

POLICIES & PROCEDURES

Welcome

HOW TO USE THIS TEMPLATE

- This workplace policies and procedures template contains ten sections that can be edited, rewritten, replaced, adapted and expanded to meet the needs of your company. Each section contains a brief instruction, which you can delete, followed by an example of some text you may wish to include in the section. Your full policies should follow a similar format to this sample but be long enough to cover all of the information you want to relay to your employees. The table of contents can be updated to reflect any changes you make in the document. The footer in the document contains the Case IQ logo. This is editable and can be replaced with your own company logo, alternate text or nothing at all. You can also replace the text “Policies and Procedures Template” with your company name or another title.

WRITING YOUR CODE OF CONDUCT

Here are some resources to help you write your workplace policies and procedures.

Before you begin:

1. Read the following articles:

- [Policies and Procedures in The Workplace: The Ultimate Guide](#)
- [Employee Policy Manuals: What to Include in Your Annual Review](#)
- [53 Key Sections of an Employee Handbook \(and Other Helpful Tips\)](#)

2. Visit our templates library for more specific help on:

- [Sexual Harassment Policy](#)
- [Code of Conduct](#)
- [Employee Handbook](#)

Table of Contents

Values and Vision	4
Attendance Policy and Procedures	4
Drug, Alcohol and Smoking Policy and Procedures	5
Performance Management Policy and Procedures	5
Employee Discipline Policy and Procedures	6
Use of Company Property Policy and Procedures	7
Harassment and Discrimination Policy and Procedures	7
Internet and Social Media Use Policy and Procedures	8
Health and Safety Policy and Procedures	9
Expense Reimbursement Policy and Procedures	9

VALUES AND VISION

Outline your organization's mission, values and/or vision statement. Stating this here helps put all of your policies and procedures in perspective. When writing each policy, make sure it links back to these organizational goals.

An example from [the Walt Disney Company](#):

“To be one of the world's leading producers and providers of entertainment and information. Using our portfolio of brands to differentiate our content, services, and consumer products, we seek to develop the most creative, innovative and profitable entertainment experiences and related products in the world.”

ATTENDANCE POLICY AND PROCEDURES

In this section, outline your organization's rules for employee attendance. This should include situations such as absenteeism, tardiness, sick leave, vacation, appointments, paid volunteer time and any other attendance scenarios that apply to your company. Define what is and is not considered an excused absence from work. Include procedures on what to do when an employee misses work (either planned or unplanned) and disciplinary measures for attendance-related issues.

An example from the [Employment Law Information Network](#):

1. The company recognizes that an occasional absence may occur, as defined by Company policies for holidays, vacations, jury service, funerals, family and medical leave, personal leave, military leave, voting, etc. Time off from work is unpaid unless the Company has established a specific policy providing pay for time off.
2. An employee's absence will be considered excused if covered by policy and the employee provides proper and timely notification deemed satisfactory to the Supervisor or Manager. Timely notification means calling in on the day of absence or providing advance notice for absences which can be anticipated.
3. An employee's absence will be deemed unexcused when an employee fails to call in, gives a late notice, fails to give advance notice for an absence which could be anticipated, exceeds the number of length of absences as defined by policy or authorized in advance by the Supervisor or Manager. Unexcused absentees are subject to corrective discipline or termination as defined in policies on discipline and separation of employment.
4. Excessive absenteeism is defined as two or more instances of unexcused absence in a calendar month. Such excessive absenteeism is subject to corrective discipline. Any eight instances of unexcused absenteeism in a calendar year are considered grounds for discharge.”

DRUG, ALCOHOL AND SMOKING POLICY AND PROCEDURES

In this section, describe your organization's policies and procedures surrounding the use of drugs, alcohol and tobacco products in the workplace or at off-site work-related engagements (e.g. conferences, client meetings, remote work sites). Include specific guidelines about where, when and if these behaviors are permitted, as well as information about drug testing at work.

An example from [The Society for Human Resource Management](#):

1. "Whenever employees are working, are operating any [Company Name] vehicle, are present on [Company Name] premises or are conducting company-related work offsite, they are prohibited from:
 - a. Using, possessing, buying, selling, manufacturing or dispensing an illegal drug (to include possession of drug paraphernalia).
 - b. Being under the influence of alcohol or an illegal drug as defined in this policy.
 - c. Possessing or consuming alcohol.
2. The presence of any detectable amount of any illegal drug, illegal controlled substance or alcohol in an employee's body system, while performing company business or while in a company facility, is prohibited.
3. [Company Name] will also not allow employees to perform their duties while taking prescribed drugs that are adversely affecting their ability to safely and effectively perform their job duties. Employees taking a prescribed medication must carry it in a container labeled by a licensed pharmacist or be prepared to produce the container if asked.
4. Any illegal drugs or drug paraphernalia will be turned over to an appropriate law enforcement agency and may result in criminal prosecution."

PERFORMANCE MANAGEMENT POLICY AND PROCEDURES

In this section, provide employees with information regarding what is considered acceptable and unacceptable performance at work as well as the roles of individual employees and managers. Discuss procedures surrounding performance reviews, bonuses and plans for those who do not meet expectations.

An example from the [Georgia Institute of Technology](#):

"The planning phase is the foundation of the entire Performance Management process. In this phase, individual goals and objectives are set for the performance period. Goals that are SMART (specific, measurable, achievable, relevant, and time based) increase employee motivation and commitment to goal attainment, leading to greater performance and productivity.

Regular communication between the manager and employee is critical during the managing phase of the performance management cycle. Through formal and informal conversations, both parties are kept abreast of progress towards the successful completion of goals and expectations. These discussions also enable the manager to provide timely feedback and coaching as the year unfolds. Because the performance cycle spans several months, it is important for managers and employees to keep track of key performance highlights and challenges that occur during the year. These notes will help immensely when it's time to prepare the annual review.

At the conclusion of the evaluation cycle, the manager meets with the employee to conduct the annual performance review. If SMART goals have been set (planning phase) and ongoing communication/feedback has taken place (managing phase), the overall outcome of the annual review should come as no surprise to the employee.

When merit increases are available, employees may receive an increase to their annual base pay as a reward for meritorious performance. It is important to remember that performance increases should be differentiated between employees based upon their overall performance ratings and, in general, top performers should receive higher pay increases.”

EMPLOYEE DISCIPLINE POLICY AND PROCEDURES

This policy and set of procedures should outline the stages of disciplinary action your organization takes in response to employee performance and policy violations. Note that some actions will result in immediate dismissal. You may also want to include disciplinary procedures specific to certain infractions in their relevant policies.

An example from the [Merit Contractors Association](#):

- “1. Verbal Warning: An employee will be given a verbal warning when they engage in problematic behaviour. As the first step in the progressive discipline policy, a verbal caution is meant to alert the employee that a problem may exist or that one has been identified, which must be addressed. Verbal warnings will be documented and maintained by on the employees personnel file. A verbal caution remains in effect for [specify time (e.g., three months)].
2. Written Warning: A written warning is more serious than a verbal warning. A written warning will be given when an employee engages in conduct that justifies a written warning or the employee engages in unacceptable behavior during the period that a verbal warning is in effect. Written warnings are maintained in an employee’s personnel file and remains in effect for [specify time].
3. Suspension: A suspension without pay is more serious than a written warning. An employee will be suspended when he or she engages in conduct that justifies a suspension or the employee engages in unacceptable behavior during the period that a written warning is in effect. An employee’s suspension will be documented and, regardless of the length of the suspension issued, will remain in effect for [specify time].
4. Termination: An employee will be terminated when he or she engages in conduct that justifies termination or does not correct the matter that resulted in less sever discipline.”

USE OF COMPANY PROPERTY POLICY AND PROCEDURES

In this section, inform employees of acceptable use of company property. This should include personal use guidelines, how to care for company property and rules for privacy and inspections. Depending on your industry, company property procedures can apply to work stations, electronics, uniforms, tools and/or vehicles.

An example from the [Associated General Contractors of America](#):

“All Company property – including desks, storage areas, work areas, lockers, file cabinets, credenzas, computer systems, office telephones, cellular telephones, modems, facsimile machines, duplicating machines, copying machines and vehicles – must be used properly and maintained in good working order. Employees who lose, steal, or misuse Company property may be personally liable for replacing or repairing the item.

The Company reserves the right, at all times and without further notice, to inspect and search all Company property for the purpose of determining whether this policy or any other policy of the Company has been violated, or when an inspection and investigation is necessary for purposes of promoting safety in the workplace or compliance with state and federal laws. These inspections may be conducted during or outside of business hours and in the presence or absence of the affected employee.

Employees should use the computer systems only for business purposes. Using e-mail or the Internet for personal, non-business, purposes is prohibited during working time.”

HARASSMENT AND DISCRIMINATION POLICY AND PROCEDURES

In this section, describe specific harassment and discrimination behaviors that are not acceptable in your organization. Include general categories such as sexual harassment, bullying, verbal and physical harassment, stalking and discrimination as well as examples of actions for each. This section may need to be broken into smaller policies.

An example from [StudyLib](#):

“Discrimination

It is a violation of [Company Name]’s policy to discriminate in the provision of employment opportunities, benefits or privileges; to create discriminatory work conditions; or to use discriminatory evaluative standards in employment if the basis of that discriminatory treatment is, in whole or in part, the person’s race, color, national origin, age, religion, disability status, gender, sexual orientation, gender identity, genetic information or marital status.

Discrimination of this kind may also be strictly prohibited by a variety of federal, state and local laws, including Title VII of the Civil Rights Act of 1964, the Age Discrimination Act of 1967 and the Americans with Disabilities Act of 1990. This policy is intended to comply with the prohibitions stated in these anti-discrimination laws.

Discrimination in violation of this policy will be subject to disciplinary measures up to and including termination.

Harassment

[Company Name] prohibits harassment of any kind, including sexual harassment, and will take appropriate and immediate action in response to complaints or knowledge of violations of this policy. For purposes of this policy, harassment is any verbal or physical conduct designed to threaten, intimidate or coerce an employee, co-worker, or any person working for or on behalf of [Company Name].

The following examples of harassment are intended to be guidelines and are not exclusive when determining whether there has been a violation of this policy:

- Verbal harassment includes comments that are offensive or unwelcome regarding a person's national origin, race, color, religion, gender, sexual orientation, age, body, disability or appearance, including epithets, slurs and negative stereotyping.
- Nonverbal harassment includes distribution, display or discussion of any written or graphic material that ridicules, denigrates, insults, belittles or shows hostility, aversion or disrespect toward an individual or group because of national origin, race, color, religion, age, gender, sexual orientation, pregnancy, appearance, disability, sexual identity, marital status or other protected status.”

INTERNET AND SOCIAL MEDIA USE POLICY AND PROCEDURES

This is where you should describe appropriate use of the internet and social media in your workplace. Explain that internet use at work is not private and that emails and internet history are subject to inspection without notice. Urge employees to limit personal internet use during work hours. Include guidelines about what is and is not appropriate to post about your organization (sensitive information, slander, etc.). Information about internet safety and security is useful as well.

An example from the [First Nations Land Management Resource Centre](#):

“Employees shall not use the Company’s computer equipment and facilities for any illegal, unethical or immoral purposes. For example, the Company’s facilities and equipment shall not be used to access child pornography, obscenity or hate literature and shall not be used to transmit defamatory, derogatory or false messages.

Employees shall not share personal information concerning themselves or their co-workers via the internet. Internet and e-mail access shall not be utilized to communicate any confidential or sensitive commercial information unless prior approval is obtained from the Executive Director or designate.

Employees shall not download software from the internet unless prior management approval is obtained. Employees are not to participate in any use of the computer system which might infringe copyright, other intellectual property rights or licensing agreements.

Employees shall not utilize the Company’s facilities and equipment in a manner which may compromise the integrity of the system or the systems performance. Employees shall not open any attachment where the source is suspect. All e-mail attachments shall be checked to ensure that they remain free from viruses before they are opened or downloaded.

The Company assumes no responsibility or liability whatsoever for any unauthorized use of software, information or materials sent, received or transmitted through the internet or e-mail.”

HEALTH AND SAFETY POLICY AND PROCEDURES

In this section, outline the ways in which employees should respond to health and safety scenarios. Include guidelines on how to deal with illness and injury at work, and equipment safety rules. Inform employees of how to report a health or safety concern. Fire and natural disaster response should be customized to your region. Explain the responsibilities of employees and managers in the event of an emergency. This is another section you may want to divide into smaller, more specific policies.

An example from the [Ontario Tennis Association](#):

“All injuries that require first aid treatment only must be recorded on the first aid reporting form, to be kept with the first aid kit.

Employees

Employees who experience a work-related injury or illness should seek immediate medical attention and promptly report to their supervisor. If transportation to a hospital, doctor’s office or an employee’s home is necessary, the Association will arrange it.

All work-related incidents, illnesses, near misses and hazardous conditions, no matter how slight, must be reported to your supervisor.

Once notified of the incident or illness, the supervisor must complete an incident report form, notify the HSR and begin an investigation of the root cause(s).”

EXPENSE REIMBURSEMENT POLICY AND PROCEDURES

In this section, describe the procedures surrounding reimbursement for work travel, company credit cards and other work-related expenditures. Outline the amounts and types of expenses that are eligible for reimbursement. Explain how employees should submit reimbursement claims, including timelines for filing.

An example from [Woodard](#):

“If you have a company credit card, you may use the card for the following expenses under the following guidelines prior approval.

- Ground Transportation for company approved travel
 - o Taxi Fare (Up to \$100 per fare)
 - o Rental Car (Up to \$200 per day inclusive of taxes and fees)
- Baggage fees for company approved travel - 1 checked bag for trips of 2-5 nights and 2 checked bags for travel of 6 nights or more. 2 checked bags for all international travel regardless of the duration of the trip.
- Meals and Entertainment up to \$400 per meal or entertainment experience (entire party) and up to \$2,000 per calendar year – Directors and Executive Directors Only. See “Business Meals and Entertainment” below.
- Airfare and Lodging: Employees may approve their own airfare (coach seating) and their own lodging (see list of approved hotels below). Employees must make reservations through TripActions.”