



University of Waterloo
Human Resources

CANADA AWARDS FOR EXCELLENCE

Excellence, Innovation and Wellness

Going for Silver

(Academic version)

Submission

October 11, 2016

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PROFILE

University of Waterloo

In just half a century, the University of Waterloo, located at the heart of Canada's technology hub, has become one of Canada's leading comprehensive universities with 36,000 full- and part-time students in undergraduate and graduate programs.

A globally focused institution, celebrated as Canada's most innovative university for 24 consecutive years, Waterloo is home to the world's leading post-secondary co-operative education program and encourages enterprising partnerships in learning, research and discovery.

In the next decade, the university is committed to building a better future for Canada and the world by championing innovation and collaboration to create solutions relevant to the needs of today and tomorrow.

Human Resources

Human Resources (HR) plays a key role in supporting the [University's strategic plan](#) and the attainment of Waterloo's overarching goal of being recognized as one of the most innovative universities in the world. The University's strategic plan includes eight themes, one of which, the [Robust Employer-Employee Relationship](#), is directly enabled by HR.

The Robust Employer-Employee Relationship theme articulates two broad objectives – to be a destination of choice for superior individuals seeking employment and to enable staff to fulfill their potential in a career at the University. The theme group has developed a number of goals and indicators under these objectives, many for which HR is directly responsible.

Human Resources creates an annual business plan that is informed by the University's strategic plan and the Robust Employer-Employee Relationship theme in particular. It articulates HR's vision, mission, strategy, and goals at the operational level and lists the department's priority projects for the year.

The process for creating HR's vision and mission was a collaborative effort. HR leadership emphasized that the entire HR team needed to be involved to bring the mission and vision to life. Groups worked together to provide answers to some fundamental questions; what was important to the team? How did we want to be seen? HR employees contributed to these pieces and prioritized them during a department exercise on what words best described HR, including group performances on how to model each of these identified behaviors and values.

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The leadership team then brought it all together to create the HR's mission and vision.

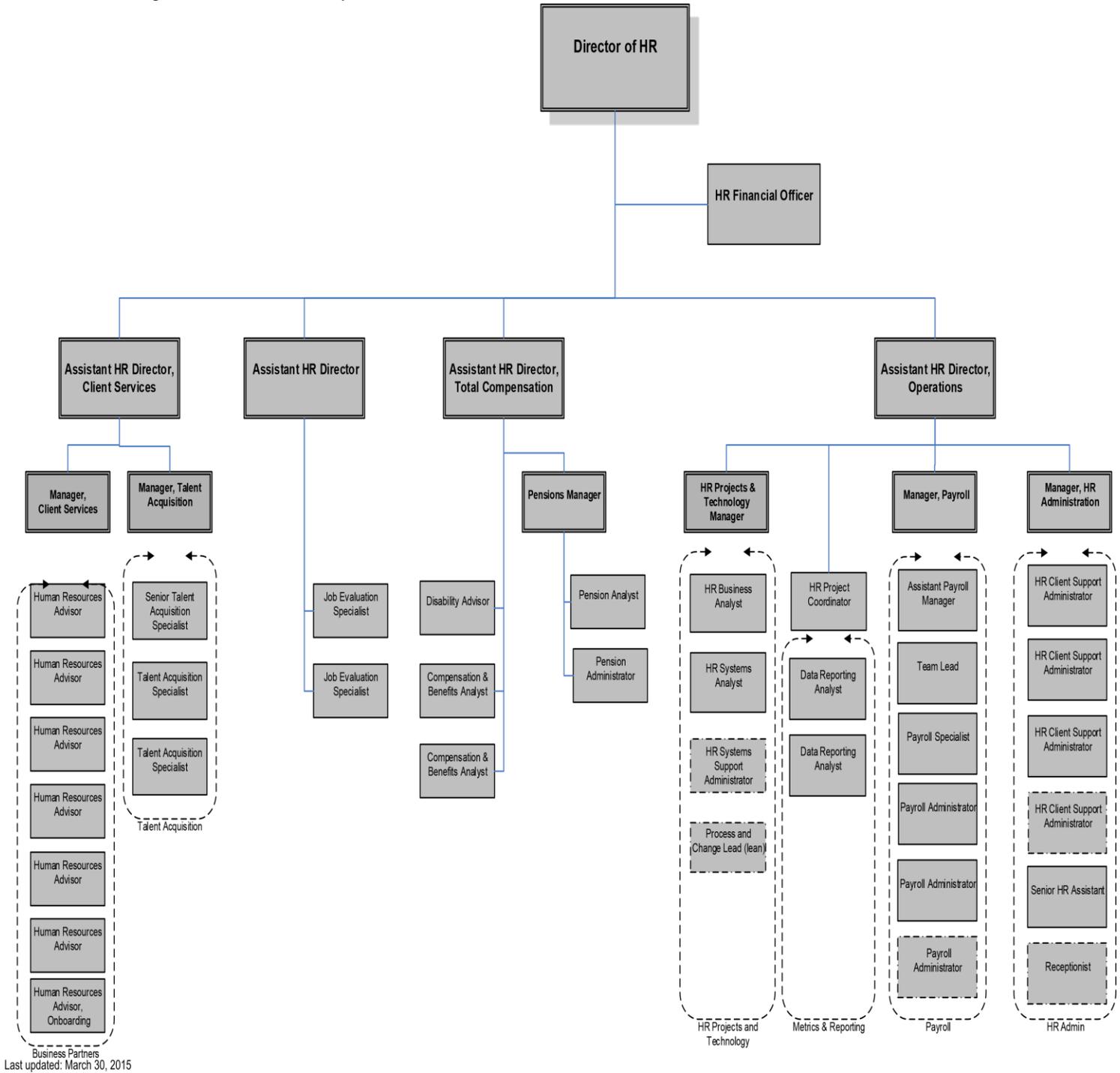
Our Mission.

Delivering professional, employee-focused services with integrity.

Our Vision 2020

Human Resources is recognized as a valued strategic partner to our clients by providing relevant, best-in-class, innovative services that support the goal of becoming a destination of choice for talented and engaged employees.

The organizational chart below highlights the entire Human Resources department as of January, 2016.



OUR JOURNEY

The Evolution of Human Resources

HR has grown and evolved significantly in recent years. The number of employees has grown over 66% since 2010 – from 30 employees to over 50 today. The increase in

numbers has enabled the department to optimize its operations and processes, while also focusing increasing time and energy on more strategic value-add activities. Key changes since 2010 are highlighted below.

Senior Leadership

Prior to 2010, HR was combined in a portfolio with Student Services. It was then decided that the portfolio should be split with HR and Organizational and Human Development (OHD) reporting to an Associate Provost, HR and Student Services reporting under separate leadership. At that time, HR was organized under three directors: Director, Staff and Labour Relations, Director of Pension, Benefits and Compensation, and Director of OHD. HR had historically been responsible for HR administration and acted in a “policy policing” capacity with limited support for managers and employees across campus. HR consisted of less than 30 people. In 2011, two areas of HR were amalgamated under one leader. This change allowed for a single direction to be created with a focus on excellence, accuracy and customer service. Since 2011 the department has grown to over 50 employees with a clear focus on clients and their needs.

Client Services & Talent Acquisition

In January 2012 the HR department was restructured with the creation of the client services area and the appointment of an Assistant Director, Client Services. This same year, a business case was approved to launch a Talent Acquisition team focusing on hiring talent for the University. In February of 2014, a Manager of Talent Acquisition, two Talent Acquisition Specialists and one Senior Talent Acquisition Specialist were hired to support the growing needs of the University. In 2015, Client Services increased again with the addition of orientation and onboarding resulting in the need for a Manager of Client Services. In 2016 the group expanded again to support the expansion of temporary employee hiring and to provide support to St Jerome’s college. The team now has fourteen employees.

Operations

In September of 2012, the Assistant Director, Operations was recruited and backend operations became amalgamated under the one leader. The intent of this change was to ensure there was a consistent focus on the administration processes within the HR Operations. Since 2012 the group has grown significantly to adequately support the various administration needs of the organization. The group further reorganized to create appropriate segregation of duties between HR administration and HR payroll. The HRMS team has grown and changed to include project leadership in their technology mandate and as part of that change a project coordinator was hired to manage the projects. A further focus was put on decision based reporting from HR and in 2013 the team hired the first of two data reporting analysts. To improve the focus on the client HR hired a permanent receptionist to manage walk in traffic as well as first line responses to questions. Between 2011 and 2016 the group has grown from eleven staff to twenty-nine.

Total Compensation

The Assistant Director of Total Compensation was hired in 2013 and has a team of seven employees. The team consists of the following areas: pension, benefits, compensation, disability management, and recently AODA. The focus of this team is specialized support to the University campus.

OUR EXCELLENCE CANADA JOURNEY

Integrating Excellence Canada's Excellence, Innovation, and Wellness (EIW) Standard is a goal at both the University level in the Robust Employer-Employee Relationship theme and also within HR at the department level in the HR Business Plan.

HR began Excellence Canada journey in December with the launch of the survey, working with Nancy Collins internally and Catherine Neville from Excellence Canada as our Coach. HR's approach was unique on campus in that the entire department was involved every step of the way. From participating in the initial Excellence Canada Survey to create our baselines, to analyzing the results in groups in order to close the gaps, to presenting findings to the team and using that information to help build the application. Leadership evaluated the information provided from the six driver groups and flushed out the material with the broad overarching perspective, as necessary, to complete the drivers. All changes were then presented back to each individual group to ensure they were in agreement with what will be included in this application. We present a significant amount of evidence throughout this application on how we as a department, and as an institution, meet or exceed the requirements for the silver-level standard. In the self-assessment, HR scored 73.4375% overall, that reflects our dedication to excellence, innovation, and wellness, and have completed the groundwork to work towards continuous improvement.

The scope of our application is agency-wide and your contact is

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The remainder of this submission will present what we have done to address the Standard, with supporting evidence.

1. Leadership and Governance

a) The senior leadership team endorses and supports the following operating principles:

- **Leadership involvement**
- **A primary focus on relevant stakeholder experience**
- **Co-operation, teamwork, and continuous learning**
- **A focus on excellence, innovation and wellness**
- **A focus on continual improvement**
- **Commitment to fact-based decision-making through the use of data and measurement**
- **Commitment to corporate social responsibility**
- **Commitment to good governance, including enterprise risk management, and financial controls.**

HR's senior leadership team provides strategic leadership for the development, implementation, operational effectiveness and administration of Human Resources programs and policies. Senior leaders are engaged both within HR and across campus, and are committed to good governance, continuous improvement, and fact-based decision making. They encourage a continuous improvement culture within HR that is rooted in a commitment to excellence, innovation, and employee wellness.

Leadership involvement

- HR creates an annual [Business Plan](#) that identifies the department's key priorities and projects for the year. It includes:
 - Long-range vision and mission
 - Short-range HR objectives & HR strategies
 - Annual goals (new and ongoing projects)

Senior leaders create the Business Plan with significant input from all HR employees which is gathered through retreats, team and one-on-one meetings, department meetings, and feedback tools such as 15Five (described in People Engagement, section g). Senior leaders provide strategic leadership to ensure the attainment of annual goals and are actively involved in projects either as team leads or project sponsors.

- HR leaders are also actively involved in university-wide initiatives and committees (see b) and are informed about campus priorities, culture, and practices.

Focus on Relevant Stakeholders

- HR Partner Model – leadership advocates for HR to be recognized by its clients as a valued strategic partner. It demonstrates its commitment to stakeholders experience by supporting the redefinition of HR Advisors' roles to focus on value-add HR partner services.

Co-operation, Teamwork & Continuous Learning

- Senior leadership encourages staff to participate in a variety of training opportunities available at the University (e.g., Organizational & Human Development (OHD) workshops, OHD Staff Conference, Lynda.com, Skills for the Electronic Workplace workshops) and provides opportunities for staff to undergo role-specific training (e.g., Advanced dispute resolution training for HR Advisors, Payroll Compliance Practitioner certification for payroll staff, conferences, etc.)

Focus on Excellence, Innovation & Wellness

- Work-Life Balance
 - Senior leadership leads by example & encourages work-life balance through flextime, work-from-home and alternative work arrangements. HR also operates on a 35-hour work week.
 - Senior leaderships supports campus physical wellness initiatives (e.g. campus walk, campus scavenger hunt, reverse osmosis).
 - See People Engagement, requirement a) for more information.

Focus on Continual Improvement

- Senior leadership has endorsed and led many process improvement initiatives in recent years, including the integration of Lean methodologies. See Process and Project Management (section a) for more information on HR's continuous improvement activities.
- Senior leadership has also integrated 15Five, an innovative two-way communication tool throughout the department. This tool is designed to improve communication between managers and their direct reports. See the People Engagement driver (section g) for more information on 15Five.

Commitment to Fact-Based Decision-Making Through the Use of Data and Measurement

- Leaders have led the change to a more data-driven HR
- Data-Driven Roles
 - Senior leadership introduced data-driven roles (e.g. Data Analyst, Financial Officer) to support data-driven decision-making.
- Toggle
 - Senior leadership championed Toggle within the Client Services group to enable staff to objectively measure and assess the amount of time they spent on tasks within their role.

Commitment to Corporate Social Responsibility

- Senior leadership encourages and models participation in campus-wide socially responsible initiatives, such as:
 - CanBuild

- Elimination of bottled water from the department and installing Culligan filtered water.
- Collect donations from HR staff to purchase underprivileged children toys and clothes for Christmas.
- Participate in the annual United Way campaign.

Good governance

- Leaders are committed to good governance. HR undergoes regular audits by Deloitte, which have informed changes within the department. HR leaders have also completed a [risk management assessment](#) to identify and mitigate the department's key risks.

b) In the decision-making process, the university considers the wide-spread impact of decisions on students, employees and other stakeholders. Impacts include quality, safety, health and societal issues.

HR consults and collaborates with various employee groups on campus to ensure the impact of decisions made regarding staff are considered. Key employee groups and committees include:

- University of Waterloo Staff Association (UWSA)
- Faculty Association of the University of Waterloo (FAUW)
- CUPE Local 793
- Provost's Advisory Committee on Staff Compensation (PACSC)
- Staff Relation Committee (SRC)
- Pension and Benefits Committee (P&B)

c) There is a method to review and ensure compliance with relevant provincial and national legislation, regulations and standards, including human rights, privacy, health and safety, disability, accessibility, employment standards, etc.

- HR works with the [Office of the Secretariat & General Counsel](#), which has an annual process for ensuring legislative compliance and outlining departmental responsibilities and accountabilities (e.g., Employment standards act, anti-spamming roll out). The Privacy Officer resides in the Secretariat and provides university-wide support on privacy issues.
- HR employees stay informed of legal updates through continued education opportunities.
- Employment equity risks have been identified and a policy has been developed and implemented campus-wide to maintain compliance with the Government of Canada's Federal Contractors Program.
- All HR employees (and all Waterloo employees) are required to take mandatory training on the topics of employee safety, workplace violence awareness, and accessible customer service.
- HR's termination policies comply with and exceed the human rights legislation. Due to the due diligence performed by HR staff, labour board complaints are minimal and arbitration is limited.
- Confidential Information
 - Access to areas in which confidential information is stored is restricted to HR staff.
 - Confidential files are stored on the secure internal server and protected R drive, which only HR staff have access to.
 - Confidential information is shredded upon disposal.
 - Confidential appointment in Outlook can be made private so that delegates cannot view the details of the meeting.
- Accessibility
 - The HR website is complaint with AODA
 - HR has hired an AODA Specialist to address accessibility issues and ensure compliance
- HR's sick leave policies meet and exceed employment standards in several areas:
 - Length of absence
 - Medical follow-up
 - Accommodations in the workplace
 - Graduated return-to-work planning

d) Governance framework policies applicable to the university's mandate and goals have been established, and such policies have been communicated across all areas.

- The Secretariat & Office of General Counsel oversees the process of policy development and renewal. This unit conducts a multi-year review of all university policies.
- The University's governance framework, policies and guidelines are extensive and go above and beyond legislation.
 - [Policies](#)
 - [Guidelines](#)
 - [Governance framework](#)
- HR is committed to privacy and voluntarily undergoes a Privacy Security Impact Assessment (PSIA). HR has a procedure in place surrounding the disclosure of public information.
- HR's executive compensation structure underwent a government audit and achieved compliance.
- HR has achieved long-term compliance in the area of salary disclosures.

e) There is clear accountability and cascading of responsibility for excellence, innovation and wellness.

- The University's Strategic Plan articulates the University's focus on excellence, innovation, and wellness, including its commitment to implementing Excellence Canada's EIW Standard under the Robust Employer-Employee Relationship theme.
- Responsibility for excellence, innovation, and wellness cascades to HR leadership and the current Business Plan articulates the goal to integrate the EIW Standard within HR.
- The "Going for Silver" process within HR has modelled a clear accountability and cascading of responsibility. HR leaders guided the process and empowered employees to lead driver groups for the self-assessment, be accountable for their groups' work, and score the department accordingly.
- [Policies](#) exist that articulate the University's commitment to innovation, excellence, and wellness.
- Within HR, there has been improved assignment of accountability and ownership in specific areas, such as the new hire processing, involuntary terminations, salary increase process corrections.

- Management is committed to employee well-being by offering alternative work arrangements and encouraging participation in campus wellness initiatives, such as the campus walk. (See People Engagement for more on how leadership supports employee wellness)

f) Indicators of effectiveness of leadership have been established and measured.

- The Excellence Canada survey was completed by all HR employees and measured leadership effectiveness in several areas, including support for work-life balance.
- HR leaders are measured against the goals for their area. Performance appraisals have an informal 360 degree-like approach to obtain feedback about managers and leaders. Feedback is requested from clients and colleagues. Managers are assessed against the same standard as other employees.
- Regular meetings are set-up between managers/leaders and their supervisors.
- The 15Five communication tool presents employees with an opportunity to raise support needs and morale concerns with their managers.

2. Strategy and Planning

a) There is a vision, mission and/or values statement that has had input from key stakeholders. These statements are communicated broadly.

The University has a mission statement and a strategic plan which articulates and overarching goal, to be recognized as one of the most innovative universities in the world. HR has vision and mission statements, which have been developed with input from all HR employees.

- The HR mission and vision were created based on the Robust Employer-Employee Relationship theme in that University's strategic plan.
- HR has a vision, mission, and values which were developed with employee input and are prominently communicated in HR meetings and documents, including through the project roadmap updated monthly, executive portfolio summary, HR departmental meetings updating on project statuses, and a printed HR Business Plan brochure which is given to each HR employee.
- The HR website includes vision and mission on the [HR home page](#).
- HR has developed a number of promotional materials featuring the mission and vision, including, posters, and banners.
- As part of the 15Five communication tool, questions are specifically asked to staff about how they intend to live the HR mission that month.
- The HR Director meets with new hires to HR department to educate them about the mission and vision.
- The Excellence Canada survey results indicated that 86% of HR staff felt that the mission, visions and values are communicated.

b) A university-wide Strategic Plan has been developed and implemented with input from all stakeholders.

The University has developed an extensive strategic plan, which is monitored and reported on annually. The University's strategic plan informs HR's strategy and goals.

- The University has a well-developed and carefully monitored [strategic plan](#). Human Resources (HR) plays a key role in supporting the University's strategic plan and the attainment of Waterloo's overarching goal of being recognized as one of the most innovative universities in the world. The University's strategic plan includes eight themes, one of which, the [Robust Employer-Employee Relationship](#), is directly enabled by HR.
- The University's strategic plan was developed following extensive consultations with campus stakeholders, which included over 40 meetings with over 60 groups of students, faculty, staff, and alumni (collecting input from more than 3,400 people).
- Strategic plan for the University is communicated to campus in various ways, such as: email introductions, strategic plan website, town halls that discuss various themes.
- The Robust Employer-Employee Relationship theme articulates two broad objectives – to be a destination of choice for superior individuals seeking employment and to enable staff to fulfill their potential in a career at the University. The theme group has developed a number of goals and indicators under these objectives, many for which HR is directly responsible.
- Human Resources creates an annual business plan that is informed by the University's strategic plan and the Robust Employer-Employee Relationship theme in particular. It articulates HR's vision, mission, strategy, and goals at the operational level and lists the department's priority projects for the year.

c) Flowing out of the Strategic Plan, a balanced set of key priorities and measurable goals has been developed that relate to excellence, innovation and wellness, as reflected in various plans. These are:

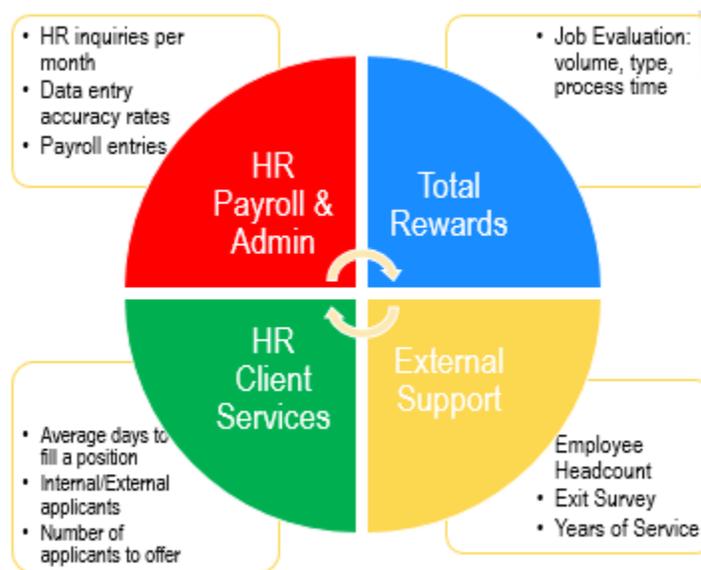
- **Established with input from key stakeholders**
 - **Determined for operating budget development and for inclusion in the university's operating plans**
 - **Communicated across the university to build awareness.**
-
- Clear goals and action plans have been developed for each of the University's Strategic Plan themes. Indicators have been identified to measure progress in each theme. Theme group leaders provide progress reports, which are available on the [Strategic Plan in Action](#) website.
 - The HR Business Plan was produced by the leadership team with input from all HR employees, building off of the University's goals and objectives.
 - Many of HR's current goals relate to excellence (Excellence Canada Certification), innovation (Pre-boarding and Identity Management), and wellness (EFAP).
 - An HR Steering Committee reviews the department's progress towards annual goals.
 - The HR Business Plan is communicated broadly to all employees and HR clients.

d) **Baseline indicators to measure performance against goals have been established in plans (or sections of plans) and are monitored regularly through methods such as a “Balanced Scorecard” e.g.,**

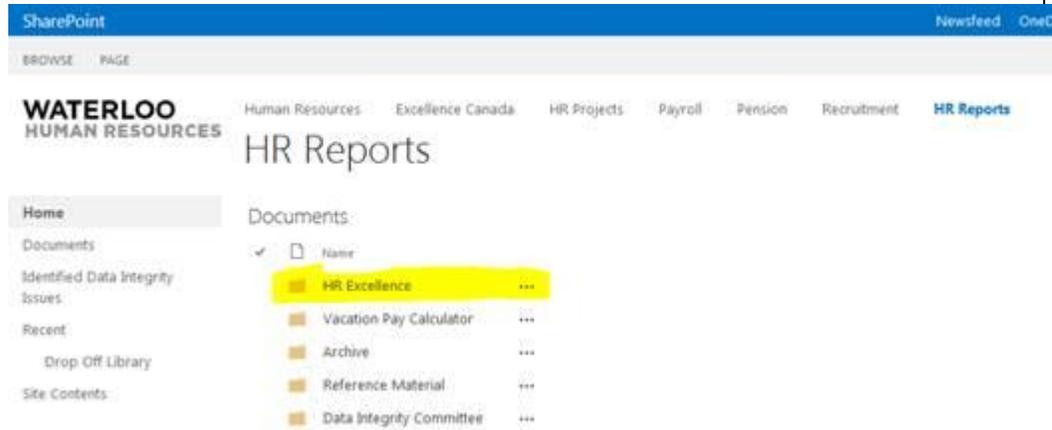
- **Stakeholder experience**
- **Governance and financial management**
- **Corporate Social Responsibility including energy management and environmental sustainability**
- **Enterprise risk management**
- **Continuous quality improvement, process and project management, and partner/supplier**
- **Innovation**
- **Knowledge Management and Information Technology**
- **Human Resources, Wellness and Mental Health.**

HR has invested in the development of a human analytics framework to measure and track progress towards the university’s strategic plan and core objectives.

- At the University level, indicators have been developed and are monitored for all of the goals under the strategic plan. See [all indicators under the Robust Employer-Employee Relationship](#) theme.
- Each of the goals in the HR Business Plan have measures for success, such as the baseline target completion dates. Progress and actual completion dates are used to measure success versus the initial target.
- Full operational metrics have been established and are updated on a monthly basis. Metrics include recruitment “time to fill”, process efficiencies, cycle times, and benchmarks. See the [current metrics that HR tracks with definitions](#).



- Based on a gap noted during the Excellence Canada self-assessment, HR leadership has started to share HR metrics with all HR employees. Monthly metrics are now posted on the HR SharePoint site in the Reports section:



- Other baselines, such as current state of a process, is used where the goal is to change the process.
- Other metrics capture current volumes of work in order to measure improvements in the decrease in volume (i.e. support calls for Central Contact Centre project).
- HR website usage is tracked to measure against the website project's goals and objectives, i.e. increase traffic, decrease calls to reception.
- HR has successfully integrated exit interviews into the process for all departing employees. By 2017, HR expects to have enough data to gain meaningful insights on why employees choose to leave the University.
- HR conducted an HR Satisfaction Survey in August and September. See Service Excellence for more information.

e) Enterprise risks have been identified.

HR has identified its risks and how it mitigates these risks.

- HR has completed a [risk management assessment](#) to identify and mitigate the department's key risks.
- HR regularly takes steps to address compliance and institutional risks.
Examples:
 - Hired an AODA Specialist to address the [risk of non-compliance](#) [PART X, section 37]
 - Established a new electronic Employment Equity survey with recalibrated workforce data to achieve year one [Employee Equity compliance](#) as part of the Federal Contractor's Program.
 - Worked with campus partners to develop guidelines and a tool to distinguish under what circumstances individuals should be regarded as employees or contractors.
 - Maintains privacy through use of locked file cabinets, SendIt for providing access to secure files. Develop confidentiality agreements when required.
 - Changed the temporary employee process and codes to ensure compliance with eligibility rules.
 - Have developed a disaster recovery plan and business impact analysis
 - Maintain the security of HR files and personnel by installing security fobs for building access, a panic button in reception, and locked cabinets in cubicle and storage areas.
 - Conduct monthly safety inspections Health and Safety of Employees; mitigation includes fire plans and drills.

f) The university uses a variety of methods to communicate its various policies and plans.

The University and HR use a variety of methods to communicate with employees.

- University-wide communication methods include:
 - The Daily Bulletin – a popular daily news source for employees and often includes information about the University's policies and plans.
 - The University's website includes gateway pages by audience, which are used to communicate audience-specific information.
 - President and Strategic Plan Town Hall meetings are held and employees can attend in person or via live streaming and social media.
 - The President's State of the University Report to the university community.
 - The President's speeches and publications are available online.
 - Many of the University's committees and councils where policies and plans are discussed hold open meetings.
- HR redesigned and recently launched a [new website](#). Employees can now travel anywhere on the website within 5 clicks.
- Policies are included in all new hire packages. The University's policies, procedures and guidelines are available online and are easily searchable.
- HR communicates with its clients via the Human Resources Advisors and also by doing regular presentations for university committees and departments – E.g., Policy 18 road shows to communicate changes in this policy.
- Within the department, leadership communicates its policies and plans via department meetings, team meetings, and one-on-one meetings between managers and employees. There is an “open door policy” within HR and employees can always approach leadership and their managers outside of regular meetings as well.
- HR leadership communicates regularly with HR employees via email blasts.
- HR's SharePoint site is a repository for departmental documentation. Some things, like the monthly roadmap updates, are regularly posted on SharePoint for access by HR employees.

3. Service Excellence

a) **Linked to the Strategic Plan, planning is in place that defines the service excellence, with a plan of how to deliver and measure the service.**

HR's annual [Business Plan](#) centres upon providing exceptional service to clients and defines specific service objectives and measures. It connects to and supports the University's Strategic Plan and, in particular, the objectives under the [Robust Employer-Employee Relationship theme](#).

- HR's vision, mission, objectives, and strategies define and reinforce the department's service excellence focus:
 - **HR Vision 2020:** "HR is recognized as a valued strategic partner to our clients by providing relevant, best in class, innovative services that support the goal of becoming a destination of choice for talented and engaged employees"
 - **HR Mission:** "Delivering professional, employee-focused services with integrity"
 - **HR Objectives:**
 - Improve overall HR satisfaction scores by 20 per cent
 - Increase HR "top of mind presence" by 50 per cent for all initiatives that impact the employee experience
 - Implement Robust Employer-Employee Relationship theme initiatives. This includes integrating the EIW "Going for Silver" Standard.
 - **HR Strategies:**
 - Ensure ease of access to all HR information, help available and services offered
 - Focus efforts on programs and initiatives that add value to our customer
 - Develop service standards that focus on quick, accurate responses to inquiries
 - Strengthen HR Leadership and Business Partner relationships with clients.

HR's annual goals articulated in the [Business Plan](#) define the specific projects that will support and further the department's mission, objectives, and strategies in pursuit of HR Vision 2020.

- During August and September 2016, HR conducted a university-wide [HR Satisfaction Survey](#) to better understand employees' satisfaction with the services that HR provides. 1,250 employees responded to this survey and HR is in the midst of analyzing the data. This survey will establish HR's baseline measures for service excellence as HR strives to meet its mission and vision. If analysis is complete, survey data may be available during the verification visit or upon request to the HR Director, Kenton Needham.

- HR's Client Services is a functional unit devoted to providing exceptional client service. It includes the Talent Acquisition Team, Human Resources Advisors (HRAs), and Onboarding Specialist. Talent Acquisition Specialists and Human Resources Advisors are assigned to University departments and act as units' primary contacts with HR. See a list of [departments under the HRAs](#).
- Select units within HR have implemented service expectations and measures. For example, Client Services measures employee satisfaction with new employee orientation and the recruitment process.

b) A service excellence policy exists and has been communicated clearly and consistently to students, employees and other stakeholders, as appropriate.

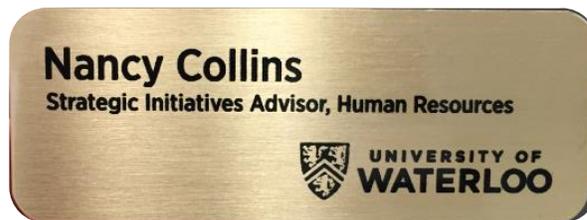
Although HR does not have a service excellence "policy", the HR Mission operates in a similar fashion, as it defines what service clients can expect from HR and guides HR employees' behaviour.

- The HR Mission "Delivering professional, employee-focused services with integrity" is a touchstone for all HR employees. It is prominently displayed throughout the department on banners in meeting rooms, in reception and on coffee mugs, on the HR website, and in its publications. It is broadly communicated and reinforced within HR and to clients.
- Individual units within HR have established some customer service standards that they use to manage client expectations. For example:
 - The use of out of office notifications during peak work periods by some units
 - HR Help has a bounce-back email that communicates its service standard
- Organizational and Human Development (OHD) has developed and regularly offers an [Exceptional Service workshop](#), which many HR employees have taken. The HR Advisors and Talent Acquisitions teams under Client Services and the HR administration and Payroll teams under HR Operations have all completed this workshop. This workshop is now part of HR's onboarding process and defines service delivery expectations for staff members at Waterloo.
- Human Resources uses an application called 15Five that combines weekly check-ins, update on goals, pulse surveys and peer recognition. Human Resources uses this tool to reinforce the service mandate by asking employees "How are you intending to live the vision and mission this month"

c) Employees understand the importance of contributing to positive stakeholder service.

HR employees understand the importance of providing exceptional client service to ensure a positive client experience.

- HR's vision, mission, objectives, and strategies articulate the importance of service excellence and these things are integrated into HR employees' work and communicated broadly on a regular basis, such as during department meetings.
- HR employees take extra steps to ensure a positive client experience, knowing that small touches can make a big difference. Examples include:
 - HR recently installed a digital display screen and a radio in the reception area to make this a more comfortable and welcoming environment for individuals who may be waiting before an interview.
 - All HR employees wear name badges when they meet with clients:



- HR pilots initiatives to improve the employee experience. For example, HR is currently planning "pop-up HR" booths that will be situated around campus. This provides a friendly face for HR and provides employees with an opportunity to meet HR employees and get answers to their questions.
- HR employees' performance is measured in the area of "Client Service" during annual performance appraisals. Client Service is one of the "core performance behaviours that the University would like to see demonstrated across all staff members". This performance factor mentions "service excellence" specifically.

d) Stakeholder requirements are identified, analyzed and communicated to employees.

When developing and providing services, HR employees ensure that they have a clear understanding of client requirements. This is accomplished by maintaining strong relationships with clients, gathering requirements for all new initiatives, and assessing overarching requirements through the HR Satisfaction Survey.

- HR identifies stakeholder requirements on an ongoing basis by maintaining strong relationships with open communication. Some of the ways HR accomplishes this, include:
 - Through the Talent Acquisition Specialists and Human Resource Advisors, who act as departments' primary contacts with HR. These HR employees develop a deep understanding of departments' unique cultures and requirements and communicate back to HR to inform service development and delivery on an ongoing basis.
 - By maintaining positive employee relations with the key employee groups on campus – the University of Waterloo Staff Association (UWSA), the Faculty Association of the University of Waterloo (FAUW), and CUPE Local 793. HR sits on committees such as the [Staff Relations Committee](#) and the [Faculty Relations Committee](#), which provides them with a good understanding of the needs and priorities of these employee groups.
 - By participating on a number of [university-wide committees](#).
- Stakeholder requirements are gathered and assessed for all projects. Consultation includes focus groups, committee consultations, and targeted outreach to impacted individuals. Stakeholders often participate in the project teams to ensure maximum engagement. The consultation that occurred during [changes to Policy 18](#) is notable, as employees from across the University were engaged to provide feedback throughout the revisions and rollout. Additional examples include: The new hire survey, hiring manager survey, EFAP, termination form, temporary contract process, Lean pilot, and the compensation review.
- As HR increases its “top of mind” presence and focuses its efforts on value-add initiatives that position it as a strategic business partner, this requires HR employees to become more knowledgeable of departments' strategic plans and objectives. HR recently conducted a university-wide review of strategic plans and will be formalizing regular reviews of units' strategic plans as part of the HRA role moving forward.
- The HR Satisfaction Survey provides a mechanism for identifying stakeholder requirements on an annual basis. The results of the survey will be shared with HR employees. Plans also are underway for an Employee Engagement Survey in 2017 and HR is exploring the possibility of pulse surveys to gauge employee sentiment quickly on targeted issues.

e) Service standards exist at key contact points and are integrated into team or individual performance plans.

Service standards do exist for some HR services and these are integrated into team and individual performance plans.

- Although HR does not currently have a consistent set of service standards across the department, the HR Business Plan notes this as one of the HR strategies of current focus: "Develop service standards that focus on quick, accurate responses to inquiries".
- As noted in b, some individual units within HR have established some customer service standards that they use to manage client expectations.
- As noted in c, HR employees' performance is measured in the area of "Client Service" during annual performance appraisals. For the HRAs, it is HR managers' practice to gather feedback on their performance from three departments (two where interactions have been positive, one where things have been more challenging).

f) Mechanisms are in place for stakeholders to:

- **Provide input on their requirements**
- **Seek assistance, and**
- **Give feedback on measures that are relevant to them.**

Stakeholders can contact HR through a number of mechanisms.

- The Human Resources Advisors and Talent Acquisition Specialists are departments' primary mechanism for providing input on their requirements, seeking assistance, and giving feedback. In addition to these contacts, employees can also contact HR through HR Help, by visiting reception in person, through the HR website, and by providing feedback in the HR Satisfaction Survey.
- As noted in d, employee groups such as UWSA, FAUW, and CUPE Local 798 can provide feedback to HR through employee relations committees and regular communication via meetings with HR leadership
- Clients are actively engaged in many HR projects and are consulted during process reviews.

g) Baseline feedback measures have been identified. Results have been collected, and used to inform planning and innovation.

HR conducted an initial [HR Satisfaction Survey](#) in August and September of this year which will establish a baseline for service excellence in HR. This data will be used to inform planning and drive change.

- The [HR Satisfaction Survey](#) is the mechanism that HR is using to establish baseline measures for service. It looks things such as,
 - overall satisfaction with HR areas contacted in the last 6 months
 - the timeliness of HR's responses
 - how well HR understands client needs
 - how well HR provides positive and efficient service
 - the accessibility and understandability of services
 - the clarity of HR's processes

The HR Satisfaction Survey will be conducted on a regular basis

- Full operational metrics have been established for HR and are updated on a monthly basis. Metrics include recruitment "time to fill", process efficiencies, cycle times, and benchmarks. See the [current metrics that HR tracks with definitions](#).

4. People Engagement

<p>a) A strategic Human Resources Plan and a Wellness Plan, which includes mental health, are in place and clearly link to the overall Strategic Plan and related operational plans.</p>
<p>Human resources and wellness considerations and initiatives are well-integrated into the University's strategic plan under the theme of the Robust Employer-Employee Relationship, which includes two overarching objectives: 1) to be an employer of choice for superior individuals seeking employment, and 2) to enable employees to fulfill their potential in a career at Waterloo. Indicators have been developed and are monitored for each of these objectives. See the Strategic Plan in Action website to review progress by objective and all indicators.</p>
<p>Action</p>
<p>The HR department supports the human resources planning of all units on campus. The department has grown and evolved significantly in recent years to better meet the needs of its clientele.</p> <ul style="list-style-type: none">• In addition to activities such as recruitment and job evaluation, HR is taking a long-term view of workforce planning and is developing talent from within so that people are in a competitive position to be promoted. Efforts to support workforce development include mentorship programs, leadership programs, and increasing support across campus for reassignment and secondment opportunities.• HR provides its employees with support for achieving designations such as CPM & PCP, CHRP, CHRL, IPMA-CP, ADR).• With respect to compensation, HR has a designated job evaluation team, maintains transparent pay scales (see Policy 5) and online access to job descriptions and the benefits and pension package. Compensation surveys are conducted regularly and a Staff Compensation Review is currently underway.• Human Resources maintains collegial and productive working relationships with employee groups on campus, including the Faculty Association, Staff Association, and CUPE local. <p>HR leads the University's wellness programming in conjunction with the campus-wide Healthy Workplace Committee.</p> <ul style="list-style-type: none">• HR coordinates employees' benefits plan and the EFAP and is integrally involved in all initiatives relating to employee wellness.• The Healthy Workplace Committee is responsible for creating and implementing an overarching framework for wellness at Waterloo. Committee membership includes representation from all employee groups (faculty, staff,

CUPE, students) as well as individuals from HR, Organizational and Human Development, Occupational Health, and the Strategic Initiatives Advisor working on Excellence Canada, to ensure consistency with the EIW Standard. The committee will develop wellness initiatives to support employees' wellness.

- Within the HR department, wellness is a strategic consideration during project planning and there is a vibrant team spirit in HR that is fostered largely through the department's internal social committee. The goal of the social committee is to organize an event on a bi-monthly basis. Events and initiatives have included:
 - A Blue Jays trip – Approximately 50% of HR employees attended the game this year and the group booked a bus for travel to and from Toronto.
 - Mini putt in the lunchroom during the Canadian Open.
 - A subsidized Christmas party that is held outside of work and includes dinner and dancing.
 - An annual BBQ and ice cream days.
 - A tuck shop within the department that offers discounted snacks and drinks and subsidized coffee and tea.
 - Filtered water in the kitchen, which has motivated many employees to drink more water.
- HR leadership also organizes team events to break down silos:
 - Team building events have included survival simulation exercises with Titanic and Bush Fire themes, additionally, a Skills Development Inventory (SDI) exercise has allowed individuals and teams to examine how others work under normal circumstances and under pressure.
 - Group initiatives such as the department photoshoot where HR employees come together wearing various colours on university branded t-shirts increase the team spirit in HR.
- HR leadership and managers consider people in all planning activities. Examples include:
 - “Share the light” as a guiding principle for space planning. This principle was created and broadly communicated during a recent renovation to ensure that there was equal access to windows .
 - Focus was placed on creating a welcoming lunch room for social interaction
 - Guiding Principles are founded for strategic projects, including wellness as a top priority. For example, for the Technology Renewal Program, guiding principles such as “properly resourced” and “smart prioritization” were articulated.
 - Staff are encouraged and supported to participate in events such as the Mental Health Awareness Day.
 - Panic button was installed at the reception desk should an emergency situation arise.

- Employees often describe HR as a “big family” – there is a strong sense of community and team spirit that prevails in the department. Many initiatives are organized informally based on this sense of comradery. These include:
 - Walking group – various HR employees join together for routine walks around campus to get exercise.
 - Golf group – open invitation to all HR employees to join in a gold game every week at their leisure.
 - Potluck lunches for celebrations (weddings, baby’s, etc)
 - Birthday celebrations
- Most HR employees have parking within very close proximity to the HR office.
- HR provides the tools and equipment required for employees to do their jobs effectively, plus additional individual accommodations that are requested; examples: assistive devices, standing desks, cubicle chairs, ergonomic assessments. Performance appraisal forms include a section that asks employees if they have the environment and tools they require.

At the University level, there are many policies, guidelines, and practices that demonstrate a commitment to people and wellness, including:

- [Flextime guidelines](#)
- [Work from home guidelines](#)
- [Bereavement leave entitlement](#)
- [Emergency days](#)
- The University’s [Employment Assistance Program \(EFAP\)](#) has been expanded to now include support for family members. A comprehensive EFAP has been available since September 2016.
- Mandatory safety, accessibility, and workplace violence training.
- [Policy 34 - Health, Safety, and Environment](#). This policy includes a focus on ergonomic best practices. There are resources within the university to review workspaces and offer suggestions to improve workspace ergonomics.
- [Policy 29 - Smoking](#). The University has a no smoking policy in buildings and areas within ten metres of all buildings.
- University committees that address wellness (e.g., Healthy Workplace Committee, Recreation Committee, Status of Women and Equity Committee).
- Waterloo has increased the number of Occupational Health Nurses in recent years to support furthering psychological health efforts.
- The Safety Office provides ergonomics guidelines online and also provides in-person assistance to ensure correct ergonomics for employees.
- The University recently developed and launched [WatSAFE](#), a free safety and emergency notification app that provides immediate access to personal safety and campus emergency resources.
- Job hazard analysis and monthly safety inspections are completed in all department.

b) The leaders actively promote a culture of work/life balance.

HR's leaders focus strongly on the wellbeing of employees by supporting a work/life balance. HR has created its own flextime guidelines that are expanded off of the University's guidelines, which allow for employees to manage their own time. HR operates on a 35-hour work week and offers work-from-home opportunities based on University guidelines.

Action

- Flex time –
 - HR has developed its own [flex time procedures](#) and [flex timesheets](#) that expand upon the [University's flex time guidelines](#). This is separate to eligible overtime as Individuals manage their own flex time and are able to use flex time as they need so long as appropriate coverage is maintained.
 - Two version of flex time exist within HR – one for non-management and one for management. For non-management, individuals who have accumulated flex time have one month to use their surplus hours. For management, individuals still have the same maximum carry-over hours, but they can carry-over their surplus hours.
- HR employees are encouraged to work a 35-hour work week to promote work/life balance. In cases where overtime is required to meet a major deadline, non-management employees are compensated with overtime pay or can take time off in lieu. Overtime hours must be preapproved by the Assistant Directors and managers are required to make a case for the overtime.
- Working from home –
 - The University has well-defined [guidelines on working from home](#). There is a fair and equal application process for work-from-home in HR, however, some jobs do not allow for work-from-home. E.g., HR Receptionist
- Appropriate staff complement for the work performed. Additional staff are hired as needed to alleviate workload for projects. E.g., the recruitment system implementation.
- Annual performance appraisals provide an opportunity for employees and managers to address workload issues.
- At the campus level, Waterloo has strong leadership support to promote work/life balance. With respect to promoting mental health, Waterloo is one of six organizations in Canada recognized by the Mental Health Commission of Canada as an early adopter of the National Standard of Canada for

[Psychological Health and Safety in the Workplace](#). Waterloo was also recently selected to participate as one of 25 organizations in a nation-wide case study project with Mindful Employer Canada, sponsored by the Ministry of Labour, which is intended to build capacity across the University for positive workplace mental health.

c) Human resources policies have been developed and are available to all employees for easy access. Human resources policies should address relevant human rights legislation and issues to protect against harassment and discrimination in the workplace, as well as inclusion and diversity.

HR policies have been developed and are available on the [HR website](#) for all employees to access. Other relevant university policies are available on the [Secretariat & Office of General Counsel](#) website.

Action

- Key employment policies include:
 - [Policy 18 – Staff Employment](#)
 - [Policy 65 – Equality in Employment](#)
 - [Policy 33 – Ethical Behaviour](#)
- Human Resources includes a diversity statement on all job postings. See [External career opportunities](#) for examples.
- The University created and endorses six [Principles of Inclusivity](#). Some HR staff are trained in the Principles of Inclusivity:
 - The introductory Principles of Inclusivity course is part of the [core development workshops](#) that are highly encouraged for all new employees
 - The award-winning [Inclusivity Series](#) is comprised of seven workshops acknowledge, communicate, and promote an understanding of the complexity and uniqueness of the University of Waterloo’s campus community.
- The University has an [Advisory Committee on Equity](#) that advises on Inclusion, Diversity, Equity, and Accessibility for Success (IDEAS). Offices supporting diversity on campus include the [Equity Office](#) and [Conflict Management and Human Rights](#). Waterloo’s Equity Office that acts as a central source of expertise for university community on substantive equality, diversity, and inclusion matters. The Equity Office leads efforts to proactively promote [equity and diversity](#) established as priorities in [A distinguished past — a distinctive future: University of Waterloo Strategic Plan 2013 \[PDF\]](#).

d) There is a system in place for recruitment, selection, and on-boarding of employees.

HR has developed a university-wide recruitment process and recently launched a new recruitment system. A new onboarding process has been created and a supporting onboarding materials have been developed.

Action

- [Policy 18 – Staff Employment](#) includes a section on “[Hiring at Waterloo](#)” which provides guidelines and procedures relating to internal candidates, external candidates, post-retirement employment, former staff members, credited service, and probation.
- In recent years, HR has created a talent acquisitions team, developed a recruitment strategy, and launched a new [Careers site](#). HR also recently [launched a new talent acquisition system](#) to support the hiring of staff and CUPE employees. The new system streamlines recruitment processes and provides new functionality, such as the ability to refer jobs to people.
- In 2016, HR added senior-level recruitment to its recruitment services, leveraging the skills and institutional knowledge of its talent acquisition team to attract top senior executives to the University.
- HR launched a new onboarding strategy in 2015/16 that recognizes employees’ needs and orients them to Waterloo’s culture and workplace gradually from the time of offer until the end of their first year. Resources to support onboarding now include a [website for new employees](#), a [Campus Resource Guide](#), a revised [orientation workshop](#) (held monthly), and [welcome videos](#) from the President, Vice-President Academic & Provost, Associate Provost of HR, Director of HR, and Director of OHD.
- Internal career opportunities are posted and made broadly available to all employees on a weekly basis. The University encourages reassignments (temporary position changes within a department) and secondments (temporary position changes across departments) as a means of developing employees.
- [External career opportunities](#) are posted to the Careers website on a weekly basis and are promoted broadly through job boards, social media, and other avenues.

e) There is a system in place for the management of employee performance and retention, based on shared knowledge of roles and responsibilities as outlined in current position descriptions.

Waterloo has a well-defined and transparent system in place for managing employee performance and retention.

Action

- All job descriptions are [posted and available online](#). This ensures transparency and promotes greater awareness of roles and responsibilities across the University.
- The Secretariat maintains [current organizational charts](#) for major units. All proposed organizational changes are reviewed by the Staff Relations Committee.
- Employees have annual performance appraisals.
 - The performance appraisal process is well-defined and [many resources exist on the HR website](#) for managers and employees to support performance appraisal activities. During appraisals, employee performance is evaluated against goals, new goals are developed for the coming year, and employees have opportunities to provide input via a staff activity form.
 - The performance appraisal form includes sections on health, safety, wellness, equipment and environment requirements, training, and more.
 - All new managers are required to take the [Performance Conversations workshop](#) prior to completing employee performance appraisals.
 - Within HR, employee ratings are discussed and calibrated across the department by the management and leadership teams. Managers advocate for the ratings. HR's process for performance calibration is being used by select units across the university.
- HR provides performance coaching and correction for employees to foster improvement. There is a well-defined process for Managers to follow when working with employees to improve performance, which includes the creation of a performance improvement plan.

<p>f) Training and development requirements are determined with employee input, and employees are assisted in acquiring and implementing new skills. Improving leadership, management, and supervisory interpersonal skills and abilities is a high priority.</p>	
<p>The University and department provide a wide range of professional development and training opportunities for employees. Opportunities include the annual OHD Staff Conference, leadership training programs, a tuition benefit, and job-specific training and accreditations.</p>	
Action	Evidence (Appendices)
<p>Waterloo and the HR department invests in employees and provides opportunities for training and continuous learning:</p> <ul style="list-style-type: none"> • Policy 18 entitles staff members to up to five of their normal working days of training annually for career and professional development. • The University provides a tuition benefit where tuition fees are waived for employees (up to 2 courses/term). • OHD, SEW, and CEL offer a wide array of learning opportunities, including workshops, bookshops, certificate programs, and the annual OHD Staff Conference. • OHD has developed a number of leadership development programs which HR leadership has participated in. The different programs are aimed at supervisors, new managers, and academic leaders. • New employees are highly encouraged to take the core development workshops Principles of Leadership, Principles of Inclusivity, Integrity Matters, and Service Excellence. • The University has an institutional membership to Lynda.com, which provides employees with access to hundreds of online training videos. • HR reimburses the cost of professional designations/development for HR employees upon successful completion, if the designation is in the job description – E.g., CHRP designation. 	

<p>g) Human resources, wellness and Voice of the Employee indicators are developed, measured and communicated.</p>	
<p>HR conducts several surveys University-wide to obtain feedback from employees with the goals of creating baseline measures to focus on areas of improvement.</p>	
Action	
<p> </p>	

- HR has developed a [human analytics framework](#) to measure progress toward the University's strategic plan and core objectives. This strategy had included the development of new instruments such as entrance and exit interviews and the tracking of metrics such as turnover, internal movement, and retirements. Data collected informs decision making. For example, now that HR has successfully integrated exit interviews, by 2017 it will have enough data to gain meaningful insights on why employees choose to leave the University.
- Key indicators of employee engagement and wellbeing that HR monitors at the campus level include EFAP usage, turnover rate, short-term disability, extended health care benefits usage, etc. These metrics can be made available upon request to the HR Director, Kenton Needham.
- Within the HR department, Voice of the Employee indicators include absenteeism, turnover rates, accident and injuries, and disability rates. HR leadership monitors these metrics to assess the overall health and wellbeing of HR employees. These metrics can be made available upon request to the HR Director, Kenton Needham.
- HR uses a program called [15Five](#) to enable greater communication between managers and their direct reports. With 15Five, performance conversations take place on an ongoing basis, rather than just once a year, and it provides a mechanism for employees to submit ideas to leadership. On a weekly basis, employees take 15 minutes to respond to questions from their managers and then managers spend 5 minutes responding to employees' responses. Sample questions include:
 - How are things going?
 - Where are you stuck?
 - What took too long to complete this month?
 - How is the morale you see around you?See [HR's 15Five how-to guide](#) for more information on 15Five.
- HR Leadership reviews the feedback received from 15Five on a quarterly basis and generates reports to identify trends and issues to inform practices and hear the Voice of the Employee. Leadership has taken action on submitted ideas:
 - E.g., Employees asked why HR has metrics and they don't see them. Leadership now displays HR metrics on the HR SharePoint site so they are prominently available for all HR employees to view.
 - E.g., Leadership has increased the frequency of department meetings in response to employees' feedback.
 - E.g., Lunchroom configuration of tables reflects employee desire to have communal tables.
 - E.g, 15five questions have been added and modified based on feedback from employees.
- HR will be developing an Employee Engagement survey in 2017 to measure employee engagement across the University on an annual basis. In addition to a static survey, HR is investigating options for pulse surveys, to capture

employee sentiment on targeted issues.

- The Voice of the Employee is highlighted in the Daily Bulletin, the University's daily news source for employees, which anyone can submit story ideas to. HR employees and initiatives are highlighted within the Daily Bulletin from time to time and HR also supplies messages relating to employee retirements, etc.
- The University of Waterloo was [awarded the Greater Kitchener-Waterloo Chamber of Commerce Business Excellence Award in Employee Engagement](#). The award recognizes Waterloo's achievements with the Principles of Inclusivity Series, annual staff conference programming, mental health programming, and more.



- The University, for the first time ever, submitted an [application to the Canada's Top 100 Employers competition](#). Results will be announced in early November.

h) Management provides various avenues for employees to provide feedback, and to put forward innovative ideas and suggestions for improvement.

HR leadership provides avenues and tools for employees to have their say – from implementing the 15Five communication tool to recognizing employees' accomplishments. Management actively reviews employees' recommendations and takes action to address them.

Action

Avenues for providing feedback to put forward innovative ideas and suggestions for improvement:

- 15Five (described in g) has provided a universal mechanism for employees to submit feedback to leadership on a weekly basis.
- Department meetings provide opportunities for asking questions and discussing topics of current interest as an entire department.
- Regular team meetings provide employees with opportunities to share ideas and suggestions for improvement.
- Employees also meet regularly (usually weekly) with their managers and share feedback and ideas at this time.

Recognition and rewards:

- As a public institution, the University and the HR department do not offer monetary rewards. Still, HR provides opportunities for employee recognition in a number of ways:

- 15Five enables employees to give “high five” acknowledgements to their colleagues
- HR leadership welcomes and introduces new employees during department meetings
- HR leadership sends out regular recognition emails to acknowledge employee contributions and successes. See an [example of a “high five” acknowledgement in 15Five](#) that was received as an email notification.
- Service milestones are celebrated with special events and milestone gifts
- Small token gifts are provided as “thank you’s” to employees for going above and beyond – E.g., movie tickets, personalized cards.
- Project celebrations – acknowledge projects that have closed and the project team for their accomplishments. HR provides a cake as part of the celebration.

5. Process and Project Management

a) Key processes and projects have been identified.

HR creates an annual [Business Plan](#) that identifies the department's key priorities and projects for the year. Within HR, functional areas have identified their key processes and a template exists for creating new processes and identifying who owns the processes.

- HR's annual [Business Plan](#) identifies the department's key projects and priorities for the coming year. The Business Plan is developed by the senior leadership team with input from all HR staff. Once published, the plan is broadly communicated to all HR employees through a variety of means (print publication, email, team updates, department meetings, etc.)
- An [HR project roadmap](#) is updated on a monthly basis as a portfolio summary of where projects stand. This roadmap is shared with all HR employees on the HR SharePoint site, so all employees can monitor the department's process on projects and priorities. An [executive portfolio summary](#) is also created and monitored.
- Each team within HR has identified its own projects and processes, but there is still some confusion as to who owns what part of each process. This will change as HR undergoes a complete end-to-end process review starting in January in preparation for the implementation of a new HRMS.
- HR has developed an [HR Process Automation Roadmap](#) to plan out the automation of several key HR forms. Since the beginning of this year, HR has automated 4 paper based processes by redefining current state using cross functional groups and designing an automated workflow for campus users.
- HR uses Lean tools such as root cause diagrams for problem-solving and current and future state process maps with swim lanes to capture HR processes and define who owns what part of the tasks.

b) A standardized method is in place for project management.

HR has a standardized method for project management, which is well-established and fully-integrated into the department's operations.

- The HR Projects and Technology team is responsible for the planning and execution of HR projects and initiatives in collaboration with the HR leadership team.
- The size, scope, and strategic importance of HR projects varies considerably. As new projects arise, they are reviewed and resourced accordingly. This includes assigning project managers and determining the extent of project management required. For example, HR has many large-scale projects that impact the entire University. These usually require a business case, project charter, and other formal project documentation, which may not be required for smaller-scale projects. Occasionally, there is some confusion as to what requires a full project plan and what doesn't and this is currently being addressed.
- The Projects & Technology team has developed project management methodologies and tools to enable a consistent approach to projects throughout the department. Current project management templates that have been created to increase efficiency, consistency, and greater understanding across the department and working teams include:
 - Business Case
 - Project Charter
 - Project Plan
 - Change Request
 - Change management organizational readiness assessment
 - Communication and Training Plan, Action Item, Decision, and Issue Log
 - Lessons Learned
 - Meeting Minutes
 - Project Kick-Off
 - Project Status Report

HR has a dedicated area on the HR SharePoint site to house all of these templates and tools for project management.

c) Key work processes and/or procedures, including process ownership, are documented using a consistent methodology across the university, and are easily accessible by all employees.

HR uses a consistent methodology to capture key work processes and procedures that includes process ownership.

- Employees create and maintain process maps for key processes within HR. As examples, see the process maps that have been developed for [resignations](#), [internal recruitment including secondments](#) (future state), and [determining contractor status](#).
- Over the past few years, HR has begun to adopt Lean methodologies for process improvement:
 - HR hired two green belts (3 years ago) that have assisted in redesigning all payroll processes, eliminating waste. HR has transitioned 26 processes from payroll and HR to a centralized admin team over the past two years, which has resulted in both quantitative savings and better distribution of work leading to a more streamlined experience for clients.
 - Projects that specifically used an end-to-end process review approach have included:
 - Payroll audit – employee contractor, segregation of duties and process monitoring, manual transfers, changes to employee Masterfile etc.
 - HR Audit – disability management, onboarding, terminations
 - HR has developed a [Potential Failure Mode and Effects Analysis \(FMEA\)](#) to review, prioritize and understand the pain points for core processes. This tool is used on a regular basis within HR's Operations unit.
 - With the Lean Pilot, HR is now taking a more formal project-oriented approach to process management. The pilot focused on HR's "mission critical" (approval to hire) process. By reviewing this process prior to the implementation of the new recruitment system (iCIMS), HR was able to reduce the number of approvals required by the Provost by 77%, which enabled HR to automate a significantly improved process (see the [Provost's notes on the Lean pilot](#))
 - Since the Lean Pilot, HR leaders have facilitated process improvement events within HR to begin improving other processes, E.g., Using a Lean approach, the job evaluation process was improved, resulting in a reduction in the number of steps (down to 8 steps now from 22

previously).

- Waterloo hosted the [Lean Higher Education Conference](#) in 2015. Since this time, HR has lead the use and adoption of Lean on campus. HR leaders coordinated and participated in a [Lean Panel at the OHD Staff Conference](#) in 2016, which was moderated by the Associate Provost, Human Resources Marilyn Thompson.
- HR has identified individuals internally with Lean expertise and leverage their knowledge to drive a continuous improvement culture within HR and beyond.
- During the Excellence Canada gaps analysis, HR employees identified the need to improve access to departmental documentation (such as process maps) within SharePoint. HR employees are now developing a standardized method for document storage within SharePoint to improve knowledge management across the department.

d) Training for process and project management and related tools is planned and/or underway for involved employees.

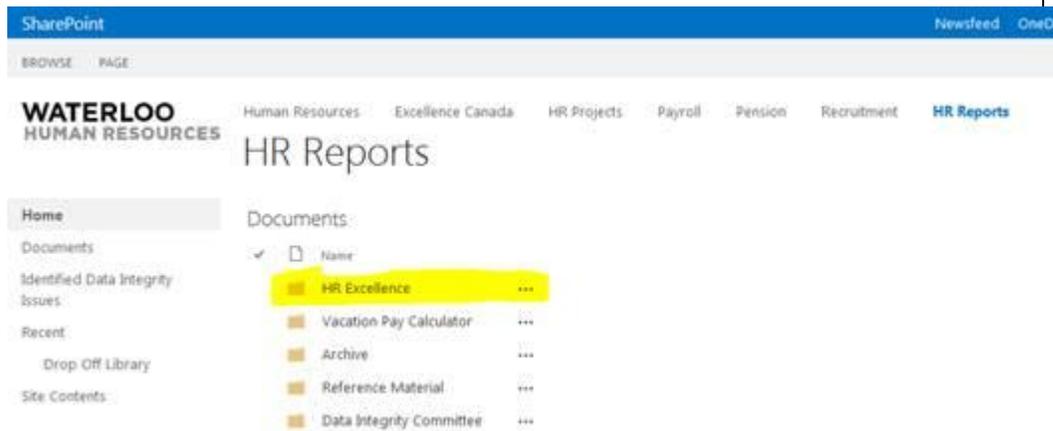
All HR employees have access to process and project management tools and training. Select staff within HR are already trained and skilled in process and project management and provide leadership in these areas for the department.

- Many of HR's leaders, managers, and individuals on the HR Projects and Technology team are trained and highly-skilled in project management. Because effective project management is essential within HR, this function has been formalized and resides with the HR Projects and Technology team, which provides project management support for all HR projects, even those that are not technical in nature. Individuals from this team are assigned to all HR projects in varying capacities – E.g., Pension system implementation, recruitment system implementation, HRMS RFP, EFAP, Onboarding, etc.
- HR employees have access to process and project management-related tools on the department's SharePoint site. Tools include documentation for current projects and departmental procedures, process maps, and templates for project management and processes.
- Process and project management training is available for employees as needed. Employees are often trained internally within their HR team and they also have access to a range of training opportunities available through the [Centre for Extended Learning](#) and through the University's institutional subscription to [Lynda.com](#).
- During the Excellence Canada analysis it was identified that there needs to be a greater focus on training for team members who are part of projects to increase their understanding of project management tools.

e) Key measures have been identified and data is actively being collected and used to measure and monitor key process stability.

HR has identified key measures and collects and uses data to assess the performance of HR processes.

- Full operational metrics have been established and are updated on a monthly basis. Metrics include recruitment “time to fill”, process efficiencies, cycle times, and benchmarks. See the [current metrics that HR tracks with definitions](#).
- Based on a gap noted during the Excellence Canada self-assessment, HR leadership has started to share HR metrics with all HR employees. Monthly metrics are now posted on the HR SharePoint site in the Reports section:



<p>f) Key internal stakeholders across all levels are involved in process improvement activities with demonstrated input from employees directly impacted by any changes.</p>
<p>HR actively engages internal stakeholders, including employees, during process improvement activities.</p>
<ul style="list-style-type: none">• HR employees regularly review and improve upon processes within HR. This work is largely accomplished by operational and cross-functional teams and necessitates input from employees that work directly with the processes under review. Feedback is also regularly sought from individuals (i.e., clients) impacted by the HR processes. For example, when improving the temporary contract hiring process, HR solicited feedback from hiring managers across campus. HR also engaged 5 different departmental units to redesign all processes for independent contractor classification and payment leading to streamlined processes in all units and greater support for the transition across the campus community.• Many continuous improvement activities involve stakeholders from different university departments and across levels. In these cases, efforts are made to bring key stakeholders together. Examples:<ul style="list-style-type: none">○ The Lean Pilot involved stakeholders from HR, the Provost's Office, and IST. Within HR alone, the pilot involved employees at the Director, Assistant Director, Manager, and regular staff levels.○ The redesign of the temporary authorization form two years ago involved the Provost's Office, all executive and admin officers, HR admin staff, and payroll.○ Employee/Contractor – This 3 year initiative involved a cross functional team from HR, Finance, Office of Research, Procurement and the Secretariat to ensure the University was legally compliant regarding the status of contractors/employees.• Regular department meetings have provided opportunities for HR teams to share current and future projects and initiatives with the rest of HR, which is facilitating opportunities for greater feedback and input into process reviews.

g) Key processes are assessed for their impact on the physical safety and mental health of all stakeholders, e.g., students, employees, partners, suppliers and other stakeholders.

- HR processes are regularly monitored (as described in e) and process improvement activities are prioritized in part by the processes' impact on the physical safety and mental health of stakeholders. For example, the Lean Pilot, which addressed the approval-to-hire process, was selected because it was a high-impact process for managers across campus that would enable them to fill positions more expeditiously and reduce workload strain caused by staffing shortages in their areas.
- Many HR managers and leaders have participated in the University's psychological health and wellness training to better enable them to address mental health issues in the workplace. Many of the [thirteen factors of psychological health and safety in the workplace](#) covered in the training speak to the role of the environment and processes.
- HR leadership regularly monitors employee workload and makes adjustments to processes and resourcing accordingly. During peak periods, HR leadership may adjust operational and project work as required. Often leadership will hire new staff or delay/slow down projects.
- Guiding principles are created for major initiatives to balance expectations and support employees' mental and physical health. For example, the Technology Renewal Program's guiding principles requires that projects will be properly resourced to prevent unmanageable workload.
- The University's Safety Office ensures that employees have the training required to perform processes safely. For example, WHMIS 2016 training is required for all employees, regardless of their position or level. Other job-specific training is provided for jobs with known hazards.
- Monthly safety inspections are conducted of the HR office to identify and address safety hazards. Hazards that develop during employees' work processes can be identified and help to inform where process changes may be required, i.e., filing cabinets left open, storage of heavy or unstable items above shoulder height.

6. Partners and Suppliers

Internal and external partners and suppliers are fundamental for Human Resources to support its staff, faculty and students. From the Employee and Family Assistance Program, to Great-West Life, to Occupational Health, to IST – relationships are the foundation for the services HR provides.

- a) **Key partner and supplier groups have been identified e.g.,**
- **Financial partners (e.g., government, research agencies, donors, etc.)**
 - **Non-financial partners (e.g., volunteers, agencies, charities etc.)**
 - **Suppliers.**

HR has identified its key internal and external partners and suppliers (see below) and is in the midst of creating a comprehensive list, which will be regularly maintained and centrally located so it is accessible by HR staff.

HR's key **internal partners** include:

- **Occupational Health**– HR works closely with [Occupational Health](#) to support employees' health. This includes assisting with early and safe returns to the workplace after an illness or injury, Workplace Accommodation, and referring employees to the Employee and Family Assistance Program (EFAP).
- **Information Systems and Technology (IST)** – [IST](#) provides centralized computing services and support (desktop, networking, web content management) to all academic support departments such as Human Resources. In addition, IST's Enterprise Systems team provides dedicated support to the Human Resources Management System (MyHRInfo), which is utilized for employee and organizational records, and payroll and benefits administration.
- **Secretariat & Office of General Counsel** – HR works closely with the [Secretariat](#) and offices/areas under its purview – Safety Office, Police Services, Privacy, and Equity Office – on governance matters relating to University Policies and HR's responsibility regarding employment relationships with the University.
- **Office of the Vice-President Academic & Provost** – HR works closely with the [Provost's Office](#) on internal operational and communication matters – e.g., approval to hire.
- **St. Jerome's University** – [SJU](#) now employs a Human Resource Advisor on a part-time basis (3 days per week), sharing this individual

with main campus. A [Service Level Agreement](#) has been established to define the terms and expectations of this service.

- **Retail Services** – HR purchases University and HR-branded items such as lanyards, t-shirts, mugs, and pens through [Retail Services](#) for promotional purposes. See [examples of the types of promotional materials](#) that HR has ordered through Retail Services.
- **Food Services** – [Food Services](#) is HR's primary caterer for events – E.g., vendor demonstrations during the RFP process, staff orientation
- **University Relations** – HR works with [University Relations](#) to ensure that communications and promotional materials are constructed and designed to be consistent with the University's brand – E.g., website banners, photography style, university-wide email invitations, posters, images for HR's Twitter feed, Executive Ads. See [examples of work for HR by University Relations](#).
- HR maintains constructive arms-length relationships with the Faculty Association of the University of Waterloo (FAUW), the University of Waterloo Staff Association (UWSA), CUPE, & the Affiliated and Federated Institutions of UW.
 - [FAUW Memorandum of Agreement](#)
 - [UWSA Memorandum of Agreement](#)
 - [CUPE Agreement](#)

External partners:

- Financial (Ceridian, TD Canada Trust, Education Credit Union, Ernst and Young, KPMG, CIBC Mellon)
- Government (CRA, Ministry of Finance, Ministry of Training, Colleges, and Universities, Receiver General, Revenue Quebec, Service Canada, Family Responsibility Office, Employment Standards Office, Ministry of Labour, Human Rights, Citizenship and Immigration, WSIB, Revenue Service BC)
- Benefits (Great-West Life, Sun Life/UHIP, Morneau Shepell, Homewood Health) – [Great-West Life contract](#)
- Recruiting (iCIMS, Indeed.ca, Workopolis, Linked In, Canadian Payroll Association, Aura Data, Newspapers, Dean Group)
- Consultants (CEB, Hay Group, Salary.com-Kenex, Hicks Morley)
- Culligan (water), Keurig coffee

<p>b) A policy (or policies) is in place that includes different forms of partner and supplier relationships.</p>	
<p>The University's guidelines, along with various policies and protocols for partner and supplier relationships, are in place through Procurement's Policy 17 – Quotations and Tenders.</p>	
	<p>Evidence</p>
<ul style="list-style-type: none"> • HR adheres to the guidelines set out in Policy 17 – Quotations and Tenders. HR has issued many Requests for Proposals (RFPs) for various University initiatives, through the sponsorship and support of governing bodies. Some examples include: <ul style="list-style-type: none"> ○ Pension Administration system (sponsored by the Pension & Benefits committee) ○ Talent Acquisition system (sponsored by the HRMS Steering committee) ○ Human Resources Management System (sponsored by the HRMS Steering committee) – currently in progress, expected completion: December 2016 • To facilitate an effective RFP process, HR creates cross-functional committees to review applications and select companies for contract, keeping in mind the University's preferred vendor list wherever applicable. • HR works closely with campus partners to establish sound partner/supplier practices. For example, HR recently worked with Finance, the Secretariat, Procurement, the Office of Research, Executive Officers from the Faculties, and FAUW to develop guidelines and a tool to distinguish under what circumstances individuals should be regarded as employees or independent contractors. 	<p>Procurement policies and guidelines: https://uwaterloo.ca/procurement/policies-and-guidelines</p> <p>Contract guidelines and procedures: https://uwaterloo.ca/secretariat-general-counsel/policies-procedures-guidelines/guidelines/procedures-re-university-contracts</p> <p>Contractor/Employer Procedure: https://uwaterloo.ca/secretariat-general-counsel/node/444)</p>

c) Appropriate information and criteria is used to select capable financial and non-financial partners and suppliers.

Procurement procedures and guidelines establish a protocol for selecting all partners and suppliers.

- HR follows the University's procurement guidelines and procedures when selecting partners and suppliers.
- See b) above for examples of RFPs that HR has issued.
- Procurement & Contract Service's process for selecting new partners and suppliers for the University includes these steps, which HR follows:
 - Information gathering – The strategic sourcing teams gather as much information as possible about what, when, and how the University should purchase the desired products or services. This involves internal interviews, in-house surveys, as well as marketplace surveys.
 - Developing specifications – Specifications are developed for products and equipment to be acquired. This can be very detailed, identifying exactly how a product is used and which features are most and least important.
 - Identify potential suppliers – Once the sourcing team understands what users need, it identifies the "universe" of potential suppliers, big and small. A detailed Request for Proposal (RFP) is usually issued outlining exactly what information is needed from potential bidders, including incumbent suppliers.
 - Post RFPs – RFPs (Request for Proposal) are posted on MERX (Canada's electronic tendering service) by Procurement & Contract Services. Procurement will also send RFP to companies that they are aware of that offer the services and/or software the University is looking for. Companies that respond are invited to come and give a presentation to a committee.

d) The university establishes and maintains co-operative working relationships with key partners and suppliers, and responds to feedback effectively.

HR maintains cooperative relationships with its internal and external partners and suppliers and is responsive to their feedback.

- HR maintains co-operative relationships with regulatory bodies and is responsive to their requirements and requests to ensure compliance – E.g., CRA, Ministry of Labour.
- HR establishes relationships with partners and suppliers through Service Level Agreements that allow for a proactive approach to addressing issues and allows for a greater understanding of roles and responsibilities. These agreements are established by senior leaders but executed by staff and managers. HR also engages a number of suppliers and partners with a mutual respect and understanding as it relates to compliance regarding employment laws, as noted above. Relationships for the most part are not pre-established but based on urgent need and/or based on a situation. Some partners have key contacts outlined in the Agreements.
- HR's internal partnerships are maintained primarily by HR's Client Services team, which includes Human Resources Advisors (HRAs) and Talent Acquisition Specialists assigned to each area within the University. See the [list of departments assigned to the HRAs](#).
- Relationship with other internal partners such as FAUW, UWSA, and CUPE are maintained through committees such as the [Faculty Relations Committee](#) and [Staff Relations Committee](#), which meet regularly to discuss issues of concern and interest.
- HR builds in a feedback requirement when issuing RFPs for new initiatives. See the [RFP that was developed for a new recruitment tool solution](#) as an example.
- The University's Procurement & Contract Services does not currently have the resources to proactively manage relationships with partners and suppliers. They only become involved when a partner or supplier is managing poorly. However, Procurement's goal is to position their resources in the future to allow them to concentrate more on the post-contract signature activities. Management of partner/supplier relationships will become critical to improving partner/supplier collaboration, innovation, and value-add.

- Deloitte conducts external audits for HR on its practices and operating standards. The audit report is available upon request to the Director of HR, Kenton Needham.
- At the time of the Excellence Canada survey, there were no service level agreements in place. However, in Q1 of 2016, HR developed a Service Level Agreement template based on the agreement between HR and St. Jerome's University and has begun to use SLAs to document agreed-upon service expectations.

e) Prior to procurement and whenever possible, employees are involved in assessing the impacts of products or services that impact on their health, safety and/or productivity.

HR's procurement activities can be department-wide or university-wide and can therefore impact HR employees at times or all university employees at other times. For example, new office furniture for HR staff primarily affects HR staff, whereas a new Human Resources Management System affects all university employees. In both cases, HR consults with affected employees whenever possible to ensure that they are involved in assessing new products or services.

- [Performance appraisal forms](#) include a section on work environment to provide HR staff with an opportunity to identify any tools or equipment they require – E.g., computers, ergonomic work spaces, etc.
- HR staff are consulted on the design of their office spaces – E.g., Staff selected the paint colours during a recent renovation and provided feedback on new chairs for the lunchroom.
- HR staff involved in procurements projects have developed guiding principles, which include maintaining the health of the employees in the project.
- HR facilitates employee involvement and solicits their feedback when assessing the impacts of products and services for all University employees –
 - E.g., HR consulted managers on the new recruitment system.
 - E.g., The Employee Assistance Program Committee consulted broadly with the University committee prior to selecting the new EFAP.

- E.g., The Early Referral (LTD/sick leave) stakeholder group involved with the RFP included representatives from faculty, staff, CUPE, HR, and Occupational Health. They held sessions for managers and up. Four vendors applied and presented to the stakeholder committee. Morneau Shepell was selected.
- HR supports and often facilitates practices that promote human health and corporate social responsibility for all of the University – E.g., [Sustainable procurement](#), [ethical investing of the pension plan](#).

f) Baseline partner and supplier performance measures are identified and collected.

HR monitors the performance of its key partners and suppliers.

- HR uses suppliers from the University's [Preferred Supplier List](#) (Procurement). Suppliers on this list have an established and reliable performance history.
- HR monitors the performance of its key external partners and suppliers. Current examples include:
 - Great-West Life – Is required to meet targets in claims processing and call center areas.
 - Ceridian – Has an accuracy rate that they need to meet.
 - Homewood (the University's new EFAP provider) – Will be assessed by HR on an ongoing basis.
- HR staff receive feedback from university employees on partner/supplier products and services and communicate this feedback to vendors as issue/improvement requests. Vendors' responsiveness is used to inform renewal decisions.
- As noted in d) above, the University's Procurement & Contract Services is will be concentrating more on the post-contract signature activities in the future and improving partner/supplier relationships, collaboration, and innovation will be a key focus.

CONCLUSION

HR has spent the better part of 2016 working collaboratively across the department on Excellence Canada activities to assess HR's strengths, identify gaps, and make improvements. Although HR has only recently started its journey with Excellence Canada, the "Going for Silver" experience has provided HR with an opportunity to measure its performance and ensure we are building upon a solid foundation. Integrating the EIW Standard is already proving to have positive changes within the department and solidifying HR's continual improvement culture.

The University of Waterloo has committed to the integration of the Excellence, Innovation and Wellness (EIW) standard across campus and HR's efforts will be valuable for the overall initiative.