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Community Government
Human Resource Development System

Welcome to the Community Government Human Resource Development System (CGHRDS). This System has been designed specifically to assist northern community governments with their human resource capacity building needs. Our goal is simple – to help you get the most for, and from, your staff. Before you begin working with the manual, we want to let you know how the manual is put together.

Chapter 1 is an introduction to the CGHRDS and provides some important information on the purpose of the system, how the system was developed and the approach taken to human resource development.

Chapters 2 through 13 deal with the different elements of the system:

- Chapter 2) Human Resource Planning
- Chapter 3) Job Descriptions
- Chapter 4) Attracting and Retaining
- Chapter 5) Recruitment and Selection
- Chapter 6) Orientation
- Chapter 7) Performance Evaluation
- Chapter 8) Training and Development
- Chapter 9) Performance Management
- Chapter 10) Dispute Resolution
- Chapter 11) Termination of Employment
- Chapter 12) Personnel Records
- Chapter 13) Human Resource Policies

Each of these chapters is divided into the following four sections:

Section 1) Background Information – this section provides important information that human resources practitioners should know about each of the elements

Section 2) How To Guide – the How To Guide provides step by step instructions on how to implement the element such as a step by step guide for developing a human resource plan.
Section 3) Samples – this section includes sample materials for the element such as a sample job description.

Section 4) Workbook – the workbook section provides an opportunity for users to practice the examples provided such as a work sheet on how to develop an effective recruitment ad.

Section 5) Appendix - some chapters also include an appendix to provide further information.

A workshop has also been developed to train community government staff on how to make use of the CGHRDS.

We trust that the CGHRDS will be of use to you in your efforts to build human resource capacity. We would like your comments and feedback so that we can continuously update and improve this manual. Staff training is available on how to use the CGHRDS manual.

If you have any comments or questions about the CGHRDS please contact your Regional MACA office or the School of Community Government at:

School of Community Government
Toll-free: 1-877-531-9194
Phone: 1 – 867-873-7755
Fax: 1-867-873-0584

Website: http://www.maca.gov.nt.ca
E-mail: Dan_Schofield@gov.nt.ca
Chapter 1) Introduction

Section 1) Background Information

Community governments are changing.

Community governments are taking on expanded powers and accountabilities through self-government, land claims agreements and community and economic development.

At the same time, the economy of the Northwest Territories is also changing. Exploration and growth in the natural resources sector will dramatically change the economic environment in many regions over the coming years. Growth in other sectors such as tourism, arts and crafts and traditional foods is also likely to have a profound effect on the economy.

Economic growth will add both opportunities and challenges for community governments in providing the best programs, services, opportunities and protections for the people they serve.

In light of these challenges, the need for building and strengthening human resource capacity is now greater than ever. The School of Community Government and its partner organizations recognize the impact these changes are having on community governments. In response to requests from several community governments, the School has developed the Community Government Human Resource Development System (CGHRS).

The purpose of the CGHRDS is to assist community governments in building their human resource capacity needs. The system focuses on planning, hiring, training and developing quality local staff. Through implementation of
this system, community governments will have a better chance of finding, hiring and training local residents and others who can best serve the needs of the local residents.

The CGHRDS was developed with the input and advice of community government leaders and addresses those needs that have been identified as most important in terms of human resource development. The strategy was also developed so that northerners will have the maximum opportunity to gain employment with local government organizations.

**Elements of the CGHRDS**

The CGHRDS combines all of the key elements of human resource development in an integrated, competency-based system. Each of these elements has been developed to provide community governments with the tools and resources to help build human resource capacity at the local level.

**The elements of the CGHRDS are:**

**Human Resource Planning**

Human resource planning involves analyzing current human resource capacity; forecasting human resource needs and identifying any gaps between the two. Human resource planning is particularly useful when combined with other types of strategic planning such as community and business plans.

**Job Descriptions**

Effective and meaningful job descriptions are essential to any human resource development system. Job descriptions act as the blueprint in terms of what needs to be done and the type of person needed for the job. Job descriptions also form the basis for many other elements of the system including recruitment and selection, performance evaluation and training and development.
Attracting and Retaining

A key element in Human Resource Planning is to not only attracting but also retaining employees. People have to want to work for the organization and be able to create an environment where people want to come to work and give their best.

Recruitment and Selection

Probably the most important element in any human resource development system is recruitment and selection. Finding and hiring the right people is absolutely critical to the success or failure of any organization.

Orientation

Starting a new job is very stressful for most people. Studies have shown that people are more likely to leave a job within the first six months than at any other time. Studies have also shown that providing new staff with an orientation significantly reduces stress for new employees, makes new employees more productive in a shorter period of time, and reduces the chances of someone quitting in the critical first six-month period.

Performance Evaluation

Many people view performance evaluation as either a necessary evil or something to be avoided at all costs – but they don’t have to be. In fact, performance evaluations should be a positive and constructive way to let employees know what they are doing well, where they need improvement, and how the community government plans to help them improve.

Training and Development

Many organizations see training and development as the key to remaining competitive and to providing quality programs and services to the people they serve. These “learning organizations” view training and development as an integral part of their strategic plan. In this information age, a well-
trained and well-qualified workforce is essential to delivering quality programs and services.

**Performance Management**

Performance Management is important because it contributes to making the organization a better place to work. It lets workers know what is acceptable and the consequences of the unacceptable behaviour.

**Dispute Resolution**

Dispute resolution is important when maintaining a professional, fair and safe work environment for all employees. It is also important to have an established process for dealing with grievances and complaints in case something should arise.

**Termination of Employment**

People leave work for a number of reasons; sometimes termination is planned and sometimes it is not. It is important for organizations to be prepared for terminations as the consequences can have a major impact on the business.

**Personnel Records**

Personnel records are important as they depict the employee’s employment relationship with an organization. It is important that they be maintained and updated. This section lists what should be included in the personnel file as well as the different processes used when accessing the records if needed.

**Human Resource Policies**

Human resource policies are vital for any organization as they outline the terms and conditions of employment relating to pay, hours of work, employee benefits, and other general working conditions.
Chapter 1: Introduction

Community Government
Human Resource Development System

An Integrated, Competency-Based System

This system is based on an integrated, competency-based approach to human resource development.

An integrated human resource system is one where all elements of the system fit together and support each other. For example, the job description is typically used as the basis for the recruitment and selection, performance evaluation and training and development. Likewise the information gained through the recruitment and selection process can be used for performance appraisals, training and development and so on.

A competency based approach uses the knowledge, skills and attitudes as the criteria required for the position. Competency based systems are considered superior because they are job specific, they can be used as the basis for an integrated system, they do not include systemic barriers to employment and they can be defended as long as they are properly applied.

Resources, Tools and Supports

The CGHRDS includes a series of strategies and tools to assist community and aboriginal governments with human resources management, planning and development.

The Training Needs Assessment (TNA) tools were developed to support the CGHRDS. The TNA tools include:
- Community Government Job Descriptions
- Community Government Training Needs Assessments/Performance Evaluations, and


• Training Needs Reports

In addition, this manual and a complimentary training workshop have been developed to assist community governments in implementing and using the CGHRDS.

The Community Government Human Resource Development System has been designed and developed to assist community governments in building their human resource capacity. We believe that through implementation of this system, communities will be able to further develop the natural knowledge, skills, attitudes and talents of northerners and meet the challenges that increased power and responsibility will bring.
Chapter 2) Human Resource Planning

Section 1) Background Information

Human Resource Planning is a systematic approach to identifying your overall human resource needs. It is a planning tool that allows a community government to:

- determine their human resource needs
- determine the available human resource supply
- determine where there are gaps and
- develop strategies to fill the gaps

In many ways human resource planning can be compared to financial planning or budgeting where an organization must:

- determine their financial needs (estimated expenditures)
- determine their financial supply (estimated revenues),
- identify strategies to fill in the gaps (i.e. raise additional revenues or reduce expenditures).

Human Resource Planning is also closely tied to strategic planning. In order for a community government to develop programs and services, it must have both the financial and the human resources necessary to provide those programs and services. In order to effectively meet their strategic goals and objectives, community governments must have, hire or develop staff with the required skills, knowledge and attitudes.
Chapter 2: Human Resource Planning

### Why Human Resource Planning Is Important

Human Resource Planning is important for community governments in the north because of the tremendous changes in governance that are taking place

- community governments are taking on more powers, responsibilities, programs and services
- there is an increasing need to ensure they have the right people with the right skills in place
- HR planning allows community governments to anticipate human resource needs for new programs and services as a result of devolution, self-government and land claims negotiations

Human Resource Planning is also important because it clearly outlines where community governments have the required skills in place and where there are gaps and barriers to employment

- community governments can use this information to develop strategies to build human resource capacity within their own organization as well in the community as a whole

### Who Should Develop Human Resource Plans

The Senior Manager should be the lead person in developing the Human Resource Plans

- Council or Board members will have input on the mission, vision, principles, values and the priority areas of the organization
- senior managers and supervisors will have input on future human resource needs as well as the current human resource supply
- employees who will have input on their own capabilities and competencies
When Human Resource Plans Should Be Completed

It is a good idea to have Human Resource Planning as part of the strategic and/or budgeting process and have it updated on an annual basis.

- HR Plans should also be updated on an annual basis for operational reasons.
- For example, new strategies will have to be developed to replace these staff or to train existing staff to take over their positions.
- HR Plans should also cover a multi-year period, generally three to five years.
- The better prepared the community government is, the more success they will have at filling gaps between human resource needs and human resource supply.

Uses of Human Resource Plans

Human Resource Plans have a number of uses including:

- HR Plans communicate the mission, vision, principles and values of an organization in terms of its human resources. This provides council/board members, managers and employees with a common vision and direction which is critical to achieving a common goal.
- HR Plans identify the priorities of the community government and allow for the development of strategies to meet those priorities.
- HR Plans identify new programs and services and allow for community governments to develop or hire the staff needed to deliver them.
HR Plans provide organizations with a big picture perspective of their human resource needs, supply and gaps

HR Plans form the basis for all other HR programs including recruitment, training and development

From this information the community government can implement HR programs and policies to ensure the CG has the human resource capacity required to deliver quality programs and services.

Tools and Resources

In order to complete a human resource plan, your community government can use the format and materials provided in this manual. Regional MACA staff has also been trained in completing human resource plans and can provide assistance in helping you to develop your own plan.

Section 2) How to Guide

There is no standard method or format for creating a Human Resource Plan. The method and format that we have developed is designed specifically for northern community governments. We have tried to develop a format that will meet most community government human resource planning needs, while ensuring that it is simple, effective and easy to use.

It is recommended that the human resource plan be compiled by either the SAO or the HR Representative with input from Council/Board members, senior managers and staff.
Chapter 2: Human Resource Planning

Step 1) Establish the Vision and Mission Statements

The first section of the HR Plan should state the vision and mission statements for the community government.

- these statements should be seen as guiding principles in the development of any human resource plan
- it is important that employees are aware of the vision and mission of the community government and that human resource policies and programs be designed with each of these statements in mind

Step 2) Establish the Community Government’s Principles and Values

The principles and values of an organization are extremely important. These are the ways in which all Council/Board members and staff are expected to act or behave while completing their respective duties.

- identifying the principles and values will tell your employees what you expect of them.

Step 3) Establish Priority Areas for Human Resource Development

The priorities section of the human resource plan is important because it identifies the human resource needs that require the most immediate attention.

- different communities will have different priorities
for example, one community may have a community works program that is very effective and therefore is not a big priority for human resource development. In another community there may be a serious need for upgrading the skills, knowledge and attitudes of community works staff to ensure the delivery of safe drinking water, to ensure safe roads and buildings and/or to ensure that sanitation systems are properly maintained.

- the priorities of a community government could be defined by the Council/Board with the assistance of the Senior Manager on an annual basis

### Step 4) Describe the Current Programs and Services or Departments

The human resource plan should also provide a brief overview of the current programs and services or departments provided by the community government.

- the programs and services provided by the community government will determine the number and type of jobs required as well as its organizational structure

### Step 5) Provide the Current Organizational Structure

The current organizational structure should show how the community government is organized. This is generally done through an organization chart.

- the way in which the community government is structured should be determined by the senior managers and approved by the Council/Board
Step 6) Describe Anticipated Programs and Services

This is an important section for many community governments who are planning to take on additional powers and responsibilities over the next few years.

- this section will allow community governments to anticipate human resource needs as a result of new programs and services and therefore develop strategies to meet those needs.

Step 7) Provide the Anticipated Organizational Structure

The anticipated organizational structure should show how the community government would be organized once the new programs and services are implemented.

- the way in which the community government will be structured should be determined by the senior managers and approved by the Council/Board.

Step 8) Environmental Scan

An Environmental Scan consists of a Workforce Analysis, an Internal Scan and an External Scan.

- A workforce analysis is a key component in Human Resource Planning. The Workforce Analysis allows you to understand your workforce and plan for projected shortages and surpluses in specific occupations and skill sets. A workforce analysis includes:
  - analyzing employment information for occupational categories
Chapter 2: Human Resource Planning

- analyzing the skills/competencies of the workforce
- recording internal workforce trends such as vacancy and turnover rates

- An Internal Scan identifies factors internal to the organization that may affect Human Resource capacity to meet organizational goals. An internal scan may include:
  - changes in program delivery
  - changes to collective agreements
  - anticipated changes to funding levels
  - changes in leadership priorities
  - corporate culture change
  - client satisfaction

- The External Scan determines the most important environmental factors expected to affect the workforce capacity, given known operational and human resource priorities and emerging issues. The external scan may include:
  - current workforce trends
  - demand and supply in growing occupations
  - current and projected economic conditions
  - technological advances which may make present positions obsolete or create new positions
  - immigration or migration patterns that may affect your workforce capacity

**Step 9) Gap Analysis**

Based on an analysis of the environmental scan and operational business goals, the Gap Analysis determinates the organization’s current and future Human Resource needs. Important questions include:

- Are you experiencing a skills shortage in specific occupational groups?
- Will changes in programs/services require new skills?
- Do you have qualified people to feed your management positions?
- Have employment equity obligations been met?
- Have you conducted a risk assessment to ensure you have the people critical to your business success?

**Step 10) Priority Setting**

Considerations for priority setting are based on the organization’s priorities, environmental scan and Human Resource performance related data.

- Consider your major Human Resource priorities
- Determine what strategies will achieve the desired outcome
- Develop work plans to achieve the desired outcome

**Step 11) Succession Plans**

Succession plans identify specific human resource needs, supply, gaps and strategies for each program and service area.

Succession Planning is one of the tools used in Human Resource Planning.

- a Succession Plan is a plan to fill future positions with present workers
- information from Succession Planning can be used to build Training Plans
- Succession Planning can assist in retaining corporate knowledge
- Succession Planning can identify future leaders within the organization
- Succession Planning can assist with employment equity targets
Section 3) Samples

Hamlet of Northtown
Human Resource Plan
### Human Resource Plan Checklist

<table>
<thead>
<tr>
<th>Item</th>
<th>Date completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vision and Mission Statement</td>
<td></td>
</tr>
<tr>
<td>Principles and Values</td>
<td></td>
</tr>
<tr>
<td>Priorities for Programs and Services</td>
<td></td>
</tr>
<tr>
<td>Current Programs and Services Updated</td>
<td></td>
</tr>
<tr>
<td>Current Organizational Structure Up-to-date</td>
<td></td>
</tr>
<tr>
<td>Anticipated Programs and Services documented</td>
<td></td>
</tr>
<tr>
<td>Anticipated Organizational Structure documented</td>
<td></td>
</tr>
<tr>
<td>Environmental Scan consisting of</td>
<td></td>
</tr>
<tr>
<td>● Workforce analysis</td>
<td></td>
</tr>
<tr>
<td>● Internal scan</td>
<td></td>
</tr>
<tr>
<td>● External scan</td>
<td></td>
</tr>
<tr>
<td>Gap Analysis</td>
<td></td>
</tr>
<tr>
<td>Human Resource priorities documented</td>
<td></td>
</tr>
<tr>
<td>Human Resource Work Plan developed</td>
<td></td>
</tr>
<tr>
<td>Succession Plan implemented</td>
<td></td>
</tr>
</tbody>
</table>
1) Vision and Mission Statement

The vision of the Municipality of Northtown is to provide the residents with a safe, clean and healthy community in which to live, grow and prosper.

The Mission of the Municipality of Northtown is to provide municipal programs and services in a caring, courteous and respectful manner.

2) Principles and Values

The Principles and Values of the Municipality of Northtown are:

- to be courteous and caring
- to be honest
- to be ethical
- to avoid situations where there is, or may be, conflicts of interest
- to provide programs and services in an effective and efficient manner

Both Town Councillors and staff are expected to live up to these principles and values to the best of their abilities.

3) Priorities

The Municipal Council of Northtown has identified the following as priority areas:

1) The delivery of safe community works programs and services including drinking water, sanitation and road and airport maintenance

2) Maintaining a safe community environment through the Office of the By-Law Officer
3) The delivery of programs and services aimed at building a healthy community including:

- sport and recreation programs
- programs for youth and elders
- drug and alcohol and social assistance programs and services

4) Maintaining effective and efficient municipal financial and administrative services

4) Current Programs and Services

The Municipality of Northtown provides programs and services in the following areas:

- SAO/Finance and Administration – the Senior Administrative Officer provides overall management and direction for staff. The Finance and Administration Section is responsible for maintaining all financial, human resources and administrative programs, services and systems.

- By-Law – the By-Law Office is responsible for enforcing Municipal By-Laws and maintaining a safe community

- Recreation – the Recreation Section is responsible for developing and delivering sport and recreation programs as well as maintaining recreation facilities including the ice arena and playground areas

- Community Works – the Community Works section is responsible for building, upgrading and maintaining all community works systems and facilities including buildings, roads, airports and water treatment facilities as well as for delivering community works programs and services such as water delivery and sanitation disposal

- Lands Administration – the Lands Administration Section is responsible for developing land use policies and procedures and reviewing land use applications
5) Current Organizational Structure

Municipal Council

SAO

Secretary

Bylaw Officer

Works Foreman

Finance Officer

Lands Officer

Recreation Coordinator

Mechanics (2)

Water Truck Driver

Human Resources Officer

Sewage Truck Drivers (2)

Administration Clerk

Building Maintainer

Apprentice Building Maintainer

Administration Clerk

HEOs (2)

Administration Clerk

Building Maintainer

Administration Clerk

Water Truck Driver
6) Anticipated Programs and Services

Within the next three years the Municipality of Northtown expects to take over or develop the following Community Services programs and services:

- Income Support – the Income Support Program will be transferred to the Municipality during the current fiscal year

- Employment Counseling – the municipality will establish an employment counseling service to assist residents to get jobs in the growing non-renewable resource sector

- Alcohol and Drug Counseling – within three years the municipality will take over responsibility for Alcohol and Drug Counseling programs and services
7) Anticipated Organizational Structure

- Municipal Council
- SAO
- Recreation Coordinator
- Secretary
- Works Foreman
- Lands Officer
- Finance Officer
- Bylaw Officer
- Mechanics (2)
- Water Truck Driver
- Human Resources Officer
- Building Maintainer
- Sewage Truck Drivers (2)
- Administration Clerk
- Apprenticeship Building Maintainer
- Administration Clerk
- Administration Clerk
- Administration Clerk

Positions
- Director, Community Services
- Income Support Worker
- Employment Officer
- Income Support/Emp Clerk
- Alcohol and Drug Counselor
### 8) Environmental Scan

<table>
<thead>
<tr>
<th>Occupation</th>
<th>Workforce Analysis</th>
<th>Internal Scan</th>
<th>External Scan</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAO - 1</td>
<td>Current SAO plans to resign within 2 years 5 year turnover rate – 7%</td>
<td>Projected vacancies -1 No one available within organization to fill</td>
<td>Trainee available from community</td>
</tr>
<tr>
<td>Finance Officer - 1</td>
<td>Present finance officer plans to stay but requires training &amp; development 5 year turnover rate – 50%</td>
<td>Projected vacancies - 0 Need to implement training plan</td>
<td>N/A at this time</td>
</tr>
<tr>
<td>HR Officer – 1</td>
<td>Position presently vacant 5 year turnover rate – 100%</td>
<td>Projected vacancies - 0 Need to train HR officer 1 clerk potential</td>
<td>N/A at this time</td>
</tr>
<tr>
<td>Administrative Clerk - 3</td>
<td>3 clerks – 1 going on maternity leave within six months 1 to assume HR Officer position 5 year turnover rate – 75%</td>
<td>Projected vacancies – 1 Need to hire 1 term clerk for maternity leave 1 secretary has potential to become clerk</td>
<td>Should be able to hire clerk from local community for maternity leave</td>
</tr>
<tr>
<td>Secretary - 1</td>
<td>To assume Adm clerk position within 1 year 5 year turnover rate – 0%</td>
<td>Projected vacancies – 1 No one available within organization to fill position</td>
<td>Should be able to hire secretary from local community</td>
</tr>
</tbody>
</table>
### 9) Gap Analysis

<table>
<thead>
<tr>
<th>Item</th>
<th>Yes/No</th>
<th>Strategies to Correct</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are you experiencing a skills shortage in specific occupational groups?</td>
<td>No</td>
<td>N/A</td>
</tr>
<tr>
<td>Will changes in program delivery require the acquisition of new skills?</td>
<td>None planned</td>
<td>N/A</td>
</tr>
<tr>
<td>Have you identified the positions critical to your business success?</td>
<td>Finance Officer, HR Officer</td>
<td>Training in place for both positions</td>
</tr>
<tr>
<td>Do you have enough qualified staff to feed the critical positions?</td>
<td>No</td>
<td>Training to be provided to other employees for replacement of these positions</td>
</tr>
<tr>
<td>Have employment equity obligations been met?</td>
<td>Yes</td>
<td>N/A</td>
</tr>
<tr>
<td>Have you conducted a risk assessment of elements of the environmental scan critical to your organization’s success (probability of occurrence and projected impact)?</td>
<td>Yes</td>
<td>Leadership and skills training being implemented</td>
</tr>
<tr>
<td>Are budget considerations factored in to the priorities?</td>
<td>Yes</td>
<td>All positions within budget</td>
</tr>
<tr>
<td>Is it possible to leverage resources/expertise through partnerships with other organizations?</td>
<td>Not at this time</td>
<td>Options being explored</td>
</tr>
</tbody>
</table>
Is the Human Resource strategy being shared with all players? | Yes | Regular weekly communications at staff meetings
---|---|---
Is the role of the various stakeholders being considered? (clients, other departments) | Yes | Information shared at management meetings

10) Human Resource Priorities

The Municipal Council of Northtown has identified the following as Human Resource priority areas:

- Implementation of Training Plans for identified employees
- Hiring of apprentices in targeted occupations using employment equity
- Recruitment to fill new positions using employment equity
### 11) SAO/Finance and Administration Work Plan

<table>
<thead>
<tr>
<th>PRIORITY</th>
<th>ACTION</th>
<th>RESPONSIBILITY</th>
<th>COMPLETION TARGET</th>
<th>UPDATE OCTOBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop and Implement Training Plans for Identified Employees</td>
<td>Identify employees through Needs Assessment and gap analysis</td>
<td>HR Officer SAO</td>
<td>April 30</td>
<td>4 employees identified</td>
</tr>
<tr>
<td></td>
<td>Identify succession planning opportunities</td>
<td>HR Officer SAO</td>
<td>May 30</td>
<td>Opportunities identified</td>
</tr>
<tr>
<td></td>
<td>Develop training plans based on opportunities and potential</td>
<td>HR Officer SAO Employee</td>
<td>July 30</td>
<td>Training plans developed for (SAO Trainee, Finance Officer, Clerk, Secretary)</td>
</tr>
<tr>
<td></td>
<td>Implement training plans</td>
<td>SAO Employee</td>
<td>Oct. 30</td>
<td>3 training plans implemented Finance Clerk training plan to be implemented starting Nov.</td>
</tr>
<tr>
<td></td>
<td>Monitor progress &amp; revise training plans as necessary</td>
<td>SAO</td>
<td>Ongoing as per training plans</td>
<td>SAO reviewing progress monthly</td>
</tr>
<tr>
<td>Hire apprentices for targeted occupations</td>
<td>N/A to Finance and Administration</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Recruit to new positions</td>
<td>Identify positions requiring recruitment from gap analysis</td>
<td>HR Officer SAO</td>
<td>April 30</td>
<td>Positions identified</td>
</tr>
<tr>
<td>Implement &amp; complete recruitment process</td>
<td>HR Officer SAO</td>
<td>Sept. 30</td>
<td>Recruitment completed for all positions</td>
<td></td>
</tr>
</tbody>
</table>

Chapter 2: Human Resource Planning
# 12) Succession Plans

Succession Planning Checklist

<table>
<thead>
<tr>
<th>ITEM</th>
<th>RESPONSIBILITY</th>
<th>TIME LINE</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Map employee’s demographic information by service area on organizational chart. Include: - name - position - d.o.b. - date of hire</td>
<td>HR Officer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project retirement dates for all employees</td>
<td>HR Officer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project 5 year vacancies based on environmental scan &amp; retirement dates</td>
<td>HR Officer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Use Needs Assessment Data to project internal position matches</td>
<td>HR Officer SAO</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete &amp; Implement Training Plans to prepare present employees for future opportunities</td>
<td>HR Officer SAO Employees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete Succession Plan based on position matches</td>
<td>HR Officer SAO</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## a) SAO/Finance and Administration Succession Plan

<table>
<thead>
<tr>
<th>HR Needs</th>
<th>HR Supply</th>
<th>Gaps (Current and Anticipated)</th>
<th>Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SAO</td>
<td>1 SAO</td>
<td>Current SAO plans to resign within 2 years</td>
<td>SAO Trainee has been hired from the Community and will be able to assume SAO duties within two years</td>
</tr>
<tr>
<td>Finance Officer</td>
<td>1 Finance Officer</td>
<td>Finance Officer requires further training and development</td>
<td>Training and development plan has been established</td>
</tr>
<tr>
<td>1 HR Officer</td>
<td>No HR Officer Available in community</td>
<td>Need to train HR Officer</td>
<td>1 Clerk currently being trained to assume HR Officer position in future</td>
</tr>
<tr>
<td>3 Administrative Clerks</td>
<td>3 Administrative Clerks</td>
<td>1 Administrative Clerk to assume HR Officer position within 1 year 1 Administrative Clerk to be on maternity leave within six months</td>
<td>Secretary being trained as Administrative Clerk to assume Administrative Clerk position in future 1 Administrative Clerk to be hired on 9 month term position to replace Clerk going on Maternity Leave</td>
</tr>
<tr>
<td>1 Secretary</td>
<td>1 Secretary</td>
<td>Secretary to assume position of Administration Clerk within one year</td>
<td>Hire Secretary from community once position becomes vacant</td>
</tr>
</tbody>
</table>
### b) Community Works Program Succession Plan

<table>
<thead>
<tr>
<th>HR Needs</th>
<th>HR Supply</th>
<th>Gaps (Current and Anticipated)</th>
<th>Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Works Foreman</td>
<td>1 Works Foreman</td>
<td>Works Foreman to retire within 2 years</td>
<td>Providing Mechanic with OTJ to replace Works Foreman</td>
</tr>
<tr>
<td>2 Mechanics</td>
<td>1 Mechanic</td>
<td>Need to hire 1 Mechanic immediately</td>
<td>* Hire 1 Mechanic immediately Hire Apprentice Mechanic ASAP</td>
</tr>
<tr>
<td>1 Water Truck Driver</td>
<td>1 Water Truck Driver</td>
<td>No Gap</td>
<td>No Strategy required</td>
</tr>
<tr>
<td>2 Sewage Truck Drivers</td>
<td>1 Sewage Truck Driver</td>
<td>Need to hire second water truck driver</td>
<td>* Hire and train second sewage truck driver</td>
</tr>
<tr>
<td>2 Heavy Equipment Operators</td>
<td>1 Heavy Equipment Operator</td>
<td>Need to hire second HEO</td>
<td>* Hire 1 HEO or apprentice HEO</td>
</tr>
<tr>
<td>1 Journeyman Building Maintainer</td>
<td>1 Journeyman Building Maintainer</td>
<td>No Gap</td>
<td>No strategy required</td>
</tr>
<tr>
<td>1 Apprentice</td>
<td>No apprentices available in the community</td>
<td>Need to hire an Apprentice</td>
<td>Need to hire 1 apprentice journeyman from the community</td>
</tr>
</tbody>
</table>

* indicates high priority
c) Community Services Succession Plan (to be implemented over next three years)

<table>
<thead>
<tr>
<th>HR Needs</th>
<th>HR Supply</th>
<th>Gaps (Current and Anticipated)</th>
<th>Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Director, Community Services (within 1 year)</td>
<td>No qualified Director, Community Services available in community</td>
<td>Needed to hire Director Community Services</td>
<td>Hire Director, Community Services from outside community for 2 year term</td>
</tr>
<tr>
<td>1 Income Support Worker (within 2 years)</td>
<td>1 Income Support (currently with GNWT)</td>
<td>No Gap</td>
<td>Income Support Worker expected to transfer to Municipality</td>
</tr>
<tr>
<td>½ time Income Support Clerk (within 2 years)</td>
<td>Qualified administrative staff available in community</td>
<td>Need to hire ½ time administrative staff once program transferred</td>
<td>Hire full time administrative clerk with ½ time duties for Income Support and ½ time for Employment Clerk</td>
</tr>
<tr>
<td>1 Employment Officer (within 1 year)</td>
<td>No Employment Officer available in community</td>
<td>Need to train Employment Officer</td>
<td>Train the current Finance Clerk to take over responsibilities as Employment Officer</td>
</tr>
<tr>
<td>½ time Employment Clerk (within 1 year)</td>
<td>Qualified administrative staff available in community</td>
<td>Need to hire ½ time administrative staff once program transferred</td>
<td>Hire full time administrative clerk with ½ time duties for Income Support and ½ time for Employment Clerk</td>
</tr>
<tr>
<td>Alcohol and Drug Counselor (within three years)</td>
<td>No qualified Alcohol and Drug Counselor currently available in community</td>
<td>Need to hire A&amp;D Counselor</td>
<td>Hire A&amp;D Counselor Trainee and provide education and training necessary for the position</td>
</tr>
</tbody>
</table>
Section 4) Workbook

1) Vision and Mission Statement:

Write down the vision and mission statement for the Community Government. If the Community Government does not have a vision and mission statement either ask the Senior Manager and the Council/Board to develop one or skip this section.

**Vision statement:** What the Community Government wants to achieve.

**Mission statement:** What the Community Government does.
2) Principles and Values

Write down the principles and values and/or code of ethics of the Community Government. If the Community Government does not have a documented set of principles and values or code of ethics, ask the Senior Manager and Council/Board to develop one or skip this section.

Principles and Values:
3) Priorities

Write down the priority areas of the Community Government. If the Community Government does not have priority areas, ask the Senior Manager and Council/Board to develop them or skip this section.

Priority areas for human resource development:
4) Current Programs and Services

Briefly describe each of the program and services or departments of the community government. Each section should only require a one or two sentence description. (make copies of this page if necessary)

Programs and Service or Departments:
5) Current Organizational Structure

Include a current organization chart.
6) Anticipated Programs and Services

Describe any programs and services that the community government anticipates taking over in the next three to five years.

Anticipated programs and services:
7) Anticipated Organizational Structure

Include anticipated organizational chart including new positions or sections to be added.
8) Environmental Scan

<table>
<thead>
<tr>
<th>Occupation</th>
<th>Workforce Analysis</th>
<th>Internal Scan</th>
<th>External Scan</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>
9) Gap Analysis

<table>
<thead>
<tr>
<th>Item</th>
<th>Yes/No</th>
<th>Strategies to Correct</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>
10) Succession Plans

<table>
<thead>
<tr>
<th>HR Needs</th>
<th>HR Supply</th>
<th>Gaps (current and anticipated)</th>
<th>Strategies</th>
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</table>
Chapter 3) Job Descriptions

Section 1) Background Information

A job description is a written statement that describes a specific job. Job descriptions are not designed to describe each and every detail of a given job. All jobs are complicated and it is impossible to identify everything that a person does in his/her job during the course of a day. Instead job descriptions describe the key elements of a job that are essential to performing that function.

Job descriptions are like the blueprint for a house. It provides the basic information about the job that you need in order to know who to hire, how to evaluate the employee and what training and development may be required. Just as it does not make sense to build a house without a blueprint, it does not make sense to hire or evaluate staff without an accurate, up to date job description.

Job descriptions are specific to an organization. Job descriptions for the similar positions in two different community governments may be very

Appendix
See Appendix 3a for information on Competency-based job descriptions.
different, even though they do much the same function. The differences will be based on the systems used, the size and priorities of the community governments, whether the positions supervise staff and so on.

Effective job descriptions are clear, concise and up to date descriptions of the essential elements of a job. They are written in plain language and do not try to either downplay or inflate the responsibilities and requirements of a job.

**Why Job Descriptions are Important**

- Job descriptions are an integral part to the human resource development system.
  - they form basis for all other human resource development functions
  - job descriptions are used as the basis for such activities as recruitment and selection; performance evaluations and training and development

**Who Should Develop Job Descriptions**

Job descriptions should be prepared as a team effort.

- senior officers, supervisors and employees should all have input into the job description
- final say on what goes into a job description is left to the senior manager

Tip

Jobs are constantly changing. New duties are often added while old ones may be removed. This is increasingly true as new technologies, processes, procedures and functions are introduced into the workplace. These changes should be reflected in the job description.
When Should Job Descriptions be Reviewed

Job descriptions should be reviewed on a regular basis, such as once a year.

- Job descriptions should also be revised whenever there is a significant change to the position.
- A significant change means a change, addition or deletion of a major responsibility and/or the introduction of a new knowledge, skills or attitudes.

The Uses of a Job Description

Job descriptions fulfill a number of purposes including:

- **Describe the position** – Job descriptions provide an overview of the position including the purpose, scope, responsibilities, competencies and working conditions.

- **Evaluate the job** – Job descriptions are used to evaluate the value of the job in relation to other jobs in the organization as well as other in comparison to similar jobs in other organizations.

- **Recruitment and selection** – Job descriptions form the basis for recruitment and selection criteria.

**Appendix**

Appendix 3b provides information on the standard format for job descriptions in the north.
orientation – job descriptions help new employees become familiar with their job and provide an overview of the entire organization

performance evaluation – job descriptions describe the responsibilities and tasks that the incumbent will be measured against

training and development – job descriptions can be used to identify where employees require training and development

legal Issues – job descriptions form part of the contract with an employee and can be used as a legal basis in the event of a grievance or law suit

Tools and Resources

There are a number of tools and resource available that can help you to complete job descriptions including:

- current job descriptions - current job descriptions are excellent resources for creating or updating a job description

- Community Government Training Needs Assessment Tool – an excellent resource to identify competencies required for a specific position

- occupational standards/DACUM charts - occupational standards/DACUMs provide more in-depth information about specific jobs
Section 2) How to Guide

Creating or updating a job description does not have to be complicated, although it can be time consuming. In some cases job descriptions will only require a little fine tuning. In other cases they may require serious revision – especially if they have not been looked at in several years. In any case it is important for job descriptions to be accurate, current and meaningful so that both the employer and the employee have a clear understanding of the job.

Job descriptions should always be very clear and written in plain language. They should accurately reflect the purpose, scope, responsibilities, competencies and working conditions of the job without over inflating or undervaluing the position’s importance. They should also be written in such a way that they can be used for other human resource activities such as:

- recruitment and selection
- orientation
- performance evaluation, and
- training and development

Following are the steps for completing a job description.

A sample job description has been included in the Samples Section
Step 1) Gather and Review Background Information

The first step in developing a good job description is to gather and review the background information.

- there are a number of ways in which information concerning a job description can be gained
- the ways to gather the information you need is described in Appendix x
- from this information it will be possible to prepare the Job Description

See Appendix 4a for more on how to gather information for a job description.

Step 2) Prepare the Job Description

The next step is to prepare the actual job description. Following are guidelines for completing each section of the job description:

a) Identification

This section provides basic information about the position.

- basic information includes the position title, name of the community government, community and division
b) Purpose

The purpose statement describes the primary reason that the position was created, the desired outcome of the position and the legislation and rules by which the position must abide.

- the purpose statement should be kept to no more than one or two lines and be written in clear, plain language

When developing the purpose statement it is best to break it down into the three parts by asking the following question:

- Why is the position being created? (use the is responsible for statement)
- What is the desired outcome? (use the in order to statement)
- What legislation and rules does the position have to follow? (use the within the context of statement)

c) Scope

The scope of the position describes the magnitude as well as the impact the position has on the organization, other organizations, the community and the public.

When developing the Scope Section keep in mind both the magnitude and the impact of the position ask the following questions:

- Who does the position report to?
- Does the position supervise any staff?
- Is the position responsible for a budget, programs or services?
- Does the position have a direct impact on the organization or on other organizations and businesses?
- What would be the result if the duties of the position were not fulfilled?
d) Responsibilities and Tasks

The responsibilities and tasks section of the job description describes the key responsibility areas, the expected outcomes of those areas and the tasks that are required in order to meet the responsibilities.

- a job description should include no more than six to eight key responsibilities and six to ten tasks per responsibility
- good sources of information for the responsibility areas are:
  - Community Government Training Needs Assessment Tool
  - Occupational standards/DACUM charts
  - other job descriptions
  - the National Occupational Classification (NOC)

In completing this section ask the following questions:

- What are the major areas that the position is responsible for?
- What is the best way to group those responsibilities?
- What is the priority of the responsibility areas?
- Why are these areas important?
- What major tasks or activities are required in order to complete the responsibility area?

e) Competencies

The competencies section of the job description describes the knowledge, skills and attitudes required in order to be competent in the position.

- essential competencies are ones that a person must have in order to do the job
- beneficial competencies are ones that would make doing the job easier but are not absolutely required
- the competencies section should also include any Bona Fide Occupational requirements or BFORs
good sources of information for the competencies are:

- Community Government Training Needs Assessments
- occupational standards/DACUM charts
- other job descriptions
- The National Occupational Classification (NOC)

In completing this section ask the following questions:

- What knowledge does a person require in order to do this job?
- What skills are required?
- What attitudes are necessary for the job and to fit into the organization?
- Are there any BFORs that are required for the position?
- How would the person normally expect to attain these competencies?

f) Working Conditions

This section identifies the physical, environmental, sensory and mental demands of a position. It is important in the north because people are expected to work in such extreme environmental conditions.

- physical demands include the level and amount of physical activity required to complete the duties of a position

- environmental demands include the environment in which the employee is expected to work including exposure to unpleasant or dangerous elements, extremes of temperature, noise levels, dust and so on

- sensory demands include the level and amount of sensory requirements for a position such as exposure to smells, the level of eye strain, the need for touching, sound levels and so on

- mental demands include the level of mental or emotional fatigue created by the position and includes exposure to mentally or emotional draining situations, the need for concentration, boredom from work repetition and the amount and urgency of deadlines
When completing this section ask the following questions:

- Does the position work under harsh or extreme weather conditions?
- Is there much physical activity involved (i.e. heavy lifting, walking, standing?)
- Is there exposure to distasteful or dangerous substance, chemicals, etc.?
- How much concentration is required?

**Step 3) Review the Job Description**

Once you have prepared the job description, it is important to have it reviewed. Job descriptions should be reviewed by:

**The incumbent** - The incumbent will likely have the most detailed view of what is involved in the job and should be able to make comments and recommendations, however, the final decision about what to include (or not include) rests with the management of the organization.

**The supervisor** – the supervisor of the position will have a good idea of what should be included in the position as well as the knowledge, skills and attitudes required for the position.

**The senior manager** – the senior manager of the organization should review the job description to ensure it fits into the overall organizational design and meets the goals of the organization.

**The human resources representative** – the person responsible for human resources should review all job descriptions to ensure they are written in plain language, are understandable and do not include systemic barriers or areas of potential discrimination.
Step 4) Approve the Job Description

The final step is to approve the job description.

- the incumbent, the supervisor and the senior manager should sign the job description
- a copy of the signed job description should be kept on the employee's personnel file

**VERY IMPORTANT**

If the job description is being re-written, and the community government is unionized, the draft job description may need to be reviewed by a Union representative before being approved.
Section 3) Samples

Hamlet of Northtown

Position Description
1) Identification

<table>
<thead>
<tr>
<th>Position Title</th>
<th>Finance Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position Number</td>
<td>222-2222</td>
</tr>
<tr>
<td>Department</td>
<td>Finance and Administration</td>
</tr>
<tr>
<td>Financial Code</td>
<td>148361 - 100</td>
</tr>
</tbody>
</table>

2) Purpose of the Position
(The main reasons for creating the position, what the expected outcomes will be and the context of the position)

The Finance Officer is responsible for managing all financial and administrative responsibilities and systems of the Hamlet in order to ensure that financial and administrative matters are maintained and completed in an accurate and timely manner. The Finance Officer works within the context of the Hamlet Act, Hamlet By-Laws and generally accepted accounting principles.

3) Scope
(Describe the magnitude and impact of the position)

The Finance Officer reports to the Senior Administrative Officer and supervises the Accounts Payable/Accounts Receivable Clerk and the Administrative Clerk. He/she is responsible for managing all financial transactions which for a total budget of over $20 million dollars. He/she is responsible for preparing the budget, ensuring that payments are made and revenues collected. He/she has signing authority to a maximum of $10,000. The Finance Officer is responsible for ensuring that all computer and office equipment is maintained and in running order.
The Finance Officer has a direct and substantial impact on the entire organization by ensuring that financial reports are completed and that financial transactions and payroll are managed in an accurate and timely manner. The Finance Officer has a direct and substantial impact on other businesses in the community by ensuring that vendors and service providers are paid in an accurate and timely manner.

4) Responsibilities
(Describe the major responsibilities of the position and the tasks required to achieve those responsibilities)

1) Prepare the Hamlet’s budget, produce financial statements and reports, and provide financial advice in order to ensure the Hamlet has the required financial resources to meet expenditures and that finances are monitored in an effective and ongoing manner.

Tasks:
- identify priorities of the organization
- assist with development of the capital plan
- analyze historical data and review year to date expenditures
- consult with department heads concerning estimated expenditures
- estimate annual revenues
- prepare and submit draft budget for approval
- implement and amend budget as required
- monitor hamlet revenues and expenditures and prepare financial reports including income statements, balance sheets and variance reports
- prepare required financial reports for funding agencies

2) Manage Hamlet financial transactions, maintain cash controls to ensure that payments and receivables are processed and accounted for in an accurate and timely manner.

Tasks:
- ensure that all accounts payable, accounts receivable, revenue and general ledger transactions are processed and maintained in a timely manner
- set up the Chart of Accounts and ensure entries are coded correctly
- make corrections to entries as required
Community Government
Human Resource Development System

Chapter 3: Job Descriptions

- reconcile the accounts payable, accounts receivable and general ledger accounts
- implement cash controls and manage the cash flow
- prepare trial balances and reconcile bank statements
- respond to customer and vendor enquiries concerning payments
- prepare aged listings for vendors and customers
- prepare monthly financial statements
- manage year-end close out procedures

3) Assist with preparation of the Audit I order to ensure that the audit is processed in a timely manner.

Tasks:
- follow generally accepted accounting principles (GAAP) in completing financial duties
- follow audit preparation instructions
- respond to audit queries
- review draft audit statements
- submit audit for approval
- submit audit to funding agencies
- act on audit recommendations

4) Manage human resource and payroll functions in order to ensure that human resource and payroll activities are processed and maintained according to Hamlet policies and bylaws.

Tasks:
- assist with human resource administration
- administer personnel policies and directives, collective agreements, employment bylaws and agreements
- process TD1 forms and set up employee files
- verify time sheets
- calculate salaries and employee benefits
- prepare payroll summaries
- process pay cheques including making appropriate deductions
5) Supervise and develop financial and administrative staff in order to ensure that staff members are fully competent and productive.

Tasks:
- interview and hire staff
- conduct orientation sessions and complete performance appraisals
- develop work schedules, delegate work and monitor employee progress
- develop training plans and provide on the job training, coaching and mentoring
- take progressive action when required

6) Manage the office and maintain administrative functions in order to ensure the office is productive and administrative tasks are completed in an accurate and timely manner.

Tasks:
- set up and maintain filing systems
- purchase goods and services
- attend meetings and take minutes
- assist with the development and implementation of financial policy and procedures and update manuals
- ensure office equipment is maintained and repaired

7) Complete other related duties as required
KNOWLEDGE, SKILLS AND ATTITUDES
(The knowledge, skills and attitudes required for satisfactory job performance)

Knowledge

The incumbent of this position requires a sound knowledge of financial and administrative policies and procedures. This includes knowledge of financial legislation, financial policies and procedures and generally accepted accounting principles. The incumbent requires specific knowledge in accounts payables and accounts receivables, budgeting processes, bank reconciliations, variance and financial reporting, cashflow systems and year-end financial procedures. The incumbent also requires knowledge of the organization and structure of the campus and the college. The incumbent must have knowledge of the following computer programs: computerized financial and accounting systems, word processing, spreadsheets, e-mail and database systems.

Skills

The incumbent of this position requires skills in the areas of:

<table>
<thead>
<tr>
<th>analytical thinking</th>
<th>accounting</th>
<th>bookkeeping</th>
</tr>
</thead>
<tbody>
<tr>
<td>budgeting</td>
<td>client service</td>
<td>data entry</td>
</tr>
<tr>
<td>listening</td>
<td>organizational</td>
<td>planning and problem solving</td>
</tr>
<tr>
<td>team building and supervisory skills</td>
<td>written and verbal communications skills</td>
<td>excellent interpersonal skills</td>
</tr>
</tbody>
</table>

Attitudes

The incumbent of this position must be:

<table>
<thead>
<tr>
<th>organized and have a concern for order</th>
<th>cooperative and friendly</th>
<th>dedicated and hardworking</th>
</tr>
</thead>
<tbody>
<tr>
<td>honest</td>
<td>innovative</td>
<td>positive</td>
</tr>
<tr>
<td>respectful of others</td>
<td>self-confident</td>
<td>a team player</td>
</tr>
</tbody>
</table>
WORKING CONDITIONS
(The unavoidable, externally imposed conditions under which the work must be performed and which create hardship for the incumbent including the frequency and duration of occurrence of physical demands, environmental conditions, demands on one’s senses and mental demands.)

Physical Demands
(The nature of physical effort leading to physical fatigue.)

There are limited physical demands associated with this position, however, the incumbent is expected to lift heavy items such as boxes of records on a recurring basis. In addition to the regular work load, the incumbent is expected to be constantly meeting with others. The constant need for personal interaction can lead to physical fatigue.

Environmental Conditions
(The nature of adverse environmental conditions affecting the incumbent.)

The incumbent is located in a busy open area office, is faced with constant interruptions and must meet on a regular and constant basis with others.

Sensory Demands
(The nature of demands on the incumbent’s senses.)

The incumbent must spend long hours in intense concentration of both a technical nature and an interpersonal nature. The incumbent must also spend long hours on the computer which requires a great deal of attention to detail. The office environment is very busy and noisy.

Mental Demands
(Conditions that may lead to mental or emotional fatigue.)

The incumbent is faced with significant mental demands stemming from the diversity of functions. Stress is also caused by the variety of program areas and the need to meet tight deadlines, conflicting priorities and by constant interruptions.
CERTIFICATION

Employee Signature

Printed Name   Date

I certify that I have read and understand the responsibilities assigned to this position.

Supervisor’s Title

Supervisor’s Signature   Date

I certify that this job description is an accurate description of the responsibilities assigned to the position.

Senior Manager’s Signature   Date

I approve the delegation of responsibilities outlined herein within the context of the attached organizational structure.

The above statements are intended to describe the general nature and level of work being performed by the incumbent(s) of this job. They are not intended to be an exhaustive list of all responsibilities and activities required of the position.
Section 1) Identification

Provide the following information:

Title: __________________________

Community Government: __________________________

Division/Section: __________________________

Position Number: __________________________

Location: __________________________

Section 2) Purpose

a) Describe the overall responsibility of the position:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

b) Describe what the desired outcome of the position will be:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

c) Describe the rules and/or legislation that the position must follow:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
Section 3) Scope

Describe the overall magnitude of the position in terms of:

a) who the position reports to:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

b) Number of staff the person supervises:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

c) Financial responsibilities:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

d) Programs and services:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

e) Facilities and Equipment:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
Describe the impact of the position in terms of:

a) Impact on the organization:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

b) Impact on other organizations and businesses:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

________________________________________________________________________


c) Impact on the funding or program approvals:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________


d) Impact of not completing the duties of the job:

________________________________________________________________________
Section 4) Responsibilities and Tasks

Identify five to eight key responsibility areas for the position, the expected outcomes and the required tasks (make copies of this page as required)

Responsibility:
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Tasks:
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Section 5) Knowledge, Skills and Attitudes

Describe the knowledge required for the position:

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Describe the skills required for the position:

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Describe the desired attitudes and professional attributes for the position:

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__________________________________________________________________________
Section 6) Working Conditions

Physical Activity - Describe the types of physical activity and demands associated with this position.

Environmental Conditions – Describe the environment including the exposure to weather and dangerous situations.

Sensory Demands – Describe any adverse effects the workplace may have on the senses including touch, sight, smell, hearing and taste. Include the level of concentration required for the position.

Mental Demands – describe the causes of mental or emotional fatigue associated with the position.
3a) Traditional versus Competency Based Job Descriptions

Traditional job descriptions used education and experience as the criteria for a job. For example, a traditional Finance Officer job description may have asked for completion of Grade 12 with second year of a recognized accounting program and several years of experience.

There are several problems with using the traditional method of education and experience including:

- the qualifications are not job specific – the fact that a person has a high school or college diploma and several years of related experience does not necessarily mean they have the knowledge, skills and attitudes required for a position

- traditional job descriptions make the hiring process more difficult – it is difficult to ask questions strictly related to education and experience

- traditional job descriptions are not integrated – education and experience cannot be used as factors for staffing, performance evaluation or training and development

- traditional job descriptions include systemic barriers – systemic barriers are barriers that exclude people from a job even though they may have the ability to do that job. For example, even though a person may not have the stated educational requirements for a job, they may have developed the knowledge, skills and attitudes in other ways such as through volunteer work, traditional life skills or previous experience. Not considering these people is discriminatory and is therefore illegal under Canadian Human Rights
Competency based job descriptions differ from traditional job descriptions because they identify the competencies (knowledge, skills and attitudes) required for a position rather than the education and experience required.

Knowledge is what a person needs to know in order to do the job such as knowledge of procedures; knowledge of rules and legislation or job specific knowledge such as knowledge of accounting and bookkeeping principles and practices for Finance Officers. Skills are what people must be able to do in order to be competent in a job, for example, communications skills, computer skills and job specific skills and the ability to prepare a budget. Attitudes are the way in which a person must behave in order to be competent in a job. Attitudes include such things as honesty, integrity and respect of others.

Competency based job descriptions are considered better because they are job specific, they can be integrated into the entire human resource development process and they do not include systemic barriers to employment.
3b) Job Description Format

Almost every organization has a different format for their job description. We have selected the format used by the Government of the Northwest Territories as the format for this manual. It is up to each community government to decide whether they want to use this format; a modified version of this format; or an entirely different format.

The sections of the job description are:

- **Identification**: this is a summary of such information as the title, position number, division, employer, etc.

- **Purpose**: this is a brief statement about why the position is necessary, what the position does and what the end result should be.

- **Scope**: this section describes the reporting relationships, magnitude and impact of the position:
  - magnitude includes specific or quantifiable measurements such as the size of the budget controlled by this position
  - impact measures what effect the position has on the organization or the community

- **Responsibilities**: this section describes the key responsibilities of the position as well as the duties or tasks that are required in order to complete those responsibilities. It also describes the expected outcomes of the responsibilities. There should be no more than six to eight key responsibility areas and no more than eight to ten activities within each responsibility.

- **Competencies**: the competencies section describes the knowledge, skills and attitudes required for a position. It also identifies any bona fide occupational requirements such as a Journeyman Certificate for a trade’s position. The competencies section may also include the way in which a person may acquire the knowledge, skills and attitudes.

- **Working Conditions**: this section identifies the physical, environmental, sensory and mental demands of a position. It is
important in the north because people are expected to work in such extreme environmental conditions.

- physical demands include the level and amount of physical activity required to complete the duties of a position

- environmental demands include the environment in which the employee is expected to work such as exposure to unpleasant or dangerous elements, extremes of temperature, noise levels, dust and so on

- sensory demands are the level and amount of sensory requirements for a position such as exposure to smells, the level of eye strain, the need for touching, sound levels and so on

- mental demands include the level of mental or emotional fatigue created by the position and includes exposure to mentally or emotional draining situations, the need for concentration, boredom from work repetition and the number and urgency of deadlines

**Certification:** this section certifies that the job is as described. It should be signed by the employee, the supervisor and the senior officer.
3c) Ways to Gather Information For a Job Description

Following are various methods for gathering information for a job description:

Review the current job description – the current job description is generally fairly accurate and should be used as a basis for rewriting the new description.

Review job descriptions from other organizations – job descriptions from other organizations can give you new ideas about the duties, responsibilities and competencies required by those organizations.

Interview the current incumbent – incumbents generally have the best understanding of the job and can provide the competencies needed for the job. It is also important to get their input so they have some ownership over the job.

Review the Community Government Training Needs Assessments – Community Government Training Needs Assessments can provide you with a broad range of the responsibilities and competencies for a variety of community government jobs.

Review the occupational standards/dacum charts – these provide even more specific information about the tasks, knowledge, skills and attitudes required for a job.
Chapter 4: Attracting and Retaining

Section 1: Background Information

The purpose of Human Resource Planning is to have the right people, with the right skills, in the right place, at the right time to meet business objectives. A key component in being able to fulfill the purpose is attracting and retaining people.

To attract and retain, people have to want to work for the organization. The organization has to be an employer of choice. The basis of being an employer of choice rests on two basic premises: (1) demonstrate stability and growth potential and (2) add true value to mankind.

To be an employer of choice an organization must:

- proactively support its employees through effective human resource management practices and processes
- promote activities that support employees
- identify and correct issues that impact successful attraction and retention of employees

Community governments need to focus on building and developing a skilled workforce that is representative of the people and communities served. This means being an organization that northerners want to work for, providing northerners with the skills required to do the job and supporting northerners to keep them in the jobs. It means investing in the people, technology and workplace to promote safety, excellence and innovation for today and for the future. It means positively promoting the organization both internally and externally.
Why Attracting and Retaining is Important

Being able to attract and retain is a key measure of the organization’s success. Success requires excellence across the value chain. Excellence across the value chain is not only excellence in products and services for customers but includes excellence in being a great place for employees to work.

Retention is not the absence of turnover or a soft issue that’s contrary to business goals. Retention is:

- loyalty and commitment from key people
- minimized voluntary turnover
- the value added equivalent for human capital

Retention means being built to last and being build to last means creating retention best practices. Retention best practices create an environment where people want to come to work and give their best to the organization.

Community governments cannot be successful unless they are able to provide excellence that attracts and retains.

Who Should be Involved in the Attracting and Retaining Process

Leadership sets the tone for the organization but every one who works for the organization is responsible for the final outcome. The total contribution has the impact of making the organization a place where people want to come to work and do a good job. Leaders make the organization a great place to work by providing: competitive salaries and benefits, information through policies, guidelines and ongoing communication, positive feedback for a job
well done, a safe and a harassment free work environment. Employees follow the rules and are able to give their best with the supports provided.

**When Should Attracting and Retaining Take Place**

Attracting and retaining employees should be ongoing. The organization must continually work to be the best. Key to being the best is leadership always working to improve the organization in every way possible. Leaders must set a positive expectation, follow-up to ensure the expectation is being met and deal with any thing in the organization that has a negative impact; such as harassment, conflict or discrimination.

**Section 2) How to Guide**

The key to attracting and retaining lies in treating people well and being competitive in the market. Providing policies and procedures for people to follow, promoting a respectful workplace and providing opportunities for people to develop and utilize their skills are key to attracting and retaining. The organization must also be able to provide benefits that are competitive with other organizations. These other organizations include: other businesses in the community, across the territory and across the country. The competition will depend on the type of individual(s) the organization is trying to attract and retain.

**What does Attracting and Retaining Include**

Attracting and retaining includes having policies for and being competitive in the following areas:

**Employment categories**

All employees must be placed in an employment category. The employment category varies depending on the nature of the position. The type of employment category and any changes in the employment category should
always be in writing, signed by the employee and a copy placed on the employee’s personnel file. The employment categories include:

- probation – most employees are placed on probation when beginning employment with the organization or changing duties within the organization
- indeterminate – employment on a continuing basis, unless another period of employment is specified
- part-time – employment on a continuing basis for hours less than the standard workday, week or month
- casual – employment on a casual basis with no set work hours. Employees are called to work as required
- term – employment for a fixed period of time. At the end of the specified period, the term employee ceases to be employed
- job share – when two employees share the hours of work of one full time position
- contractors – contractors are not employees. Contractors are independent employers that must meet the test of being a contractor. Contractors should be awarded by a Request for Proposal process

Salary Administration

All aspects of salary administration for all employment types should have detailed policies and procedures. This information provides clear direction and rules for all aspects of paying employees. The policies should include:

- salary rates
- allowances
- overtime
- pay periods
- increments
- deductions

Pay

- Rates of pay should be set for all employment categories. Rates of pay for unionized employees are negotiated between the employer and the union. Rates of pay must be in writing and available to employees.
The initial job offer and changes in employment category provide the rate of pay in writing to the employee.

- When the pay is reduced for a job classification, new employees receive the reduced salary. Employee(s) in the position when the pay is reduced do not receive a reduction in pay. Their salary is maintained as long as they are in the position. This is referred to as Present Incumbent Only and the rule is the pay for an employee with PIO status is held at the higher range until the employee leaves the position.

- A term employee is paid based on an hourly pay rate within the pay range of the position.

- A part-time employee is paid a salary within the pay range for the position.

- On promotion to a position with more than one rate of pay, the pay increase must be at least equal to the last increment of the new position.

- On transfer, pay does not change unless the employee was paid on a present incumbent only basis before the transfer. If so, the employee’s pay upon transfer is set as on initial appointment.

**Overtime**

- To deliver programs and services effectively, organizations may require employees to work outside of their regularly scheduled hours of work. The requirement for overtime is driven by operational need.

- Compensation for overtime is paid when work is authorized in advance by an official of the organization authorized to approve overtime. Overtime is compensated according to the collective agreement or the applicable legislation. The employer controls the duration of the overtime worked.

- The employer should make every reasonable effort to assign overtime work equitably to readily available and qualified employees who are normally required in their regular duties to perform that work. The employee needs to provide reasonable advance notice of the overtime.
An employee may, for cause, refuse to work overtime. The refusal must be in writing. Cause may, for example, involve religious beliefs.

- Instead of paying overtime, the organization may agree to grant equivalent leave with pay at the appropriate overtime rate (lieu time). The leave with pay must be taken at a time agreeable to both the organization and the employee. A maximum accumulation of lieu time should be set by the organization.

Pay periods

- All employees should be paid within the same pay period. The pay period is usually weekly, biweekly or semimonthly. Employees are notified of the pay period on hire.
- Employees are given at least two months notice of any change in a pay period or method of payment. The timing of the pay periods depends on the needs of the organization and the ability to process pay on a timely basis.

Allowances

- Organizations sometime provide allowances to compensate employees. Allowances can include: northern allowance and safety allowances. Policies and procedures for determining the types of allowances, who gets the allowance and how the allowance is administered, should be developed and available to employees.

Safety footwear and gloves allowance

The Worker’s Compensation Board (WCB) or the NWT Safety Act requires some employees to wear safety footwear and gloves. Sometime organizations either provide an allowance to employees to purchase safety footwear and gloves OR the organization purchases the safety footwear and gloves and provides these articles to the employees.

The requirement for employees to wear safety footwear and gloves should be included in the job description.
Northern allowance

- Employees in the north are sometimes paid a northern allowance to offset community differences in cost of living and travel. The allowance is based on the community in which an employee is employed.
- Northern allowances are taxable. Northern allowances can be paid in various ways: annual lump sum, pro-rated to an hourly rate by dividing the annual rate by the standard yearly hours of work.
- The allowance is not paid for periods of overtime or periods of leave without pay. Northern allowance rates should be set and available to all employees.

Increments

- Increments are granted to employees in recognition of service and satisfactory performance. Increments are adjacent steps in a pay range. Employees in positions with more than one rate of pay are granted pay increments until the maximum rate is reached. Employees should not be accelerated through the steps.
- The increment date is based on the anniversary date of the employee’s appointment or most recent promotion or the date the individual was hired to perform the same duties as the new appointment if there was no break in service between the appointment dates. Pay increments should be processed the first day of the month of the increment due date.
- Rules should be set for receiving increments on promotion, demotion, transfer, and part-time work. Increment dates are usually postponed for employees on leaves of absences. The exceptions are: leaves of absence of less than six months; leaves of absence without pay to work for another government department, board or agency; and paternity/adoption leave. Increments postponed by a leave of absence is due when the employee returns to work and completes a year of paid full-time employment from the effective date of the last increment. This includes the periods of service before and after the absence.
- When an increment and a salary revision are due on the same date, the increment is to be applied first.
If an increment is denied the employee must be informed of the date of the next review, which should be no later than 12 months from the date the increment is denied. At this time, the employee should be entitled to the withheld pay increment, in addition to the current pay increment, should performance be deemed to meet the required standard.

Deductions

An employee is required to pay and the organization is obligated to make mandatory deductions from an eligible employee’s pay, at prescribed rates, premiums and amounts for the following:

- Canada Pension Plan
- Employment Insurance
- income taxes
- staff accommodation rent
- court-ordered payments
- mandatory benefit plans

Optional deductions may include:

- parking charges
- Canada Payroll Savings
- optional benefit plans

Employees are responsible for ensuring their pay is correct. Employers are responsible for ensuring the proper deductions are taken and submitted on behalf of the organization. Policies on deductions should include the types and amounts of deductions as well as a process for employees’ repaying overpayments. Usually a 10% maximum is the rule for repayment of any overpayment to employees. Employees must be informed of any errors in pay and the requirement to repay as well as the repayment schedule.

Benefits

- The community government may provide a variety of benefits. Benefits make the organization competitive and contribute to attracting and retaining employees. Benefits can include any or all of the following:
  - medical coverage, insurance(s)
  - pension plan
Medical travel assistance

- The government of the Northwest Territories provides medical travel to residents. Some organizations supplement the government's medical travel benefits through medical travel assistance.

- Community governments should determine if they will provide medical travel assistance to employees. Decisions should include what medical travel assistance look like and how employees would be reimbursed for medical travel assistance.

- Medical travel assistance could include: accommodation, meals & expenses, travel, medical escort, non-medical escort, juvenile escort, and compassionate escort.

Staff housing

- Housing is sometimes in short supply in many northern communities. To facilitate the hiring of employees, some organizations provide staff housing. Where an employee is provided accommodation, the employee and the organization need to enter into a formal lease agreement. The rent for the staff housing should be deducted from the employee’s pay on a monthly basis.

Hours of Work

- The community government should establish a regular schedule of hours of work for employees based on work requirements. The standard hours of work should include the days and the hours that the community government will provide services. Employees in some occupational groups may be required to work shifts where their days of rest may be other than Saturday and Sunday, or their hours may be other than the standard hours. When employees are directed to work...
outside of the standard hours, they are to be compensated with overtime pay at the applicable rate.

- Employees may make a request to work outside the standard hours, on an ongoing-basis by submitting an alternate schedule to their supervisor for approval. The approval of such requests would be based on the needs of the community government.

- The standards hours are exclusive of a minimum half hour lunch period scheduled as close as possible to mid-day. 15-minute breaks should also be provided in the morning and afternoon.

- The employer has a right and responsibility to know where employees are during scheduled hours of work. Employees must attend work during their regularly schedules hours of work. Each employee must provide reasonable notification to and seek approval from the employer for any absence, including lateness and illness. Employees are notified of the standard hours of work for their position by their supervisor.

**Leave**

- Various types of leave are granted to employees. The community government’s policies should outline the types and amounts of leave that employees are entitled to. Leave can be paid or unpaid. An employee is responsible for understanding the types of leave set out in the collective agreement/community government’s policies. An employee who is unsure of what leave he/she is entitled to should speak to his/her supervisor.

- An employee is expected to report to duty and work unless on authorized leave. An employee who is unable to report to duty and work is required to call their supervisor or designate, personally, at the start of the workday. Employees are required to request conditional approval of the leave and to provide an indication of the expected length of the absence.

- Employees are entitled to be paid for authorized leave in the following circumstances:
  - special occasions approved by the senior manager
• time off for voting for federal, territorial and municipal elections
• vacation leave (as set out in the community government’s policies)
• sick leave (as set out in the community government’s policies)
• some types of Civic Leave including court leave
• work related training
• union leave
• statutory holidays

• The employee should discuss the leave request with the supervisor. This should be done as far in advance as possible so that the supervisor can plan for operational requirements and service delivery during the employee’s absence. A request for time off work form should be completed (an electronic format is useful). After the employee’s leave credits are verified, the leave is approved or denied by the authorized approver. When the leave is denied or modified, the authorized approver will contact the employee and explain the reasons for the denial or modification. When the leave is approved, the authorized approver will advise the employee in writing of the approval.

**Employee Recognition**

To attract and retain employees, community governments need to recognize the accomplishments made by employees. People need to feel that they are a valuable and important part of their organization. Community governments should be committed to honoring and encouraging individuals and teams who contribute through their efforts and actions to the success of the community government. Recognition can include:

- giving praise
- granting awards
- celebrating and communicating successes

Recognition should be linked to the organization’s corporate objectives by supporting defined goals and values. Recognition should focus on creating a lasting effect for employees and the organization.

Guidelines should be developed for each type of employee recognition.

Employee recognition programs could include:

- organization wide recognition
- department recognition
- long service with the organization
- appreciation for service on resignation and/or retirement

Chapter 4: Attracting and Retaining

Code of Conduct

- Community governments are entrusted with the protection of the public interest in many significant areas of society. In view of the importance of this trust, it is essential that the high professional standards demanded of and adhered to by community government employees’ be recognized and documented. Recognition and documentation of these standards will ensure continued public confidence in the impartiality and integrity of the community government.

- A conflict of interest occurs when an employees’ private interests and activities are at odds with the responsibilities of government employment. Conflicts should not exist, or appear to exist, between official duties and an employee’s private interests.

- Employees must perform official duties and arrange private affairs so public trust in the integrity and objectivity of the government is conserved and strengthened. Employees’ actions must withstand close public scrutiny. Employees must arrange all private matters so conflicts of interest do not arise. Employees may not:
  - ask for any money or other benefit in addition to compensation and expenses for any public service duties.
  - accept any one of other benefit, except compensation and expenses, incidental gifts, usual hospitality and other nominal benefits
  - step out of official roles to help others in dealings with the government if this would result in preferential treatment.
  - take advantage of, or benefit from, confidential information gained as a result of official duties.
  - directly or indirectly use, or allow the use of government property of any kind, except for officially approved activities. This includes property leased to the government.
Employees should get prior approval from their senior official before having outside employment or getting involved in any activity where there could be a conflict of interest. The senior government official will decide whether outside employment or activity is a conflict of interest.

Community Governments should develop a guideline for employees Code of Conduct to include the following:

- principles for community government employees
- compliance
- discipline
- outside activities
- releasing information
- political activity
- gifts, hospitality and other benefits
- post employment
- complaints from the public
- appeal procedure
- dealings with family, friends and relatives
- public statements
- responsibilities

**Conflict of Interest**

Community governments have a duty to ensure that the government remains above reproach. This involves ensuring that community government’s have political activity guidelines and that employees follow the guidelines.

If engaging in political activities, employees must be able to maintain impartiality in relation to their duties and responsibilities. Within the constraints established in the Code of Conduct, employees are free to participate in political activities, including belonging to a political party, supporting a candidate for elected office and actively seeking elected office, as along gas the political activities are clearly separated from their activities related to his or her employment.

The community government’s guideline for Conflict of Interest should include:

- a list of restricted employees
- circumstances requiring written disclosure from the senior government official
- when a leave of absence is required to participate in political activity
Community Government
Human Resource Development System

- the rules for political activity leave of absence
- the rules for employees having to resign when elected to a political office

Use of company vehicle guidelines

Community governments should develop vehicle use guidelines. Employees who drive vehicles in the performance of their duties are required to abide by the vehicle use guidelines.

- Employees who use community government vehicles are required to have the appropriate license. All government vehicles must be insured and registered. Registration and insurance cards are to be in the vehicle and are required by the Motor Vehicles Act. Government employees must obey all traffic laws and follow the procedures in the guidelines when driving community government vehicles and rental vehicles on community government business.

- All accidents must be reported in accordance with the policies and procedures for reporting accidents whether or not another party is involved.

- Community government vehicles may not be used for personal reasons unless express written permission has been obtained from the senior government official. This applies to employees who use a community government vehicle while on stand-by and call outs, as well as during regular working hours.

- A photocopy of each employee’s drive license must be on file. The employee has to have the appropriate class of license for the vehicle they will be driving. Employees and contractors must be informed of the vehicle use guidelines. The vehicle use guidelines should include responsibilities for the following: drivers, supervisors, and vehicle fleet administrators.

Workplace Health & Safety

Occupational health and safety is a means of controlling workplace hazards, by reducing or eliminating occupational injuries or illnesses. Employers must ensure compliance with all applicable provisions of Northwest Territories.
health and safety legislation and take reasonable measures and precautions to make sure that working conditions are safe. Under Section 7 of the Safety Act, community governments must establish a joint worksite Health & Safety Committee.

- Community governments need to recognize the importance of providing a safe and healthy work place. Employees must take all reasonable precautions to make sure that they and their fellow employees are working in safe conditions. Such reasonable provisions include personal protection devices (such as alarms) for employees who are routinely required to work in potentially dangerous situations and immediate help is not available. Where the employer requires an employee to undergo a specific medical, hearing or vision examination by a designated qualified medical practitioner, the examination will be conducted at no expense to the employee. The employee must, on written request, be able to provide results of all specific medical, hearing or vision examinations conducted. Specific, requested medical, hearing, or vision examination information supplied by employees to the employer must be maintained in a confidential manner in the employees personnel file.

- The employer must pay for medication examinations required to qualify for or maintain a license or other qualifications required in the performance of that employee’s duties. The employer must also pay for vaccinations, inoculation or other immunization when required for employment.

Employees sometimes develop or present with impairments that impact their ability to carry out work in a safe and proper manner. Symptoms that may indicate impairment include:

- slurred speech
- staggering
- lack of coordination or mobility
- marked change in personality or appearance

Employees have the right to refuse work where it poses a safety hazard to themselves or others. Managers must arrange necessary training and guidance that employees need to carry out their duties in a safe manner. Managers do not allow impaired workers who pose a safety risk to themselves or to others to remain at the workplace. The manager must take
reasonable steps to ensure the employee has safe passage to an appropriate destination.

Managers must make the workplace safe for employees by:
- monitoring workplace conditions
- limiting entry to authorized personnel
- correcting safety hazards
- providing protective devices
- providing protective clothing
- monitoring employees’ performance
- providing training on safety procedures
- correcting problems, as required

Managers should take the following steps when an employee shows symptoms of impairment:
- accurately document all information about the perceived impairment
  - the date, time and location of the incident
  - behaviour and mannerisms of the employee in question
  - the names of witnesses, if any
  - an explanation of how the employee presents a safety risk
- prevent the employee from entering or remaining at the work site
- provide an explanation to the employee
  - how the employee’s condition prevents the employee from performing duties in a safe and proper manner
  - why the employee cannot return to the workplace until the employee is fit to carry out duties in a safe and proper manner
  - conditions under which the employee will be permitted to return to the workplace (medical evaluation, etc.)
  - arrangements for safe passage to an appropriate destination
- ensures safe passage for the employee to an appropriate destination away from the work site

When an employee feels there is an unusual safety hazard in the workplace, the employee should take the following steps:
- immediately notify other employees near the unsafe working conditions of the potential danger
- immediately report the circumstances of the unsafe working conditions to the manager
When a manager receives notice that an employee refuses to work, the manager:

- investigates the reported unsafe working conditions
- takes corrective action required to remove the unusual danger
- takes the corrective action in the presence of the worker who refused to work and a representative of the employee’s union (if a union worker)
- if the union representative is unavailable, have the employee choose another employee to stand in for the union representative
- if the employee continues to refuse to work, call a representative of the health and safety committee or a safety officer and have the committee representative or the safety officer investigate the complaint
- take any further required corrective action
- if the employee still refuses to work consider the employee insubordinate and take appropriate disciplinary action

**Workplace Conflict Resolution**

Community governments must recognize the diversity of the workforce and be committed to providing a workplace where all individuals are treated with fairness, dignity and respect. Governments must be committed to providing a work environment where there is respect among coworkers and to the provision of a flexible conflict resolution system that offers effective solutions to workplace conflicts and the elimination of harassment. Harassment is discrimination whether based on

- race
- creed
- colour
- sex (gender)
- marital status
- nationality
- ancestry
- place of origin
- age
- disability
- family status
- political beliefs
- sexual preference
- religion
Community governments should develop a workplace conflict resolution policy. The policy should apply to every employee in the community government, volunteers and contractors who do business with the community government. The community government should make an effort to ensure that all of the above parties are informed of the policy.

A workplace conflict resolution policy does not foreclose upon an employee’s rights to pursue other remedies. These may include private legal remedies, grievances or complaints under applicable legislation. A workplace conflict resolution policy does not create new rights or diminish existing rights. The GNWT’s workplace conflict resolution policy can be found at: http://www.hr.gov.nt.ca/policy/documents/Workplaceconflictresolutionpolicy.pdf

The workplace conflict resolution policy should contain the following:

- a definition for
  - Harassment
  - Sexual harassment
  - Abuse of authority
  - Workplace
  - Complaint
  - Mediation
- responsibilities of
  - managers and supervisors
  - employees
- a process for completing investigations
- a process for reporting on investigations
- a process for following up on investigations

Tools and Resources

There are a number of tools and resources that you can use to assist in attracting and retaining employees.

This manual and samples: you can use this manual and samples to set up, implement and follow-up on your strategy to attract and retain employees.
SAMPLE APPOINTMENT LETTER

PERSONAL & CONFIDENTIAL

Name Mr. Northcott
1234 Rosewood Drive
Hamlet of Northtown, NT
Z4L 9T6

Dear Mr. Northcott:

I am pleased to offer you an indeterminate position as a Housing Maintainer position # 5555 with the Department of Municipal and Community Affairs. This offer becomes effective on January 1st, 2007 and carries with it a standard probationary period of 6 months. You will be reporting to Mrs. Elliott.

Your salary will be $31.47 per hour, representing pay range 5, step 4. You will also receive a northern allowance of $1.18 per hour. In accordance with the Collective Agreement, this position comes under the Union of Northern Workers (UNW).

This offer of employment is contingent upon receipt of a satisfactory criminal records check through the Royal Canadian Mounted Police, and an updated immunization record.

Your pay is calculated bi-weekly. Therefore, it is important you contact Human Resource Officer at 867-555-5555 to complete your pay and benefits documentation upon your arrival.

Please submit a direct deposit form along with a voided cheque or a deposit slip from your bank. Failure to submit the required banking information will result in your receiving a cheque for your first pay only. Subsequent pays will not be processed until the required banking information is submitted to Employee Services.
If you agree with the above conditions, please indicate your acceptance by signing the second copy of this letter and return it to my office. The original of this letter is attached for your records.

Congratulations on your appointment. We hope you find this position both challenging and rewarding.

Please do not hesitate to contact me at 867-555-5555 if you have any questions.

Sincerely,

Geraldine Martin
Human Resource Officer

cc: Employee’s File

**ACCEPTANCE OF OFFER:**

I accept this offer of employment on the above noted terms.

________________________  __________________________
Signature                  Date
CONFIDENTIAL INFORMATION AND THE OATH OF OFFICE AND SECRECY

Employees owe a duty of loyalty to their employer, the Hamlet of Northtown.

Each employee, before being paid any remuneration, must swear or affirm the following Oath of Office and Secrecy:

I, Jane Smith, solemnly and sincerely swear that I will faithfully and honestly fulfill the duties that devolve upon me by reason of my employment with (name of community government) and that I will not, without due authority, disclose or make known any matter that comes to my knowledge by reason of such employment. So help me God.

OR

I, Jane Smith, solemnly affirm and declare that I will faithfully and honestly fulfill the duties that devolve upon me by reason of my employment with (name of community government) and that I will not, without due authority, disclose or make known any matter that comes to my knowledge by reason of such employment.

Signature of Employee

Date of signing
### Attracting and Retaining Checklist

<table>
<thead>
<tr>
<th>Item</th>
<th>Date completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Placement into employment category</td>
<td></td>
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<tr>
<td>Outlined salary administration</td>
<td></td>
</tr>
<tr>
<td>Set up rates of pay</td>
<td></td>
</tr>
<tr>
<td>Overtime guidelines</td>
<td></td>
</tr>
<tr>
<td>Setting up pay periods</td>
<td></td>
</tr>
<tr>
<td>Establishing Northern allowance</td>
<td></td>
</tr>
<tr>
<td>Setting increments</td>
<td></td>
</tr>
<tr>
<td>Deductions</td>
<td></td>
</tr>
<tr>
<td>Establishing benefits</td>
<td></td>
</tr>
<tr>
<td>Establishing medical travel assistance</td>
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</tr>
<tr>
<td>Staff Housing</td>
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<tr>
<td>Establishing hours or work</td>
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<tr>
<td>Leave</td>
<td></td>
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<tr>
<td>Employee recognition</td>
<td></td>
</tr>
<tr>
<td>Employee code of conduct</td>
<td></td>
</tr>
<tr>
<td>Workplace health and safety guidelines</td>
<td></td>
</tr>
</tbody>
</table>
SAMPLE APPOINTMENT LETTER

PERSONAL & CONFIDENTIAL

Name
address

(Mr./Ms./Mrs.)

Dear Ms./Mr_______:

I am pleased to offer you an indeterminate position as a________, position # ________ with the____________. This offer becomes effective on _____ and carries with it a standard probationary period of ____ months. You will be reporting to Mr./Ms. ____________.

Your salary will be $____ per hour, representing pay range___, step _____. You will also receive a northern allowance of $1.18 per hour. In accordance with the Collective Agreement, this position comes under the Union of Northern Workers (UNW).

This offer of employment is contingent upon receipt of a satisfactory criminal records check through the Royal Canadian Mounted Police, and an updated immunization record.

Your pay is calculated bi-weekly. Therefore, it is important you contact Human Resource Officer at 867-xxxx to complete your pay and benefits documentation upon your arrival.

Please submit a direct deposit form along with a voided cheque or a deposit slip from your bank. Failure to submit the required banking information will result in your receiving a cheque for your first pay only. Subsequent pays will not be processed until the required banking information is submitted to Employee Services.

If you agree with the above conditions, please indicate your acceptance by signing the second copy of this letter and return it to my office. The original of this letter is attached for your records.

Congratulations on your appointment. We hope you find this position both challenging and rewarding.
Community Government
Human Resource Development System

Please do not hesitate to contact me at 867-xxxxx if you have any questions.

Sincerely,

Name of Human Resource Officer
Human Resource Officer

cc: Employee’s File

ACCEPTANCE OF OFFER:

I accept this offer of employment on the above noted terms.

________________________________________  _________________
Signature                                      Date
Sample Oath of Office

CONFIDENTIAL INFORMATION AND THE OATH OF OFFICE AND SECRECY

Employees owe a duty of loyalty to their employer, the Hamlet of Northtown.

Each employee, before being paid any remuneration, must swear or affirm the following Oath of Office and Secrecy:

I, ________________________, solemnly and sincerely swear that I will faithfully and honestly fulfill the duties that devolve upon me by reason of my employment with (name of community government) and that I will not, without due authority, disclose or make known any matter that comes to my knowledge by reason of such employment. So help me God.

OR

I, ________________________, solemnly affirm and declare that I will faithfully and honestly fulfill the duties that devolve upon me by reason of my employment with (name of community government) and that I will not, without due authority, disclose or make known any matter that comes to my knowledge by reason of such employment.

Signature of Employee        Date of signing
Recruitment and selection is the most important part of the Community Government Human Resources Development System. It is the process of finding and hiring the right person for a job in the right way. Recruitment is how you attract quality candidates to apply for vacant positions. Examples of recruitment include advertising the position, attending career fairs, making direct contacts with people and so on. The type of recruitment that you use will depend on the type of position and the availability of quality, local candidates.

Selection is the means used to determine which of the candidates is best suited for the job. The selection process includes conducting interviews, holding job related tests and contacting references.
Why Recruitment and Selection Is Important

Recruitment and selection is the most important element of the human resource development process.

- hiring the right people is absolutely critical to ensuring the success of your organization
- a community government’s human resources are the biggest single factor in determining its ability to deliver quality programs and services
- hiring people in the right way is also critical so that your community government cannot be accused of discrimination or favouritism in its hiring practices

Hiring the right people does not always mean the person with the most qualifications.

- it means hiring people that have the necessary competencies for a job and that fit well with the culture of the organization and the community as a whole
- this is not always easy, particularly in northern communities that have a limited pool of candidates from which to choose

Appendix
See Appendix 5a for information on competency-based recruitment and selection
Who Should be Involved in the Recruitment and Selection Process

The members of the selection board should include the supervisor of the position, a senior manager and the human resources representative.

- you may also want to include a person from outside of the community government such as a Band Council Member, Municipal Council Member, Local Housing Authority Council Member or a member of the public
- the selection board should consist of no more than three or four members
- interviews can be very intimidating for candidates, having more than four members on a selection board will make many candidates very nervous

Members of the Selection Board should also not be either in a conflict of interest situation, or perceived conflict of interest situation with the candidates.

- in cases where one of the selection committee members is a direct relative (i.e. spouse, parent, sibling, etc.) of one of the candidates it is best that they excuse themselves from the committee
When Should Recruitment and Selection Take Place

The recruitment and selection process can occur any time a vacancy occurs including:

- when a new position is created
- when a current incumbent leaves the position or being promoted to another position
- when a current incumbent takes an extended leave such as for maternity leave

It is important to remember that the recruitment and selection process generally takes four to six weeks to complete.

- the more prepared you are, and the more lead time that you have, the easier it will be to hire staff

Tools and Resources

There are a number of tools and resources that you can use to assist you in the staffing process. These tools and resources include:

- **this manual and workbook** - you can use this manual and workbook each time you need to hold a staffing competition

- **current job descriptions** – the job description is used to identify the responsibilities, tasks and competencies required for the position

- **Community Government Training Needs Assessment Tool** - provides a list of the common skills and subskills for positions that can be used for developing selection criteria, ads and questions
- **occupational standards/DACUM charts** - occupational standards/DACUM charts provide more in-depth information about a job.

- **National Occupation Classification (NOC)** - the NOC can also be used to identify responsibilities and competencies required for positions within your own community government.

See Appendix 5c for information on the recruitment and selection process.
Section 2) How to Guide

The recruitment and selection process is the most important part of the Community Government Human Resource Development System.

- hiring the right person in the right job will make it much easier for the community government to achieve its goals
- there are eight steps in the recruitment and selection process

Step 1) Create a Competition File

The first step is to create a competition file.

- the competition file will contain all the information and paperwork that is required to complete the process
- this includes the job description, selection committee members’ sheet, interview questions and so on
- due to the need for confidentiality, the competition file must be kept in a secure and locked place with limited access
- the competition file should be kept by either the senior manager or the person responsible for human resource management

Sample Sheet

A sample competition file checklist has been provided in the samples section of this chapter.
Step 2) Form the Selection Committee

The next step is to decide who will be on the Selection Committee.

- the Selection Committee will be responsible for all aspects of the competition including:
  - creating the selection criteria
  - advertising the position
  - preparing for and conducting the interviews
  - completing reference and criminal records checks, and
  - making an offer and notifying unsuccessful candidates

The Selection Committee should be comprised of no more than three to four members.

- you may also want to include a member of the community, a member of the council, or an expert in the field for very technical positions

The Selection Committee will also require a Chair Person, usually the Senior Manager or the person responsible for human resource management.

- the role of the Chair Person is to:
  - ensure all Selection Committee Members are familiar with the staffing process
  - ensure that policies and procedures are followed through the staffing process, and
  - ensure that the staffing process is fair and free of systemic barriers

Sample Sheet

A sample Selection Committee Members Form has been included.
Step 3) Establish the Selection Criteria

The Selection Criteria is critical as it is the basis for selecting which candidates will be interviewed and who the successful candidate will be.

- the selection criteria include the knowledge, skills and attitudes required for the position
- the criteria should indicate which competencies are required for the position and which are beneficial to the position
- the selection criteria may also contain any legal requirements needed for the position (i.e. a Driver’s License for Water Truck Drivers)
- candidates must meet the required criteria in order to be considered for an interview

The selection criteria must be consistent with the competencies identified in the job description.

- you should use the job description as the basis for the criteria
- other sources of information for the Selection criteria include Community Government Training Needs Assessment tool, and the Occupational Standards/DACUM Charts
- the selection criteria must not include any systemic barriers to employment or any of the prohibited grounds for discrimination in the Charter of Rights and Freedoms

A sample Selection Criteria Form has been included.
Step 4) Advertise the Position

The next step in the process is to advertise the position in order to recruit qualified candidates.

- there are many ways to advertise a position including:
  - posters in local meeting places
  - advertisements on the local radio station
  - professional and trade publications
  - websites
  - search consultants
  - word of mouth advertising
  - attending trade shows and career fairs

Once you have decided how and where to advertise the position, it is possible to create a job advertisement.

- job advertisements must be based on the information in the job description and selection criteria

- job ads should contain at least the following information:
  - title and location of the position
  - name of the community government or organization
  - a brief description of the responsibilities and duties
  - competencies required for the position
  - salary range
  - where to send resumes, and
  - closing date of the competition

Sample Sheet
A sample Job Ad form has been included.

Appendix
See Appendix 5d for more information on advertising competitions
Step 5) Screen the Competition

Screening the file means selecting the candidates to be interviewed.

- screening can be a difficult part of the process since you have to decide whom to interview based on the limited information contained in the resume

The first thing that the selection committee should do is review the selection criteria to ensure everyone is still familiar with it.

- each committee member should then individually review each application and keep notes on each application they review

- as a group, the selection committee should then discuss the candidates and determine which candidates have the required competencies and who to interview

- each candidate should be rated on a selection criteria form that clearly demonstrates whether or not they have the competencies necessary for an interview

- generally three to four candidates are interviewed for a position

- make sure you take into consideration any hiring by-laws or policies when determining who to interview

- the Selection Criteria/Candidate Rating forms must then be placed on the competition file

Sample Sheet
A completed Screening Criteria Form has been included
Step 6) Interview Candidates

Interviews are often very stressful for candidates so it is important to make the interview process as comfortable and relaxed as possible.

- interviews are not stress tests where you see if you can break the candidate

The first thing to do is to create good interview questions.

- questions and tests must be directly related to the job or the work situation and cannot include areas as identified under the prohibited grounds for discrimination
- the job description is generally the best source of information for developing question areas and topics
- other documents such as occupational standards/DACUM charts and training needs assessment forms can also be used
- questions and tests should cover all of the important areas of the job including:
  - the candidate’s interest in the job
  - the qualifications of the candidate
  - the candidate’s knowledge and skills, and
  - the personal suitability of the candidate
- the Committee should also develop different types of interview questions.
- once the questions have been created, a pass/fail mark should be set, generally at 60% to 70%
You should be well prepared for the interview.

- each Selection Committee Member should be provided with an interview package that contains:
  - the job description
  - the selection criteria/candidate rating form
  - the candidate’s resume
  - the interview questions form

- it is also important to make sure that there is coffee or water available for the candidates

It is important to conduct the interview in a pleasant and professional manner.

- The interview should include:
  - an introduction
  - interview questions interview wrap-up
  - references
  - job-related tests

Following each interview the selection committee must come to consensus on the rating of the candidate.

- following each interview, the Selection Committee Members should compare their notes and come to a consensus on the rating of the candidate

Once all interviews have been completed, the committee must come to consensus on the top candidate.

- consensus should be reached based on the scoring and taking into consideration employment by-laws and policies
Step 7) Complete reference checks

The next step is to complete reference checks.

- in some cases you may also have to complete criminal records checks
- at least two reference checks should be completed, however, three is preferable
- if one of the references is questionable, further checks should be completed
- two or more poor references indicate a pattern and the candidate should not be considered

A sample reference check form has been included.

Step 8) Make an offer and contact unsuccessful applicants

Once you have determined the top candidate and reference checks are completed, you can proceed with an offer of employment.

- it is also important to let the unsuccessful candidates know how the competition turned out and the reasons why they were not selected
- you can use the information you gathered about the successful candidate to develop a training plan
- you can use the information that you have gained from the unsuccessful candidates to help them with future interviews
Section 3) Samples

Sample Competition File Checklist

By the completion of the recruitment and selection process the competition file should contain the following documents.

Position Title: Heavy Equipment Operator

Position Number: 8999

Date: July 12, 2008

<table>
<thead>
<tr>
<th>Document</th>
<th>On File</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Description</td>
<td>✔️</td>
<td>July 2, 2008</td>
</tr>
<tr>
<td>Selection Committee List</td>
<td>✔️</td>
<td>July 7, 2008</td>
</tr>
<tr>
<td>Selection Criteria Form</td>
<td>✔️</td>
<td>July 7, 2008</td>
</tr>
<tr>
<td>Advertisements and posters</td>
<td>✔️</td>
<td>July 15, 2008</td>
</tr>
<tr>
<td>Resumes and applications from all applicants</td>
<td>✔️</td>
<td>July 12, 2008</td>
</tr>
<tr>
<td>Sample interview question and test forms</td>
<td>✔️</td>
<td>July 19, 2008</td>
</tr>
<tr>
<td>Candidate Interview Question and Test Forms</td>
<td>✔️</td>
<td>July 19, 2008</td>
</tr>
<tr>
<td>Candidate Rating Forms (sealed)</td>
<td>✔️</td>
<td>July 19, 2008</td>
</tr>
<tr>
<td>Staffing Decision Form</td>
<td>✔️</td>
<td>July 19, 2008</td>
</tr>
<tr>
<td>Completed Reference Checks (sealed)</td>
<td>✔️</td>
<td>July 21, 2008</td>
</tr>
<tr>
<td>Completed Criminal Records Check Forms (sealed)</td>
<td>✔️</td>
<td>July 21, 2008</td>
</tr>
<tr>
<td>Copies of Letters to Unsuccessful Candidates</td>
<td>✔️</td>
<td>July 21, 2008</td>
</tr>
</tbody>
</table>
Sample Selection Committee Members Form

Position Title: Heavy Equipment Operator
Position Number: 8999
Date: July 2, 2008

Committee Chairperson
Name: Lacy Anderson
Title: Senior Administrative Officer
Signature: 

Committee Member
Name: Aaron Thule
Title: Community Works Foreman
Signature: 

Committee Member
Name: Daniel Mackenzie
Title: Finance/HR Officer
Signature: 

Community Government
Human Resource Development System
### Sample Selection Criteria/Candidate Rating Form

**Position Title:** Finance Officer  
**Candidate Name:** Johnny Thelon  
**Date:** January 10, 2009

<table>
<thead>
<tr>
<th>Required Criteria</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge of, and ability to conduct bookkeeping including:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>accounts payable</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>accounts receivable</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>general ledgers</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Knowledge of, and ability to use financial management policies and procedures</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Knowledge of and ability to use budgeting and budgeting procedures</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Ability to use a computerized accounting program</td>
<td>✓</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Preferential Criteria</th>
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</thead>
<tbody>
<tr>
<td>Demonstrated knowledge in the areas of:</td>
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<td></td>
</tr>
<tr>
<td>Financial legislation, financial policies and procedures</td>
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<td></td>
</tr>
<tr>
<td>Generally accepted accounting principles</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Bank reconciliations</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Variance and financial reporting</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Cashflow systems</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Year end financial procedures</td>
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<td></td>
</tr>
<tr>
<td>Administration</td>
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<td></td>
</tr>
<tr>
<td>Purchasing</td>
<td>✓</td>
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</tr>
<tr>
<td>Asset management and control</td>
<td>✓</td>
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</table>
**Preferential Criteria (continued)**

<table>
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<tr>
<th>Demonstrated skills in the areas of:</th>
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<tr>
<td>Supervisory skills</td>
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<td></td>
</tr>
<tr>
<td>Listening skills</td>
<td>✔</td>
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<tr>
<td>Financial management skills</td>
<td>✔</td>
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<tr>
<td>Leadership and motivational skills</td>
<td>✔</td>
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<tr>
<td>Written communications skills</td>
<td></td>
<td>✔</td>
</tr>
<tr>
<td>Problem solving and decision making skills</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Team building and relationship building skills</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Computer skills including spreadsheet and wordprocessing applications</td>
<td>✔</td>
<td></td>
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</tbody>
</table>

**Demonstrated attitudes in the areas of (to be confirmed by interviews and reference checks)**

<table>
<thead>
<tr>
<th>Attitude</th>
<th>Yes</th>
<th>No</th>
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</thead>
<tbody>
<tr>
<td>Organized and have a concern for order</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Cooperative and friendly</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Dedicated and hardworking</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Honest</td>
<td>✔</td>
<td></td>
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<tr>
<td>Innovative</td>
<td>✔</td>
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</tr>
<tr>
<td>Positive</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>A team player</td>
<td></td>
<td>✔</td>
</tr>
<tr>
<td>Self confident</td>
<td></td>
<td>✔</td>
</tr>
<tr>
<td>Respectful of others</td>
<td></td>
<td>✔</td>
</tr>
</tbody>
</table>

**Select for Interview:**

Yes:  

No:  

If not selected for an interview brief explain why:
Sample Job Advertisement:

Hamlet of Norhtown

Finance Officer

The Hamlet of Northtown has an exciting opening for a senior officer level position. Reporting to the Senior Administrative Officer, the Finance Officer is responsible for preparing the Hamlet’s budgets, preparing financial reports, providing financial advice, managing all financial and payroll systems and processes, supervising the administrative staff and managing the office.

The candidate must demonstrate knowledge of bookkeeping, financial management and budgeting policies and procedures. The candidate must demonstrate the ability to use a computerized accounting program and have well developed communications skills. Demonstrated supervisory skills and the ability to speak in the Official Language of the region are considered assets.

Salary starts at $40,000 per annum plus an annual northern allowance of $3,500.

Candidates must clearly identify their eligibility to receive priority consideration under By-Law #665 – Employment By-Law.

Closing Date: March 31, 2008

For more information or for a detailed job description contact the Senior Administrative Officer at 867-555-1234

Interested candidates can forward their resumes or applications to:
The Hamlet Office
Box 304
Northtown, NWT
A1A B2B
867-555-1234 (tel)
867-555-4321 (fax)
Sample Completed Selection Criteria/Candidate Rating Form

Selection Criteria/Candidate Rating Form

Position Title: Finance Officer
Candidate Name: Joe Smith
Date: April 5, 20__

<table>
<thead>
<tr>
<th>Required Criteria</th>
<th>Yes</th>
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| Preferential Criteria                        |     |    |
| Demonstrated Knowledge in the areas of:      |     |    |
| Financial legislation, financial policies and Procedures | ✓   |    |
| Generally accepted accounting principles    | ✓   |    |
| Bank reconciliations                        | ✓   |    |
| Variance and financial reporting            | ✓   |    |
| Cashflow systems                            | ✓   |    |
| Year end financial procedures               | ✓   |    |
| Administration                              | ✓   |    |
| Purchasing                                  | ✓   |    |
| Asset management and control                | ✓   |    |
### Preferential Criteria (continued)

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</tr>
<tr>
<td>Respectful of others</td>
<td></td>
</tr>
</tbody>
</table>

### Select for Interview:

**Yes:** ☑️

**No:** □

---

**Explain rationale:** candidate met required competencies for the position and has good computer skills.
Sample Candidate Interview Form

Position Title: Finance Officer

Candidate: Jane Smith

Selection Committee Member: Elizabeth McPherson

Interview Score:

Rating Scale:

1 – Unsuitable Response
2 – Adequate Response
3 – Answer demonstrates good understanding of the question area
4 – Answer demonstrates excellent understanding of the question area

Section 1) Sample General Questions

<table>
<thead>
<tr>
<th>Question 1) Why are you interested in this position?</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anticipated Response:</strong> Candidate should demonstrate interest in finance area and interest in working for community government</td>
<td>4</td>
</tr>
<tr>
<td><strong>Notes on Response:</strong> Wants to work hard to ensure community government runs smoothly and is genuinely interested in the area of finance.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question 2) How would you describe yourself in terms of punctuality and reliability?</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anticipated Response:</strong> Candidate should demonstrate an ability to be at work on time, and attend work on a regular basis</td>
<td>4</td>
</tr>
<tr>
<td><strong>Notes on Response:</strong> Ensures that she shows up on time and attends regularly</td>
<td></td>
</tr>
</tbody>
</table>
Section 2) Sample Knowledge questions

<table>
<thead>
<tr>
<th>Question 4) Explain the process for completing a budget?</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anticipated Response:</strong> Candidate should be able to explain the steps in completing a budget including:</td>
<td>3</td>
</tr>
<tr>
<td>• forecasting revenues</td>
<td></td>
</tr>
<tr>
<td>• forecasting expenditures</td>
<td></td>
</tr>
<tr>
<td>• consulting with managers</td>
<td></td>
</tr>
<tr>
<td>• identifying priority areas</td>
<td></td>
</tr>
<tr>
<td>• preparing a draft budget</td>
<td></td>
</tr>
<tr>
<td>• making revisions to the budget</td>
<td></td>
</tr>
<tr>
<td><strong>Notes on Response:</strong></td>
<td></td>
</tr>
<tr>
<td>Responds fairly well and only fumbles on a few steps (seems nervous). But demonstrates a good understanding of the steps.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question 5) Describe the steps involved in setting up and compiling the general ledger?</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anticipated Response:</strong> Candidate should be able to explain the steps involved in compiling the general ledger including:</td>
<td>3</td>
</tr>
<tr>
<td>• set up chart of accounts</td>
<td></td>
</tr>
<tr>
<td>• input opening entries</td>
<td></td>
</tr>
<tr>
<td>• enter budget</td>
<td></td>
</tr>
<tr>
<td>• verify and input accounts payable and receivable</td>
<td></td>
</tr>
<tr>
<td>• prepare GL listings</td>
<td></td>
</tr>
<tr>
<td>• reconcile GL accounts</td>
<td></td>
</tr>
<tr>
<td>• prepare trial balance</td>
<td></td>
</tr>
<tr>
<td>• reconcile bank statement</td>
<td></td>
</tr>
<tr>
<td>• prepare monthly financial statements</td>
<td></td>
</tr>
<tr>
<td><strong>Notes on Response:</strong></td>
<td></td>
</tr>
<tr>
<td>Demonstrates a good general understanding in setting up and compiling the general ledger. May need a few clarifications on exact detail.</td>
<td></td>
</tr>
</tbody>
</table>
### Section 3) Sample Skills Based questions

<table>
<thead>
<tr>
<th>Question 4) Tell us about a leadership or supervisory experience that you have had and how well you feel you did.</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anticipated Response:</strong> Candidate should honestly describe a leadership or supervisory experience and what they would do the same and what areas they would improve on.</td>
<td></td>
</tr>
<tr>
<td><strong>Notes on Response:</strong> Candidate described her supervisory experience and did very well when explaining how it was handled and what she would do differently if faced with a similar situation in the future.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question 5) Tell us about a situation where you had to solve a problem and how you went about it</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anticipated Response:</strong> Candidate should be able to demonstrate good problem solving skills including ability to identify the problem, analysis the situation, come up with possible solution and recommend appropriate action</td>
<td></td>
</tr>
<tr>
<td><strong>Notes on Response:</strong> Candidate demonstrated strong problem solving skills and ability to work through them.</td>
<td></td>
</tr>
</tbody>
</table>

### Section 5) Sample Attitude Based questions

<table>
<thead>
<tr>
<th>Question 4) Tell of how you have shown respect for others in the workplace in the past?</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anticipated Response:</strong> Candidate should be able to describe ways in which he/she has been respectful in workplace including those of different cultural or ethnic backgrounds.</td>
<td></td>
</tr>
<tr>
<td><strong>Notes on Response:</strong> Candidate demonstrated respectfulness and was able to give several situations in which she demonstrated this.</td>
<td></td>
</tr>
</tbody>
</table>
### Sample Reference Check Form

<table>
<thead>
<tr>
<th>Reference Check Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Candidate: Olivia Bow</td>
</tr>
<tr>
<td>Person Contacted: Johnny Athabasca Telephone #: 867-555-4444</td>
</tr>
<tr>
<td>Relationship to Applicant: Previous Employer</td>
</tr>
</tbody>
</table>

#### 1. Nature of position – Tenant Relations Officer

#### 2. Comparison to other employees at a similar level – Stands out

#### 3. Strong points – Always motivated, willing to work very hard

#### 4. Weaknesses – Sometimes reserved

#### 5. Compatibility with co-workers – Respectful, always helping

#### 6. Compatibility with students and parents – Highly respectful

#### 7. Work habits – Exceptional

#### 8. Potential for advancement – High potential, very innovative

#### 9. Degree of supervision required – Little to none

#### 10. Overall attitude – Very positive, always working to find solutions

#### 11. Overall evaluation of the job performance

#### 12. Is there anything else we should know about the person as a potential employer?

#### 13. Would you rehire the person?

#### 14. General Comments?

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

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## Section 4) Workbook

### Competition File Checklist

The competition file should contain the following documents:

- **Position Title:** 
- **Position Number:** 
- **Date:** 

<table>
<thead>
<tr>
<th>Document</th>
<th>On File</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Selection Committee List</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Selection Criteria Form</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advertisements and posters</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resumes and applications from all applicants</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sample interview question and test forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Candidate Interview Question and Test Forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Candidate Rating Forms (sealed)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staffing Decision Form</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completed Reference Checks (sealed)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completed Criminal Records Check Forms (sealed)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Copies of Letters to Unsuccessful Candidates</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Selection Committee Members Form

Use the following form to identify the Selection Committee Members

Position Title: __________________________________________

Position Number: _______________________________________

Date: _________________________________________________

Committee Chairperson

Name: _________________________________________________

Title: _________________________________________________

Signature: ____________________________________________

Committee Member

Name: _________________________________________________

Title: _________________________________________________

Signature: ____________________________________________

Committee Member

Name: _________________________________________________

Title: _________________________________________________

Signature: ____________________________________________

Committee Member

Name: _________________________________________________

Title: _________________________________________________

Signature: ____________________________________________
Selection Criteria/Candidate Rating Form

Use this form to determine the Selection Criteria and to Rate the Candidates (make additional copies if necessary)

Position Title:  

Candidate Name:  

Date:  

<table>
<thead>
<tr>
<th>Required Criteria (Candidates must have these qualifications or the stated equivalencies in order to be considered for an interview).</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
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</table>
Chapter 5: Recruitment and Selection

<table>
<thead>
<tr>
<th>Preferential Criteria</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Select for Interview:

Yes: __________________________________________

No: __________________________________________

If not selected for an interview brief explain why:
Job Advertisement Form

1) Name of the Position: ____________________________________________

2) Location of Position ____________________________________________

3) Name of Organization: __________________________________________

4) Briefly describe the reporting relationship and main responsibilities of the position (information to be taken from the job description and the selection criteria):

5) Briefly describe the competencies required for the position including any bona fide occupational requirements:
6) Provide the salary range and/or starting salary:

7) Provide any policy statements such as Employment By-Laws

8) Provide the Closing Date:

9) Tell candidates where they can get more information:

10) Tell candidates where to forward their resumes:
Sample Candidate Interview Form

Position Title: 
Candidate: 
Selection Committee Member: 

Interview Score: 

Rating Scale: 
1 – Unsuitable Response 
2 – Adequate Response 
3 – Answer demonstrates good understanding of the question area 
4 – Answer demonstrates excellent understanding of the question area 

<table>
<thead>
<tr>
<th>Question:</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anticipated Response:</td>
<td></td>
</tr>
<tr>
<td>Notes on Response:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question:</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anticipated Response:</td>
<td></td>
</tr>
<tr>
<td>Notes on Response:</td>
<td></td>
</tr>
<tr>
<td>Question:</td>
<td>Rating</td>
</tr>
<tr>
<td>-----------</td>
<td>--------</td>
</tr>
<tr>
<td>Anticipated Response:</td>
<td></td>
</tr>
<tr>
<td>Notes on Response:</td>
<td></td>
</tr>
<tr>
<td>Question:</td>
<td>Rating</td>
</tr>
<tr>
<td>Anticipated Response:</td>
<td></td>
</tr>
<tr>
<td>Notes on Response:</td>
<td></td>
</tr>
</tbody>
</table>
### Sample Reference Check Form

<table>
<thead>
<tr>
<th>Reference Check Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Candidate:</td>
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<tr>
<td>Person Contacted:</td>
</tr>
<tr>
<td>Relationship to Applicant:</td>
</tr>
<tr>
<td>Nature of position</td>
</tr>
<tr>
<td>Comparison to other employees at a similar level</td>
</tr>
<tr>
<td>Strong points</td>
</tr>
<tr>
<td>Weaknesses</td>
</tr>
<tr>
<td>Compatibility with co-workers</td>
</tr>
<tr>
<td>Compatibility with students and parents</td>
</tr>
<tr>
<td>Work habits</td>
</tr>
<tr>
<td>Potential for advancement</td>
</tr>
<tr>
<td>Degree of supervision required</td>
</tr>
<tr>
<td>Overall attitude</td>
</tr>
<tr>
<td>Overall evaluation of the job performance</td>
</tr>
<tr>
<td>Is there anything else we should know about the person as a potential employer</td>
</tr>
<tr>
<td>Would you rehire the person</td>
</tr>
<tr>
<td>General Comments</td>
</tr>
</tbody>
</table>

__________________________  ______________
Signature                  Date
Section 5) Appendix

5a) Traditional versus Competency Based Recruitment and Selection

Traditional recruitment and selection processes relied on education and experience as criteria for hiring an employee. There are several problems associated with this approach including:

- education and experience are not specific to a job – the fact that a person has a certain diploma or degree does not necessarily mean that they have the required knowledge, skills and attitudes to be successful in a specific job

- it makes the hiring process more difficult – education and experience cannot be used as the basis for asking job related questions

- it cannot be integrated with other parts the human resource development process – education and experience cannot be used as the basis for performance evaluation or training and development

- in many cases it is illegal – the fact that someone does not have specific education and experience does not necessarily mean they cannot do the job; using the traditional system therefore involves systemic barriers to employment and is therefore illegal

Competency based recruitment and selection processes involve hiring candidates who knowledge, skills and attitudes (otherwise known as competencies) that are specific to a position. It does not matter how they achieved those competencies as long as the candidate can demonstrate they have them.

Competency based recruitment and selection is a much better method because it addresses each of the above issues in a fair and systematic way. Competency based recruitment is also much better suited to the north where people have tremendous knowledge, skills and attitudes that have been gained in ways other than through formal education and experience.
5b) Uses of Recruitment and Selection

The primary purpose of recruitment and selection is to find and hire the right person for a job in the right way. But the process also has a number of other uses that are very important including:

- recruitment is a means of advertising not only the job, but also the community government. A good recruitment campaign can serve to gain interest and attract candidates for future positions with the organization

- recruitment is also a good overall way of advertising and marketing the community government

- the selection process allows you to evaluate the top candidate and to find out his/her strengths and weaknesses. This can result in the first stage in the performance review and training and development process

- the selection process can also be used a means of career development for unsuccessful candidates. Candidates who are unsuccessful can be informed what areas they need to develop in order to be successful in the future

- the selection process, if done properly, can also be used to defend the community government from accusations of favouritism and legal challenges to hiring a specific person

5c) The Recruitment and Selection Process

Recruitment and selection can be a time-consuming and extended process. However, the better prepared you are, the smoother the process will be. There are many ways in which the hiring process can take place. The following is a standard process used by many organizations and is based on a competency-based model of human resource development.

**Step 1) Create a Competition File** – the first step is to create a competition file as soon as you know that a staffing competition is about to take place. The competition file is critical since it will hold all the necessary and confidential documents for the competition.
Step 2) Form a Selection Committee – the next step is to form a selection committee. This committee should include no more than four people and include the supervisor, a senior manager and the person responsible for human resources. It may also include a Community or Council representative and/or an industry expert.

Step 3) Establish the Selection Criteria – the selection criteria is critical since it is the basis for recruitment and selecting the individual. The selection criteria consist of the knowledge, skills and attitudes required to be competent in the position and must be related to the current job description.

Step 4) Advertise the Position – creating an attractive and realistic advertisement is important as it advertises not only their position but also the community government and the community. Advertising the position can take many forms including posters around the community, radio and TV ads, Internet site postings and newspaper advertising.

Step 5) Select Candidates for Interview – this is one of the most difficult steps in the process since you have to select candidates to be interviewed based on a limited amount of information provided in an application or resume.

Step 6) Interview the Candidate – the secret to interviewing the candidate is to be well prepared including having well designed job related interview questions and tests.

Step 7) Complete reference and criminal records checks – reference checks (and criminal records checks where necessary) are critical as they provide you with information on how the person has performed in the past.

Step 8) Make an Offer and Notify Unsuccessful Candidates – generally the best part of the process is offering the successful candidate the job. One of the hardest parts is notifying unsuccessful candidates. It is important to do this in a respectful and positive manner. The results of the competition should be used for training and development of the successful candidate as well as any employees who were not successful on the competition.
5d) Advertising

Advertising and recruitment can take many forms so it is as important to decide how and where to advertise as it is to write a good, clear ad about the job.

a) Determine where to advertise

Where you advertise will depend largely on where you think you can attract qualified candidates. Many community government positions can be filled with people form the community so there is no need to advertise outside of the community. However, some positions may require specialized skills or knowledge that is not readily available in the local area. For these positions you will have to decide whether to advertise regionally, territorially or nationally.

b) Determine the type of advertising to use

While most people think of employment ads as being in newspapers, there are several other ways to advertise a vacancy including:

- **attending trade and/or career fairs** – trade and career fairs are excellent opportunities for you to recruit future staff and employees

- **using posters in local meeting places** – this is one of the best ways to advertise locally; posters can be placed in such areas as the Coop or Northern Store, town halls, the Municipal or Band Office and so on

- **advertisements on the local radio station** – many northern communities have local radio stations that are willing to broadcast job opportunities

- **professional and trade publications** – professional and trade magazines are useful for filling specialized or hard to fill positions
• **websites** – many northern communities have their own websites where they can also post job ads

• **search consultants** – search consultants may be used for highly specialized positions that are very difficult to fill

• **word of mouth advertising** – word of mouth is still the best way to advertise a position, particularly in the North where people know each other very well

c) Prepare the job advertisement and/or poster

Once you have decided how and where to advertise the position, it is possible to create a job advertisement. Job advertisements must be based on the information in the job description and in the selection criteria.

Job ads should contain at least the following information:

- title and location of the position
- name of the community government or organization
- a brief description of the responsibilities and duties
- competencies required for the position
- salary range
- where to send resumes
- closing date of the competition

If the position is to be advertised outside of the community, it should also include some information about the community and the organization.

Keep the following in mind when you are preparing the ad:

**Make the ad clear and concise** – you want to get as much information in as few words as possible.
Make the ad graphically appealing – your ad will have to compete with several others to catch the attention of potential candidates, one way to do this is to use graphics such as logos, borders, bullets and other icons.

Don’t try to oversell the job or the community government – you should be both positive and realistic in your ad in order to attract candidates who have a realistic view of the north and an understanding of some of the personal and professional challenges they will face.

Avoid the use of jargon and acronyms – many people will not be familiar with jargon and acronyms (such as LHO.)

By using these tips, you will be able to write effective ads that can be placed in a variety of media.

5e) Interviewing

Following is the recommended process for conducting a successful interview.

a) Develop interview questions and tests

Creating good interview questions and tests is critical to conducting a successful interview. Questions and tests must be directly related to the job or the work situation and cannot include areas as identified under the prohibited grounds for discrimination. The job description is generally the best source of information for developing question areas and topics, however, other documents such as position profiles, occupational standards/dacum charts and training needs assessment forms can also be used.

Questions and tests should cover all of the important areas of the job including:

- the candidate’s interest in the job
- the qualifications of the candidate
- the candidate’s knowledge and skills, and
- the personal suitability of the candidate
The Committee should also develop different types of interview questions such as:

**General Information** – general information questions are used to get a better understanding of the candidate and his/her background. These types of questions are also useful for finding out why a candidate is interested in the position and why the candidate feels that he/she is a good candidate for the job. General information questions may include:

- Tell us about your background and how it relates to this position?
- Why are you interested in this position?
- What are your career goals and how would this position help you to achieve them?

**Situational Questions** – situational questions can be used to see how a candidate may respond in a real life situation. It provides the Committee with insight into how the candidate thinks when faced with particular situations. An example of a situational question for a Finance Officer may be:

- You have been asked to prepare the annual budget. What steps would you take to ensure the budget is completed in on time?

**Experiential Questions** - many organizations now use experiential (or behaviour based) questions. These types of questions are used to determine what the candidate has done in similar situations in the past. Experiential questions are considered the most reliable since past behaviour is generally the best indicator of future actions. It is also easier to ask follow-up questions and easier to conduct reference checks since you can verify what the candidate has told you with the reference. Examples of experiential questions include:

- tell me how you have handled a situation where a vendor or client is unhappy because he/she feels that he/she was not paid properly or on time
Job Related Tests – job related tests are used to test a candidate’s knowledge and skills in specific areas. Job related tests are generally good indicators of how the candidate will perform in the job. An example of a job related test for a finance officer is to ask the candidate to review a financial statement and tell analyze how well the community government is doing in terms of fiscal management.

Once the questions have been created, a pass/fail mark should be assigned. The mark is generally set at 60 to 70%. The questions can then be placed on a Candidate Interview Question Form. During the interview, each Member of the Selection Committee should have a copy of the Candidate Interview Question Form for each candidate.

b) Prepare for the Interview

It is important to be well prepared for the interview before the interview starts. Preparing for the interview includes making sure that each committee member has an interview package for each candidate. The interview packages should include:

- the job description
- the selection criteria/candidate rating form
- the candidate’s resume
- the interview questions form

The selection committee should also meet at least ½ hour prior to the start of the interview to decide which members will ask which questions and to review all of the material.

It is also important to make sure that there is coffee or water available for the candidates and the committee members and that the interviews are being held in a secure and confidential area. Remind the committee members that everything that is said in the interview is strictly confidential and is not to be repeated outside of the interview room.
c) Conduct the Interview

It is important to conduct the interview in a pleasant and professional manner. Interviews should not be seen as stress tests, but as an exchange of information between the Committee Members and the candidates. Most candidates will want to get as much information from you as you want to get from them. The interview should include:

a) **an introduction** – the candidate should be introduced to each member of the Selection Committee and be informed about the interview process

b) **interview questions** - in order to be fair, all candidates must be asked the same set of questions, however, you may want to ask different follow-up or probing questions for each candidate depending on his/her response

c) **interview wrap-up** - the Chairperson should ask the candidate if he/she has any questions at the completion of the interview

d) **references** - the Chairperson must ask the candidate for references and to sign a Criminal Records Check form (if necessary for the position) References must include the current and/or most recent supervisor. In some cases the candidate may not want to give this person’s name since he/she may still be working with the organization. In these cases the Chairman should let the candidate know that this is acceptable but that the Committee will want to speak to the current supervisor before making a final decision

e) **job-related tests** – have the candidate go to another area to complete any job related tests

f) **consensus on the rating of the candidate** - following each interview, the Selection Committee Members should compare their notes and come to a consensus on the rating of the candidate. It is important to do this right after the interview so that the responses are fresh in everyone’s minds
d) Provide Information to the Candidate

It is also important to provide the candidate with good information so that he/she can make an informed decision about the job. You do not want to hire someone only to have him or her resign within six months because the job is not what he or she expected.

Information to give the candidate should include:

- **salary range and standard benefits** – the benefits that are included with the position such as insurances, dental plan and so on

- **availability of housing and housing conditions** – whether housing is provided or available in the community, the cost of housing and the cost of heat and utilities

- **information about the job** – provide a copy of the job description and a list of goals and objectives of the DEC

- **special or unique challenges and opportunities** – what will make the job exciting and challenging

If possible, this information should be provided in a package that is sent to the candidates prior to the interview.

The committee must come to consensus on the top candidate based on the scoring and taking into consideration Employment By-Laws or Affirmative Action policies.
Chapter 6) Orientation

Section 1) Background Information

The orientation process is the way in which new employees become familiar with their new job and the workplace. Believe it or not, all organizations have an orientation process. The typical orientation process is to show the new employee their desk, their phone and computer, usually where the washroom is and whom they sit beside, and then they are left to their own devices. Of course some organizations don’t even go that far.

An orientation program is a systemic way for employers to introduce the new employee to the job and workplace and to make sure that he/she is comfortable in the new environment in as short a time as possible.

Why Orientation Is Important

Orientation is important to human resource development because it helps new employees become comfortable in their new position.
studies have shown that the highest rate of turnover occurs within the first six months of employment

orientation programs can help to reduce this turnover by making employees feel more at home in the workplace in a shorter period of time

establishing an orientation program will help to alleviate “new job stress”

orientation programs also allow employees to become more productive in a shorter period of time

orientation is also important because it introduces the employee to the rules and culture of the organization

Who Should be Involved in Orientation Programs

The key people who should be involved with the orientation program are:

- the senior manager to welcome the person on behalf of the organization and provide information about the organization, workplace rules and so on
- the supervisor to provide information about the workplace, introduce the person to staff and provide information about the job
- the human resources specialist to provide information about pay and benefits, leave entitlements, pensions and so on
- a member of the Board, Association or Council to welcome the new employee
When Should the Orientation Program Take Place

An orientation program should start the day that the new employee accepts the position.

- as part of the orientation program the new employee should be provided with some basic information about the organization such as the organization structure, organizational rules and information about the job and the pay and benefits
- the orientation should include introductions to staff, showing the employee around the office and providing the employee with time to meet with the Senior Manager and the supervisor

The Uses of an Orientation Program

The primary purpose of an orientation program is introducing the new employee to the job and the workplace and to make him/her comfortable.

- other important purposes include:
  - reducing employee turnover – most employee turnover occurs within the first six months of work
  - reducing errors – employees who are familiar with the work environment and the job make fewer mistakes
  - saving time – employees who have been given an orientation spend less time trying to figure out how things work and more time being productive
develop clear job and organizational expectations – employees are less likely to end up doing the wrong thing and/or doing the right thing in the wrong way

introduce the employee to the culture of the workplace – it is important for new employees to have an understanding of both the culture of the workplace and the cultures of the people that work there

Tools and Resources

There are a number of tools and resources that you can use to assist you in the staffing process. These tools and resources include:

- **this manual and workbook**: you can use this manual and workbook to develop your own orientation program
- **current job descriptions**: current job descriptions should be included in the orientation program
- **regional MACA staff**: regional MACA staff can also help you to develop an orientation program
Section 2) How to Guide

Orientation programs consist of essential information that employee needs to be comfortable and productive in the workplace.

- not all information should be provided at once, as it will result in information overload
- all important information should be provided to the employee in a booklet or handbook
- Orientation programs should include information on the following topics:
  - **organizational matters**: the employee should be introduced to the purpose and structure of the organization
  - **job related matters**: the employee should be provided with specific information about his/her job
  - **employment related matters**: the employee should be introduced to matters related to employment
  - **general introductions**: it is important to introduce new employees to others in the workplace so they feel at home as soon as possible

---

Sample Sheet

A sample Orientation Checklist has been included in the Samples Section.
Step 1) Prepare an Orientation Folder

It is important to have the information the employee will need in a simple format that the employee can review at his/her leisure. Information to put in the folder includes organizational, job related and general employment information.

Organizational Information:

- history and structure of the community government (include an organizational chart)
- organizational vision, mission, mandate, principles, values, goals and objectives
- rules of the organization
- programs and services provided by the organization

Job Related Information:

- a current job description
- relationship to other jobs
- supervisory positions
- layout of physical facilities and equipment
- important processes and procedures (i.e. how and where to get tools, supplies, etc.)
- safety procedures and processes

General Employment Information related matters

- pay scales
- probationary period
- disciplinary process
- training and development procedures
- performance appraisals procedures
- rules of the organization
- benefits including pensions, insurances and so on
- entitlements such as rest breaks, holidays (including process for applying for holidays)
Step 2) Introduce the Employee to Others

Even though the new employee is likely to know most, if not all of the other employees, he/she should be taken around to let everyone know he/she has started and to help build a sense of team.

- at the same time it is important to let the employee know where things are such as washrooms, supplies, filing cabinets and other materials and resources that he/she will need as part of the job

- the employee should also be formally introduced to others that he/she will be working with on a regular basis such as Regional MACA Staff, contractors and suppliers, other government officials and so on

Step 3) Go Over Important Information

Before the new employee starts the job, the supervisor should sit down with him/her to go over important aspects of the job.

- this includes a review of the job description, providing the employee with a performance evaluation form and training needs assessment form and going over the rules of the office

- the senior manager should also spend some time with the supervisor and the employee to go over the mission, mandate, goals and objectives of the organization as well as the organizational structure
Step 4) Sign Up for Benefits and Entitlements

An important part of the orientation process is to ensure the employee is set up on the pay and benefits systems and that he/she signs all the necessary benefits paperwork.

- this should be done with the supervisor and the person responsible for administrating pay and benefits

Step 5) Follow-Up Sessions

Follow-up orientation sessions should be scheduled with the employee after one to two weeks, one month and after six months.

- this will provide the employee with a scheduled time to ask any questions they have and to clarify policies and procedures
- at the six-month orientation session you may want to complete a performance appraisal and training needs assessment form

Tip

Since the highest turnover rates are within the first 6 months of employment, it is important for employees to feel comfortable in their new job. Follow-up sessions ensure that employees are adjusting well to their new job.
### Section 3) Samples

## Orientation Program Checklist

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organizational Information:</strong></td>
<td></td>
</tr>
<tr>
<td>History of the community government</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Structure of the community government including the Council or Board structure (organizational chart)</td>
<td>Jan 11, '04</td>
</tr>
<tr>
<td>Organizational vision, mission, mandate, principles, values, goals and objectives</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Rules of the organization</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Programs and services provided by the organization</td>
<td>Jan 11, '04</td>
</tr>
<tr>
<td><strong>Job Related Information:</strong></td>
<td></td>
</tr>
<tr>
<td>A current job description</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Layout of physical facilities and equipment</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Safety procedures and processes</td>
<td>Jan 11, '04</td>
</tr>
<tr>
<td><strong>General Employment Information related matters:</strong></td>
<td></td>
</tr>
<tr>
<td>Pay scales</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Probationary period</td>
<td>Jan 11, '04</td>
</tr>
<tr>
<td>Disciplinary process</td>
<td>Jan 11, '04</td>
</tr>
<tr>
<td>Training and development procedures</td>
<td>Jan 11, '04</td>
</tr>
<tr>
<td>Performance appraisals procedures</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Benefits information</td>
<td>Jan 10, '04</td>
</tr>
<tr>
<td>Entitlements such as rest breaks, holidays (including process for applying for holidays)</td>
<td>Jan 10, '04</td>
</tr>
</tbody>
</table>
## Orientation Program Checklist
The following process will be used to orient new staff to the workplace

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduce employee to co-workers and workplace</td>
<td></td>
</tr>
<tr>
<td>Make formal introductions to:</td>
<td></td>
</tr>
<tr>
<td>Senior Officer</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Co-workers</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Representatives from other governments and organizations</td>
<td>Jan 12, 04</td>
</tr>
<tr>
<td>Vendors, contractors and other</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Show employee around the office including:</td>
<td></td>
</tr>
<tr>
<td>Washrooms</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Supply areas</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Tools/equipment areas and storage</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Filing cabinet</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
<tr>
<td>Go over important information with the employee including:</td>
<td></td>
</tr>
<tr>
<td>Job description, performance appraisal and training needs assessment process</td>
<td>Jan 11, 04</td>
</tr>
<tr>
<td>Mission, mandate, goals and objectives</td>
<td>Jan 11, 04</td>
</tr>
<tr>
<td>Organizational structure</td>
<td>Jan 11, 04</td>
</tr>
<tr>
<td>Organizational rules</td>
<td>Jan 11, 04</td>
</tr>
<tr>
<td>Review safety rules and information</td>
<td>Jan 12, 04</td>
</tr>
<tr>
<td>Other</td>
<td></td>
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</tbody>
</table>
## Orientation Program Checklist

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Completed</th>
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<tbody>
<tr>
<td>Go over benefits and entitlement information</td>
<td></td>
</tr>
<tr>
<td>Ensure employee signed up on pay system</td>
<td>Jan 11, 04</td>
</tr>
<tr>
<td>Review and sign up for benefits</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Review entitlements</td>
<td>Jan 11, 04</td>
</tr>
<tr>
<td>Review personnel policies and procedures</td>
<td>Jan 11, 04</td>
</tr>
<tr>
<td>Vendors, contractors and other</td>
<td>Jan 10, 04</td>
</tr>
<tr>
<td>Schedule follow up sessions:</td>
<td></td>
</tr>
<tr>
<td>Two-week follow-up meeting</td>
<td>Jan 24, 04</td>
</tr>
<tr>
<td>One month follow up meeting</td>
<td>Feb 10, 04</td>
</tr>
<tr>
<td>Six months follow-up meeting including performance review and training needs assessment</td>
<td>Jul 10, 04</td>
</tr>
</tbody>
</table>
Section 4) Workbook

In the following chart, develop your own orientation checklist. (make copies as required).

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Completed</th>
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</table>
Chapter 7) Performance Evaluation

Section 1) Background Information

Everyone likes to be praised for what they do. At the same time, while very few people like criticism, most people want to know what they could do better. The purpose of performance evaluation is to let employees know what they are doing well and what areas need improvement.

For the employee this means that he/she will have a chance to get a pat on the back for things that are done well and work on areas that need improvement. For the organization, performance evaluation is an opportunity to congratulate staff for what they do well and develop strategies to allow employees to be even more effective in their jobs.

Why Performance Evaluation Is Important

Performance evaluation is important because people like to know how they are doing in a job.

- people feel better and are more productive if they are secure that they are doing the right thing in the right way

- in many organizations, people are not sure if they are doing a good job – and in some cases, they are not even sure what their job is
Performance evaluation is also important for the community government because it leads to increased productivity and efficiency.

- it allows the community government to identify areas of improvement for each employee and develop strategies to help employees improve.
- community governments can also recognize and reward employees for doing a good job.

Who Should be Involved in the Performance Evaluation Process

In most organizations the performance evaluation is completed by the supervisor and the employee.

- many organizations now involve others in the process such as senior managers, peers and even clients through 360 degree performance reviews.

When Should Performance Evaluation Take Place

A formal performance evaluation should take place at least once a year.

- supervisors should be letting employees know what they are doing well and what they need improvement on throughout the year.
- there should be no surprises when it comes time for the performance evaluation.
New employees should be provided with a performance evaluation form as soon as they are hired.

- this will let them know what they will be evaluated on
- the initial performance evaluation should take place six months after the employee is hired, especially if there is a probationary period

Tools and Resources

There are a number of tools and resources that you can use to assist you in the performance evaluation process.

- this manual and workbook: you can use this manual and workbook each time you need to conduct a performance evaluation
- current job descriptions – the performance evaluation process must be tied directly to the current job description
- community government training needs assessment tool – is an excellent resource for identifying performance factors
- occupational standards/DACUM charts - occupational standards/DACUM can also be used to identify performance factors and competencies
Section 2) How to Guide

Performance evaluation should be handled in a positive and sensitive manner.

- performance evaluations should be seen as ways to help employees and not as ways to criticize or punish staff
- there are four steps in the performance evaluation process

Step 1) Define Performance Expectations

The first step is to define the performance expectations for the position.

- it is very difficult for employees to do a good job if they don’t know what they are being rated on
- defining the performance expectations is therefore a critical step in the performance evaluation process

Performance expectations must come directly from the job or the work environment and must relate to the job description in some way.

- much of this work has already been done through the Community Government Training Needs Assessment Forms, and Occupational Standards/DACUM Charts
- performance expectations should be grouped into major categories with related tasks
- the employee can then be rated against the major category or each individual task within the category

Sample Sheet

A sample Performance Evaluation Form has been included in the Samples Section.
• the performance expectations should be placed on a performance evaluation form

• employees should be provided with a performance evaluation form for their position as soon as they are hired

**Step 2) Rate the Employee**

The next step is rate the employee according to the performance evaluation form.

• both the supervisor and the employee should complete a rating

• the Supervisor’s rating should be based on documented evidence of the employee doing things well and areas that need improvement

• it is important to have specific examples that can clearly demonstrate the reasons for the supervisor’s evaluation

• it is also important for the supervisor to discuss the employee’s performance throughout the year - there should be no surprises at the time of the performance evaluation
Step 3) Hold a Performance Evaluation Meeting

The third step is to hold a performance evaluation meeting with the employee.

- the supervisor should be ready to discuss the ratings, have concrete examples to back up the ratings and be prepared to consider the employee’s self-appraisal

- it is important to allow the employee to have input into the appraisal and be as flexible as possible in giving a final rating

- the final rating for each performance factor, however, is up to the supervisor

During the meeting the supervisor and the employee should also develop goals and objectives for the coming year.

- there should be no more than five or six goals.

- the supervisor and the employee should also develop strategies that will help the employee improve in areas where he/she needs further development.

Step 4) Finalize the Evaluation

The last step is to finalize the appraisal.

- the supervisor and the employee should sign the appraisal

- the employee should be given an opportunity to comment on the appraisal and say whether he/she agrees with it

- the appraisal should then be signed by the senior manager and placed on the employee’s file
Section 3) Samples

Hamlet of Northtown
Employee Appraisal Form

1) Personal Information

Name: Joe Smith
Title: Finance Officer
Period Covered:
From: April 1, 2006 To: March 31, 2007

2) Rating Scale

1. Needs Significant Improvement – employee is unable to complete task or perform function in a satisfactory manner even with assistance

2. Need Improvement – employee can complete task or perform function with considerable assistance

3. Satisfactory – employee can complete task or perform function in a satisfactory manner with little or no assistance

4. Very Good – employee consistently complete task or perform functions in an above average manner with little or no assistance

5. Outstanding – employee consistently completes task or performs function at a very high level with little or no assistance
3) Performance Rating

<table>
<thead>
<tr>
<th>Category</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budgeting, financial reporting and financial advice</td>
<td>3</td>
</tr>
<tr>
<td><strong>Tasks/Competencies</strong></td>
<td></td>
</tr>
<tr>
<td>Assist with development of the capital plan</td>
<td>3</td>
</tr>
<tr>
<td>Analyze historical data</td>
<td>3</td>
</tr>
<tr>
<td>Estimate annual revenues</td>
<td>4</td>
</tr>
<tr>
<td>Prepare and submit budgets for approval</td>
<td>2</td>
</tr>
<tr>
<td>Monitor hamlet revenues</td>
<td>3</td>
</tr>
<tr>
<td>Prepare financial reports (income statements, balance sheets and variance reports)</td>
<td>3</td>
</tr>
<tr>
<td>Prepare financial reports for funding agencies</td>
<td>3</td>
</tr>
<tr>
<td>Provide financial advice</td>
<td>2</td>
</tr>
<tr>
<td>Review funding options and proposals</td>
<td>3</td>
</tr>
</tbody>
</table>

Comments:
Joe is doing a satisfactory job of preparing financial reports. With training and development Joe will improve in this area.

<table>
<thead>
<tr>
<th>Category</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manager Hamlet financial transactions</td>
<td>4</td>
</tr>
<tr>
<td><strong>Tasks/Competencies</strong></td>
<td></td>
</tr>
<tr>
<td>Ensure A/P, A/C, revenue and GL are processed and maintained</td>
<td>4</td>
</tr>
<tr>
<td>Set up Chart of Accounts</td>
<td>5</td>
</tr>
<tr>
<td>Make corrections to entries</td>
<td>4</td>
</tr>
<tr>
<td>Implement cash controls and manage cash flow</td>
<td>5</td>
</tr>
<tr>
<td>Prepare trail balances and reconcile bank statements</td>
<td>4</td>
</tr>
<tr>
<td>Respond to customer inquiries</td>
<td>3</td>
</tr>
<tr>
<td>Prepare aged listings</td>
<td>4</td>
</tr>
<tr>
<td>Prepare monthly financial statements</td>
<td>5</td>
</tr>
<tr>
<td>Manager year-end close-out</td>
<td>4</td>
</tr>
</tbody>
</table>

Comments:
Joe has done a very good to outstanding job of managing hamlet financial transactions. No further training or development is required.
4) Goals and Objectives

The goals and objectives for Joe for the coming period are:

1) to maintain the quality of standards in the management of financial transactions
2) to improve in the financial and budgeting areas by ensuring that budget and financial reports are prepared in a timely and accurate manner
3) to ensure that financial staff have opportunities for training and development throughout the year

5) Future Plans

Joe is interested in the Senior Manager position. Joe shows good potential for this position, however, he needs to develop his budgeting and analytical skills, communications skills and supervisory skills. A training and development plan will be established to allow Joe to develop in these areas.

6) Employee Comments

I agree with the comments made in this appraisal.

Supervisor’s Signature

This is to confirm that the above performance evaluation is accurate and complete.

Name: ____________________________
Title: ____________________________
Date: ____________________________

Employee’s Signature

This is to confirm that I have read the above performance evaluation.

Name: ____________________________
Title: ____________________________
Date: ____________________________
Section 4) Workbook

Using the following, develop a performance appraisal form (make copies of pages if required).

Hamlet of Norhtown
Employee Appraisal Form

1) Personal Information

Name: _____________________________________________________________

Title: _____________________________________________________________

Period Covered:

From: _______________ To: _______________

2) Rating Scale

1. Needs Significant Improvement – employee is unable to complete task or perform function in a satisfactory manner even with assistance
2. Need Improvement – employee can complete task or perform function with considerable assistance
3. Satisfactory – employee can complete task or perform function in a satisfactory manner with little or no assistance
4. Very Good – employee consistently complete task or perform functions in an above average manner with little or no assistance
5. Outstanding – employee consistently completes task or performs function at a very high level with little or no assistance
<table>
<thead>
<tr>
<th>Category</th>
<th>Rating</th>
</tr>
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<tbody>
<tr>
<td>Tasks/Competencies</td>
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</table>

Comments:

<table>
<thead>
<tr>
<th>Category</th>
<th>Rating</th>
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<tbody>
<tr>
<td>Tasks/Competencies</td>
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</tbody>
</table>

Comments:
4) Goals and Objectives

5) Future Plans

6) Employee Comments

<table>
<thead>
<tr>
<th>Supervisor’s Signature</th>
<th>Employee’s Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>This is to confirm that the above performance evaluation is accurate and complete.</td>
<td>This is to confirm that I have read the above performance evaluation.</td>
</tr>
<tr>
<td>Name: ___________________</td>
<td>Name: ___________________</td>
</tr>
<tr>
<td>Title: ___________________</td>
<td>Title: ___________________</td>
</tr>
<tr>
<td>Date: ___________________</td>
<td>Date: ___________________</td>
</tr>
</tbody>
</table>
Chapter 8) Training and Development

Section 1) Background Information

Training and development is the means to ensure that employees have the required knowledge, skills and attitudes required for their current position and that they are developing the competencies required for future positions. Training and development can take many forms including:

- **Courses**: a complete series of studies or lectures.

- **Workshops**: training session lasting a few hours to a few days.

- **Self-directed training**: learners complete training on their own. They decide what they will study and how they will go about learning it.

- **Distance learning**: students complete courses by long-distance techniques with assistance via regular mail, telephone and/or internet. Course material can be printed or electronic, for example it could be textbooks, CD-ROM’s, DVD’s and interactive websites.

- **On the job training**: learning vocational and/or practical skills and knowledge in the actual work environment, utilizing the actual tools and equipment necessary for the position.
• **Work experience:** means the individual has experience working in that field.

• **Practicum:** is a post-secondary course in which a student earns credit for gaining supervised work experience in their field of study.

• **Mentoring:** learning from an experienced individual.

• **Apprenticeship:** on-the-job training, usually in trades, in which the apprentice will work for the employer who trains them for a certain period after they are fully trained. In some cases the employer will allow the apprentice to attain formal education at a vocational college while still being paid.

• **Coaching:** guidance, lessons or training in a sports activity or from co-workers.

• **Conferences:** formal meeting for consultation or discussion.

• **Meetings:** people gathering together to discuss or decide on issues.

• **Online courses:** courses that are taught over the internet.

Selecting the appropriate form of training will depend on the situation and needs of the learner and the cost and availability of training programs. However, it is important to select a type of training that:

• the learner is comfortable with and can be successful at the training
• the training will meet the stated training objectives
• the training will increase the productivity, efficiency and effectiveness of the employee and the organization
Why Training and Development Is Important

Training and development is absolutely critical in the north.

- many northerners enter the workforce without the competencies required for the position
- community governments need to be committed to helping local people access and become successful in available positions
- training local people also allows them to move into more senior positions, which creates openings for others within the community

Who Should be Involved in the Training and Development Process

Training and development is the responsibility of community government, the supervisor and the employee.

- together the senior officer, the supervisor and the employee need to identify training needs
- they must also work together to establish a training and development plan and identify suitable training opportunities

When Should Training and Development Take Place

Training and development should be seen as something that happens as a natural part of the workday.

- everything from staff meetings to on the job training to tailgate safety meetings is considered training and development
• formal training opportunities should be made available as often as possible, but at least once a year for each employee

• training needs assessments should be completed on an annual basis

• they can be completed in conjunction with performance evaluations

## Tools and Resources

There are a number of tools and resources that you can use to assist you in the training and development process, however, the key tools to use are:

• **this manual and workbook**: you can use this manual and workbook to develop training and development plans for your staff

• **current job descriptions** – training and development must relate to the job or the work environment or future jobs, otherwise it is a waste of precious training dollars

• **community government training needs assessment** provides community governments with a tool to identify staff training requirements

• **college calendars** – each of the northern colleges distributes a college calendar once a year. Community governments can use these calendars to identify college training programs that will be of benefit to their employees

• **School of Community Government course list** – the School of Community Government also produces a course list that identifies courses put on by the School

• **Regional MACA Offices** – regional MACA Offices are aware of upcoming community government training and development opportunities. Contact their offices for more information on training events scheduled for your region and/or the Territory
Section 2) How to Guide

Training and development is an important part of ensuring that employees have the competencies required to be successful in their jobs.

- training and development is also important to ensure employees have the knowledge, skills and attitudes required to move into more senior positions
- there are four steps in developing a training plan
- training plans should be completed at the same time as performance evaluations

Step 1) Identify Competencies

The first step is to define the competencies for the position.

- competencies are knowledge, skills and attitudes required for the position
- competencies for most community government positions have been identified in the Community Government Training Needs Assessment Tool
- community governments can use this tool to select the competencies for their positions
- you may also want to add other competencies from the job description or from other sources such as Occupational Standards/Dacum Charts
Step 2) Complete the Training Needs Assessment Forms

The next step is for both the supervisor and the employee to complete the training needs assessment form.

- Training needs assessment forms are found in the Community Government Training Needs Assessment Tool.
- Both the supervisor and the employee should complete a rating.
- The assessments can be completed at the same time as the performance evaluations.
- The supervisor's rating should be based on documented evidence of the employee doing things well and areas that need improvement.

Step 3) Hold a Training Needs Assessment Meeting

The third step is to hold training needs assessment meeting with the employee.

- The supervisor should be ready to discuss the assessment, have concrete examples to back up the ratings and be prepared to consider the employee's self-assessment.
- Both the supervisor and the employee should identify possible training opportunities at the meeting.
- Training opportunities must meet the following criteria:
  - That the learner is comfortable with and can be successful at the training.
  - That the training will meet established training objectives, and
that the training will increase the productivity, efficiency and effectiveness of the employee and the organization.

**Step 4) Enter the Information Into the CGTNA Database System (Currently in Design Phase)**

The information from the training needs assessment should be entered into the Community Government Training Needs Assessment Database System.

- the purpose of this system is to identify and track training needs on an individual, community, regional and territorial basis.

- by using this system, communities will be able to identify staff that have similar training needs and identify training opportunities that meet the needs of several employees.
Step 5) Forward the Information to the Regional MACA Office

Providing the regional MACA Office with access to individual and community government training needs will enable them to identify training opportunities for several communities.

- this will result in cost savings through economies of scale
- the Regional MACA Office will also be in a better position to determine the priorities for training and deliver appropriate training events
- the School of Community Government will also be able to use this information on a Territorial wide basis to ensure they are developing and delivering training programs that meet the needs of community governments

Step 6) Develop Training and Development Plans

Training plans should then be developed for each employee.

- the training plan should identify and prioritize the areas that need development
- the plan should also identify training opportunities that meet the training need
- the training plan should be updated each year in conjunction with the training needs assessments
Step 7) Apply for Training

Once training plans are developed, employees should be encouraged to apply for training as it becomes available.

- Training opportunities should be consistent with the needs identified in the training plan and meet the other criteria described above.

- Applications for training must be submitted to the supervisor and should be approved by the senior manager.

Step 8) Evaluate Training

The final step is to evaluate the training. It is important to make sure your community government is getting the best bang for its training buck.

- Good training programs should be used for other employees, while training programs that get a poor evaluation should be avoided in the future.

- Training evaluations should be kept on file so there is an ongoing record of the value of the training.
### Employee Training Application Form

#### 1) Personal Information
- **Name:** Steve Copall
- **Title:** Finance Officer

#### 2) Training Applied for
- **Type of Training:** Finance Training
- **Name of Program:** The Community Government Accounting Cycle II
- **Cost:** $300
- **Location:** Yellowknife

#### 3) Purpose of Training
Identify competencies from the employee’s training plan that will be developed by this training:
- Adjusting and closing entries for Hamlets, Bands and Housing organizations
- and completing monthly accounting procedures and records. Also, the evaluation of petty cash, cash and the internal controls of the organization’s assets.

#### 4) Supervisor’s Signature
- **Name:**
- **Title:**
- **Date:**

#### 5) Senior Officer’s Signature
- **Name:**
- **Title:**
- **Date:**
Training Plan

Employee Name: Steve Copall
Position Title: Finance Officer
Start Date: February 20, 2006
Supervisor: John Painter

Department: Finance
End Date: February 20, 2007
Supervisor Title:

1. During the next year, Steve will gain knowledge and experience in providing general financial reporting services in the areas of caseware/caseview, financial working papers, researching current practices, year-end instructions and FIS. Steve will gain competency in relationship building with peers, prioritizing workload, developing basic letter writing skills and knowledge of ARCS and ORCS.
2. In the following table, provide details about the specific learning activities that will be undertaken by the employee.

<table>
<thead>
<tr>
<th>Learning Activity</th>
<th>Learning Goal</th>
<th>Training Type</th>
<th>Evaluation</th>
<th>Competency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge of Caseware/Caseview</td>
<td>Gain sound familiarity with all aspects of: caseware/caseview</td>
<td>Practical &amp; academic. * An experienced co-worker will coach Steve and he will be required to thoroughly review the Hamlet's Guidelines. * Steve will also attend Finance training course at the SCG training course</td>
<td>Initial review will take place on March 20, 07 and will include feedback from the assigned coach. * Steve will be required to successfully complete the Finance course by March 30</td>
<td>Ability to: * Understand how the numbers flow through the statement * Manipulate and format caseview * Understand how the schedules and statements tie together</td>
</tr>
<tr>
<td>Review Working Papers</td>
<td>Gain sound familiarity with all aspects of: Review of working papers</td>
<td>Practical &amp; academic. * An experienced co-worker will coach Steve and he will be required to thoroughly review the Hamlet's Guidelines. * Steve will also attend Document training course at Aurora College.</td>
<td>Initial review will take place on March 25 and will include feedback from the assigned coach. * Steve will be required to successfully complete the Document course by March 31</td>
<td>Ability to: * Know to question variances from previous year * Reconcile information to identify errors and understand why they occurred * Work with departments to understand and document variances or to correct differences</td>
</tr>
<tr>
<td>Prepare Notes</td>
<td>Gain sound familiarity with all aspects of: Preparing notes</td>
<td>Practical &amp; academic. * An experienced co-worker will coach Steve and he will be required to thoroughly review the Hamlet's Guidelines. * Steve will also attend note-taking training at Academy of Learning</td>
<td>Initial review will take place on April 10 and will include feedback from the assigned coach. * Steve will be required to successfully complete the course by Apr 20</td>
<td>Ability to: * Research current practices * Make comparisons with other provinces/territories</td>
</tr>
<tr>
<td>Year-end Instructions</td>
<td>Gain sound familiarity with all aspects of: Year-end instructions</td>
<td>Practical &amp; academic.</td>
<td>Initial review will take place on March 20 and will include feedback from the assigned coach. Steve will be required to successfully complete the Finance Course by March 30.</td>
<td>Ability to:</td>
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<td></td>
<td>• An experienced co-worker will coach Steve and he will be required to thoroughly review the Hamlet's Guidelines. Steve will also attend Finance training course at SCG training program</td>
<td></td>
<td>• Review instructions to gain understanding of deadlines and importance of these deadlines • Update instructions for changes</td>
</tr>
<tr>
<td>FIS</td>
<td>Gain sound familiarity with all aspects of: FIS</td>
<td>Practical &amp; academic.</td>
<td>Initial review will take place on April 1 and will include feedback from the assigned coach. Steve will be required to successfully complete the Finance Course by April 10.</td>
<td>Ability to:</td>
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<td></td>
<td>• An experienced co-worker will coach Steve and he will be required to thoroughly review the Hamlet's Guidelines. Steve will also attend Finance training course at SCG training course</td>
<td></td>
<td>• Gain a basic understanding of FIS • Learn to prepare JD's in order to process post-closing adjustments • Learn to read FIS reports and question items that may appear unusual</td>
</tr>
<tr>
<td>Office Procedures</td>
<td>Gain sound familiarity with all aspects of: office procedures</td>
<td>Practical &amp; academic.</td>
<td>Initial review will take place on April 10 and will include feedback from the assigned coach. Steve will be required to successfully complete the Admin Assistant Course by April 20.</td>
<td>Ability to:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>An experienced co-worker will coach Steve and he will be required to thoroughly review the Hamlet's Guidelines. Steve will also attend Administrative Assistant training course at SCG training course.</td>
<td></td>
<td>• Develop a good working relationship with financial managers from other departments • Prioritize workload • Develop basic letter writing skills • Gain a basic understanding of ARCS and ORCS</td>
</tr>
</tbody>
</table>

Date: March 1, 2006
### Section 4) Workbook

<table>
<thead>
<tr>
<th>1) Personal Information</th>
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<tbody>
<tr>
<td>Name: __________________________</td>
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<td>Title: __________________________</td>
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<tr>
<th>2) Training Applied for</th>
</tr>
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<tbody>
<tr>
<td>Type of Training: ________________</td>
</tr>
<tr>
<td>Name of Program: __________________</td>
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<tr>
<td>Cost: ___________________________</td>
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<td>Location: ________________________</td>
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<table>
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<tr>
<th>3) Purpose of Training</th>
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<tr>
<td>Identify competencies from the employee’s training plan that will be developed by this training:</td>
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<tr>
<th>4) Supervisor’s Signature</th>
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<td>Name: __________________________</td>
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<td>Title: __________________________</td>
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<td>Date: ___________________________</td>
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<tr>
<th>5) Senior Officer’s Signature</th>
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<tr>
<td>Name: __________________________</td>
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<tr>
<td>Title: __________________________</td>
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<td>Date: ___________________________</td>
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</tbody>
</table>
Training Plan
Template

Employee Name: Department:
Position Title: End Date:
Start Date: Supervisor Title:
Supervisor: 

1. Briefly state the overall results to be achieved by the employee in the training assignment. Such results should flow directly from the primary duties stated in the job description and they should be achievable during the training period.
2. In the following table, provide details about the specific learning activities that will be undertaken by the employee.

<table>
<thead>
<tr>
<th>Learning Activity</th>
<th>Learning Goal</th>
<th>Training Type</th>
<th>Evaluation</th>
<th>Competency</th>
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Chapter 9) Performance Management

Section 1) Background Information

Most people like to do a good job at work. Sometimes people have problems and are unable to complete their job duties. When people do something in the workplace that endangers the organization or another worker the manager must take action to correct the problem. The purpose of performance management is to let workers know what is acceptable and the consequences of the unacceptable behaviour.

Performance management includes the following:

- progressive discipline
- attendance management
- investigations
- suspensions pending investigations

Why Performance Management is Important

Performance Management is important because it contributes to making the organization a better place to work.

- it gives the employee a chance to correct their unacceptable behaviour
- it lets everyone know the expectation in the workplace
Who Should be Involved in the Performance Management Process

The supervisor and the employee are always involved in the performance management process.

- depending on the type of problem and the severity of the problem other people may be involved
- these people can include: a union representative and/or a senior manager

When Should Performance Management Take Place

Performance management should take place as soon as the supervisor learns of the unacceptable behaviour.

- supervisors should let employees know when their behaviour is unacceptable
- when unacceptable behaviour is not dealt with employees get the wrong message and think the behaviour is acceptable
- performance Management should always take place in private

When is a Suspension Pending Investigation Appropriate

Suspension pending investigation is considered when:

- an employee’s continued attendance in the workplace may hinder the investigation
• the employee’s continued attendance presents a risk to the employee or others

• when the alleged actions interfere with the mandate of the department, board or agency, either by damage to the reputation or otherwise

**Tools and Resources**

There are a number of tools and resources that you can use to assist in the performance management process.

• this manual and workbook: you can use this manual and workbook each time you need to conduct a performance management session

**Section 2) How to Guide**

Performance Management should be handled in a timely and sensitive manner.

• employees with performance management problems should be spoken to immediately every time there is a performance management episode

• the number of steps in the performance management process depends on the severity of the problem and then length of service of the employee

• the employee should always be given an opportunity to explain their situation

• for severe infractions such as theft an employee can be immediately suspended or terminated

• there are 4 steps in the normal performance management process
Step 1) Verbal Reprimand

- for most Performance Management problems, employees should be given two or three verbal reprimands
- the verbal reprimands should be given as soon as the manager is aware of the incident
- the verbal reprimand must be given in a private place
- the supervisor must tell the employee that their behaviour is inappropriate and will not be tolerated
- the supervisor should document the discussion including the date, time, and details of the discussion
- the supervisor should clearly indicate that similar situations in the future will not be tolerated and could result in discipline

Step 2) Written Reprimand

- a formal meeting where the employee is given a letter
- the letter should summarize the discussion, outline the problem and indicate that further action will be taken if the behaviour does not improve
- a copy of the letter is placed on the employee’s personnel file

Sample Sheet
A sample letter of Reprimand has been included.
Step 3) Suspension

- suspensions are usually progressive, beginning with one day and proceeding to five and ten days if the behaviour does not improve
- the employee is given an opportunity to explain the situation
- the supervisor recommends suspension to the senior manager
- a meeting is held with the employee
- the employee is given a letter outlining the conditions of the suspension
- a copy of the letter is placed on the employee’s personnel file

Step 4) Dismissal

- the employee has continued to display unacceptable behaviour in the workplace or has committed a very serious act in the workplace
- the employee is given an opportunity to explain the situation
- the employee may be suspended pending investigation
- the supervisor recommends dismissal to the senior manager
- a meeting is held with the employee
- the employee is given a letter outlining the conditions of the dismissal
- a copy of the letter is placed on the employee’s personnel file

Sample Sheet

A sample Notice of Suspension letter has been included.
SAMPLE LETTER OF REPRIMAND

PERSONAL & CONFIDENTIAL

May 30, 2000

Jane Doe
Finance Officer
Northtown

Dear: Ms. Doe

Arriving Late to Work

This will confirm the meeting we had on May 29, 2000 concerning your continuing problem regarding your tardiness.

You were warned orally on May 4, 8, and 15 about being late and you were advised that your failure to correct the problem could result in further discipline. Despite this warning you have continued to arrive late, the latest incident occurring on May 27.

As I have explained to you this type of behaviour is unacceptable. It is your responsibility to correct this problem. If the continual tardiness continues, you will be subject to further disciplinary action.

If you have personal problems that may be affecting your ability to arrive on time you are encouraged to contact your physician or other health care provider.

A copy of this letter will be paced on your personnel file.

Signature of Supervisor

Cc: Personnel File.
SAMPLE NOTICE OF SUSPENSION

PERSONAL & CONFIDENTIAL

June 2, 2000

Jane Doe
Finance Officer
Northtown

Dear: Ms. Cleary

Arriving Late to Work

Your supervisor Donald Harley has informed me that on several occasions you were late for work. You have been warned both orally and in writing on previous occasions about your constant tardiness. The June 1st incident indicates that these warnings have not been sufficient to resolve the problem. Therefore, I have decided to suspend you without pay for 5 working days, commencing on June 5, 2000. You will be expected to report for work at your normal work location and starting time June 12.

This suspension is to ensure that you understand the seriousness of this situation and to convince you of the need to correct the problem. If tardiness continues to be a problem you may be subject to further disciplinary action up to and including dismissal.

If you have personal problems that may be affecting your ability to arrive on time, please contact your physician or other health care provider.

A copy of this letter will be placed on your personnel file.

Signature of Senior Manager

Cc: Personnel File
### DISCIPLINARY ACTION ROLES AND RESPONSIBILITIES

<table>
<thead>
<tr>
<th>FORM OF REPRIMAND</th>
<th>SUPERVISOR</th>
<th>SENIOR MANAGER</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Verbal Reprimand</td>
<td>2-3 verbal warnings, Supervisor must state that behaviour is unacceptable and will not be tolerated. Future episodes will result in disciplinary action up to and including dismissal</td>
<td></td>
</tr>
<tr>
<td>2. Written Reprimand</td>
<td>A formal meeting. Letter should summarize discussion, outline nature of infraction, refer to previous warning(s) and warn against repetition. Letter must indicate that a copy will be placed on the employee’s personnel file.</td>
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<tr>
<td>3. Suspension</td>
<td>Discuss incident with the employee. The employee is given an opportunity to explain and is informed of the intention to recommend suspension. Suspension is recommended to the senior manager. Employee is provided with a letter of suspension with a copy on their personnel file.</td>
<td>Considers the content of the suspension recommendation. Approves/disapproves suspension.</td>
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<tr>
<td>4. Dismissal</td>
<td>Investigate the situation thoroughly. Ensure that previous disciplinary actions are clearly documented. Recommend dismissal to the senior manager.</td>
<td>Evidence must demonstrate that the employee is guilty of misconduct or incompetence. Ensure that progressive discipline has been applied and failed. Ensure proper document is on file.</td>
</tr>
</tbody>
</table>
**DISCIPLINARY ACTION RECORD SHEET**

**NAME:** Jane Doe  
**POSITION:** Finance Officer

<table>
<thead>
<tr>
<th>Disciplinary Action Taken</th>
<th>Verbal Reprimands</th>
<th>Written Reprimand</th>
<th>1&lt;sup&gt;st&lt;/sup&gt; Suspension</th>
<th>2&lt;sup&gt;nd&lt;/sup&gt; Suspension</th>
<th>3&lt;sup&gt;rd&lt;/sup&gt; Suspension</th>
<th>Dismissal</th>
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<tr>
<td>Date/Time of Interview</td>
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<td>May 4</td>
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<td>May 8</td>
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<td>May 14</td>
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<td>May 30</td>
<td>June 2</td>
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<td>Place of Interview</td>
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<td>Office of Supervisor</td>
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<tr>
<td>Reason for interview</td>
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<tr>
<td>(include behaviour requiring correction, results of investigation and dates)</td>
<td>To discuss the continual tardiness of Ms. Doe. It must end and she must start showing up to work on time. Even after 3 verbal reprimands she continued to show up late. She was warned that if she continues, disciplinary action will result.</td>
<td>A formal meeting was held to outline the problem and deliver and explain the letter and the severity of the situation. Previous warnings were brought up and Ms. Cleary was warned against repetition.</td>
<td>The situation was discussed and Ms. Doe was given an opportunity to explain herself. She was also told of the intention to recommend the suspension.</td>
<td></td>
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</tbody>
</table>

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**CGHRDS June 2008**  
Page 193
<table>
<thead>
<tr>
<th>Employee's Response</th>
<th>The employee seemed to take to heart the verbal warnings but then continued to be tardy</th>
<th>The written reprimand seemed to have little effect on the conduct of Ms. Doe.</th>
<th>Ms. Doe accepted the suspension and understood the implications.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Suggested Steps to Correct Problem</td>
<td>If the employee has a condition we are not aware of we advise her to share it with us.</td>
<td>Suggested for Ms. Doe to explain her situation and perhaps we can deal with it.</td>
<td>A 5 day suspension from work.</td>
</tr>
<tr>
<td>Explanation of further action to be taken if behaviour goes uncorrected</td>
<td>A suspension will be considered if the behaviour continues</td>
<td>It was explained that if Ms. Doe continued to be late, then a suspension will be suggested</td>
<td>If this does not work then Ms. Doe was informed she would be suspended a second time.</td>
</tr>
</tbody>
</table>
SAMPLE LETTER OF REPRIMAND

PERSONAL & CONFIDENTIAL

Date

Employee Name
Title
City/Town

Dear:

Subject of Reprimand

This will confirm the meeting we had on (date) concerning your continuing problem regarding (state nature of problem).

You were warned orally on (date or dates) about (state the problem) and you were advised that your failure to correct the problem could result in further discipline. Despite this warning you have continued to (state nature of problem), the latest incident occurring on (date).

As I have explained to you this type of behaviour is unacceptable. It is your responsibility to correct this problem. If (state nature of problem) continues, you will be subject to further disciplinary action.

If you have personal problems that may be affecting your ability to (state nature of problem you are encouraged to contact your physician or other health care provider.

A copy of this letter will be paced on your personnel file.

Signature of Supervisor

Cc: Personnel File
SAMPLE NOTICE OF SUSPENSION

PERSONAL & CONFIDENTIAL

Date

Name of Employee
Title
Department

Dear:

Subject of Suspension

Your supervisor (name of supervisor) has informed me that on (date) you (state nature of incident). You have been warned both orally and in writing on previous occasions about your constant tardiness. The (date) incident indicates that these warnings have not been sufficient to resolve the problem. Therefore, I have decided to suspend you without pay for (one, five, or ten) working days, commencing on (date). You will be expected to report for work at your normal work location and starting time (date).

This suspension is to ensure that you understand the seriousness of this situation and to convince you of the need to correct the problem. If (state nature of problem) continues to be a problem you may be subject to further disciplinary action up to and including dismissal.

If you have personal problems that may be affecting your ability to (state nature of problem), please contact your physician or other health care provider.

A copy of this letter will be placed on your personnel file.

Signature of Senior Manager

Cc: Personnel File
## DISCIPLINARY ACTION RECORD SHEET

**NAME:** __________  **POSITION:** __________

<table>
<thead>
<tr>
<th>Disciplinary Action Taken</th>
<th>Verbal Reprimands</th>
<th>Written Reprimand</th>
<th>1\textsuperscript{st} Suspension</th>
<th>2\textsuperscript{nd} Suspension</th>
<th>3\textsuperscript{rd} Suspension</th>
<th>Dismissal</th>
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<tr>
<td>Date/Time of Interview</td>
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<td>Place of Interview</td>
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<td>Reason for interview (include behaviour requiring correction, results of investigation and dates)</td>
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<td>Employee’s Response</td>
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<tr>
<th>Suggested Steps to Correct Problem</th>
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<tr>
<th>Explanation of further action to be taken if behaviour goes uncorrected</th>
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Section 1) Background Information

The employer should make every effort to provide a fair and safe work environment for all employees. Employees should make every effort to work within the rules and regulations of the workplace. Even with the best of intentions by both parties, the employer and the employee may have differences of opinion that impact the work environment.

The first option for resolving any disagreement between the employer and the employee is to meet and discuss the situation. Most times an agreement can be reached to resolve the dispute. When the supervisor and employee are not able to reach an agreement through discussion mediation through an outside party is sometimes an option.

When there is a disagreement of the interpretation of the collective agreement, an act, a regulation or a disciplinary action the employee or their union or association may file a grievance or complaint.

Grievances and Complaints include the following:

A grievance is a statement of dissatisfaction, usually by an individual but sometimes by the union or management, concerning the interpretation or application of a provision of an act, or regulation, direction or other instrument made or issued by the Employer dealing with the terms or conditions of employment, a provision of the Collective Agreement or Arbitral Award, disciplinary action, dismissal and letters of discipline.
Chapter 10: Dispute Resolution

Why Dispute Resolution is Important

- It helps make the organization a better place to work.
- It gives employees and employers an opportunity to discuss and review the facts of a situation and reach an agreement.
- It contributes to due process.
- It contributes to making the organization a better place to work.

Who Should be Involved in the Dispute Resolution Process?

- The supervisor and the employee should always be involved in the Dispute Resolution process.
- Other employees may be involved depending on the nature of the dispute; such as disputes between two employees would include the employees and the supervisor.
- Mediation of disputes include the individuals involved in the dispute.
- The Dispute Resolution is important because it helps make the organization a better place to work.

Why Dispute Resolution is Important

A grievance arbitration is the procedure by which a board or single arbitrator, acting under the authority of both parties, hears both sides of the controversy and issues an award, usually in writing, that is binding on the parties. Grievance arbitration is the process similar to grievance arbitration. However, witnesses are not called. Instead, Management and then Union or Association presents an agreed statement of facts to the arbitrator. Expedited arbitration is not precedent setting and is used for less complicated cases such as disputes regarding the interpretation of a clause or article in the Collective Agreement.

An expedited arbitration is the procedure by which a board or single arbitrator, acting under the authority of both parties, hears both sides of the controversy and issues an award, usually in writing, that is binding on the parties. Grievance arbitration is the process similar to grievance arbitration. However, witnesses are not called. Instead, Management and then Union or Association presents an agreed statement of facts to the arbitrator. Expedited arbitration is not precedent setting and is used for less complicated cases such as disputes regarding the interpretation of a clause or article in the Collective Agreement.
When Should Dispute Resolution Take Place

Employers and employees should make every effort to resolve differences in an amicable fashion as soon as a situation arises.

- the parties involved should make every effort to meet and review the facts as soon as becoming aware of the situation
- providing an opportunity to immediately discuss the issue can often prevent an escalation of the issue to the next level
- when the individuals involved can not reach an agreement often an impartial mediator can assist in resolving the difference and improving the work relationship of the individuals involved
- formal grievances and complaints should be used as a last resort when the parties are unable to resolve their differences through other methods
- grievances and complaints should be filed as soon as the parties are unable to come to an agreement and within the allowable time limits
- time limits for replying to grievances and complaints are usually outlined in the collective agreement
- time limits for replying to grievances and complaints can be extended on agreement between the parties involved
Tools and Resources

There are a number of tools and resources that you can use to assist in the dispute resolution process.

- this manual and workbook: you can use this manual and workbook each time you need to resolve a dispute

Section 2) How to Guide

Dispute Resolution should be handled in a timely and sensitive manner.

- the number of steps in the dispute resolution process depends on when an acceptable solution can be reached

- the employee and the employer should make every effort to resolve the issue before a formal grievance or complaint is presented through meeting and discussing the situation and correcting any obvious omissions by either party

- mediation can always be considered as a means to resolve a dispute in the workplace especially if there appears to be ongoing tension between two or more parties

- the grievance process can be used to settle disputes concerning the interpretation of application of an act, or regulation, direction or other instrument made or issued by the Employer dealing with the terms or conditions of employment, a provision of the Collective Agreement or Arbitral Award, disciplinary action, dismissal and letters of discipline

- the grievance process can start at any level

The number of steps in the formal grievance process depends on the organization. The first level is normally the supervisor. The organization may have two or three levels depending on the organization. The final level of the grievance process is arbitration.
Step 1) First Level Grievance

- the grievance is presented by the griever or their representative to the griever’s immediate supervisor
- the supervisor acknowledges acceptance of the grievance in writing
- the supervisor investigates the circumstances of the grievance, gathering all information pertinent to make a decision on the grievance
- the supervisor checks the applicable acts and regulations and meets with the griever and other parties as required
- the supervisor replies to the grievance within the time limit by granting or denying the grievance depending on the facts
- the grievance reply clearly outlines the reasons for allowing or denying the grievance
- the supervisor may request an extension to the reply if more time is required to investigate the grievance
- time limits for replying to grievances and complaints can be extended on agreement between the parties involved

Step 2) Second Level Grievance

- the grievance is presented by the griever or their representative at the designated second level of the organization
- acceptance of the grievance in acknowledged in writing
- the circumstances of the grievance are investigated, gathering all information pertinent to make a decision on the grievance
• the second level decision maker checks the applicable acts and regulations and meets with the griever and other parties as required

• the second level decision maker replies to the grievance within the time limit by granting or denying the grievance depending on the facts

• the grievance reply clearly outlines the reasons for allowing or denying the grievance

• the second level decision maker may request an extension to the reply if more time is required to investigate the grievance

Step 3) Third Level Grievance

The organization may or may not have a third level

• repeat of second level by a higher authority in the organization

Step 4) Arbitration

• the employer and the employee can jointly request resolution to a grievance through expedited arbitration
  
  o the employer and the union present an agreed statement of facts to the arbitrator
  o the arbitrator makes a decision based on the facts
  o the decision is not binding

• for more complicated matters a formal arbitration hearing is held
  
  o both sides present their argument and witnesses are called
  o a binding award is issued, usually in writing
SAMPLE GRIEVANCE RESPONSE

October 24, 2000

Union of Northtown Workers
Elaine Knox
234 Bluebird Lane

Dear Ms. Knox:

First Level Grievance – Amanda Johnson (private work environment)

I acknowledge receipt of your letter of October 20, 2000 outlining your desire for a more private work environment. I have reviewed the circumstances surrounding this grievance and have reached a decision.

I have decided to accept your grievance for a more private work environment for Amanda Johnson. As you stated in your letter, her job deals with confidential information that should not be public knowledge. She does not feel that a cubicle provides adequate privacy for the confidentiality of her work. I have made the decision to move her from a cubicle to an office with a door to ensure that her privacy is maintained.

For the above reasons redress as requested will be granted.

Sincerely,

(Signature of grievance designate)

c: Employee
Personnel File
GRIEVANCE RESPONSE

Date:

Association/Union
Representative
Name and Address

Dear (name of Representative):

First/Second Level Grievance – Name of Employee (Issue Grieved)

I acknowledge receipt of your letter of (date) grieving (action grieved). I have reviewed the circumstances surrounding this grievance and have reached a decision.

(In this next paragraph briefly provide the reasons for the denial or acceptance of the grievance. These reasons can include specific articles of the relevant Collective Agreement, a policy or procedure to be followed, past practice, timeliness of the grievance or other reasons. You may want to set up a meeting with the Employee and the Union or Association representative to discuss the matter. Ensure that your reasoning is consistent and correct, as they will rely on what is said in your response should they decide to forward the matter to the Second or Third Level of the grievance procedure. If you have concerns or questions about an issue you should consult with a higher level of management and your legal advisor.)

For the above reasons I hereby deny the grievance at First/Second Level.
-or-
For the above reasons redress as requested will be granted.

Sincerely,

(Signature of grievance designate)

c: Employee
Personnel File
Chapter 11) Termination of Employment

Section 1) Background Information

People have different reasons for leaving an organization. Sometimes the termination is planned and other times it is not. The organization should be ready for both planned and unplanned terminations. When the organization is not prepared for terminations the consequences can have a major impact on the business. Some of the consequences could include: a disruption in service and not being able to meet commitments. The result could be a loss of business and a loss of credibility for the organization.

There should always be a plan to deal with terminating employees to ensure that the business operates smoothly and commitments are met.

What Kinds of Termination are There

There are a number of different kinds of terminations from employment. The different types of termination include:

- Rejection of Probation
- Lay offs
- Abandonment of position
- Medical Termination
- Resignation
- Retirement
- Death in service
Who Should be Involved in the Termination Process

The supervisor and the employee should always be involved in the termination process. Sometimes other people are involved:

- medical termination would include the employee’s physician
- death in service would include the employee’s next-of-kin

When Should Termination of Employment Take Place

Rejection or Probation

The purpose of a probationary period is to:

- provide the employing department with a reasonable period of time to decide if an employee is suitable and competent in the duties of the position
- provide an employee with the opportunity to adapt to the work environment

Rejection on probation is termination of employment while on probation. Rejection on probation may be considered when:

- a probationary employee fails to maintain the required standard of conduct and corrective action has not resulted in acceptable improvement in performance
- if it is determined the employee is not suitable for the position or does not have the competency to perform the duties of the position at an acceptable level

The duration of a probationary period must be stated in the original job offer. Probationary periods are usually six months. The probationary period can be twelve months for more responsible positions. Employees that move to a
position of higher responsibility within an organization are usually placed on probation.

Employees are usually rejected on probation for unsuitability, incompetence or misconduct. There must be adequate documentation to support the rejection on probation. The supporting documentation could include:

- performance appraisals
- records of disciplinary action
- attendance records
- letters of warning

It is very important for the supervisor to meet with the employee within the first week of employment. During this meeting written expectations should be agreed on. Follow-up meetings on a regular basis throughout the probationary period should be held. During these meetings:

- expectations should be reviewed and compared to the performance
- strengths and weakness of the employee should be discussed
- the employee must be made aware of any failure to reach an acceptable level of performance and given an opportunity to improve the performance
- the employee must also be made aware that failure to reach an acceptable level of performance may result in his/her being rejected on probation

If a probationary employee’s performance does not meet the required standard despite the assistance provided and the reviews conducted, the supervisor may determine that the employee should be rejected on probation. A supervisor may also recommend rejection on probation as a result of misconduct.

The recommendation to reject an employee on probation should be made to the senior manager of the organization. The appropriate documentation should accompany the recommendation. The employee is informed in writing by the supervisor that rejection on probation is being recommended. The employee is advised of the reasons for the rejection on probation and given the opportunity to make a submission to refute the recommendation. If the employee chooses to resign during the probationary period, the rejection on probation recommendation is withdrawn and does not become a part of the individual's employment record.
The senior manager reviews the recommendation and the submission made by the employee. If it is determined that rejection on probation is appropriate, the senior manager informs the employee of the rejection in writing. A copy of the letter of rejection is placed on the employee’s personnel file.

**Lay offs**

Layoff is the termination of employment because of lack of work or because of the discontinuance of a function. “Layoff” does not include termination of employment because of a transfer of the work or function to another employer where the employee is offered employment with the new employer.

- All organizations should value their employees and the work they perform. It is important for all the organization to be committed to the retention, retraining and department of staff. This commitment provides stability to employees through the promotion of job security and career development. It also allows the organization to maintain a skilled, stable and competent work force.

Unfortunately, in some circumstances layoff is unavoidable and is the only viable option of the employer and the employee. Where positions will be deleted because of a change in department structure, responsibilities or functions, every reasonable effort should be made to retain employees by placing them in vacant positions in the organization. They should either be qualified for the positions or become qualified through retraining.

When an organization determines that positions are to be deleted, the senior manager identifies those employees who may be affected. The organization should develop a strategy for retention of employees. The strategy should be designed to mitigate the impact of the deleted positions. The strategy should:

- set out a plan to minimize as much as possible the need for layoff
- identify vacant positions and retraining opportunities within the organization
- identify transfer opportunities that may be available
- identify alternative employment and retraining needs and opportunities
- identify potential funding sources for retraining
Employees subject to layoff should be notified of:

- vacancies in the organization
- transfer opportunities
- alternative employment
- retraining opportunities

Layoff should never be used to terminate the employment of an employee for poor performance or misconduct.

- As soon as it is determined that positions may be deleted, management should meet with the employees who may have been affected. If employees are part of a bargaining unit, a representative from the union is invited to participate. The employee(s) are advised of the time frame in which the positions will be deleted or reorganized.

**Abandonment of position**

An employee has abandoned their position when they have failed to report for duty for a period of one week and have not made arrangements to be absent.

When an employee is absent from duty without permission the supervisor should:

- make every reasonable effort to contact the employee to determine the reason for absence and to establish the employee’s intent with respect to returning to duty
- document all attempts to contact the employee. Attempts should include telephoning the employee, contacting a spouse or relative, visiting the employee at home and sending the employee a double registered requesting an immediate response.

If the supervisor is successful in contacting the employee, the supervisor and the employee should agree on a date for the employee to return to work. When the employee returns to work the supervisor should determine if discipline is necessary.

If the employee does not return to work on the date specified or the supervisor has been unsuccessful in contacting the employee, a request for declaration of abandonment of position is prepared. The request should be sent to the senior manager of the organization. The request must be
accompanied by supporting documentation. The supporting documentation should include:

- name of the employee
- position title and number
- attendance records showing the period of absence without leave
- a summary of the attempts made to contact the employee

The senior manager should advise the employee in writing that he or she is declared to have abandoned his or her position. The employer should make every reasonable attempt to immediately hand deliver this written notice. A copy of the letter is placed on the employee’s personnel file.

**Medical Termination**

Medical termination is a non-disciplinary termination of employment. A medical termination is considered when an employee is unable to do the job because of illness and it is unlikely that the employee will sufficiently recover to return to duty in the near future.

- A medical termination is appropriate in cases where an employee has been off duty due to illness for an extended period of time. Usually the employee has been off for over a year and the employee is unable to carry out the duties of the position. Medical terminations can be actioned earlier if the prognosis shows that the employee is unlikely ever to return to duty. The basis of a medical termination is a prognosis of the employee’s condition. The employer is expected to accommodate absenteeism due to illness in most cases. A mediation termination is appropriate only where the absences are extensive and likely to be of long duration. Care needs to be taken in all medical termination cases to ensure that there is no discrimination against an employee due to disability.

When an employee requests an extended period of sick leave, either with or without pay, the senior manager should write to the employee and request a prognosis. A prognosis is a physician’s statement outlining the long-term
expectations regarding an employee’s medical condition. The prognosis does not state or describe the employee’s medical condition. It indicates if and when the employee may be able to report for duty and what tasks the employee may be able to perform.

If a prognosis is not provided or is incomplete, the senior manager requests the prognosis a second time. The senior manager advises the employee that refusal to provide the medical prognosis may be seen as insubordination.

The prognosis is used to assist the organization in dealings with the employee.

- if the prognosis does not indicate a definite return to duty date or if it states that the employee’s medical condition makes it impossible for the employee to return to the position in the near future, medical termination may be considered
- if the prognosis states that the employee can return soon, every effort is made to accommodate the employee
- if the prognosis indicates the employee can return but cannot do all the duties of the position, efforts are made to accommodate the employee through a transfer, reduction in hours, special office equipment, etc

Proceeding With Medical Termination:

- the supervisor discusses the situation with the employee and advises the employee that medical termination is being recommended and the employee is given the opportunity to apply for disability insurance or Workers’ Compensation benefits, if applicable
- the employee is advised to consider other options such as medical retirement
- the employee’s supervisor recommends medical termination to the senior manager
- the senior manager writes to the employee to advise of the recommendation for termination
- the employee is given the opportunity to present information to refute the recommendation
- the senior manager considers any information the employee provides. If medical termination is determined to be appropriate, the senior manager advises the employee that the medical termination is being actioned
• A copy of the termination letter is placed on the employee’s personnel file.

Retirement

Employees are considered to have retired from an organization when they are eligible for company and/or Canada Pension benefits. Employees have the primary responsibility for planning for their retirement.

Employees can request pension information from their Human Resource Officer. The Human Resource Officer directs the employee to other sources of retirement benefits and information such as Canada Pension Plan and Old Age Security.

Death in service

An organization should make every effort to deal with terminations due to death as quickly and compassionately as possible.

When an employee dies, all advanced but unearned leave should be forgiven. Payments for salary and benefits earned up to and including the date of death should be made to the employee’s estate. Pension and insurance benefits should be processed as outlined in the employee’s personnel file.

Tools and Resources

There are a number of tools and resources that you can use to assist in the termination process.

• This manual and samples: you can use this manual and samples each time you need to conduct a termination session.
SAMPLE RECOMMENDATION OF REJECTION ON PROBATION

CONFIDENTIAL

March 5, 1994

Ryan Simpson
Senior Manager

Dear Mr. Simpson:

Recommendation for Rejection on Probation

Gordon Hubert has been an employee of the Hamlet of Northtown Finance department since November 1993. Mr. Hubert has failed to meet the expectations of the position during his/her probationary period.

Mr. Hubert has been constantly using the Internet for personal use and has continued to do so despite several warnings. In his job description he is expected to use the Internet for research purposes. Due to his personal Internet use his researching and job performance have suffered and he continues to hand in projects late. I have warned Mr. Hubert on several occasions and had several meetings with him on February 6, 15, 20 and 25, 1994. I indicated that his behaviour is unacceptable and must be changed.

At this time, I am recommending that Gordon Hubert be rejected on probation for failure to meet the expectations of the position.

Dave Bourque

C: Personnel File
SAMPLE RECOMMENDATION OF REJECTION ON PROBATION

PERSONAL & CONFIDENTIAL

Hand Delivered

March 6, 1994

Gordon Hubert
10 Lakeview Lane
HAMLET OF NORTHTOWN, X0Q 1W0

Dear Mr. Hubert:

Rejection on Probation

Your supervisor Dave Bourque has recommended that you be rejected on probation from your position of researcher.

Mr. Bourque has indicated that you consistently use the Internet for personal use and have disregarded his instructions to stop doing so. The several meetings you have had seem to be unsuccessful. He also stated that your work is suffering as a result of this personal use. While your job requires you to use the Internet for research, this should be the sole purpose of your usage.

As the Senior Manager for the Hamlet of Northtown Finance department I have the authority to terminate employment for rejection on probation. When I receive recommendations such as these I provide the employee with the opportunity to make a submission on his/her own behalf.

Your submission can be delivered to my office at 5 Woodland Drive or faxed to 867-555-5555. I request that you provide your submission by 5:00pm 5 business days from the date of this letter. If you are unable to provide your submission within the time frame outlined, please contact me by telephone at 867-555-5551 or by fax at the above mentioned fax number.

Signature Senior Manager

C: Personnel File
SAMPLE RECOMMENDATION OF REJECTION ON PROBATION

PERSONAL & CONFIDENTIAL

Double Registered

March 8, 2004

Gordon Hubert
10 Lakeview Lane
HAMLET OF NORTHTOWN, X0Q 1W0

Dear Mr. Hubert:

Rejection on Probation

Dave Bourque has recommended that you be rejected on probation from your position of researcher.

I have reviewed the information concerning the recommendation that you be rejected on probation. I have decided to accept Mr. Bourque’s recommendation. Therefore, I declare you to be rejected on probation from your position of Researcher and terminate your employment with the Hamlet of Northtown Finance Department effective the date of this letter.

Please arrange to meet with the Human Resource Officer to complete your termination documents.

A copy of this letter has been placed on your personnel file.

Signature Senior Manager

c: Personnel File
SAMPLE ABANDONMENT OF POSITION

PERSONAL & CONFIDENTIAL

Hand Delivered

March 10, 1994

Gordon Hubert
10 Lakeview Lane
HAMLET OF NORTHTOWN, X0Q 1W0

Dear Mr. Hubert:

Abandonment of Position

Dave Bourque, Finance Manager has recommended that you be declared to have abandoned your position of Researcher. Despite verbal and written notices you have failed to report to work.

When an employee is absent without leave for more than one week, the employee can be declared to have abandoned his/her position. I have decided to accept Mr. Bourque’s recommendation. Therefore, I declare you to have abandoned your position of Researcher and terminate your employment with the Hamlet of Norhttown’s Finance Department effective the date of this letter.

A copy of this letter has been placed on your personnel file.

Signature Senior Manager

C: Personnel File
SAMPLE RECOMMENDATION FOR MEDICAL TERMINATION

CONFIDENTIAL

May 7, 2000

Peter Capsco
Housing Manager

Recommendation for Medical Termination

John Blacklore was first hired by the Hamlet of Northtown as the Hamlet Foreman on September 1, 1980. Mr. Blacklore has been on sick leave since March 20, 2000 as a result of emphysema.

I have attached the most recent medical prognosis provided by Mr. Blacklore’s physician. This prognosis indicates that Mr. Blacklore is unable to return to work indefinitely. As a result, I am recommending that Mr. Blacklore be terminated for medical reasons.

Signature of Supervisor

c: Personnel File
SAMPLE MEDICAL TERMINATION

PERSONAL & CONFIDENTIAL

Hand Delivered

May 8, 2000

John Blacklore
23 Bluebird Lane
HAMLET OF NORTHTOWN

Dear Mr. Blacklore

Recommendation for Medical Termination

Peter Capsco has made a recommendation that your employment be terminated for medical reasons. Mr. Capsco has provided that last medical prognosis we have on file from your physician indicating you will be unable to return to work indefinitely.

As the Senior Manager for the Hamlet of Northtown’s Public Works Department, I have the authority to terminate employment for medical reasons. When I receive recommendations such as these I provide the employee with the opportunity to make a submission on his/her own behalf. I am enclosing a copy of your current job description. Please have this job description reviewed by your physician, and request he/she provide us with a current prognosis on your ability to perform the duties of the position and the likelihood of your returning to work.

Your submission can be delivered to my office at 5 Woodland Drive or faxed to 867-555-5555. I request that you provide your submission by 5:00 pm 15 business days from the date of this letter. If you are unable to provide your submission within the time frame outlines, please contact me by telephone at 867-555-5551 or by fax at the above mentioned fax number.

I also recommend that you arrange an appointment with our Human Resource Office to discuss how medical termination impacts your benefits.

Signature of Senior Manger

c: Personnel File
SAMPLE MEDICAL TERMINATION

PERSONAL & CONFIDENTIAL

Hand Delivered

May 12, 2000

John Blacklore
23 Bluebird Lane
HAMLET OF NORTHTOWN

Dear Mr. Blacklore:

Medical Termination

I have reviewed all the information provided to me regarding the recommendation to terminate your employment for medical reasons. As I have not received new medical information, I have decided to accept this recommendation.

Therefore, you cease to be an employee of the Hamlet of Northtown effective the date of this letter.

Please ensure that you contact Edward Johnson so that you can be advised of your benefit options.

I would like to take this opportunity to thank you for your service with the Hamlet of Northtown and to express my hope that your medical condition improves.

A copy of this letter has been placed on your personnel file.

Signature of Senior Manager

c: Personnel File
SAMPLE RESIGNATION

November 15, 2006

Deanna Wilcox
Recreation Coordinator

Dear Mrs. Wilcox:

Resignation

Please be advised that I am tendering my resignation effective December 1, 2006. I have decided to return to school and complete my Masters in Education.

Thank you for the opportunity to work for the Hamlet of Northtown.

Sincerely,

Signature of Employee
SAMPLE RESIGNATION ACCEPTANCE

PERSONAL & CONFIDENTIAL

Hand Delivered

November 17, 2006

Joe Fisher
Assistant Recreation Coordinator

Dear Mr. Fisher:

Acceptance of Resignation

Please be advised that I accept your resignation effective December 1, 2006. I would like to take this opportunity to thank you for your service to the Hamlet of Northtown and wish you all the best in the future.

To ensure a smooth transition from the organization, please make an appointment with Human Resources before December 1, 2006. This appointment is necessary to complete termination documents.

Sincerely

Signature of Supervisor

c: Personnel file
RECOMMENDATION OF REJECTION ON PROBATION

CONFIDENTIAL

Date

Senior Manager
Job Title

Dear (Senior Manager):

Recommendation for Rejection on Probation

(Name of Employee) has been an employee of (name and organization) since (date of employment). (Name of Employee) has failed to meet the expectations of the position during his/her probationary period.

(State reason for recommending rejection on probation. Outline expectations, details of performance, dates of meetings, and feedback provided to employee in an effort to improve performance)

At this time, I am recommending that (name of employee) be rejected on probation for failure to meet the expectations of the position.

Signature of Supervisor

C: Personnel File
RECOMMENDATION OF REJECTION ON PROBATION

PERSONAL & CONFIDENTIAL

Hand Delivered

Date

Employee
Home Address

Dear (employee):

Rejection on Probation

(supervisor’s name and title) has recommended that you be rejected on probation from your position of (position title).

State reason for recommendation of rejection on probation. (Outline expectations, meetings and details of failure to meet expectations).

As the Senior Manager for (name of organization) I have the authority to terminate employment for rejection on probation. When I receive recommendations such as these I provide the employee with the opportunity to make a submission on his/her own behalf.

Your submission can be delivered to my office at (address) or faxed to (fax number). I request that you provide your submission by 5:00pm 5 business days from the date of this letter. If you are unable to provide your submission within the time frame outlined, please contact me by telephone at (telephone number) or by fax at the above mentioned fax number.

Signature Senior Manager

C: Personnel File
RECOMMENDATION OF REJECTION ON PROBATION

PERSONAL & CONFIDENTIAL

Double Registered

Date

Employee
Home Address
Dear (employee):

Rejection on Probation

(supervisor’s name and title) has recommended that you be rejected on probation from your position of (position title).

I have reviewed the information concerning the recommendation that you be rejected on probation. I have decided to accept (supervisor’s name) recommendation. Therefore, I declare you to be rejected on probation from your position of (position title) and terminate your employment with (name or organization) effective the date of this letter.

Please arrange to meet with the Human Resource Officer to complete your termination documents.

A copy of this letter has been placed on your personnel file.

Signature Senior Manager

c: Personnel File
ABANDONMENT OF POSITION

PERSONAL & CONFIDENTIAL

Hand Delivered

Date

Employee
Home Address
Dear (employee):

Abandonment of Position

(supervisor's name and title) has recommended that you be declared to have abandoned your position of (position title). Despite verbal and written notices you have failed to report to work.

When an employee is absent without leave for more than one week, the employee can be declared to have abandoned his/her position. I have decided to accept (supervisor’s name) recommendation. Therefore, I declare you to have abandoned your position of (position title) and terminate your employment with (name of organization) effective the date of this letter.

A copy of this letter has been placed on your personnel file.

Signature Senior Manager

C: Personnel File
RECOMMENDATION FOR MEDICAL TERMINATION

CONFIDENTIAL

Date

Senior Manager
Title

Recommendation for Medical Termination

(Name of Employee) was first hired by (name of organization) as a (Job Title) on (date of hire). (Name of Employee) has been on sick leave since (last date at work) as a result of (reason given for sick leave).

I have attached the most recent medical prognosis provided by (Name of employee)’s physician. This prognosis indicates that (Name of employee) is unable to return to work indefinitely. As a result, I am recommending that (Name of employee) be terminated for medical reasons.

Signature of Supervisor

c: Personnel File
MEDICAL TERMINATION

PERSONAL & CONFIDENTIAL

Hand Delivered

Date

Name of Employee
Address

Dear (Name of Employee)

Recommendation for Medical Termination

(Exhibitor of Employee) has made a recommendation that your employment be terminated for medical reasons. (Exhibitor of Employee) has provided that last medical prognosis we have on file from your physician indicating you will be unable to return to work indefinitely.

As the Senior Manager for (name of organization) I have the authority to terminate employment for medical reasons. When I receive recommendations such as these I provide the employee with the opportunity to make a submission on their own behalf. I am enclosing a copy of your current job description. Please have this job description reviewed by your physician, and request he/she provide us with a current prognosis on your ability to perform the duties of the position and the likelihood of your returning to work.

Your submission can be delivered to my office at (address) or faxed to (fax number). I request that you provide your submission by 5:00 pm 15 business days from the date of this letter. If you are unable to provide your submission within the time frame outlines, please contact me by telephone at (telephone number) or by fax at the above mentioned fax number.

I also recommend that you arrange an appointment with our Human Resource Office to discuss how medical termination impacts your benefits.

Signature of Senior Manager
c: Personnel File
MEDICAL TERMINATION

PERSONAL & CONFIDENTIAL

Hand Delivered

Date

Name of Employee
Address

Dear (Name of Employee)

Medical Termination

I have reviewed all the information provided to me regarding the recommendation to terminate your employment for medical reasons. As I have not received new medical information, I have decided to accept this recommendation.

Therefore, you cease to be an employee of (name of organization) effective the date of this letter.

Please ensure that you contact (Name of Human Resource Officer) so that you can be advised of your benefit options.

I would like to take this opportunity to thank you for your service with the (name of organization) and to express my hope that your medical condition improves.

A copy of this letter has been placed on your personnel file.

Signature of Senior Manager

c: Personnel File
RESIGNATION

Date

Name of Supervisor
Title of Supervisor

Dear (Name of Supervisor)

Resignation

Please be advised that I am tendering my resignation effective (last day of work). (Reason for resignation is appreciated but optional).

Thank you for the opportunity to work for (Name of organization).

Sincerely,

Signature of Employee
RESIGNATION ACCEPTANCE

PERSONAL & CONFIDENTIAL

Hand Delivered

Date

Name of Employee
Job Title

Dear (Name of Employee):

Acceptance of Resignation

Please be advised that I accept your resignation effective (last day of work). I would like to take this opportunity to thank you for your service to (Name of organization) and wish you all the best in the future.

To ensure a smooth transition from the organization, please make an appointment with Human Resources before (last day of employment). This appointment is necessary to complete termination documents.

Sincerely

Signature of Supervisor

c: Personnel file
Chapter 12) Personnel Records

Section 1) Background Information

Personnel Records are official records of an employee’s employment relationship with an organization. Personnel Records are a very important part of the organization’s documents. A personnel record must be setup on each new hire and maintained throughout their employment with the organization. The personnel record should include original copies of all documents related to the employee’s hire, employment and termination with the organization. References should be kept on the file in a sealed envelope.

Why Personnel Records are Important

For organizational and legal purposes, a personnel record should be maintained and updated on each employee. A personnel record allows the organization to keep important employee related documents at their fingertips. Personnel records also document the mutual understanding between the employee and employer concerning policies, performance expectations, goals and opportunities.
Who Has Access to Personnel Records

Personnel records are confidential. Access to an employee’s official personnel record is limited to the employee, Human Resource Department staff for legitimate business purposes and supervisors in the direct line of supervision over the employee. Information from the personnel record is provided to other individuals only with the employee’s written permission or by court order.

Section 2) How to Guide

Where Should Personnel Records be Kept?

In today’s computer age, many companies choose to keep files electronically or in databases, but plain manila folders still work fine in many cases. Use whatever is most comfortable for your organization.

Manual files should be kept in locked file cabinets in a secure area. Computer files should be kept in a restricted access folder.

What Should be Included in Personnel Records?

When organizing personnel records, the information should be in order by date, beginning with the worker’s resume and references, along with the employment application. Also, keep a copy of the original job description for each new hire, and add any revised or new job descriptions as the responsibilities change over the coming months and years. This will make it easy for the employer and the employee to track how the position and skill set required for the position have changed over time. This part of the personnel file should also include copies of performance evaluation reports.

On hire, employees should be provided with information about their pay and benefits and terms and conditions of employment. At this time employees
should complete the forms for tax deductions, insurances, pension plans, next of kin, address, phone number and emergency contacts. Employees should be told to bring copies of the following information to the session: Social Insurance Number, Certificates of Birth, Adoption, Marriage and other legal documents relating to custody or access to partner and dependent(s), copies of Degree, Certificates and Diplomas. All of these documents should be kept on the employee’s personnel file.

Also, be sure to make a copy of all forms that an employee signs for the employee’s personal records.

**What is the Process for Sharing Employment Records Within the Organization**

A supervisor may view disciplinary or performance related documents on the personnel file of any employee who reports to the supervisor. A supervisor is not entitled to view confidential information such as references or insurance beneficiaries. The file must be signed out and in.

**Responsibilities of Human Resources Staff**

Human Resource staff are the keepers of the personnel records. Their responsibilities include:

- not allowing any other individuals except those specified, to view or remove any personnel file
- not allowing any document/correspondence to be removed from a personnel file
- ensuring envelopes containing reference forms are not opened
- supervising employees and their representatives when viewing a personnel file
- ensuring that the files are kept in a secure area and that confidentiality of the information on the files are maintained at all times
- ensuring that appropriate written authorization is obtained for viewing of personnel files
What is the Process for Sharing Personnel Record Information Outside the Organization

An employee may have an agent view documents on his or her personnel file and make copies of such documents. The agent must be required to produce written authorization from the employee in each specific case. Authorizations are valid for 60 days.

Where a request in any form is received from a third party for information about an employee, the Human Resource Officer should:

- check the identity of the third party
- require the third party to produce evidence of the employee’s consent
- ensure search warrants, subpoenas are legitimate

The RCMP may request information regarding an employee. When the request is supported by a search warrant or subpoena, Human Resources has a legal requirement to release the information to the RCMP. Without this supporting documentation, information is not to be released without the employee’s authorization.

Inquiries made by Revenue Canada and Human Resources Development Canada (HRDC) must be in the form of a written request (facsimiles are acceptable). Requests should not be handled over the phone. In reply to a written request, Human Resources may:

- release salary information to Revenue Canada and HRDC
- release information about performance or attendance when requested on the standard employment insurance form
Can Employees Have Access to Their Personal Record

An employee may view his or her own personnel file by making an appointment with Human Resources. An employee is not entitled to view the references contained in sealed envelopes on the personnel file. A former employee may access his or her personnel file upon request. If a former employee is involved in legal action against the employer, the request should come through the employee’s legal counsel. The employer’s legal counsel will respond and provide appropriate information. Viewing of personnel files by employees should be supervised by Human Resources.

Do Employees Have the Right to Know What is on Their Personnel Record

Employees are entitled to a copy of any documents on their file. Employees must be made aware of any disciplinary documents placed on the file. The supervisor providing the employee with a copy of the document at the time of filing can do this. Documents should be clearly marked “C to Personnel File” or include a statement in the body of the letter indicating that a copy of the letter will be placed on the employee’s personnel file.

Can Employees Place Documents on Their Personnel Record

An employee may not place any document or information directly on his or her personnel file. Information of a disciplinary or complimentary nature must be placed on the file by the employee’s supervisor or with the supervisor’s consent. An employee is allowed to place responses to appraisals or disciplinary action on the personnel file. This must be done through the employee’s supervisor so that the supervisor is aware of the information on the personnel file.
Tools and Resources

There are a number of tools and resources that you can use to assist with Personnel Records.

- This manual and workbook: you can use this manual and workbook as a reference for setting up and dealing with employment records.

Section 3) Samples

<table>
<thead>
<tr>
<th>Name: Linda Thorton</th>
<th>Date of Hire: March 1, 2000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department: Human Resources</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Placed on File</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel Record Setup</td>
<td>March 1, 2000</td>
</tr>
<tr>
<td>Original Resume</td>
<td>March 3, 2000</td>
</tr>
<tr>
<td>References are secured in a sealed envelope</td>
<td>March 3, 2000</td>
</tr>
<tr>
<td>Personal information (address, phone numbers,</td>
<td>March 4, 2000</td>
</tr>
<tr>
<td>next-of-kin, emergency contact information)</td>
<td></td>
</tr>
<tr>
<td>Signed Job Description</td>
<td>March 2, 2000</td>
</tr>
<tr>
<td>Copy of Job Offer</td>
<td>March 3, 2000</td>
</tr>
<tr>
<td>Copy of any additional terms and conditions of</td>
<td>March 5, 2000</td>
</tr>
<tr>
<td>employment</td>
<td></td>
</tr>
<tr>
<td>Copies of degrees, certificates, diplomas</td>
<td>March 8, 2000</td>
</tr>
<tr>
<td>Copies of all pay information</td>
<td>March 10, 2000</td>
</tr>
<tr>
<td>Copies of all benefits information</td>
<td>March 10, 2000</td>
</tr>
</tbody>
</table>
RELEASE OF INFORMATION

I (name of employee) hereby give (name of organization) permission to release the following contents of my personnel file (list of contents to be released) to (name of individual such as lawyer, union representative, etc).

I understand this release is valid for sixty days from the date noted below.

(Signature of Employee)  (Date noted by employee)

EMPLOYEE VERIFICATION

Date

PERSONAL AND CONFIDENTIAL

To Whom It May Concern:

EMPLOYEE NAME:

CURRENT POSITION TITLE:

DATE EMPLOYMENT COMMENCED WITH GNWT:

EMPLOYMENT TERMINATION DATE:

CURRENT SALARY (PER ANNUM):

NORTHERN ALLOWANCE (PER ANNUM):

Signature Human Resources Officer
# Section 4) Workbook

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Placed on File</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel Record Setup</td>
<td></td>
</tr>
<tr>
<td>Original Resume</td>
<td></td>
</tr>
<tr>
<td>References are secured in a sealed envelope</td>
<td></td>
</tr>
<tr>
<td>Personal information (address, phone numbers, next-of-kin, emergency contact information)</td>
<td></td>
</tr>
<tr>
<td>Signed Job Description</td>
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<tr>
<td>Copy of Job Offer</td>
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<td>Copy of any additional terms and conditions of employment</td>
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<td>Copies of degrees, certificates, diplomas</td>
<td></td>
</tr>
<tr>
<td>Copies of all pay information</td>
<td></td>
</tr>
<tr>
<td>Copies of all benefits information</td>
<td></td>
</tr>
</tbody>
</table>
RELEASE OF INFORMATION

I Linda Thorton hereby give the Human Resources Department, GNWT permission to release the following contents of my personnel file: my signed job description to my lawyer, Helen Johnston.

I understand this release is valid for sixty days from the date noted below.

(Signature of Employee) (Date noted by employee)

EMPLOYEE VERIFICATION

August 24, 2005

PERSONAL AND CONFIDENTIAL

To Whom It May Concern:

EMPLOYEE NAME: Linda Thorton

CURRENT POSITION TITLE: Administrative Assistant

DATE EMPLOYMENT COMMENCED WITH GNWT: March 1, 2000

EMPLOYMENT TERMINATION DATE: N/A

CURRENT SALARY (PER ANNUM): $50,875.50

NORTHERN ALLOWANCE (PER ANNUM): $12,160.00
Human resource policies are vital for any organization as they outline the terms and conditions of employment relating to pay, hours of work, employee benefits, and other general working conditions.

Under the Cities, Towns and Villages Act, the Hamlets Act, the Charter Communities Act and the Tlicho Community Government Act, community governments must have a bylaw if they have staff. The by-law will:

- outline the terms of employment;
- establish the remuneration and benefits of employees;
- establish hours of work and terms of employment;
- provide for the manner of appointment, promotion, discipline and dismissal of employees and officers;
- provide retirement, death or disability benefits to employees; and
- on behalf of the municipal corporation, enter into collective or other agreements with employees.

Communities that are either Settlements or Designated Authorities do not have by-law making authority. They can only provide their direction through a policy such as a policy on the employment terms with the organization or a policy adopting a union agreement.
A by-law can take many shapes. Where there is a union agreement in place, the by-law should simply adopt the union agreement for unionized employees and outline the terms of employment for those employees that the union agreement does not cover. Where there is not a union agreement, it is recommended that a concise by-law be developed with a number of attached policies/procedures that speak to the details. Lengthy by-laws are cumbersome and difficult to update so by-laws should be short and use the individual policy approach.

### Why Human Resource Policies are Important

If a policy is well developed and clearly written, it will enhance communications with employees, clarify expectations, and assist with consistency of application. Policies will provide clear and consistent instructions on how employees should conduct themselves, what benefits they are entitled to and how the organization should operate. It provides management with clearly defined areas of authority and delineates how different situations should be handled. Written policies also help management by eliminating the need for time-consuming and expensive memos, bulletins and announcements.

### Who Should Develop Human Resource Policies

The Senior Administrative Officers or a Human Resource Manager should be the lead person in developing the Human Resource policies.

- senior managers and supervisors will determine the manuals contents
- selected employees will review the draft manual
When Human Resource Policies Should Be Completed

HR policies should be part of the strategic plan and should be reviewed annually or when there are enough changes to require a reprint.

Uses of Human Resource Policies

Human Resource Policies have a number of uses including:

- The HR Policy Manual is a standard reference for consistently implementing, creating and reviewing policies.
- Policies will provide employees with a source of information about the organization and their role in it.
- A policy sets guidelines and rules for employees, so they can meet management’s expectations.
- A policy also provides standards for managers to direct their employees’ activities.

Tools and Resources

Looking at other HR policies can help you determine what should be in your HR Manual. The Government of the Northwest Territories Human Resource policies are posted on the GNWT Human Resource website.

http://www.hr.gov.nt.ca/policy/hrm/

The Government of Virginia has also posted their Human Resource policies on their website.

http://www.dhram.state.va.us/hrpolicy/policy.html#general
The Government of the Northwest Territories Hamlet, Settlement, Charter Community and the Cities Towns and Villages Act, are all posted on the Department of Justice website.


Section 50


Employment Standards must also be taken into consideration when developing HR policies.


It may also be helpful to look at the NWT Public Service Act.

http://www.gov.nt.ca/publications/psa/
Section 2) How to Guide

There is no standard method or format for creating a Human Resource Policy Manual. The method and format outline in this manual have been designed specifically for northern community governments, that should meet most human resource policy needs, while ensuring that it is simple, effective and easy to use.

It is recommended that the human resource policies be compiled by either the SAO or the HR Representative with input from Council/Board members, senior managers and staff.

Step 1) Determine Policy Areas

The first step in developing a Human Resource Policy Manual is determining what policy areas to include.

- Determine what policy areas to cover by researching how your organization operates and determine what good practices to include in your policies and what areas need to be improved by being governed by a policy.

- Consulting managers and supervisors is often a good way to find out what should be included in the manual.

The following are some questions to consider when consulting with Managers and Supervisors.

1) What areas do managers and supervisors have the most concern about?
2) What areas do employees enquire about the most?
3) What areas seem to create the most confusion for Managers or employees?
4) What work habits are the most problematic in your organization?
5) Are there any territorial or federal regulations that must be taken into consideration?
The following are types of policies you may want to consider for your Human Resource Policy Manual:

Employment Policies

- These policies determine hiring, orientation, ensure employment laws are adhered to and confidentiality.

Employment Status & Records

- These policies cover employment classifications, personnel records and explain how background checks and performance assessments are to be carried out.

Employee Benefits

- These policies lay out employee benefits such as, vacations, leave and insurance.

Payroll

- These policies cover salary and wage administration, for example deductions and pay advances.

Employee Conduct

- These are policies that direct employee behaviour and conduct in the workplace, including a code of conduct, substance abuse, smoking and sexual harassment.

The following is a list of policies and corresponding sub-policies:

- **Affirmative Action**
  Priority Hiring Policy

- **Employment**
  Employee status (full time, part time, etc.)
  Hours of work and breaks
  Time tracking
Employee records
Promotions and Transfers
Training programs
Employment Termination procedures

Wages and Salaries
Wage and salary policy
Salary reviews
Paydays
Advances
Overtime
Deductions
Automatic bank deposit

Occupational Health and Safety
Occupational Health and Safety
Emergency procedures
Medical services
Safety organization
Respectful Workplace (sometimes called Harassment Policy)
Sexual harassment
Return to work
Smoke-free workplace
Drugs and alcohol
Violence in the workplace
Protective clothing and safety equipment

Company Standards and Rules
Employee code of conduct
Penalties
Absence/Lateness
Telephone use
Contributions and solicitations
Wage attachments
Conflict of Interest (outside employment, political activity)
Municipal vehicle use

Legislated Employee Benefits
Worker’s compensation
Social Security
Unemployment Insurance
Military duty
Time off to vote
Statutory Holidays
Vacation Leave or Vacation Pay
Pregnancy Leave without pay
Parental Leave without pay
Sick Leave without pay
Compassionate Leave without pay
Bereavement leave without pay
Court leave without pay

**Insured Employee Benefits**
Group Health Insurance
Life Insurance
Long-term disability insurance
Short-term disability insurance
Dental plan

**Voluntary Employee Benefits**
Savings plan
Credit union
Pension plan
Tuition reimbursement
Sick pay
Severance pay
Special privileges

**Employee Relations**
Performance appraisal
Dispute resolution
Employee recreation and social activities

---

**Step 2) Draft a Table of Contents**

Draft a table of contents from results of research and consultations. Use the above list of sample policies as a guide.
Step 3) Write the Policies

For each policy, formulate and ask as many questions as you can on the subject.

Collect the answers and combine them together to determine what the policy will be.

For example, if you were developing a Safety Policy:

a. Are there any safety regulations that need to be considered?
b. What safety organizations should be contacted? (ie. Worker’s Safety and Compensation Commission)
c. Is there any protective gear that must be considered?
d. What kind of safety equipment should we have?
e. What kind of safety issues are there for each community government occupation?
f. Is there any safety training that is required?
g. How can this policy help to minimize risk and improve safety in the workplace?

When developing a Conflict of Interest policy maybe you should consider the following:

a. What is our definition of a conflict of interest?
b. What types of conflict of interest issues does my organization confront the most?
c. What sort of conflict of interest issues arise from being a small community?
d. What process do we want to follow if a potential conflict of interest does arise?
e. What process do we want to follow if there is a confirmed conflict of interest?
Step 4) Review and Distribute to Persons Who Will Provide Feedback

Your HR Policy Manual is now ready for a peer review.

The Peer review should be followed by a legal review and/or review by some of the following organizations.

- Northwest Territories Association of Communities (NWTAC)
- Local Government Administrators of the Northwest Territories (LGANT)
- Municipal and Community Affairs (MACA)

Finally, you can present your HR Policy Manual to the Community Council for approval.

Step 5) Finalize, Print and Distribute

Incorporate the changes from the reviews and otherwise finalize your HR Policy Manual.

- Using a binder format will allow you to make changes by simply adding and subtracting pages where needed, rather than reprinting the entire manual.

- Holding an Orientation Workshop to familiarize employees on the Policy Manual would be beneficial.
Section 3) Samples

Hamlet of Northtown

Sexual Harassment

Purpose

This policy is intended to provide a sexual harassment free workplace.

Scope

This policy applies to all employees.

Procedure

The Northwest Territories Human Rights Act states as follows:

14. (1) No person shall, on the basis of a prohibited ground of discrimination, harass any individual or class of individuals
   (a) in the provision of goods, services, facilities or accommodation;
   (b) in the provision of commercial premises or residential accommodation; or
   (c) in matters related to employment.

   (2) In subsection (1), “harass”, in respect of an individual or class or individuals, means engage in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome by the individual or class.

The (name of organization) has a zero tolerance policy for sexual harassment. Confirmed offenders will be subject to disciplinary action including verbal or written reprimand, negative evaluation, suspension, demotion, forced resignation and termination. (Name of organization) will investigate all allegations of sexual harassment promptly and fairly.

All sexual harassment complaints are confidential subject to the requirements of this policy.

Sexual harassment is any unwanted sexual comments or conduct that embarrasses, humiliates or offends a person and that is known or should reasonably have been known to be unwelcome. It includes:
• Offensive, intimidating and unwanted sexual comments
• Actions with a sexual connotation that create an intimidating, demeaning or offensive work environment
• Unwanted sexual advances, inappropriate touching, or sexual assault
• Punishment or threat of punishment or withholding opportunity for refusing sexual advances
• Employment benefit in exchange for sexual favours
• Displaying pornographic and/or derogatory pictures

Sexual harassment does not include occasional compliments of a socially acceptable nature or consensual office relationships free of intimidation or coercion.

Employees are encouraged to speak up against sexual harassment. Inform the offender their behaviour is inappropriate. If the behaviour continues, notify the manager. Any employees who witness harassment should offer to support the victim’s claim. All employees have a responsibility to help promote a safe workplace by co-operating with harassment investigations.

Employees should record what happened in writing, including a description of the type of harassment that occurred, the date it occurred, where it took place, any witnesses, how you responded and how you felt. If you write a letter to the offender, be sure to date it and keep a copy for yourself.

Report the problem to a supervisor or manager immediately. Depending on the situation, you can request a manager or supervisor to act as a mediator and/or you may file a formal written complaint.

Managers and supervisors are responsible for handling sexual harassment complaints. Should a manager or supervisor become aware of sexual harassment within the organization, that manager or supervisor must take immediate steps to stop the problem, regardless of whether or not a complaint has been brought forward.

Records of confirmed sexual harassment complaints will be placed on the offending employee’s personnel file and the both those involved will be informed of the outcome of the investigation and any action taken.
The Human Rights Act provides for a complaint to be filed with the Human Rights Commission within two years of the incident or if it is an ongoing offence, within two years of the last alleged incident.

Nothing in this policy prevents an individual from bringing a formal complaint before the Human Rights Commission within the two year time limit.

Any employee who brings a sexual harassment case forward, or who assists in an investigation, will not have their employment suffer as a result, nor will they be discriminated against. It is the responsibility of all employees to ensure that the workplace is free of sexual harassment.
Sick Leave

Purpose

Sick leave is intended to allow employees to continue to earn wages when they are unable to attend work due to illness or injury.

Scope

This policy applies to all employees.

Procedure

Employees will earn sick leave credits at a rate of 1 ¼ days per month in which the employee has earned pay for at least ten (10) days.

An employee who cannot attend work due to illness or injury must contact their supervisor at the beginning of the work day.

An employee will be required to submit a medical certificate if the period of sick leave exceeds two (2) consecutive days. Failure to provide the requested medical certificate may result in denial of sick leave and possible disciplinary action.

If all earned sick leave credits have been used, then leave without pay will apply.

Abuse of sick leave is grounds for dismissal.

Sick leave earned annually and not used by an employee will be carried over to the following year.

If an employee is receiving benefits from any other party, they must inform their supervisor. (ie. damages from third party, reimbursement for loss of work time, etc.).
Section 4) Workbook

What areas do managers and supervisors have the most concern about?

What areas do employees enquire about the most?

What areas seem to create the most confusion for Managers or employees?
What work habits are the most problematic in your organization?

Are there any territorial or federal regulations that must be taken into consideration?
(i.e. Hamlets, Settlements, Charter Communities and Cities, Towns and Villages Acts)
### Purpose

What is the purpose of this policy?

- The policy should have one main purpose. Avoid multiple purposes.

### Scope

Who the policy applies to.

### Procedure

How this policy will be implemented.
The following is printed with the permission of the City of Yellowknife. Below is the City of Yellowknife's Table of Contents for its Personnel Policy Manual, followed by its policy on Duty Travel.

CITY OF YELLOWKNIFE
PERSONNEL POLICY MANUAL

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Employee Files  1000.03
Joint Consultation Committee  1000.04
Dress Code  1000.05
Smoking in the Workplace  1000.06
Aids and Other Infectious Diseases  1000.07
Alcohol/Illegal Drugs/Prescription & Over the Counter Medication  1000.08
Employee Recognition Program  1000.09
Management and Employee Relations  1000.10
Voice Mail  1000.11
Savings Advanced Via Employees (SAVE)  1000.12
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Employee and Family Assistance Program  1010.05
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Leave Without Pay 1030.13
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Fuel/Gas Purchasing Policy 1030.16
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Vehicle Policy 1040.01
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Conflict Resolution/Anti-harassment 1050.03
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PURPOSE

To outline the policy, entitlements and procedures for traveling on City business.

POLICY

The City will reimburse an employee for reasonable expenses incurred while traveling on authorized City business.

APPLICATION

The following definitions and procedures apply to all employees authorized to travel on City business:

Entitlements

The entitlements set out hereunder are subject to limitations. Where the expenses for meals, lodging and other items cannot be kept within the entitlements outlined in this Policy, the claimant must explain the circumstances on his claim and justify actual expenses by receipts.

When traveling outside of Canada the claimant must justify actual expenses by receipt.

Transportation

The cost of transportation is authorized as follows:

1. Economy air, whenever possible. The City will cover additional accommodation costs associated with employees staying over a Saturday night as long as there is a sufficient savings for the City. All requests must have prior approval from the Department Heads and Human Resources.
2. Rented or hired cars – where this is the most reasonable or economical means of travel, must be pre-approved by the Senior Administrative Officer. Employees renting vehicles should ensure they take out only basic required insurance and waive all optional coverage. The City carries blanket coverage.

Accommodation

1. Commercial accommodation (not exceeding fifteen calendar days) – where employees shall be reimbursed for actual costs of authorized accommodation is at the government rate.

2. Non-commercial accommodation – where employees make private arrangements for overnight accommodation they may claim an amount equivalent to the current approved rates (rates allowed are from the Government of the Northwest Territories fee schedule).

3. Accommodation for periods in excess of fifteen calendar days – normally the employee would be expected to make appropriate arrangements for suitable rental accommodation at weekly or monthly rates. This should be arranged prior to the start of the period in travel status or shortly after arrival.

Meals and Incidental Expenses

1. Expenses claimed under this Section are for the cost of meals and for such incidental expenses as tips to miscellaneous service personnel, etc. For period of duty travel not exceeding fifteen calendar days a per diem rate, as determined by the City, will be paid. These rates will be reviewed regularly by the City to ensure adequate reimbursement of expenses. In the event an employee is in travel status for a part day only, amounts claimed shall be prorated on the basis of established amounts for each meal and incidental expenses. If meals are provided as part of the cost of transportation, they cannot be claimed for by the employee. (Rates allowed are from the Government of the Northwest Territories fee schedule).
2. Where the actual cost of meals and services exceeds the maximum allowance per day and where the reason for this excess can be justified and the expenses supported by receipts, the employee will be reimbursed for the actual expense incurred.

3. When travel status extends beyond fifteen calendar days in one location, the maximum amount claimable for meals shall be reduced to $25.00 per day inclusive for all days in excess of fifteen days.

Other Expenses

Employee may be reimbursed for:

1. Long distance telephone calls of an official nature provided that an explanation is provided. Where an employee is required to remain absent from his home over a weekend and has been on continuous travel status for two or more days preceding the weekend, he shall be reimbursed for a personal long distance call not to exceed five minutes (to be supported by receipts where available).

2. Baggage – for storage and excess baggage charges, where this is in the performance of duty and a satisfactory explanation is provided.

3. Taxis – the use of taxis must be explained except where the purpose is self-evident. Limousine service or public transportation should be used wherever available.

4. Laundry – after two consecutive days on duty travel a maximum of $2.00 per day for each subsequent day, supported by receipts in all cases.

5. Local telephone calls for business purposes.

6. Airport Improvement Tax when receipts are provided.
Limitations

1. No item of “other expenses” or transportation will be reimbursed unless it is supported by a receipt.

2. The following expenses will not be allowed:

   i) purchase of briefcases, fountain pens, tools or any other supplies or equipment;
   ii) purchases of a personal nature, such as baggage, clothing, etc.;
   iii) subject to items above, telephone, facsimile, cable or radio messages of a personal nature except in the case of unavoidable delay in arrival home;
   iv) expenses of any kind incurred during stop overs for personal reasons during period of leave, with or without pay; and,
   v) any losses of money or personal belongings.

Compensation While in Travel Status

1. Where an employee is in travel status for the purpose of attending a conference, seminar, workshop or other form of training and development, he shall continue to receive his normal salary for the duration of the period of travel status.

2. Where an employee is attending a conference, etc. as described in a) above, and his attendance is required there at time outside of his regularly scheduled hours of work, such attendance shall not be considered work for the purposes of overtime compensation.

Travel Time

Traveling time outside of an employee’s regularly scheduled hours of work for the purpose of attending conferences, seminars, workshops or other forms of training and development shall not be considered as work for the purpose of overtime compensation.

PROCEDURE

Responsibility  Action
Chapter 13: Human Resource Policies

1. Where an employee will be traveling for the purpose of attending a conference, seminar, workshop or other form of training and development, the Human Resources Division and the Senior Administrative Officer shall authorize travel by signing the Travel and/or Travel Advance Authorization prior to the start of the trip.

2. The Travel and/or Travel Advance Authorization form is to be submitted to the Human Resources Division at least ten (10) days before the trip commences.

3. Where an employee will be traveling for Senior Administrative purposes other than training and development, the respective Department Head and Senior Administrative Officer shall authorize travel by signing the Travel and/or Travel Advance Authorization prior to the start of the trip.

4. Transportation and accommodation arrangements and payments will be handled by the employee or the Human Resources Division.

5. Within ten (10) days of completing the trip, the Employee shall submit claim for expenses on the preauthorized form for the approval of the Department Head and Finance Department, along with a personal cheque to cover any amount by which the travel advance exceeds the total of the claim. Where reimbursement of a travel advance is not made within ten (10) days, the City will deduct any outstanding amount from the employee’s salary. Those employees who require a reimbursement will be provided with a cheque within 10 days of submission of an expense claim.

6. No employee is allowed to have more than one
(1) travel advance outstanding at any one time.

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<tr>
<th>Date Issued: May 1/89</th>
<th>Issued: S. Dunn</th>
<th>Approved: D.B. Lagore</th>
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<tr>
<td>Revision Date: August 16/02</td>
<td>Revised by: M. Couturier</td>
<td>Approved:</td>
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The following is printed with the permission of the Tthets’ehk’e Deli First Nation. Below is the Tthets’ehk’e Deli First Nation’s policy on Conflict of Interest.

**Conflict of Interest**

Policy 1.3  
Approved:  
Approval Process: TDFN Council  
Revision Date(s):  

**Purpose**  
This policy is to ensure accountability and balance within the members and families of the Tthets’ehk’e Deli First Nation to maintain order and positive relationships.

**Policy**  
In addition to the definition of Conflict of Interest for monetary gain as defined by Labour Standards and included in the TDFN policies, TDFN establishes the following policy re: Conflict of Interest to ensure the perception of conflict of interest is not an element in the governance of the Tthets’ehk’e Deli First Nation.

The Tthets’ehk’e Deli First Nation will govern the expenditure of funding without undue pressure from family interests.

**Scope**  
Council members are responsible to conduct their duties without interest to personal gain and only exercising their authority within a quorum of Council. All employees are responsible for declaring any potential or actual conflict of interest. Contractors are responsible for declaring any potential or actual conflict of interest.

**Procedures**

- Councillors and members are not to approach the Chief of Tthets’ehk’e Deli First Nation outside the hours of the Chief’s normal working day to request consideration of financial reimbursement that has not been authorized by the Chief and Council, sitting in quorum.
The TDFN Chief is not able to make financial decisions on program funding which has received an approved budget by Council, sitting in quorum.

The TDFN Chief and Council, upon approval of a program budget will include guidelines for the delivery of the program and how expenditures are to occur.

To ensure that all members, Councillors and potential employees are aware of the program guidelines, these guidelines will be posted in the TDFN office and circulated to TDFN Council members for reference.

TDFN Chief and Councillors are to read/or have read to them, the TDFN Conflict of Interest Policy. The Policy is then to be signed by both and kept in the TDFN files.

Breach of this Policy could result in suspension of, Chief as recommended by the Council and decided upon by a Membership Assembly, of a Councillor as decided by the Chief and Council, and of an employee as decided by the Senior Administrative Officer.
The following is printed with the permission of the Yellowknives Dene First Nation (YKDFN). Below is the YKDF policy on attendance.

![Policy on Attendance](image)

**INTRODUCTION:**

Employees must attend work regularly and on time. When an employee’s attendance is unsatisfactory, corrective action must be taken.

**GUIDELINES:**

1. Employees must attend work during their regularly scheduled hours of work.

2. The employer has a right and responsibility to know where employees are during scheduled hours of work.

3. Attendance registers are maintained in each program area. The registers will record the attendance and absences of each employee in the program with sufficient information to substantiate:
   - all payments of salary; and
   - the accumulation of all credits associated with the salary.

4. An employee must request authorization from the Manager of any unscheduled absence as soon as reasonably possible after learning that the absence will occur. The request must include a reason for the absence and an estimate of the duration of the absence. Program Managers may want
employees to submit their requests in writing.

5. Program Managers must be fair and reasonable in determining whether any unscheduled absence from the workplace will be authorized. To ensure fair treatment of an unscheduled absence, managers must consider the circumstances of each absence.

6. Authorization of leave to cover the time away from work will be granted only if the employer deems the absence to be reasonable and unavoidable.

7. Where the employee is absent without authorization of leave or lateness, appropriate deductions may be made from the employee’s pay.

8. Absence without authorization of leave is subject to disciplinary action.

9. The employee verbally requests the Program Manager’s authorization of any unscheduled absence, including lateness, from the workplace. The manager may ask for the request to be written.

10. The Program Manager will consider the request and determine whether leave will be authorized to cover the absence.

11. If authorized as paid leave, the leave is entered in the employee’s leave records, i.e. credits used and type of leave.

12. If authorized as unpaid leave:

   - the employee’s pay shall be reduced to reflect the unauthorized time away from work. If absences are frequent, pay reductions
may be accumulated to simplify administration; or

-at the employee’s request and the manager’s discretion, the employee may be permitted to make up the time outside of regularly scheduled hours of work, at straight time.

13. If unauthorized leave is taken, the employee shall be disciplined for the breach of a standard of conduct in accordance with the guidelines and procedures outlined in the Disciplined section of the Human Resource Manual and:

-the employee’s pay shall be reduced to reflect the unauthorized time away from work. If absences are frequent, pay reductions may be accumulated to simplify administration; or

-at the employee’s request and the manager’s discretion, the employee may be permitted to make up the time outside of regularly scheduled hours of work, at straight time.

14. Program Managers ensure the attendance records are maintained for employees in their departments.

15. The Program Managers provide the Human Resources Division with monthly attendance reports summarizing all absences in the program.
The following is printed with the permission of the Incorporated Hamlet of Sachs Harbour. Below is a section of the Incorporated Hamlet of Sachs Harbour’s By-law No. 77, section 5, on Vacation Leave.

**************************************************************************************
BEING A BY-LAW OF THE INCORPORATED HAMLET OF SACHS HARBOUR IN THE NORTHWEST TERRITORIES PROVIDING FOR THE EMPLOYMENT AND CONDITIONS OF THE EMPLOYMENT OF THE HAMLET EMPLOYEES.
**************************************************************************************

5. **Vacation Leave**

1. Permanent and term employees.

   For each calendar month in which a permanent or term employee received at least ten (10) days pay he/she shall earn vacation leave, with pay, at the following rates:

   i) Less than two (2) years of continuous employment

      1.25 days per calendar month fifteen (15) working days per year.

   ii) Less than three (3) years of continuous employment and more than two (2) years of continuous employment.

      1.5 day per calendar month eighteen working days per year.

   iii) Less than five (5) years of continuous employment and more than three (3) years of continuous employment.

      1 2/3 days per calendar month twenty (20) working days per year.

   iv) Less than ten (10) years and more than (5) years of continuous employment

      Two (2) days per calendar month

      Twenty-four (24) working days per year he/she has more than five (5) years of continuous employment.
v) More than ten (10) years continuous employment

Two and a half (2 ½) days per calendar month
Thirty (30) working days per year he/she has more than ten (10) years continuous employment.

2. Subject to operational requirements, the employer shall make every reasonable effort in granting vacation leave with pay to an employee;

i) not to recall an employee to duty after he/she has proceeded to vacation leave;

ii) to grant the employee his/her vacation leave at a time specified by the employee;

iii) to confirm the authorization of vacation leave as soon as possible after the employee has applied for such leave;

iv) to schedule vacation leave on an equitable basis and when there is no conflict with the interests of the employer or the other employees, according to the wishes of the employee;

v) when two (2) or more employees request the same vacation period, seniority shall govern;

vi) when, during any period of vacation leave, an employee is recalled to duty, he/she shall be reimbursed for reasonable expenses as normally defined by the employer, that he/she incurs;

1. In proceeding to his/her place of duty

2. In respect to any non-refundable deposits or pre-arrangement associated with his/her vacation
3. In returning to the place from which he/she was recalled if he/she immediately resumes vacation upon completion of the assignment for which he/she was recalled after submitting such accounts as are normally required by the employer.

3. Where in any vacation year an employee has not been granted all of the vacation credits to him/her, the unused portion of his/hers vacation leave shall be carried over to the following year.

4. Upon request of the employee, and with the approval of the Senior Administrative Officer earned vacation leave may be liquidated in cash. The employee has an option to receive the earned vacation credits in cash payable before he/she leaves on holidays.

5. Casual employees shall be paid vacation pay at the rate of six (6) percent of basic earnings on each cheque from the employer.