

TABLE OF CONTENTS

<i>Dedication</i>	iii
<i>Preface</i>	v
<i>Acknowledgements</i>	ix
<i>About the Author</i>	xi
 Chapter 1: Introduction	 1
1. What is Human Resources Management?	1
(a) Strategy vs. Operations	2
(i) Strategic Management	2
(ii) Operational Activities	4
A. Recruitment, Selection and Hiring	4
B. Onboarding, Talent Management and Compensation	5
C. Organizational Culture	5
D. Compliance and Risk Management	6
(b) Supporting Leaders and Managers	7
(c) HR Generalists and Specialists	8
2. Small Employers in Canada	8
(a) Most Businesses are Small Businesses	8
(b) Small Businesses Employ the Most People	10
3. Characteristics of Small Employers	10
(a) Limited Financial Resources	11
(b) Multiple Roles and Responsibilities	13
(c) Specific HRM Challenges	15
(d) Implementation of Cost-Effective HRM Solutions	16
4. Observations	18
 Chapter 2: Legal, Regulatory and Policy Considerations and Strategic Management	 21
1. Introduction	21
2. The Framework for Human Resources Legal Compliance	22

Human Resources Guide for Smaller Employers

(a)	Federal and Provincial/Territorial Regulation of the Employment Relationship	23
(i)	Federal Legislation	24
(ii)	Provincial/Territorial Legislation	25
(b)	Common Law	26
3.	Human Resources Policies	26
(a)	Policy Considerations	27
(b)	Policy Format and Elements	28
(c)	Policy Development Approaches	28
(d)	Policy Implementation	31
(i)	Procedures	31
(ii)	Guidelines	31
(iii)	Programs and Initiatives	32
(e)	Documenting Policies, Procedures, Guidelines, Programs and Initiatives	32
4.	Human Resources Strategies	33
(a)	Connection Between Organizational Strategy and Human Resources Strategy	33
(b)	Developing an Organizational Strategy	34
(i)	Vision	34
(ii)	Mission	34
(iii)	Values	34
(iv)	SWOT Analysis	35
(v)	Goals	35
(c)	Developing a Human Resources Strategy	35
5.	The Mandate of the Human Resources Function	36
(a)	Goals and Objectives of an Effective HR Function	37
(b)	Building an Effective HR Function	37
(c)	Workforce Planning	38
(d)	Human Resources Governance	39
6.	Observations	40
	Appendix 2.1: Federal, Provincial and Territorial Laws on Employment and Labour	42
	Appendix 2.2: Links to Examples of Human Resources Policies	50
	Appendix 2.3: High-Level Workforce Planning Worksheet	52
	Appendix 2.4: Demand and Supply Worksheet	54
	Chapter 3: Recruitment, Selection and Hiring	57
1.	Introduction	57

Table of Contents

2. Recruitment	59
(a) Recruitment Challenges for Small Employers	59
(b) Pre-Recruitment Considerations	59
(c) Recruitment Strategies	60
(d) The Recruitment Process	60
Diagram 3.1: Preparation for Recruitment	61
(i) Official Approval	61
(ii) Job Descriptions	61
A. What is a Job Description?	62
B. Job Description Elements	62
C. Competencies	63
D. Position Descriptions	63
E. Candidate Profiles	63
(iii) Job Postings	64
A. Policy Considerations	64
B. What is a Job Posting?	64
C. Job Posting Elements	65
D. Showcasing the Organization	66
E. Ensuring Diversity and Inclusion	66
(iv) Application Procedure	67
A. How to Apply	67
B. Application Deadline	68
C. Acknowledging Applications	68
(v) Recruitment Methods	68
A. Word-of-Mouth	69
B. The Internet	69
I. Employer Website	69
II. Job Boards	70
III. Social Media	71
IV. Agency Websites	71
C. Recruitment Agencies	71
I. Types of Recruitment Agencies	71
II. How Recruitment Agencies Work	72
III. Choosing a Recruitment Agency	73
D. Partnerships with Schools, Colleges and Universities	73
E. Liaisons with Trade Councils, Hiring Halls and Professional Associations	73
F. Community Outreach	74
(vi) Observations	75
(e) Internal Recruitment	75

Human Resources Guide for Smaller Employers

(i)	Promotions and Lateral Transfers	75
(ii)	Benefits of Promotions and Lateral Transfers	76
(iii)	Policy Considerations	77
(iv)	Monitoring and Enforcement	78
(v)	Observations	78
3.	Selection	79
(a)	Importance of the Selection Process	79
(b)	Fairness and Consistency	79
(c)	Compliance with Human Rights Law	80
(d)	The Selection Process	81
	Diagram 3.2: Selection Process	81
(i)	Pre-Screening Applications	82
(ii)	Determining Selection Rounds	83
(iii)	Identifying Interviewers and Other Assessors	83
(iv)	Establishing Selection Criteria	84
	Diagram 3.3: Selection Criteria	84
(v)	Choosing Assessment Methods	85
	Diagram 3.4: Assessment Methods	85
	A. Telephone Pre-Screening	85
	B. Interviews	86
	I. Interview Formats	86
	II. Interview Questions	87
	III. Accessibility and Accommodation	89
	IV. Realistic Job Preview	90
	V. Documentation, Records and Storage	90
	VI. Tips for Effective Interviews	91
	C. Skill Testing	92
	D. Role Plays	92
	E. Field Tests	93
	F. Simulations	93
	G. Work Samples	94
	H. Psychometric and Personality Tests	94
(vi)	Scoring and Final Selection	95
	A. Score Hierarchy	95
	B. Organizational Fit	95
(vii)	Observations about Candidate Selection	96
4.	Background Checks	96
(a)	Importance of Background Checks	96
(b)	Types of Background Checks	97
	Diagram 3.5: Background Checks	97

Table of Contents

(i)	Reference Checks	97
A.	Purpose	98
B.	Referee Information	98
C.	Checking Accuracy	99
D.	Checking Character	99
E.	Checking Performance	99
F.	Online Reference Checks	100
(ii)	Identity Verification	100
(iii)	Education Verification	100
(iv)	Employment Verification	101
(v)	Social Media Checks	101
(vi)	Security Checks	102
A.	Avoiding Discrimination	102
B.	Criminal Background Checks	102
C.	Driving Record Checks	103
D.	Credit Checks	103
E.	Bonds	103
(c)	Observations	103
5.	Hiring	104
(a)	Finalizing Hiring Decisions	104
(b)	Job Offer Letters	104
(c)	The Employment Contract	106
(d)	Observations	106
6.	Employer Branding and the Candidate Experience	107
(a)	Elements of Employer Branding	107
(b)	Ensuring a Positive Candidate Experience	108
(c)	Tips for Effective Candidate Communications	108
	Appendix 3.1: Overview of Recruitment and Hiring Processes	110
	Appendix 3.2: Permission to Recruit Form	113
	Appendix 3.3: Template for a Job Description	114
	Appendix 3.4: Competency Dictionary	115
	Appendix 3.5: Template for a Job Posting	117
	Appendix 3.6: Template for a Job Application Form	119
	Appendix 3.7: Examples of Job Search Websites	122
	Appendix 3.8: Examples of Recruitment Agencies	123
	Appendix 3.9: Examples of Community Agencies and Organizations Serving Diverse Groups	124
	Appendix 3.10: Sample Telephone Pre-Screening Script	125
	Appendix 3.11: Checklist for Proof of Eligibility to Work in Canada	126
	Appendix 3.12: Sample Behavioural Interview Template	127

Human Resources Guide for Smaller Employers

Appendix 3.13: Sample Interview Scoring Sheet	130
Appendix 3.14: Sample of Checks Based on Occupational Groups	136
Appendix 3.15: Sample Reference Request	137
Appendix 3.16: Sample Reference Check Template	138
Appendix 3.17: Form for Checking Proof of Work Eligibility	139
Appendix 3.18: Sample Job Offer Letter	140
Chapter 4: Employee Onboarding	141
1. Introduction	141
2. Benefits of Onboarding	142
3. Onboarding Strategies	142
4. Onboarding Methods	143
Diagram 4.1: Onboarding Methods	144
(a) Walking Tour	145
(b) Hiring Manager's Orientation Sessions	145
(c) Administrative Tasks	145
(d) Additional Human Resources Information Sessions	146
(e) Online Information	146
(f) Group Orientation	147
(g) Hands-On Exercises	147
(h) On-the-Job Training	147
(i) Performance Coaching	148
(j) Buddy System	148
(k) Mentorship	149
5. Planning for Onboarding	149
6. Onboarding Implementation	151
(a) Before the New Employee Arrives	151
(b) The Employee's First Day	151
(c) The First Thirty Days	152
(d) The First Three to Six Months	152
(e) The First Assignment	153
7. Evaluation	153
8. Observations	153
Appendix 4.1: Orientation Checklist	154
Appendix 4.2: Orientation Program Manager's or Supervisor's Checklist	155
Appendix 4.3: Payroll Setup Form	157
Appendix 4.4: Emergency Contact Form	160
Appendix 4.5: New Employee Information Checklist	161
Appendix 4.6: Record of Orientation	164

Table of Contents

Appendix 4.7: Employee Induction — Orientation — Probation Checklist	165
Appendix 4.8: Induction Checklist	169
Appendix 4.9: Sample Tool for Onboarding Planning	172
Appendix 4.10: Sample Internal Email Announcing New Employee	177
Appendix 4.11: Checklist for Day 1 Communication to New Employee	178
Appendix 4.12: Checklist for First 30 Days of Communication to New Employee	179
Appendix 4.13: Sample of Issues Related to Management Expectations and Employee's Deliverables for First Assignment	180
Appendix 4.14: Sample Evaluation Questionnaire for Onboarding	182
Chapter 5: Employee Handbooks and Employment Policies	182
1. Introduction	183
2. Purposes of an Employee Handbook	184
3. Who Should Develop an Employee Handbook	184
4. The Handbook Development Process	185
(a) Common Handbook Topics	185
(b) Determining Handbook Content	187
(c) Writing the Handbook	188
(d) Presentation Format	189
5. Reviewing and Updating the Handbook	189
6. Handbook Dissemination	190
7. Legal Considerations	191
8. Observations	191
Appendix 5.1: Sample Employee Handbook	193
Appendix 5.2: Sample Policy — Diversity and Inclusion	239
Appendix 5.3: Sample Policy — Workplace Violence	241
Appendix 5.4: Sample Policy Statement — Conflict of Interest	243
Appendix 5.5: Sample Policy Statement — Marijuana in the Workplace	245
Appendix 5.6: Sample Policy Statement — Safe and Responsible Consumption of Alcohol	247
Appendix 5.7: Sample Policy Statement — Substance Use	248
Appendix 5.8: Sample Policy Statement — Code of Business Conduct	249
Appendix 5.9: Sample Policy Statement — Recruiting Through the Use of Social Media	257
Appendix 5.10: Sample Policy Statement — Obtaining and Giving References	259
Appendix 5.11: Sample Policy Statement — Rehiring Former Employees	260
Appendix 5.12: Sample Policy Statement — Orientation and Onboarding Program	261

Human Resources Guide for Smaller Employers

Appendix 5.13: Sample Policy Statement — Employee Status: Fixed-Term Employees and Independent Contractors	262
Appendix 5.14: Sample Policy Statement — Promotions	265
Appendix 5.15: Sample Policy Statement — Performance Improvement Plan Guidelines	266
Appendix 5.16: Sample Policy Statement — Training and Development . . .	267
Appendix 5.17: Sample Policy Statement — Succession Management	268
Appendix 5.18: Sample Policy Statement — Telecommuting	271
Appendix 5.19: Sample Policy Statement — Order of Layoff and Notice . . .	275
Appendix 5.20: Sample Policy Statement — Work Hours	276
Appendix 5.21: Sample Policy Statement — Vacations	277
Appendix 5.22: Sample Policy Statement — Maternity and Parental Leave	278
Appendix 5.23: Sample Policy Statement — Employee Referral Award Program	279
Appendix 5.24: Sample Policy Statement — Employee Suggestion Program	280
Appendix 5.25: Sample Policy Statement — Regular Pay Procedures	282
Appendix 5.26: Sample Policy Statement — Short-Term and Long-Term Disability	283
Appendix 5.27: Sample Policy Statement — Employee Assistance Program	284
Appendix 5.28: Sample Policy Statement — Cellular Phones	285
Appendix 5.29: Sample Policy Statement — Inclusive Language in Employee Communications	286
Appendix 5.30: Sample Policy Statement — Confidentiality of Information	287
Appendix 5.31: Sample Policy Statement — Health and Safety Enforcement and Discipline	288
Appendix 5.32: Sample Policy Statement — Emergency Situations Involving Staff/Emergency Contact	289
Chapter 6: Performance Management	291
1. Introduction	291
2. Performance Appraisal Principles	293
3. The Performance Evaluation Process	293
(a) Dialogue on Organizational Goals and Management Expectations	294
(b) Dialogue on Evaluation Methods and Processes	294
(c) Joint Planning of Performance Goals and Time Frames	295

Table of Contents

(d) Joint Planning of Learning and Development Opportunities	296
4. Orientation	296
5. Implementation of the Performance Evaluation System	296
6. Manager Competencies	297
(a) Communication	297
(b) Coaching and Continuous Feedback	298
(c) Transparency and Trust	298
(d) Customization	298
7. Performance Evaluation for Probationary Employees	298
8. Observations	299
Appendix 6.1: Sample Employee Evaluation Form or Employee Self-Evaluation Form	300
Appendix 6.2: Sample Performance Plan	305
Appendix 6.3: Sample Performance Evaluation Form	307
Appendix 6.4: Performance Evaluation System	309
Appendix 6.5: Performance Evaluation Form for Probationary Employees	313
 Chapter 7: Learning, Development and Career Planning	 317
1. Introduction	317
2. Continuous Learning: Training and Development	318
3. Training	319
(a) Benefits of Training	319
(b) Training Methods	319
(i) Training Programs and the ADDIE Model	320
A. Phase 1: Analysis	320
B. Phase 2: Design	321
C. Phase 3: Development	321
D. Phase 4: Implementation	322
E. Phase 5: Evaluation	323
(ii) On-the-Job Training	323
(iii) Coaching	324
(iv) Online Training	324
(v) External Training	324
A. Learning Events	324
B. External Courses	325
C. Individual Studies/Publications	325
(c) Training Costs	326
(d) Training Return on Investment (ROI)	326

Human Resources Guide for Smaller Employers

4. Employee Development	328
(a) Benefits of Employee Development	328
(b) Employee Development Methods	330
(i) Learning Opportunities	330
A. Self-Development	330
B. Internal Training Programs	330
C. Vendor-Provided Training	330
(ii) Visibility	330
A. Networking	330
B. Mentoring	331
C. Social Committees	331
(iii) Work Experience	331
A. Cross-Training	331
B. Job-Shadowing	331
C. Secondments	332
D. Stretch Assignments	332
E. Special Project Teams	332
(c) Employee Development Costs	332
5. Career Planning	333
(a) Self-Assessment and Self-Reflection	333
(b) Career Development Conversation	334
(c) Career Development Plan	334
(d) Priority-Setting and Scheduling	334
(e) Monitoring, Reviewing and Evaluating	334
6. Observations	334
Appendix 7.1: Request for New Training Program	337
Appendix 7.2: Detailed Training Program	338
Appendix 7.3: Presentation Points to Consider	340
Appendix 7.4: Strategies for Communicating with a Diverse Workforce	341
Appendix 7.5: Participant's Course Evaluation	342
Appendix 7.6: Checklist — Selecting Human Resources Courses	344
Appendix 7.7: Employee Training and Conference Requisition	345
Appendix 7.8: Sample Application for Tuition Assistance	347
Appendix 7.9: Self-Assessment and Self-Reflection Questionnaire	349
Appendix 7.10: Career Development Plan	351
Chapter 8: Succession Management	353
1. Introduction	353
2. The Changing Landscape of Succession Management	355

Table of Contents

(a)	Critical Review of Corporate Governance	355
(b)	Retirement of the Baby Boomer Generation	355
(c)	End of Mandatory Retirement	355
(d)	Changing Complexity in Leadership Roles	355
(e)	Perception of Skills Shortage	356
(f)	“Bench Strength” of Potential Leaders	356
3.	Benefits of Effective Succession Management	356
4.	Importance of Succession Management	357
5.	Workforce Planning vs. Succession Planning	358
(a)	Workforce Planning	358
(b)	Succession Planning	358
6.	Succession Management Strategies	359
7.	Policy Framework for Succession Management	359
(a)	Rationales	359
(b)	Principles of Succession Management	359
8.	The Succession Management Process	360
(a)	Leadership and Management Commitment	360
(b)	Secrecy vs. Transparency	361
(i)	Secrecy — Pros and Cons	361
(ii)	Transparency — Pros and Cons	362
(c)	Alignment with Organizational Vision, Goals and Strategy	362
(d)	Identification of Job Competencies and Personal Attributes	362
(e)	Identification of Potential Successors	362
(f)	Nomination and Selection of Candidates	364
(g)	Establishment of Leadership Development Programs	365
(h)	Coaching and Mentoring	367
(i)	Monitoring Progress	367
9.	Best Practices in Succession Management	368
(a)	Engagement and Accountability of Leadership	368
(b)	System Compatibility	368
(c)	Assessment and Competencies	368
(d)	Alignment of Organizational Strategy and Succession Management ...	368
(e)	Succession Planning for All Levels	369
(f)	Regular Top Talent Reviews and Succession Plan Adjustments ...	369
(g)	Diversity, Equity and Inclusion	369
(h)	Monitoring, Measurement and Evaluation	369
10.	Observations	369
	Appendix 8.1: Nine-Box Grid Template	371
	Appendix 8.2: Top Talent Review Worksheet	376

Human Resources Guide for Smaller Employers

Appendix 8.3: Succession Planning Worksheet (Simple)	378
Appendix 8.4: Succession Planning Competency Assessment	379
Appendix 8.5: Individual Development Plan	381
Appendix 8.6: Sample Policy Statement — Succession Planning	385
 Chapter 9: Compensation and Benefits	 389
1. Introduction	390
2. Compensation	391
(a) Determining Compensation	391
(i) Internal Equity	391
(ii) External Competitiveness	391
(iii) Compensation Structure	391
(b) Job Evaluation	392
(i) Benchmarking	392
A. Market-Based Compensation Data	392
B. External Candidate Salary Expectations	394
C. Online Research	394
(ii) Methods	394
A. Ranking	394
B. Classification	395
C. Factor Comparison	395
D. Point Method	396
(iii) Tools and Vendors	397
(c) Pay Equity	397
(d) Salary Administration	398
3. Benefits	400
(a) Employer Considerations	400
(b) Types of Benefits	401
(i) Leaves	401
(ii) Time Off	403
(iii) Vacation Time and Pay	404
(iv) Holidays	405
(v) Employee Assistance Programs	405
(vi) Wellness Programs	406
(vii) Health Care Plans	406
(viii) Dental Plans	407
(ix) Life Insurance Plans	407
(x) Accident Insurance Plans	407
(xi) Critical Illness Insurance Plans	407

Table of Contents

(xii) Disability Benefits Plans	408
(xiii) Pension Plans	408
4. Observations	409
Appendix 9.1: Total Rewards Package Components	410
Appendix 9.2: Pay Equity Legislation	412
Appendix 9.3: Matrix of Job Evaluation Factors	413
Appendix 9.4: Sample Policy Statement — Pay Equity	415
Appendix 9.5: Sample Policy Statement — Salary Administration	416
Appendix 9.6: Sample Policy Statement — Salary Reviews	417
Appendix 9.7: Salary Review of Individual Employee	418
Appendix 9.8: Bonus Incentive Policy Checklist	420
Appendix 9.9: Sample Policy Statement — Compensation for Temporary Supervisory/Management Duties	421
Appendix 9.10: Sample Policy Statement — Special Salary Adjustments: Temporary Positions	422
Appendix 9.11: Sample Policy Statement — Income Supplement Plan for Disabled Employees	423
Appendix 9.12: Benefits Options Checklist	425
Appendix 9.13: Application for Pregnancy/Parental Leave of Absence	429
Appendix 9.14: Request Form for Employee Leaves or Time Off	432
Appendix 9.15: Vacation Policy Checklist	433
Appendix 9.16: Minimum Employment Standards — Vacation	434
Appendix 9.17: Vacation Request Form	436
Appendix 9.18: Vacation Record	437
Appendix 9.19: Sample Policy Statement — Employee Assistance Program Procedures	438
Appendix 9.20: Sample Policy Statement — Wellness Programs	439
 Chapter 10: Maintaining a Respectful Workplace	 441
1. Introduction	442
2. Diversity, Equity and Inclusion (DEI)	443
(a) Diversity and Inclusion	443
(i) Diversity	443
(ii) Inclusion	444
(iii) Principles of Diversity and Inclusion	444
(iv) Putting Principles into Practice	445
A. Executive Training	445
B. Policies and Procedures	446
C. Recruitment	446

Human Resources Guide for Smaller Employers

D. Selection	446
E. Onboarding	447
F. Employee Training	447
(b) Employment Equity	447
(i) Employment Equity Legislation	447
(ii) Principles of Employment Equity	448
(iii) Putting Principles into Practice	449
A. External Data Collection	449
B. Internal Workforce Survey and Data Collection	449
C. Workforce Data Analysis	449
D. Employment Systems Review	450
E. Employment Equity Plan	450
F. Communication	450
G. Consultation and Collaboration	450
H. Records and Reports	450
I. Monitoring, Review and Revision	451
J. Compliance and Enforcement	451
3. Human Rights	451
(a) Human Rights Legislation	451
(i) Importance of Understanding Human Rights Legislation	452
(ii) Prohibited Grounds of Discrimination	452
Table 10.1: Comparison of Protected Grounds by Province and Territory	453
(iii) Discrimination in the Workplace	454
(iv) Workplace Harassment	455
A. Sexual Harassment	455
B. Racial Harassment	455
(v) Accommodation	456
(b) Benefits for Employers	456
(c) Human Rights Complaints	457
(i) Evidence	457
(ii) Exceptions to the Prohibited Grounds of Discrimination	457
A. <i>Bona Fide</i> Occupational Requirement (BFOR)	457
B. Special Programs	458
(iii) Retaliation	458
(iv) Common Workplace Human Rights Complaints	459
A. Hiring	459
B. Performance Review, Work Assignments and Career Development	459
C. Training and Development	459

Table of Contents

D. Promotion and Succession Management	460
E. Employment Opportunities	460
F. Compensation and Benefits	460
G. Termination	460
H. Pregnancy	461
(v) Administration of Complaints	461
4. Occupational Health and Safety	462
(a) OH&S Legislation	462
(b) Workplace Harassment	463
(c) Workplace Violence	464
5. Addressing Human Rights and Workplace Violence Issues	464
(a) Leadership and Management Commitment	464
(b) Policies	465
(c) Procedures, Programs and Measures	467
(d) Investigation	468
(e) Assessment, Monitoring and Review	469
(f) Information, Education and Training	470
6. Observations	471
Appendix 10.1: Sample Policy Statement — Valuing Diversity	472
Appendix 10.2: Sample Policy Statement — Diversity and Inclusion	473
Appendix 10.3: Tips for Leveraging Diversity	474
Appendix 10.4: Diversity Tips	475
Appendix 10.5: Diversity Action Steps to Become an “Employer of Choice” for Visible Minorities	476
Appendix 10.6: Human Rights/Race Relations Policy Elements	477
Appendix 10.7: Sample Policy Statement — Employment Equity Policy and Practice	478
Appendix 10.8: Sample Policy Statement — Employment Equity Purpose, Implementation and Monitoring	480
Appendix 10.9: Employment Equity Policy Checklist	482
Appendix 10.10: Sample Self-Identification Form	483
Appendix 10.11: Employment Systems Review	485
Appendix 10.12: Federal, Provincial and Territorial Human Rights Laws	488
Appendix 10.13: General Statement on Discrimination	493
Appendix 10.14: Human Rights/Race Relations Policy Statement	494
Appendix 10.15: Sample Policy Statement — Workplace Harassment	495
Appendix 10.16: Sample Policy — Human Rights Code-Based Discrimination and Harassment	497
Appendix 10.17: Sample Policy Statement — Racial Slurs and Racial Jokes Harassment	499

Human Resources Guide for Smaller Employers

Appendix 10.18: Sample Policy Statement — Employment Accommodation . . .	501
Appendix 10.19: Sample Policy Statement — Undue Hardship	504
Appendix 10.20: Accommodation — Undue Hardship Considerations	505
Appendix 10.21: Sample Policy — Accommodation	506
Appendix 10.22: Sample Policy — Accessibility	508
Appendix 10.23: <i>Bona Fide</i> Occupational Requirements Questions	510
Appendix 10.24: Sample Policy Statement — Workplace Violence and Domestic Violence	511
Appendix 10.25: Sample Policy — Abuse, Discrimination, Harassment	514
Appendix 10.26: Sample Policy Statement — What to Do in Cases of Violence or Harassment	522
Appendix 10.27: Sample Policy Statement — Psychological Harassment (Workplace Bullying)	525
Appendix 10.28: Examples of Measures and Procedures for Workplace Violence Programs	526
Appendix 10.29: Sample Workplace Harassment Program	529
Appendix 10.30: Sample Policy Statement — Complaint Procedure and Investigation	530
Appendix 10.31: Harassment Investigations	531
 Chapter 11: Labour Relations	 535
1. Introduction	535
2. Labour Relations Legislation	537
3. The Labour Relations Process	537
(a) Union Organizing	537
(i) Communicating to Employees	538
(ii) Union Dues	538
(b) Collective Bargaining	539
(i) The Collective Bargaining Process	539
Diagram 11.1: A Simplified Collective Bargaining Process in Ontario	540
(ii) Conciliation/Mediation	541
(c) Administering the Collective Agreement	542
(i) Employment Terms	542
(ii) Union Role(s)	542
(iii) Grievances and Disputes	542
4. Managing a Unionized Workplace	543
(a) Operating Under the Collective Agreement	544
(b) Improving Employer-Union Relations	544

Table of Contents

(c) Improving Employer-Employee Relations	545
5. Labour Relations Training	547
(a) Preventing and Mediating Grievances	547
(b) Training in Union-Management Committee Work	547
(c) Joint Training of Managers/Supervisors and Union Representatives ...	547
(d) Learning How to Deal with Labour Relations Problems	548
(e) Training in Post-Work-Stoppage Relations	548
6. Observations	548
Appendix 11.1: Federal and Provincial Labour Relations Laws	549

Chapter 12: Occupational Health and Safety and Employee Wellness

..... 553

1. Introduction	553
2. Occupational Health and Safety	554
(a) OH&S Legislation	554
(b) Employee Rights and Obligations	555
(i) Rights	555
(ii) Obligations	555
(c) Importance of an OH&S Policy	556
(d) What Employers Need to Know and Do	557
(i) Task 1: Make a Strong Commitment to Occupational Health and Safety	557
(ii) Task 2: Communicate and Implement Legal Obligations and Rights	557
(iii) Task 3: Establish an Occupational Health and Safety Policy and Program	558
A. Policy	559
I. Components	559
II. Legal Requirements	560
III. Writing	560
B. Program	561
I. Education and Training	561
II. Hazards Assessment, Control, Reduction and Replacement	562
III. Regular Inspection and Follow-Up	562
IV. Investigations	563
V. Emergency Response	563
(iv) Task 4: Establish an Occupational Health and Safety Committee or Representative(s)	563

Human Resources Guide for Smaller Employers

(v) Task 5: Provide In-Depth Training of Committee Members and Representatives	565
(vi) Task 6: Assess Health Hazards and Safety Issues	566
(vii) Task 7: Identify Sources of Occupational Health Hazards and Dangers	567
(viii) Task 8: Facilitate Reporting of Hazards, Near Misses, Accidents and Injuries	568
(ix) Task 9: Investigate Health and Safety Incidents	569
(x) Task 10: Monitor and Enforce Legal Requirements and Corporate Policy	569
(e) OH&S in Times of Infectious Disease	570
3. Employee Health and Wellness	571
(a) National Standard of Canada for Psychological Health and Safety in the Workplace	571
(b) Benefits for Employers and Employees	572
(c) Organizational Assessment	573
(d) Health and Wellness Policy	573
(e) Health and Wellness Program	574
4. Observations	576
Appendix 12.1: Occupational Health and Safety (OH&S) Legislation	578
Appendix 12.2: Federal, Provincial and Territorial Authorities on Occupational Health and Safety	587
Appendix 12.3: Sample Policy Statement — General Safety Rules	590
Appendix 12.4: Sample Policy Statement — Basic Safety Rules	591
Appendix 12.5: Sample Policy Statement — OH&S Responsibilities	593
Appendix 12.6: Sample Policy Statement — Duties of Workplace Parties	596
Appendix 12.7: Sample Policy Statement — Occupational Health and Safety	597
Appendix 12.8: General Policy Statement on a Safe and Healthy Workplace	600
Appendix 12.9: Examples of Codes of Practice	601
Appendix 12.10: Sample Policy Statement — Mandatory Occupational Health and Safety Awareness Training and Orientation (Ontario)	602
Appendix 12.11: Sample Policy Statement — Joint Worksite Health and Safety Committee	603
Appendix 12.12: Sample Policy — Pre-Purchase Approval for Chemicals	604
Appendix 12.13: Hazard Assessment Form	605
Appendix 12.14: Hazard Control Plan	609
Appendix 12.15: Sample Policy Statement — Hazard Recognition and Control	611

Table of Contents

Appendix 12.16: Sample Policy — Hazards Assessment of Machinery, Equipment and Processes	612
Appendix 12.17: Safety Checklist — Maintenance and Housekeeping in Offices	613
Appendix 12.18: Safety Checklist — Maintenance and Housekeeping in Machine Shops	614
Appendix 12.19: Sample Policy Statement — Injury Reporting Requirements	615
Appendix 12.20: Sample Policy — Accident Investigation	616
Appendix 12.21: Template for an Incident Investigation Report	618
Appendix 12.22: Sample Policy Statement — Conducting Workplace Inspections	620
Appendix 12.23: Sample Health and Safety Program Manual — Inspections ...	621
Appendix 12.24: Examples of Health and Wellness Programs	627
 Chapter 13: Privacy and Personal Information Management	629
1. Introduction	630
2. What is Personal Information?	632
3. Privacy Legislation	633
(a) Federal Legislation	633
(i) General: <i>Canadian Charter of Rights and Freedoms</i>	633
(ii) Private Sector: <i>Personal Information Protection and Electronic Documents Act</i> (PIPEDA)	633
(iii) Public Sector: <i>Privacy Act</i>	634
(b) Provincial and Territorial Legislation	635
(i) Private Sector	635
A. Alberta, British Columbia and Quebec	635
B. Manitoba, New Brunswick, Newfoundland and Labrador, Nova Scotia, Ontario, Prince Edward Island and Saskatchewan	636
C. Northwest Territories, Nunavut and Yukon	636
(ii) Public Sector	636
(iii) Health Information Protection	637
4. Privacy Best Practices	637
5. Privacy Policy and Principles	639
6. Electronic Monitoring of Employees	640
(a) Monitoring Personal Use	640
(b) Monitoring Social Media	641
(c) Risks of Employee Monitoring	641

Human Resources Guide for Smaller Employers

(d)	Employees' Reasonable Expectation of Privacy	641
(e)	Policies on Workplace Technology	641
(i)	Electronic Monitoring Policies	642
(ii)	Social Media Policies	642
7.	Examples of Violations of Privacy Principles	643
(a)	Collection of Personal Information	643
(i)	Credit Rating	643
(ii)	Prohibited Grounds of Discrimination	644
(iii)	Medical and Disability Information	644
(b)	Use of Personal Information	644
(i)	Social Media Information	644
(ii)	Employment Equity Information	645
(c)	Disclosure of Personal Information	645
(i)	References	645
(ii)	Emails	646
(iii)	Mail	646
(iv)	Job Interviews	646
(v)	Electronic Calendars	646
(vi)	Video Surveillance Images	647
(vii)	Medical and Disability Information	647
(viii)	Personal Home Addresses	647
8.	Personal Information Management	647
(a)	Communication and Education	648
(b)	Consent	648
(i)	The Consent Process	649
(ii)	Express vs. Implied Consent	649
(iii)	Consent Withdrawal	650
(iv)	Consent Exceptions	650
(c)	Collection	650
(d)	Storage	651
(i)	Mobile Devices	651
(ii)	Employee Personnel Files	651
(e)	Access	653
(i)	Authorized Persons	653
(ii)	Associated Persons	653
(iii)	Assessing Access Requests	653
(iv)	Refusing Access Requests	654
(v)	Correction Requests	654
(f)	Use	654
(g)	Disclosure	655

Table of Contents

(i) Workplace Violence	655
(ii) Workplace Harassment	655
(iii) Health Information	656
(h) Retention	656
(i) Monitoring	656
(j) Investigation	657
(k) Enforcement	657
9. Observations	658
Appendix 13.1: Federal, Provincial and Territorial Privacy Laws	659
Appendix 13.2: Privacy Dos and Don'ts	662
Appendix 13.3: Sample Policy Statement — Privacy	665
Appendix 13.4: Sample Policy Statement — Electronic Monitoring	667
Appendix 13.5: Job Candidate's Consent for Employer to Conduct Reference and Credit Check	669
Appendix 13.6: Checklist — Outsourcing/Transferring Personal Information Across Borders	670
Appendix 13.7: Sample Policy Statement — Video Surveillance	671
Appendix 13.8: Notice to Employees Regarding the Collection, Use and Disclosure of Employee Personal Information	673
Appendix 13.9: Sample Policy Statement — Confidentiality of Information	677
Appendix 13.10: Employee Consent to Release Employment Information	678
Appendix 13.11: Employee Consent Form for Release of Information	679
Appendix 13.12: Sample Policy Statement — Personnel Files	680
Appendix 13.13: Employee Notice of Change in Personnel Data	681
Appendix 13.14: Request Form for Access to Personnel File and/or Information Correction	684
Appendix 13.15: Privacy Complaints	685
Appendix 13.16: Privacy Complaint Form	686
 Chapter 14: Termination of Employment	 689
1. Introduction	690
2. Types of Termination of Employment	691
(a) Death	692
(b) Retirement	692
(i) Legal Considerations	692
A. Mandatory Retirement Prohibited	693
B. Retirement Incentive Programs	693
(ii) Support for Retiring Employees	694

Human Resources Guide for Smaller Employers

A.	Accommodation and Phased Retirement	694
B.	Retirement Planning or Counselling	694
(iii)	Administrative Matters	695
(c)	Resignation	695
(i)	Legal Considerations	695
A.	Notice of Resignation	695
B.	Involuntary Resignation	696
C.	Constructive Dismissal	696
(ii)	Administrative Matters	698
(d)	Probationary Termination	698
(e)	Contractual Termination	699
(f)	Frustration of the Employment Contract	699
(g)	Temporary Layoff	700
(i)	Legal Considerations	700
A.	Notice of Layoff	700
B.	Constructive Dismissal	701
(ii)	Policy Considerations	701
(h)	Dismissal With and Without Cause	702
	Table 14.1: Examples of Dismissal Without Cause and Dismissal for Just Cause	703
(i)	Dismissal Without Cause	703
A.	Legal Considerations	704
I.	Notice and Payment Requirements	704
II.	Termination Clauses	710
III.	Employment Standards Claims	710
IV.	Wrongful Dismissal	711
B.	Support for Employees Dismissed Without Cause	712
I.	Transitional Support	712
II.	Outplacement Support	712
C.	Policy Considerations	712
(ii)	Dismissal for Just Cause	713
A.	Legal Considerations	713
I.	Notice and Payment Requirements	714
II.	Establishing Just Cause	715
III.	Wrongful Dismissal	717
B.	The Progressive Discipline Process	718
I.	Warnings, Notice and Suspension	719
II.	Disciplinary Meetings	720
III.	Termination Meetings	721
3.	Conditions Under Which Employers Cannot Terminate Employees	723

Table of Contents

(a) General	723
(b) Prohibited Grounds of Discrimination	724
4. Organizational Readiness for Terminating Employees	724
(a) Policies	724
(b) Systems, Programs and Practices	725
(c) Employee-Specific Considerations	725
(d) Security Measures and Return of Property	727
(e) Administrative Procedures	727
(f) Exit Interviews	727
(i) Planning Exit Interviews	728
(ii) Exit Interview Questions	728
(iii) Exit Interview Best Practices	729
5. Observations	730
Appendix 14.1: Sample Policy Statement — Employee Death	732
Appendix 14.2: Checklist — Employee Death	734
Appendix 14.3: Phased or Gradual Retirement	735
Appendix 14.4: Sample Policy Statement — Retirement and Benefits	736
Appendix 14.5: Sample Retirement Announcement	737
Appendix 14.6: Sample Policy Statement — Notice of Resignation	738
Appendix 14.7: Sample Policy Statement — Employee Resignations	739
Appendix 14.8: Resignation Form	740
Appendix 14.9: Sample Policy — Probationary Period	741
Appendix 14.10: Sample Policy Statement — Termination of Fixed-Term Contractual Employees	742
Appendix 14.11: Frustration Under Employment Standards Legislation — Provincial Chart	743
Appendix 14.12: Sample Policy Statement — Loss of Seniority	748
Appendix 14.13: Sample Policy Statement — Layoff and Recall	750
Appendix 14.14: Sample Policy — Staff Reduction Policy for Management and Excluded Employees	752
Appendix 14.15: Sample Guidelines — Motivating Retained Employees after Layoff	755
Appendix 14.16: Sample Letter — Dismissal Without Cause	757
Appendix 14.17: Sample Termination Scripts for Managers or Supervisors — Dismissal Without Cause	759
Appendix 14.18: Sample Termination Contract	762
Appendix 14.19: Chart of Statutory Termination Notice and Severance Pay Requirements	765
Appendix 14.20: Sample Policy Statement — Severance (fewer than 50 people)	768

Human Resources Guide for Smaller Employers

Appendix 14.21: Sample Policy Statement — Severance Entitlement — Management or Staff	770
Appendix 14.22: Sample Policy Statement — Severance Pay (for Ontario Employers)	771
Appendix 14.23: Sample Final Release	773
Appendix 14.24: Checklist — Employee Data for Legal Counsel	774
Appendix 14.25: Sample Policy Statement — Corporate Termination Policy for Salaried Employees	776
Appendix 14.26: Sample Policy Statement — Dismissal Steps	778
Appendix 14.27: Checklist — Considerations Before Disciplining Employees	779
Appendix 14.28: Considerations for Disciplinary Rules and Procedures Policy	780
Appendix 14.29: Sample Policy Statement — Termination Procedures	781
Appendix 14.30: Sample Procedures for Disciplinary Actions	783
Appendix 14.31: Checklist — Discipline and Dismissal Procedure	784
Appendix 14.32: Sample Policy Statement — Discipline and Dismissal	786
Appendix 14.33: Sample Disciplinary Letter — Suspension	788
Appendix 14.34: Checklist — Whether to Dismiss	789
Appendix 14.35: Sample Termination Scripts for Managers or Supervisors — Dismissal for Just Cause	791
Appendix 14.36: Sample Letter — Dismissal for Just Cause	794
Appendix 14.37: Sample Letter — Dismissal for Just Cause Following Investigation	795
Appendix 14.38: Sample Policy Statement — Termination of Salaried Employees	796
Appendix 14.39: Termination Considerations for Line Managers	797
Appendix 14.40: Sample Form — Termination of Employment Record	799
Appendix 14.41: Post-Termination Checklist	801
Appendix 14.42: Checklist — Involvement of Payroll in Termination Administration	802
Appendix 14.43: Checklist — Final Pay	803
Appendix 14.44: Communication of Employee Termination to Co-Workers	804
Appendix 14.45: Communication of Employee Termination to External Stakeholders	805
Appendix 14.46: Termination Checklist	806
Appendix 14.47: Sample Policy Statement — Exit Interview Process	810
Appendix 14.48: Confidentiality of Exit Interviews	812
Chapter 15: Conclusion	813

Table of Contents

1. Commitment	814
2. Congruence	815
3. Competence	815
4. Cost-effectiveness	816
5. Final Remarks	816
<i>Bibliography</i>	819
<i>Index</i>	833