation
   - 6-Training
   - 7- Retirement
   - 8- Workers compensation
   - 9- Payroll
   - 10- Other specified_____

2. Type of Interaction.
   - 1- Training session or appointment,
   - 2- email
   - 3- phone call
   - 4- walk-in visit
   - 5- other

3. Competency of staff to address your needs 1-5

4. Helpfulness of Staff 1-5

5. Level of service provided by the Human Resources Department. 1-5

6. The friendliness of staff in the Human Resources Department. 1-5

7. The accuracy of the information provided by the Human Resources Department. 1-5

8. The helpfulness of the information provided by the Human Resources Department. 1-5

9. The amount of time required by the Human Resources Department to resolve your issue or question. 1-5

10. The communication you received from the Human Resources Department. 1-5

11. Overall, how satisfied are you with the Human Resources Department? 1-5

12. Please provide any additional comments regarding your experience with the Human Resources Department_____

Appendix E

Employee Engagement Surveys

<u>United Way Employee Engagement Survey I</u>

I Agree; I somewhat agree; I somewhat disagree; I disagree

1. I'm given responsibility and freedom to do my job
2. Our recognition and rewards program is meaningful
3. I'm given the opportunity to develop my skills, knowledge and abilities
4. We discuss and debate issues respectfully to get better results
5. United Way performance review process accurately measures my job performances
6. Changes are discussed prior to being implemented
7. I am recognized for my contribution in the organization
8. My department is a good place to work
9. Leadership provides a clear direction for United Way's future
10. My supervisor supports my work/life efforts.
11. We contribute to decisions in my department
12. When I offer a new ideal, it will be fully considered
13. I can challenge a traditional ways of doing something without fear of retaliation
14. I have a good relationship with my supervisor
15. There's a sense of teamwork at United Way
16. My team communicate openly about issues that impact each other's work
17. We celebrate accomplishments at United Way
18. I receive feedback from my supervisor regularly
19. Leadership shows interest in the wellbeing of staff
20. My supervisor makes his or her expectations clear
21. Staff are appropriately involved in decisions related to new programs for United Way
22. I understand how my job contributes to United Way's values.
23. Senior leadership regularly models the United Way's mission and values
24. Promotions are based on a person's ability to do their job
25. Senior leadership communicates openly to staff
26. Salary increases in my department are based on if the supervisor likes them or not
27. United Way's policy and practices ensure fair treatment for staff

United Way Employee Engagement Survey II (Feelings)

I Agree; I somewhat agree; I somewhat disagree; I disagree

1. My work is relevant.
2. I feel stressed sometimes.
3. United Way offers adequate opportunities for promotions and career development.
4. I am compensated fairly for the work I perform.
5. United Way gives me the tools and technology to be successful.
6. My opinion matters to my supervisor and coworkers.
7. I have the necessary tools to be successful.
8. I feel my job responsibilities are clearly defined.
9. I feel work is distributed evenly across my team.
10. My manager seems invested in the success of the team.
11. My manager values my feedback.
12. Training funds for job positions are provided for all levels of employees.
13. My supervisor's expectations are realistic.
14. Growth opportunities are available equally.
15. My job is demanding.
16. I feel that United Way utilizes my skills and abilities as much as possible for the success of the organization.
17. The tasks assigned to me by my supervisor helps with my professional growth.
18. I have many opportunities to get promoted where I work.
19. I am supervised too much by my current supervisor.
20. I am satisfied with my current position.
21. I am proud to work for United Way.
22. I am likely to look for another job outside the organization.
23. My supervisor is approachable.
24. My supervisor is available to employees when needed.
25. My supervisor gives me feedback about my work performance.
26. I receive training from my supervisor regularly.
27. My organization consistently rewards employees for good work

Quantitative Research Likert scale Survey Questions

STRONGLY AGREE = 4 AGREE = 3 DISAGREE = 2 STRONGLY DISAGREE = 1
Average employee replies: 2.7
 Strongly Agree, Agree, Disagree, Strongly Disagree
1. Does my department create an environment where all people feel valued?
2. In my department good work receives recognition?
3. Annual evaluation procedures fair and equitable in my department?
4. People in my department are held accountable for their work?
5. My supervisor expects all employees to do high-quality work?
6. My department is constantly improving the management of transactions so that work is automated?
7. I'm satisfied as an employee here at United Way?
8. My supervisor values employees who strive to be more effective professionals?
 9. I'm satisfied with opportunities for development provided by United Way?
10. Regular staff meetings are scheduled in my department?

Qualitative Data Research Survey Questions

1. Research Semi-Structured Interview questions:
2. What challenges do you face in this organization? [PROBES: in HR? Personally? Education-related? Related to the community in general?]
3. Describe a typical week.
4. How do you keep track of things? How do you stay current in the HR field?
5. What are people doing in each department?
6. What are they trying to accomplish for the organization? [PROBES In their jobs? Personally? Culture?]
7. Describe the things you enjoy doing in Human Resources each week.
8. How do you use processes and practices for your professional work?
9. Why is there a culture of not following policies and practices properly?
10. Why is morale low?
11. Describe leadership within the United Way. Is leadership concerned with the policies not being followed?
12. How do members of the leadership team interact and communicate? [PROBES: What contributes to the communication climate?]

Appendix F

Compliance Training Policy

Effective Date: 03-31-2020

Responsible Office and Administrator:
Human Resources Manager

Purpose

The purpose of this compliance training policy is to guarantee that all employees are provided the safeguard of employment laws, regulations, and policies that guarantee equality in the organization. This policy applies to anyone who works and volunteers for United Way. This policy provides employees with an understanding of their roles and responsibilities to complete, apply knowledge and skills gained through the training.

Policy Statement

All United Way new hire employees are required to receive compliance training within 60 days of date of hire.

This compliance training policy will:

1. Make sure supervisors and managers have the knowledge and skills for essential daily activities with respect to federal and state laws employment laws, as well as United Way policy and procedures.

2. Will assist supervisors and managers to consistently apply these laws, regulations, and policies across the organization.

3. Eliminate circumstances that may put the organization in legal and financial risk.

4. Encourage a positive work environment.

Procedures

1. The goal and objectives of this policy are accomplished by the following:

   a. Inform employees of United Way policies and regulations.

   b. To prepare employees to handle circumstances that could put their job, safety or well-being at risk.

   c. To create standard operating procedures (SOP) for use in training and at work.

   d. To distribute the training programs by dedicated specialists.

2. The training and materials will cover Occupational Safety and Health Administration (OSHA), Equal Employment Opportunity (EEO), the Fair Labor

Standards Act (FLSA), Worker's Compensation, Sexual Harassment, the Family and Medical Leave Act (FMLA), the Americans with Disabilities Act (ADA), in addition to other policies and practices pertinent to employees of United Way.

3. All supervisors and managers are responsible for (**mandatory**):

    a. Completing Compliance Training Program

    b. Applying the knowledge and skills acquired within their daily work activities.

4. All non-leadership employees are responsible for (**optional**):

    a. Completing Compliance Training Program

    b. Applying the knowledge and skills acquired within their daily work activities.

5. The executive leaders are responsible for:

    a. Ensuring that each supervisor or manager completes training.

    b. Including the transfer of knowledge and skills acquired in the supervisor's and   manager's daily work plan.

6. Violations of policies will be handled in agreement with policies and procedures which   may include disciplinary actions up to and including termination from the United Way.

Compliance Training program includes:

- Occupational Safety and Health Administration (OSHA)
- Equal Employment Opportunity (EEO)
- Fair Labor Standards Act (FLSA)
- Worker's Compensation
- Sexual Harassment
- Family and Medical Leave Act (FMLA)
- Americans with Disabilities Act (ADA)
- Other policies and practices pertinent to employees of United Way

Appendix G

United Way Training Attendance Acknowledgement Form

Training Class: _____

Date of Attendance: _____

I acknowledged that I attended the training class listed above. I understood the training and it is my responsibility to follow United Way policies and procedures, in accordance with the training.

I understand it is my responsibility to seek clarification from the Human Resources Department If I have questions about the training or policy and procedures.

Employee Signature_____

Date_____

Print name_____

For Human Resources Department Use: Place a copy of this United Way Training Attendance Acknowledgement Form in the employee's Performance Review personnel file. To audit compliance training for a required training period, track the training using a spreadsheet.

Appendix H

Health and Safety/Workers Compensation Internal Procedure and Return yo Work Practices

<u>***Purpose***</u>

The purpose of the program is to ensure that all eligible employees who experience an on-the-job injury receive medical care and fair benefits under the Workers' Compensation Program.

<u>***Prerequisites***</u>

Employee injured during the scope of their on-the-job duties.

<u>***Procedures***</u>

	Responsible Party	**Action/Task**
1	Injured Employee	<u>*Notification of Injury*</u> Employees will notify their supervisor and Human Resources if they are injured, regardless of the severity of the injury.
2.	Supervisor	<u>*Recommendation of Medical Treatment*</u> The supervisor will direct the injured employee to the designated treatment facility to receive immediate medical attention.

	Responsible Party	Action/Task
3.	Injured Employee	*Accepting Immediate Medical Treatment* The injured employees should accept immediate medical treatment provided by the designated facilities. Any absences from work, related to the injury, must be authorized by the treating physician. If special care is needed, employees will be taken to the nearest hospital.
4.	Supervisor	*Notify Human Resources* The supervisor will contact Human Resources as soon as possible to begin the process of administering the claim for the injured employee.
5.	Injured Employee	Injured employees must provide a description of what happened and submit to Human Resources immediately following the injury.

6.	Supervisor	Supervisors must provide a description of what happened and submit to Human Resources immediately after an employee reports a work-related injury.
7.	Witness	Any Witness must provide a description of what happened and also be submitted to Human Resources when applicable.

	Responsible Party	Action/Task
8.	HR, Supervisor and Department Head	*Investigation and Determination of Incident* The supervisor, HR and the Department Head will investigate to determine the cause of the accident.
9.	Supervisor and/or Department Head	*Corrective Action / Prevention* The supervisor and/or department head will be responsible for specifying corrective action(s) needed to prevent recurring accidents related to the reported accident. This will be verified HR.
10.	Human Resources	Human Resources will submit claim information to the third-party administrator.

11.	Third-Party Administrator	*Approval*
		The Third-Party Administrator will advise Human Resources and the employee if the claim is approved and will communicate the approval and next steps to the injured employee.

	Responsible Party	**Action/Task**

12.	Human Resources	*Next Steps*
		Human Resources will monitor employees' progress and medical bills. Employees remain on active duty with or without restrictions.
		<u>Full Work Restrictions</u> Human Resources will change the injured employee pay status to leave without pay and continue to monitor the claim until the claim is closed and the employee is released to return to work. Employees will receive Workers' Comp pay (66 2/3%) of their base salary from the Third Party Administrator. The employee remains unavailable for work until they are released by the treating physician. Notify the Benefit Department of any employee on this status.
		<u>Partial Work Restrictions</u> Human Resources will monitor the claim and provide adjustments to payroll for the amount of hours that will be paid by the Third Party Administrator. Employees will continue to work a limited schedule per doctors' recommendations until released.
		Special Note: Weekly earnings are administered by the third-party administrator. During this time, there will be no payroll deductions taken from the scheduled payment. It is the responsibility of the injured employee to take care of these deductions while on Workers' Compensation Leave. <u>Form 22 may be required.</u>

13.	Third-Party Administrator	*Release of Care*
		The Third-Party Administrator will advise Human Resources when the employee has received clearance to return to work.

	Responsible Party	Action/Task
1 4	Human Resources	***Return to Work Program*** Human Resources will receive clearance documentation and continue to monitor the claim as needed, if applicable. **Special Note:** Return to Work program may be administered for employees that return to work with restrictions
1 5	*Return to Work*	Provide altered work for employees who are restricted from performing their regular duties for a temporary period of time.
1 6	Employee	Employee returns to work at specified date and time. HR and supervisor meet with employees to discuss and sign "Return To Work Agreement".

1 7	Human Resources	HR reevaluates the employee's return to work status and duties as needed based upon assigned work restrictions until they are able to return to normal job duties.
1 8	Third-Party Administrator	*Release of Care* The Third-Party Administrator will advise Human Resources when the employee has received clearance to return to work.

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