This reference manual was created by the University Office of Human Resources Management for University employees attending the orientation training program designed for CUNY Workplace Violence Advisory Teams (“WVATs”). The original reference manual in 2005 included contributions from faculty and administrative professionals from John Jay College, New York City College of Technology, The University Office of Human Resource Operations and Services (HROS), and the Office of Professional Development and Learning Management (PDLM). (HROS and PDLM are units of the University Office of Human Resources Management.)
Workplace Violence: Awareness, Prevention and Management

A Reference Manual for CUNY Workplace Violence Advisory Teams

Contributors to the original 2005 WVAT Reference Manual and Training Program

John Jay College
Herbert Johnson, Director, Criminal Justice Center, Office of Continuing and Professional Studies
Katherine Stavrianopoulos, PhD, Graduate Externship Training Coordinator, Department of Counseling

New York City College of Technology
Deborah Waksbaum, LCSW, Counselor/Lecturer, Counseling Services Center

CUNY Central Office
John McKee, Deputy University Director/Deputy Chief, University Public Safety
Barbara O’Garrow, Human Resources Coordinator, Human Resources Management Services, Office of Faculty and Staff Relations
Rhonnye Ricks, University Training Officer, Professional Development and Learning Management, Office of Human Resources Management

Winter/Spring 2010 WVAT Training Facilitators

John Jay College
Herbert Johnson, Director, Security Management Institute, Office of Continuing and Professional Studies

CUNY Central Office
John McKee, Deputy University Director/Deputy Chief, University Public Safety
Rhonnye Ricks, University Director, Professional Development and Learning Management, Office of Human Resources Management
Kevin Webb, Program Coordinator, Professional Development and Learning Management, Office of Human Resources Management
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WORKPLACE VIOLENCE: AWARENESS, PREVENTION, and MANAGEMENT

About This Manual

At its June 2004 meeting, The Board of Trustees of the City University of New York adopted The City University of New York Workplace Violence Policy & Procedures. The policy was developed in compliance with [then] pending New York State legislation to…address the issue of potential workplace violence in our community, prevent workplace violence from occurring to the fullest extent possible, and set forth procedures to be followed when such violence has occurred…

Subsequently, The New York State Workplace Violence Prevention Act – signed June 7, 2006, and effective October 5, 2006 – officially amended New York State labor law (Section 27-b), requiring public employers to develop and implement programs to prevent workplace violence.

This Workplace Violence: Awareness, Prevention, Management booklet was designed to assist CUNY campuses in implementing the CUNY Policy. The booklet provides an extensive array of “tools” for campus workplace violence advisory teams to utilize in consultation with their executive management to design, develop, and implement workplace violence prevention strategies that:

- Are grounded in the awareness and understanding of the prevalence, cause(s), diverse nature, and consequences of violence in the workplace;
- Support and reinforce the University’s commitment to maintaining an environment for students, faculty, and staff free from violence, threats of harassment, intimidation or coercion;
- Establish and manage a workplace violence prevention program uniquely tailored to campus needs and resources; and,
- Coordinate and integrate existing security and public safety programs under the umbrella of the University’s workplace violence prevention mandate.

While every effort has been made to provide a comprehensive resource guide, this reference manual is not intended to be the definitive document on the prevention of workplace violence. Much information is available free of charge via the Internet and from federal, state, and local agencies. In addition, there are many books, magazines, and informational/training resources that can be purchased on the topic of workplace violence. Many of these sources are listed in the TRAINING AND PROFESSIONAL DEVELOPMENT RESOURCES section of this manual and may be consulted for additional information.
**Part I – INTRODUCTION**

**Why workplace violence prevention training?**

We live in a violent society. More guns are on the street, and for reasons often theorized about but not fully understood, more people seem willing to use violence to address their problems. Much of this violence spills over into workplaces and results in disgruntled workers, visitors, clients, patients, students, etc., resorting to violence as a means to resolve their problems. In addition, an employer’s budget constraints and changing priorities may result in a decline in staffing levels at the same time as the demand for services from its employees increases. Downsizing, “right-sizing,” restructuring, layoffs, disciplinary actions, and insensitive terminations often produce stress and frustration among both the workers who are let go and among the workers who remain. Some workers resort to violence when unable to handle the stress.

**THE FACTS**

Though the media tends to focus on rampage shooting incidents in which a worker kills his/her supervisors and/or co-workers, this type of violence among co-workers occurs very infrequently. The largest percentage of violence in the workplace occurs as a result of robberies or other crimes committed by non-employees.

**How often does workplace violence occur?**

According to preliminary figures from the Bureau of Labor Statistics (BLS), in 2008 (the latest year for which figures are available), U.S. private and public sector employers reported a combined total of 39,300 nonfatal occupational injuries and illnesses resulting from “assaults and violent acts by person(s)” and involving days away from work. The number of workplace fatalities caused by assaults and violent acts in 2008 was 794, or 16% of all fatal occupational injuries reported (5,071). Workplace suicides rose 28%, from 196 cases in 2007 to 251 cases in 2008, the highest number ever reported by the BLS fatality census. At the same time, workplace homicides fell by 18% in 2008 to 517 (versus 628 in 2007). Overall, the 2008 workplace homicide count represents a decline of 52% from the high of 1,080 homicides.
reported in 1994. Still, homicides are perennially among the top four causes of workplace fatalities for all workers and the number of non-fatal assaults and violent acts by persons in private industry exceeded 16,000 in 2008. No wonder the Centers for Disease Control and Prevention (CDC) have called workplace violence a “national epidemic.”

(Note that the BLS has given a disclaimer regarding two economic factors that may have played a role in the reported decrease in workplace fatalities. First, due to high unemployment, some industries that usually account for a significant share of worker fatalities – e.g., construction – show larger declines in employment or in hours worked. Second, declining employment and budget constraints at some of the government agencies that provide the data may have delayed the receipt and processing of documents used to classify and code cases. Therefore, it is expected that the updated 2008 statistics scheduled for release in late April 2010 may be higher than the preliminary numbers.)

**Who are the most common victims of workplace violence?**

Women working in private industry suffered 10,340 nonfatal assaults by persons resulting in time away from work in 2008, representing 63% of the total number reported. Men suffered 5,960 such assaults. Five hundred ten of these assaults were shootings, of which all victims were male. However, in all other categories of assault, the majority of victims were female. Categories include: biting (310 female vs. 160 male victims); hitting, kicking, and beating (3,960 female vs. 2,490 male victims); squeezing, pinching, scratching, twisting (1,030 female vs. 130 male victims); stabbing (90 female vs. 60 male victims); and threats or verbal assaults (460 female vs. 30 male victims). While the vast majority of workplace fatalities have historically been recorded among men, a higher percentage of fatal workplace injuries to women have resulted from homicide. These percentages remained consistent in 2008. While men suffered 93% of all workplace fatalities, the percentage of workplace fatalities resulting from homicide was 9% for men (down 1% from the previous year) and 26% for women (same as in 2007), making homicide the second leading killer of women in the workplace. Homicide is the fourth leading killer of men in the workplace.

Historically, workers most affected by workplace violence have included those in the retail industry (cashiers and sales persons), security guards, police officers, taxi and limousine
drivers, and certain health care workers. Men and women who work in government have higher rates of assault than private sector employees. The 2008 incidence rate for nonfatal assaults per 10,000 full-time workers was 27 in state government, compared to 11 in local government and 2 in the private sector. (BLS national estimates for the public sector which covers nearly 19 million state and local government employees were available for the first time in 2008.) Fifty-nine percent of injuries resulting from assaults in state government occurred in the health and social assistance industry. Eighteen percent occurred to psychiatric aides and 15% to psychiatric technicians. According to the Bureau of Labor Statistics, “the higher reported incidence of violence in state and local government workplaces may be attributed to their work environments. These workplaces reported much higher percentages of working directly with the public, having a mobile workplace, working with unstable or violent persons, working in high crime areas, guarding valuable goods or property, and working in community-based settings than did private industry.”

In general, workers are more likely to experience violence if their jobs involve:

- Exchange of money with the public.
- Working alone or in small numbers.
- Working late at night or early in the morning hours.
- Working in high crime areas.
- Guarding valuable property or possessions.
- Working in community settings (homes, shelters, Public Assistance Centers).

A growing threat for workers is domestic violence. In the past, violence occurring in the home was considered a private problem and not the business of a victim’s employer or co-workers. However, in recent times, acts of domestic violence have spilled into the workplace. According to the New York City Victim’s Services Agency, during a one-year period, three-quarters of battered women were harassed by their abusive partners in person or by telephone while at work. As a result, the governor of New York State introduced Executive Order #19 in 2008, requiring employers to adopt a policy addressing domestic violence in the workplace. Information on this legislation will be presented in a later section.
In addition to the human cost, employers suffer economic losses due to workplace violence and are often subject to legal action. According to Kaufer and Mattman, co-founders of the Workplace Violence Research Institute (WVRI), following an incident of workplace violence, legal action against an employer may include:

- Negligent hiring – failing to properly screen employees resulting in the hiring of someone the courts could say had a history of violent and criminal acts.
- Negligent retention – keeping an employee after the employer became aware of the employee’s unsuitability and then failed to act on that knowledge.
- Negligent supervision – failing to provide the necessary monitoring to ensure that employees perform their duties properly.
- Inadequate security – providing security measures to safeguard employees, customers and members of the public that are inconsistent with the potential threat.

**LEGAL MANDATES**

*The Clery Act*

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, codified as part of the Higher Education Act of 1965, is a federal law that requires colleges and universities to disclose annual information about campus crime and security policies. All public and private institutions of postsecondary education participating in federal student aid programs are subject to this law. President George Bush signed the Clery Act into law as the *Crime Awareness and Campus Security Act of 1990*. Howard and Connie Clery championed the Act after their daughter Jeanne was murdered at Lehigh University in 1986. The law was amended in 1992 to require that schools afford the victims of campus sexual assault certain basic rights, and was amended again in 1998 to expand the reporting requirements. (The 1998 amendments also formally renamed the law in memory of Jeanne Clery.) Subsequent amendments in 2000 and 2008 added provisions addressing registered sex offender notification and campus emergency response, respectively. The 2008 amendments also added a provision to protect crime victims, "whistleblowers," and others from retaliation.
Schools are required to publish an annual report containing three years of campus crime statistics and certain security policy statements including where students should report crimes. The statistics must be gathered from campus police or security, local law enforcement, and other school officials who have “significant responsibility to student and campus activities” such as student judicial affairs directors. Professional mental health and religious counselors are exempt from reporting specific details, but may report statistics in a confidential manner.

Crimes are reported in seven major categories and sub-categories:

1. Criminal homicide – sub-categories of murder and non-negligent manslaughter and negligent manslaughter;
2. Sex offenses – forcible sex offenses (including rape) and non-forcible sex offenses;
3. Robbery;
4. Aggravated assault;
5. Burglary;
6. Motor vehicle theft; and,
7. Arson.

Schools also are required to report liquor law violations, drug law violations, and illegal weapons possession if they result in either an arrest or disciplinary referral. The report also must indicate if any of the reported incidents, or any other crime involving bodily injury, was a “hate crime.”

For more information on the Clery Act, visit:
http://www.securityoncampus.org/index.php?option=com_content&view=article&id=271&Itemid=60

*Occupational Safety and Health Act (OSHA)*

Under the General Duty Clause, Section 5(a)(1) of the Occupational Safety and Health Act of 1970 (OSHA), employers are required to provide employees with a place of employment that “is free from recognizable hazards that are causing or likely to cause death or serious harm to employees.” This Clause has been interpreted to mean that an employer has a legal obligation to provide a safe workplace. An employer that has experienced acts of workplace violence or
that becomes aware of threats, intimidation, or other indicators of potential workplace violence, is considered to have been placed “on notice” concerning the risk of workplace violence in that organization. This employer may be required to implement a workplace violence prevention program (Long Island Coalition for Workplace Violence Awareness and Prevention (LICWVAP), 1996, p.10).

OSHA requires employers to institute policies and procedures to prevent violence from occurring in their workplaces. These policies may include means to identify the potential for violence, procedures to prevent the occurrence of violence and, in the event prevention fails and an incident of violence occurs, plans to respond and mitigate further damage.

Colleges and universities also have a legal obligation to provide a safe academic environment for students. As mentioned earlier, the annual Clery Report presents statistics on campus security incidents in order that campuses may prevent these incidents from recurring.

**The New York State Workplace Violence Prevention Act**

The New York State Workplace Violence Prevention Act requires New York State employers (other than schools covered under the school safety plan requirements of the education law) to:

(1) regularly evaluate the risk of workplace violence at each worksite, and,

(2) implement programs to prevent and minimize workplace violence.

Section 1 of the Act explains the reasons for the passage of this law.

**Section 1. Legislative findings.** The legislature finds and declares that workplace assaults and homicides are a serious public health problem that demands the attention of the state of New York. During the last decade, homicide was the third leading cause of death for all workers and the leading cause of occupational death for women workers. Workplace violence presents a serious occupational safety hazard for workers, but many employers and workers may be unaware of the risk. Moreover, the hazard of workplace violence is not currently addressed by any specific federal or state statute and regulation. It is critical to the maintenance of a productive workforce that employers and workers evaluate their workplaces to determine the risk of violence and to develop, and implement programs to minimize the hazard. Experience has shown that when employers evaluate the safety and health hazards in their workplaces and implement
employee protection programs, the incidence of workplace injuries is reduced. The legislature, therefore, further finds and declares that the public health, safety and welfare would be advanced by enactment of a law to require that employers develop and implement workplace violence protection programs designed to minimize the danger to employees of workplace violence.

The City University of New York is very serious about its obligation to provide a safe academic environment. Many campuses have crime prevention awareness programs managed by their respective Public Safety Departments. These awareness programs provide students with print and online information covering a variety of safety tips, including: general safety, subway safety, Internet safety, domestic violence, theft prevention, and fire safety.

**WORKPLACE VIOLENCE: DEFINITION OF TERMS**

A **workplace** is any location, either permanent or temporary, where an employee performs any work-related duty. For the purposes of this booklet, this includes, but is not limited to, college and university buildings and the surrounding perimeters, including the parking lots, field locations, and routes used by employees when traveling between work assignments.

**Workplace violence**, according to the University’s Workplace Violence Prevention Policy, is “any behavior that is violent, threatens violence, coerces, harasses or intimidates others, interferes with an individual’s legal rights of movement or expression, or disrupts the workplace, the academic environment, or the University’s ability to provide services to the public.” Some examples of workplace violence identified in the policy are:

1. Disruptive behavior intended to disturb, interfere with or prevent normal work activities (such as yelling, using profanity, verbally abusing others, or waving arms and fists).

2. Intentional physical contact for the purpose of causing harm (such as slapping, stabbing, punching, striking, shoving, or other physical attack).

3. Menacing or threatening behavior (such as throwing objects, pounding on a desk or door, damaging property, stalking, or otherwise acting aggressively; or making oral or written statements specifically intended to frighten, coerce, or threaten) where a reasonable person
would interpret such behavior as constituting evidence of intent to cause harm to individuals or property.

4. Possessing firearms, imitation firearms, knives or other dangerous weapons, instruments or materials. No one within the University community, shall have in their possession a firearm or other dangerous weapon, instrument or material that can be used to inflict bodily harm on an individual or damage to University property without specific written authorization from the Chancellor or the college President regardless of whether the individual possesses a valid permit to carry a firearm or weapon.

Researchers divide workplace violence incidents into four basic categories: (1) violence by strangers; (2) violence by any group for which the business provides services (e.g., customers/clients, patients, and, for our purposes, students and their parents); (3) violence by co-workers; and, (4) violence by personal relations.

Violence by Strangers – in this type of incident, a stranger commits the violence. The stranger has no legitimate relationship to the workplace and enters the workplace with criminal intent to commit a robbery or other violent act. Employees or students also may be victimized by strangers outside the “traditional” workplace while acting within the course and scope of their employment or academic responsibilities.

Violence by Students – in these incidents, a current or former student of the University commits the violence. The violence can be committed in a college or University location or away from the campus/University while the student is engaged in an activity sponsored by the University.

Violence by Co-Workers – in these incidents, the perpetrator has an employment relationship with the University. The perpetrator can be a prospective, current or former faculty member, or staff member. Employee violence occurring outside of the University, but which resulted or arose from the relationships within the University, would be included in this category. This type of violence can be further divided into two sub-categories: (1) violence between managers/supervisors and subordinates, and (2) violence between peers.
**Violence in Personal Relationships** – in personal relationship incidents, someone who has a personal relationship with the employee or student, such as a current or former spouse or partner, a relative or friend, commits the violence. Included in this category is the person who has a personal dispute with the employee or student and enters the workplace to harass, threaten, injure or kill. Estranged domestic partners, for example, may seek out their victims while they are at work.

**RISK FACTORS RELATED TO THE WORKPLACE**

Although many people believe that workplace violence is random and unpredictable, a number of factors may increase a worker’s risk for violence. Identifying these risk factors involves looking at the work environment, work practices, and other non-work related situations. (American Federation of State, County and Municipal Employees [AFSCME], *Preventing Workplace Violence*).

**External Risk Factors**

External risk factors are those that occur outside of the workplace and are related to society as a whole. They are usually referred to as environmental risk factors. Environmental risk factors that predict violence include:

- A violent society;
- A violence-prone neighborhood;
- The large number of weapons in circulation;
- People who have a history of violence; and/or,
- Hospitalization instead of incarceration of violent criminals.

**Internal Risk Factors**

Internal risk factors relate to situations or workplace practices that affect the entire workplace. Violence among workers and managers may be linked to the work climate and job-stress. Signs of a troubled or “at risk” work environment that could lead to worker-on-worker violence include:
• Chronic labor/management disputes;
• Frequent grievances filed by employees;
• An extraordinary number of workers’ compensation claims (especially for psychological illness or mental stress);
• Understaffing or excessive demands for overtime;
• A high number of “stressed out” workers;
• Limited flexibility in how workers perform their jobs;
• Pending or rumored layoffs or “downsizing”;
• Significant changes in job responsibilities or workload; and/or,
• An authoritarian management style.

Some of the work practices associated with workplace violence include:

• Overworked employees;
• Employees working alone;
• Employees working late at night or early in the morning;
• Employees working with money or prescription drugs;
• Long waits for services by customers (i.e., students), employees, clients or patients; and/or,
• A lack of available services.

“PEOPLE-RELATED” RISK FACTORS

In addition to stress created by their jobs, workers may experience stress outside of work. This type of stress is most often caused by unpleasant situations in the employee’s personal life. Examples of these types of stressors are:

• A physical or mental health problem;
• Financial difficulties;
• Marital or relationship problems;
• Caring for an elderly or sick relative;
• Child-care concerns; and/or,
• Drug or alcohol abuse.

It is important to remember that while internal and external risk factors are identified singly here, it is highly unusual for these to be sole causative factors. When incidents of violence occur, they usually can be attributed to the presence and interplay of multiple factors, both workplace-related and people-related.

STUDENTS AND WORKPLACE VIOLENCE

Students are subject to the same risk factors as employees. They include societal risks that result from a violent culture, risks from personal life situations, and the internal “workplace” risks that result from a stressful “work” climate.

Although students are thought of as the “clientele” for the University’s “business,” in many respects, the relationship between students and the Colleges (and University personnel) more closely parallels an employee/employer relationship. The balance of power that tilts towards a consumer in a traditional business is turned on its head in the college context. The hierarchical relationship between students and college faculty and staff subjects students to the same types of risks in the academic environment that employees might experience in a stressful work climate.

For example:
• Chronic student/faculty disputes can be akin to labor management disputes.
• Students juggling full-time work and school, along with family responsibilities and financial stressors, can experience tensions similar to those experienced by workers with job-related and personal stress and overtime demands.
• Seemingly idiosyncratic shifts in teaching styles and course requirements from semester to semester can be experienced by students in the same way that employees experience changes in job responsibility, increased workload, or lack of flexibility in how their jobs are performed.
• The concept of academic freedom within a classroom environment that is intolerant, or offers limited opportunities to discuss or resolve conflicts, can have the same impact as an authoritarian management style in the workplace.
Students and “People-Related” Risk Factors

Students arrive on campus with the same range of personal issues that employees may bring to the workplace. While Human Resources may be charged with the responsibility of screening for employees who have a demonstrated pattern of problems that interfere with their work performance, the University actively attempts to increase “access to excellence” to all eligible members of the community. With the latest advances in psychopharmacological interventions, many more students with psychiatric disorders are enrolling in college. However, academic and social stressors can, at times, compromise their emotional stability. College attendance is demanding on student resources of time and money, which can further complicate significant relationships and add stress. Further, suicide risk has been found to be highest among students who have a pre-existing psychiatric disorder.

The initial exposure of large numbers of young students to a diverse college community with less structure and supervision can lead to interpersonal conflicts including bias incidents, dating violence, and stalking. Student attacks on faculty and staff are not widespread but are a source of perceived workplace danger. For example, the ever-present threat of failure for underprepared students can cause hypersensitivity to criticism. Students may respond to this tension disruptively or aggressively, thereby, making faculty feel threatened and resulting in high levels of mistrust between students and employees.

Best Practices for Preventing Student Violence

The following is a list of recommended activities and strategies to help prevent student violence on campus. They focus on building a sense of community and creating a climate of respect, safety, belonging, and emotional support. Institutional support and proper staffing are crucial to their successful implementation. The particular needs of each campus also must be taken into account when considering these strategies and activities.

1. Assess the climate by surveying stakeholders.
2. Review policies and practices and address any that may tolerate violence.
3. Warn against violence at orientations.
4. Enforce codes of conduct.
5. Institute a policy to identify types of prohibited speech as disruptive.
6. Establish a ban on firearms.
7. Provide escort and other safety measures.
8. Focus on violence from known perpetrators, not just strangers.
9. Expand campus mental health services.
10. Encourage all members of the community to report verbal and written threats, weapons and bizarre behaviors.
11. Support healthy norms and encourage bystander reporting.
12. Be aware of risks associated with bystander disclosure and protect safety.
13. Create zero tolerance for discrimination or harassment.
14. Develop campus-wide responses to hate crimes, e.g., a curriculum for public safety, and/or a hate crime response team.
15. Provide education on common forms of violence.
16. Address environmental issues such as drug and alcohol use, including comprehensive substance abuse prevention efforts.
17. Utilize a “social norms marketing” approach to decrease negative cultural aspects within the community.
18. Promote peer diversity education programs and groups.
19. Establish the campus as a lesbian, gay, bisexual, transgender (LGBT) safe zone, and develop LGBT allies and training.
20. Infuse the curriculum and co-curricular activities with anti-violence messages and develop a collective understanding of societal power imbalances that can promote violence.
21. Create classroom disruption policies addressing harassment and intimidation.
22. Clarify procedures for managing classroom incidents.
23. Use skill-building approaches to go beyond rules and regulations.
25. Support trusted connections between faculty and students.
26. Allow time for communication outside the classroom.

Tips for Coping with High Risk Students:
1. Provide consultation to departments to manage high-risk students and mediate conflicts constructively.
2. Educate faculty and staff about early referral for distressed students.
3. Develop an early warning system such as a student assistance committee where troubled students are discussed and prevention plans are developed.
4. Put protocols in place for conveying information regarding dangerous situations and threats.
5. Have legal counsel review all plans.

Threat Assessment and Students

The threat assessment process is the central component in preventing targeted school violence. Targeted violence is rarely sudden, meaning that the potential for an attack may be indicated by an individual’s behavior or communication. The following are some common characteristics of potential attackers.

- Most attackers engaged in some behavior that caused concern prior to the attack.
- Most attackers have been known to have difficulty coping with significant losses or personal failures and many consider suicide.
- Many attackers feel persecuted or injured by others.
- Most attackers have access to weapons.

Attackers often do not threaten the target directly. Further, there is a distinction between someone who makes a threat and someone who poses a threat. Students may make threats to get attention, to express anger or frustration, to frighten or coerce, to joke, or to communicate intent. That said, every threat should be investigated, although voicing a threat should not be the sole determinant in judging the risk for violence. A person poses a threat if he or she engages in behavior that indicates intent, planning or preparation. The following are some tips for responding to a perceived or potential threat:

1. Remember that there is no profile. Consider whether someone is moving on a path towards violence. When this is the case, there is often a discernible thought process. Violence results from interactions among the person in question, the situation, the setting and the target.
2. Develop a means to respond to and manage threatening behaviors that may not warrant disciplinary or legal action.
3. Establish authority/procedures for conducting an inquiry and gathering information.
4. Advise students and faculty of the kinds of information that should be reported, e.g., weapon seeking, homicidal or suicidal ideation, or any behavior contemplating an attack.
5. Ensure that anyone who comes forward will be treated thoughtfully and protected.
6. Evaluate whether the college setting or culture is tolerating violence.
7. Find out whether the aggressing student is experiencing violence, rejection, humiliation or other threats to their self-esteem.
8. Find out whether the student has respectful connections that can be enlisted to help diffuse the conflict.
   a. Is there some trusting relationship that can facilitate a non-violent problem resolution?
   b. Should family be contacted?

Inquiry into (Potential) Threats

Tips and objectives for interviewing the student posing the (perceived) threat:
1. The primary purpose is to learn about the student's thinking, motives and behavior.
2. The interviewer's tone should be professional, neutral, and non-confrontational, rather than accusatory or judgmental.
3. The student should be asked directly about his or her intentions.
4. Send the message that behavior has been noticed and has caused concern.
5. Give the student the opportunity to tell his or her personal stories, to be heard, and to reassess and redirect their behavior away from the activities of concern. Suggest that there are people interested in the student's well being and that there are better ways to cope.

Tips and objectives for interviewing the target of the (perceived) threat:
1. Gather information about the possible situation of concern.
2. Ask about their relationship with the student in question, as well as any recent interactions, grievances, and grudges.
3. Try not to alarm him or her.
4. Offer assistance and support.
The inquiry may lay the matter to rest by controlling or containing the situation or student, protecting possible targets, and providing support to solve problems. It may identify the need for services, referrals, disciplinary measures, or the involvement of law enforcement. In any case, the situation must be monitored until the student in question has changed the unacceptable behavior and there is a plan to help the student develop and resolve, or deal more effectively, with his or her issues.


For more on threat assessment in the workplace, see Part III of this manual, titled Elements of a Workplace Violence Program.

Suicide Prevention

Review the National Mental Health Association (www.nmha.org) and Jed Foundation (www.jedfoundation.org) expert panel recommendations to update your campus Suicide Prevention Plan. The following are the identified essential services for addressing suicidal behaviors:

- Screening programs
- Targeted educational programs for faculty and staff
- Campus wide public education programs
- Onsite counseling center and medical services
- Off-campus referrals
- Medical leave policies
- Student support networks
CURRENT TRENDS IN WORKPLACE VIOLENCE

“Cyberbullying”/“Cyberstalking”

Just as modern technology affords us newer, easier, and more immediate ways to communicate and interact with one another, it also provides additional ways for people to harass and threaten others. The National Crime Prevention Council (NCPC) defines “cyberbullying” – also referred to as “cyberstalking” – as “using the Internet, cell phones, video game systems, or other technology to send or post text or images intended to hurt or embarrass another person.” The Internet makes it easier than ever for a harasser to find information on a potential target, including their work or home location, contact information, and any personal information posted to social networking sites. Cell phones allow potential victims to be reached at any time with threatening phone calls or text messages. In addition, today’s smart phones and personal data PDAs – e.g., the Blackberry and Palm devices – allow people to send and receive e-mail messages wherever they go and may also allow photographs to be taken and sent to them or uploaded to public web sites for the purpose of harassment. A recent study by Littler Employment and Labor Law Solutions Worldwide found that 40% of stalking cases now involve cyberstalking.

Anger and Escalation

Another trend is the escalation of workplace conflict, including bullying, into more severe forms of harassment or violence. Subtle forms of workplace bullying – generally defined as behavior used to intimidate, control, or undermine an individual in the workplace – can include assigning unreasonable workloads, withholding important information, sabotaging someone’s work, or belittling someone in front of co-workers. Such behavior can come from a supervisor or from a peer who may feel competitive with the individual. Over time, resentment can build and lead to other forms of interpersonal conflict including verbal and physical aggression.

One reason for the escalation of bullying and harassing behavior may be an increase in the number of angry people in our society and in the workplace. The economic downturn is a source of anxiety and stress for many people. Fear of layoffs, anger over departmental reorganization, and the pressure of having to do more with less (due to budget cuts or reductions in staff) can lead employees to act out in aggressive or even violent ways.
Due to increased awareness and concern regarding workplace bullying and its connection to workplace harassment and violence, several states are currently considering anti-bullying legislation. According to the Workplace Bullying Institute, legislation is pending in New York, as well as in Connecticut, Illinois, Massachusetts, Nevada, New Jersey, Oklahoma, Oregon, Utah, and Vermont.
At its June 2004 meeting, the Board of Trustees adopted the Workplace Violence Policy and Procedures for The City University of New York.

CUNY’s policy states:

The City University of New York prohibits workplace violence. Violence, threats of violence, intimidation, harassment, coercion, or other threatening behavior towards people or property will not be tolerated. Complaints involving workplace violence will not be ignored and will be given the serious attention they deserve. Individuals who violate this policy may be removed from University property and are subject to disciplinary and/or personnel action up to and including termination, consistent with University policies, rules and collective bargaining agreements, and/or referral to law enforcement authorities for criminal prosecution…..

Policy Application and Overview

CUNY’s policy covers faculty, staff, students, vendors, contractors, consultants, and others who do business with the University whether in a University facility or off-campus location. The policy also applies to former employees, former students and visitors. The policy articulates the following:

- An operational definition of workplace violence;
- Incident reporting responsibilities; and,
- Organizational, departmental and individual responsibilities for addressing workplace violence.
- Establishment of a Workplace Violence Advisory Team (WVAT) on each campus to manage workplace violence prevention and response.
Responsibilities of the CUNY Community

According to the University’s policy, every member of the CUNY community has a role to play in the prevention of violence in the workplace and the classroom. Certain members of the University have specific responsibilities assigned to them as a result of their position in the workplace.

**CUNY Presidents** – The President of each CUNY college, the Chief Operating Officer at the Central Office, and the Deans of the Law School, Sophie Davis School of Biomedical Education, and Graduate School of Journalism are responsible for the implementation of the CUNY Workplace Violence Policy and Procedures on their respective campuses or work locations. Implementation includes dissemination of the policy, ensuring investigation and follow-up of alleged incidents, appointing a Workplace Violence Advisory Team (WVAT), and ensuring that all campus faculty and staff are made aware of and execute their responsibilities as described by the policy.

**Campus Public Safety/Security Offices** – Each campus public safety office is responsible for responding to, intervening, and documenting all incidents of violence in the workplace and classroom. The Campus Public Safety Office will log all incidents of workplace violence and notify the respective supervisor of an incident with his/her employee, or notify the appropriate campus official of an incident involving a student(s). All Officers should be knowledgeable about circumstances when law enforcement action is appropriate. The Public Safety Office is responsible for maintaining an internal tracking system of all threats and incidents of violence. Annual reports detailing the number and description of these incidents and their dispositions are to be submitted to the President along with information and recommendations on campus training and security procedures.

Peace Officers are to be trained in workplace violence awareness and prevention, non-violent crises intervention, conflict management, and dispute resolution. The Public Safety Office is also responsible for working closely with Human Resources when the possibility of workplace violence is heightened, as well as on the appropriate response to workplace violence incidents consistent with CUNY policies, rules, procedures and applicable labor agreements.
Managers and Supervisors – Each dean, director, department chairperson, executive officer, administrator, or other person with supervisory responsibility (hereinafter “supervisor”) is responsible within his/her area of jurisdiction for the implementation of this policy. Supervisors must report to their respective Campus Public Safety Office any complaint of workplace violence made to them and any other incidents of workplace violence of which they become aware or reasonably believe to exist. Supervisors are expected to inform their immediate supervisor promptly about any complaints, acts, or threats of violence even if the situation has been addressed and resolved. After reporting the complaint or incident to the Campus Public Safety Director and immediate supervisor, the supervisor should keep the complaint or incident confidential and not disclose it further, except as necessary during the investigation process and/or subsequent proceedings. Supervisors are required to contact the police immediately in the event of imminent or actual violence involving weapons or potential physical injuries.

Faculty and Staff – Faculty and staff must report workplace violence, as defined by the CUNY policy, to their supervisor. Faculty and staff who are advised by a student that a workplace violence incident has occurred or has been observed must report this to the Campus Public Safety Director immediately. Recurring or persistent workplace violence that an employee reasonably believes is not being addressed satisfactorily, or violence that is, or has been, engaged in by the employee’s supervisor should be brought to the attention of the Campus Public Safety Director.

Employees who have obtained Orders of Protection are expected to notify their supervisors and the Campus Public Safety Office of any orders that list CUNY locations as protected areas. Victims of domestic violence who believe the violence may extend into the workplace, or employees who believe that domestic or other personal matters may result in their being subject to violence extending into the workplace, are encouraged to notify their supervisor, or the Campus Public Safety Office. Confidentiality will be maintained to the extent possible.

Office of Human Resources/Personnel – The Office of Human Resources or Personnel Department at each campus is responsible for assisting the Campus Public Safety Director and campus managers and supervisors in responding to workplace violence; facilitating appropriate responses to reported incidents of workplace violence; notifying the Campus Public Safety...
Office of workplace violence incidents reported to that office; and consulting with, as necessary, counseling services to secure professional intervention.

The Office of Human Resources is also responsible for providing new employees or employees transferred to the campus with a copy of the Workplace Violence Policy and Procedures, annually disseminating this policy to all faculty and staff at their campus, and ensuring that faculty and staff receive appropriate training. The Office of Human Resources is responsible for posting the policy throughout the campus and on the college’s website, as appropriate.

**Students** – Students who witness violence, learn of threats, or are victims of violence by employees, students or others should report the incident immediately to the Campus Public Safety Office. If there is no imminent danger, students should report threatening incidents by employees, students or others as soon as possible to the Campus Public Safety Office or Office of Student Affairs. Students will be provided with workplace violence awareness information (including information regarding available counseling services) upon registration each year.

**Workplace Violence Advisory Team (WVAT)** – CUNY campus Workplace Violence Advisory Teams (WVATs) are appointed by the President of each college, the Chief Operating Officer of the Central Office, and the Deans of the University’s Graduate and Professional Schools.

The WVAT is responsible for assisting the college President in responding to campus workplace violence issues. This includes facilitating appropriate responses to reported incidents of workplace violence; assessing the potential problem of workplace violence at the site; assessing the college’s readiness for dealing with workplace violence; evaluating incidents to prevent future occurrences; and utilizing prevention, intervention, and interviewing techniques in responding to workplace violence. Although not specified in the CUNY policy, expert researchers indicate that one of the most important responsibilities of such groups as the campus WVAT, is to assess current programs or policies related to threats, building emergencies, harassment, or unwanted behavior (LICWVAP, 1996; Minnesota Department of Labor & Industry [MDLI], “Workplace Violence Prevention, A Comprehensive Guide for Employers and Employees”). It is recommended that campus WVATs conduct these types of assessments and make recommendations for corrective action to their respective presidents.
This assessment will provide a “baseline” for the campus and allow the WVAT to identify existing strengths and weaknesses.

The WVAT is also responsible for developing and disseminating workplace violence prevention tools (such as pamphlets, guidelines and handbooks) to further assist in recognizing and preventing workplace violence on campus. CUNY Workplace Violence Policy specifically recommends that the WVAT include members from Campus Security, Human Resources, Counseling Services, Occupational Health and Safety, Legal Affairs, and others, including faculty, staff and students, as deemed appropriate by the President.

In lieu of establishing the Workplace Violence Advisory Team, a President may opt to expand the College Advisory Committee on Campus Security with representatives from the areas previously identified to address workplace violence issues. The expanded committee would perform the functions outlined above.

University Communications/University Office of University Relations – CUNY’s Policy requires all communications to the University community and with outside entities regarding incidents of workplace violence to be made by the Office of University Relations after consultation with the respective President or his/her designee.

At the request of an employee or student, or at its own discretion, the University may prohibit members of the public, including family members, from seeing an employee or student on University property unless necessary to transact University-related business. The Workplace Violence Prevention Policy particularly applies in cases where the employee or student suspects that an act of violence will result from an encounter with the individual(s).

The University has a long-standing commitment to promoting a safe and secure academic and work environment that advances the achievement of its mission of teaching, research, scholarship and service. The University holds accountable all members of its community – students, faculty and staff – to the enhancement and maintenance of a respectful working and learning environment free from violence, threats of violence, harassment, intimidation or coercion.
Part III
ELEMENTS OF A WORKPLACE VIOLENCE PROGRAM

Experts suggest that to be successful, workplace violence prevention efforts must have commitment from top management and must involve managers and supervisors, faculty and staff, and employee representatives. Management provides the organizational resources along with the motivating forces necessary to deal effectively with safety and security hazards. It is recommended that employees be involved both individually and collectively in the development of the prevention program by participating in worksite assessment, assisting in the development of clear effective procedures, and by identifying existing and potential hazards. Employee knowledge and experience should be incorporated into any written plan to correct and prevent safety and security hazards. Finally, a key aspect of workplace violence prevention programs is the responsibility for auditing the overall workplace violence prevention program -- this responsibility rests with the campus WVAT.

The basic elements of a Workplace Violence Prevention Program are:

- Developing and distributing a clearly written Workplace Violence Policy Statement;
- Establishing a Threat Management Team (Workplace Violence Advisory Team);
- Conducting a Hazard Assessment;
- Evaluating Workplace Hazards;
- Instituting Workplace Hazard Control and Prevention Measures;
- Providing Training and Education;
- Developing Procedures for Incident Reporting, Investigation, and Follow-up;
- Instituting Record-keeping Procedures. (LICWVAP, 1996, p. 14)

The policy itself should be easily accessible to employees and students.

The above list of program elements may appear daunting at first glance but most campuses probably have several components of an effective workplace violence prevention program already in place. These may include access control, security and asset protection programs, and sexual harassment prevention policies.
Pitfalls to Avoid in Program Development and Implementation

Many workplace violence prevention programs are a reaction to the misconception that most violence is caused by workers, and/or in our case, students. As a result, these programs may fail to protect everyone from the more real problem of violence caused by visitors. However, the most common characteristic of poor violence prevention programs is that they omit the components necessary to make a workplace violence prevention program truly effective. Although it may be difficult for campuses to immediately implement every element of a violence prevention program, experts recommend that Threat Assessment Teams (CUNY’s campus WVATs) work with top management (the college President) to implement elements of a workplace violence prevention program in phases (AFSCME, 1998).

CUNY’s workplace violence prevention program is alive and well. The University implemented a workplace violence prevention policy in 2005, more than a year before the law was passed by New York State. CUNY presidents appointed members of the CUNY community with expertise in the field of workplace violence prevention and related subjects to Workplace Violence Advisory Teams (or their equivalents) in 2005. Campuses have been involved in numerous workplace violence prevention efforts as required by their campus workplace violence prevention programs. Other recommended program elements to be addressed are as follows.

Hazard/Threat Assessment

Identifying hazards, collecting information and documenting incidents are a very important part of addressing workplace violence problems. Employers cannot correct hazards that they do not know exist. Solutions cannot be determined if problems are not reported. A hazard assessment is a method of identifying, analyzing and documenting workplace hazards. Assessing workplace violence hazards involves some of the same tools used to document other workplace safety or health problems. These include reviewing records of prior incidents, using checklists to systematically inspect and identify workplace hazards, and surveying employees. (For your consideration, a sample self-inspection checklist and a sample employee hazards survey form are provided in Appendices A and B.)
Control and Prevention

It is recommended that the Workplace Violence Advisory Team identify and institute a combination of engineering and administrative controls designed to eliminate or minimize the risk of violence (LICWVAP, 1996, p. 16).

Engineering controls create a barrier between the worker and the hazard. Engineering controls include:

- General building, work station and area design, security measures; and,
- Security equipment.

Administrative controls are practices that reduce the likelihood for violence. Examples of administrative controls for workplace violence include:

- Determining base staffing levels during safety and security assessments;
- Developing internal communication procedures for responding to emergencies;
- Providing training in defusing violent situations, self-defense, escape routes, and procedures to follow when violence occurs;
- Recording assaults, verbal abuses and "near misses" to learn how to prevent similar incidents from recurring.

Domestic Violence and the Workplace

In 2008, CUNY officially adopted The City University of New York Domestic Violence and the Workplace Policy & Procedures, as required by the New York State Governor's Executive Order #19. The goal of the Executive Order was to help create a safe working environment for all New York State employees and to assist victims of domestic violence. The CUNY Policy was approved by New York State in May 2008 and is based on The State of New York Model Domestic Violence and the Workplace Policy, developed by the Office for the Prevention of Domestic Violence (OPDV) with input from various state agencies and state labor organizations. The following Policy Statement is excerpted from the CUNY Domestic Violence Policy:
The City University of New York (“CUNY”) disapproves of violence against women, men, or children in any form, whether as an act of workplace violence or in any employee’s personal life. Domestic violence can spill over into the workplace, compromising the safety of both victims and co-workers and resulting in lost productivity, increased health care costs, increased absenteeism, and increased employee turnover. CUNY is committed to full compliance of all applicable laws governing domestic violence in the workplace, to promoting the health and safety of its employees, and to making a significant and continual difference in the fight to end domestic violence. CUNY will review this policy annually and will notify all employees and the New York State Office for the Prevention of Domestic Violence (“OPDV”) of any revisions.

The Policy defines domestic violence as follows:

A pattern of coercive tactics, which can include physical, psychological, sexual, economic and emotional abuse, perpetrated by one person against an adult intimate partner, with the goal of establishing and maintaining power and control over the victim.

In accordance with this policy, CUNY has appointed a University Liaison to the NYS OPDV, as well as Domestic Violence Liaisons from each campus to ensure the implementation of the Policy university-wide, as well as on each campus. In addition, campus liaisons are to be available to employees in need of support and are trained by OPDV to carry out the following responsibilities:

- Identify possible signs and indicators of victimization
- Make appropriate referrals to domestic violence service providers
- Work with professionals to assist identified victims with safety planning
- Help develop individualized responses.
- Designate other staff members for additional training on domestic violence issues
- Have a basic understanding of – and ability to train others in - domestic violence issues

Under New York State Law, employers can address potential domestic violence in the workplace by permitting employees who are domestic violence victims to use available paid leave to attend legal proceedings, tend to family emergencies, and attend counseling sessions.
Human Resource departments, Public Safety Offices and liaisons can work together to conduct information sessions on domestic violence procedures. HR and Counseling Offices can provide the telephone numbers and locations of nearby shelters to domestic violence victims. Employee Assistance Programs (EAPs) also can be expanded to provide services for staff who are domestic violence victims.

Public Safety Offices can enhance security in the workplace to inhibit a victim’s abuser (and other non-employees) from entering the work area unescorted. Public Safety can help victims file the necessary legal charges (with the local police) for obtaining a restraining order against an abuser. Employees who are domestic violence victims also can assist Public Safety by providing them with photographs of their abusers.

For more information on Domestic Violence, visit the OPDV Web Site at: www.opdv.state.ny.us. The City University of New York Domestic Violence and the Workplace Policy & Procedures are available on the CUNY website at: http://web.cuny.edu/administration/ohrm/policies-procedures/domestic-violence.html.

**Employee Training and Education**

According to the University’s policy, colleges are responsible for providing opportunities for training in the prevention and awareness of workplace violence. The University Office of Human Resources Management is charged with providing assistance to the campuses in identifying available training opportunities and resources and tools that can be incorporated into campus prevention materials for dissemination to the college community.

Violence prevention and management professionals have found the following training plan to be effective in preventing violence and other threatening behavior. (LICWAP, 1996; U.S. Department of Justice, Federal Bureau of Investigation [USDOJ, FBI]).

1) **Employers must instruct all employees** in the organization’s workplace violence prevention policy and must know how to report incidents of violent, intimidating, threatening, and other disruptive behavior. All employees must be provided with phone numbers for quick reference during a crisis or an emergency. They must know how to obtain medical assistance...
and follow-up, and, finally, security procedures (e.g., the location and operation of safety devices such as alarm systems). In addition, workplace violence prevention training for employees may include:

- How to behave compassionately towards co-workers when an incident occurs;
- Ways of preventing or diffusing volatile situations or aggressive behavior;
- How to deal with hostile persons;
- Managing anger;
- Techniques and skills to resolve conflicts;
- Stress management, relaxation techniques, wellness training;
- Personal security measures; and
- Available resources to assist employees in resolving conflicts.

2) Policy briefings for executive staff should provide an overview of the issues of workplace violence and detail the financial and legal consequences of not having an effective program in place, with the intent of gaining their support for the program.

3) Managers and supervisors should be trained to recognize potentially hazardous situations or to make any necessary changes in the work location or staffing policy/procedures. They need to ensure that employees are not placed in assignments that compromise safety, and are not working in a manner that increases security hazards or the potential occurrence of workplace violence. Managers and Supervisors should reinforce the employer’s WV Prevention Program, promote safety and security, and ensure employees receive additional training as the need arises (LICWVAP, 1996).

The same approaches that create a healthy, productive workplace also can help prevent potentially violent situations. It is important that supervisory training include basic leadership skills such as setting clear standards, addressing employee problems promptly, and using the probationary period, performance counseling, discipline, and other management tools conscientiously. These interventions can keep difficult situations from turning into major problems (USDOJ, FBI).

**Supervisory training** should cover:
• Ways to encourage employees to report incidents in which they feel threatened for any reason by anyone inside or outside the organization;
• Skills in behaving compassionately and supportively towards employees who report incidents;
• Skills in taking disciplinary actions;
• Basic skills in handling crisis situations; and,
• Basic emergency procedures.

Training for CUNY “WVATs”

Much of the training for Campus Workplace Violence Prevention Teams (“WVATs”) can be accomplished by the Team’s careful review and analysis of various scenarios of workplace violence and formulation of responses that would be appropriate and practical. Practice exercises can help the Team determine each WVAT member’s role and their appropriate responses to various workplace violence situations in order to lessen and/or eliminate confusion during an actual incident. (USDOJ, FBI; [Case Studies provided in Appendix: D]).

Workers with job tasks or locations that place them at higher risk for violent incidents should be provided specialized training in addition to those topics outlined above. Training should be designed to deal with the nature of the risk. WVATs may contact The Office of Human Resources Management (OHRM) for assistance with identifying titles that may need supplemental training, and for suggestions of additional training areas.

CUNY’s policy states that Campus Peace Officers are to be trained in workplace violence awareness and prevention, non-violent crises intervention, conflict management, and dispute resolution. Campus Public Safety personnel have much of this training already, as required for their high-risk jobs, which often includes specific training in facility layouts and security hardware.

In keeping with effective workplace violence prevention, Public Safety personnel must also (1) conduct regular hazard assessments of campus facilities to determine the level of security preparedness; (2) serve as the college liaison with local law enforcement on security matters
and work with law enforcement to identify in advance the types of situations that may occur; and (3) work with Human Resources to provide employee briefings or training on specific workplace violence issues as required. Finally, the Campus Public Safety Office should serve as the college security expert, keeping management advised of the risk of violence, the security gaps identified by hazard assessments, and recommendations for closing these gaps, including the use of the latest technologies.

**Domestic Violence Training**

Employees designated as campus Domestic Violence Liaisons, as well as those assisting them in performing their responsibilities under CUNY’s *Domestic Violence and the Workplace: Policy & Procedures*, must complete the full-day NYS *Domestic Violence and the Workplace* training program. Additionally, those providing domestic violence prevention and awareness training on their campus must complete the half-day *Program Implementation: Tools and Techniques for Trainers* workshop. Both classes are presented by the New York State Office for the Prevention of Domestic Violence (OPDV) and are scheduled periodically at CUNY locations and in Albany for employees of various state agencies. Consult the OHRM/PDLM Program Schedule at [www.cuny.edu/training](http://www.cuny.edu/training), as well as the OPDV web site at [www.opdv.state.ny.us](http://www.opdv.state.ny.us), to find out when domestic violence training is scheduled.

**Workplace Violence Incident Reporting, Investigation, Follow-Up and Record-Keeping**

**Incident Reporting**

Many campuses already have emergency response plans and procedures for reporting violence. If these procedures are not already established, they should be developed and integrated under the overall campus violence prevention program. It is extremely important for all members of the University community to be familiar with the steps to be taken in the event of any incidence of violence, threat of violence (including bomb threats, and other major emergencies such as a fire). These procedures should apply to all types of violent incidents, whether or not physical injury has occurred (i.e., verbal abuse, threats of violence, menacing, etc.). These procedures should be in writing and should be easily understood by all employees.
and students. Issues of confidentiality should be taken into account or employees may be reluctant to come forward. In addition, employees should not fear retaliation for bringing their concerns to management’s attention.

The CUNY Workplace Violence Policy & Procedures specifies the general reporting responsibilities to be observed on CUNY campuses.

1. Anyone experiencing or witnessing imminent or actual violence involving weapons and personal injury should call 911 immediately and at the same time report incident to the Campus Public Safety Office.

2. Any person who is the subject of a suspected violation of this policy involving violence without weapons or personal injury, or is a witness to such suspected violation, should report the incident to his or her supervisor, or in lieu thereof, to their respective Campus Public Safety Office. The Campus Public Safety Office will work with the Office of Human Resources and the supervisor of the Office of Student Affairs on an appropriate response.

3. All individuals who believe a crime has been committed against them have the right to report the incident to the appropriate law enforcement agency.

Any member of the University community making a false and malicious complaint of workplace violence will be subject to disciplinary action and/or referral to civil authorities as appropriate.

The Long Island Coalition for Workplace Violence Awareness and Prevention (LICWVAP) recommends that each incident be reported to and evaluated by the employer’s Threat Assessment Team (CUNY’s Workplace Violence Advisory Teams). Reports of incidents and their evaluation provide the Team with vital information and data necessary for workplace violence prevention and serve as a basis for identifying program improvements.
When an Incident Occurs

In general, all actions taken when an incident of workplace violence occurs should be consistent with established campus procedures for such incidents. The following steps should be included among those procedures:

- Report the incident to the Campus Public Safety Office immediately or call 911;
- Secure work areas where disturbances occurred;
- Ensure the physical safety of employees and others remaining in the area as soon as possible;
- Ensure that no work area is left short-staffed while others assist the victim or help in securing the area;
- Quickly assess the work area if it was disturbed or damaged during an incident, to determine if it is safe;
- Provide critical incident debriefing to victims, witnesses, and other affected employees; these conversations must be strictly confidential.

Incident Investigation

After an incident occurs, a detailed investigation is required. All incidents, including near misses, should be investigated as soon as possible. A delay of any kind may cause important evidence to be removed, or intentionally or unintentionally destroyed. Comprehensive investigation records must be maintained (LICWVAP, p.25).

When reviewing investigation results, the Workplace Violence Advisory Team should:

- Collect facts on who, what, when, where, and how the incident occurred;
- Record information;
- Identify contributing causes;
- Recommend corrective action;
- Encourage appropriate follow-up;
- Consider changes in controls, procedures, and policy.
Follow-Up

Procedures should be established for responding quickly and appropriately to the medical and psychological needs of employees and students following exposure to a violent incident. All employees affected by workplace violence should be provided with appropriate medical and psychological treatment and follow-up. Provisions for medical confidentiality and protection from discrimination must be included to prevent the victims of workplace violence from suffering further loss. Colleges should utilize existing EAP services but may contract individually with local counseling services, if required.

Record-keeping

An effective record-keeping system helps in selecting the appropriate level of controls to prevent recurrence and in determining required training. Records should be kept up to date. The following records should be kept (LICWVAP, 1996):

- OSHA 200 Log - OSHA regulations require entry on the Injury and Illness Log of any injury that requires more than first aid, causes loss of consciousness, requires modified duty, or results in lost time from work. Assaults should be entered on the log. Doctors' reports of work injury and supervisors' reports shall be kept of each recorded assault. Fatalities or catastrophes must be reported to OSHA (www.osha200.com/).

- Incidents of Assaults - Should describe who assaulted, the type of activity, (i.e., unprovoked sudden attack), and all other circumstances of the incident. The records should include a description of the location/environment, potential or actual cost, lost time, nature of injuries sustained, etc.

- Incidents of abuse, verbal attacks or aggressive behavior - Any acts of aggression should be recorded; they may be threatening to the worker, but may not result in injury, (i.e., pushing or shouting). These records may be included with assault incident reports that are evaluated routinely by the Workplace Violence Advisory Team. (Sample Incident Report Form, Appendix: C).
• Minutes of safety meetings and inspection reports – Contains findings, corrective actions recommended relative to workplace violence, along with the employer’s response and completion dates for action items.

• Training records – Includes dates the training was conducted, type of training, etc.

• Inspection records – Includes dates of inspection, areas inspected, all findings and recommendations, any control measures implemented, etc.

• Employee hazard responses – Includes summaries of employee responses to hazard questionnaires and employee identification of high-risk work areas and activities.

• Insurance Records

• Workers Compensation Records
Part IV - HUMAN RESOURCE PRACTICES

Introduction

This section deals with human resource practices that may be initiated, and “driven” by the Human Resource Office on each campus. However, all department managers and supervisors essentially utilize human resource practices in the manner in which they manage their respective work units and interact with the employees who report to them. In that regard, the ideas presented in this section are for all managers and supervisors to consider and implement, as appropriate. Managers, supervisors, and human resource professionals can contribute to and support a respectful, harmonious, efficient and enjoyable work environment, or they can sow the seeds of incivility, disharmony, frustration, and stress. In short, we can unwittingly establish fertile ground for the growth of workplace violence, or we can deliberately choose to cultivate a work environment that is in keeping with recommended prevention practices.

The employee selection process is one of the most important considerations when it comes to preventing workplace violence. The University has various procedures for verifying the educational backgrounds and employment histories of potential and new employees. Some employees also undergo criminal history background checks that are required for their job group. College Human Resource Offices must follow all of these procedures as appropriate for the job group. In addition, hiring supervisors or Human Resource Offices, depending upon campus procedures, should conduct “reference checks” before a new employee is offered a position.

Employee termination meetings should be considered carefully before they occur. Losing a job is traumatic, even if the affected employee expects the termination. Employers should handle terminations compassionately and professionally. If required, Security Office personnel should be in the vicinity. Human Resource Officers should keep the termination meeting brief but make sure that all pertinent information required by the employee is reviewed.

In addition, exit interviews also may be conducted when an employee leaves the University. Exit interviews allow the employer to gather additional information about the employee’s departure that can be used to assist in the development of new policies, procedures, or benefits.
INDICATORS OF PROBLEM BEHAVIORS

Many employees will exhibit some of the following behaviors at times. These behaviors do not necessarily predict violence. But they can be precursors to other more serious, inappropriate behaviors. The behaviors should be addressed promptly and directly so problems do not escalate.

Problem Behaviors

- Inability to control feelings, outbursts of rage, swearing, slamming doors, etc.
- Persistent complaining about being treated unfairly
- Blaming of others for personal problems
- Deterioration in job performance
- Talks about the same problems repeatedly without resolving them
- Statement that he or she would like something bad to happen to a supervisor or another co-worker
- Paranoid behavior
- Increased absenteeism
- Sexually harassing, or obsessing about a co-worker, sending unwanted gifts, notes, unwanted calling, stalking
- Increased demand of supervisor’s time
- Alcohol or drug abuse
- Talking to oneself
- Instability in family relationships
- Financial problems combined with not receiving a raise or promotion
- Poor relationships with co-workers or management
- History of violent behavior
- Previous threats, direct or indirect
- Presenting and talking about reading material that is violent in nature
- Carrying a concealed weapon, or flashing one around
- Quiet seething, sullenness
- Refusal to accept criticism about job performance
- Mood swings, depression
- Refusal to comply with rules or refusal to perform duties (Minnesota Department of Labor & Industry, “Workplace Violence Prevention, A Comprehensive Guide for Employers and Employees”).

When these behaviors are observed, supervisors should pay careful attention to the following:

- Pattern - Is there a change in an employee’s behavior?
- Frequency - Do the behaviors occur too often to be acceptable?
- Intensity - Is the intensity of the behaviors disruptive to the work environment?
- Number of behaviors – Is the employee exhibiting many of these behaviors rather than a few? (University of Minnesota, Employee Assistance Program, “Preventing Employee Violence in the Workplace”, p. 10)

If an employee exhibits any of the above indicators accompanied by a demonstrable change in the pattern, frequency, intensity and number of behaviors, it is important that management refers him/her to counseling services as soon as possible.

**Dealing with Performance Problems or Conflicts**

High levels of unresolved conflict and poor communication often characterize workplaces prone to disruptive incidents. Conflict at work is normal, but must be addressed promptly and effectively, not avoided or suppressed. It is essential to improve the conflict management skills of managers and staff, to set and enforce clear standards of conduct, and to provide help (e.g., counseling) to address conflicts early.

When confronted with performance problems, supervisors should:

- Intervene promptly. Don’t let the situation fester.
- Contact Human Resources for guidance regarding coaching and counseling when performance problems are apparent.
- Be clear about the facts of the problem as you see them.
- Ask individuals involved to describe their perceptions of the problem (if appropriate).
• Set clear expectations for improvement in job performance or in the relationship.
• Assess additional needed resources, and seek outside help as necessary.
• Follow up to be sure that your expectations are met and directed changes are made.
(UC Davis, Workplace Violence Prevention Operations Committee, Division of Human Resources, Employee & Labor Relations).

The Top Ten Ways to Prevent Violence in the Workplace

In their guide entitled, 
*Workplace Violence Prevention – A Comprehensive Guide for Employers and Employees*, the Minnesota Department of Labor & Industry identifies prescriptions for reducing violence in the workplace. A section of this reference manual is called “The Top Ten Ways to Prevent Violence in the Workplace” and is presented briefly below. They caution, however, that, since each organization is unique and operates in a different social and economic environment, these prescriptions should be modified to best accompany the needs of the organization.

1. Foster a supportive, harmonious work environment – Creating a culture of mutual respect can help reduce harassment and hostility in the workplace. Employers should strive to communicate openly, give employees adequate control in their work and provide them with support and recognition.

2. Train supervisors and employees how to resolve conflicts – Conflict on the job can be reduced by developing employees” skills in negotiating, communicating effectively, team building, and resolving disputes.

3. Develop effective policies to protect employees from harassment – While all companies strive to build a culture devoid of harassment and discrimination, they can advance this goal by having systems in place to address infractions.

4. Establish procedures for handling grievances – Employees need to understand grievance procedures for reporting complaints of unfair treatment, discrimination or harassment, believe that those procedures will be followed, and feel confident that concerns will be addressed promptly and confidentially.
5. Provide personal counseling through an Employee Assistance Program – Family, marital, financial, and personal issues can have a profound impact on an employee’s work performance as well as his/her social interaction at work. Employee Assistance Programs (EAPs) provide employees with a free, easily accessible and confidential resource for addressing personal concerns.

6. Implement security programs that protect employees – Companies that regularly evaluate their security programs can best determine if they are meeting company and employee needs. Also employers need to make sure that employees are aware of and understand existing security policies and procedures.

7. Provide employee safety education programs – In addition to making workers aware of company safety policies and employee support services, employers can provide educational materials and seminars about ways to maximize safety at work.

8. Provide job counseling for employees who have been laid off or fired – Because a job is often closely tied to one’s identity, being laid off can be traumatic. Employee counseling and support services can help workers develop job-seeking skills, learn how to cope with life changes, and personally and financially prepare for the future. It is helpful to train supervisors to sensitively communicate layoffs and firings.

9. Train supervisors to recognize signs of a troubled employee – One way to reduce the potential for workplace violence is to intervene before an incident reaches a flash point. Supervisors can be given training on how to recognize signs and symptoms of a potentially violent employee and on how to be sensitive to signs of possible abuse among employees, such as frequent absences or depression.

10. Set up a crisis plan – Employers may consider developing a crisis plan for dealing with violent incidents. The plan could include details on how to report the incident, which key internal managers and external authorities should be alerted, how to maintain the safety of unaffected workers and security precautions to prevent further trouble. Companies should also consider providing individual crisis counseling and support groups for affected employees post incident.
CIVILITY IN THE WORKPLACE

*Human Resource professionals can contribute to the development and maintenance of civility in the workplace.* If you look up the word “civility” in the dictionary, you’ll find such words as *polite, courteous, respectful, and considerate.* As it is commonly used, *civility* is “a respect for others and their feelings.” Human Resource professionals can responsibly guide the members of the work community in cultivating a civil work environment, which can aid in the prevention of workplace violence. However, the onus does not rest solely on the shoulders of HR. To combat workplace incivility, both management and employees must have a common understanding of the characteristics and the negative consequences of the phenomenon as well as an appreciation for its costs. Only then can an organization take the preventative and corrective actions needed to minimize the occurrence or recurrence of uncivil episodes.

Incivility is:

- Refusal to comply with rules or refusal to perform duties.
- Rude or disrespectful behavior that demonstrates a lack of regard for other employees.
- Often hidden or subtle behaviors, or behaviors only obvious in hindsight.
- Intent to harm that is often ambiguous or difficult to articulate.
- Sometimes intentional behaviors, but sometimes, just plain thoughtlessness or insensitivity towards others. (Bentson, June, 2002)

Incivility can run the gamut from small indignities to minor cruelties. Regardless of the degree of incivility, the frequency and cumulative effects eventually take a toll on all employees and compound the stress that is already present in the workplace.

Some common examples of workplace incivility are (Bentson, June 2002):

- “Forgetting” to share credit for collaborative work.
- Making a final decision and then asking for input.
- Not sharing or providing information that others need to do their jobs.
- Using the last of supplies or breaking equipment without telling someone.
- Taking food or beverages that are not yours from the shared fridge.
• Purposely not greeting or acknowledging someone at the office.
• Slamming down telephone receivers/headsets.
• Leaving the copier knowingly jammed and walking away.

The responsibilities of Human Resources to promote and facilitate a civil work environment cover the entire employment lifecycle.

*Recruitment and Selection*

• Make sure that both hiring managers and prospective employees know the importance that the organization places on civil behavior.
• Hiring managers should be trained to check references thoroughly, and to pay particular attention to the “fit” of the applicant with organizational and work site culture.

*Orientation and Training*

• Establish expectations about interpersonal behavior.
• Communicate expectations in orientation for all new employees.
• Provide sensitivity training (e.g., harassment, intimidation).
• Provide training in listening skills, stress management, conflict resolution/conflict management.
• Sponsor seminars and workshops dealing with civility, stress management, emotional control and professional courtesy.
• Encourage participation in EAP programs and/or counseling.

*Evaluation*

• Supervisors and managers need to be trained to identify patterns and trends of incivility and the actions required to stop unacceptable behavior as early as possible.
**Termination and Exit**

- Look for patterns of insensitivity and disrespectful incidents.
- Don’t transfer, promote, or recommend people who should be fired. ("Incivility and Aggression at Work," Envisionworks, Inc.)

**What Employees Can Do About Incivility**

**Self-Monitor:**

- Be aware of how your behaviors may adversely affect others.
- Learn how to reduce stress so that frustrations or moods are not projected onto others.
- Learn how to communicate more effectively.
- Take responsibility and hold yourself accountable.
- Learn to be assertive rather than aggressive.
- Don’t be quick to take offense – don’t look for a fight.
- Develop an appreciation for the quirks and eccentricities of others.

**What Managers Can Do About Incivility**

- Model civility and professional behavior.
- Observe the workplace and intervene early when incivility is noticed.
- Listen to your employees. Don’t dismiss their concerns because they seem trivial.
- Understand that if you do not address incivility, it will escalate and take a toll on the workplace.
- Evaluate employee workloads and try not to pile too much on one person. Encourage employees to be honest when they are overloaded. Determine which tasks have little value and could be taken off their plates.
- Encourage workers to take lunch, get away from the office and get some fresh air; engage in stress reducing activities.
The following are training providers who specialize in workplace violence prevention. Information regarding many more providers is available via the Internet.

The Office of Human Resources Management does not endorse or recommend any of these providers. We present this small sampling in order to familiarize you with available training resources.

**Free Training Resources**

**NYS Department of Labor (DOL)**
The NYS DOL provides workplace violence prevention information and training tools to assist public employers in meeting the requirements of *The New York State Public Employer Workplace Violence Prevention Law*. Note that some of the planning and reference documents provided by the Department of Labor were incorporated into the *WVAT Reference Manual*. Link: [http://www.labor.state.ny.us/workerprotection/safetyhealth/workplaceviolence.shtm](http://www.labor.state.ny.us/workerprotection/safetyhealth/workplaceviolence.shtm)

**The Public Employee Safety and Health Bureau (PESH)**
This division of the NYS DOL is divided into two branches. The Enforcement branch conducts unannounced mandatory inspections for hazards and/or violations of OSHA standards adopted by New York State. The Consultation branch provides free consultation surveys at the request of a public employer. Following a consultation, consultants are available to help provide training for employees, as well as help correct violations cited as a result of an enforcement inspection.

New York City District Office
One Hudson Square
75 Varick Street (7th Floor)
New York, NY 10013
Tel: 212-775-3548
Fax: 212-775-3542
Link: [http://www.labor.state.ny.us/workerprotection/safetyhealth/DOSH_PESH.shtm](http://www.labor.state.ny.us/workerprotection/safetyhealth/DOSH_PESH.shtm)

**Employee Assistance Program (EAP)**

**Corporate Counseling Associates, Inc. (CCA) –The CUNY Work/Life Program**
Provides management/ supervisory, workplace violence, and domestic violence prevention training, and counseling resources for Human Resource Offices and individual employees.

Tel: (800) 833-8707
Link: [www.cuny.edu/worklife](http://www.cuny.edu/worklife)
Consultants

McClure Associates, Inc.
Principal: Lynne McClure, Ph.D.
Link: www.mcclureassociates.com
(Also see Training Programs and Videotapes section below.)

New Haven Consulting Group, Inc.
Principals: George Dumigan and Alan Pakiela
One Research Drive
Tel: 203-926-1526
Fax: 203-929-0176
E-mail: info@nhcg.com
Link: http://www.nhcg.com/wvp.htm

Workplace Violence 101
Larry J. Chavez, B.A., M.P.A., Consultant and Trainer
6846 Pera Drive
Rancho Murieta, CA 95683
Tel: 916-354-2265
Cell: 916-709-2265
Email: endwpv@aol.com
Link: http://www.workplace-violence.com/

Workplace Violence Headquarters
Principals: Sheryl and Don Grimme
Tel: 954-720-1512
E-mail: Solutions@Workplace-Violence-HQ.com
Link: www.workplace-violence-hq.com

Training Programs and Videos

Crisis Prevention Institute (CPI)
Provides videotapes and training programs for employees and trainers on various workplace violence prevention topics.
3315-K North 124th Street
Brookfield, WI 53005
Tel: 877-877-5390 V/TDD (toll free)
Tel: 262-783-5787
Fax: 262-783-5906
Link: www.crisisprevention.com

Keye Productivity Center
Training Program: Safety and Security Measures for Front-Desk Personnel. One-day seminar for receptionists expected to recognize and handle security problems. Visit the link provided below for a course overview and registration information.
Link: http://images.ruceci.com/pdfs/KOS.pdf
**Security CEU**
Provides programs that focus on the prevention of workplace violence and surviving a workplace violence event.
Program titles include:
- Seven Steps to Workplace Violence Crisis Response Plan
- Workplace Violence: Basics
Tel: 502-254-1590
Link: [www.securityceu.com](http://www.securityceu.com)

**Safety Video Direct (Marcom)**
Video-based training products show employees how to recognize warning signs of potential violent behavior, as well as how to avoid or defuse dangerous situations. Products include:
- Workplace Violence Training Kit (incl. leader’s guide, scheduling/attendance form, employee quiz, training certificate/log, poster, and employee booklet)
- Workplace Violence Safety Game (CD-ROM)
- Workplace Violence Interactive Course (CD-ROM)
Training kit is offered in English and Spanish versions.
Tel: 866-400-5252
Link: [www.safetyvideodirect.com](http://www.safetyvideodirect.com)

**The National Institute for the Prevention of Workplace Violence**
Provides workplace violence prevention booklets, videos, and online products. Book titles include:
- The Financial Impact of Workplace Violence
- Selection Questions to Screen for Violence Prone Individuals
- The Complete Hiring Guide to Screen for Violence Prone Individuals
- Common Factors to the Violence Prone Organization
Link: [www.workplaceviolence911.com](http://www.workplaceviolence911.com)

**Black Mountain Safety and Health, Inc.**
Provides video-based training programs and accompanying training materials in workplace violence and stress management.
Programs include:
- Workplace Violence Video and Safety Meeting Kit
- Workplace Stress Video and Safety Meeting Kit
- Homicide In The Workplace
- Stress Relief
- Stress Management For Supervisors & Employees
- Managing Conflict in the Workplace
- Conflict Resolution
- Workplace Violence: Recognizing and Defusing Aggressive Behavior
- Workplace Violence: Employee Awareness
- Workplace Violence: When the Shooting Starts
- Conflict Communication Skills
403 Max Court
Henderson, NV 89015
702-565-1287
Link: [www.safety-video-bmsh.com](http://www.safety-video-bmsh.com)
Managing High-Risk Behaviors (Video)
Impact Publications, 2003
Dr. Lynne McClure presents her popular seminar on how to identify and manage high-risk behaviors in employees, applicants, trainees, ex-offenders, or people in rehab – before they become violent.
Link: http://www.mcclureassociates.com/books/index.html

The Richardson Company Training Media
Provides workplace violence videos, a safety game and training kits.
13 Creekwood Lane, SW
Lakewood, Washington  98499
Tel: 800-488-0319
E-mail: rctm@rctm.com
Link: http://www.rctm.com/

HR Hero (M. Lee Smith Publishers)
Provides legal information, training, and compliance tools on state and federal employment law, supervisor training, and employee management for human resources and other business professionals. Training tools and resources include videos, booklets, audio conferences, and articles.
Tel: 800-274-6774
E-mail: CustServ@mleesmith.com
Link: www.hrhero.com/

Computer-Based Training

BLR’s Human Resources Training Presentations: Preventing and Defusing Violence
Computer-based program for HR professionals from Business and Legal Reports, Inc. Includes Power Point program and post-test.
Link: eu.mbinet.net/GenMoody/Media/MediaLibrary/workviol.ppt

Mastery Net
Provides online training in workplace violence prevention. Programs include:
- Preventing Workplace Violence
- Workplace Violence: Employee Training
Link: www.mastery.com

Steps Beyond
Producers of Workplace Violence: It’s a Matter of Life! (on-line training program)
Program offers employees the opportunity to develop skills that will help to defuse and handle threatening or volatile workplace issues.
2699 Stirling Road, Suite A-105
Fort Lauderdale, Florida  33312
Tel: 954-985-8001
Fax: 954-926-0274
E-mail: info@stepsbeyond.com
Web Site: www.stepsbeyond.com/
**TTG Consultants**  
Provides online training program, *Preventing Workplace Terrorism and Other Violence*, in both management and employee versions.  
4727 Wilshire Boulevard – Suite 400  
Los Angeles, CA 90010  
Tel: 323-936-6600  
Tel (Toll Free): 800-736-8840  
Fax: 323-936-6721  
E-mail: david@ttgconsultants.com  
Web Site: [www.ttgconsultants.com](http://www.ttgconsultants.com)

**Workplace Answers**  
Offers online Workplace Violence Prevention Courses in English and Spanish. Special versions available by request.  
Web Site: [www.workplaceanswers.com](http://www.workplaceanswers.com)

**Webcasts/Conferences**

**Academic Impressions**  
Provides a series of webcasts and conferences on many subjects of interest to the academic community. Webcast materials are frequently available after the broadcasts. Some web conferences and/or their materials are free.  
Recent Webconferences:  
- January 22, 2010 – *Crisis Response – Testing Your Emergency Plan*  
- January 28, 2010 – *Ensuring Clery Act Compliance*  

**ELT, Inc.**  
Offers training webinars and podcasts to help employers manage workplace compliance challenges.  
Webinars and podcasts include:  
- *The Latest Trends in Workplace Violence & Bullying* (Podcast/Transcript)  
Link: [www.elt-inc.com](http://www.elt-inc.com)

**Books/Articles/Publications**

**Anger and Conflict in the Workplace: Spot the Signs/Avoid the Trauma**  
Lynne McClure, Ph.D.  
Impact Publications, Manassas Park, Virginia, 2000

**Risky Business: Managing Employee Violence in the Workplace**  
Lynne McClure, Ph.D.  
The Haworth Press, Binghamton, New York, 1996
**Ticking Bombs: Defusing Violence in the Workplace**  
Michael Mantell with Steve Albrecht  

**Campuses Respond to Violent Tragedy**  
Dorothy Siegel  
American Council on Education and The Oryx Press, Phoenix, Arizona, 1994

**Violence in our Schools, Hospitals and Public Places: A Prevention and Management Guide**  
Eugene D. Wheeler and S. Anthony Baron, Ph.D.  
Pathfinder Publishing, Ventura, California, 1993

**Workplace Violence Prevention: A Practical Guide**  
Contributing Editor: Jon F. Elliott, J.D.  
Specialty Technical Publishers, British Columbia, Canada, content updated quarterly (loose-leaf binder and CD-ROM)  
Provides employers with step-by-step instruction on how to develop a prevention program, to assess potential threats, train employees, secure the premises, and respond to incidents in an effective and timely manner.  
Tel: 604-983-3434  
Link: [www.stpub.com](http://www.stpub.com)

**Workplace Courses**

- Available through OHRM PDLM and the DCAS CTC.

The OHRM Professional Development and Learning Management Office (PDLM) partners with the DCAS Citywide Training Center (CTC) to provide workplace communications and violence prevention courses suitable for all University staff members. These courses are designed to foster improved workplace communications and may assist in addressing workplace conflict before it escalates into workplace violence. The PDLM Office assists the colleges in registering CUNY employees for courses held at CTC locations and in bringing many of these courses to CUNY locations.

These professional development courses are **not** a substitute for anger management classes, and are not suitable for employees whose behavior has been found to create a threatening work environment. Per the guidelines presented in this manual, such issues should be reported to your Human Resource Office and/or the Public Safety Office in the case of an immediate threat.
Following is a list of courses that focus on workforce behavior and communication issues.

- **Cross-Cultural Communication (C2210)** – explores the different communication styles that exist in a diverse workplace and is suitable for all staff.
- **The Art of Assertiveness (C2010)** – helps managers and supervisors develop an assertive approach for interacting with others.
- **Emotional Intelligence: The Key to Effective Leadership (C9207)** – presents methods for managers and supervisors to deal effectively with personal emotions and those of others.
- **Managing Non-Productive Emotions in the Workplace (C1640)** – provides tools to assist managers, supervisors, and professionals in preventing and/or managing non-productive emotions in the workplace.
- **Creating Workplace Civility: Respect, Service, and Safety at Work (C9100)** – provides skills to enable all staff to effectively respond to anxious, irrational, angry, hostile, and potentially dangerous workplace situations and minimize their negative impact.
- **Dealing with Difficult People (C6060)** – provides skills and techniques to help managers, supervisors, and professionals deal with difficult people in the workplace.
- **Managing Irritation and Frustration in The Workplace: Creating New Choices (C9091)** – provides practical guidance for managers, supervisors, and professionals in dealing with irritation and frustration and preventing situations from escalating unnecessarily.
- **Stressmakers and Stressbreakers: How to Stress Proof Your Life (C9086)** – provides strategies and coping mechanisms for increased stress control for all staff members.
- **Smart Solutions for Unacceptable Employee Behavior (C9017)** – provides managers and supervisors with new approaches for managing, and resolving problem situations.
- **Supervising Challenging Employees (C9038)** – provides managers and supervisors with the interpersonal and communication skills to effectively manage challenging employees and situations.

The current CUNY Professional Development Program Schedule is available at: [www.cuny.edu/training](http://www.cuny.edu/training). The current DCAS Citywide Training Center course schedule is available at: [www.nyc.gov/ctc](http://www.nyc.gov/ctc). Information on both of these training resources is available at each College Human Resource Office.
Part VI – REFERENCES

Link: http://www.afscme.org/health/violtc.htm


Link: http://www.all-biz.com/RelId/185/ISvars/default/25_Ways_to_Prevent_W.htm


Link (membership required):
http://moss07.shrm.org/Research/Articles/Articles/Pages/CMS_000132.aspx

International Public Management Association for Human Resources. (March 2004). Human Resources Center Series: “Background Investigations,” Alexandria, VA.
Link (membership required): http://www.ipma-hr.org/content.cfm?pageid=836
International Public Management Association for Human Resources. (December 9, 2001), Human Resources Center Series: “Exit Interviews & Questionnaires,” Alexandria, VA. Link (membership required): http://www.ipma-hr.org/content.cfm?pageid=903


Link: http://www.hr.ucdavis.edu/supervisor/Er/Violence/Brochure#DISRUPTIVE%20BEHAVIOR


University of Minnesota Duluth, Department of Human Resources. (March 1999; revised March 2003). “Preventing Employee Violence in the Workplace” (Manual for Supervisors).


Link: http://www.securityoncampus.org/index.php?option=com_content&view=article&id=271&Itemid=60

CUNY Domestic Violence and the Workplace: Policy & Procedures
Link: http://web.cuny.edu/administration/ohrm/policies-procedures/domestic-violence.html
The City University of New York Workplace Violence Policy and Procedures

Link:
http://www.cuny.edu/about/administration/offices/ohrm/policies-procedures/violence-prevention-policy.html
Part VIII – APPENDICES

A. Sample Self-Inspection Checklist (“Employer Self-Inspection Security Hazard Checklist”)

B. Sample Employee Hazard Questionnaire (“Employee Workplace Hazards Survey”)

C. CUNY Public Safety Incident Report Form

D. Case Studies – “Developing Appropriate Responses to Violent Incidents”
   D.1 “A Shooting”
   D.2 “A Suicide Attempt”
   D.3 “Stalking”
   D.4 “A Domestic Violence Situation”
   D.5 “An Employee Threat”
   D.6 “Threats Made by an Ex-Employee”
   D.7 “Threats from Non-Employees”
   D.8 “Intimidation”
   D.9 “Disruptive Behavior”

E. Sample Policy Implementation Handbook
EMPLOYER SELF-INSPECTION SECURITY HAZARD CHECKLIST

This checklist will help campus WVAT members to uncover potential workplace violence threats and hazards on your campus. Please circle all appropriate responses.

| Campus: | ____________________________________________________________________________________ |
| Facility: | ____________________________________________________________________________________ |
| Inspector(s): | _________________________________________________________________________________ |
| Date of Inspection: | _________________________________________________________________________________ |

1. **Workplace Violence Prevention Plan?**
   - **Yes**  **No**
   - *If yes, does it contain:*
     - (A) Policy Statement **Yes**  **No**
     - (B) Review of Employee Incident Exposure **Yes**  **No**
     - (C) Methods of Control **Yes**  **No**
       - *If yes, does it include:*
         - Engineering Controls **Yes**  **No**
         - Workplace Practices Review Results **Yes**  **No**
         - Training for Security, Special Staff, Employees **Yes**  **No**
         - Reporting Procedures **Yes**  **No**
         - Record-keeping Procedures **Yes**  **No**
         - Counseling Resources **Yes**  **No**
     - (D) Evaluation of Incidents **Yes**  **No**
     - (E) Floor Plans **Yes**  **No**
     - (F) Protection of Assets **Yes**  **No**
     - (G) Computer Security **Yes**  **No**
     - (H) Plan Accessible to All Employees **Yes**  **No**
     - (I) Plan Reviewed and Updated Annually **Yes**  **No**
     - (J) Plan Reviewed and Updated When Tasks Added or Changed **Yes**  **No**

2. **Policy Statement by Employer?**
   - **Yes**  **No**
3. **Work Areas Evaluated by Employer?**
   
   Yes  No
   
   If yes, how often? _____________________________

4. **Engineering Controls?**
   
   Yes  No
   
   *If yes, does it include:*
   
   (A) Mirrors to see around corners and in blind spots  Yes  No
   (B) Landscaping to provide unobstructed view of the workplace  Yes  No
   (C) “Fishbowl effect” to allow unobstructed view of the interior  Yes  No
   (D) Adequate lighting in and around the workplace  Yes  No
   (E) Parking lot well lighted  Yes  No
   (F) Door Control(s)  Yes  No
   (G) Panic Button(s)  Yes  No
   (H) Door Detector(s)  Yes  No
   (I) Closed Circuit TV  Yes  No
   (J) Stationary Metal Detector  Yes  No
   (K) Sound Detection  Yes  No
   (L) Intrusion Detection System  Yes  No
   (M) Intrusion Panel  Yes  No
   (N) Monitor(s)  Yes  No
   (O) Video Tape Recorder  Yes  No
   (P) Switcher  Yes  No
   (Q) Hand Held Metal Detector  Yes  No
   (R) Hand Held Video Camera  Yes  No
   (S) Personal Traps (“Sally Traps”)  Yes  No
   (T) Other ___________________________________  Yes  No
   (U) Other ___________________________________  Yes  No

5. **Structural Modifications?**
   
   Yes  No
   
   Plexiglas, glass guard, wire glass, partitions, etc.
   
   If yes, comment: _____________________________________________
   _____________________________________________
6. **Security Officers/Guards?**  
   Yes No  
   (A) If yes, are there an appropriate number for the site?  
   Yes No  
   (B) Do they have working knowledge of the College/University Workplace Violence Prevention Policy?  
   Yes No  
   (C) *Indicate if they are:*  
   Contract Guards (1)  
   Yes No  
   In-house Employees (2)  
   Yes No  
   (D) At Entrance(s)  
   Yes No  
   (E) Building Patrol  
   Yes No  
   (F) Officers/Guards provided with communication?  
   Yes No  
   If yes, indicate what type: _____________________________________________________________

   ____________________________

   (G) Guards receive training on Workplace Violence situations?  
   Yes No  
   Comments: ____________________________________________________________

7. **Work Practice Controls – On Premises?**  
   Yes No  
   *If yes, indicate:*  
   (A) Desks clear of objects which may be come missiles  
   Yes No  
   (B) Unobstructed office exits  
   Yes No  
   (C) Vacant (Bare) cubicles available  
   Yes No  
   (D) Reception area available  
   Yes No  
   (E) Visitor/Client Sign In/Out  
   Yes No  
   (F) Visitor(s)/Client escorted  
   Yes No  
   (G) Barriers to separate clients from work area  
   Yes No  
   (H) One entrance used  
   Yes No  
   (I) Separate interview area(s)  
   Yes No  
   (J) I.D. Badges used  
   Yes No  
   (K) Emergency numbers posted by phones  
   Yes No  
   (L) Internal phone system  
   Yes No  
   *If yes, indicate:*  
   Does it use 120 VAC building lines  
   Yes No
<table>
<thead>
<tr>
<th>Does it use phone lines</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>(M) Internal Procedures for conflict (Problem) Situations</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>(N) Procedures for employee dismissal</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>(O) Limit spouse &amp; family visit to designated areas</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>(P) Key control procedures</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>(Q) Access control to the workplace</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>(R) Objects which may become missiles removed from the area</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>(S) Parking Prohibited in fire zones</td>
<td>Other: ___________________________________________</td>
<td></td>
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</table>

8. **Work Practices Controls – Off Premises?**

(For staff who work away from a fixed workplace, such as Motor Vehicle Operators, Mail Messengers, Maintenance Workers, Information Technology Workers, Security Officers, Administrative Superintendents, Faculty working at multiple campuses, Media Service Technicians)

| (A) Trained in hazardous situation avoidance | Yes | No |
| (B) Briefed about areas where they work | Yes | No |
| (C) Have reviewed past incidents by type and area | Yes | No |
| (D) Know directions and route for day’s schedule | Yes | No |
| (E) Previewed client/case histories | Yes | No |
| (F) Left an itinerary with contact information | Yes | No |
| (G) Have periodic check-in procedures | Yes | No |
| (H) After hours contact procedures | Yes | No |
| (I) Partnering arrangements if deemed necessary | Yes | No |
| (J) Know how to control/defuse potentially violent situations | Yes | No |
| (K) Supplied with personal alarm/cellular phone/radio | Yes | No |
| (L) Limit visible clues of carrying money/valuables | Yes | No |
| (M) Carry forms to record incidents by area | Yes | No |
| (N) Know procedures if involved in incident | Yes | No |

(Also see Training Section)
9. **Training Conducted?**

   **If yes, is it:**

   (A) Prior to initial assignment
   Yes  No

   (B) At least annually thereafter
   Yes  No

   (C) Does it include:

   Components of security control panel
   Yes  No

   Engineering and workplace controls instituted at workplace
   Yes  No

   Techniques to use in potentially volatile situations
   Yes  No

   How to anticipate/read behavior
   Yes  No

   Procedures to follow after an incident
   Yes  No

   Periodic refresher for on-site procedures
   Yes  No

   Recognizing abuse/paraphernalia
   Yes  No

   Opportunity for Q and A with instructor
   Yes  No

   On hazards unique to job tasks
   Yes  No

10. **Written Training Records Kept?**

   Yes  No

11. **Are Incidents Reported?**

   **If yes, are they**

   (A) Reported in written form
   Yes  No

   (B) Reported using workers comp Report of Injury form (if employee loses time)
   Yes  No

12. **Incidents Evaluated?**

   **Yes  No**

   (A) EAP/Counseling offered
   Yes  No

   (B) Other action (reporting requirements, suggestions, reporting to local authorities, etc.)

   (C) Steps taken to prevent reoccurrence?
   Yes  No
13. Floor plans posted showing exits, entrances, location of security equipment, etc.? Yes No

   If yes, does it:
   (A) Include an emergency action plan, evacuation plan, and/or a disaster contingency plan? Yes No

14. Do Employees feel safe? Yes No

   (A) Have employees been surveyed to identify their concerns Yes No
   (B) Has the employer utilized the crime prevention services and/or lectures provided by the local/state police? Yes No

Comments: _______________________________________________________
   __________________________________________________________________

15. General Comments/Recommendations? _______________________________

   ___________________________________________________________________
   ___________________________________________________________________
APPENDIX B

The City University of New York
Office of Human Resources Management
Workplace Violence Prevention

**EMPLOYEE WORKPLACE HAZARDS SURVEY**

This survey will help detect potential workplace violence hazards in your building/worksire. Please circle all appropriate responses.

Name: _________________________________________________________________

Job Title: ________________________________________________________________

Work Location: ___________________________________________________________

Building Site: ___________________________________________________________

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<tbody>
<tr>
<td>1.</td>
<td>Do you ever find yourself in one of the following situations at work?</td>
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<tr>
<td>A.</td>
<td>Working alone during working hours?</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<td>B.</td>
<td>Working without knowing when persons leave the workplace?</td>
<td>Yes</td>
<td>No</td>
<td></td>
<td></td>
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<tr>
<td>2.</td>
<td>Are you aware of your workplace’s written policy for addressing incidents of workplace violence?</td>
<td>Yes</td>
<td>No</td>
<td></td>
<td></td>
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<td>3.</td>
<td>Are you aware of your workplace’s written policy on how to handle a violent student?</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<td>4.</td>
<td>Are you aware of what your workplace’s written policy indicates regarding the following?</td>
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<td>A.</td>
<td>When and how to request the assistance of a co-worker?</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<tr>
<td>B.</td>
<td>When and how to request assistance from Campus Security?</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<tr>
<td>C.</td>
<td>When and how to request assistance from the local Police?</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<tr>
<td>D.</td>
<td>What to do about a verbal threat?</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<td>E.</td>
<td>What to do about a threat of physical violence?</td>
<td>Yes</td>
<td>No</td>
<td></td>
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<td></td>
<td>Question</td>
<td>Yes</td>
<td>No</td>
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<td>F</td>
<td>What to do about harassment?</td>
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<td>G</td>
<td>What to do when working alone?</td>
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<td>H</td>
<td>What to do when working late at night or early in the morning?</td>
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<td>I</td>
<td>What to do when you hear a fire alarm?</td>
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<td>J</td>
<td>How to be secure in and out of the building?</td>
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<td>K</td>
<td>What to do if assaulted by a student or co-worker?</td>
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<td>5</td>
<td>Are you aware of any incidents of violence between your co-workers?</td>
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<td>6</td>
<td>Have you witnessed incidents of violence among students on your campus?</td>
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<td>7</td>
<td>Have you noticed that violence-related incidents increase during specific times or during specific types of situations?</td>
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<td>If yes, please explain _______________________________________________</td>
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<td>8</td>
<td>In your assessment or experience, where in the building or worksite would a violent incident most likely occur?</td>
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<td>__lounge __exits __private offices</td>
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<td>__bathrooms __entrance __hallways __stairways</td>
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<td><strong>Other (specify)</strong>____________________________________________________</td>
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<td>9</td>
<td>Have you ever noticed a situation that could lead to a violent incident?</td>
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<td></td>
<td>Yes No</td>
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<td>10. Have you received any employer-sponsored training on how to deal with potentially violent situations?</td>
<td>Yes  No</td>
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<td>11. Do you know what to do if a student or employee threatens suicide?</td>
<td>Yes  No</td>
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<tr>
<td>12. On a scale of 1 to 10 (1= not worried, 10= very worried), how concerned are you about your personal safety at work? Please circle one.</td>
<td>1 2 3 4 5 6 7 8 9 10</td>
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<td>13. On a scale of 1 to 10 (1= not prepared, 10 = very prepared), how prepared do you feel to handle a violent situation (i.e., physical injury, threat or harassment)?</td>
<td>1 2 3 4 5 6 7 8 9 10</td>
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APPENDIX C

CUNY Public Safety Incident Report Form

The Incident Report Form is a general form that can be used by Campus Public Safety personnel to record any and all public safety incidents, including workplace violence and domestic violence. New York State also issues a standardized Domestic Incident Report (DIR) form which complies with specific State reporting requirements for recording domestic violence incidents. Completed forms should be maintained in the Campus Public Safety Office.
## Narrative

---

## Property

<table>
<thead>
<tr>
<th>Qty</th>
<th>Item Name</th>
<th>Type (found, lost, stolen)</th>
<th>Serial Number</th>
<th>Value</th>
<th>Value Recovered</th>
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</table>

## Notifications

<table>
<thead>
<tr>
<th>Rank/Title</th>
<th>Name</th>
<th>Unit/Agency</th>
<th>Log Number</th>
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</table>

## Supervisors Comments

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INCIDENT REPORT
PERSONS/VEHICLE SUPPLEMENT

Reporter/Witness _____ of _____ □ Faculty/Staff □ Student □ Other □ Male

Last Name ___________________ First Name ___________________ D.O.B. ___________ □ Female

Address ___________________ City ___________ State ___________ Zip Code ___________

Phone Number ___________ □ Home □ Work □ Cell

Reporter/Witness _____ of _____ □ Faculty/Staff □ Student □ Other □ Male

Last Name ___________________ First Name ___________________ D.O.B. ___________ □ Female

Address ___________________ City ___________ State ___________ Zip Code ___________

Phone Number ___________ □ Home □ Work □ Cell

Complainant/Aided _____ of _____ □ Faculty/Staff □ Student □ Other □ Male

Last Name ___________________ First Name ___________________ D.O.B. ___________ □ Female

Address ___________________ City ___________ State ___________ Zip Code ___________

Phone Number ___________ □ Home □ Work □ Cell

Aided

Removed to Hospital □ No □ Yes Name of Hospital ___________________

EMS/FDNY Name ___________________ Aided/ACR # ___________

Complainant/Aided _____ of _____ □ Faculty/Staff □ Student □ Other □ Male

Last Name ___________________ First Name ___________________ D.O.B. ___________ □ Female

Address ___________________ City ___________ State ___________ Zip Code ___________

Phone Number ___________ □ Home □ Work □ Cell

Aided

Removed to Hospital □ No □ Yes Name of Hospital ___________________

EMS/FDNY Name ___________________ Aided/ACR # ___________

Perpetrator/Suspect _____ of _____ □ Faculty/Staff □ Student □ Other □ Male

Last Name ___________________ First Name ___________________ D.O.B. ___________ □ Female

Address ___________________ City ___________ State ___________ Zip Code ___________

Phone Number ___________ □ Home □ Work □ Cell

Race/Height/Weight ___________ Eyes/Hair Color ___________

Clothing Worn ___________________

Distinguishing Features ___________________

Known Associates ___________________

Perpetrator/Suspect _____ of _____ □ Faculty/Staff □ Student □ Other □ Male

Last Name ___________________ First Name ___________________ D.O.B. ___________ □ Female

Address ___________________ City ___________ State ___________ Zip Code ___________

Phone Number ___________ □ Home □ Work □ Cell

Race/Height/Weight ___________ Eyes/Hair Color ___________

Clothing Worn ___________________

Distinguishing Features ___________________

Known Associates ___________________

Vehicle Information _____ of _____

Vehicle Classification □ Accident □ Attempted Stolen □ Stolen □ Unauthorized Use □ Used in a Crime

License Plate ___________________ State ______ Type ______ Make ______

Year ___________ Color ___________ Model ___________

Distinguishing Features ___________________
APPENDIX D

Developing Appropriate Responses to Violent Incidents

CASE STUDIES


Introduction

The call comes in.

Someone’s been shot – there is a fight going on – someone’s been threatened – someone’s being stalked by an ex-boyfriend - someone’s threatening suicide – someone wants to put a stop to the “bullying” behavior that’s been going on in his office.

These are just a few examples of the types of incidents reported.

How each agency responds to these reports will differ, not only among agencies but also within each agency, because the circumstances surrounding each situation are different. Even in agencies that are highly structured and have well-thought-out procedures in place, the response will necessarily depend on:

- The nature of the incident,
- The circumstances surrounding the incident,
- Who is available to respond, and,
- Who has the skills to deal with the particular situation.

What has been learned from agencies’ many years of experience is that the most effective way to handle these situations is to take a team approach, rather than having one office handle a situation alone. In some cases of workplace homicides, it became apparent that the situation got out of control because Personnel Specialists did not inform Security about a problem employee, or co-workers were not warned about the threatening behavior of an ex-employee, or one agency specialist felt he had to “go it alone” in handling the situation.

Agencies should have plans in place ahead of time so that emergency and non-emergency situations can be dealt with as soon as possible. However, it is also necessary to build the maximum amount of flexibility possible into any plan.
Basic Concepts

Since agencies and situations differ, specific steps or procedures to follow on a government-wide basis would be inappropriate and impractical. However, there are some basic concepts that all agencies should keep in mind when formulating their strategy to address workplace violence.

- Respond promptly to immediate dangers to personnel and the workplace.
- Investigate threats and other reported incidents.
- Take threats and threatening behavior seriously; employees may not step forward with their concerns if they think that management will dismiss their worries.
- Deal with the issues of what may appear to be frivolous allegations (and concerns based on misunderstandings) by responding to each report seriously and objectively.
- Take disciplinary actions when warranted.
- Support victims and other affected workers after an incident.
- Attempt to bring the work environment back to normal after an incident.

How to Use the Case Studies

The case studies presented in this section are derived from real life situations that have occurred in Federal agencies. They are intended to provide assistance to agency planners as they develop workplace violence programs and assess their readiness to handle certain types of situations. It should be noted that, in some of the case studies, the circumstances have been modified to make them better learning tools.

As you read the case studies, keep in mind that there is no one correct way to handle each situation. The case studies should not be taken as specific models of how to handle certain types of situations. Rather, they should be a starting point for a discussion and exploration of how a team approach can be instituted and adapted to the specific needs and requirements of your agency.

Questions for Discussion

The case studies are intended to raise questions such as:

1. Do we agree with the approach the agency took in the case study?
2. If not, why wouldn’t that approach work for us?
3. Do we have adequate resources to handle such a situation?
Questions for Program Evaluation

Establish a system to evaluate the effectiveness of your response in actual situations that arise so that you can change your procedures if necessary. Ask the following questions after reviewing each of the case studies and after planning how your agency would respond to the same or a similar situation:

1. Does our workplace violence program have a process for evaluating the effectiveness of the team’s approach following an incident?

2. Would our written policy statement and written procedures limit our ability to easily adopt a more effective course of action in the future, if an evaluation of our response showed that a change in procedures was necessary?

3. Do we have plans to test our response procedures and capability through practice exercises and preparedness drills and change procedures if necessary?

Although these case studies are derived from real life situations, the characters in them are fictional and have been created for educational purposes. No reference to any individual living or dead is intended or should be inferred.
Case Study 1 – A Shooting

The Incident

The report comes in: Two employees have been killed in the workplace and two have been wounded. A witness has called 911 and the police and ambulance have arrived. The perpetrator (an agency employee) has been taken into custody, the victims are being sent to the hospital, and the police are interviewing witnesses and gathering evidence.

Response

In this situation, the agency’s crisis response plan called for the immediate involvement of:

- A top management representative,
- A security officer,
- An employee relations specialist,
- An Employee Assistance Program counselor, and,
- An official from the public affairs office.

Top Management representative. The manager, an Assistant Director of a field office with 800 employees, coordinated the response effort because she was the senior person on duty at the time. In addition to acting as coordinator, she remained available to police throughout the afternoon to make sure there were no impediments to the investigation.

She immediately called the families of the wounded and assigned two other senior managers to notify the families of the deceased. She also arranged for a friend of each of the deceased coworkers to accompany each of the managers. She took care of numerous administrative details, such as authorizing expenditures for additional resources, signing forms, and making decisions about such matters as granting leave to coworkers. (In this case, the police evacuated the building, and employees were told by the Assistant Director that they could go home for the rest of the day, but that they were expected to return to duty the following day.)

To ensure a coordinated response effort, she made sure that agency personnel involved in the crisis had cell phones for internal communication while conducting their duties in various offices around the building.

Security Staff. The security staff assisted the police with numerous activities such as evacuating the building.

Employee Relations Specialist. The employees relations specialist contacted the agency’s Office of the General Counsel (OGC) and Office of Inspector General (OIG) and alerted them to
Case Study 1 (Continued)

the situation so that they could immediately begin to monitor criminal proceedings. He made a
detailed written record of the incident, but he did not take statements from witnesses because it
could have impeded the criminal investigation and possible subsequent prosecution of the case.

He also helped the supervisor draft the letter of proposed indefinite suspension pending the
outcome of the potential criminal matter. He worked closely with the OGC, OIG, and
prosecutor's office to obtain relevant information as soon as it was available so the agency
could proceed with administrative action when appropriate.

Employee Assistance Program (EAP) counselor. The agency had only one EAP counselor
on duty at the time. However, in prior planning for an emergency, the agency had contracted
with a local company to provide additional counselors on an "as needed" basis. The one EAP
counselor on duty called the contractor and four additional counselors were at the agency within
an hour. The counselors remained available near the scene of the incident to reassure and
comfort the employees. Since they were not agency employees, they wore readily visible
identification badges.

After the Office of Inspector General received permission from the prosecutor’s office, the
agency EAP counselor arranged for a series of Critical Incident Stress Debriefings (CISD) to
take place two days later. She also arranged for two contract EAP counselors to be at the
workplace for the next week to walk around the office inquiring how the employees were doing
and to consult with supervisors about how to help employees recover.

Public Affairs Officer. The Public Affairs Officers handled all aspects of press coverage. She
maintained liaison with the media, provided an area for reporters to work, and maintained a
schedule of frequent briefings. She worked closely with the agency's Office of Congressional
Relations, who handled calls from congressional offices about the incident.

Questions for the Agency Planning Group

1. How would your agency have obtained the services of additional EAP counselors?

2. How would employees be given information about this incident?

3. Who would clean up the crime scene?

4. Would you relocate employees who worked in the area of the crime scene?

5. What approach would your agency take regarding granting excused absence on the day of
   the incident and requests for leave in the day/weeks following the incident?

6. How would you advise management to deal with work normally assigned to the
   victims/perpetrator?

7. What support would your agency provide to supervisors to help affected work group(s) return
to their normal functioning level?
Case Study 2 – A Suicide Attempt

The Incident

A member of the agency’s Incident Response Team received a frantic call from an employee saying that her coworker just left her office muttering about the final straw – you all won’t have me to push around any more. She said she’s been worried for weeks about the possibility of her coworker committing suicide and knows now she had called earlier. The staff member who took the call told the employee to see if she could find her coworker and remain with her. Help was on the way.

Response

For incidents involving suicide threats, the agency’s plan was to call local police if there seemed to be imminent danger and, if not enough was known about the situation, to contact Security and the Employee Assistance Program (EAP) counselor to do an immediate assessment of the situation.

The team member who took the initial call first contacted a Security Officer who immediately located the two employees. The EAP counselor could not be reached immediately, so the team member called an employee in the Human Resources (HR) Department who had earlier volunteered to help out in emergency situations (she had been trained in her community to deal with suicide attempts).

The HR Specialist arrived at the distressed employee’s office within two minutes of the call. The employee was crying at this point and making statements such as, “No one can help me” and “It’ll be over soon.” The HR Specialist recognized what was happening and asked the Security Officer to call the police and an ambulance, and to tell them there was a suicide attempt. After calling the police, the Security Officer went outside to meet the emergency workers and direct them to the scene. The HR Specialist then learned from the woman that an hour earlier, she had swallowed 10 pills. The police and ambulance were on the scene within three minutes of the call and the woman was hospitalized.

The HR Specialist contacted the employee’s family and then prepared a report of the incident. The Employee Assistance Program counselor consoled and supported the coworker who had initially called the Incident Response Team.

Emergency treatment was successful, and the employee was admitted to the hospital’s psychiatric unit. The EAP counselor and HR Specialist stayed in touch with the employee and supported her in planning her return to work. She returned to work four weeks later, functioning with the help of anti-depressant medication and twice-weekly psychotherapy sessions.

With the employee’s consent, the EAP counselor arranged a meeting involving the employee, her supervisor, and the HR Specialist to coordinate her treatment and work activities. The supervisor agreed to adjust the employee’s work schedule to fit her therapy appointments as a reasonable accommodation, and the supervisor provided guidance on procedures and medical documentation requirements for leave approval. The counselor, supervisor, and employee agreed on a plan for getting the employee immediate emergency help if she should feel another crisis coming on.
Case Study 2 (Continued)

Resolution

Two years later the employee is doing well. She works a normal schedule and continues to be a productive employee. She no longer takes the anti-depressant medication, but stays in touch with both her psychiatrist and the EAP counselor.

Questions for the Agency Planning Group

1. Do you agree with the agency’s approach in this case?
2. Does your agency have back-up for situations where key team members are not available?
3. Has your agency identified employees with skills in handling emergencies?
4. Does your workplace violence policy and training encourage employees to report incidents at an early stage?
5. Does your workplace violence policy and training encourage employees to seek guidance with regard to problems that trouble them even when they don’t fully understand the nature of the problem?
6. If the employee had left the building before emergency personnel arrived, does your plan provide for contacting the appropriate authorities?
Case Study 3 – Stalking

The Incident

A supervisor called the Employee Relations Office to request a meeting of the workplace violence team for assistance in handling a situation he’s just learned about. He was counseling one of his employees about her frequent unscheduled absences, when she told him a chilling story of what she’s been going through for the past year. She broke up with her boyfriend a year ago and he’s been stalking her ever since. He calls her several times a week and she hangs up immediately. He shows up wherever she goes on the weekends and just stares at her from a distance. He often parks his car down the block from her home and just sits there. He’s made it known he has a gun.

Response

This agency’s plan calls for initial involvement of Security, the Employee Assistance Program (EAP), and Employee Relations in cases involving stalking. The Security Officer, the EAP counselor, and Employee Relations Specialist met first with the supervisor and then with the employee and supervisor together. After learning as much of the background as possible, they gave her some initial suggestions:

- Contact her local police and file a report. Ask them to assess her security at home and make recommendations for improvements.
- Log all future contacts with the stalker and clearly record the date, time, and nature of the contact.
- Let voice mail screen incoming phone calls.
- Contact her phone company to report the situation.
- Give permission to let her coworkers know what was going on (she would not agree to do this).
- Vary her routines, e.g., go to different shops, take different routes, run errands at different times, report to work on variable schedule.

The team then worked out the following:

1. The Employee Relations Specialist acted as coordinator of the response effort. He made a written report of the situation and kept it updated. He kept the team members, the supervisor, and the employee apprised of what the others were doing to resolve the situation. He also looked into the feasibility of relocating the employee to another worksite.

2. The Security Officer immediately reported the situation to the local police. With the employee’s consent, she also called the police where the employee lived to learn what
Case Study 3 (Continued)

steps they could take to help the employee. She offered to coordinate and exchange information with them. The security officer arranged for increased surveillance of the building and circulated photos of the stalker to all the building guards with instructions to detain him if he showed up at the building. She brought a tape recorder to the employee’s desk and showed her the best way to tape any future voice mail message from the stalker. She also contacted the agency’s phone company to arrange for its involvement in the case.

3. The Employee Assistance Program counselor provided support and counseling for both the employee and the supervisor throughout the time this was going on. He suggested local organizations that could help the employee. He also tried to convince her to tell coworkers about the situation.

4. The Union arranged to sponsor a session on stalking in order to raise the consciousness of agency employees about the problem in general.

After a week, the employee finally agreed to tell coworkers what was going on. Then, the EAP counselor and Security Officer jointly held a meeting with the whole work group to discuss any fears or concerns they had and give advice on how the coworkers could help with the situation.

Resolution

In this case, the employee’s coworkers were supportive and wanted to help out. They volunteered to watch out for the stalker and follow other security measures recommended by the security specialist. The stalker ended up in jail because he tried to break into the employee’s home while armed with a gun. The Security Officer believes that the local police were able to be more responsive in this situation because they had been working together with agency security on the case.

Question for the Agency Planning Group

1. Do you agree with the agency’s approach in this case?

2. What would you do in a similar situation if your agency doesn’t have security guards?

3. What would you do if coworkers were too afraid of the stalker to work in the same office with the employee?

4. What would you do if/when the stalker gets out of jail on bail or out on probation?

5. Would your Legal Counsel have gotten involved in this case, e.g., coordinated agency efforts with local law enforcement agencies?
Case Study 4 – A Domestic Violence Situation

The Incident

A team member, the employee relations specialist, receives a phone call from an employee. She reports that she has just finished a long conversation with a friend and coworker, a part-time employee, who revealed to her that she is a victim of domestic violence. To her surprise, she learned that the woman’s husband has been abusing her since their first child was born. He is careful to injure her only in ways that do not leave visible signs, and she feels sure no one would believe her word against his. The family’s assets, even “her” car, are all in his name, and her part-time salary would not be enough for herself and the children to live on. Further, he has threatened to kill her if she leaves him or reveals the truth. After talking with the employee, the coworker agreed to let the situation be reported to the workplace violence team.

Response

The Employee Relations specialist agreed to meet with both employees immediately. The abused woman asked to have her friend along and, at the employee relation’s specialist’s suggestion, gave her permission to explain the situation to the two employees’ supervisor. After interviewing her in a caring, supportive way to get basic information, she asked other team members, the Security Director and the Employee Assistance Program (EAP) counselor, to join her in analyzing the situation. Then, she met with the abused employee, her friend (at her request), and her supervisor to report on the team’s recommendations.

The Employee Assistance Program counselor arranged for the abused woman to see another counselor who had an open appointment that same day, for counseling and referral to the community agencies that could help her.

The counselor referred her to a comprehensive shelter for victims of abuse. She explained the comprehensive service the shelter could offer her: a safe place to stay with her children, advice on how to get out of her home situation safely, legal advice, and much other helpful information. At first, the employee was afraid to change the status quo. After several meetings with the Employee Assistance Program counselor and encouraging talks with her friend, she agreed to talk with the shelter staff. Her friend drove her to the meeting. They worked with her to develop a safe plan for leaving home with her children.

The employee asked the workplace violence team to coordinate with the shelter staff. After discussing her plan with them, the Security director identified that right after she left home would be a high risk period and arranged for a guard to be at the workplace during that time. He supplied photographs of the husband to the guard force.

With the woman’s consent, the supervisor and security director discussed the situation with coworkers, shared the pictures with them, and explained what they should do in various contingencies. At the meeting one coworker began complaining about danger to herself. The friend argued persuasively that, “This could happen to any of us. Would you rather we stick to-
**Case Study 4 (Continued)**

"gather, or leave one another to suffer alone?" This rallied the group, and the coworker decided to go along with the others.

The **Supervisor** agreed to use flexi-time and flexi-place options to make the employee more difficult to find. Not only would she be working a different schedule; she would report to a suburban telecommuting center instead of the agency’s central office.

The supervisor explained to the employee that she would like very much to have her on board full time, as she was an excellent worker, but that there was no position available. However, she encouraged her to seek a full time job, and made phone calls to colleagues in other departments to develop job leads for her. One of her professional associates offered to allow the employee to use their organization’s career transition center, which had excellent job search resources, and was located in a different part of town from her normal worksite.

**Resolution**

The employee executed her plan for leaving home and moved to the shelter with her children. She worked with an attorney to obtain financial support and to begin divorce proceedings. She often had times of doubt and fear but found the shelter staff very supportive. Her coworkers encouraged her to call daily with reports on her progress.

The husband appeared at the office only once, a few days after his wife moved into the shelter. He shouted threats at the security guard, who calmly called for backup from the local police. Fearing for his reputation, he fled the scene before police could arrive. The guard continued to monitor any efforts by the husband to gain entry to the building.

Six months later, the employee has obtained a full-time position at a nearby office within the same agency. She discovered that they also had a workplace violence team and made them aware of her situation, just in case she should need their help. She and her children have moved into an apartment. The children are seeing a child psychologist, recommended by the Employee Assistance Program counselor to help them make sense of an upsetting situation, and she attends a support group for battered women. Her friend from her former office has helped her with encouragement, support, and suggestions on how to handle the stress of single parenthood.

**Questions for the Agency Planning Group**

1. Are your team members knowledgeable about domestic violence?

2. What do you think about the role of the friend? How would you encourage agency employees to support coworkers in these type of situations?

3. Does your agency have access to career transition services to help in these types of situations?

4. Has your planning group identified someone knowledgeable about restraining/protective orders to discuss with the employee the pros and cons of obtaining one?
Case Study 5 – An Employee Threat

The Incident

A visibly upset male employee cornered a female employee in her office, and said quietly and slowly that she will pay with her life for going over his head to ask about his work. The male employee then stared at his coworker with his hands clenched rigidly at his side before leaving the office and slamming the door behind him. The female employee, fearful and shaken, reported this to her supervisor, who immediately reported the incident to the director of Employee Relations.

Response

The agency’s response plan calls for involvement of Employee Relations, Security and the Employee Assistance Program (EAP) in cases involving threats. Immediately following the report to response team, the Security Officer contacted the female employee to assist her in filing a police report on the threat and to discuss safety measures that she should be taking. The victim was also referred to the EAP, where she received brief counseling and educational materials on handling severe stress.

An investigation was immediately conducted by an investigator from the Office of the General Counsel. In her statement, the female employee repeated what she had reported to the supervisor earlier about the threat. In his statement, the male employee stated that, on the day in question, he had been upset about what he felt were some underhanded activities by the female employee and his only recollection about the conversation was that he made a general statement like you’ll pay to her. He stated that this was not a threat, just an expression. The investigation showed that the employee had several previous incidents of intimidating behavior, which had resulted in disciplinary actions.

Resolution

After reviewing the results of the investigation, the supervisor proposed a removal action, finding that the female employee’s version of the incident was more credible. In his response to the proposed notice, the employee brought in medical documentation that said he had a psychiatric disability of Post Traumatic Stress Disorder, which caused his misconduct, and he requested a reasonable accommodation. The deciding official consulted with an agency attorney and employee relations’ specialist who explained that nothing in the Rehabilitation Act prohibits an agency from maintaining a workplace free of violence threats of violence. Further, they explained that the request for a reasonable accommodation does not excuse employee misconduct nor does it shield an employee from discipline. The deciding official determined that removal was the appropriate discipline in this case. The employee did not appeal the action.
Case Study 5 (Continued)

Questions for the Agency Planning Group

1. Do you agree with the agency’s approach in this case?

2. If this situation occurred at your agency, would you have involved law enforcement early in the process?

3. Who would conduct the investigation at your agency?

4. What else would your agency have done to protect the employee?

5. Would you have requested more medical documentation from the employee?

6. What risks must be balanced when selecting a penalty?
Case Study 6 – Threats Made by an Ex-Employee

The Incident

The first incident report that came into the agency’s newly formed workplace violence team was from a field office. Two months after an employee retired on disability retirement, he began threatening his ex-supervisor. He knocked on his ex-supervisor’s apartment door late one evening. He left threatening statements on the supervisor’s home answering machine; such as I just wanted to let you know I bought a gun. On one occasion, a psychiatrist called the supervisor and the agency’s security office and told them that the ex-employee threatened to murder his ex-supervisor. The psychiatrist said the threats should be taken seriously especially because he was drinking heavily. A coworker received an anonymous letter stating, it is not over with [name of supervisor]. Each time a threat was reported, the agency’s security office would take extra measures to protect the supervisor while at the workplace and the supervisor would report the incident to the local police. Each time, the supervisor was informed that the police were unable to take action on the threats because they did not rise to a criminal level. The supervisor spoke with the county magistrate about a restraining order, but again was told the threats did not rise to the level required to obtain a restraining order.

Response

The workplace violence team held a conference call with the threatened supervisor, the director of the office, and the security chief of the field office. They suggested the following actions.

Recommendations for the Security Officer:

● Confirm the whereabouts of the ex-employee and periodically reconfirm his whereabouts.

● Meet with local police to determined whether the ex-employee’s behavior constitutes a crime in the jurisdiction and whether other applicable charges (such as stalking or harassment) might be considered. Ask if the police department has a threat assessment unit or access to one at the state level. Ask police about contacting the U.S. Postal Service for assistance in tracing the anonymous letter.

● Meet with the psychiatrist who called the agency and ask him to send a letter to the chief of police reporting the threats. Also, inform the psychiatrist about the ex-employee’s behavior and discuss whether or not involuntary hospitalization might be an option. Attempt to establish an ongoing dialog with the psychiatrist and try to get a commitment from him to share information about the case to the extent allowed by confidentiality.

● Provide periodic updates to the threatened supervisor on the status of the case, actions taken, and actions being contemplated.

● Provide support and advice to the threatened supervisor, including telephone numbers and points of contact for local telephone company, local law enforcement, and local victim assistance organizations.
Case Study 6 (Continued)

Recommendations for the Director of the Field Office:

- Meet with security and police to consider options (and their ramifications) for encouraging the ex-employee to cease and desist his threatening activities.
- Provide support to the supervisor by encouraging the supervisor to utilize the Employee Assistance Program.

Recommendations for the threatened Supervisor:

- Keep detailed notes about each contact with the ex-employee. Give copies of all the notes to the police. (They explained to the supervisor that in all probability, each time he went to the police, it was treated like a new report, and as individual incidents, they did not rise to the level of a crime.)
- Contact the phone company to alert them to the situation.
- Tape record all messages left on the answering machine.
- Contact the local office of victim assistance for additional ideas.

Resolution

Contact with the local police confirmed that each report had been taken as a new case. When presented with the cumulative evidence, in fact the ex-employee’s behavior did rise to the level of stalking under state law. The police visited the ex-employee and warned him that further threats could result in an arrest. At the threatened supervisor’s request, the county magistrate issued a restraining order prohibiting personal contact and any (continued) communication. Two months after the restraining order was issued, the ex-employee was arrested for breaking the restraining order. The agency security office and the supervisor kept in contact with the police about the case to reduce any further risk of violence.

Questions for the Agency Planning Group

1. Do you think the agency’s approach in this case was adequate to protect the supervisor?
2. Have you already established liaison with appropriate law enforcement authorities to ensure that situations such as this get the proper attention from the beginning?
3. What would your agency do if the psychiatrist refused to get involved? Are there any laws in your state requiring mental health professionals to protect potential victims when threats have been made?
Case Study 6 (Continued)

4. How would you continue to monitor the ex-employee's activities after he is released from jail?

5. What would your agency do if the case continued without the ex-employee being arrested?
Case Study 7 -- Threats from Non-Employees

The Incident

The agency’s new workplace violence team receives a call from a small field office. The office staff consists of three employees, two of whom spend much of their workday outside of the office. All three employees have had close calls in the past in dealing with violent individuals. On two occasions, clients who came into the office lost their temper because they received answers they did not like. Several times the employees who conducted their business outside the office were the targets of threats and aggressive behavior. They asked the workplace violence team, “How can you help us out here in the field?”

Response

Presented with this problem, the workplace violence team consulted with the following organizations:

- The local law enforcement agency in jurisdiction where the field office was located;
- Several Federal Law enforcement agencies, including the Federal Protective Services;
- Other Federal Government agencies that had small field offices and/or employees who spent most of their workday outside the office;
- The National Victims’ Center;
- Prevention units of State Police in several states where the agency had field offices.

Resolution

The agency implemented the following plan not only for the office that made the initial request, but for many of their other field offices as well.

- Install a panic button in the office that is connected to a security service.
- Install a video camera (with an audio component) in the public service area to record any incident that occurs in the office.
- Reconfigure office furniture, especially in public service areas, to maximize security (e.g., rearrange the office furniture and dividers to give the appearance that the employee is not alone).
- Train all employees in the field when a threatening situation is suspected.
Case Study 7 (Continued)

- Provide employees with copies of the laws regarding harassment, threats, and stalking in their states.
- Provide employees with lists of state and local organizations that can assist them in preventing violence and in dealing with potentially violent situations.
- Arrange for regional and field offices to develop and maintain liaison with state and local law enforcement agencies.
- Establish a system for employees in the field to check in periodically throughout the day, e.g., an employee would call and say, “I’m entering the Jones residence, and I will call you back in 30 minutes.”
- Provide cellular phones, personal alarms, and other safety devices, as appropriate, to employees in the field.

Questions for the Agency Planning Group

1. Do you agree with the agency’s approach in this case?
2. What more could be done?
Case Study 8 – Intimidation

The Incident

A supervisor reported to a Human Resources (HR) specialist that he recently heard from one of his employees (alleged victim) that another one of his employees (alleged perpetrator) has been intimidating him with his “in your face” behavior. The alleged perpetrator has stood over the alleged victim’s desk in what he perceived as a menacing way, physically crowded him out in an elevator, and made menacing gestures. The supervisor stated that the alleged perpetrator was an average performer, somewhat of a loner, but there were no behavior problems that he was aware of until the employee came to him expressing his fear. He said that the employee who reported the situation said he did not want the supervisor to say anything to anyone, so the supervisor tried to observe the situation for a couple of days. When he didn’t observe any of the behavior described, he spoke with the alleged victim again and told him he would consult with the Crisis Management Team.

Response

In cases involving reports of intimidation, this agency’s crisis response plan called for involvement of Human Resources (HR) and the Employee Assistance Program (EAP) (with the clear understanding that they would contact other resources as needed). The first thing the HR specialist did was set up a meeting for the next day with the supervisor, an EAP counselor, and another HR specialist who was skilled in conflict resolution.

At that meeting, several options were discussed. One was to initiate an immediate investigation into the allegations, which would involve interviewing the alleged victim, any witnesses identified by the alleged victim, and the alleged perpetrator. Another suggestion offered by the EAP counselor was that, in view of the alleged victim’s reluctance to speak up about it, they could arrange a training session for the entire office on conflict resolution (at which time the EAP counselor could observe the dynamics of the entire work group). The EAP counselor noted that conflict resolution classes were regularly scheduled at the agency. The supervisor also admitted that he was aware of a lot of tensions in the office and would like the EAP’s assistance in resolving whatever was causing them.

After discussing the options, the supervisor and the team decided to try the conflict resolution training session before initiating an investigation.

At the training session, during some of the exercises, it became clear that the alleged victim contributed significantly to the tension between the two employees. The alleged victim, in fact seemed to contribute significantly to conflicts not only with the alleged perpetrator, but with his coworkers as well. The alleged perpetrator seemed to react assertively, but not inappropriately, to the alleged victim’s attempts to annoy him.
Case Study 8 (Continued)

Resolution

Office tensions were reduced to minimal as a result of the training sessions and follow-up work provided by the Employee Assistance Program. The employee who initially reported the intimidation to his supervisor not only realized what he was doing to contribute to office tensions, but he also actively sought help to change his approach and began to conduct himself more effectively with his coworkers. He appreciated getting the situation resolved in a low-key manner that did not cause him embarrassment and began to work cooperatively with the alleged perpetrator. The alleged perpetrator never learned about the original complaint, but he did learn from the training session more effective ways to conduct himself with his coworkers. This incident took place over a year ago, and the agency reports that both are productive team players.

Questions for the Agency Planning Group

1. Do you agree with the agency’s approach in this situation?

2. Can you think of other situations that could be addressed effectively through an intervention with work group?

3. In what kinds of situations would this approach be counter-productive?

4. Can you envision a scenario where using the group conflict resolution session to resolve any individualized problem might have a negative, rather than a positive, effect?

5. Has your agency conducted employee training on such topics as conflict resolution, stress management, and dealing with hostile persons?
Case Study 9 – Disruptive Behavior

The Incident

After workplace violence training was conducted at the college during which early intervention was emphasized, a student assistant in the Sociology Department called the department chair (also a member of the workplace violence team) for advice on dealing with a professor in the department. He said that the professor, who had been hired six months earlier, was in the habit of shouting and making demeaning remarks to the student assistants in the office. The professor was skilled in twisting words around and manipulating situations to his advantage. For example, when student assistants would ask him for advice on a topic in his area of expertise, he would tell them to use their own common sense. Then when they finished the assignment, he would make demeaning remarks about them and speak loudly about how they had done their work the wrong way. At other times, he would demand rudely in a loud voice that they drop whatever they were working on and help him with his project. The student assistant said he had attempted to speak with another professor who serves as his supervisor about the situation, but was told not to make a mountain out of a mole hill.

Response

The Department Chair met with the student assistant who had reported the situation. The student assistant described feelings of being overwhelmed and helpless. The demeaning remarks were becoming intolerable. The student assistant believed that attempts to resolve the issue with the abusive professor were futile. The fact that his supervising professor had minimized the situation further discouraged the student assistant. By the end of the meeting with the department chair, however, the student assistant was able to recognize that not saying anything was not helping and was actually allowing a bad situation to get worse.

At a subsequent meeting, the department chair and the student assistant explored skills to address the situation in a respectful, reasonable, and responsible manner with both his supervising professor and the abusive professor. The counselor suggested using language such as:

- I don’t like shouting. Please lower your voice.
- I don’t like it when you put me down in front of my peers.
- It’s demeaning when I am told that I am…
- I don’t like it when you point your finger at me.
- I want to have a good working relationship with you.

The student assistant learned to focus on his personal professionalism and responsibility to establish and maintain reasonable boundaries and limits by using these types of firm and friendly “I statements,” acknowledging that he heard and understood what the supervising professor and the abusive professor were saying, and repeating what he needed to communicate to them.
Case Study 9 (Continued)

After practicing with the department chair, the student assistant was able to discuss the situation again with his supervising professor. He described the situation in non-blaming terms, and he expressed his intentions to work at improving the situation.

The supervising professor acknowledged that the shouting was annoying but again asked the student assistant not to make a mountain out of a mole hill. The student assistant took a deep breath and said, “It may be a mole hill, but nevertheless, it is affecting my ability to get my work done efficiently”. Finally, the supervising professor stated that he did not realize how disruptive the situation had become and agreed to monitor the situation.

The next time the abusive professor raised his voice, the student assistant used his newly acquired assertiveness skill and stated in a calm and quiet voice, “I don’t like to be shouted at. Please lower your voice.” When the abusive professor started shouting again, the student assistant restated in a calm voice, “I don’t like being shouted at. Please lower your voice.” The professor stormed away.

Meanwhile, the department chair also began monitoring the situation. He noted that the abusive professor’s conduct had improved with the newly assertive student assistant, but he continued to be rude and demeaning toward the other student assistants. The chair consulted with an EAP Counselor and a Human Resources specialist. The EAP counselor told him, “Generally, people don’t change unless they have a reason to change.” The counselor added that the reasons people change can range from simple “I statements” such as those suggested above, to disciplinary actions. The Human Resources specialist discussed possible disciplinary options with the chair.

The chair then met with the abusive professor who blamed the altercations on the student assistants in the office. The chair responded, “I understand the student assistants were stressed. I’m glad you understand that shouting, speaking in a demeaning manner, and rudely ordering people around is unprofessional and disrespectful. It is unacceptable behavior and will not be tolerated.” During the meeting, he also referred the abusive professor to the Employee Assistance Program (EAP).

The professor continued his rude and demeaning behavior toward the other student assistants in spite of his department chair’s efforts. The other student assistants, after observing the newly acquired confidence and calm of the student assistant who first raised the issue, requested similar advice from the department chair. The chair met again with the EAP counselor and Human Resources specialist to strategize next steps.

Resolution

When all of the student assistants working in the department started using assertive statements, the abusive professor became more cooperative. However, it took a written reprimand, a short suspension, and several counseling sessions with the EAP counselor before he ceased his shouting and rude behavior altogether.
Case Study 9 (Continued)

Questions for the Agency Planning Group

1. Does your workplace violence training include communication skills to put a stop to disruptive behavior early on (including skills for convincing reluctant supervisors or faculty members to act)?

2. How would your college/department have proceeded with the case if the professor had threatened the student assistant who spoke to him in an assertive way?

3. What recourse would the student assistant have had if the department chair had refused to intervene?

4. Should the department chair have put the onus on the student assistant to try to resolve the conflict, or should he have addressed the issue with the abusive professor once the complaint was brought to him?

5. Did the supervising professor respond appropriately to the student assistant’s complaint?
APPENDIX E

Sample Policy Implementation Handbook

The Sample Workplace Violence Prevention Implementation Handbook may serve as a college’s written plan for preventing and handling workplace violence incidents. It should be prepared after the campus has conducted initial assessments of potentially hazardous situations and/or locations at its various work sites.

The Implementation Handbook presents the policy to the campus, introduces the members of the campus Workplace Violence Advisory Team (WVAT), and identifies hazards and prevention steps taken and/or to be taken by the college.

Please note that this is a sample booklet. All recommendations must be edited in accordance with applicable laws.

This sample handbook includes the following components:

- Employer’s Workplace Violence Policy Statement
- Identification of the Campus Workplace Violence Advisory Team (WVAT)
- Details regarding the WVAT review of past incidents and campus hazard assessment(s)
- Hazard Control and Prevention Actions
- Current and/or Potential Campus Training
- Incident Reporting and Investigation Procedures
- Record Keeping Procedures
WORKPLACE VIOLENCE PREVENTION PROGRAM

POLICY STATEMENT – Effective Date

Our institution, [Employer Name] is concerned and committed to our employees’ safety and health. We refuse to tolerate violence in the workplace and will make every effort to prevent violent incidents from occurring by implementing a Workplace Violence Prevention Program (WVP). We will provide adequate authority and budgetary resources to responsible parties so that our goals and responsibilities can be met.

All managers and supervisors are responsible for implementing and maintaining our WVP Program. We require prompt and accurate reporting of all violent incidents whether or not physical injury has occurred. We will not discriminate against victims of workplace violence.

A copy of this policy Statement and our Workplace Violence Prevention Program is readily available to all employees from each manager supervisor.

Our program ensures that all employees, including supervisors and managers, adhere to work practices that are designed to make the work place more secure, and do not engage in verbal threats or physical actions which create a security hazard for others in the workplace.

All employees, including managers and supervisors, are responsible for using safe work practices, for following all directives, policies and procedures, and for assisting in maintaining a safe and secure work environment.
The management of our establishment is responsible for ensuring that all safety and health policies and procedures involving workplace security are clearly communicated and understood by all employees. Managers and supervisors are expected to enforce the rules fairly and uniformly.

Our Program will be reviewed and updated annually.
The City University of New York Workplace Violence Prevention Policy

THE CITY UNIVERSITY OF NEW YORK
WORKPLACE VIOLENCE POLICY & PROCEDURES

The City University of New York has a long-standing commitment to promoting a safe and secure academic and work environment that promotes the achievement of its mission of teaching, research, scholarship and service. All members of the University community—students, faculty and staff—are expected to maintain a working and learning environment free from violence, threats of harassment, violence, intimidation or coercion. While these behaviors are not prevalent at the University, no organization is immune.

The purpose of this policy is to address the issue of potential workplace violence in our community, prevent workplace violence from occurring to the fullest extent possible, and set forth procedures to be followed when such violence has occurred.

Policy

The City University of New York prohibits workplace violence. Violence, threats of violence, intimidation, harassment, coercion, or other threatening behavior towards people or property will not be tolerated. Complaints involving workplace violence will not be ignored and will be given the serious attention they deserve. Individuals who violate this policy may be removed from University property and are subject to disciplinary and/or personnel action up to and including termination, consistent with University policies, rules and collective bargaining agreements, and/or referral to law enforcement authorities for criminal prosecution. Complaints of sexual harassment are covered under the University’s Policy Against Sexual Harassment.

The University, at the request of an employee or student, or at its own discretion, may prohibit members of the public, including family members, from seeing an employee or student on University property unless necessary to transact University-related business. This policy particularly applies in cases where the employee or student suspects that an act of violence will result from an encounter with said individual(s).

Scope

All faculty, staff, students, vendors, contractors, consultants, and others who do business with the University, whether in a University facility or off-campus location where University business is conducted, are covered by this policy. This policy also applies to other persons not affiliated with the University, such as former employees, former students, and visitors. When students
have complaints about other students, they should contact the Office of Student Affairs at their campus.

**Definitions**

Workplace violence is any behavior that is violent, threatens violence, coerces, harasses or intimidates others, interferes with an individual’s legal rights of movement or expression, or disrupts the workplace, the academic environment, or the University’s ability to provide services to the public. Examples of workplace violence include, but are not limited to:

1. Disruptive behavior intended to disturb, interfere with or prevent normal work activities (such as yelling, using profanity, verbally abusing others, or waving arms and fists).

2. Intentional physical contact for the purpose of causing harm (such as slapping, stabbing, punching, striking, shoving, or other physical attack).

3. Menacing or threatening behavior (such as throwing objects, pounding on a desk or door, damaging property, stalking, or otherwise acting aggressively; or making oral or written statements specifically intended to frighten, coerce, or threaten) where a reasonable person would interrupt such behavior as constituting evidence of intent to cause harm to individuals or property.

4. Possessing firearms, imitation firearms, knives or other dangerous weapons, instruments or materials. No one within the University community, shall have in their possession a firearm or other dangerous weapon, instrument or material that can be used to inflict bodily harm on an individual or damage to University property without specific written authorization from the Chancellor or the college President regardless of whether the individual possesses a valid permit to carry the firearm or weapon.

**Reporting of Incidents**

1. General Reporting Responsibilities

   Incidents of workplace violence, threats of workplace violence, or observations of workplace violence are not be ignored by any member of the University community. Workplace violence should promptly be reported to the appropriate University official (see below). Additionally, faculty, staff and students are encouraged to report behavior that they reasonably believe poses a potential for workplace violence as defined above. It is important that all members of the University community take this responsibility seriously to effectively maintain a safe working and learning environment.

2. Imminent or Actual Violence
Any person experiencing or witnessing imminent danger or actual violence involving weapons or personal injury should call the Campus Public Safety Office immediately, or call 911.

3. Acts of Violence Not Involving Weapons or Injuries to Persons

Any person who is the subject of a suspected violation of this policy involving violence without weapons or personal injury, or is a witness to such suspected violation, should report the incident to his or her supervisor, or in lieu thereof, to their respective Campus Public Safety Office. Students should report such incidents to the Office of Student Affairs at their campus or in lieu thereof, their campus Public Safety Office. The Campus Public Safety Office will work with the Office of Human Resources and the supervisor or the Office of Student Affairs on an appropriate response.

4. Commission of a Crime

All individuals who believe a crime has been committed against them have the right, and are encouraged, to report the incident to the appropriate law enforcement agency.

5. False Reports

Members of the University community who make false and malicious complaints of workplace violence, as opposed to complaints which, even if erroneous, are made in good faith, will be subject to disciplinary action and/or referral to civil authorities as appropriate.

6. Incident Reports

The University will report incidents of workplace violence consistent with the College Policies for Incident Reporting Under the Campus Security Policy and Statistical Act (Clery Act).

Responsibilities

1. Presidents

The President of each constituent college of The City University of New York, the Chief Operating Officer at the Central Office, and the Deans of the Law School and the Sophie Davis School of Biomedical Education shall be responsible for the implementation of this policy on his or her respective campus. The responsibility includes dissemination of this policy to all members of the college community, ensuring appropriate investigation and follow-up of all alleged incidents of workplace violence, constituting a Workplace Violence Advisory Team (See #7. below), and ensuring that all administrators, managers,
and supervisors are aware of their responsibilities under this policy through internal communications and training.

2. Campus Public Safety Office

The Campus Public Safety Office is responsible for responding to, intervening, and documenting all incidents of violence in the workplace. The Campus Public Safety Office will immediately log all incidents of workplace violence and will notify the respective supervisor of an incident with his/her employee, or notify the appropriate campus official of an incident with a student. All officers should be knowledgeable of when law enforcement action may be appropriate. Public Safety will maintain an internal tracking system of all threats and incidents of violence. Annual reports will be submitted to the President (at the same time as the report noted below) detailing the number and description of workplace violence incidents, the disposition of the incidents, and recommend policy, training issues, or security procedures that were or should be implemented to maintain a safe working and learning environment. These incidents will be reported in the Annual Report of the College Advisory Committee on Campus Security consistent with the reporting requirements of Article 129A Subsection 6450 of the NYS Education Law (Regulation by Colleges of Conduct on Campuses and Other College Property for Educational Purposes).

Officers will be trained in workplace violence awareness and prevention, non-violent crises intervention, conflict management, and dispute resolution.

Officers will work closely with Human Resources when the possibility of workplace violence is heightened, as well as on the appropriate response to workplace violence incidents consistent with CUNY policies, rules, procedures and applicable labor agreements, including appropriate disciplinary action up to and including termination.

When informed, Public Safety will maintain a record of any Orders of Protection for faculty, staff, and students. Public Safety will provide escort service to members of the college community within its geographical confines, when sufficient personnel are available. Such services are to be extended at the discretion of the Campus Public Safety Director or designee. Only the President, or designee, in his/her absence, can authorize escort service outside of the geographical confines of the college.

3. Supervisors

Each dean, director, department chairperson, executive officer, administrator, or other person with supervisory responsibility (hereinafter “supervisor”) is responsible within his/her area of jurisdiction for the implementation of this policy. Supervisors must report to their respective Campus Public Safety Office any complaint of workplace violence made to him/her and any other incidents of workplace violence of which he/she becomes aware or reasonably believes to exist. Supervisors are expected to inform their immediate supervisor promptly about any complaints, acts, or threats of violence even if the situation has been addressed and resolved. After having reported such complaint or
incident to the Campus Public Safety Director and immediate supervisor, the supervisor should keep it confidential and not disclose it further, except as necessary during the investigation process and/or subsequent proceedings.

Supervisors are required to contact the Campus Public Safety Office immediately in the event of imminent or actual violence involving weapons or potential physical injuries.

4. Faculty and Staff

Faculty and staff must report workplace violence, as defined above, to their supervisor. Faculty and staff who are advised by a student that a workplace violence incident has occurred or has been observed must report this to the Campus Public Safety Director immediately. Recurring or persistent workplace violence that an employee reasonably believes is not being addressed satisfactorily, or violence that is, or has been, engaged in by the employee’s supervisor should be brought to the attention of the Campus Public Safety Director.

Employees who have obtained Orders of Protection are expected to notify their supervisors and the Campus Public Safety Office of any orders that list CUNY locations as protected areas.

Victims of domestic violence who believe the violence may extend into the workplace, or employees who believe that domestic or other personal matters may result in their being subject to violence extending into the workplace, are encouraged to notify their supervisor, or the Campus Public Safety Office. Confidentiality will be maintained to the extent possible.

Upon hiring, and annually thereafter, faculty and staff will receive copies of this policy. Additionally, the policy will be posted throughout the campus and be placed on the CUNY website and on the college’s website, as appropriate.

5. Office of Human Resources

The Office of Human Resources at each campus is responsible for assisting the Campus Public Safety Director and supervisors in responding to workplace violence; facilitating appropriate responses to reported incidents of workplace violence; notifying the Campus Public Safety Office of workplace violence incidents reported to that office; and consulting with, as necessary, counseling services to secure professional intervention.

The Office of Human Resources is responsible for providing new employees or employees transferred to the campus with a copy of the Workplace Violence Policy and Procedures and insuring that faculty and staff receive appropriate training. The Office of Human Resources will also be responsible for annually disseminating this policy to all faculty and staff at their campus, as well as posting the policy throughout the campus and on the college’s website, as appropriate.
6. Students

Students who witness violence, learn of threats, or are victims of violence by employees, students or others should report the incident immediately to the Campus Public Safety Office. If there is no imminent danger, students should report threatening incidents by employees, students or others as soon as possible to the Campus Public Safety Office or Office of Student Affairs. Students will be provided with workplace violence awareness information (including information regarding available counseling services) upon registration each year.

7. Workplace Violence Advisory Team

A college President shall establish a Workplace Violence Advisory Team at his/her college. This Team, working with the College Advisory Committee on Campus Security, will assist the President in responding to workplace violence; facilitating appropriate responses to reported incidents of workplace violence; assessing the potential problem of workplace violence at its site; assessing the college’s readiness for dealing with workplace violence; evaluating incidents to prevent future occurrences; and utilizing prevention, intervention, and interviewing techniques in responding to workplace violence. This Team will also develop workplace violence prevention tools (such as pamphlets, guidelines and handbooks) to further assist in recognizing and preventing workplace violence on campus. It is recommended that this Team include representatives from Campus Public Safety, Human Resources, Labor Relations, Counseling Services, Occupational Health and Safety, Legal, and others, including faculty, staff and students, as deemed appropriate by the President.

In lieu of establishing the Workplace Violence Advisory Team, a President may opt to expand the College Advisory Committee on Campus Security with representatives from the areas recommended above to address workplace violence issues at the campus and perform the functions outlined above.

8. University Communications

All communications to the University community and outside entities regarding incidents of workplace violence will be made through the University Office of University Relations after consultation with the respective President or his/her designee.

**Education**

Colleges are responsible for the dissemination and enforcement of this policy as described herein, as well as for providing opportunities for training in the prevention and awareness of workplace violence. The Office of Faculty and Staff Relations\(^2\) will provide assistance to the

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\(^2\) The Office of Faculty and Staff Relations has since been renamed the Office of Human Resources Management.
Campuses in identifying available training opportunities, as well as other resources and tools, (such as reference materials detailing workplace violence warning signs) that can be incorporated into campus prevention materials for dissemination to the college community. Additionally, the Office of Faculty & Staff Relations\(^3\) will offer periodic training opportunities to supplement the college’s training programs.

**Confidentiality**

The University shall maintain the confidentiality of investigations of workplace violence to the extent possible. The University will act on the basis of anonymous complaints where it has a reasonable basis to believe that there has been a violation of this policy and that the safety and well-being of members of the University community would be served by such action.

**Retaliation**

Retaliation against anyone acting in good faith who has made a complaint of workplace violence, who has reported witnessing workplace violence, or who has been involved in reporting, investigating, or responding to workplace violence is a violation of this policy. Those found responsible for retaliatory action will be subject to discipline up to and including termination.

Approved by the Board of Trustees
June 28, 2004

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\(^3\) See note 2 above.
WORKPLACE VIOLENCE PREVENTION PROGRAM

WORKPLACE VIOLENCE ADVISORY TEAM

A Workplace Violence Advisory Team will be established and part of their duties will be to assess the vulnerability to workplace violence at our establishment and reach agreement on preventive actions to be taken. They will be responsible for auditing our overall Workplace Violence Program.

The Threat Team will consist of:

Name: ________________________ Title:___________________ Phone:_______
Name: ________________________ Title:___________________ Phone:_______
Name: ________________________ Title:___________________ Phone:_______
Name: ________________________ Title:___________________ Phone:_______
Name: ________________________ Title:___________________ Phone:_______
Name: ________________________ Title:___________________ Phone:_______
Name: ________________________ Title:___________________ Phone:_______

The team will develop employee training programs in violence prevention and plan for responding to acts of violence. They will communicate this internally to all employees.

The Workplace Violence Advisory Team will begin its work by reviewing previous incidents of violence at our workplace. They will analyze and review existing records identifying patterns that may indicate caused and severity of assault incidents and identify changes necessary to correct these hazards. These records include but are not limited to, OSHA 200 logs, past incident reports, medical records, insurance records, workers compensation records, police reports, accident investigations, training records, grievances, minutes of meeting etc. The team
will communicate with similar local businesses and trade associates concerning their experiences with workplace violence.

Additionally, they will inspect the workplace and evaluate the tasks of all employees to determine the presence of hazards, conditions, operations, and other situations, which might place our workers at risk of occupational assault incidents. Employees will be surveyed to identify the potential for violent incidents and to identify or confirm the need to improve security measures. These surveys shall be reviewed, updated and distributed as needed or at least once within a two year period.

Periodic inspections to identify and evaluate workplace security hazards and threats of workplace violence will be performed by the following representatives of the Assessment Team, in the following areas of our workplace:

Representative: ___________________ Area _______________________
Representative: ___________________ Area _______________________
Representative: ___________________ Area _______________________

Periodic inspections will be performed according to the following schedule:

_____________________________________________________________
Frequently (Daily, weekly, monthly, etc.)
HAZARD ASSESSMENT

On [Date], the Workplace Violence Advisory Team completed the hazard assessment. This consisted of a records review, inspection of the workday and employee survey.

Records Review – The Workplace Violence Advisory Team reviewed the following record:

- OSHA 200 logs for the past three years
- Incident reports
- Records of or information compiled for recording of assault incidents or near assault incidents
- Insurance records
- Police reports
- Accidents investigations
- Training records
- Grievances
- Other relevant records or information ______________________________
  ____________________________________________________________________

From these records, we have identified the following issues that need to be addressed:

- 
- 
-
WORKPLACE SECURITY ANALYSIS

**Inspection** – The Workplace Violence Advisory Team inspected the workplace on [Date]. From this inspection the following issues have been identified:

- 
- 
- 

**Review of Tasks** – The Threat Assessment Team also reviewed the work tasks of our employees to determine the presence of hazards, conditions, operations and situations which might place workers at risk of occupational assault incidents.

The following factors were considered:

- Exchange of money with people
- Working alone or in small numbers
- Working late at night or early in the morning hours
- Working in a high crime area
- Guarding valuable property or possessions
- Working in community settings
- Staffing levels

From this analysis, the following issues have been identified:

- 
- 
-
WORKPLACE SURVEY

Under the direction of the Workplace Violence Advisory Team, we distributed a survey among all of our employees to identify any additional issues that were not noted in the initial stages of the hazard assessment.

From that survey, the following issues have been identified:

- 
- 
-
WORKPLACE HAZARD CONTROL AND PREVENTION

In order to reduce the risk of workplace violence, the following measures have been recommended:

Engineering Controls and Building and Work Area Design

- 
- 
- 

Management has instituted the following as a result of the workplace security inspection and recommendations made by the Workplace Violence Advisory Team:

- 
- 
- 

These changes were completed on _____[Date]______.

Policies and procedures developed as a result of the Workplace Violence Advisory Team’s recommendations:

✓ 
✓ 
✓
TRAINING AND EDUCATION

Training for all employees, including managers and supervisors, was given on [Date]. This training will be repeated every two years.

Training included:

- a review and definition of workplace violence;
- a full explanation and description of our program (all employees were given a copy of this program at orientation);
- instructions on how to report all incidents including threats and verbal abuse;
- methods of recognizing and responding to workplace security hazards;
- training on how to identify potential workplace security hazards (such as no lights in parking lot while leaving late at night, unknown person loitering outside the building, etc.)
- review of measures that have been instituted in this organization to prevent workplace violence:
  - use of security equipment and procedures;
  - how to attempt to diffuse hostile or threatening situations;
  - post-incident procedures, including medical follow-up and the availability of counseling and referral.
Additional specialized training was given to

- Name, Department, Job Title
- Name, Department, Job Title
- Name, Department, Job Title

This training was conducted by ____________________________ on ________ [Date] ________ and will be repeated every two years.

Trainers will be qualified and knowledgeable. Our trainers are professionals ____________________________ [list type of certification] _____________. At the end of each training session, employees will be asked to evaluate the session and make suggestions on how to improve the training.

All training records will be filed with ____________________________.

Workplace Violence Prevention training will be given to new employees as part of their orientation.

A general review of this program will be conducted every two years. Our training program will be updated to reflect changes in our Workplace Prevention Program.
INCIDENT REPORTING AND INVESTIGATION

All incidents must be reported within _____[Time]___. An “Incident Report Form” will be completed for all incidents. One copy will be forwarded to the Workplace Violence Advisory Team for their review and a copy will be filed with _________[Job Title]__________.

Each incident will be evaluated by the Workplace Violence Advisory Team. The team will discuss the causes of the incident and will make recommendations on how to revise the program to prevent similar incidents from occurring. All revisions of the Program will be put into writing and made available to all employees.
RECORDKEEPING

We will maintain an accurate record of all workplace violence incidents. All incident report forms will be kept for a minimum of \([\text{Time}]\), or for the time specified in the Statute of Limitations for our local jurisdiction.

Any injury which requires more than first aid, is a lost-time injury, requires modified duty, or causes loss of consciousness, will be recorded on the OSHA 200 log. Doctors’ reports and supervisors’ reports will be kept of each recorded incident, if applicable.

Incidents of abuse, verbal attack, or aggressive behavior which may be threatening to the employee, but not resulting in injury, will be recorded, these records will be evaluated on a regular basis by the Workplace Violence Advisory Team.

Minutes of the Workplace Violence Advisory Team meetings shall be kept for \([\text{Time}]\).

Records of training program contents, and sign-in sheets of all attendees, shall be kept for \([\text{Time}]\). Qualifications of the trainers shall be maintained along with the training records.
Workplace Violence: Awareness, Prevention and Management

The Office of Human Resources Management (OHRM)

Gloriana B. Waters
Vice Chancellor

Raymond O’Brien
Senior University Director
and Deputy to the Vice Chancellor

Raj Singh
Senior University Director
Human Resources Strategic Planning

Contributors to the original 2005 WVAT Reference Manual and Training Program

John Jay College
Herbert Johnson, Director, Criminal Justice Center, Office of Continuing and Professional Studies
Katherine Stavrianopoulos, PhD, Graduate Externship Training Coordinator, Department of Counseling

New York City College of Technology
Deborah Waksbaum, LCSW, Counselor/Lecturer, Counseling Services Center

CUNY Central Office
John McKee, Deputy University Director/Deputy Chief, University Public Safety
Barbara O’Garrow, Human Resources Coordinator, Human Resources Management Services, Office of Faculty and Staff Relations
Rhonnye Ricks, University Training Officer, Professional Development and Learning Management, Office of Human Resources Management

Winter/Spring 2010 WVAT Training Facilitators

John Jay College
Herbert Johnson, Director, Security Management Institute, Office of Continuing and Professional Studies

CUNY Central Office
John McKee, Deputy University Director/Deputy Chief, University Public Safety
Rhonnye Ricks, University Director, Professional Development and Learning Management, Office of Human Resources Management
Kevin Webb, Program Coordinator, Professional Development and Learning Management, Office of Human Resources Management