

Table of Contents

CHAPTER 1. HIRING.....	1-1
1.1 Employment Applications	1-2
1.1.1 What Should Be Avoided	1-2
1.1.2 What Should Be Included	1-6
1.2 Interviews	1-7
1.3 References	1-8
1.4 Polygraph Testing	1-8
1.5 Drug and Alcohol Testing	1-9
1.6 Consumer Reports	1-11
1.7 Offer Letters	1-13
1.8 Rejection Letters	1-14
1.9 Negligent Hiring and Retention	1-14
Form 1.1A Employment Application	1-16
Form 1.1B Employment Application	1-21
Form 1.1C Employment Application	1-25
Form 1.1D Information for Applicant	1-30
Form 1.1E Equal Employment Opportunity Information Form	1-31
Form 1.1F Employment Eligibility Verification, Form I-9	1-33
Form 1.2A Hiring—Interview Tips	1-38
Form 1.2B Interview Form	1-39
Form 1.2C Sample General Guidelines for Pre-employment Inquiries	1-42
Form 1.3A Reference Release Form	1-45
Form 1.3B Reference Questions	1-45
Form 1.5A Applicant Substance Abuse Screening Program Policy	1-47
Form 1.5B Alcohol- and Drug-Testing Policy	1-48
Form 1.5C Informed Consent and Release for Drug or Alcohol Testing	1-52
Form 1.5D Sample Letter to Applicant/Employee Regarding Positive Drug/Alcohol Test Result	1-52
Form 1.5E Suspected Drug/Alcohol Abuse Behavior Documentation Form	1-53
Form 1.6A Fair Credit Reporting Act Disclosure	1-54
Form 1.6B A Summary of Your Rights Under the Fair Credit Reporting Act—Attachment	1-55
Form 1.7A Offer Letter	1-58
Form 1.7B Offer Letter	1-59
Form 1.8A Rejection Letter	1-60
Form 1.8B Rejection Letter	1-61

TABLE OF CONTENTS

CHAPTER 2. EMPLOYER-EMPLOYEE RELATIONSHIP AND EMPLOYMENT CONTRACTS 2-1

2.1 Employee or Contractor Status 2-1

2.2 Written Employment Agreements 2-5

 2.2.1 Preamble 2-6

 2.2.2 Duties 2-6

 2.2.3 Term of Employment 2-6

 2.2.4 Compensation and Benefits. 2-7

 2.2.5 Restrictive Covenant, Trade Secret, and Confidentiality Provisions . 2-8

 2.2.6 Alternative Dispute Resolution 2-8

 2.2.7 Waiver of Jury Trial and Statute of Limitations 2-8

 2.2.8 Choice of Law and Forum Selection Clauses 2-10

 2.2.9 Inventions and Improvements 2-10

 2.2.10 Protections Against Employee’s Obligations to a Former Employer 2-10

 2.2.11 Non-Waiver of Rights 2-11

 2.2.12 Integration Clause and Subsequent Amendments. 2-11

Form 2.1 Checklist for Contractor Status Unemployment Insurance. 2-12

Form 2.1A Short Form Independent Contractor Letter Agreement 2-14

Form 2.1B Independent Contractor Agreement 2-15

Form 2.2A Employment Agreement with Restrictive Covenant; 1-Year Term with Right to Terminate Without Cause on 30 Days’ Notice; Transfer of Intellectual Property to Employer. 2-20

Form 2.2B Employment Agreement for Definite Term; Subject to Limited Rights to Terminate for Cause, Arbitration Clause 2-32

Form 2.2C At-Will Agreement Emphasizing Trade Secrets, Intellectual Property Protection, and Restrictive Covenant 2-37

Form 2.2D Executive Employment Agreement for Specified Term; Termination for Cause; Resignation for Good Reason; Severance Benefits 2-45

Form 2.2E Officer Employment Agreement for Term of Years; Conditions for Severance (Including Change of Control) 2-51

Form 2.2F Offer Letter, Employment Agreement, Severance Benefits 2-62

Form 2.2.6A Jury Trial Waiver Agreement for Inclusion in Employment Agreement 2-65

Form 2.2.6B Jury Trial Waiver Agreement for Inclusion in Employment Agreement 2-65

CHAPTER 3. WAGE AND HOUR LAW 3-1

3.1 Interplay of Federal and State Law 3-1

3.2 Fair Labor Standards Act 3-1

3.3 Minnesota Minimum Wage and Overtime Requirements 3-3

3.4 Minnesota Fair Labor Standards Act and Payment of Wages Act 3-4

 3.4.1 Definition of Wage 3-4

 3.4.2 Payment of Wages 3-5

 3.4.3 Deductions from Wages and Payment of Wages upon Termination and Resignation 3-6

 3.4.4 Employee Action to Recover Unpaid Wages 3-7

3.5 Equal Pay for Equal Work 3-8

3.6 Posting of Regulations, Record Retention, and Inspection of Wage Records 3-9

3.7 Child Labor 3-9

3.8 Garnishment of Wages and Support Enforcement Withholdings 3-10

3.9 Workers’ Compensation and Unemployment Insurance 3-11

Form 3.2A Wage Law/FLSA Exempt Employee (Job Duties) Classification Guide 3-12

Form 3.2B Policy Regarding Exempt/Nonexempt Employment Categories 3-13

Form 3.2C Work Schedules 3-14

Form 3.2D Overtime Policy 3-14

Form 3.2E Overtime Policy 3-15

Form 3.2F Working Hours and Conditions 3-16

Form 3.2G Time Keeping 3-17

Form 3.4.2A Compensation Policy 3-18

Form 3.4.2B Paydays 3-19

Form 3.4.2C Administrative Pay Corrections 3-19

Form 3.4.3A Pay Deductions and Salary Advances 3-20

Form 3.4.3B Wage Withholding Authorization 3-21

Form 3.4.3C Wage Deduction Authorization 3-21

Form 3.9 Workers’ Compensation Insurance 3-22

Form 3.9A Ill/Injured Employee Release Form 3-22

CHAPTER 4. RECORD RETENTION 4-1

4.1 Federal Recordkeeping Requirements 4-2

4.2 Minnesota Recordkeeping Requirements 4-4

4.3 How to Maintain Employment Records and Personnel Record Policies 4-6

4.4 Record-Retention Policies 4-7

4.5 Litigation Considerations 4-9

Form 4.1A Employment Record-Retention Chart Summary 4-11

Form 4.1B Excerpts, Standard Form 100 (Eeo-1 Report) (Announced January 27, 2006) 4-16

TABLE OF CONTENTS

Form 4.3A	Notice of Rights Regarding Personnel Records	4-20
Form 4.3B	Information Changes	4-22
Form 4.3C	Guidelines for Employee Personnel Files	4-22
Form 4.4A	Short Form Document-Retention Policy	4-24
Form 4.4B	Short Form Record-Retention Policy	4-25
Form 4.4C	Comprehensive Document-Retention Policy	4-25
CHAPTER 5. DISCRIMINATION AND HARASSMENT		5-1
5.1	State and Local Law against Discrimination in Minnesota	5-1
5.1.1	The Administrative Process under the MDHR	5- 3
5.2	Title VII of the Civil Rights Act of 1964	5-4
5.2.1	Scope of Title VII’s Non-discrimination Provisions	5-4
5.2.2	The Administrative Process under Title VII	5-5
5.3	Sexual Harassment	5-6
5.3.1	Definition of Sexual Harassment	5-6
5.3.2	Employer Liability—Quid Pro Quo and Hostile Environment	5-7
5.3.3	Devising an Effective Sexual Harassment Policy	5-9
5.3.4	Conducting Harassment Training	5-9
5.3.5	Investigating Employee Harassment Complaints and Taking Corrective Action	5-10
5.4	The Americans with Disabilities Act	5-12
5.4.1	Requirements of the ADA	5-13
5.4.2	Developing Job Descriptions	5-14
5.5	The Age Discrimination in Employment Act of 1967 and Minnesota Prohibition against Age Discrimination	5-15
5.6	Requirements for Equal Pay	5-16
5.7	Retaliation	5-17
5.8	Common Law Tort claims Arising Out of Discrimination	5-18
5.8.1	Intentional Infliction of Emotional Distress	5-18
5.8.2	Assault and Battery	5-19
5.8.3	Defamation	5-20
5.8.4	Wrongful or Abusive Discharge	5-20
5.8.5	False Imprisonment	5-21
5.8.6	Invasion of Privacy	5-21
Form 5A	Equal Employment Opportunity Policy	5-21
Form 5B	Equal Employment Opportunity Policy	5-22
Form 5C	Equal Employment Opportunity is The Law	5-23
Form 5.3.3A	Short Form Harassment Policy	5-24
Form 5.3.3B	Long Form Harassment Policy	5-24
Form 5.3.3C	Long Form Harassment Policy	5-25
Form 5.3.3D	Combined Discrimination and Harassment Policy	5-27

Form 5.3.3E	Combined Discrimination and Harassment Policy	5-29
Form 5.3.3F	Complaint Form	5-30
Form 5.3.4A	Acknowledgment Form of Harassment Policy and Training	5-32
Form 5.3.5A	Sexual Harassment Investigative Question Checklist	5-32
Form 5.4A	Americans with Disabilities Act of 1990 (“ADA”) Policy	5-34
Form 5.4B	Americans with Disabilities Accommodations	5-34
Form 5.4C	Policy for Management Personnel Describing the Americans with Disabilities Act of 1990 (“ADA”)	5-36
Form 5.4D	Policy for Management Personnel Describing the Americans with Disabilities Act (“ADA”)	5-37
Form 5.4.1A	Sample Job Description Form	5-39
CHAPTER 6.	EMPLOYEE PERFORMANCE, WORK RULES, DISCIPLINE, AND PROBLEM RESOLUTION	6-1
6.1	Performance Policies and Evaluations	6-1
6.1.1	Initial Introductory Periods	6-2
6.1.2	Formal Performance Appraisals	6-2
6.1.3	Regular Documentation of Employee Performance	6-4
6.2	Employee Conduct and Work Rules	6-5
6.3	Disciplinary Policies and Procedures	6-5
6.3.1	Progressive Discipline	6-6
6.3.2	Disciplining Employees	6-7
6.4	Problem Resolution	6-8
6.4.1	Formal Problem-Resolution Policies	6-8
6.4.2	Informal “Open Door” Policies	6-8
Form 6.1.1A	Probationary Period Policy	6-9
Form 6.1.1B	Probationary Period Policy	6-9
Form 6.1.1C	Review Following Orientation and Training Period	6-10
Form 6.1.2A	Performance Review	6-10
Form 6.1.2B	Performance Evaluation	6-10
Form 6.1.2C	Performance Evaluations	6-11
Form 6.1.2D	Performance Reviews	6-12
Form 6.1.2E	Performance Appraisal Worksheet	6-12
Form 6.1.2F	Self-Evaluation	6-15
Form 6.1.2G	Self-Appraisal	6-17
Form 6.2A	Standards of Conduct	6-19
Form 6.2B	Employee Conduct and Work Rules	6-20
Form 6.3	Disciplinary Policy	6-21
Form 6.3.1A	Code of Conduct and Progressive Discipline Policy	6-21
Form 6.3.1B	Standards of Conduct and Progressive Discipline	6-23

TABLE OF CONTENTS

Form 6.3.2A Discipline Documentation Form 6-25

Form 6.3.2B Discipline Checklist for Use by Supervisors
and Managers 6-27

Form 6.3.2C Employee Warning Notice 6-28

Form 6.3.2D Employee Plan for Improvement 6-29

Form 6.3.2E Sample Memo to File—Oral Reprimand 6-30

Form 6.3.2F Written Reprimand 6-31

Form 6.4.1A Employee Complaints/Problem Resolution 6-32

Form 6.4.1B Formal Complaint Procedure 6-33

Form 6.4.1C Problem Resolution 6-34

Form 6.4.2A Open Door Communications. 6-35

Form 6.4.2B Open Communication Policy 6-35

**CHAPTER 7. FAMILY AND MEDICAL LEAVE AND OTHER LEAVES
OF ABSENCE. 7-1**

7.1 Family and Medical Leave Act of 1993, Minnesota Parental
Leave Law, Minnesota Sick or Injured Child Care Leave 7-2

7.2 Vacation Leave 7-4

7.3 Holidays 7-5

7.4 Sick Leave 7-6

7.5 Leave for Jury Duty and Court Appearances 7-6

7.6 Voting Leave 7-7

7.7 Military Leave 7-8

7.8 Personal Leave 7-9

7.9 Bereavement Leave 7-10

7.10 Educational Leave 7-10

7.11 Bone Marrow Donation Leave. 7-11

7.12 Civil Air Patrol Leave 7-11

7.13 Elected Union Officials Leave 7-11

7.14 Nursing Mothers Break Time. 7-11

7.15 Religious Holidays and Observances 7-12

7.16 Paid Time Off Policies 7-12

Form 7.1A Short Form FMLA, Parental Leave, and Sick or Injured
Child Care Leave Policy 7-13

Form 7.1B Long Form FMLA, Parental Leave, and Sick or Injured
Child Care Leave Policy 7-14

Form 7.1B(1) Military Leave Insert For Family and Medical Leave Policies. 7-17

Form 7.1C Request for Family and Medical Leave, Parental Leave,
or Sick or Injured Child Care Leave 7-18

Form 7.1D Employer Response to Employee Request for Family
and Medical Leave 7-20

Form 7.1E Department of Labor—Rights under the Family and

	Medical Leave Act	7-23
Form 7.1E(1)	Military Family Leave	7-26
Form 7.1F	Certification of Health Care Provider (Family and Medical Leave Act of 1993).	7-27
Form 7.1G	Family and Medical Leave of Absence Return to Work Certification	7-31
Form 7.1H	Sample Letter Concerning Family and Medical Leave Expiration.	7-32
Form 7.1I	Medical Leave of Absence Policy (for Employers with Less than 21 Employees)	7-33
Form 7.2A	Vacation Policy.	7-34
Form 7.2B	Vacation Policy.	7-35
Form 7.3A	Holiday Policy.	7-36
Form 7.3B	Paid Holidays	7-37
Form 7.4A	Sick Leave Policy	7-37
Form 7.4B	Sick Leave Policy	7-38
Form 7.5A	Jury Leave Policy	7-39
Form 7.5B	Jury Duty and Court Appearances Policy.	7-39
Form 7.6A	Voting Leave Policy	7-40
Form 7.6B	Voting Leave Policy	7-41
Form 7.7A	Military Leave Policy	7-41
Form 7.7B	Military Leave Form Letter	7-41
Form 7.7C	Department of Labor—Rights under Uniformed Services Employment and Reemployment Rights Act.	7-42
Form 7.8	Personal Leave Policy.	7-44
Form 7.9A	Bereavement Leave Policy	7-45
Form 7.9B	Bereavement Leave Policy	7-46
Form 7.10	Educational Leave Policy	7-46
Form 7.15A	Religious Holidays and Observances	7-46
Form 7.15B	Religious Holidays and Observances	7-47
Form 7.16	Paid Time Off Policy	7-47
CHAPTER 8. EMPLOYEE HANDBOOKS		8-1
8.1	Reasons to Adopt an Employee Handbook	8-1
8.2	Adopting Policies and Procedures	8-3
8.3	Subjects to Be Covered in Employee Handbooks	8-4
8.3.1	Employee Acknowledgment.	8-4
8.3.2	At-Will Employment	8-5
8.3.3	Disclaimer of Contractual Rights	8-5
8.3.4	Equal Employment Opportunity; Sexual Harassment and Other Unlawful Harassment.	8-6
8.3.5	Americans with Disabilities Act (“ADA”)	8-6

TABLE OF CONTENTS

8.3.6	Employment Classification as Non-Exempt or Exempt	8-6
8.3.7	Wages, Compensation, and Hours of Work	8-6
8.3.8	Benefits and Leave	8-7
8.3.9	Performance, Discipline, and Problem Resolution	8-7
8.3.10	Attendance	8-8
8.3.11	Drug and Alcohol	8-8
8.3.12	Work Rules/Code of Conduct	8-8
8.3.13	Dress Code	8-8
8.3.14	Search, Privacy and Use of Company Electronic Equipment	8-9
8.3.15	Use of Company Equipment	8-9
8.3.16	Conflicts of Interest	8-9
8.3.17	Outside Employment/Moonlighting	8-9
8.3.18	Solicitation	8-9
8.3.19	Confidentiality	8-9
8.3.20	Notice of Right to Access Personnel Files	8-10
8.3.21	Other	8-10
Form 8.3A	Sample Index to a Comprehensive Employee Handbook for a Large Employer	8-11
Form 8.3B	Employee Handbook Checklist	8-15
Form 8.3C	Employee Handbook Review	8-19
Form 8.3.1A	Employee Acknowledgment Form	8-23
Form 8.3.1B	Employee Acknowledgment Form	8-24
Form 8.3.1C	Employee Acknowledgment of New or Revised Policy.	8-24
Form 8.3.2	“At-Will” Employment	8-25
Form 8.3.3	Contract Disclaimer Provision	8-25
Form 8.3.10	Attendance and Punctuality	8-26
Form 8.3.11A	Alcohol and the Workplace Policy for Private Employers	8-26
Form 8.3.11B	Alcohol Consumption at Business Functions	8-27
Form 8.3.11C	Drug and Alcohol Policy for Federal Contractors	8-27
Form 8.3.11D	Drug and Alcohol Testing	8-28
Form 8.3.11E	Certificate of Receipt	8-31
Form 8.3.13	Professional Dress Code	8-32
Form 8.3.15A	Use of Company Equipment	8-33
Form 8.3.15B	Use of Phone and Mail Systems	8-34
Form 8.3.16	Conflicts of Interest.	8-35
Form 8.3.17	Outside Employment (Moonlighting).	8-36
Form 8.3.18	Non-solicitation	8-36
Form 8.3.19A	Employment Reference Checks	8-37
Form 8.3.19B	Cellular Phone	8-38
Form 8.3.19C	Use of Camera Phones	8-38
Form 8.3.19D	Workplace Safety	8-39
Form 8.3.19E	Workplace Safety/Security	8-40

Form 8.3.19F	Business Travel Expenses	8-41
Form 8.3.19G	Visitors in the Workplace	8-42
Form 8.3.19H	Policy and Procedures for Receipt, Retention, and Treatment of Complaints and Concerns Regarding Accounting Controls and Auditing Matters (Whistleblower Policy)	8-43
CHAPTER 9. WORKPLACE PRIVACY		9-1
9.1	Low-Tech Traditional Search and Surveillance of Employees	9-2
9.1.1	Employee Privacy Tort Causes of Action	9-3
9.1.2	Traditional Search and Surveillance Policies	9-3
9.2	Electronic Systems and Communications Present New Challenges	9-4
9.2.1	Statutory Limitations on Monitoring Electronic Communications	9-4
9.2.2	Electronic Use Policies	9-6
9.3	Improper Disclosure of Private Information	9-7
Form 9.1A	Workplace Searches	9-10
Form 9.1B	Workplace Privacy	9-11
Form 9.1C	Personal Email Policy	9-11
Form 9.1D	Employee Consent to Use Name or Likeness	9-12
Form 9.2A	Short Form Use of Electronic Mail Systems and Voice Mail (with Acknowledgment Form)	9-12
Form 9.2B	Long Form Use of the Company’s Electronic Systems Policy	9-14
Form 9.2C	Long Form Computer, E-Mail, and Internet Policy	9-17
Form 9.2D	Employee Acknowledgment Form Concerning Use of Electronic Systems	9-21
Form 9.3	Employee Authorization Form to Use and Disclose Protected Health Information	9-21
Form 9.4	Checklist for Avoiding Employee Privacy Claims	9-23
CHAPTER 10. TRADE SECRETS, RESTRICTIVE COVENANTS, AND CONFIDENTIALITY AGREEMENTS		10-1
10.1	Trade Secrets Statutory and Case Law Considerations	10-1
10.2	Preventing the Misappropriation of Trade Secrets	10-6
10.3	Employee Covenants of Non-competition and Non-solicitation	10-7
10.3.1	Consideration	10-9
10.3.2	Business Interests	10-9
10.3.3	Scope	10-11
10.3.4	Additional Necessary Provisions	10-12
10.3.5	Enforcement and Remedies	10-14
10.4	Confidentiality and Non-disclosure Agreements	10-16

TABLE OF CONTENTS

Form 10.2A Sample Memorandum Reminding Employees of Confidentiality Obligations 10-17

Form 10.2B Checklist for Protecting Trade Secrets 10-19

Form 10.3A Non-competition, Non-solicitation, and Confidentiality Agreement 10-21

Form 10.3B Non-competition, Non-solicitation, and Confidentiality Agreement 10-23

Form 10.3C Restrictive Covenant and Confidentiality Agreement 10-25

Form 10.3D Confidentiality, Intellectual Property, and Non-competition Agreement 10-28

Form 10.3E Sample Letter to Former Employee Regarding Restrictive Covenant Obligations (Agreement) 10-34

Form 10.3F Sample Letter to Former Employee Regarding Continuing Confidentiality Obligations (No Written Agreement) 10-35

Form 10.3G Letter to New Employer Regarding Former Employee’s Restrictive Covenant Agreement and Knowledge of Trade Secrets 10-36

Form 10.3.5A Non-compete Provision with Liquidated Damages Clause for Inclusion in Employment Agreement 10-37

Form 10.4A Employee Handbook Confidentiality Provision 10-38

Form 10.4B Confidentiality Agreement 10-39

Form 10.4C Non-disclosure and Confidentiality Agreement 10-42

CHAPTER 11. TERMINATION OF THE EMPLOYMENT RELATIONSHIP 11-1

11.1 Termination of At-Will Employees, Exceptions to At-Will Employment 11-1

 11.1.1 Statutory Exceptions to At-Will Employment 11-2

 11.1.2 Judicial Exceptions to At-Will Employment 11-4

 11.1.2.1 Implied Contracts 11-4

11.2 Termination of Employment for a Definite Term 11-6

11.3 Employee Resignation as Constructive Discharge 11-7

11.4 Pre-termination Review 11-7

11.5 Termination Policies 11-8

 11.5.1 Final Paychecks and Benefits 11-9

 11.5.2 Re-employment and References 11-10

 11.5.3 Exit Interviews 11-10

11.6 Termination Letters 11-11

11.7 Reductions in Force (“RIF”) 11-12

11.8 Employment Separation and Termination Agreements 11-13

 11.8.1 Severance Payment 11-13

11.8.1A	Nonqualified Deferred Compensation Plans under Section 409A Release of Claims Additional Terms in Separation and Termination Agreements	11-14
11.9	Employee Settlement Agreements	11-20
Form 11.4	Pre-dismissal Risk Assessment.	11-20
Form 11.5A	Termination Policy	11-22
Form 11.5B	Termination Policy	11-23
Form 11.5C	Termination/Severance Policy	11-25
Form 11.5D	Continuation of Health Coverage (“COBRA”) Policy	11-26
Form 11.5E	Checklist for COBRA Administration	11-27
Form 11.5F	Employee Departure; Return of Company Property Policy	11-28
Form 11.5G	Rehire Policy.	11-29
Form 11.5H	Reference Policy	11-29
Form 11.5I	Sample Reference Letter.	11-30
Form 11.5J	Reference Authorization and Release of Liability	11-30
Form 11.5K	Exit Interview Policy	11-30
Form 11.5L	Employee Exit Interview/Separation Checklist	11-31
Form 11.5M	Exit Interview Information (for Employer to Complete)	11-32
Form 11.5N	Separation Survey (for Employee to Complete).	11-33
Form 11.6A	Termination Letter for At-Will Employee	11-36
Form 11.6B	Termination Letter (Reminding Employee of Contractual Obligations).	11-37
Form 11.6C	Truthful Reason for Termination	11-39
Form 11.7A	Sample Warn Letter to State	11-39
Form 11.7B	Sample Warn Letter to Employee.	11-40
Form 11.8A	Short Form Checklist of Points for Consideration of Items That May Be Included in Any Separation and/or Settlement Agreement	11-40
Form 11.8B	Employment Separation Agreement and Release (Employee 40 Years of Age and Older)	11-42
Form 11.8C	Employment Separation Agreement and Release (Employee Under 40 Years Old).	11-46
Form 11.8C2	Negotiated Reference (Attachment)	11-51
Form 11.8D	Long Form Separation Agreement and Mutual Release with Restrictive Covenants and Arbitration (for Executive 40 Years of Age and Older)	11-51
Form 11.8E	Long Form Separation Agreement and Mutual Release with Restrictive Covenants and Arbitration (for Executive Under 40 Years of Age)	11-63
Form 11.8.2A	Family and Medical Leave Act Provision for Inclusion in Separation/Settlement Agreement.	11-74
Form 11.9A	Short Form Settlement Agreement of Litigation Claims with Mutual Releases (Employee under 40 Years Old)	11-75

TABLE OF CONTENTS

Form 11.9B Short Form Settlement Agreement of Litigation Claims with Mutual Releases (Employee 40 Years of Age and Older) . . . 11-78

Form 11.9C Long Form Settlement Agreement of Claims and General Release (Employee 40 Years of Age and Older). 11-82

Form 11.9D Long Form Settlement Agreement of Claims and General Release (Employee under 40 Years of Age) 11-87

Form 11.10 Internal Revenue Code Section 409A Compliance Checklist for Employment Separation/Severance Agreements Providing for Nonqualified Deferred Compensation 11-92

CHAPTER 12. ALTERNATIVE DISPUTE RESOLUTION 12-1

12.1 What Is ADR? 12-1

12.2 The Advantages and Disadvantages of ADR 12-2

12.3 Mediation 12-3

12.4 Arbitration 12-3

 12.4.1 Legal Basis of Employment Arbitration 12-4

 12.4.2 Arbitration Policies and Agreements 12-6

 12.4.2.1 What Kind of Document Is Required for an Arbitration Agreement? 12-6

 12.4.2.2 Consideration Required to Support the Arbitration Agreement 12-7

 12.4.2.3 Bargaining Power 12-8

 12.4.3 Specific Provisions for Inclusion in Arbitration Agreements 12-8

Form 12.3A Stand-Alone, Short Form Policy for Mediation of Employment Disputes (Non-mandatory, Pre-dispute) 12-14

Form 12.3B Policy with Procedure for Mediation of Employment Disputes (Mandatory, Pre-dispute, with Acknowledgment Form) 12-15

Form 12.3B2 Agreement to Mediate Employment Disputes (Attachment) 12-17

Form 12.3C Agreement to Mediate and Maintain Confidentiality (Short Form Post-dispute). 12-17

Form 12.3D Employment Mediation Rules (AAA Rules and Procedure) 12-19

Form 12.3E1 Four-Step Dispute-Resolution Procedure; Open Door Policy, Peer Review, Mediation, Arbitration 12-22

Form 12.3E2 Signature and Acknowledgment Form (Attachment) 12-24

Form 12.3F Employee Dispute-Resolution Program (Mandatory Mediation, Arbitration) 12-25

Form 12.4A Comprehensive Agreement to Arbitrate 12-27

Form 12.4B At-Will Employment Agreement (with Mandatory Arbitration Provision in the Nature of Private Litigation) 12-35

Form 12.4B2 The Company’s Dispute-Resolution Policies and Procedures (Attachment). 12-38

TABLE OF CONTENTS

Form 12.4C Application for Employment, Agreement to Arbitrate 12-40
Form 12.4D Arbitration Clause in Executive Employment Agreement 12-42
Form 12.4E Arbitration Clause in Employment Agreement 12-43
Form 12.4F Post-dispute Arbitration Agreement 12-43
Form 12.4G American Arbitration Association—Employment
Arbitration Rules—Demand for Arbitration Form 12-46
Form 12.4H American Arbitration Association Rules for
Arbitration: National Rules for the Resolution of
Employment Disputes 12-48

INDICES

Forms Index Index-1
Subject Index Index-7