

# MENTAL HEALTH AT WORK ESSENTIALS CERTIFICATION PROGRAM

2016 Version

## Requirements and Implementation Guide



**EXCELLENCE • CANADA**

improving performance, recognizing excellence | améliorer le rendement, reconnaître l'excellence



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## Acknowledgments

Excellence Canada would like to thank Manulife for their contribution to the development of the ***Mental Health at Work Essentials Requirements and Implementation Guide***.

## Overview

Excellence Canada (formerly National Quality Institute<sup>1</sup>) is an independent, not-for-profit organization committed to enhancing Canada's national well-being and global leadership through the adoption of management principles and practices that reinforce and sustain excellence in all sectors of our economy. The Excellence Canada Board of Directors is comprised of a diverse group of leaders from all sectors across Canada.

# Excellence Canada



### Mission

The mission of Excellence Canada is to help improve organizational performance and recognize excellence.



### Vision

The vision of Excellence Canada is to promote and enable excellence in every organization in Canada.

*Excellent organizations continually improve performance; they are innovative, competitive, and customer focused; they are healthy, inclusive, and sustainable; and they are economically, socially, and environmentally responsible.*



### Values

**PRIDE:**  
People  
Relationships  
Integrity  
Dedication  
Excellence

<sup>1</sup> National Quality Institute changed its name to Excellence Canada in November 2011.

## Introduction to *Mental Health at Work Essentials*

*Mental Health at Work Essentials* (MH@W) is committed to cultivating a healthy and safe work environment and improving lives. It provides a comprehensive approach to establishing a solid foundation for employee well-being and organizational health through a focus on the most “essential” policies, practices, and programs to ensure success.

The key outcomes for *Mental Health at Work Essentials* are:

- Leadership commitment to *Mental Health at Work* principles
- Broad team support of the vision, mission, and values
- A structured and comprehensive planning process for *Mental Health at Work* with measurable goals that align and link to the organization’s broader strategic plan and that are communicated to all stakeholders
- Enhanced awareness and understanding of the key drivers and factors that influence employee well-being and workplace health
- The implementation of *Mental Health at Work* program(s) improve the psychological health and safety of employees
- Marked improvement in:
  - employee engagement
  - communication effectiveness
  - process and risk management
  - focus on prevention versus correction

*Mental Health at Work Essentials* reflects basic requirements in the more comprehensive and progressive *Excellence, Innovation and Wellness* Standard and the more comprehensive *Mental Health at Work* program. Should organizations decide to pursue a more comprehensive journey when they have completed this *Mental Health at Work Essentials* program, they will be well-positioned to proceed to either the Bronze level of the *Excellence, Innovation and Wellness* Standard or Silver level of the wellness-focused *Mental Health at Work* Requirements. Both of these sets of Requirements lead to recognition through **Canada Awards for Excellence**.



### START-UP IS EASY

The Start-up package includes:

- Assessment Worksheets
- Planning and Communication Templates
- Employee Survey (optional)
- Webinar

Reports included:

- Assessment Report, and Recommendations
- Scoring Results
- Employee Survey Report

# Overview of Requirements

1. The organization has a stated commitment that fosters mental health, reflects a physically and psychologically healthy and safe workplace and has communicated this commitment across the organization.
2. A health and safety policy (or separate policies) has been developed with input from employees and includes reference to the reinforcement and promotion of both physical and psychological health and safety in the workplace.
3. The organization supports leadership involvement in creating a psychologically healthy and safe workplace through training, accountability and active engagement in fostering employee mental health.
4. The organization is committed to a continuous learning environment and provides training and development opportunities to meet employee learning needs, including a plan to provide education to all employees to increase mental health and mental illness awareness.
5. A committee oversees the development and execution of the Plan and a senior leader is engaged as the Sponsor of the Plan.
6. *Mental Health at Work* planning, programs, and services reflect the personal health and wellness needs, concerns and interests of all employees, including employees on disability leave.
7. Key *Mental Health at Work* priorities with measurable indicators and goals have been developed and are aligned to the strategic business and Human Resource plans.
8. The organization plans and carries out communication strategies to improve awareness, reduce stigma related to mental health issues, and to promote psychological health and safety in the workplace.
9. Employees are empowered to provide input on work-related matters, such as productivity goals, work schedules, equipment, training, safety, and leadership effectiveness.
10. The workplace environment is supportive and employees are encouraged to participate in health, safety and wellness programs and seek assistance whenever they are having health or safety-related problems, including mental health issues at work.
11. The organization has a method to review and ensure compliance with relevant provincial and national case law, regulations and standards, including the voluntary National Standard of Canada for Psychological Health and Safety in the Workplace.
12. Organizational structure, work processes, job design, demands, rewards, physical activity and work-life balance are assessed for their impact on employee psychological health and safety, and improvements are discussed, documented, and implemented.





# GUIDE

# Mental Health at Work Essentials Guide

## Getting Started

To create a foundation of organizational wellness, there are ten critical steps to accomplish.

### CRITICAL STEPS – CHECKLIST

- 1. Leadership buy-in – Create a “Business Case” to support the focus and implementation of a mental health program. Meet with the CEO (senior leader) to obtain the go-ahead.  
(See Appendix B – Executive Summary – Business Case)
- 2. Leadership support – Identify an Executive Sponsor (e.g., CEO, Senior Leader).
- 3. Appoint a Champion and Steering Committee/*Mental Health at Work* Team.  
(See Appendix B – Selecting a *Mental Health at Work* Team and Roles and Responsibilities)
- 4. Develop Project Charter (roles and responsibilities), Implementation Plan and Communications Strategy.  
(See Appendix B – Project Charter)
- 5. Review Requirements and conduct an initial self-assessment (strengths and opportunities, and scores) with a cross-functional team of individuals representing different areas and levels of the organization.  
(See Appendix A – Self-Assessment Worksheet)
- 6. Involve and engage front line managers and provide education/highlights.
- 7. Involve and engage employees across the organisation and provide education/highlights.
- 8. Close any gaps identified during the self-assessment. Adjust the implementation plan and the communications strategies, if needed.
- 9. Reassess to determine progress and readiness for certification.  
(See Appendix G – Certification)
- 10. Prepare a Submission for *Mental Health at Work Essentials*.  
(See Appendix C – Submission Template)

**Celebrate** and continue your *Mental Health at Work* journey!

# Mental Health at Work Essentials

To complete the *Mental Health at Work Essentials* program, organizations need to demonstrate how they meet each of the following:

## A. Guiding Principles

## B. Requirements

### Certification

In order to be certified, an organization must complete a self-assessment against each one of the requirements and submit an application to Excellence Canada detailing how they satisfy each requirement. An Excellence Canada Lead Verifier will review the application and notify the applicant of the certification status. More details about this process are outlined in Appendix G.

### Canada Awards for Excellence (CAE)

Organizations that are successfully certified under the *Mental Health at Work Essentials* program are eligible to embark on a more comprehensive journey for Bronze, Silver and Gold awards under the *Canada Awards for Excellence* program.

## A. Guiding Principles

A workplace where employees feel both physically and psychologically healthy and safe requires, and is sustained by, a set of Guiding Principles.

- Please attach your organization's Guiding Principles that were developed with input from all stakeholders, and communicated widely across the organization. (Organizations may already have in place Principles pertaining to the health and safety of its employees. These should link closely to the Principles outlined below.)
- It is important that the organization's senior leadership team appreciates and accepts these Principles.
- A signed statement by the appropriate senior leader is required to demonstrate that the organization supports these principles, and its leaders are committed to the process and will abide by the Principles. This may be the CEO, president or (in the public sector) the Minister, Deputy Minister or Executive Director.

The *Mental Health at Work Essentials* Guiding Principles are listed below. A few interpretative comments have been provided to assist organizations to interpret these statements. Interpretative comments are not part of the Requirements; they are for information purposes only.

### **1. Make every reasonable effort to avoid foreseeable injury or harm to the psychological health and safety of employees**

- The organization proactively identifies areas of risk and takes every reasonable precaution to avoid injury or harm.
- The organization understands the financial and human costs of workplace mental health and the impact on the organization's bottom line.
- Psychosocial risks and hazards can be assessed using the Guarding Minds @ Work Survey and/or other organizational audit and assessment tools that include assessment of psychosocial risk factors (across all 13 psychosocial risk factors).

## **2. The leadership team supports and is involved in creating a mentally healthy and safe workplace**

- The culture supports leaders at all levels to be actively engaged, trained and accountable for employee mental health and safety.
- All leaders are trained in mental health concepts and in how to foster a culture supportive to mental health.

## **3. Actively involve employees in the development and sustainability of a Mental Health Plan**

Involvement can relate to an employee's job, the activities of a team or department, or issues involving the organization as a whole.

- There is a process for listening to employee ideas, wants and needs.
- Employee opinions and suggestions are considered.
- All employees are encouraged to provide input on important decisions related to their work.
- Employees are involved in the planning and execution of programs and goals.
- Employees understand the goals and associated policies related to mental health in their workplace.

## **4. Embed and integrate prevention, promotion and intervention efforts across all policies, processes and programs**

- There is a method to ensure embedding policies and practices related to prevention, promotion and intervention are integrated into policies, processes and programs.

## **5. Foster and support cooperation and teamwork**

- Employees are encouraged to work together to solve work-related issues.
- There is a culture of teamwork in the organization.
- There are opportunities, at all levels in the workplace, for employees to discuss and review issues that impact working relationships.
- There are opportunities for employees to learn problem-solving skills.
- Expectations regarding cooperation and teamwork are clearly defined.

## **6. Respect others' ideas, values, beliefs and diversity**

- Employees are respectful and considerate of others, including co-workers, customers, clients, suppliers and the public.
- The organization handles "people problems" effectively.
- Unnecessary conflict is kept to a minimum.
- Inappropriate behaviour of customers or suppliers is addressed effectively.
- The organization provides training on diversity, accessibility and other issues.
- The organization respects employees' personal beliefs and choices; and monitors employees' perceptions of this, using surveys or focus groups, etc.
- The organization considers how diversity or personal beliefs could affect the mental health of employees.
- Workplace psychological risk factors are assessed, identified and evaluated for impact on diverse employee groups.

## **7. Foster work culture that is characterized by trust, honesty and fairness**

- People from all backgrounds are treated fairly.
- Employees are not afraid to speak up.
- Bullying, harassment and discrimination are effectively managed.
- Employees feel they are treated equally.

## **8. Recognize that workplace factors impact mental health and mental illness and that employee mental health and mental illness can impact organizational sustainability**

- The organization has management practices and programs which address absenteeism, presenteeism, turnover, lost time, injury, productivity and other issues that affect sustainability.

## B. Requirements

The ***Mental Health at Work*** Requirements are listed on the following page. A few interpretative points have been provided, to assist organizations to interpret these statements. Interpretative comments are not part of the Requirements; they are for information purposes only, and meant to guide you in answering the Requirements.

**1. The organization has a stated commitment that fosters mental health, reflects a physically and psychologically healthy and safe workplace and has communicated this commitment across the organization.**

- The organization has made a commitment to raising awareness and addressing mental health issues.
- The vision, mission and/or values statement recognizes and reinforces that employees, and their well-being, are a key element to success.
- The vision, mission and/or values are well-communicated to all stakeholders.
- The vision, mission and values guide daily practice.
- An Executive Summary has been completed (including Business Case).
- There is a Senior Leader identified as the Sponsor of the psychological health and safety management system, including the development and implementation of the Mental Health Plan.
- There is support for the development and provision of related mental health programs/initiatives and services (i.e., allocation of funds and resources).

Leaders “walk the talk” in every respect of the workplace culture, including broader working conditions and organizational traditions, practices and habits.



### Remember

The points listed above are for guidance purposes and may not apply to every organization.

**2. A health and safety policy (or separate policies) has been developed with input from employees and includes reference to the reinforcement and promotion of both physical and psychological health and safety in the workplace.** (See **Appendix B** for Sample Policy)

- The policy clearly demonstrates a commitment to people, wellness, and safety, and addresses all elements of a workplace environment that affect employee health and wellness, including:
  - Psychological health and safety, e.g., workplace culture and supportive environment
  - Physical health and safety, e.g., working environment, safety, hygiene health, infection control, etc.
  - Health and lifestyle practices
  - Corporate Social Responsibility
  - Management practices

The policy recognizes the physical and psychological workplace environment as a determinant of health.

- Employees have input into the development of policies.
- The policy is communicated to all employees.
- There is a process for checking practices against policies.

**NOTE:** We recognize that individual organizations have different definitions for the word “employee”. For the purposes of this Guide, the word employee refers to all people within an organization (e.g., full-time, part-time, unionized, contractors, and volunteers).

**3. The organization supports leadership involvement in creating a psychologically healthy and safe workplace through training, accountability and active engagement in fostering employee mental health.**

- Ensure all leaders have an understanding of mental health and safety in the workplace.
- Develop training plan for all levels of managers in mental health literacy.
- Actively involve leaders in the implementation of the Mental Health plan, in supportive events/campaigns and employee training programs that support mental health in the workplace.
- Provide training to enhance interpersonal and people management skills.
- Train managers in effective communication, emotional intelligence and conflict resolution and problem-solving skills.
- Create opportunities and/or provide training to help Managers supportively and effectively deal with employees who have possible mental health concerns.
- Provide the tools and supports (including time and resources) needed to support employees with mental health concerns.
- Ensure workshops and courses on mental health concepts and how to support workplace mental healths are part of core leadership/management training and onboarding programs.
- Orient new leaders to the organization's culture and values.
- Orient new managers to the interpersonal/emotional competencies needed for their jobs.

**4. The organization is committed to a continuous learning environment and provides training and development opportunities to meet employee learning needs, including a plan to provide education to all employees to increase mental health and mental illness awareness.**

- There is a plan to provide education to all employees to increase mental health literacy and awareness of mental health issues.
- The plan includes training programs to help all employees understand the links between mental health and organizational success and the implications of stigma associated with mental illness.

- Training has been provided for the employees responsible for organizational health and wellness programs, and for the supporting committee members (Wellness Committee).
- Training should build awareness and understanding of the determinants of health, including mental health; and identify preventative and workplace practices that contribute to psychological health and safety in the workplace.
- Employees are accountable for implementing new learning or skills on the job.
- There is a mechanism for employees to discuss their learning needs with their supervisors and create plans for their training and development (performance appraisal).
- There is support for employees to attend learning and development courses (e.g., college/university courses and professional seminars).
- The organization uses a variety of learning approaches to provide options for all employees to participate, i.e., lunch 'n learn sessions, online training, workshops, intranet resources, newsletters, in-class, external courses, mobile learning, etc.

**5. A committee oversees the development and execution of the Plan and a Senior Leader is engaged as the Sponsor of the Plan.**

- The committee could be an existing committee (Wellness, Occupational Health and Safety (OHS, etc.)) or a newly formed committee which has representation from different departments, different levels across the organization and union and/or employee groups.
- The committee has a designated budget and supportive flexibility to allow for periods of more intense activity.
- The Committee has:
  - A Senior Leader as the Sponsor, who actively participates and is able to inform and influence members of the senior team
  - Cross-functional/department and multi-level representation
  - Key stakeholders that also represent occupational health and safety, benefits and healthy workplace
  - Union leadership (if applicable)

**6. *Mental Health at Work* planning, programs, and services reflect the personal health and wellness needs, concerns and interests of all employees, including employees on disability leave.**

- The planning system uses a clear process to determine key priorities in workplace mental health issues.
- An audit/assessment has been conducted covering such areas as programs and policies relevant to employee mental health issues, survey data, absenteeism, Employee and Family Assistance Program (EFAP), disability rates and benefits utilization and workplace psychosocial hazards and their risks.
- Organizational needs assessment may be multifaceted, including employee engagement survey, questionnaires, focus groups, risk appraisals, health risk assessments, and/or a combination of various methodologies.
- The organization uses tools/methodology to assess the 13 psychosocial risk factors.
- The Assessment identifies psychological health and safety hazards, assesses their risks, evaluates workplace culture and determines the presence or absence of a supportive environment.
- Needs assessment results are analyzed, shared and used to drive program development and design.
- Employees are involved in the needs assessment and analysis and contribute to mental health program(s) design, e.g., the type of programs to be supported and offered and when and how they are implemented.
- Programs related to mental health promotion and prevention are available to employees based on needs and interests.
- Programs include strategies for Workplace accommodation, return to work (RTW), managing of critical events, training, communication and other programs related to mental health in the workplace.

**7. Key *Mental Health at Work* priorities with measurable indicators and goals have been developed and are aligned to the strategic business and Human Resources plans.**

- The Mental Health Plan may be designed as part of a Wellness Plan or a stand-alone plan.
- Employees are engaged in assisting the organization with developing the Mental Health Plan.
- Data collection and analysis leads to identification of key mental health priorities.
- S.M.A.R.T. goals and objectives (Specific, Measurable, Attainable, Relevant and Timely) address key mental health issues and contain measurable outcomes and indicators such as:
  - lowering absenteeism
  - reducing turnover
  - reducing accident rates
  - increasing employee engagement and satisfaction
  - improving healthy lifestyle programs
  - effecting more positive health and safety behaviour changes
  - increasing awareness of healthy lifestyle and safety issues
  - improving participation rates in health and wellness programs
  - improving opportunities for training and skill development
- Goals and objectives are monitored on a scheduled basis and progress tracked over time.

**NOTE:** any data collected must ensure that an individual's privacy is protected.

**See Appendix D – Key Indicators**

**8. The organization plans and carries out communication strategies to improve awareness, reduce stigma related to mental health issues, and to promote psychological health and safety in the workplace.**

- Communication strategy ensures cascading of information (goals and objectives) to all levels and across the organization.
- The organization ensures that employees are aware of the goals and policies of its mental health focus.
- Communications include regular promotion of issues regarding mental health.
- A variety of methods are used to communicate issues related to mental health (e.g., employee benefits, health topics and management decisions).
- Communication practices (notably on goals) are multi-faceted and may include:
  - Bulletins
  - Emails
  - Employee forums
  - Meetings (e.g., discussions, informational updates, and committee meetings)
  - Intranet
  - Newsletters
  - One-on-one discussions
  - Videos
  - Webinars
  - Social media

**9. Employees are empowered to provide input on work-related matters, such as productivity goals, work schedules, equipment, training, safety, and leadership effectiveness.**

- Employee input is used to measure and assess engagement and well-being, and the results and related action plans are communicated across the organization.
- Employees are asked for their input on leadership effectiveness (this could be incorporated into the employee survey or performance management process).
- Employees have the opportunity to contribute ideas and speak out on issues of concern in a safe and supportive environment.
- There is a regularly scheduled employee feedback survey.
- The survey solicits opinions on job satisfaction, demands of the job, control over work, support from management and colleagues, clarity of roles, organizational change impacts, work-life balance, trust in leadership, co-operation between areas, etc.
- There are forums, meetings, and other vehicles that enable employees to easily contribute feedback on issues regarding workplace health and safety.
- The organization ensures clarity of roles and responsibilities for all employees.

Empowered employees are enabled to make suggestions and to share their own decisions regarding workplace issues and situations.

**10. The workplace environment is supportive and employees are encouraged to participate in health, safety and wellness programs and seek assistance whenever they are having health or safety-related problems, including mental health issues at work.**

- The managers encourage and support their employees to actively participate in health, wellness and mental health initiatives.
  - There are “stay at work” and “return to work” strategies in place.
  - Employees are accommodated and made to feel welcome upon their return to work.
  - There are processes in place to identify and support existing or potential critical events that impact the psychological health and safety of employees (e.g., death of a family member, illness, family issues etc.).
  - There is a corrective action system in the organization, enabling employees to identify a problem and be involved in finding a solution (e.g., gathering data, looking for root causes and taking corrective action).
  - The organization’s leadership team demonstrates that mental health is an important priority for the organization.
  - The Mental Health Plan, including programs and services, assists everyone, including those with serious problems or potential health risks, and those maintaining their good health.
- *Mental Health at Work* programs are accessible to all employees, including accommodation for employees on shifts, contract and temporary employees or employees that work remotely.
  - Efforts are taken by managers to encourage employees to get involved in workplace health discussions, attend programs, and seek assistance, as needed.
  - There is a process for suggestions and ideas on workplace health issues, and for feedback on possible solutions.
  - Tools and resources are made available to all employees, such as mental health tips to build awareness and help reduce stigma associated with mental problems.
  - Reward and recognition programs are in place to encourage involvement and provide incentives for employees participating in health and wellness programs, including mental health programs.
  - There are opportunities for employees to discuss and review issues that impact working relationships at all levels in the workplace.
  - Employees are given the opportunity to be involved in culture-change initiatives.

**11. The organization has a method to review and ensure compliance with relevant provincial and national case law, regulations and standards, including the voluntary National Standard of Canada for Psychological Health and Safety in the Workplace.**

- Examples: employment standards, labour relations rulings, human rights legislation, law of torts, Workers' Compensation laws, occupational health and safety legislation, employment contract law, privacy and confidentiality, Accessibility and other legal system influences.
- The organization meets and strives to exceed its responsibilities related to current health and safety legislation and regulations (both Mandatory Standards and Voluntary Standards, such as the National Standard of Canada for Psychological Health and Safety in the Workplace).
- There are processes in place to ensure privacy rights are adhered to, e.g., ensuring an individual's identification is not divulged where considered inappropriate.
- The organization is aware of the legal responsibilities for mental health related issues.

**12. Organizational structure and systems, such as work processes, job design, demands, rewards; and including employee physical activity levels and work-life balance are assessed for their impact on employee psychological health and safety, and improvements are discussed, documented, and implemented.**

- When problems arise in the workplace, corrective action is taken, e.g., root cause analysis, process review, reflective learning – and the people who work with the issue can provide input into actions for improvement.
- As a preventative measure to avoid potential health issues, a process is in place to ensure the health and well-being of employees is considered when designing and introducing new technology, work processes or procedures and/or new equipment, e.g., change impact analysis to mitigate risk including negative impact on employee health.
- There is an assessment of potential impacts on mental health and psychological safety when new technologies and/or work systems are planned and introduced, and there is an assessment conducted after implementation.
- If employees have concerns about the impact of organizational structure, work processes or job design on their psychological health and safety, there is a process for them to communicate this and have their concerns addressed.
- The approach to design and redesign is preventative in nature, with input from employees doing the work.

1. Reference material

*Assembling the Pieces: An Implementation Guide to the National Standard for Psychological Health & Safety in the Workplace* (Mental Health Commission of Canada) – Chapter One: Building the Foundation pages 13-32

5. Reference material

*Assembling the Pieces: An Implementation Guide to the National Standard for Psychological Health & Safety in the Workplace* (Mental Health Commission of Canada) – Chapter Two: What Are Your Opportunities? pages 46-68

11. Reference material

*National Standard for Psychological Health & Safety in the Workplace* – Sections 4.4.7; 4.4.8; and 4.4.9



# **APPENDIX A**

Self-Assessment and Scoring

# Guide to Self-Assessment

## Purpose

Self-assessment is used to identify an organization's strengths (what you are doing well) and opportunities (what you can improve upon) against each individual requirement of the ***Mental Health at Work Essentials***. The first time the organization conducts a self-assessment, we recommend that you hire an experienced Excellence Canada certified coach.

In addition to using a certified coach, training is available for key personnel in the organization, e.g., the *Organizational Excellence Assessment* course, as part of the Certified Excellence Professional (CEP) program.

The following reference notes will help your organization create a team, plan and conduct the self-assessment, and review the results. Conducting a self-assessment is an excellent way to discover if your organization has met the requirements and if it is ready to apply for certification.

There is no pass or fail. Organizations learn where they stand compared to a specific requirement level and how best to move forward.

The results of your self-assessment will form part of the application for certification (see **Appendix G**).

## Benefits of Participating in a Self-assessment

- Helps organizations understand how to implement the principles required to create a workplace that fosters a psychologically healthy and safe environment
- Integrates various initiatives
- Improves communication within organizations
- Stimulates sharing of approaches within organizations, the sector and with other sectors

## When to Conduct a Self-Assessment

An initial self-assessment is conducted to identify baseline strengths and opportunities and resulting scores. This is followed by with the development of plans on how to “close the gaps” by working on the identified opportunities as part of the planning process.

Once gaps have been “closed”, a self-assessment should be conducted again, to once again identify strengths and opportunities.

If a score of 65% or higher is obtained, the organization is ready to apply for certification.

Be sure to attach self-assessment results in the application.

## The Self-Assessment Team

A strong self-assessment team is important to the success of the process. The self-assessment team provides all the necessary information before the self-assessment, administers the process, compiles the results, and assists in the development of an action plan. The team is also responsible for reporting the findings to the organization's leaders.

Team members should be appointed, or asked to volunteer, from various parts of the organization. Look for people who are energetic, organized and committed. For small organizations (or a department, division, or work unit), as few as two people will be enough. Larger organizations will likely need larger teams, but to maintain focus, the team should consist of about 10 people. The team will likely split up in pairs to conduct a series of focus groups.

To be successful, everyone must understand the self-assessment purpose and process. The team needs to openly communicate when, where, and how it will take place, as well as why it's being done. The team should also invite questions about it and provide answers. The team should stress the positive, and reinforce that it is not a pass or fail exercise. For some, an assessment signals danger. Assure everyone that its purpose is to help educate and inform the organization. This will minimize resistance, build trust, gain commitment, and help ensure candid responses.



### TIP – CHOOSING THE FACILITATOR

- This person guides the proceedings and keeps people on track. He or she should have leadership ability, organizational skills and good communication skills. The first time you do this, we recommend retaining an *Excellence Canada coach*.
- The facilitator must become well versed in the **Mental Health at Work Essentials** level being assessed.
- Training is available through Excellence Canada (*Organizational Excellence Assessment course*).

## Planning the Self-Assessment

A well-organized plan is critical to the success of the self-assessment process.

### Preparing the Self-Assessment Team

Team members should familiarize themselves with the **Mental Health at Work Essentials** Requirements and Implementation Guide they will be assessing against. If there are questions, these should be reviewed with the facilitator well in advance of the focus groups.

As well, the Scoring Guidelines section on page 28 of this Guide should be reviewed to ensure that team members approach scoring in the same way.

### Focus Group Discussion Questions

The facilitator should create a proposed series of focus group questions that cover the **Mental Health at Work Essentials** Requirements they will be assessing against.

The self-assessment team should review these with the facilitator and make any adjustments as needed.

A final series of discussion questions should be agreed upon and produced.

### Scheduling Focus Groups

60 minutes should be allocated for each focus group discussion, with a minimum 30-minute break between groups.

The team should agree which focus groups he or she will be responsible for. It is often best if team members work in pairs.

### Focus Group Participants

The best focus group discussions often occur with cross-departmental groups, and all levels of employees. Plan to invite no more than 20 people per group. Numbers mean safety, and being part of a group can encourage people to speak. One person's thoughts may also trigger others' and build conversational momentum.

To ensure good attendance, participants should be notified as soon as possible about the date, time and location of the self-assessment focus groups. As well, at least one follow-up reminder should be sent. Remember to communicate that the purpose of the self-assessment is to help educate and inform the organization and to identify strengths and opportunities for improvement.

## Conducting the Self-Assessment

Using the discussion questions, and the agreed upon process, conduct the self-assessment focus groups.

Maintain a good pace for the discussion, keeping in mind there is generally a lot to cover in each 60 minute focus group. Use the guidance points in this Implementation Guide to assist you and to maintain a conversational flow.

Ensure that all participants have a chance to contribute to the discussion.

Team members should write their thoughts during and after the focus groups. Keep comments short and in point form, identifying strengths, achievements, and opportunities. These comments will help the team score and complete the self-assessment report.

For confidentiality reasons, team members should not discuss the focus group discussion findings outside of the self-assessment team. There will be plenty of time for discussion later.

### Scoring and Documenting Results

After the Self-Assessment, the team should discuss the findings and seek consensus. The strength of the assessment lies in the comments and feedback of the team. It is important to remain focused on the strengths and opportunities identified.

Each team member should score each individual requirement of ***Mental Health at Work Essentials***. Have each member of the team share their own scores for each individual requirement. Quite often, team members' scores will be similar. When this happens, consensus exists and no further discussion is needed. Scoring, however, requires judgment, and variation is natural and normal. Use the Scoring Guidelines on page 28 to help reach consensus.

The facilitator records the scores and comments that the team agrees on. This will form the basis of the self-assessment report.

The self-assessment report should be clear, concise, and prepared in a timely fashion.

The facilitator drafts the self-assessment report which is shared with the self-assessment team and focus group participants to review and provide comments/clarity about what was discussed. Additional edits should be made as needed and a final self-assessment report produced in a timely manner.

## Reviewing the Self-Assessment Results

Once the final report is produced, the facilitator should present the results of the self-assessment to the leadership team. During the presentation, the strengths and opportunities identified in the focus group discussions should be highlighted. This may include those strengths that make the organization unique and/or a positive place to work and those that would make the organization even better if they were more widespread. In addition, improvement opportunities should be emphasized and a discussion should be held as to how to “close the gaps”.

The overall purpose of this review is to develop an appropriate and realistic action plan that builds on current strengths, and addresses opportunities for improvement to help the organization move forward.



# **SELF-ASSESSMENT WORKSHEET**

## Key Outcomes for *Mental Health at Work Essentials*

The key outcomes for *Mental Health at Work Essentials* are:

- Leadership commitment to *Mental Health at Work* principles
- Broad team support of the vision, mission, and values
- A structured and comprehensive planning process for *Mental Health at Work* with measurable goals that align and link to the organization's broader Strategic Plan and that are communicated to all stakeholders
- Enhanced awareness and understanding of the key drivers and factors that influence employee well-being and workplace health
- *Mental Health at Work* program(s) are in place that are improving the psychological health and safety of employees
- Marked improvement in:
  - employee engagement
  - communication effectiveness
  - process and risk management
  - focus on prevention versus correction

*Mental Health at Work Essentials* reflects basic requirements in the more comprehensive and progressive *Excellence, Innovation and Wellness* Standard and the more comprehensive *Mental Health at Work* program. Should organizations decide to pursue a more comprehensive journey when they have completed this *Mental Health at Work Essentials* program, they will be well-positioned to proceed to either the Bronze level of the *Excellence, Innovation and Wellness* Standard or Silver level of the wellness-focused *Mental Health at Work* Requirements. Both of these sets of Requirements lead to recognition through **Canada Awards for Excellence**.

## Guiding Principles

1. Make every reasonable effort to avoid foreseeable injury or harm to the psychological health and safety of employees
2. The leadership team, supports and is involved in creating a mentally healthy and safe workplace
  - The culture supports leaders at all levels to be actively engaged, trained and accountable for employee mental health and safety
  - All leaders are trained in mental health literacy and in how to foster a culture supportive to mental health
3. Actively involve employees in the development and sustainability of a Mental Health Plan
4. Embed and integrate prevention, promotion and intervention efforts across all policies, processes and programs
5. Foster and support cooperation and teamwork
6. Respect others' ideas, values, beliefs and diversity
7. Foster work culture that is characterized by trust, honesty and fairness
8. Recognize that workplace factors impact mental health and mental illness and that employee mental health and mental illness can impact organizational sustainability

Each individual Requirement should have a score out of 40. See pages 28 and 29 of this Guide for more detailed explanation.

<i>Mental Health at Work Essentials</i> <b>REQUIREMENTS</b>	<b>STRENGTHS</b>	<b>OPPORTUNITIES</b>	<b>SCORE</b>
1. The organization has a stated commitment that fosters mental health, reflects a physically and psychologically healthy and safe workplace and has communicated this commitment across the organization.			
2. A health and safety policy (or separate policies) has been developed with input from employees and includes reference to the reinforcement and promotion of both physical and psychological health and safety in the workplace.			
3. The organization supports leadership involvement in creating a psychologically healthy and safe workplace through training, accountability and active engagement in fostering employee mental health.			
4. The organization is committed to a continuous learning environment and provides training and development opportunities to meet employee learning needs, including a plan to provide education to all employees to increase mental health and mental illness awareness.			
5. A committee oversees the development and execution of the Plan and a Senior Leader is engaged as the Sponsor of the Plan.			
6. Key <i>Mental Health at Work</i> planning, programs, and services reflect the personal health and wellness needs, concerns and interests of all employees, including employees on disability leave.			

<i>Mental Health at Work Essentials</i> <b>REQUIREMENTS</b>	<b>STRENGTHS</b>	<b>OPPORTUNITIES</b>	<b>SCORE</b>
7. Key <i>Mental Health at Work</i> priorities with measurable indicators and goals have been developed and are aligned to the strategic business and Human Resource Plans.			
8. The organization plans and carries out communication strategies to improve awareness, reduce stigma related to mental health issues, and to promote psychological health and safety in the workplace.			
9. Employees are empowered to provide input on work-related matters, such as productivity goals, work schedules, equipment, training, safety, and leadership effectiveness.			
10. The workplace environment is supportive and employees are encouraged to participate in health, safety and wellness programs and seek assistance whenever they are having health or safety-related problems, including mental health issues at work.			
11. The organization has a method to review and ensure compliance with relevant provincial and national case law, regulations and standards, including the voluntary National Standard of Canada for Psychological Health and Safety in the Workplace.			
12. Organizational structure and systems, such as work processes, job design, demands, rewards; and including employee physical activity and work-life balance, are assessed for their impact on employee psychological health and safety, and improvements are discussed, documented, and implemented.			

REQUIREMENTS	ACTUAL SCORE	AVAILABLE SCORE
1		40
2		40
3		40
4		40
5		40
6		40
7		40
8		40
9		40
10		40
11		40
12		40
<b>TOTAL</b>		480
		%

*Chart also available in spreadsheet format*

## Scoring Chart (at a glance)

		AVAILABLE POINTS	SCORE	%
1	The organization has a stated commitment that fosters mental health, reflects a physically and psychologically healthy and safe workplace and has communicated this commitment across the organization.	40		0%
2	A health and safety policy (or separate policies) has been developed with input from employees and includes reference to the reinforcement and promotion of both physical and psychological health and safety in the workplace.	40		0%
3	The organization supports leadership involvement in creating a psychologically healthy and safe workplace through training, accountability and active engagement in fostering employee mental health.	40		0%
4	The organization is committed to a continuous learning environment and provides training and development opportunities to meet employee learning needs, including a plan to provide education to all employees to increase mental health and mental illness awareness.	40		0%
5	A committee oversees the development and execution of the Plan and a senior leader is engaged as the Sponsor of the Plan.	40		0%
6	<i>Mental Health at Work</i> planning, programs, and services reflect the personal health and wellness needs, concerns and interests of all employees, including employees on disability leave.	40		0%
7	<i>Key Mental Health at Work</i> priorities with measurable indicators and goals have been developed and are aligned to the strategic business and Human Resources Plans.	40		0%

		AVAILABLE POINTS	SCORE	%
8	The organization plans and carries out communication strategies to improve awareness, reduce stigma related to mental health issues, and to promote psychological health and safety in the workplace.	40		0%
9	Employees are empowered to provide input on work-related matters, such as productivity goals, work schedules, equipment, training, safety, and leadership effectiveness.	40		0%
10	The workplace environment is supportive and employees are encouraged to participate in health, safety and wellness programs and seek assistance whenever they are having health or safety-related problems, including mental health issues at work.	40		0%
11	The organization has a method to review and ensure compliance with relevant provincial and national case law, regulations and standards, including the voluntary National Standard of Canada for Psychological Health and Safety in the Workplace.	40		0%
12	Organizational structure, work processes and job design, demands, rewards; and including employee physical activity levels and work-life balance are assessed for their impact on employee psychological health and safety, and improvements are discussed, documented, and implemented.	40		0%
<b>TOTAL</b>		480	0	0%

## Scoring Guidelines

A self-assessment is not an audit. It is a process that helps organizations (a) identify where they sit in relation to ***Mental Health at Work Essentials*** requirements; and (b) review outcomes in order to move forward and improve.

Forty points have been allocated for each individual requirement.

A self-assessment is not a pass or fail exercise; it is a tool for improvement.

Ask if the self-assessment input shows that the organization is meeting the requirement. Use the scoring chart to determine if your organization meets the individual requirement and apply a score.

If you feel the individual requirement has been met, allocate 10-40 points, in multiples of 5.

After scoring each of the individual requirements, add the total score. To apply for certification, your organization must score more than 65% of the total score available.

If you feel ready for certification, contact Bonita Savard at 1-800-263-9648, ext. 233 or [bonita@excellence.ca](mailto:bonita@excellence.ca).

## 10 Points

Overview – Activity noted in the individual requirements has been discussed but not yet implemented.

Activity around the subject addressed in the question is approached unsystematically and on an ad-hoc basis.

The level of effectiveness of the activity is low.

The organization's focus is "putting out fires" rather than applying prevention techniques, such as data collection, employee involvement and procedure reviews.

Overall, there is very little implementation of the activity in the organization.

## 20 Points

Overview – Activity noted in the individual requirements has been discussed and implemented in a pilot form or in a few key areas.

Activity around the subject is at an early stage of implementation in the organization.

The level of effectiveness of the activity is good, and the approach being applied is systematic rather than ad-hoc albeit with limited implementation.

If work processes are connected with the question, key processes impacting the activity are understood and stable. The approach being taken (in most key areas) is more focused on prevention (working to get to root causes of problems) than on "putting out fires".

## 30 Points

Overview – Activity noted in the individual requirements has been discussed and implemented in a systematic manner in all key areas of the organization.

Activity around the subject is systematic, based on good planning and has been well implemented in all key areas of the organization.

The level of effectiveness of the activity is very good.

Key processes impacting the activity are understood, documented, stable and reviewed for improvement in a systematic manner.

The focus is on continuous improvement of the workplace, with positive results measured in a number of key areas.

## 40 Points

Overview – Activity noted in the individual requirements has been discussed, implemented in a systematic manner in all key areas; and refinements have resulted in good sustained results.

Activity around the subject is systematic, based on good planning and has been fully implemented with high levels of understanding in all areas.

The level of effectiveness of the activity is regarded as very good with positive outcomes emanating from extensive cross-functional involvement.

Key processes impacting the activity are fully understood, documented and reviewed for improvement in a systematic manner in all areas of the organization.

The focus is on continual improvement of psychologically healthy and safe environment.





## **APPENDIX B**

Planning Tools

# Executive Summary – Business Case (sample)

## Executive Summary Prepared for xxxx

Creating a mentally healthy and safe workplace through adoption of the *National Standard for Psychological Health and Safety (PH&S) in the Workplace*

### National Standard for Psychological Health and Safety in the Workplace

- Voluntary national standard for PH&S in the workplace released in Jan 2013
- The Standard development was championed by the Mental Health Commission of Canada (MHCC) and the [Canadian Standards Association \(CSA\)](#) and [Bureau de Normalisation du Quebec \(BNQ\)](#)

### As (employer), what did we choose to do?

- XXX is implementing *Mental Health at Work Essentials* to establish a foundation for demonstrating adoption of the national standard and to promote psychological health and safety in the workplace.
- There is a core project team in place (steering committee) and Wellness committee to support the initiative.
- Initial work included providing the rationale for introducing *Mental Health at Work Essentials* as an opportune time for XXX to create an overall strategic framework to implement across our organization. This includes our commitment to implement *Mental Health at Work Essentials* throughout our operations and hope to use this model as a template for a long-term strategic approach for achieving exemplary mental health programs in the workplace. Integral to this work is the demonstration of our commitment to protect employee health and well-being by identifying and implementing best practices related to those workplace processes, policies and procedures that will have a positive impact on the psychological health and safety of employees.

### What's happening now?

- *Provide a brief status update regarding project status...*

### Business case

#### a. In Canada

- Mental health claims are the leading cause of disability claims in Canada<sup>2</sup>
- 1 in 5 Canadians experience a mental health condition in any given year as compared to 1 in 25 for heart disease and 1 in 15 for type 2 diabetes<sup>3</sup>
- \$51B cost to Canadian economy<sup>4</sup>
- In 2012, findings support a link between work-life issues, workload and absenteeism and provide yet another reason for addressing these issues: to decrease the costs associated with absenteeism<sup>5</sup>.

#### b. For employer specifically

- Mental health claims are the leading cause of LTD claims in the XXX/Employer staff plan. For 20xx, mental health disorders accounted for xxx% of claims received which is similar to previous years. This trend is xxx compared to our block average at xxx%. Snapshot graphic below shows mental health as leading cause of claims in xxx and xxx age groups (large % of employee population).
- In recent employee engagement survey, xx% of XXX/Employer employees were engaged, xx% nearly engaged, xx% slightly engaged and x% not engaged – implementation of practices to improve the mental health and safety of employees in the workplace could positively impact engagement scores.

<sup>2</sup>Institute for Health Metrics and Evaluation (2015). Global Burden of Diseases, Injuries, and Risk Factors Study, 2013. Data retrieved from <http://www.healthdata.org/data-visualization/gbd-compare>

<sup>3</sup>Smetanin et al (2011). The life and economic impact of major mental illnesses in Canada: 2011-2041. Prepared for the Mental Health Commission of Canada. Toronto: RiskAnalytica

<sup>4</sup>Lim et al (2008). A new population-based measure of the burden of mental illness in Canada. *Chronic Diseases in Canada*, 28: 92-8

<sup>5</sup>Duxbury et al (2012) National Study on Balancing Work and Caregiving in Canada

## Benefits of implementing Standard and becoming an Early Adopter

- As an organization, we are “walking the talk”
- More engaged workforce = enhanced productivity, creativity and innovative = better business performance
- Increased recruitment and retention
- Reduced workplace accidents, disability incidence and drug/health utilization
- Reduced absenteeism, presenteeism and turnover
- Reduced workplace conflicts, grievances, lawsuits
- Promotion of a psychologically healthy and safe workplace will extend beyond the walls of the workplace into families, communities and society

## XXX/Employer well positioned to adopt standard

- Engagement survey and HR practices and policies speak to the 13 psychosocial risk factors (respect, engagement, job fit, balance, etc.) cited in the standard known to impact mental health
- Have the expertise in-house
- We are partnered with the premier provider of mental health training for leaders (Homewood Health)
- We advocate and demonstrates the benefits of a psychologically healthy and safe workplace to its client base
- Adoption of the standard will differentiate us in the marketplace
- Promoting a psychological healthy and safe workplace aligns with our brand of XXX

## Background information regarding voluntary National Standard

### What is it?

- The National Standard for Psychological Health and Safety in the workplace is a voluntary national standard designed for Canadian employers to prevent and promote psychological health and safety in the workplace
- The standard was championed by the Mental Health Commission of Canada, with input from stakeholders (employers, unions, benefit providers, mental health professionals, academic researchers)
- The standard follows the release of Canada’s first Mental Health Strategy (May 2012)
- The goal of the standard is to take a very complex issue and make it easy to understand for employers so they can take steps to prevent mental injury, reduce psychological risk and promote a healthier workplace
- The standard provides a framework for employers to develop a workplace and includes an abundance of free practical tools and resources covering the development of a business case to key messaging to audit tools and training
- The vision cited in the standard “a workplace that promotes workers’ psychological well-being and allows no harm to worker mental health in negligent, reckless or intentional ways”
- The standard follows the plan, do, check, act format:
  - *Commitment and Leadership* (business case, communication)
  - *Planning* (baseline, establish priorities for action)
  - *Implementation* (identify key concerns and action steps to address)
  - *Evaluation/Corrective Action* (evaluate objectives, measure progress, assess/close gaps)
  - *Management Review & Continual Improvement* (reporting, identify maintenance next steps)
- The standard is not legislated like occupational health and safety standard and the hope is that employers will adopt the standard because it is the right thing to do for employees and, it is good for the business bottom line
- There is no effective date and more importantly no end date; creating a psychologically healthy and safe workplace is intended to become part of XXX/company culture

## Mental Health at Work Policy

- The written policy will support measures to quantify and manage disability issues that are attributable to health conditions (such as depression), and the rising rates and costs of disability in Canadian workplaces.
- The policy recognizes the workplace environment (both physical and psychosocial) as a determinant of health. Employees will be involved in policy development, e.g., Wellness Committee, cross functional teams, focus groups.
- There is a process for regular monitoring of practices against policy.
- There is a process for communicating the accountability for the policy to each management level and to work unit members (i.e., feedback channels, scorecard, Executive Briefings, etc.). – **See sample policy (to follow)**

Reference material

*Assembling the Pieces: An Implementation Guide to the National Standard for Psychological Health & Safety in the Workplace* (Mental Health Commission of Canada) – Chapter One: Commitment – page 24; Building the Organizational Policies and Procedures – page 29; Sample Policy Statement – page 39

# Mental Health Policy (sample)

## Vision

- To promote a positive working environment where our leaders and employees collaborate to achieve the goals of Excellence Canada;
- To promote the physical and mental health of all employees;
- To welcome diversity by providing opportunities for people with mental disabilities to participate in the workplace.

## Principles

- Excellence Canada abides by the principles as outlined in the *Mental Health at Work* Requirements.
- Make every reasonable effort to avoid foreseeable injury or harm to the psychological health and safety of employees.
- Actively engage employees in the development and sustainability of a Mental Health Plan.
- Embed and integrate prevention, promotion and intervention efforts across all policies, processes and programs.
- Foster and support cooperation and teamwork.
- Respect others' ideas, values and beliefs.
- Foster a work culture that is characterized by trust, honesty and fairness.
- Recognize that workplace factors impact mental health and mental illness and that employee mental health and mental illness can impact organizational sustainability.

## Objectives of the *Mental Health at Work* Plan

- To prevent mental disability by promoting the earlier detection and treatment of mental health problems at work.
- To reduce absenteeism, presenteeism, and downtime by neutralizing or eliminating the known sources of workplace stress<sup>6</sup>.

- To improve substantially the awareness, knowledge and understanding of addiction and mental health issues among executives, managers, employees and co-workers.
- To support education to eliminate stigma, a significant barrier to the identification and treatment of these conditions and therefore the costs which they generate.

## Policy statement

- Excellence Canada recognizes that stress can be brought about by excess pressure at work or from domestic situations, and can result in poor work performance and deteriorating physical and mental condition. We are committed to working towards a healthy organization, which places high value on both the physical and mental health of our employees and therefore seeks to eliminate stress by:
  - ensuring that managers regularly carry out a psychological health and safety risk assessment of employee workloads, job design, etc., so as to ensure that pressure is at a level that stimulates and challenges rather than overloading and demoralizing;
  - training staff to recognize indicators of occupational stress in both themselves and their colleagues;
  - enabling all staff easy access to available staff support services, including an Employee Assistance Program;
  - communicating clearly with staff, particularly on issues such as organizational change;
  - providing services in the least stressful way possible
  - where possible, accommodating employees that are experiencing mental illness.

<sup>6</sup> Stress refers to potentially negative physical or mental tensions experienced by a person. The major causes of job stress come from problems and conflicts in demand vs. control as well as effort vs. reward.

# Project Charter (sample) *Mental Health at Work Essentials* – Project Charter

## Project Name

Mental Health at Work

## Background and Purpose

### Overall Purpose:

- To build awareness for and support development of a psychologically healthy and safe workplace by implementing the *Mental Health at Work Essentials* program.

### This Initiative aligns with:

- XXX commitment to... (i.e., Mission, Vision and/or Values)
- XXX strategic priority including...
- XXX HR people strategy

### The business systems/functions being addressed include:

### The divisions and program areas being affected:

- (Identify specific sites/divisions, or organization wide)

### Issues:

- Financial...
- Broad organization impact...
- Significant impact on employee engagement, e.g. retention, performance, absenteeism
- Legal obligations must be met - Human Rights, Workers Compensation and Occupational Health and Safety laws apply, as well as evolving case law and the *voluntary National Standard for Psychological Health and Safety in the Workplace*.

### Opportunity:

- Utilize the Excellence Canada model to develop an integrated and systematic approach to address psychological health and safety in the workplace and create a foundation of knowledge and support.
- Approach fully aligns with...
  - Health promotion and prevention initiatives
  - Employee engagement strategy

- Enables increased ability to address the business risks including:
  - **Operational:** Impact on productivity and results
  - **Financial:** Impact on direct and indirect costs, e.g. salaries, benefits
  - **Legal:** reducing grievances and lawsuits
  - **Cultural:** improving work environment and employee engagement; reduced stress; and enhanced morale

### Objectives:

- Implement Excellence Canada's *Mental Health at Work Essentials* certification program
- Establish a greater awareness and understanding of mental health and safety in the workplace
- Strengthen leadership capacity for addressing mental health and safety issues and impacts
- Reduce stigma surrounding mental health
- Establish shared accountability between employer and employees for mental health and safety in the workplace
- Model the way by taking an approach that can be adopted by other organizations and share best practices and lessons learned

### Outcomes:

- Achieve broad organizational support for mental health and safety in the workplace
- Recognition of the importance of embedding *Mental Health at Work* principles in decision making at all levels of the organization
- Policy statements related to a mentally healthy and safe workplace
- *Mental Health at Work* assessment, goals and evaluation plan

## Scope of Project

### Scope Statement:

Through the implementation of Excellence Canada's *Mental Health at Work* program, we are affirming the importance of psychological health and safety in the workplace, and ongoing commitment to the employee health and well-being for all XXX employees.

### Scope Boundaries:

- Workplace focus
- Mental Health/Workplace Wellness team will be responsible for deliverables of *Mental Health at Work* program
- Achievement of ultimate outcomes will require both leadership and employee engagement at all levels

### Timelines:

- Implementation of the Excellence Canada *Mental Health at Work Essentials* program has been identified as 18 months to 2 years (by...).
- Timelines will be reviewed following self-assessment/gap analysis.

Note: Regardless of targets for completion, this will be an ongoing strategic focus for the organization from this point on.

## Key Project Roles

### Executive Sponsors:

### Formal Champion/Coordinator:

### Wellness/Mental Health Team Co-Leads:

### *Mental Health at Work Essentials* Team Members:

- 

And support from Excellence Canada (formerly NQI)

### Additional Roles:

- Communication Support
- Department Advisory Support
- Ad hoc Task Team
- Others

## Authority and Resource Need Definition

### Authority:

Executive Sponsors → Formal Champions → *Mental Health at Work* Co-Leads → *Mental Health at Work* Team

### Reporting Requirement:

To be defined

## Considerations and Assumptions

### Considerations: (Assumptions, Constraints, Risks):

- Requires ongoing commitment by leaders and at all levels
- Job/organizational redesign requests given need for efficiency, effectiveness, and value added
- With budget constraints, implementing the requirements could be determined low priority – people return to old habits, get the work done at all costs
- Increases discussions regarding workloads and what is considered reasonable
- Employees may raise concerns if supervisors and/or other employees are not on board
- Culture shift fatigue
- Ensuring measurements and evaluation are reflective of cost put into the project
- Risk of not having managers/supervisors skilled up before unleashing creates heightened focus and expectations in this area
- Ensuring the work remains focused on all aspects of establishing a psychologically healthy and safe work environment

**Assumptions for Success:**

- Senior leadership support and commitment as well as profiling of initiative
- Proactive *Mental Health at Work* team and leadership; that we follow our implementation plan including measurable objectives
- Clear roles and accountabilities
- Management support throughout the participating Departments/ Divisions, including provision of staff resources as required and direct participation by all management in training
- Effective, timely and accurate communication and decision-making
- Staff/team engagement (including staff participation in awareness training, focus groups and self-assessments)
- Adequate human and financial resources
- Reasonable deadlines

**Key Stakeholders**

- Executive Teams
- Leaders
- All Employees

**Key Milestones**

- Endorsement by Executive Team
- Finalization of implementation plan (work plan) and endorsement by co-leads and executive sponsors

- Completion of:
  - Leadership Launch/overview
  - Orientation/training for Self-assessment team
  - Self-assessment
  - Address gaps
  - Prepare submission and send to Excellence Canada
  - Achieve *Mental Health at Work* Certificate
- Transition to *Mental Health at Work* progressive implementation certificate program and recognition through *Canada Awards for Excellence*, if desired.

**Measuring Success**

**Success Metrics:**

- Ongoing evaluation of current state data
  - Turnover, LTD, EFAP, Staff Engagement and other related stats
  - Additional workplace surveys, audits, focus groups
- Workplace cultural indicators (TBD – part of project plan and implementation)

**See the following attachments:**

- A. Terms of Engagement
- B. Roles and Accountabilities
- C. Implementation Path
- D. High Level Communications Plan

**Submitted by:** \_\_\_\_\_ **Approved by:** \_\_\_\_\_  
*Mental Health at Work* Team Co-leads Executive Sponsor

**Signed by:** \_\_\_\_\_

# Committee Roles and Responsibilities (sample)

## **Mental Health at Work/Wellness Team Roles and Accountabilities**

### **The Mental Health at Work (MH@W)/Wellness Team Executive Sponsor is responsible for:**

- Championing the initiative
- Serving as the interface between Senior Leadership Team (SLT) and MH@W/Wellness Team, including:
  - attending the overview training
  - attending occasional team meetings to lend support
  - providing support and approvals, if appropriate
  - providing feedback on the processes presented, if appropriate
- Providing resources/facilities (participant time/\$\$ and facilities) for the team to meet and do their work
- Meeting with the MH@W/Wellness Leader monthly to obtain a progress report and providing guidance/assistance as required
- Attending key meetings where possible to lend support

### **The MH@W/Wellness Team Leader will be responsible for:**

1. Leading the initiative and providing regular ongoing consultation
2. Chairing the MH@W/Wellness Team meetings
3. Setting the Team Agenda for meetings and leading them on a prescribed basis (e.g. once a month)
4. Keeping the meetings on track and on time to start and finish (respecting other people's time)
5. Making all arrangements for the meeting (may delegate work but not responsibility)
6. Attending the appropriate subcommittee team meetings to ensure all are respected and have a chance to participate for maximum effectiveness
7. Reporting monthly to the Executive Sponsor on progress to date

8. Meeting with Leads/subcommittees to ensure progress on track
9. Arranging coaching for participants, when needed
10. Approaching the Executive Sponsor when assistance is needed
11. Following up on action items between meetings
12. Assembling the submission for certification with Excellence Canada
13. Liaising with Excellence Canada

### **The MH@W/Wellness Team Participant is responsible for:**

1. Embracing and embodying psychological health and safety in the workplace
2. Becoming change agents
3. Being adaptable and innovative
4. Participating on one of the subcommittee teams, as needed
5. Contributing knowledge, experience and intelligence
6. Having a positive "can do" attitude
7. Being accountable for their contribution and coming to meetings prepared
8. Participating in all related training sessions
9. Helping to get people on board – spread the culture of "wellness"

### **The Team Recorder is responsible for:**

1. Recording key issues and action items only
2. Bringing notes/records to all meetings for reference
3. Saving and storing note/records

# Team Selection (sample)

## ***Mental Health at Work/Wellness Team Selection***

### **Criteria for Selection:**

- Informed and interested in becoming part of this team
- Motivated by the opportunity to contribute to workplace wellness with associated professional development
- Leader (need to be willing to lead or participate in divisional sub-team)
- Good communicator
- “Can do” attitude
- Deliver on agreed upon commitments
- Balanced cross-functional, cross-level team representatives:
  - Directors
  - Managers
  - Front line staff
  - A mix of non-union and union representatives (if applicable)
- Diversity, including gender, language capacity (representative of employee population)
- Candidacy discussed with manager prior to application

**Process for Selection:** (nomination process, apply, etc.)

### **Either Steering Committee chooses based on criteria above, or:**

- Leader sends out general invitation describing role and commitment and structure of the team (as part of initial launch).
- Candidates submit letter of application – that describes why they want to be a part of this initiative.
- Candidate chats with Co-Leaders/Coordinator.
- Successful candidates contacted to confirm participation.
- Unsuccessful candidates contacted and informed about divisional sub-teams. Interest determined and recorded for future consideration.
- Announcement of *Mental Health at Work/Workplace Wellness* Team members to all staff.



Company Name

## **APPENDIX C**

*Mental Health At Work Essentials*

Submission Template

Date

# Table of Contents

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## Profile

Typically one or two pages

A large, empty rectangular box with a thin black border, occupying most of the page. It is intended for a profile, as indicated by the text above it.

## Our Journey

### Some Recent History

### Our Self Assessment

### How did we get here?

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

**Name** \_\_\_\_\_

**Title** \_\_\_\_\_

**Full Address** \_\_\_\_\_

**Full Contact information** \_\_\_\_\_

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

## Requirements

- 1. The organization has a stated commitment that fosters mental health, reflects a physically and psychologically healthy and safe workplace and has communicated this commitment across the organization.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

- 2. A health and safety policy (or separate policies) has been developed with input from employees and includes reference to the reinforcement and promotion of both physical and psychological health and safety in the workplace.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**3. The organization supports leadership involvement in creating a psychologically healthy and safe workplace through training, accountability and active engagement in fostering employee mental health.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**4. The organization is committed to a continuous learning environment and provides training and development opportunities to meet employee learning needs, including a plan to provide education to all employees to increase mental health and mental illness awareness.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**5. A committee oversees the development and execution of the Plan and a senior leader is engaged as the Sponsor of the Plan.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**6. Mental Health at Work planning, programs, and services reflect the personal health and wellness needs, concerns, and interests of all employees, including employees on disability leave.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**7. Key *Mental Health at Work* priorities with measurable indicators and goals have been developed and are aligned to the strategic business and Human Resources plans.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**8. The organization plans and carries out communication strategies to improve awareness, reduce stigma related to mental health issues, and to promote psychological health and safety in the workplace.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**9. Employees are empowered to provide input on work-related matters, such as productivity goals, work schedules, equipment, training, safety, and leadership effectiveness.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**10. The workplace environment is supportive and employees are encouraged to participate in health, safety and wellness programs and seek assistance whenever they are having health or safety-related problems, including mental health issues at work.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**11. The organization has a method to review and ensure compliance with relevant provincial and national case law, regulations and standards, including the voluntary National Standard of Canada for Psychological Health and Safety in the Workplace.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

**12. Organizational structure, work processes and job design, demands, rewards; and including employee physical activity levels and work-life balance are assessed for their impact on employee psychological health and safety, and improvements are discussed, documented, and implemented.**

A sentence or two as overview on how you meet the requirement	
ACTIONS	EVIDENCE (Appendices)
<ul style="list-style-type: none"> <li>● We have...</li> <li>● Etc.</li> </ul>	<p><i>See Appendix x (typically at least a few appendices to address at least a few actions described to address each requirement).</i></p>

## Conclusion

A summary highlighting the strengths of your submission, etc.





## **APPENDIX D**

Key Indicators

Metrics clearly define the strategic value of ***Mental Health at Work*** for the organization, and measure success and enable adjustments needed to sustain and continuously improve.

To create awareness and help set baseline measures for tracking change:

- Identify the key indicators that are relevant to creating a mentally healthy and safe workplace.
- Identify indicators relating to individual and organizational level outcomes, for each measurable objectives of each program, activity or practice implemented.
- Identify data sources (i.e., Psychosocial Risk Assessment from Guarding Minds @ Work survey, Health Risk Assessment may be from HR, short-term disability information is with benefits carrier, etc.).
- Define metrics as specific units of measurement, e.g., percentage participation in learning programs, EFAP utilization rate, RTW rate, etc.

#### KEY INDICATORS COULD INCLUDE:

- Employee satisfaction/engagement
- Employee presenteeism
- Participation rates in health and wellness programs
- Lost productivity
- Absenteeism rates
- Turnover/retention rates
- Grievances/incidence reports
- Short and long-term disability rates
- Accident/injury rates
- Return to work and accommodation
- Health risk factors (from Health Risk Assessment)
- Extended benefits utilization (e.g., cost of group insurance, such as prescription drugs and psychologist benefits, paramedical usage, Workers' Compensation Board (WCB) data)
- EFAP plan usage

Evaluation of workplace wellness activities includes the qualitative and quantitative measures of the effectiveness of activities (programs and practices); including programs/activities impact on workplace health, and overall achievement of ***Mental Health at Work*** program goals.



## **APPENDIX E**

Psychosocial Factors

## What are Psychosocial Factors?<sup>7</sup>

Psychosocial factors are elements that impact employees' psychological responses to work and work conditions, potentially causing psychological health problems. Psychosocial factors include the way work is carried out (deadlines, workload, work methods) and the context in which work occurs (including relationships and interactions with managers and supervisors, colleagues and coworkers, and clients or customers).

## What is the relationship between Psychosocial Factors and psychological health?

Considerable evidence indicates that psychosocial factors may increase stress, which may then lead to mental distress. Does this mean that work “causes” mental disorders? In the majority of cases, no. The fact is that we simply do not know the specific cause of most mental disorders for particular individuals. We do know, however, that employees in workplaces with high psychosocial risk are more likely to have mental disorders. In addition, workplaces that do not attend to psychosocial risks are likely to make existing employee conditions worse and impede efforts toward effective treatment and rehabilitation. Furthermore, recently Canadian courts have rendered legal decisions that appear to attribute the cause of some types of mental disorder to the acts or omissions of the employer.

A supportive work environment reduces the onset, severity, impact and duration of mental disorders. Furthermore, organizations that make the effort to address psychosocial risks and create a psychologically healthy workplace will have healthier, happier employees, and are likely to reap benefits in productivity, sustainability and growth.

## How were the 13 Psychosocial Factors in Guarding Minds @ Work (GM@W) determined?

The 13 Psychosocial Factors were determined via a Grounded Theory approach, which involved a thorough review of relevant literature and extensive consultation with Canadian employers, unions and employees. This included the following steps:

- Review of the scientific literature pertaining to workplace mental health.
- Review of relevant Canadian regulatory and case law pertaining to the workplace and psychological safety.
- Formation of an advisory committee which provided input on each step of the development of GM@W. The committee consisted of representatives from the mental health, scientific, union, occupational health and employer communities.
- Consultation with experts in workplace mental health from countries and jurisdictions with well-developed workplace psychosocial risk assessment resources.
- Implementation of focus groups across Canada with key stakeholders – legal professionals, union representatives, small and large employers, employees and researchers – to provide input into the description and relevance of the Psychosocial Factors.
- Implementation of a national survey amongst a diverse array of informants to gain input into the description and sample questions for each of the 13 Psychosocial Factors.

<sup>7</sup>© 2012 by J. Samra, M. Gilbert, M. Shain & D. Bilsker. Centre for Applied Research in Mental Health and Addiction (CARMHA). All rights reserved.

The 13 Psychosocial Factors are consistent with domains identified by a large body of research as areas of fundamental psychosocial risk; the definitions and language used here are unique to GM@W. For each of the factors, lower scores indicate greater risk to employee psychological health and organizational psychological safety; higher scores indicate greater employee and organizational resilience and sustainability. The factors are interrelated and therefore influence one another; positive or negative changes in one factor are likely to change other factors in a similar manner. The 13 Psychosocial Factors are relevant to Canadian organizations and employees, whether those organizations are large or small, in the public or private sector.

## What Psychosocial Factors does GM@W address?

There are 13 Psychosocial Factors assessed by GM@W:

### PF1: Psychological Support

A work environment where coworkers and supervisors are supportive of employees' psychological and mental health concerns, and respond appropriately as needed.

### PF2: Organizational Culture

A work environment characterized by trust, honesty and fairness.

### PF3: Clear Leadership & Expectations

A work environment where there is effective leadership and support that helps employees know what they need to do, how their work contributes to the organization, and whether there are impending changes.

### PF4: Civility & Respect

A work environment where employees are respectful and considerate in their interactions with one another, as well as with customers, clients and the public.

### PF5: Psychological Competencies & Requirements

A work environment where there is a good fit between employees' interpersonal and emotional competencies and the requirements of the position they hold.

### PF6: Growth & Development

A work environment where employees receive encouragement and support in the development of their interpersonal, emotional and job skills.

### PF7: Recognition & Reward

A work environment where there is appropriate acknowledgement and appreciation of employees' efforts in a fair and timely manner.

### PF8: Involvement & Influence

A work environment where employees are included in discussions about how their work is done and how important decisions are made.

### PF9: Workload Management

A work environment where tasks and responsibilities can be accomplished successfully within the time available.

### PF10: Engagement

A work environment where employees feel connected to their work and are motivated to do their job well.

### PF11: Balance

A work environment where there is recognition of the need for balance between the demands of work, family and personal life.

### PF12: Psychological Protection

A work environment where employees' psychological safety is ensured.

### PF13: Protection of Physical Safety

A work environment where management takes appropriate action to protect the physical safety of employees.





## **APPENDIX F**

Terms and Definitions

## Definition of Terms<sup>8</sup>

### What are psychological risk factors?

Psychological risk factors are elements that impact employees' psychological responses to work and work conditions, potentially causing psychological health problems.

Psychological risk factors include the way work is carried out (deadlines, workload, work methods) and the context in which work occurs (including relationships and interactions with managers and supervisors, colleagues and co-workers, and clients or customers).

### What is a workplace risk assessment?

A risk assessment involves an employer conducting a careful examination of what workplace factors could cause harm to employees and what precautions might be taken to prevent or mitigate harm. The goal is to ensure employee safety and minimize the likelihood of illness or injury.

### What is the relationship between psychological risk factors and mental health?

Considerable evidence indicates that psychological risk factors increase stress, which may then lead to mental distress. Does this mean that work "causes" mental disorders? The fact is that we simply do not know the specific cause of most mental disorders for particular individuals.

We do know, however, that employees with high psychological risk factors are more likely to have mental disorders. In addition, workplaces that do not attend to psychological risks are likely to make existing employee conditions worse and impede efforts toward effective treatment and rehabilitation.

Furthermore, recent Canadian courts have rendered legal decisions that appear to attribute the cause of some types of mental disorders to the acts or omissions of the employer.

A supportive work environment reduces the onset, severity, impact and duration of mental disorders. Furthermore, organizations that make the effort to address psychological risks and create a psychologically healthy workplace will have healthier, happier employees, and are likely to reap benefits in productivity, sustainability and growth.



## What is a Psychologically Safe Workplace?

The organization promotes employees' psychological well-being and does not harm employee mental health in negligent, reckless or intentional ways.

### Action Plans

After conducting an assessment, you will find that opportunities have been identified which you need to improve. An action plan refers to the work that must be done to improve the opportunity. Action plans typically have measures: objectives, time frames, milestones, outcomes, an owner to monitor the process, and a list of actions to be completed. It is generally linked to a plan such as the strategic plan.

### Analysis

Analysis refers to an examination of facts and data to discover its elements and their relations, most commonly for the purpose of using the information to make change for the better. This often involves determining the root cause of problems and implementing a workable solution.

### Assessment

Assessment refers to looking at each individual requirement, and identifying your strengths (what are you doing well) and opportunities (what you can improve upon).

### Barriers

Barriers are obstacles that exist in a workplace that prevent effective systems and practices, e.g., such barriers could include status differences, gender differences, cultural differences, prejudices, lack of empathy and understanding, lack of policies and the organizational environment.

### Baseline Measures

Baseline measures refers to the first set of data that you will collect, to which you can then compare new data in the future.

<sup>8</sup> Excerpted from Guarding Minds @ Work

## Benchmarks

Benchmarks refers to looking outside the organization and comparing your own performance to others, e.g., are there lessons to be learned from others? This could be competitors, or similar organizations in the same or different sectors. It could also be looking at Statistics Canada or other resources that provide comparative data. It is a process of identifying best practices in relation to both products or services and the processes by which those products or services are created and delivered.

## Best Practices

Best practices refers to programs, systems, and services that are great examples of excellence. They likely represent innovative and new thinking. They are practices that work very well, consistently show results superior to those achieved through other means, and can be used as a benchmark for others.

## Cascading

Cascading refers to spreading responsibility throughout the organization, from the senior team down to other levels of management and to front line staff.

## Continuous Learning

Continuous learning means an ongoing learning process that seeks to incorporate the lessons learned (from the results of already implemented changes) into a continuous improvement cycle.

## Corporate Social Responsibility

Corporate social responsibility refers to an organization's sense of responsibility towards the community and the environment (both ecological and social) in which it operates. Organizations express this citizenship (1) through their waste and pollution reduction processes, (2) by contributing to educational and social programs, and (3) by earning adequate returns on the employed resources.

## Culture

See Organizational Culture

<sup>9</sup> Finding a Definition of Employee Engagement. The Conference Board, Inc., June 2007, Executive Action Report by John Gibbons

<sup>10</sup> American Evaluation Association

## Customer

Customer refers to the bodies that buy or use the organization's products and/or services. There are internal customers and external customers. Internal customers could be the employees for whom finance provides pay cheques. There are also current and future customers.

## Effective

Effective refers to how well a process or measure is working, and answers the question: Does it have the desired result?

## Employees

In this **Program**, the term employees refers to all personnel in an organization, full-time, part-time, and temporary staff.

## Employee Engagement

An engaged employee is one who is fully involved in, and enthusiastic about their work, and thus will act in a way that furthers their organization's interests. According to Scarlett Surveys, employee engagement is a measurable degree of an employee's positive or negative emotional attachment to their job, colleagues, and organization which profoundly influences their willingness to learn and perform at work. The Conference Board defines employee engagement as a heightened emotional and intellectual connection that an employee has for his/her job, organization, manager, or coworkers that, in turn, influences him/her to apply additional discretionary effort to his/her work<sup>9</sup>. Thus engagement is distinctively different from employee satisfaction, motivation and organizational culture. But the term is used loosely and usually measures culture and satisfaction. An employee engagement survey can also identify needs, wants, and opportunities for the employer to improve in certain areas.

## Engagement – Employees

See Employee Engagement

## Evaluation

Evaluation applies systematic inquiry to help improve programs, products, services, and personnel, as well as the human actions associated with them. The primary focus of evaluation can vary greatly to include organization's policies, performance, and research. But the common ground for all evaluation is to promote accountability and learning by providing the best possible information that might bear on the value of whatever is being evaluated<sup>10</sup>.

## Excellence

Excellence Canada's definition of excellence is: a state where the organization continually improves performance; is innovative, competitive, and customer focused; is healthy, inclusive, and sustainable; and is economically, socially, and environmentally responsible.

## Framework

The key principles, descriptions and interpretive explanation for *Mental Health at Work* model.

## Health

A state of complete physical, mental and social well-being, and not merely the absence of disease (World Health Organization).

## Health Promotion

The process of enabling people to have better control of their health and its determinants, thereby improve their health (according to the World Health Organization (WHO)).

## Health Promotion in the Workplace

The information, resources, opportunities and flexibility an organization provides to employees to support or motivate to improve or maintain healthy lifestyle practices (according to the WHO).

## Health Risk Assessment

An assessment tool that collects measures of health status, including body mass index (BMI), cholesterol, nutritional status, heart rate response to exercise. The assessment of risk is commonly based on clinical reports/measures and self-assessed/reported data on individual health habits. Results include individual and aggregate reports for the organization on health needs and interests of employees.

## *Mental Health at Work* Progressive implementation program

*Mental Health at Work* progressive implementation certification program is a four level continuous improvement program that delves further in requirements and efforts to achieve organizational employee health and wellness. The level and scope of interventions, including programs, services, practices and activities is more complex and has a broader impact. Culture change is evident and focus is on continuous improvement and sustainability.

## Mental Health Plan

A Mental Health Plan outlines the strategies the organization uses to promote, achieve, and maintain good mental health for its employees. Components of the plan could include tools such as health risk assessments and needs assessments to develop the plan and associated programs and supports, as well how the plan will be implemented and evaluated. The objectives of the plan should promote the use of tools and the information gained from them, and build a culture and environment where employees thrive and feel valued.

## Human Resources Plan

A Human Resources Plan is a formal plan that outlines a strategy to manage the employee workforce, and for the development and recruitment of employees. Components of the plan could include: strategies for recruitment, professional development and training, performance management, healthy workplace/mental health, wellness, services for employees, and policies. In addition, data for current capacity along with forecasting for future human resources requirements are often included in the plan.

## Improvement Plan

An improvement plan outlines ongoing activities to make improvements in systems and organizational results, e.g., process simplification, reduction or elimination of process waste, better systems, and procedures.

## Indicator

An indicator is a data element, measurable, variable used to track progress on an ongoing basis. Various statistical values, that collectively provide an indication of the condition or direction of the organization.

## Intervention

A generally understood *intervention definition* is when a group or an individual, often accompanied by a mental health professional, gets together to confront an addict to force them into some form of treatment, which could include therapy or rehabilitation. However, it may insist on treatment for any mental disorder that may be causing a patient to be of danger to them. Intervening can use direct or indirect methods. Direct methods include getting together with the addicted individual themselves. Indirect intervening would include meeting with the family related to the individual in question to try to persuade them to treat the problem in a healthier and more constructive way.

## Key

Key refers to the most vital, crucial, critical, and important factors necessary to achieving the organization's goals. These are most important to success.

## Metrics

Standards of measurement by which efficiency, effectiveness, performance, progress, or quality of a plan, process, or product can be assessed.

## Monitoring

Monitoring refers to supervising the progress of activities to ensure they are on-course and on-schedule in meeting stated objectives and performance targets.

## Needs Assessment

A needs assessment is a technique for determining the steps to be taken in moving from a current state to a desired future state. It is also commonly referred to as a need-gap analysis, needs analysis, and gap analysis. A needs assessment consists of (1) listing of characteristic factors (such as attributes, competencies, performance levels) of the present situation ("what is"), (2) cross listing factors required to achieve the future objectives ("what should be"), and then (3) highlighting the gaps that exist and need to be filled. In referring to an employee needs assessment, it is the identification of employee needs and wants in connection with their health and well-being. They should be assessed in these four areas: physical environment and occupational health and safety, health and lifestyle practices, workplace culture and supportive environment and mental health.

## Operations/Operational Plan

The Operations or Operational Plan is a short-term, highly detailed plan formulated by management to achieve tactical objectives.

## Organizational Audit

This refers to a self-assessment of psychological hazards and their risks, by knowledgeable informants such as Human Resources professionals within the organization, covering areas such as: programs and policies relevant to employee mental health issues, previous survey data, absenteeism, disability rates, and benefits utilization.

## Organizational Culture

Organizational culture refers to the values and behaviours that contribute to the unique social and psychological environment of an organization. Organizational culture is the sum of an organization's past and current assumptions, experiences, philosophy, and values that hold it together, and is expressed in its self-image, inner workings, interactions with the outside world, and future expectations. It is based on shared attitudes, beliefs, and customs, express or implied contracts, and written and unwritten rules that the organization develops over time and that have worked well enough to be considered valid. Also called corporate culture, it manifests in (1) the ways the organization conducts its business, treats its employees, customers, and the wider community, (2) the extent to which autonomy and freedom is allowed in decision making, developing new ideas, and personal expression, (3) how power and information flow through its hierarchy, and (4) the strength of employee commitment towards collective objectives.

## Performance

Performance refers to outputs and outcomes obtained from processes, products, services, and customers that permit the organization to evaluate and compare its results relative to performance projections, standards, past results, goals, targets, and the results of other organizations. Performance can be expressed in non-financial or financial terms.

## Performance Evaluation

Performance evaluation refers to the formal determination of an individual's job-related actions and their outcomes within a particular position or setting.

## Performance Measurement

Its objective is to assess the extent to which the added wealth/value to the organization and/or its clients, and whether the achievement was above or below a target (budget, the market or industry norms, etc.).

## Presenteeism

The reduced productivity of someone who is present at work, but either physically or mentally not well, and therefore not as effective, efficient or productive as they would normally be.

## Primary Prevention

Primary prevention is the part of preventive medicine that attempts to avoid disease. In workplace health, primary prevention includes most of the activities and practices related to prevention and protection to employees against harm due to elements of the physical and psychological environment, as well as health promotion activities in the workplace.

## Privacy

Customers' personally identifiable information is protected by the *Personal Information Protection and Electronic Documents Act* (PIPEDA), or equivalent privacy policies and practices.

## Process

A process is a series of definable, repeatable and measurable steps, which transform some input from suppliers into a useful result or output for an internal or external customer. Creating a process involves people, equipment, techniques, materials and improvements in a defined series of steps or actions. The process spells out what must be done in a preferred sequence.

## Process Management

Process management refers to a collection of administrative activities aimed at (1) defining a process, (2) establishing responsibilities, (3) evaluating process performance, and (4) identifying opportunities for improvement.

## Productivity

Productivity is a measure of the efficiency of a person, machine, factory, system, etc., in converting inputs into useful outputs. Productivity is computed by dividing average output per period by the total costs incurred or resources (capital, energy, material, personnel) consumed in that period. Productivity is a critical determinant of cost efficiency.

## Psychosocial Factors

Psychosocial factors are elements that impact employees' psychological responses to work and work conditions, potentially causing psychological health problems. Psychosocial factors include the way work is carried out (deadlines, workload, work methods) and the context in which work occurs (including relationships and interactions with managers and supervisors, colleagues and coworkers, and clients or customers).

## Requirement

A Requirement, in the context of a Standard, is one of many individual criteria that the organization is meant to assess itself against and determine what its approach is to meeting the Requirement, to what extent it is implementing this approach, and how well it is doing.

## Results

Results or Operational Plan are outcomes, consequences or conclusions after a period of time. (See Performance)

## Risk Assessment

See Workplace Risk Assessment

## Self-Assessment

Self-assessment is a process to evaluate the organization against the *Program*. (See Guide to Self-Assessment section on page 18.)

## Senior Leaders

Senior leaders refers to the organization's most senior management team. This is usually the CEO, Minister, Director and his/her direct reports.

## Stakeholder

Stakeholder refers to a person, group or organization that has direct or indirect stake in an organization because it can affect or be affected by the organization's actions, objectives and policies. Key stakeholders include: creditors, customers, directors, employees, government (and its agencies), owners, shareholders, suppliers, volunteers, unions, and community from which the organization draws its resources.

## Standard

A Standard is a document that details specifically what is expected of an organization to satisfy a consistent approach to improvement, through a series of well-defined Requirements, sometimes also referred to as Criteria.

## Strategic Plan

A Strategic Plan is usually an internal document that (1) outlines an organization's overall direction, philosophy, and purpose, (2) examines its current status in terms of its strengths, weakness, opportunities, and threats (see SWOT Analysis), (3) sets long-term objectives, and (4) formulates short-term tactics to reach them.

## Values

Values are important and enduring beliefs or ideals shared by the members of an organization or culture about what is good or desirable and what is not. Values exert major influence on the behavior of an individual and serve as broad guidelines in all situations.

## Vision

A vision is an aspirational description of what an organization would like to achieve or accomplish in the mid-term or long-term future. It is intended to serve as a clear guide for choosing current and future courses of action.

## Wellness

Wellness refers to the health of employees and customers, in terms of the physical environment and occupational health and safety, health and lifestyle practices, workplace culture and supportive environment and mental health.

## Well-being

A good or satisfactory condition or existence; a state characterized by health, happiness, and prosperity.

## Wellness Plan

A wellness plan addresses the needs of employees and includes strategies employed by an organization to address the physical environment and occupational health and safety, health and lifestyle practices, and workplace culture and supportive environment. A wellness plan addresses the following components: human resources; healthy workplace/mental health; and mental health. Each of these may be developed as smaller, individual plans, or may be incorporated into one overall plan for wellness.

## Workplace Risk Assessment

A workplace risk assessment involves an employer conducting a careful examination of what workplace factors could cause harm to employees and what precautions might be taken to prevent or mitigate harm. The goal is to ensure employee safety and minimize the likelihood of illness or injury.





## **APPENDIX G**

Certification

Organizations wishing to receive validation and recognition as they progress through *Mental Health at Work Essentials* may apply to *Excellence Canada* for certification.

### Certification Steps

1. Your organization will complete a self-assessment and scoring against the related Requirements (Appendix A). If the results of the assessment signify that your organization has achieved the targets outlined in the requirements, you are encouraged to *apply for Certification*. Please contact Excellence Canada to obtain the latest application guidelines and electronic application form (a certification fee may also apply). To receive electronic forms, send an email to [bonita@excellence.ca](mailto:bonita@excellence.ca).
2. For each of the twelve (12) Requirements, please outline in narrative form what your organization does to satisfy each Requirement. To demonstrate your compliance, we will require you to attach some evidence, e.g., samples of policies, plans, communications, etc.
3. Attach the Self-Assessment outlining your identified strengths and opportunities as well as the scores your team agreed upon.
4. Email the above to Excellence Canada, attention B. Savard, at [bonita@excellence.ca](mailto:bonita@excellence.ca) or mail a soft copy of the material to 154 University Avenue, Suite 402, Toronto, Ontario M5H 3Y9.

The ***Mental Health at Work Essentials*** Certification process is illustrated on the following page. The diagram demonstrates the recommended steps to obtain certification.

Certification is valid for two years, at which time you are encouraged to either recertify, or apply to Excellence Canada for certification in the more comprehensive 4-level program entitled ***Mental Health at Work*** (e.g., not *Essentials*).

Each level requires a demonstration of a progressively deeper and broader commitment to excellence and resulting achievement, as outlined in the Requirements. To apply for certification at each of the four levels, Excellence Canada requires an application describing how the organization meets the requirements at that level, as well as the conducting of an Excellence Canada survey. The intention of this brief survey is to ensure broad participation to support the verification process. For certification at the Silver, Gold and Platinum levels, an application and a site visit will also be required by a team of professional verifiers who will visit the organization for one or two days, depending on the scope and size of the application.

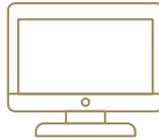
Completion of ***Mental Health at Work Essentials*** enables organizations to potentially proceed to the Silver Level in the more comprehensive ***Mental Health at Work*** program.

### Canada Awards for Excellence (CAE) Recognition

Organizations that are successfully certified at the Silver, Gold and Platinum levels of the *Mental Health at Work* Framework may qualify for Silver, Gold or Platinum recognition under the *Canada Awards for Excellence program*, of which the Governor General of Canada is the Patron. For further information, we encourage you to email the Manager of Certification and Awards: [bonita@excellence.ca](mailto:bonita@excellence.ca) or 1-800-263-9648, ext. 233.

# Mental Health at Work Essentials Certification (Recommended path)

## Improvement and Recognition for an Organization's *Mental Health at Work*



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### **Mental Health at Work Essentials**

1 day Training/Coaching

Overview, Assessment, and Gap Analysis for all requirements including related planning

### **Online Coaching or Webinar**

1 hour Coaching Sessions

### **Submission Preparation**

Verification Survey  
(Online Coaching)



Successful organizations could receive Certificate in 12 months.





## **APPENDIX H**

References

Canadian Alliance on Mental Illness and Mental Health: [www.camimh.ca](http://www.camimh.ca)

Canadian Mental Health Association: [www.cmha.ca](http://www.cmha.ca) Educational materials and workplace support opportunities (e.g., development of custom training programs) available through regional and branch offices

Employee Assistance Society of North America: [www.easna.org](http://www.easna.org) Free purchasers' guide to select and strengthen employee assistance programs [www.ccsint.com/jdownloads/EAP/eap\\_purchasers\\_guide\\_2009.pdf](http://www.ccsint.com/jdownloads/EAP/eap_purchasers_guide_2009.pdf)

Guarding Minds @ Work: [www.guardingmindsatwork.ca](http://www.guardingmindsatwork.ca) Free organizational health assessment tool, based on 13 psychosocial risk factors

Health Canada: [www.hc-sc.gc.ca/ewh-semt/occup-travail/work-travail/\\_cost-cout/index-eng.php#f2](http://www.hc-sc.gc.ca/ewh-semt/occup-travail/work-travail/_cost-cout/index-eng.php#f2)

Free self-assessment tool for measuring the costs of workplace stress

Healthy Workplaces (Homewood Human Solutions): [www.healthyworkplaces.info](http://www.healthyworkplaces.info)

Healthy workplace blog and free research reports

Mental Health Commission of Canada: [www.mentalhealthcommission.ca](http://www.mentalhealthcommission.ca)

Download the following from the Commission's website:

- National Standard of Canada for Psychological Health and Safety in the Workplace [www.mentalhealthcommission.ca](http://www.mentalhealthcommission.ca)

A Leadership Framework for Advancing Workplace Mental Health: [www.mhccleadership.ca](http://www.mhccleadership.ca)

Psychological Health and Safety: An Action Guide for Employers [www.mentalhealthcommission.ca/English/Pages/default.aspx](http://www.mentalhealthcommission.ca/English/Pages/default.aspx)

- Assembling the Pieces – An Implementation Guide to the National Standard for Psychological Health and Safety in the Workplace (2014) CSA Group and available through Mental Health Commission of Canada <http://www.csagroup.org/documents/codes-and-standards/publications/SPE-Z1003-Guidebook.pdf>
- Case Study Research Project – Interim Report (2015) Mental Health Commission of Canada <http://www.mentalhealthcommission.ca/English/document/77355/case-study-research-project-early-findings-interim-report>
- Mental Health First Aid Canada: [www.mentalhealthfirstaid.ca](http://www.mentalhealthfirstaid.ca) Training programs for the public, including instructor training

Salveo Research Study: Improving Mental Health in the Workplace (2015) Canadian Institutes of Health Research and the Fonds de recherche du Québec – Santé and funded by Standard Life Canada

<http://events.snwebcastcenter.com/manulife/GBRS/Prod/Media/PDFs/SL/ge13611.pdf>

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