

# Group Directive K1 Annex 5: Guide to Mental Health Protection

2020 edition – supersedes the 2014 edition.

# Group Directive K1 Annex 5:

## Guide to Mental Health Protection

### 1. Background, purpose

**Background:** Roche strives to provide its employees with a healthy working environment and, if necessary, to take appropriate corrective measures to improve employee health. The world of work has been continuously changing with respect to working hours, organization of work, and workplace stress. As a result, the risk to health from undue psychological stress is apparent. Workplace stress alone rarely leads directly to psychiatric disorders for individual employees, but often gives rise to psychosomatic signs and symptoms such as headache, back pain, high blood pressure, stomach upset, fatigue, and shallow breathing. As physical and mental health are connected, it seems prudent to approach mental health protection in the same manner that traditional health protection measures have been addressed (i.e., using the steps outlined in Group Directive K1).

Mental health protection at the workplace does create some unique challenges. For example, the genesis of mental illness is often complex and can hinge on a number of factors. Therefore, it is difficult and often even impossible to establish a direct causal link between mental illness and a person's workplace. Unlike other workplace hazards, the socio-cultural context also plays a role in the individual assessment of psychological stress. Nevertheless, psychological risk factors and the extent they are present can be identified and, to a certain extent, measured by using validated methods (e.g., questionnaires, focus groups). In contrast to "classic" influencing factors (e.g., noise, radiation, and chemical exposures), there are no universally accepted threshold values in the evaluation of psychological stress. Therefore, the important step is the systematic risk assessment, which must be based on local experience in order to derive appropriate improvement measures, if needed.

According to principles of Directive K1, the following cycle process should be applied and documented to provide employees with protection from workplace health hazards:

- Written workplace mental health risk assessments (WMHRA)
- Taking measures to eliminate or reduce the risks
- Monitoring the effectiveness of the measures
- Taking corrective measures, if necessary
- Provision of information to employees

**Purpose:** To provide the theoretical framework and serve as a useful tool for sites to fulfill the requirement of assessing and reducing mental health risks in a professional and efficient way.

## 2. Scope

This Annex is binding for all companies of the Roche Group.

## 3 Principles

K1 Annex 5 is a primary prevention approach focused on eliminating or minimizing workplace sources of stress. This is a workplace-centered approach, in contrast to a person-centered approach with interventions targeted to the individuals.

The principle of prevention is applied based on preventive measures aimed at eliminating or reducing risks to health, which are implemented based on risk analysis, and not as a reaction to adverse health-related events. To enable a healthy workplace, job-related psychological stress control must be integrated into the occupational health protection framework, along with all other health risks. A workplace health risk assessment should serve as the foundation for this effort. Provision of information and training to all employees, particularly to those in supervisory positions, is important because the control of mental health risks at the workplace aims primarily at changes on organizational levels. This requires the understanding of mental health protection principles and the support of the local approach by everyone.

## 4 Glossary: Terms/acronyms and definitions

Term/Acronym	Definition
Job function	The routine set of tasks or activities undertaken by any person in that position.
Mental Health	A state of well-being in which every individual realizes his or her own potential, can cope with the normal stresses of life, can work productively and fruitfully, and is able to make a contribution to his or her community.
Primary Prevention	Action taken prior to the onset of the disease, which removes or reduces the possibility that the disease will ever occur.
Psychological Strain	Is a state of worry and tension caused by a situation.
Psychological Stress	Any ascertainable influence from internal or external sources that has an impact on the mental state of the worker.
SHE	Safety, Security, Health and Environmental Protection.
Workplace-centered	Controlling the risk factors at the workplace.
WMHRA	Workplace mental health risk assessments.

## 5 Roles and responsibilities

### 5.1 Site Leadership

Site leadership is responsible for compliance with this directive through:

- Providing resources (e.g., financial and organizational) to ensure that processes are established; accountabilities assigned.

### 5.2 Line Management

The Line management is responsible for ensuring that the mental health protection measures established are implemented at the site under the areas of their control including:

- Providing resources to ensure the implementation and compliance with this directive.

### 5.3 Person in-charge of this Annex (e.g. SHE Officer / HR / Medical Services)

Is responsible for:

- Ensure that workplace mental health risk assessments are performed and that measures are taken to control them to a healthy level.
- Informing/advising site leadership of the requirements and responsibilities of this Annex.
- Supporting site leadership in implementing mental health programs.
- Conducting periodic self-assessments (i.e., gap analysis) of the mental health program.

### 5.4 Employees

Employees are responsible for:

- Collaborating with personnel who are in charge of fulfilling this annex and support all their activities.

## 6 Requirements

### 6.1 Workplace mental health risk assessments (WMHRA)

- Workplace health risk assessments must include an evaluation of risks to mental health. This assessment captures parameters for so-called "psychological stress". Within the context of risk assessments, psychological stress can have positive (eustress) or negative (distress) effects on individuals. Negative stress factors that have been proven to have adverse effects on the health of employees are for example poorly organized work processes, frequent and unplanned interruptions of working routine or a lack of opportunities to receive support or share information with colleagues, and the behavior of line managers.
- For every job function, the specific psychological stress factors need to be investigated. These can vary considerably depending on the culture, sector, plant, workplace, and nature of work. The unique aspects of the work to be considered can usually be classified into the following categories: work content, work organization, social factors, and work environment:

Category	Examples
Content of work	Completeness of task Leeway Variety Information/information supply Responsibilities/Accountabilities Challenges, level of qualification needed Emotional strain
Organization of work	Working hours; quantity of work; shift work Workflows; time pressure Required flexibility Communication/cooperation
Social factors	Support from colleagues or line managers Culture of interaction among staff Diversity of contact persons
Working environment	Physical and chemical factors Workplace quality (e.g. ergonomics, tools)

Additional details on these aspects can be found in Appendix B.

There are many methods for assessing the risk of psychological stress. Established tools include, for example, anonymous or non-anonymous surveys (questionnaires; see example in Appendix A), observation of work situations and processes, observational (i.e., "on the job") interviews and moderated group discussions (e.g., workshops).

- Each site is responsible for developing a mental health protection strategy tailored to fit the organization's specific work processes and culture.

This is often best done with assistance from external advisers. The strategy should include the rationale of the selected approach, assignment of responsibilities, realistic time scales, and prioritization of interventions. In practice, this means that sites need to specify and apply their own individual methods and criteria for identifying psychological stress factors. Exchange of experience with comparable sites within the Roche Group, or from other companies, can also be useful.

There is no need to assess every individual workplace. Instead, if groups of people are doing the same/similar job, representative workplaces can be selected and investigated for psychological stress factors. However, for most stress factors, there are no universally accepted threshold values, or safe levels, for psychological stress. Quantification can only be performed on a "relative" basis by measuring stress factors using empirical values, or by estimating their strength in comparison to other workplaces. In large sites or sites with very limited resources, it may be advisable, as part of the strategy, to distinguish between work areas with relatively high, medium, or low risk to mental

health. This quantitative risk ranking should then be used as the foundation for prioritizing corrective and preventive measures.

- An individual employee who experiences psychological stress should have the opportunity to request a mental health risk assessment for his/her workplace.

## 6.2 Elimination or appropriate reduction of risks

- According to the principle of primary prevention, measures for eliminating or reducing risk should be adopted preemptively and not only in response to cases of mental health issues that have already arisen.

It is preferable that risk-reducing measures be implemented in those areas where they are most urgently needed (i.e., where the greatest risks are perceived).

In the absence of universally valid threshold values for the individual stress parameters, Human Resource data/metrics can serve as an indicator of high psychological strain. Specific events suggesting that the stress situation among employees could be critical are, for example:

- a high rate of sick leave
  - high personnel fluctuation
  - a large number of employees on restricted duties
  - quality problems; impaired performance
  - poor working atmosphere
  - lack of communication
  - frequent conflicts and complaints about stress
  - instances of bullying
- Measures for eliminating or reducing stress factors should be derived from and implemented according to the specific workplace situation or the conditions associated with the specific activity.
  - Active communication from the employees is essential, as typically most psychological stress factors experienced arise in the individual's own work area (e.g., badly structured workflow, communication problems, poor management behavior, or a lack of support between colleagues).

Measures for reducing these kinds of stress factors may include:

- provision of a quiet workplace of sufficient dimensions without acoustic and visual distraction, privacy
- avoidance of frequent interruptions
- allocation of tasks to the appropriate people
- improvement of work processes and communication
- adapting employee's development opportunities
- improvement of managerial and peer support
- changes to the work environment and working equipment

- Suitable corrective measures must be achievable in their content, implementable within a reasonable period, and be verifiable.
- Active input from affected employees is key to the development and implementation of an appropriate plan.

### 6.3 Provision of information to employees

- As a critical element, provide appropriate information and education to employees on the topic of protecting mental health.
- Successful primary prevention of mental health issues requires an open communication culture. All organizational levels should understand and support the strategy.

Mental health problems and illnesses remain an issue which many people do not like to discuss. People fear social stigmatization, receiving a poor performance review, or even that their careers will be impacted. Ongoing, objective education on "mental health" helps raise employee awareness of the problem and can create an atmosphere where people can deal with this subject in an open and relaxed way. In addition, many people are unaware of the links between stress in the modern working world and the resultant physical consequences that may arise.

- To assess the risk of undue psychological stress within a site, employees should be invited to participate in the risk assessment process.

In order to obtain broad-based support from the workforce, it is advisable to provide quality information to employees on their options for participation in advance of a planned campaign to ease any reservations people may have on the subject. It must be clear to the employee that the effort is being undertaken as a means of assessing the workplace for risk factors and not for assessing the mental health of the employee. It is important to differentiate the term "psychological stress" from "mental disturbance" or "mental illness" as the latter two terms, unfortunately sometimes result in stigmatization and, ultimately, a negative attitude.

- Person centered approaches (i.e., complementary measures) may be considered.

Psychological stress arising from a person's work situation is experienced subjectively by each individual and results in individual impacts. Therefore, complementary to primary prevention, person-centered approaches help to increase the resilience of the individual employee, e.g., through counseling on stress management, or by directly offering suitable training opportunities (relaxation exercises, yoga, etc.). Such offerings can be very useful to the individual but should be used as complementary measures. Under no circumstances should they replace the risk assessment and subsequent measures identified for the elimination and reduction of workplace risk described above.

## 6.4 Effectiveness, Monitoring and Documentation

- Occupational health and safety measures require regular monitoring to determine their effectiveness and, if applicable, to identify appropriate adaptations due to changing circumstances.

Therefore, in the sense of a quality assurance check, an assessment has to be done to determine how effective the implemented mitigation measures have been in reducing undue stress. The effective control of mental health risks at the workplace is particularly important for employees returning to work after medical leave. Effectiveness monitoring helps to identify what changes to the approach are needed to continuously improve the quality of the program.

Documentation must include:

- the outcome of the risk assessment
- the occupational health and safety measures derived from the risk assessment and the corresponding objectives
- the outcome of the monitoring of these measures
- communication about the results and measures

Acceptance by the employees of the measures implemented can be viewed as a sign of the success of these measures. Changes in the situation can be monitored, for example, by conducting regular employee surveys. At the same time, repeated surveys can provide indicators of new stress "hot spots," which may have arisen due to changes in working conditions and demonstrate improvements achieved.

## 7 Supporting Material: Records, forms, tools and references

Appendix A – Questionnaire: Psychological Stress

Appendix B - Guideline on Counselling and Monitoring for Psychological Stress in the Workplace

Appendix C – Mental Health @ Work Self-Assessment Tool

## 8 Annexes

Not applicable.

## **9 Implementation and assistance**

This Annex becomes effective immediately and replaces any earlier editions of Group Directive K1 Annex 5.

The existing local programs/procedures have to comply with this Annex and must be revised or adapted accordingly.

Group Safety, Security, Health and Environmental Protection (LSH) at Roche Basel may be contacted for all questions arising in connection with this annex.

## 10 Review, approval and revision

Role	Name / Job Title	Signature	Date
Author	Dr. Thomas Pfister Head of Mental Health Protection		
Co-Author	Ceresa Lim Occupational Health Nurse		
Manager	Dr. David Miedinger Chief Occupational Health Officer		
Reviewer (LSA)	Dr. Thierry Muller Group SHE Governance & Audit Officer		
Approver (Owner)	Dr. Peter Schnurrenberger Chief SHE Officer		

## 11 Identification of changes

Version	Date of issue	Change description
V1.0	31 Oct 2014	First Edition
V2.0	22 July 2020	<p>A revision of wording was done to align with the upcoming self-assessment tool and to provide further clarify with the specific expectations.</p> <p>Formatting updated to align with directive template.</p> <p>Glossary: Terms/acronyms and definitions added.</p> <p>Roles and responsibilities added</p>
V2.1	5 Aug 2020	Inclusion of the Mental Health @ Work Self-Assessment Tool

## Appendix A - Questionnaire: Psychological Stress (Example)

The questions of this survey are adopted from a validated questionnaire provided by the German Bundesanstalt für Arbeitsschutz und Arbeitsmedizin (BAUA). Published in: M. Holm, M. Geray. Integration der psychischen Belastungen in die Gefährdungsbeurteilung. Handlungshilfe, 5. Auflage. Berlin: Initiative Neue Qualität der Arbeit (INQA) 2012

### INFORMED CONSENT

Title of the survey: **Psychological health risk assessment in the workplace**

Responsible for the survey: *Name of the line manager to be added*

By ticking the box "YES" below, I am confirming that

- I have been sufficiently informed about the purpose of this survey. I had the opportunity to ask questions and have had these answered satisfactorily
- I understand that my participation is voluntary and that I am free to withdraw at any time as long as the questionnaire is open for data entry without giving any reason, without my rights being affected,
- I understand that once I have completed the questionnaire, the data will be irreversibly and effectively anonymized. Therefore, I will not have the option to ask for access to the information I provided or to request the destruction of that information if I wished,
- I am at least 18 years old,
- I agree to take part in the above study.

The contact details of the responsible person are

*[Name and address of the line manager to be added]*

**Question 1:**

Do you feel sufficiently informed about the purpose of this survey, and have you understood that participation is anonymous and voluntary?

- Yes
- No

**Question 2:**

Please indicate your organizational unit

- Group A
- Group B
- Group C

*[The number and names of the groups have to be adapted to the structure of the participating Roche organization. The minimum group size is 10 persons]*

### Question Block 3: Job Requirements

		Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree
<b>3A</b>	The work consists mainly of repetitive, monotonous tasks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>3B</b>	The work requires relatively long phases of close attention	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>3C</b>	The work can be performed undisturbed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>3D</b>	The work is emotionally stressful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>3E</b>	The work demands too little of me	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Question Block 4: Organization of Work

		Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree
<b>4A</b>	Responsibilities and roles are clearly defined	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>4B</b>	I am lacking information, documents, or tools needed to perform my duties	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>4C</b>	My tasks are set inconsistently or clash	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>4D</b>	My tasks are sufficiently plannable and predictable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>4E</b>	For new tasks, prompt and adequate training is provided	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>4F</b>	My working hours are burdensome (e.g., overtime, weekend work, shift work)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Question Block 5: Job Prospects

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree
<b>5A</b> Good performance is recognized	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>5B</b> Feedback on the quality of work is provided	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>5C</b> I can see opportunities for advancement and development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>5D</b> I am worried for my job	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>5E</b> I feel sufficiently informed on operational matters	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Question Block 6: Leeway

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree
<b>6A</b> I feel burdened by technical monitoring and control systems in my workplace	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>6B</b> There are opportunities to work with colleagues and line managers to develop solutions to problems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>6C</b> My work gives me room for maneuver and self-determination (e.g., time management, work steps, choice of tools)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>6D</b> I feel overloaded by a strictly applied pace of work or time/deadline pressure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Question Block 7: Social Climate

		Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree
7A	There are discrimination and unfair treatment (e.g., based on age, gender, nationality, union membership, sexual harassment)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7B	There is tension in the employee/line manager relationship	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7C	The mood among the employees is strained	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7D	Colleagues support each other in the event of workplace problems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7E	The (general) working atmosphere is good	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Appendix B - Guideline on Counselling and Monitoring for Psychological Stress in the Workplace (Example)

1	Range of characteristics: Work content and tasks	Possible critical manifestation
1.1	Completeness of task	Job includes: <ul style="list-style-type: none"> <li>- Only preparatory or</li> <li>- Only executive or</li> <li>- Only monitoring activities</li> </ul>
1.2	Leeway	The employee has no influence on: <ul style="list-style-type: none"> <li>- Work content</li> <li>- Workload</li> <li>- Working methods/procedures</li> <li>- Order in which tasks are performed</li> </ul>
1.3	Variability (variety)	One-sided requirements: <ul style="list-style-type: none"> <li>- Few and similar work materials and equipment</li> <li>- Frequent repetition of similar actions at short intervals</li> </ul>
1.4	Information/Information supply	<ul style="list-style-type: none"> <li>- Too extensive (sensory overload)</li> <li>- Too little (long periods with no new information)</li> <li>- Poorly presented</li> <li>- Incomplete (important information missing)</li> </ul>
1.5	Responsibility	<ul style="list-style-type: none"> <li>- Unclear competencies and responsibility</li> </ul>
1.6	Qualifications	<ul style="list-style-type: none"> <li>- Tasks not in line with qualifications of employee (overload/ insufficient challenge)</li> <li>- Inadequate orientation/induction for job</li> </ul>
1.7	Emotional strain	<ul style="list-style-type: none"> <li>- Due to experiencing strongly emotional events (e.g., dealing with serious illness, accidents, death)</li> <li>- Due to constantly deferring to the needs of others (e.g. customers, patients, students)</li> <li>- Due to permanently displaying required emotions irrespective of own feelings.</li> <li>- Threat of violence from other people (e.g., customers, patients)</li> </ul>

<b>2</b>	<b>Range of characteristics: Work organization</b>	<b>Possible critical manifestation</b>
2.1	Working hours	<ul style="list-style-type: none"> <li>- Varying or long working hours</li> <li>- Poorly arranged shifted work, frequent night work</li> <li>- Substantial overtime</li> <li>- Inadequate breaks</li> <li>- On-call work</li> </ul>
2.2	Flow of work	<ul style="list-style-type: none"> <li>- Time pressure/ high-intensity work</li> <li>- Frequent disruptions/ interruptions</li> <li>- Rigid work schedule</li> </ul>
2.3	Communication / cooperation	<ul style="list-style-type: none"> <li>- Isolated single-user workstation</li> <li>- No or only limited access to support from line managers or colleagues</li> <li>- No clearly defined areas of responsibility</li> </ul>

<b>3</b>	<b>Range of characteristics: Social relationships</b>	<b>Possible critical manifestation</b>
3.1	Colleagues	<ul style="list-style-type: none"> <li>- Too few/ too many social contacts</li> <li>- Frequent disputes and conflicts</li> <li>- Type of conflicts: situations involving social pressure</li> <li>- Lack of social support</li> </ul>
3.2	Line managers	<ul style="list-style-type: none"> <li>- Unqualified managers</li> <li>- Lack of feedback, recognition for achievements</li> <li>- Lack of leadership, lack of support when needed</li> </ul>

<b>4</b>	<b>Range of characteristics: Work organization</b>	<b>Examples of adverse effects</b>
4.1	Physical and chemical factors	Noise/lighting/hazardous materials
4.2	Physical factors	<ul style="list-style-type: none"> <li>- Poor ergonomics</li> <li>- Heavy physical work</li> </ul>
4.3	Workplace and structuring of information	<ul style="list-style-type: none"> <li>- Unfavorable workspaces, lack of space</li> <li>- Inadequate presentation of signals and instructions</li> </ul>
4.4	Work equipment	<ul style="list-style-type: none"> <li>- Absence of or unsuitable tools/ work equipment</li> <li>- Poor operation or setup of machines</li> <li>- Inadequate software design</li> </ul>

## Appendix C – Mental Health @ Work Self-Assessment Tool

<b>Title</b>	<b>Mental Health @ Work Self-Assessment Tool</b>
<b>Objective</b>	<p>The goal of Roche Group SHE is to provide a safe and healthy work environment for all employees. In particular, the mental health of employees has become very important. Annex 5 of the K1 directive was created in 2014 as a response to this increased awareness of mental health in the workplace.</p> <p>To align with this, we have developed a self-assessment tool for Roche Affiliates to allow them to measure their level of compliance with K1 Annex 5. The data generated this year with this tool will then serve as the baseline for the 5-year SHE Goal of increasing maturity of mental health protection programs within Roche.</p>

<p><b>Journey towards being an inclusive and mental health-friendly workplace</b></p> <p>We recognize that Roche Affiliates may vary in their readiness to adopt a mental health-friendly workplace. This self-assessment tool should allow you to get a better sense of where your site currently stands in the development of an inclusive workplace. For a realistic picture, it is important that you go through all questions and answer them honestly based on available evidence rather than reflecting any good intentions. In order to meet the 5-year SHE goal, it is more important to achieve an improvement at the end rather than being supposedly already perfect today.</p> <ol style="list-style-type: none"> <li>1. This self-assessment tool takes approximately 30 minutes to complete.</li> <li>2. It consists of 3 parts with a total of 15 questions to be answered with a 'Yes' or 'No'.</li> <li>3. For each selection of 'Yes', you should be able to present written evidence that you can provide upon request for all the points covered below e.g. on the occasion of the next audit.</li> </ol>
--

<b>Part 1 - Committing to a mental health-friendly workplace</b>		<b>Yes</b>	<b>No</b>
<b>i</b>	Mental health is an essential component of health. Therefore a clear commitment to promote good mental health in the workplace is vital.		
<b>1</b>	<p>Is there any evidence of the site's leadership clear commitment to support and promote good mental health in the workplace?</p> <p><i>Example: vision statement, mission statement, site goal.</i></p>		

Part 2 - Approach to a mental health-friendly workplace		Yes	No
i	The following checklist gauges how mental health-friendly your site is and gives a good indication of your workplace's current standing and areas for improvement.		
2	<p>Is there any written mental health workplace strategy?</p> <p><b>Example:</b> <i>A stand-alone site specific reasonable action plan designed to achieve a long-term or overall goal.</i></p> <p><b>Please Note:</b> <i>K1 Annex 5 is the framework for the mental health workplace strategy.</i></p>		
3	Is there any written rationale for the activities and programmes that you selected to establish a mental health-friendly workplace?		
4	<p>Does your site implement a mental health protection program as a cycle process characterized by risk assessment, interventions, and re-evaluation?</p> <p><b>Explanation:</b> <i>A cycle process means a process that ensures continuous improvement. Risks should be identified by performing a workplace mental health risk assessment (WMHRA). The interventions are measures or an action plan to control or eliminate the risks. Re-evaluation should ensure that the measures taken are effective.</i></p>		
5	Is there a process in place that targets areas of high risks and ensures that resources and efforts are allocated accordingly?		
6	Do the selected activities and programmes pertaining to K1 Annex 5 include realistic timelines for implementation and evaluation of effectiveness?		
7	<p>Does your site clearly assign responsibilities to the selected activities and programmes pertaining to K1 Annex 5?</p> <p><b>Example:</b> <i>If measures were taken to control mental health risks in the workplace, they should not be depending on one person who is in-charge of the implementation of K1 Annex 5 at their site. Instead, it should be a joint effort with different functions and levels.</i></p>		
8	<p>Are the selected activities and programmes pertaining to K1 Annex 5 communicated to all levels of the organization?</p> <p><b>Explanation:</b> <i>There is no need to provide all details but sharing the purpose and rationale helps to make the implementation more successful. Communication is the key element.</i></p>		

9	<p>Do the selected activities and programmes pertaining to K1 Annex 5 give priority to primary prevention?</p> <p><b>Explanation:</b> <i>Primary prevention is a workplace-centered approach controlling mental health risks in the workplace on the organizational level. In contrast, the secondary and tertiary prevention focus on personal level.</i></p>		
10	<p>Are the selected activities and programmes pertaining to K1 Annex 5 sufficiently supported by the leaders of the organization (top-down process)?</p> <p><b>Explanation:</b> <i>Granting budget alone is not considered as a sufficient support. Leaders should be accountable for mental health protection at the site.</i></p>		
11	<p>Is there a platform for employees to place mental health concerns about at their workplace, which may eventually prompt an investigation such as a workplace mental health risk assessment (WMHRA)?</p>		
12	<p>Is there a process in place which enables the organization to learn from mental health issue cases and take corrective measures if needed.</p> <p><b>Explanation:</b> <i>The occurrence of mental health issues in the workplace may be caused by different factors. A high incidence or severe cases should trigger an investigation to what extend the workplace may have contributed. The process should take reactive measures to prevent re-occurrence. A site may also learn from other sites (sharing best practice).</i></p>		

Part 3 - Mental Health – Friendly Culture		Yes	No
i	<p>The success and sustainability of any mental health protection strategy is highly dependent on a supportive culture of the site.</p>		
13	<p>Are there site policies aiming at integrating stress prevention at the workplace?</p> <p><b>Example:</b> <i>Flexible work schedule, overtime control, allowing people to disconnect from work during their leisure time.</i></p>		
14	<p>Are there any activities aiming at employees' awareness of mental health risks at the workplace?</p> <p><b>Explanation:</b> <i>Employees should understand that K1 Annex 5 focuses on primary prevention of mental health issues and give first priority to reduce and control the source of stress in their workplace.</i></p>		
15	<p>Is there an open communication culture which allows people to talk about the potential mental health issue at the workplace?</p> <p><b>Explanation:</b> <i>In a safe environment, employees should feel comfortable to speak up about the mental strains related to work.</i></p>		