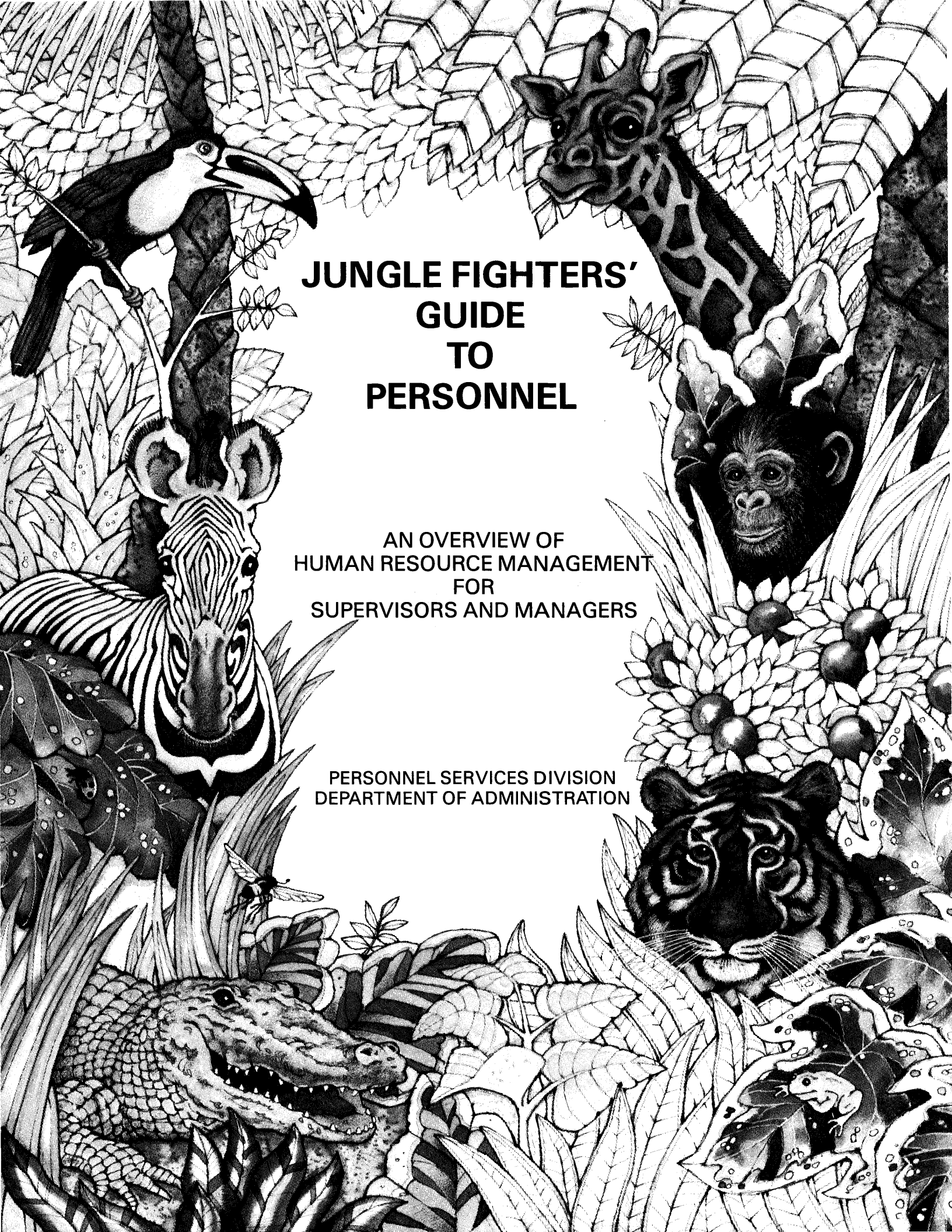

JUNGLE FIGHTERS' GUIDE TO PERSONNEL

AN OVERVIEW OF
HUMAN RESOURCE MANAGEMENT
FOR
SUPERVISORS AND MANAGERS

PERSONNEL SERVICES DIVISION
DEPARTMENT OF ADMINISTRATION

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FOUNDATIONS:
The Merit System

The principles behind the
rules, procedures and forms of the system.

HISTORY AND PHILOSOPHY OF MINNESOTA'S MERIT SYSTEM

1889 - Introduction of first bill proposing Civil Service System in Minnesota.

1939 - Civil Service Act passed.

1949 - Veteran's Preference Act.

1970's - Legislative Interim Commission Study of Civil Service.

Loaned Executive Action Program Study of Civil Service.

1971 - Public Employee Labor Relations Act

1973 - Major revision of civil service statute and retitling to Department of Personnel.

1979 - Legislative Commission on Employee Relations revises collective bargaining unit structure for State and University of Minnesota.

- Public Employment Study of classification in state government and adoption of Hay System of Job Evaluation.

1981 - Major revision of personnel statute and retitling to Department of Employee Relations.

1982 - Pay Equity/Comparable Worth Act.

GENERAL MINNESOTA POLICY
RE: MERIT PRINCIPLES

M.S.43A.01 POLICIES.

Subdivision 1. General. It is the policy of the state to maintain an efficient and effective merit based personnel management system to meet the management needs of the state and the social, economic and program needs of the people of the state. The system shall provide means to recruit, select and develop an effective, productive and responsive work force representative of the labor market according to the demands of society, equity and law, and shall include policies and procedures for employee hiring and advancement, training and career development, job classification, salary administration, employee benefits, discipline, discharge, retirement and other related activities as appropriate, taking into consideration formal and informal labor relations arrangements.

Subd. 2. Precedence of merit principles and nondiscrimination. It is the policy of this state to provide for equal employment opportunity consistent with chapter 363 by ensuring that all personnel actions be based on the ability to perform the duties and responsibilities assigned to the position without regard to age, race, creed or religion, color, disability, sex, national origin, marital status, status with regard to public assistance, or political affiliation. It is the policy of this state to take affirmative action to eliminate the underutilization of qualified members of protected groups in the civil service, where such action is not in conflict with other provisions of this chapter or chapter 179, in order to correct imbalances and eliminate the present effects of past discrimination.

No contract executed pursuant to chapter 179 shall modify, waive or abridge sections 43A.01, 43A.07 to 43A.13, 43A.15, and 43A.17 to 43A.21, except to the extent expressly permitted in those sections.

(Sections 43A.07 to 43A.13 relate to classified and unclassified service, recruitment, selection and certification of eligibles. Section 43A.15 relates to non-competitive and qualifying appointments. Sections 43A.17 to 43A.21 relate to compensation, affirmative action, performance appraisal and training.)

MERIT PRINCIPLES

Job Related Selection

What: Job related reliable and objective selection methods for entry and promotion.

Why: To assure fair and job related tests of individuals' abilities to perform competently.

Open Access and Recruitment

What: A dedication to public notice and active recruitment.

Why: To assure a diverse, highly qualified group of applicants and, over time, achieve a balanced workforce.

Appointment of Best Suited Including Affirmative Action

What: Refer candidates in score order and allow flexibility for affirmative action.

Why: To maximize opportunity for appointment of best qualified and achieve public policy goal of non-discrimination and equal employment opportunity.

Equitable Classification and Compensation

What: Develop a classification plan which groups and distinguishes positions on basis of difficulty and responsibility of work and a compensation plan which is equitable.

Why: To ensure that similar positions are paid similar salaries.

Due Process

What: An orderly, performanced-based separation procedure (including appeals, hearings and other administrative process where appropriate).

Why: To provide for due process for employees.

Training

What: Training and development activities will be available.

Why: To raise employees to desired levels of competency.

Job Clarification and Performance Appraisal

What: Position duties and responsibilities are clarified and performance standards are established.

Why: To provide employees and managers with a basis for measuring performance.

Protection From Political Coercion

What: Employees are protected from political coercion, are encouraged to exercise right of legitimate descent and are bound by a code of ethical performance.

Why: To ensure that the public interest rather than special interests are served.

POSITION DESCRIPTION

What is a position description?

It is a written representation of the duties assigned to a state position. A well-written position description is the key document in any classification review. A clearly written position description requires less information in the supporting documents. It should be accurate, up-to-date, complete, descriptive, and signed by the supervisor and incumbent.

When the employee's position description is completed, the employee's role and level of authority in relation to others should be evident.

Why is a position description needed?

A well-written position description serves many purposes. It:

- defines and communicates the position's job duties.
- identifies the expected level of employee performance.
- serves as the basis for appropriate classification of the position.
- serves as the basis for developing class specifications.
- serves as a basis for developing examinations for the classification.
- helps identify whether the position should be in a supervisory or non-supervisory bargaining unit.

Who is responsible for writing the position description?

When a position is occupied, the position description should generally be written by the employee with direction from the immediate supervisor. This depends, of course, upon the written communication skills which can be reasonably expected of the employee. This process allows the supervisor to communicate the role and accountabilities clearly to the employee, and allows the employee to participate in the process. The supervisor has the authority to make the final decision about the contents of the position description.

When a position is new, the supervisor is typically responsible for writing the position description.

What does the position description need to include?

A three-part form (#PE-00042-03) is used throughout the State of Minnesota to help give shape and consistency to position descriptions. The three sections - A, B and C - are divided into six subsections, described below:

A = 1. Heading or Job Identification
2. Position Purpose
3. Reportability
4. Dimensions

B = 5. Principal Responsibilities, Tasks and Performance Indicators

C = 6. Nature and Scope

State of Minnesota **POSITION DESCRIPTION A**	EMPLOYEE'S NAME		
AGENCY/DIVISION	ACTIVITY		
CLASSIFICATION TITLE	WORKING TITLE (if different)	POSITION CONTROL NUMBER	
PREPARED BY	PREVIOUS INCUMBENT	APPRAISAL PERIOD to	
EMPLOYEE'S SIGNATURE (this position description accurately reflects my current job)	DATE	SUPERVISOR'S SIGNATURE (this position description reflects the employee's current job)	DATE

POSITION PURPOSE

1. HEADING OR JOB IDENTIFICATION

EMPLOYEE'S NAME: First, middle and last name of the person currently holding the position.

AGENCY/DIVISION: Name of the department, agency, board, commission, or institution in which the position is currently located. Include the name of the division or work unit if applicable.

ACTIVITY: Management or budget activity.

CLASSIFICATION TITLE: Official title assigned to the position by the Department of Employee Relations (not the title of the job classification being requested).

WORKING TITLE: Unofficial working title, if any, assigned to the position by the employee's agency.

POSITION CONTROL NUMBER: Six-digit identification number assigned to the position by the Department of Employee Relations.

PREPARED BY: Name of the person(s) who wrote the position description.

PREVIOUS INCUMBENT: Name of the person who formerly held the position. (Need not be completed if the position is new.)

APPRAISAL PERIOD: Beginning and ending dates (month and day) of the employee's official appraisal period.

EMPLOYEE'S SIGNATURE: Signature of the person holding the position, indicating that the employee accepts the content of the position description.

DATE: Month, day and year that the employee signed the position description.

SUPERVISOR'S SIGNATURE: Signature of the employee's supervisor, indicating that the supervisor agrees with the content of the position description.

DATE: Month, day and year that the employee's immediate supervisor signed the position description.

2. POSITION PURPOSE

This concise, one or two sentence statement describes the overall reason the job exists. It begins with: "This position exists to..." followed by an identification of the objectives/functions of the position, not those of the overall division/department (unless it is a division or department head position).

Another way to look at it: What service or product would be missing if this position did not exist?

3. REPORTABILITY

REPORTS TO: Indicate the actual classification title of the position's immediate supervisor (not working title).

SUPERVISES: Indicate the number of and actual classification titles of all employees formally supervised by the position. Note in parentheses if the subordinates are temporary or seasonal. If seasonal, list the normal length of the season (such as 3 months). Also, if the employee assigns work to, reviews the work of, or advises other positions but does not actually supervise them, these relationships should also be recorded and explained.

4. DIMENSIONS

BUDGET: Dollar amount(s) of the budget that the employee's position controls, manages and/or influences. Include the total budget of the work unit, and separate salaries (over which the position may exercise little control) from program funds (over which the position may exercise greater control or influence). Include also the value of equipment, materials, other physical property and natural resources if they are indicators of the position's control or influence. Describe the level of control and/or degree of influence that the employee's position has on other budgets in the organization.

CLIENTELE: People and/or organizations directly affected by the employee's position. Who actually benefits from the employee's work?

NOTE: Add a definition section under clientele if you are going to use abbreviations or acronyms in the position description (as in SCS = Soil Conservation Service).

POSITION DESCRIPTION B	EMPLOYEE'S NAME	POSITION CONTROL NUMBER

Item No.	PRINCIPAL RESPONSIBILITIES, TASKS AND PERFORMANCE INDICATORS	Priority	% of Time	Discretion

NOTE: For identification, list the employee's name and position control number on the top of each page.

5. PRINCIPAL RESPONSIBILITIES, TASKS AND PERFORMANCE INDICATORS

PRINCIPAL RESPONSIBILITIES: Describe major activities in which the employee is involved. Normally there are 5 to 8 principal responsibilities for each position; they summarize a number of common tasks in a "what" and "why" format. A principal responsibility statement should have three parts. It begins with an action verb and includes the following:

> (The employee) Performs what action/On what or to whom/To produce or achieve what result or product.

Examples of this simple format are provided below:

> Determines/program eligibility of clients/to meet their identified or anticipated needs.
>
> Coordinates/department mailings/so that appropriate people receive memos, bulletins, etc., on time.

Principal responsibility statements may need to be combined if more than eight statements have been identified or if principal responsibilities reflect a percentage of time of five percent or less.

Also, if fewer than five principal responsibility statements have been identified and/or principal responsibility statements reflect a percentage of time of 40 percent or higher, review them to determine if a principal responsibility needs to be split into more than one principal responsibility.

TASK STATEMENTS: Specific and distinct activities that collectively comprise each of the employee's principal responsibilities.

Principal responsibility statements and task statements need to reflect the employee's delegated level of authority and involvement in the major activities. The employee's role in various fundamental areas must be clarified in relation to his/her supervisor, the employees s/he supervises, and other employees involved in the same functional areas (remember to refer to these individuals in the task statements).

For further instructions on writing a principal responsibility statement for supervisory positions, see page A-26.

Use "Action Word Definitions and Action Word Definition Supplement of Ambiguous Action Words" in the appendix to locate descriptive action verbs for use in writing responsibility and task statements. The use of accurate action verbs enables the reader to have a clearer understanding of the position responsibilities.

After the task statements and principal responsibility statements have been written, review them to ensure that the tasks are explicit. If necessary, expand on them.

In Section B, record the more important responsibilities first and the less important responsibilities last. List the principal responsibilities as numbers (1, 2, 3, 4) and the tasks alphabetically (A, B, C, D) under the corresponding principal responsibility.

PRIORITY, PERCENTAGE OF TIME AND DISCRETION:

Priority: The purpose of this item is to rank responsibilities and assign priorities. The question to ask for each responsibility is: To what degree is this necessary to accomplish the job's purpose, work-unit objectives, and organization goals? If one principal responsibility has a greater influence on job purpose, work-unit objectives, and organization goals than other principal responsibilities, it receives a higher priority rating.

Assign the letter A, B, or C to indicate the relative importance of each principal responsibility to the total position according to the following definitions:

A Results are essential and must be accomplished.

B Results are important and should be accomplished, but not at the expense of A priorities.

C Results are desirable, but should not be accomplished at the expenses of A and/or B priorities.

Generally, positions have only one or two high level "A" priorities; the remainder are usually "B" and/or "C". However, some positions may have most or even all "A" priorities.

Percentage of Time: Assign a percentage of time to each principal responsibility statement based on the anticipated or actual percentage of time that the employee typically performs that responsibility. To determine the percentage, consider the time consumed by each job responsibility during a year's time. The total percentage of time for all responsibilities should be 100%.

Discretion: This defines the level of authority an employee is granted to perform tasks, make decisions, and take independent action. Assign the letter A, B, C, or D to each principal responsibility according to the following definitions:

A Employee investigates situations, makes decisions, takes appropriate actions, reports by exception and through normal review processes.

B Employee investigates situations, makes decisions, takes appropriate actions, and reports to supervisor immediately after action is taken.

C Employee investigates situations, recommends action to supervisor, makes decisions with supervisor, takes appropriate action, and reports to supervisor immediately after action is taken.

D Employee discusses situations with supervisor before investigating, makes decisions with supervisor, takes appropriate actions, and reports to supervisor immediately after action is taken.

In exceptional cases, individual tasks may need to have a different discretion level than the principal responsibility. In this case, indicate the predominant discretion level for the entire principal responsibility and the unique discretion level next to the specific task, in parentheses.

PERFORMANCE INDICATORS: Performance Indicators are specific, measurable, and attainable goals. They list:

- the quality or quantity of work to be performed,
- the time frame in which the work is to be completed, and
- the resources used to get the job done (at what cost?).

At least one performance indicator is needed for each responsibility statement. Performance indicators may relate to individual task statements or principal responsibilities. Each task statement may not require a performance indicator. Performance indicators should represent truly significant performance requirements, not minor or incidental performance requirements.

The supervisor's answers to the following questions, when properly answered, form the basis of performance indicators:

- What is important or what matters in accomplishing the responsibility or task?
- How will I know that the responsibility or task has been carried out?
- What do I want the responsibility or task to accomplish?
- What conditions will exist if the responsibility or task is successfully completed?

The supervisor may also wish to ask from the opposite viewpoint: What will <u>not</u> be accomplished if the employee does not satisfactorily perform these job duties?

The performance indicators indicate a performance level typically expected of an individual in the position. Performance indicators should be exceedable, thereby leaving room for growth.

The performance indicators may be separated from the body of the position description so they can be readily revised on a yearly basis. By doing this, the entire position description does not need to be rewritten each time the performance indicators are revised.

If the performance indicators are listed on a separate Section B form, be sure to include the following:

- At the top of the page, indicate the appraisal period and the date when the standards were set.
- Indicate the number of the corresponding principal responsibility in the left hand column and list all performance indicators for the principal responsibility.
- Indicate the corresponding priority, percent of time, and discretion level for each principal responsibility's performance indicators.
- Sign and date the form and obtain the employee's signature.

Each time the performance indicators are rewritten, all four copies should be distributed.

SECTION C

POSITION DESCRIPTION C	EMPLOYEE'S NAME	POSITION CONTROL NUMBER
NATURE AND SCOPE (relationships; knowledges, skills and abilities; problem solving and creativity; and freedom to act.)		

This section is very important because it clarifies the job by describing it from a broader perspective. Also, this portion ties in with the **Hay Job Evaluation System**, which assigns numerical values to three dimensions of a position. These are:

- KNOW-HOW and as part of know-how, human relations skill and knowledges, skills and abilities;
- PROBLEM-SOLVING;
- ACCOUNTABILITY, which includes level of authority.

When a job is audited, Section C is compared to benchmark positions and the class specifications. Consequently, information provided in Section C of the position description is critical to the evaluation process. This section consists of four subsections:

Relationships: Describe both contacts within and outside the agency, including the reasons for these contacts, for example, receiving and giving information or persuading others.

Knowledges, Skills and Abilities: Describe any relevant knowledges, skills and abilities minimally required to perform the essential job duties. In addition, list desirable knowledges, skills and abilities. Describe how each is needed to carry out the job's principal responsibilities. Include any required licenses.

Problem Solving: Describe the major or important types of problems an employee must solve and the process the employee uses to solve them (include the type of problems referred to a higher authority). Describe the creativity and/or innovation the employee uses in solving problems. For example, there is less creativity required when an employee is able to refer to a procedural manual to solve a problem than when an employee must research a problem to arrive at an innovative solution.

Freedom to Act: Describe 1) the employee's level of authority/dependence in carrying out the major job duties, including the highest level of action or decision-making that can be taken without review; 2) the employee's overall accountability in completing the job duties, including how frequently the employee reports to a specific higher authority, the method(s) of reporting to a higher authority (oral and/or written), and a description of the externally imposed controls that limit the employee's freedom to act, such as laws, rules or procedures.

Distribution: Distribute the various copies of the position description as follows:

*Original - Agency Personnel Office

*Copy 1 - Employee

Copy 2 - Supervisor

Copy 3 - Department of Employee Relations

*Note: This is contrary to the instructions on the reverse side of the position description forms. The Agency Personnel Office should retain the original copy of the position description so that photocopies can easily be made for job evaluation or examination development.

State of Minnesota

POSITION DESCRIPTION A

EMPLOYEE'S NAME		
AGENCY/DIVISION	ACTIVITY	
CLASSIFICATION TITLE	WORKING TITLE (if different)	POSITION CONTROL NUMBER
PREPARED BY	PREVIOUS INCUMBENT	APPRAISAL PERIOD to
EMPLOYEE'S SIGNATURE (this position description accurately reflects my current job)	DATE	SUPERVISOR'S SIGNATURE (this position description reflects the employee's current job) / DATE

POSITION PURPOSE

REPORTABILITY

Reports to:

Supervises:

DIMENSIONS

Budget:

Clientele:

POSITION DESCRIPTION B	EMPLOYEE'S NAME	POSITION CONTROL NUMBER

Resp. No.	PRINCIPAL RESPONSIBILITIES, TASKS AND PERFORMANCE INDICATORS	Priority	% of Time	Discretion

POSITION DESCRIPTION C	EMPLOYEE'S NAME	POSITION CONTROL NUMBER

NATURE AND SCOPE (relationships; knowledge, skills and abilities; problem solving and creativity; and freedom to act.)

AMBIGUOUS "ACTION" WORDS

Below is a short list of imprecise "action" words, which always call for further clarification and supporting details before they could possibly serve as the means to describe work behaviors. While these words may satisfactorily serve the purposes of generalized or appropriate descriptions/definitions of work, they should <u>not</u> be used in describing practically any work behavior.

Accepts.
Accompanies.
Accomplishes.
Acts for/as.
Aids.
Appears (before a group).
Ascertains.
Assists.
Assumes responsibility for.
Assures.
Attends.
Briefs.
Carries out (instructions).
Communicates.
Conducts.
Cooperates.
Effects.
Endorses (an idea).
Enforces.
Engages in.
Ensures.
Establishes.
Executes (an action).
Facilitates.
Follows (instructions).
Follows-up.
Functions as.
Furnishes.
Gives.
Handles.
Helps.
In cooperation with.
Initiates.
Institues.
Insures.
Interacts.
Interfaces.
Is in charge of.
Is available for.
Is responsible for.
Keeps abreast of.
Keeps records.
Keeps staff informed of.
Maintains.
Makes.
May (perform, serve, etc.).
Orientates.
Participates.
Performs.
Prepares.
Processes.
Provides.
Receives.
Relates.
Replies to.
Responds to.
Requests.
Requires.
Secures.
Sees that.
Serves as (in a functional role).
Supervises.
Supports (someone).
Takes necessary action.
Talks.
Understands.
Uses.
Utilizes.
Verifies.
Visits.
Works with.

Please note that some of these words if used in an appropriate context may be acceptable action words, i.e., "Endorses a check . . .".

ATTACHMENT B

ACTION WORD DEFINITIONS

The following words are valuable to identify and define the activities of a job. Through the use of concise terminology, it is possible to minimize ambiguity or misunderstanding. It is not a complete list. Job-description writers may find other suitable words.

ACCOUNTS. To furnish a justifying analysis or explanation.

ACQUIRES. To buy or take possession of.

ADAPTS. To modify to suit or fit specific needs.

ADJUSTS. To bring the parts of something to a true, more desirable, or effective position.

ADMINISTERS. To carry out or regulate organizational or program operations, policies, and procedures; to apply a remedy.

ADOPTS. To accept and use as one's own.

ADVISES. To provide, based on specialized knowledge and usually only on request, information, ideas, suggestions, or informed opinions which aid/support others in deciding on a course of action or making a decision.

ADVOCATES. To endorse in an assertive and deliberate manner.

ALLOCATES. To set aside money, property, power, or other resources for a particular individual/program, group of individuals/programs, or an organization.

ALLOTS. To distribute a share or portion for a specific purpose.

ALTERS. To make different without changing into something else.

AMUSES. To provide any form of distraction that contents the mind.

ANALYZES. To separate all or any part of something into its constituent parts for the purpose of identifying and examining relationships of the parts to one another and to other factors.

ANSWERS. To speak or write in reply to an inquiry.

APPLIES. To put to use for a purpose.

APPOINTS. To officially designate.

APPRAISES. To give an expert judgment of worth or merit.

APPROVES. To exercise final authority with regard to the acceptability of an action.

ARBITRATES. To act with defined authority to resolve a dispute.

ARRANGES. To prepare for an event.

ASSEMBLES. To convene individuals out of common interest or purpose; to fit together with component parts of a structure or machine.

ASSESSES. To determine the exact value or extent prior to judging it or using it as the ground for a decision.

ASSIGNS. To specify or designate tasks or duties to be performed by others.

AUDITS. To examine accounts in a final, official sense to verify their correctness.

AUTHORIZES. To give permission for or to empower through vested authority.

AWARDS. To confer or bestow for performance or quality.

BALANCES. To arrange or prove so that the sum of one group equals the sum of another.

BARGAINS. To negotiate the terms of a sale, exchange, or other agreement.

BATCHES. To group into a quantity for a future operation.

BUDGETS. To plan a summary of probable expenditures and income for a given period.

CALCULATES. To determine by mathematical or statistical processes.

CALIBRATES. To check, adjust, or standardize the graduation of.

CARRIES. To move something or someone from one place to another.

CATEGORIZES. To group on the basis of a comparison of certain readily perceived charateristics and criteria.

CERTIFIES. To officially endorse something in conformance with set standards.

CHECKS. To compare with a source as to verify accuracy.

CIRCULATES. To move from person to person or place to place.

CLASSIFIES. To arrange, distribute, or group facts/items according to common characteristics.

CLEANS. To remove dirt or impurities; to prepare for cooking.

CLIMBS. To move progressively upward.

COACHES. To befriend and encourage individuals on a personal, caring basis.

CODES. To translate words or figures into symbols (letters or numbers).

COLLABORATES. To work jointly with.

COLLATES. To assemble in proper numerical or logical sequence.

COLLECTS. To bring data or material together in a group or mass.

COMPARES. To examine for the purpose of discovering similarities or differences.

COMPILES. To place information or arrange material from other documents into a formalized order.

COMPOSES. To create by artistic labor.

COMPUTES. To determine by arithmetical processes.

CONDENSES. To shorten material without altering its meaning.

CONFERS. To seek and compare views, opinions, and judgments with others through discussions.

CONFIRMS. To assure the accuracy, consistency, or completeness of.

CONSOLIDATES. To bring together; to combine several into one.

CONSTRUCTS. To make or form by combining parts; to draw with suitable instruments and under specified conditions.

CONSULTS. To give expert/definitive professional advice.

CONTROLS. To evaluate, verify, regulate, and/or be informed about actions to the point of influencing or directing activities/functions toward conformance with plans or desired results.

CONVERTS. To alter the physical or chemical nature of something.

CONVEYS. To transer by legal means ownership of property from one individual to another.

COORDINATES. To guide, regulate, or adjust the interrelated and interdependent activites of individuals or functions of unit(s) to facilitate a common action and to attain a common purpose or goal.

COPIES. To reproduce an original.

CORRECTS. To eliminate error or defect.

CORRELATES. To establish a direct or inverse relationship.

CORRESPONDS. To communicate with others in writing.

COUNSELS. To provide advice, usually on one's own initiative, in which a course or action is suggested or urged and some recourse of follow-up is implied.

COUNTS. To list or name, one by one, to find the total number of units involved.

CREATES. To bring into existence; to produce through imaginative skill.

DEBATES. To discuss and argue a question formally, and usually in public.

DECIDES. To make up one's mind as to action, course, or judgment.

DEFENDS. To ward off something that actually threatens; to repel something that actually attacks.

DEFINES. To determine and state the limits and nature of; to give the distinguishing characteristics of.

DELEGATES. To designate with authority another to perform tasks or duties which in turn may carry specific degrees of accountability and authority.

DELIBERATES. To consider carefully and thoroughly a matter with abstract/complex variables to arrive at a conclusion.

DELIVERS. To carry something to an intended destination.

DEMONSTRATES. To explain or make clear by using examples/experiments or showing the operations of.

DESCRIBES. To give an account in words that create a visual image to the minds of others.

DESIGNATES. To choose an incumbent or to detail a person to a certain post.

DESIGNS. To conceive, create, and execute the form or shape of a physical object or the method for doing something.

DESTROYS. To completely tear down, do away with, or bring to an end.

DETECTS. To take notice of something by physical means (e.g., visual, tactile).

DETERMINES. To fix conclusively or authoritatively the course, character, functions, or scope of something.

DEVELOPS. To expand or realize the potentialities of; to bring gradually to a fuller, greater, or better state.

DEVISES. To form in the mind by new combinations or applications of ideas or principles; to invent.

DIAGNOSIS. To identify a disease, malfunction, or cause of disorder by symptoms or distinguishing characteristics.

DIGS. To break and turn over or remove with a tool.

DIRECTS. To personally oversee, inspect, or guide the work of others, with responsibility for ensuring certain standards of performance are met.

DISBURSES. To pay out or distribute with authority.

DISCIPLINES. To penalize individuals or groups, whose behavior is contrary to existing regulations; to establish habits of self-control.

DISCOVERS. To intentionally search for and acquire or find something that already exists but is new to the discoverer.

DISCUSSES. To exchange views to arrive at a better understanding.

DISMANTLES. To take apart or raze; to remove furniture or equipment.

DISPATCHES. To send off or out.

DISPENSES. To give a carefully weighed or measured portion to each of a group as a right or as to need.

DISPLAYS. To show; to place before the view of others.

DISSEMINATES. To spread or disperse information or ideas.

DISTRIBUTES. To deal out portions or spread about units among a number of recipients.

DRAFTS. To prepare papers or documents in preliminary form for clearance and approval by others.

DRIVES. To start, stop, and control the movement or action of machines.

DUMPS. To empty out or unload in a heap or mass.

DUPLICATES. To make a copy or reproduction through the use of machinery.

EDITS. To correct spelling, faulty phrasing, and imperfect punctuation, and mark a manuscript to ready it for publication.

ELABORATES. To work out in detail; to give details.

ELECTS. To vote for.

ELIMINATES. To get rid of; to set aside as unimportant.

EMPLOYS. To use or engage the service of; to provide a job with consideration.

ENCOURAGES. To inspire with spirit and hope.

ENDORSES. To support or recommend actively.

ENLISTS. To secure the support and aid of.

ENTERS. To write down in a record, diary, log, or list; to make an entry of.

ENTERTAINS. To provide some activity or attraction that will give pleasure or relieve monotony or boredom.

ESCORTS. To accompany another or others to give protection or to watch over; to accompany as a courtesy or honor.

ESTIMATES. To make a rough approximation of the size, extent, or value of.

EVALUATES. To judge reports, data, plans, or performances in relation to established goals, policies, and standards; to compare critically to a standard for suitability.

EXAMINES. To look over closely to determine the condition, quality, validity, or nature of.

EXCHANGES. To give or take one thing in return for another.

EXERCISES. To train by drills and maneuvers in order to strengthen and develop.

EXHIBITS. To put forward prominently or openly, either with the express intention or with the results of attracting other's attention or inspection.

EXPERIMENTS. To undertake an action to discover something not yet known or to demonstrate something know.

EXPLAINS. To make clear or easy to understand that which appears vague, causeless, or inconsistent.

EXTRACTS. To pull out by effort; to make a selection or quotation of; to determine by calculation.

FABRICATES: To build by assembling; to manufacture.

FASTENS. To make secure by locking, shutting, buttoning; to fix firmly in place.

FEEDS. To move into a machine or opening in order to be used or processed; to furnish with something essential for growth and sustenance.

FILES. To arrange in a methodical manner; to rub smooth or cut away with a tool.

FORECASTS. To predict or indicate a condition or event beforehand as a result of rational study of available data.

FORMULATES. To prepare mentally a rough plan, policy or procedure.

GARNERS. To gather and store in a granary.

GATHERS. To pick, pluck, and cull a crop.

GAUGES. To assess a thing as authentic, good, or adequate or the degree it is so in relation to a standard measure or scale.

GENERATES. To originate by a vital, chemical, or mechanical process.

GOVERNS. To exercise continuous sovereign authority over.

GRADES. To divide into groups based on ascending or descending order.

GUARDS. To watch over to keep safe from any potential attack or harm.

GUIDES. To show the way or approach by applying intimate knowledge or experience of the way or approach and of all its difficulties.

HAULS. To move by pulling or drawing; to transport by vehicle.

HIRES. To engage the service of for a set sum.

HYPOTHESIZES. To form a tentative assumption to test its logical or empirical consequences.

IDENTIFIES. To recognize, acknowledge, or establish based on the charateristics of.

ILLUSTRATES. To make clear something which is difficult, abstract, or remote from experience, especially to use pictures or sketches to make vivid or real what is being explained.

IMPLEMENTS. To carry out or into effect a plan, program, or operation.

IMPORTS. To bring in from a foreign or external source.

IMPROVES. To correct or advance something by supplying what it lacks or wants.

INDEXES. To classify information, usually by subject matter or name to facilitate reference.

INDICTS. To bring legal charges against an individual or organization.

INFORMS. To make known; to call attention to.

INNOVATES. To exercise creativity in introducing something new or in making changes.

INSPECTS. To search, through direct observations, for conditions such as errors, defects, flaws, or shortcomings.

INSTALLS. To establish in an indicated place, condition, or status; to set up for use in service.

INSTRUCTS. To impart knowledge systematically.

INTERPRETS. To explain meanings or intentions, not immediately apparent to others, in light of individual judgment; to translate.

INTERVIEWS. To obtain facts or opinions through oral inquiry or examination.

INVENTORIES. To catalog; to count and list; to make an itemized record of.

INVENTS. To create; to think up or imagine.

INVESTIGATES. To make a methodical, searching inquiry into a situation.

ISSUES. To put forth or to distribute officially.

ITEMIZES. To enumerate one after another; to set or note down in detail.

JOINS. To bring or put together.

JUDGES. To investigate and compare the evidence and merits of all issues in a case and decide where the truth lies.

JUSTIFIES. To prove or show to be right or reasonable in light of individual belief or facts.

LEADS. To guide or direct others on a course or in the direction of without final responsibility for results achieved.

LIFTS. To use effort to overcome the force of gravity.

LOADS. To place in or on a means of conveyance.

LOCATES. To search for and find.

LUBRICATES. To apply a substance to machinery to reduce friction in operation.

MANAGES. To guide and coordinate worker activities and organizational or program policies, rules, practices, methods, and standards.

MANIPULATES. To move, guide, or place objects or materials with skill and dexterity.

MANUFACTURES. To make or process raw material into a finished product.

MAPS. To make a survey of for the purpose of representation.

MATCHES. To pair up or put into a set those items possessing equal or harmonizing attributes.

MEASURES. To determine the quantity, mass, extent, or degree of in terms of a standard unit or fixed amount.

MEDIATES. To interpose with parties to reconcile them; to reconcile differences.

MENDS. To repair; to restore to soundness that which is broken or torn.

MIXES. To combine or blend particles, parts, or elements into one.

MODIFIES. To limit or restrict the meaning of; to make minor changes in.

MONITORS. To watch, observe, or check for a specific purpose.

MOTIVATES. To stimulate the active interest or desire within someone for something.

MOVES. To go or transport from one point to another.

NEGOTIATES. To confer with others for the purpose of reaching agreement.

NOTIFIES. To send a formal notice giving required or pertinent information.

NULLIFIES. To make of no value or consequence; to cancel out.

OBSERVES. To obtain data visually.

OBTAINS. To acquire or gain possession of.

OPENS. To make available for entry or passage.

OPERATES. To start, stop, control, and adjust machinery or equipment.

ORGANIZES. To take steps to set up the administrative structure or functions of an office or process.

ORIGINATES. To bring into being; to initiate.

OUTLINES. To make a summary of the significant features of a subject.

OVERHAULS. To make repairs; adjustments needed to restore to good working order.

OVERSEES. To watch, to monitor.

PACKAGES. To wrap or box an item or group of items.

PERMITS. To consent to; to authorize.

PERSUADES. To induce others by argument or entreaty to accept a belief or position; to prevail upon others to take a course of action.

PICKS UP. To collect or lift an object or material.

PLANS. To devise a detailed means of course of action for attaining an objective/goal.

POSTS. To transfer or carry information from one record to another; to display prominently.

PREDICTS. To foretell on the basis of observation, experience, or scientific reason.

PRESCRIBES. To recommend medical treatment with authority.

PRESENTS. To lay as a charge before the court; to offer for view.

PRESERVES. To keep safe; to protect; to keep free from decay.

PREVENTS. To stop something from occurring; to take advance measures against.

PROCURES. To obtain possession of.

PRODUCES. To grow; to make, bear, or yield something.

PROGRAMS. To arrange or work out a sequence of operations to be performed by equipment or machinery.

PROMOTES. To advance to a higher level or position; to foster the growth or development of.

PROOFREADS. To read copy of a printer's proof against the original manuscript.

PROPOSES. To formulate and suggest for adoption.

PULLS. To cause to move in the direction toward the sources of the force.

PURCHASES. To buy or procure by committing funds.

PUSHES. To use force upon an object to move it away from the source of the force.

QUANTIFIES. To determine or express the amount of.

QUESTIONS. To interrogate; to inquire.

RANKS. To determine or assign the relative importance of data, people, or things.

RATES. To determine the rank of in relation to others of the same kind.

REAPS. To cut grain and pulse for harvest.

REBUILDS. To make extensive structural repairs.

RECOMMENDS. To suggest and support for adoption a course of action.

RECONCILES. To adjust; to make congruous; to seek agreement.

RECORDS. To set down in writing; to preserve in some permanent fashion.

REDUCES. To narrow down; to diminish in size or amount.

REFERS. To send or direct for aid, treatment, information, or decision.

REFINES. To free from impurities, imperfections, or vulgarities; to make more polished.

REGISTERS. To enter in a record or list officially.

REGULATES. To order or restrain by rule, method, or established mode.

REINFORCES. To strengthen with additional forces.

REJECTS. To refuse to hear, receive, or admit.

RELEASES. To permit the publication or dissemination of.

REMITS. To send money in payment of.

REPAIRS. To put into good or fitting order something that is injured.

REPLACES. To provide a substitute for something now lost, gone, or worn out.

REPORTS. To give an account, in detail, of facts and figures.

REPRESENTS. To foster general interest in, through speeches, and consultation and contacts with individuals, groups, and constituencies.

RESCINDS. To make void; to repeal; to abrogate a contract by restoring pre-existing conditions.

RESCUES. To free a person or animal from imminent danger by prompt or vigorous action.

RESEARCHES. To perform a systematic, critical, intensive investigation directed toward development of new or fuller knowledge of the topic or issue studied.

RESOLVES. To decide to do or refrain from doing something; to take remedial action.

RETRIEVES. To recover from a location where previously placed, set, or thrown.

REVIEWS. To consider or to reexamine results for the purpose of giving an opinion or approval.

REVISES. To rework in order to correct or improve; to make a new, improved, or up-to-date version.

REWARDS. To give something in recompense for worthy behavior.

SALVAGES. To rescue or save (as from wreakage or ruin).

SCANS. To survey from point to point in a cursory manner.

SCHEDULES. To plan a timetable; to set specific time for.

SCORES. To assign a numerical evaluation.

SCREENS. To examine for the purpose of separating one group.

SEALS. To secure the contents of by closing with adhesive.

SEARCHES. To systematically look over and through for the purpose of finding an item.

SELECTS. To decide on one, or a few from several possibilities.

SELLS. To give up property to another for money or other valuable consideration.

SENDS. To dispatch by a means of communication; to convey.

SERVES. To attend to the personal needs or requests of people.

SERVICES. To make fit for use by providing maintenance, supplies, repairs, or installation.

SMELLS. To acquire and examine the odor or scent with the nose.

SOLICITS. To approach with a request or plea; to strongly urge.

SOLVES. To answer a question or work out a problem.

SORTS. To group or categorize according to systematic relations or common characteristics; to put in a definite place or rank according to kind, class, or other category.

STACKS. To load or arrange in a somewhat orderly heap or pile.

STORES. To put away for future use; to deposit or receive for safe keeping.

STUDIES. To contemplate; to learn all the possibilities, applications, variations, or relations of a subject before making plans and/or taking action.

SUBMITS. To present for the decision, judgment, or information of others.

SUGGESTS. To direct attention to something for consideration.

SUMMARIZES. To present in a concise and compact manner.

SUPPLIES. To provide space, equipment, material, and other non-financial resources.

SURVEYS. To look at or consider in a general or comprehensive way; to determine the location, form, or boundaries of by measuring the lines and angles.

SYNTHESIZES. To compose or combine parts or elements in order to form a whole.

SYSTEMATIZES. To arrange or make the use of a method or orderly planning.

TABULATES. To put in table form; to set up in columns, rows.

TEACHES. To apply a guided process of assigned work, discipline, direct study, and the presentation of examples to increase the general knowledge of another person.

TENDS. To start, stop, and monitor the functioning of machinery and equipment.

TESTIFIES. To provide oral or written testimony on facts known.

TESTS. To put a thing to decisive proof by thorough examination under controlled conditions.

TOTALS. To add up; to compute.

TRACES. To copy as a drawing.

TRADES. To give in exchange for another commodity; to make a purchase.

TRAINS. To develop a particular faculty or skill in others to bring them up to a predetermined standard of work performance.

TRANSACTS. To carry on or handle business in accordance with a prescribed procedure.

TRANSCRIBES. To transfer data from one form of record to another or from one method of preparation to another, without changing the nature of the data.

TRANSFERS. To change from one mode of conveyance to another, or from one depository to another.

TRANSLATES. To turn into one's own or another language.

TRANSMITS. To transfer or send out a signal either by radio waves or over a wire.

TREATS. To give medical or surgical care; to subject to chemical action.

TURNS. To make to rotate or revolve; to cause to move around so as to effect a desired end (as locking, opening, shutting).

TUTORS. To instruct on an individual basis and in a special subject or for a particular occasion or purpose.

TYPES. To write with a typewriter.

UPDATES. To make current with most recent facts, methods, or ideas.

USHERS. To guide to a particular place.

WASHES. To clean by means of water and/or other substances by dipping, tumbling, or scrubbing.

WAXES. To rub, polish, cover, smear, or treat with a sealing substance.

WEIGHS. To determine the heaviness of an object.

WRITES. To set down letters, words, sentences, or figures on paper or other suitable material.

II. PHILOSOPHY/POLICY

The purpose of any selection process is to determine to what degree applicants possess the knowledges, skills and abilities (KSA's) needed to perform the job successfully. An experience and training rating (E&T) is designed to evaluate whether applicants have had previous work experience and/or education that would prepare them to successfully perform the duties of the position(s) for which the examination is being conducted. The assumption behind the use of E&T's is that people who have performed jobs requiring KSA's similar to those needed in the new job are likely to possess the KSA's needed for the new job.

E&T's are not perfect selection procedures. They have their limitations. They don't afford inexperienced or self-educated applicants the opportunity to demonstrate possession of KSA's. They tend to emphasize quantity and relevance of previous education and experience but touch on quality in only an oblique way, if at all. They can, however, offer a basic assessment of potential for future success based on a review of past performance - provided they are administered appropriately and with reasoned judgment. This guidebook is designed to provide raters with standards for administering E&T ratings as effectively and efficiently as possible.

Regardless of the type of rating procedure involved, it is important for the rater to keep in mind that the rating requires interpretation since it is impossible to cover all possible contingencies in the rating scale. The rater's task is to determine whether or not, based on the information provided on the application and/or questionnaire, it can be inferred that the candidate possesses the KSA's at the level needed for the new job. Such inferences must stand the test of public and other candidates' scrutiny and must be based on objective information rather than hunches or intuition.

While adherence to published standards/requirements and consistency in rating all applicants uniformly must be maintained, it is most important that the rater determine whether the elements of the candidate's education and experience are relevant to the job for which the applicant is being rated. The job is to try to evaluate whether experience/education demonstrates the needed KSA's, not whether it meets a narrowly defined requirement. Education or experience not identical to that defined or given as an example in a rating scale may nonetheless demonstrate possession of the necessary KSA's at a level equal to that demonstrated by the education/experience outlined on the rating scale. The rater must review information about candidates' education, experience and achievements/accomplishments to determine if they demonstrate possession of the required/desired KSA's. Real judgment is required to determine from the information provided, not simply if a candidate has done X, but also if s/he has performed X (or the equivalent of X) at the same level as required for the job. The critical consideration is the similarity between specific behaviors, products, knowledges, skills or abilities demonstrated by the E&T criteria and those demonstrated by the applicant's training/experience.

III. E&T TYPES/EXAMPLES

The Minnesota Department of Employee Relations uses a variety of approaches to rate candidates' experience and training. Elements of two or more rating types may be combined in a single selection procedure but, in general, rating scales/procedures may be categorized as follows:

A. TRADITIONAL (TIME-IN-GRADE) TYPE

The type and amount of experience and training most relevant to the job in question are spelled out more or less definitively with specific points given for number of credits/degree and number of years of related experience. Education and experience are defined with the assumption that they cover the necessary KSA's, and applicant information is compared to the outlined education/experience. Guidelines for awarding credit on this type of scale are presented on pages 12-25.

Example: Food & Meat Inspection Director
See Appendix 1, page 1.

There are two variations on the traditional time-in-grade type E&T:

1. PASS/FAIL TYPE.

Specific amounts of education and/or experience are identified as passing and candidates either meet one or another of the specified minimums (or an equivalent combination of two or more) or fail the examination. No points are awarded.

Example: Group Supervisor, Assistant (Welfare)
See Appendix 1, page 2.

2. COURSEWORK/TRANSCRIPT RATING.

In order to achieve a passing score or accumulate points beyond passing, the candidate must provide a listing of courses and/or grades or a transcript showing courses and grades which are then compared to a specific listing of courses to be credited on the scale.

Example: Engineer 1, Graduate-Environmental/Sanitary
See Appendix 1, page 3.

B. FACTOR TYPE

A factor E&T rating assesses the applicant's competence on one or more knowledges, skills and abilities (factors) required to perform (or required to learn to perform) important job duties. A factor may be defined as a work behavior found in the job (e.g., rates eligibility for human service programs) or as a KSA required for the job (e.g., skill in written communication). Applicants must describe (usually in a questionnaire) education/training, experience and/or achievements which demonstrate their level of KSA's (competence) on each factor. This information is then reviewed and evaluated by one or more raters and a final examination score is assigned to reflect the applicant's overall qualifications on the factors assessed in the rating. A fuller explanation of this type of E&T with guidelines for administration is presented on pages 26-31.

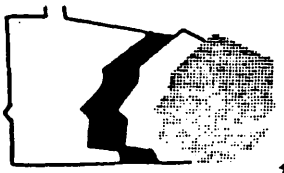
Example questionnaire items and rating scales.
See Appendix 1, pages 10-14.

There is also a variation of the factor type E&T which rates overall qualifications:

CATEGORY TYPE

A category E&T rating assesses the applicant's overall qualifications in comparison to the job (with or without having first identified factors) with direct placement into one of typically four categories - Not Qualified, Qualified, Well Qualified, Best Qualified. A fuller explanation of this type of E&T with guidelines for administration is presented on pages 31 and 32.

Example factor/category rating scale.
See Appendix 1, page 15.



STATE OF MINNESOTA
DEPARTMENT OF EMPLOYEE RELATIONS
444 LAFAYETTE ROAD
3RD FLOOR SPACE CENTER BLDG.
ST. PAUL, MINNESOTA 55101

REQUEST TO ANNOUNCE EXAMINATION

Class	Department	Date
Reason for Request (If for option - what KSA's are different from class as a whole to require a separate exam)		
	Signature	

1. Announcement Type: ☐ Competitive Open ☐ Competitive Promotional. If promotional: ☐ Statewide ☐ Limited for_____(See Admin. Proc. #10).

2. Announcement Duration: _____ Number of Weeks ☐ Until Further Notice

3. Current Vacancy: List special information to be included in announcement (location, employment condition, shift, travel availability, licensure, registration, sign language, etc.)_____

4. General: Do most or all positions in the class require special qualifications or availabilities (licensure, registration, geographic, frequent travel, special employment conditions, rotating shifts, etc?) ☐ Most ☐ All If so, describe:_____

5. Eligible Lists: Disposition of current list(s): ☐ Abolish ☐ Merge
Duration of new list: _____ Number of Months/Years ___

6. Recruitment: Do you have goal unit disparities for this class? ☐ Yes ☐ No
If yes, what protected group(s) ☐ H ☐ M ☐ W ☐ VV. Do you need recruiting assistance to enable you to meet your goals? ___ Yes ___ No If yes, specify:_____

Do you need other recruiting assistance? ☐ Yes ☐ No If yes, specify:_____

7. Exam Development: If your agency is the primary user of the class for which you are requesting this examination or if this is a request for an examination option, complete the Exam Development Worksheet on the reverse side and attach a copy of a position description(s) representative of the immediate vacancy or of the typical class usage in your agency. List below any suggestions for the exam process with rationale:_____

8. Job Expert Identification: Provide the following information about job experts who may assist with review or development of this examination.

Name	Class/Title	Relationship to Exam/Class

9. Other: Attach any other pertinent information, e.g., proposed lead-in job description for the announcement, etc.

DOER USE ONLY

Reason if Disapproved:	
Signature:	Date:

PE-00287-04

Give name and titles of job experts providing WBS/KSA information: _____

EXAMINATION DEVELOPMENT WORKSHEET

(Copy and attach additional sheets if necessary.)

Work Behavior Statement (WBS)

Describe below all high-importance work behaviors of the class in the same format as the example shown below:

Performs <u>What</u> Action? (Verb)	<u>To Whom or What</u>? (Object of Verb)	<u>Why</u>? To Produce What? (Expected Outcome)	<u>How</u>? Using What Tools, Equipment, Work Aids, Processes?
<u>Example</u>:			
Ask questions/listen to and record answers	Of applicant on eligibility	To determine eligibility for services	Eligibility forms Eligibility criteria in manual Interviewing techniques

PRE-EMPLOYMENT REVIEW

The rules governing statewide affirmative action programs require that methods of auditing, evaluating and reporting program success be established for all agencies. This includes a procedure that requires a pre-employment review of all hiring decisions for goal units with unmet affirmative action goals and pre-review of all layoff decisions to determine their effect on the office's affirmative action goals.

The following procedures will be implemented.

1. When a vacancy occurs in a goal unit which has unmet affirmative action goals, the following procedures shall be followed:

   If the affirmative action goals are not being met for one or more protected groups, the affirmative action officer/designee shall advise the interviewer of his/her affirmative action responsibility as outlined in the procedure below.

   A. The personnel action officer will notify the affirmative action officer when such a vacancy exists.

   B. Before making the job offer to any individual and if a protected group member is not selected, the supervisor will provide a written rationale for not choosing to hire a protected group individual. This rationale shall be sent to the affirmative action officer and the personnel officer.

   C. The affirmative action officer in conjunction with the personnel officer shall review the rationale for not selecting a protected group member, and then consult with the interviewer when the rationale is not completely justified.

   D. If the Personnel Officer and the Affirmative Action officer feel that the rationale is not justified or deserves further review, then it will be reviewed by the appropriate Executive Team member.

2. When a vacancy occurs in a goal unit where affirmative action goals have been met, the following procedure should be followed.

   A. The personnel action officer will notify the affirmative action officer when such a vacancy exists.

   B. Before making the job offer to any individual and if a protected group member is not selected, the supervisor will provide a written rationale for not choosing to hire a protected group individual. This rationale shall be sent to the affirmative action officer and the personnel officer.

   C. The affirmative action officer in conjunction with the personnel officer shall review the rationale for not selecting a protected group member, and then consult with the interviewer when the rationale is not completely justified.

Exceptions will be made when there is a bona fide occupational qualification.

3. When layoffs are going to occur, the affirmative action officer/designee will review their effect on affirmative action goals. If layoffs will cause an underrepresentation of protected class goals or further reduce underrepresentation, the affirmative action officer/designee will submit a report with these findings to the Deputy Commissioner of Administration. The Deputy Commissioner of Administration will make the final decisions about layoffs.

Hiring Policy

- The Director of Equal Employment Opportunity shall annually audit each agency to determine compliance with annual hiring goals of each goal unit in that agency.

- The Commissioner of Employee Relations shall report on each agency's progress to the governor and to the finance committee of the Senate, the appropriations committee of the House of Representatives and the governmental operations committee of both houses of the legislature.

- Information provided on Protected Group Report forms will be reviewed by DOER to determine viability of eligible lists for general staffing and affirmative action purposes, to determine whether agencies are presented opportunities to meet affirmative action goals and, if so, whether agencies effectively use those opportunities to address workforce disparities. The information will be used to identify "missed opportunities" to be included in the DOER report of agency affirmative action progress.

- The Protected Group Report must be completed, reviewed and signed by both the personnel officer and the affirmative action officer and must accompany all appointments from eligible lists, all direct temporary appointments, and all cancelled certifications returned to the Department of Employee Relations. Submission of appointments or cancellations without the required report form may cause DOER to with hold certifications in response to subsequent requests to employ.

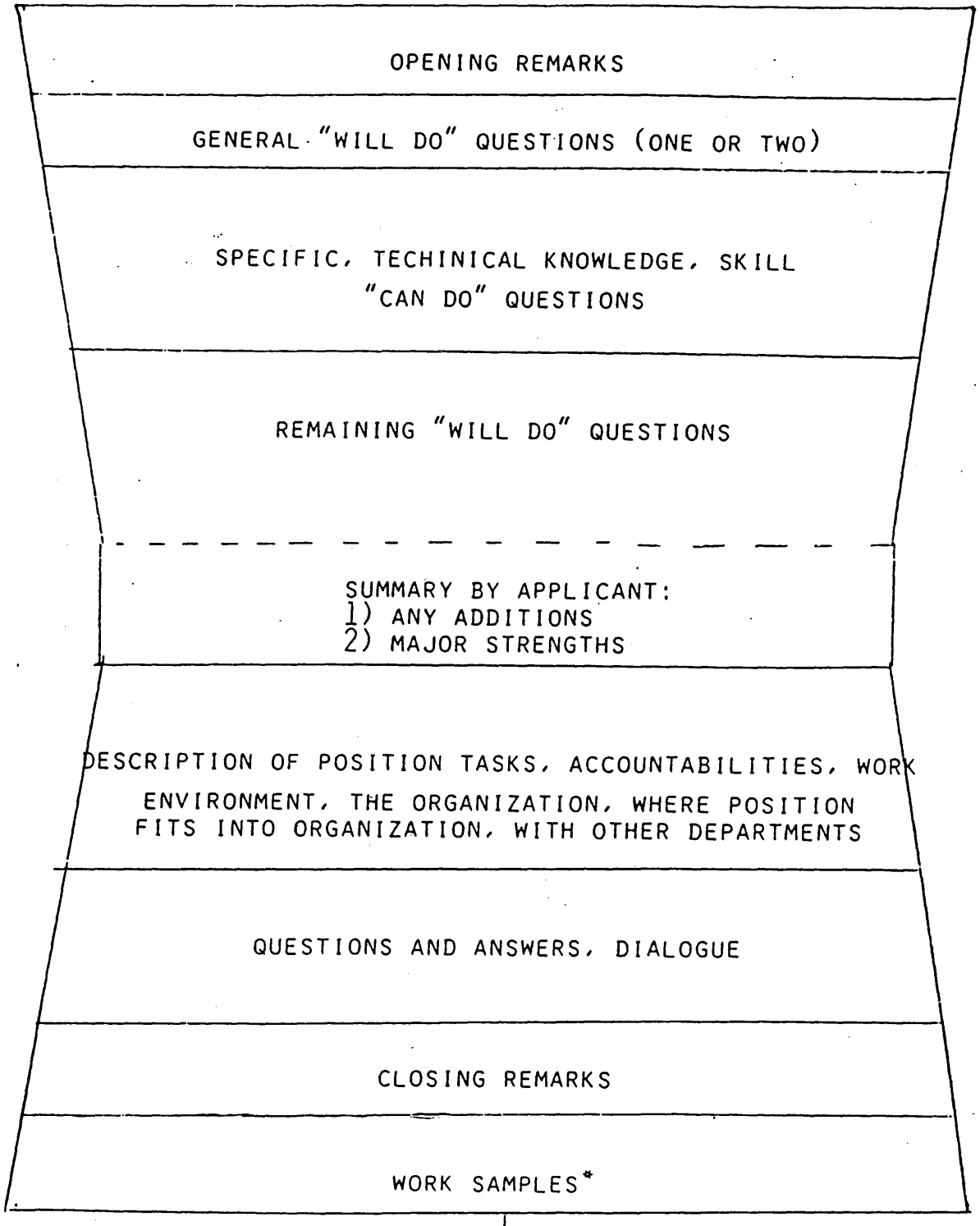
PROTECTED GROUP REPORT

The protected Group Report accompanies all certifications from eligible lists, and is sent each time we have been given authority from DOER to make direct temporary appointments. It is designed to use in the pre-hire review process to meet affirmative action goals

If we have a disparity, and people in that disparit group are on the list, we must attempt to contact them by letter, not just phone. If we find they are interested but do not interview them, further test them or appoint them, we will be charged with having a "missed opportunity". DOER will consider our number of missed opportunities when they assess our rate of compliance with our annual hiring goals. Minnesota Statutes 43A.191,Subd.C, provides that we may be penalized for non-compliance when we've been provided an opportunity to meet goals, but we fail to do so.

We now must complete a form telling the number of candidates the supervisor attempted to contact and by what means, the number found interested, the number actually interviewed or further tested (ie. primarily applies to clerical applicants), and their indication of declination of an offer of employement.

STRUCTURE OF THE EMPLOYMENT INTERVIEW



*IF APPLICABLE

SELECTION INTERVIEW PLAN

I. Preparation
- Refresh your memory, if necessary, about the job, job specifications
- Review applicant's resume/application form
- Avoid interruptions, accept no phone calls
- Don't make applicant wait
- Try to avoid having a desk or other "barriers" between you and the applicant

II. Opening the Interview
- Smile, even if you don't feel like it!
- Be a gracious, friendly, natural host
- Demonstrate interest in applicant's physical comfort (ashtray, chair, light, etc.)
- Communicate purpose, structure of interview
  - Describe "structured interview", note-taking
  - Describe sequence of dialogue:
    1) You will be learning about the applicant
    2) You will be providing applicant with information about the job
    3) Applicant may ask questions
    4) (Optional) You may have one or two additional work sample questions after applicant is clear about the job.

III. Learn about the applicant - use structured interview questions to guide you.
- Take notes consistently
- Maximize your own eye contact
- Be completely tolerant, show no reaction, except interest, no matter what you hear
- Do NOT challenge nor argue any of the applicant's viewpoints!
- Show no surprise, frowns, non-verbal cues about your own approval/ disapproval of a response.
- Probe and clarify incomplete or confusing responses
- Avoid interrupting pauses prematurely, especially after an incomplete or unacceptably brief response.

IV. Describe the job
- Brief description of where job fits in the organization. Number, titles, responsibilities of other employees in the immediate work group.
- Review the current job description
- Outline priorities, most critical responsibilities
- (Optional) Describe a typical day in that job
- Describe the work environment: How work assignments are handled, amount of supervision, potential stress level, etc.
- Nature and amount of contact with persons outside the immediate work group
- Communicate the less attractive features of the job along with the advantages
- Don't oversell the job!!!

V. Invite Questions
- Be as honest and open as possible, show willingness to respond to each question
- Be complete but brief; avoid temptation to give more detail than is necessary

VI. (Optional) When applicant has no further questions, this is the point to use "work sample" questions or assignments.

VII. Close the Interview
- Express appreciation for applicant's time and interest
- Make sure candidate knows what will happen next (Time frames for decision, how they will be notified). If you know the candidate does not meet minimum requirements, tactfully tell them so.

IX. Summarize notes, add your own evaluation. Summary should include "pluses" and "minuses," and any particularly important or unusual facts or job-related behaviors.

SE-00006-05

DEPARTMENT : EMPLOYEE RELATIONS - 3RD FLOOR
520 LAFAYETTE ROAD

STATE OF MINNESOTA

Office Memorandum

DATE : October 20, 1987

TO : Agency Heads and Personnel Directors/Designees

FROM : James Lee, Compensation Program Analyst
Compensation Division

PHONE : 296-2398

SUBJECT : Above Minimum Appointment Requests

Recently, there have been a number of questions regarding requests to appoint employees "above minimum" (over Step 3 of the range). For that reason, I think it may be helpful to restate the policy and procedure for such appointments as a reminder.

Above minimum requests involve initial appointments to state service. In accord with Personnel Rule 3900.2100, Subpart 2, an Appointing Authority may appoint an employee at Steps 1, 2, or 3 (or up to 12% above the entry rate for ranges without steps) without any approval required from DOER. Initial appointments in excess of those amounts require prior authorization.

The rationale behind this requirement in the Rule and in our request for information prior to an above minimum offer being extended is not one of control even though it may often appear that way to you. Rather than control, the purpose of this requirement is to provide a state-wide perspective with the goal of having greater consistency across the state agencies. Much of the information this office requests is based on this rationale; what has been an agency's/the state's practice in extending offers above the minimum and on what basis were those offers extended.

As a staff agency and function, it is our responsibility to advise you of what we consider to be legally defensible or indefensible positions when making appointments above minimum. For example, total reliance on a candidate's current or previous salary has not been found to be defensible in court and trends or patterns in paying males more than females when their qualifications are similar render an agency vulnerable.

Given this summary as to why prior authorization is required by the Rule, I believe it would be appropriate to proceed with a summary of the process.

The key word is "prior." A salary offer in excess of Step 3 (or 12% for non-step ranges) without prior approval is an unauthorized offer and may be disapproved by DOER (Personnel Rule 3900.2100, Subpart 2). As it clearly is in no one's interest to have a salary offer subsequently disapproved, we strongly urge you to obtain authorization prior to extending an "above minimum" salary offer.

In determining whether an Appointing Authority will be authorized to extend an above minimum offer, the Personnel Rule requires approval from DOER based on the following:

A. exceptional qualifications of the candidate;

B. unavailability of candidates at the minimum rate;

C. salaries paid to current employees in the same or related classification.

In order to base the decision on the above factors, this office may need the following information:

- Copies of the candidate's resume and application which clearly indicate amount of relevant experience and training.
- Examination scores of the desired candidate as well as others who were considered/interviewed for the position.
- The experience and training of other candidates interviewed/considered.
- Experience, training, and salary of current employees in the class. If the class is a large class, this information is only necessary for employees in the same organization unit as that of the vacant position.
- Which, if any, of the current employees are protected group members.
- If the Appointing Authority has had difficulty recruiting for the vacancy, any information which would bear that out.
- If selective certification was used, a copy of the request for the selective certification and the approval from the Staffing Services Division..

You will note that the candidate's current salary is not included in this list. Although this office recognizes that this factor plays an important role in the candidate's decision-making process, current salary is not included here because:

a. It is not identified in the rule as being a factor to be considered.

b. Since 1983, agencies have been cautioned not to request such information in the selection process.

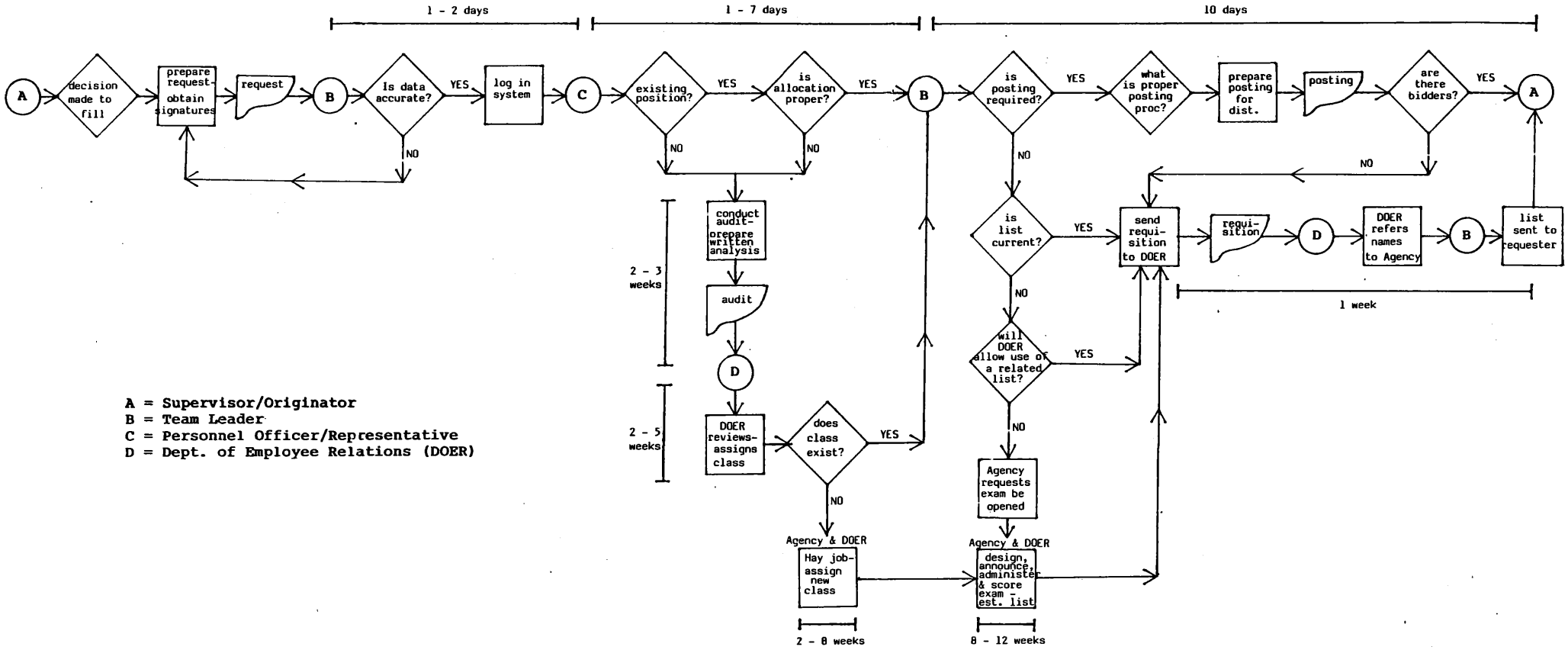
c. Current salary should only be a consideration if the candidate has volunteered the information and if the requirements of factors A-C, listed above, are met. Therefore, current salary shall not be a sole or primary factor in determining whether an above minimum request is to be granted. It is and has been DOER's position that reliance on current salary may perpetuate hiring practices which reflect historic discriminatory pay practices in the market.

Although we would prefer to receive the above information in writing prior to an offer being extended, we recognize that often times pressures involved in making an offer of employment often do not allow correspondence prior to the making of an offer. For that reason, we will continue to accept verbal requests. If approved, however, the information should be reduced to writing and be attached to the Employee Action Form when the appointment is processed. Keep in mind that the written request may, at some future date, be relevant to litigation on this or another appointment and should, therefore, be clear and complete. If you have received verbal approval, please indicate in your memo from whom and the date you have received such prior authorization.

I hope that this memo has clarified the process of requesting and receiving authorization for above minimum requests. If not, please call me at 296-2398.

JL:CD:sf

POSITION FILLING PROCESS
FLOW CHART



A = Supervisor/Originator
B = Team Leader
C = Personnel Officer/Representative
D = Dept. of Employee Relations (DOER)

PROTECTED GROUP REPORT

DOER: Action Code A J M

formation collected will be used to determine the effectiveness of State selection and referral processes and the fectiveness of the State Affirmative Action Program. Results will be audited as required by M.S. 43A.191.

ge	Dept./Div.	Goal Unit/Barg Unit	Requisition #
lass	Code	Class Certified (if different)	Code	Selective Cert D A

AGENCY ANALYSIS OF CERTIFICATION/SELECTION PROCESS

	Disparity	# Individuals on All Certs	# Attempted to Contact	# Interested	# Interviewed and/or Further Tested	Withdrew/ Declined Offer	Appt'd: #
emale							
inority							
ndicapped							
ietnam Vet							

_____ Date(s) of Appointment(s)

RKFORCE DISPARITY/OPPORTUNITY ACTION INFORMATION: Complete this section only if there is a check under one or more of e protected groups listed in the Disparity Column above and if no member of those disparate groups was appointed.

Followed pre-hire review process? ☐ Yes ☐ No Explain _____

Check reason(s) a member of a disparate group was not appointed:

A. ☐ No members of disparate groups were certified.

B. ☐ Disparate group member(s) failed to pass mandatory job requirements given prior approval by DOER.

1. ☐ Typing/Steno test
2. ☐ Licensure/Certification
3. ☐ Selective certification criteria: define _____

C. ☐ Certified members of disparate groups responded that they were not interested in the job or failed to respond to letters about the position.

D. ☐ Appointment made from layoff list as required by collective bargaining agreement.

E. ☐ Seniority article of contract applied.

1. ☐ More senior employee had permanent/probationary status.
2. ☐ More senior employee had been serving on temporary appointment.

F. ☐ Incumbent appointed to position changed in allocation.

G. ☐ Appointed worker's compensation referral.

H. ☐ Agency no longer has disparity.

I. ☐ Current employee appointed from attached certification to avert a layoff. Explain on reverse.

J. ☐ The only disparate group members available for appointment are in same goal unit (bargaining unit within geographic area) as vacancy and their appointment would not help meet affirmative action goals.

K. ☐ Unable to make reasonable accommodation to applicant's handicap. Explain on reverse.

L. ☐ Grievance or arbitration settlement. Attach copy of settlement.

OTE: Reasons A-L above are justification for failure to make an affirmative action hire (appointment of a member of a rotected group for which an agency has a disparity in the goal unit - see Personnel Rules) in determining compliance with ff—ative action requirements of M.S. 43A.191, Subdivision 3.

Personnel Officer	Date	Affirmative Action Officer	Date

his form, completed and signed, must accompany any appointment made from the attached certification report and be returned o the Dept. of Employee Relations.

E-00317-09 (Rev. 5/87)

AFFIRMATIVE ACTION GOAL ACHIEVEMENT & SPECIAL HANDLING REPORT
PAYROLL ENDING APRIL 12, 1988

NAME=ADMINISTRATION GOALUNIT=001

RG	NUMBER FEMALES	FEMALE EMPL PCT	FEMALE GOAL PCT	NUMBER MIN_GRP EMPLYS	MIN EMPL PCT	MIN_GRP GOAL PERCENT	NUMBER HANDICAP EMPLYS	HAND EMPL PCT	HAND GOAL PCT	NUMBER VIET VETERANS	VET EMPL PCT	VETERAN GOAL PERCENT	TOTAL UNIT EMPLYS	BARG UNIT	SPEC HAND CODE
AFT	0	0.00	22.55	2	5.00	4.69	0	0.00	8.20	11	27.50	9.00	40	202	6
RVICE	28	24.78	44.57	14	12.39	4.69	9	7.96	8.20	14	12.39	9.00	113	203	6
FICE	222	79.29		29	10.36	4.69	22	7.86	8.20	11	3.93	9.00	280	206	C
CHNCL	37	52.86	44.57	9	12.86	4.69	6	8.57	8.20	6	8.57	9.00	70	207	8
GRS	0	0.00	7.18	1	11.11	2.61	1	11.11	8.20	2	22.22	9.00	9	212	2
ROFSNL	54	35.76	44.57	8	5.30	4.69	10	6.62	8.20	21	13.91	9.00	151	214	6
JPVRS	30	30.00	37.04	6	6.00	1.53	6	6.00	8.20	13	13.00	9.00	100	216	6
JM PLN	16	80.00	45.10	0	0.00	4.69	0	0.00	8.20	4	20.00	9.00	20	9CP	5
GRS	12	27.27	24.60	1	2.27	6.95	2	4.55	8.20	5	11.36	9.00	44	9MP	5

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Classification Overview

What is job classification?

Job classification is a system of identifying and describing the different kinds of work in an organization and of grouping similar positions under common classification titles. It identifies differences and similarities in kinds of work, degrees of difficulty, and responsibility of duties among positions.

Classification systems are based on **evaluation of job content**, rather than on individual qualifications or how well an incumbent employee can perform the duties of a job. **Job content** means the **kind and level** of work assigned to a position. Evaluation of job content includes:

- position purpose (why does the job exist?)
- types of duties performed
- knowledge, skills and abilities required to perform the duties
- consequence of error
- degree of autonomy or authority
- complexity of decision-making
- dimensions - staff and budget
- scope of the job - broad or narrow

Why have a job classification system?

A job classification system is a key factor in many employment procedures. A job classification system is a foundation of the personnel system, organizational structure, and overall management. It is an essential element in all of the following:

- recruitment, selection and placement
- advancement, mobility, and layoff
- employee development
- performance standards and appraisal
- compensation
- budget
- planning and organization
- affirmative action goal structure
- bargaining unit determinations

How is job classification accomplished?

Job classification is accomplished through review of individual position descriptions, classification studies, and the Hay method of job evaluations.

What are DOER and Agency roles in job classification?

DOER: To develop and maintain a statewide plan of classification to ensure that classified positions are properly placed in job classes within that plan and that unclassified positions are properly compared to job classes in the plan.

Agency: To serve as steward of the classification system in the agency by observing positions as they evolve and change. To recommend and react to supervisors' and employees' recommendations for reclassification of positions.

Both: To assist agency management in recommending and determining appropriate allocation of new positions and positions affected by reorganizations.

Job Audit Process

What is a job audit?

A job audit is a review of a position to determine its appropriate classification. It begins at the agency, continues at DOER, and includes:

Agency	• clarification of the position and description of the changes which have occurred, • analysis including comparisons with class specifications and similar positions within the agency, • recommendation of 1) a more appropriate class as an alternative to the current class of the position, 2) a determination of change in allocation or reallocation, and • documentation to support the job audit request and provide a sound basis for review, analysis and determination by DOER.
DOER	• review of written documentation prepared by the incumbent employee, his/her supervisor, personnel office, and appointing authority, • analysis, including comparisons with class specifications and similar positions throughout state service, and • determination of 1) the kind and level of work (the appropriate classification), and 2) how and why any changes in the position occurred (change in allocation or reallocation).
Both	• notification to the agency personnel office (by DOER) and to any affected supervisor and incumbent of the audit results (by the agency personnel office).

Who can request a job audit?

- An incumbent employee or her/his designated representative.
- The position's supervisor, appointing authority or personnel director/designee.
- The Commissioner of Employee Relations through her/his Classification staff.

When should a job audit be requested?

A job audit should be requested **when a position is created or when significant changes occur** in the **kind and/or level** or difficulty and responsibility of work assigned to a position. An audit may be appropriately requested:

- when an employee has gradually assumed additional responsibilities;
- when management has added to or deleted responsibilities from a position;
- when program, funding or organizational goals have changed causing positions to change as well;
- when a reorganization causes changes in a position and/or its reporting relationship.
- when a new position is established.
- when the Bureau of Mediation Services changes the bargaining unit of a position.

When should a job audit not be requested?

A job audit request would not be appropriate:

- when an increase or decrease occurs in the volume of the same kind and level of work already assigned to a position.
- when submitted as a reward for good performance.
- because an employee has progressed to the maximum of his/her assigned salary range.

Hay Process of Job Evaluation

What is the Hay process of job evaluation?

The **Hay Guide Chart – Profile Method of Job Evaluation** is a systematic process of measuring job content that enables organizations to evaluate and rank their jobs in an organized and consistent manner. The Hay Guide Chart - Profile Method was developed by Hay Associates in the early 1950's. Its roots are in the factor comparison methods of evaluation in which Edward N. Hay was a pioneer. In its current form, it has become the most widely-used, single process for job evaluation of managerial, professional, technical and clerical jobs. It is used by more than 4,000 profit and non-profit organizations in more than 30 countries around the world.

The Hay Guide Chart - Profile Method of Job Evaluation evaluates the job content of a position or positions using the following factors: Know-How, Problem-Solving, Accountability, and Working Conditions.

KNOW-HOW: is the sum total of every kind of skill, however acquired, required for acceptable job performance. Know-How has three dimensions - the requirements for:

- Practical procedures, specialized techniques, and learned disciplines.
- Integrating and harmonizing the diversified functions involved in managerial situations (operating, supporting, and administration). This Know-How may be exercised consultatively as well as executively, and involves, in some combination, the areas of organizing, planning, executing, controlling and evaluating.
- Active, practicing skills in human relations.

Know-How considers both scope (variety) and depth (thoroughness) of a position. A job may require some knowledge about a lot of things, or a lot of knowledge about a few things. The total Know-How factor is the combination of scope and depth. This concept allows for the comparison and weighing of the total Know-How content of different jobs in terms of "HOW MUCH KNOWLEDGE ABOUT HOW MANY THINGS."

PROBLEM-SOLVING: is the original, "self-starting" thinking required by the job for analyzing, evaluating, creating, reasoning, arriving at and making conclusions. The raw material of any thinking is knowledge of facts, principles, and means; ideas are put together from something already there. Therefore, Problem Solving is treated as a percentage of Know-How. To the extent that thinking is circumscribed by standards, covered by precedents, or referred to others, Problem Solving is diminished, and the emphasis correspondingly is on Know-How. Problem Solving has two dimensions:

- The environment in which the thinking takes place.
- The challenge presented by the thinking to be done.

ACCOUNTABILITY: is the answerability for action and for the consequences thereof. It is the measured effect of the job on end results. It has three dimensions in the following order of importance:

- Freedom to Act - the degree of personal or procedural control and guidance.
- Job Impact on End Results - Indirect impact (remote or contributory) or direct impact and measurable (shared or primary).
- Magnitude - indicated by the general dollar size of the area(s) most clearly or primarily affected by the job (on an annual basis, stated in terms of constant dollars, 1965 base).

WORKING CONDITIONS: are measured when appropriate and made up of:

- Physical Effort
- Environment
- Hazards

Like the job audit process, the Hay Guide Chart - Profile Method does not measure:

- how diligent or how busy employees are in their jobs.
- job tenure - how long an employee has been in a job.
- how well the employee in the position performs his/her job.
- what the job is paid in the market place.

Why do we use the Hay Guide Chart – Profile Method of job evaluation?

The Hay Guide Chart - Profile Method was selected by the State of Minnesota in the 1970's to measure and rank executive jobs in an organized and consistent manner. Its use was expanded to all occupational categories during the public employment study, completed in 1979. It provides a good, widely used method of making comparisons of compensable factors among the complete range of jobs in state government. It served as a basis for the salary adjustments necessary to implement the Pay Equity Act of 1982. Most job classifications in state service with more than one employee assigned to them have now been evaluated using the Hay evaluation system. Because the Hay evaluation system is in wide use throughout the private sector and used extensively in other governmental jurisdictions, it permits evaluations performed by Minnesota job analysts to be compared to similar evaluations of similar positions made by other experts skilled in the evaluation process. Its widespread use provides a quality control mechanism which an in-house system would not provide.

When is a Hay evaluation performed?

A Hay evaluation is performed when:

- a new position is established for which there is no readily discernable existing class comparison.
- the appropriate level of a position within a class series cannot be determined or there is significant dispute about the level of a position.
- the classification has not been reviewed for many years and the concept of the class has perceptively changed over time.
- a position is identified as a benchmark position to which others are compared for use in a class study or class clarification project.

Who takes part in the Hay evaluation and what do they do?

The Hay evaluation session is typically attended by the following participants each of whom has the responsibility or group of responsibilities as follows (see next page):

ROLES IN HAY EVALUATION PROCESS

PARTICIPANT	RESPONSIBILITY
Agency Personnel Director/Designee	• To provide proper documentation: 1) audit cover sheet; 2) memo describing the need for the job evaluation; 3) current position description reviewed within the last six months and signed by the position incumbent and supervisor; 4) organizational chart; 5) position action form; and 6) five copies of items 2, 3 and 4 for distribution to the Hay Evaluation Committee. • To brief the agency presenter(s) about the Hay process and, to relay and explain to presenters and any affected incumbent the results of the Hay evaluation.
Presenter(s): A program manager, supervisor, personnel director/designee, incumbent, or other person who is fully knowledgeable of the position, its purpose, and its relationship to other positions in the department/agency and who can convey this information effectively to the evaluation committee.	• To describe the position, its purpose and relationship to other positions in the agency, so that the Hay evaluation committee can have a clear understanding of the position upon which to base a Hay evaluation.
DOER Classification Representative: The Classification staff member assigned to the agency of the position being evaluated.	• To facilitate the Hay session, which includes: schedule session; accept and distribute documentation to committee members; convene session; direct the rater discussion and evaluation; notify the personnel director/designee and explain the results of the Hay evaluation.

PARTICIPANT	RESPONSIBILITY
Hay Evaluation Committee Members: Hay evaluation committees normally consist of 5 members selected from DOER staff, agency personnel officers/directors and agency managers and supervisors. All committee members have: 1) observed several rating sessions until they have become confident of their ability to make accurate evaluations, 2) received Basic Hay Evaluation training from a Hay Consultant and, 3) have typically rated at least 25 positions. Although the 5 members of the committee will possess varying degrees of experience and training, every committee must have at least 2 members who have had Advanced Hay training and have rated 500+ positions. Committee selection is governed by rater availability and previous experience rating positions similar to those which are being evaluated. Three-member committees are the exception but may be used when a study involves large numbers of positions to be evaluated, such that sheer volume of workload dictates the smaller committee size.	• To ask questions of the presenter(s) in order to understand the position and to rate the position using the Hay Guide Chart - Profile Method. Members must arrive at a consensus rating of the position.

How exactly does a Hay evaluation proceed?

There are six steps to each Hay evaluation: schedule, prepare, present, evaluate, allocate, notify.

1. Scheduling the Evaluation	The evaluations are scheduled for every Thursday morning by the Department of Employee Relations at 520 Lafayette Road, 3rd Floor. Occasionally, other arrangements are made to accommodate the needs of the department/agency requesting the evaluation.
2. Preparation for the Evaluation	The personnel director/designee selects a presenter(s) who is knowledgeable of the position to be evaluated. S/he explains, to the presenter(s), the Hay evaluation process and the responsibilities of the participants and provides guidance for the selection of job clarification materials. These clarification materials may include examples of work, reports, flow charts, budget narratives or work plans, to clarify information in the position description and show the job in its organizational context.
3. Presentation of Position to be Evaluated	The presenter(s) selected by the agency verbally explain the position to be evaluated to the committee of Hay evaluators. The presenter(s) explains the organizational context in which the position is found, the program purpose and components, the general functions and specific responsibilities of the position. The presenter(s) also explains the essential and desirable knowledges, skills and abilities required to perform the work at an acceptable level. The Hay Evaluation Committee members ask questions about position responsibilities, the organization and other information provided by the presenter(s).

Note: After the presentation has been made and all questions answered, the presenter(s) and agency personnel officer do not remain for the evaluation session which follows the presentation. They are, however, asked to provide phone numbers at which they can be reached in order to respond to any questions which may arise during the evaluation and require further clarification.

4. Evaluation/Rating	After the presentation is completed, the committee evaluates the position using the Hay Guide Chart - Profile Method. Each evaluator develops a rating individually. The evaluators explain their ratings, discuss differences and arrive at a consensus. If there are questions which arise as a result of the evaluation, they are asked of the presenter(s) before the evaluation is completed.

5.	Classification Determination Based on Evaluation	The DOER Classification representative uses the Hay evaluation results to arrive at a classification decision for the position. The result may be assignment of the position to an existing classification or the development of a new classification.
6.	Communication of Final Results	The DOER Classification representative notifies the department/agency in writing of the rationale for the classification determination. The agency personnel director further conveys the determination and rationale to the presenter(s) and affected supervisor and incumbent.

Change in Allocation/Reallocation

What is a Change in Allocation? What is a Reallocation?

"Change in Allocation means reclassification resulting from abrupt, management imposed changes in the duties and responsibilities of a position." (Minnesota Statutes 43A.02, Subdivision 9)

Clarification: The change is abrupt and typically due to reorganization or management assignment, at a specific point in time, of a distinct set of responsibilities which directly affect the kind and/or level of work performed. There is a substantial decrease in or addition of new and different duties to those originally in the position when the incumbent entered it.

"Reallocation means reclassification resulting from significant changes over a period of time in the duties and responsibilities of a position." (Minnesota Statutes 43A.02, Subdivision 35)

Clarification: The change is gradual and typically a function of changed level of responsibility and employee freedom to act. In other words, the employee grows in the job. The change is evolutionary and generally includes more responsible and/or increased or decreased duties due to shifts in size or diversity of the program in which the employee works. Changed duties are similar to but at a different level than those originally assigned to the position when the incumbent entered it.

Note: While this issue tends to be seen in terms of upward movement of positions and employees, it should be emphasized that changes in allocation and reallocations can also result in positions being reclassified to lower or similar (transferable) levels.

What are the effects of the determination?

1. Selection/Retention Effects

   The distinction between reallocation and change in allocation affects the opportunities of the incumbent to remain in the position once it has been reclassified.

Collective bargaining agreements and plans of the Commissioner of Employee Relations include provisions regarding the treatment of employees occupying positions which have been reallocated or changed in allocation. Typically, contracts and plans provide that positions which are changed in allocation are declared vacant. Such positions are to be filled by posting, recall and transfer, demotion or eligible list appointment for which seniority among bidders and/or candidates may need to be considered. The incumbent cannot be assured of continuation in the position.

Reallocated positions are not considered vacant. Posting, bidding and job-filling requirements of contracts or plans do not apply. A special type of appointment procedure is authorized in M.S. 43A.15, Subdivision 5 for incumbents of positions which have been reallocated to a higher class. The statute reads: "The Commissioner may authorize an appointing authority to promote the incumbent with permanent or probationary status to a reallocated classified position." This is called a non-competitive promotion. The incumbent of the reallocated position is generally expected to be appointed to the new class via the non-competitive promotion outlined above (if reallocation is to a higher class) or by transfer or demotion (if reallocation is to a transferable or lower class).

Some contracts include other conditions which must be met before contractual, vacancy-filling provisions can be waived for the filling of a reallocated position, such as: 1) that the action leading to the reclassification did not result from the assignment of the incumbent to work out of class in a manner so as to bypass the selection process, 2) that the reclassification was not caused by assignment of the incumbent to a vacancy in a new position or 3) that the reclassification did not occur as a result of actions taken without regard to proper selection procedures.

2. Labor Relations Effects - Bargaining Unit Changes

Changes in allocation and reallocations which cross bargaining unit lines to or from supervisory units or to managerial or confidential status require varying treatments. In general, a change in allocation may be affected immediately unless challenged by an exclusive representative while a reallocation must await hearing by the Bureau of Mediation Services before it can be affected. Consult Administrative Procedure 6 for specific instructions.

3. Compensation Effects - Back Pay Eligibility

Typically, contracts and plans provide for back pay where reallocation to a higher class is determined. This is not the case when a change in allocation is the determination.

Under specified circumstances, retroactive pay will begin after a properly documented allocation request has been in the Department of Employee Relations at least 15 days.

Examples of reallocations and the appropriate backpay for each:

Date Request Received In Employee Relations	Date of Probationary Appointment	Calendar Days of Backpay
September 1, 1986	September 15, 1986	No backpay
September 1, 1986	September 30, 1986	13 days of backpay
September 1, 1986	November 26, 1986	70 days of backpay

Notice of the decision on a job audit request specifies whether the reclassification has been determined to be a "change in allocation" or a "reallocation" and, if the latter, the date of receipt of the properly documented request in the Department of Employee Relations for use in determining the date from which pay at the higher rate should begin.

What is the philosophy behind reallocation provisions?

Minnesota State government has a merit system of employment. A hallmark of merit systems is that they require open notice and competition for appointment and advancement. The idea is to afford applicants and employees maximum opportunity to be appointed to positions for which they are best suited. The concept of competition may, however, conflict with certain inevitable aspects of organizational life. Job duties change, organizations change - abruptly and subtly. People grow in their jobs, in experience and in capability to assume more challenging work. Often a series of small changes occur in a position. Individually, none of those changes may be sufficient to cause reclassification of the position, but the cumulative effect of several changes supports reclassification of the position. When this happens the employee who has held the position throughout the changes expects to continue in the reclassified job without needing to compete with others to keep the job.

Experts in human motivation and organizational theory indicate that this kind of change is personally and organizationally healthy and natural. Further, when such changes occur, there is a natural expectation on the part of both the organization and the affected employee, that reward rather than penalty should accrue to the employee involved. Everyone presumes that the employee will continue in the position and receive whatever salary increases are appropriate to the new class.

In a merit system, however, concern for competition for advancement causes us to look critically at the concept of evolutionary job change to be certain that it is not occurring artificially or being engineered in a manner that erodes the merit principle of competitive entry and advancement.

We recognize, understand and sympathize with supervisors and managers who add to the work of good employees, especially when new projects come up. As new responsibilities are added to unit workload, they have to be placed somewhere. Often they fall logically into an existing responsibility of an employee. A manager needing to accommodate additional workload isn't always sure that the addition of duties, regardless of how abrupt, is sufficient to require a reclassification. Nor can agencies wait for a classification review to take place and for the results of a competitive examination process before beginning to assign new responsibilities in order to get work carried out. However, where there is some doubt about whether additional work duties added to a position may require a change in allocation, the necessity for equitable treatment of like-situated employees with due regard for their promotional opportunities and for the competitive process of the merit system should be considered. All of this emphasizes the need to get positions reviewed as quickly as possible when changes occur, before employees affected by the changes have time to develop a sense of job ownership.

Employees are also concerned with protection of the competitive process of the merit system. They want maximum opportunity to compete for promotion, to be provided equitable opportunity to gain experience for advancement and not to see management curtail advancement opportunities by unfairly singling-out an employee for special assignments designed specifically to lead to his/her promotion. The distinction between reallocation and change in allocation arises out of the need to balance and fairly administer two concepts: 1) merit-based competition for advancement and 2) reward rather than penalty for natural growth of jobs and employees. It is a balancing act and the distinctions are not always easy to make. Yet we must do so in order to fairly administer statutory and contractually agreed upon effects of these distinctions on employees.

Examples of Determinations:

1. Situations where a **change in allocation** is <u>always</u> determined.

    - Abrupt changes in duties sufficient to require reclassification.

      Examples: 1) An agency assumes a new function, such as operation of a conference center, and an employee who had previously performed general secretarial duties is assigned to handle all scheduling and coordination of conference attendance. 2) A program's size is increased significantly with more staff added, and increased resources provided causing management to add a number of new duties and responsibilities to several positions.

      It is important to note here that whether these changes in duties are noted immediately or after a considerable lapse of time, it is still determined to be a specific, abrupt, management-imposed change in duties and therefore, can only be termed a change in allocation.

- Organizational changes (another form of abrupt, management-imposed change).

  Example: A reorganization results in the establishment of a new layer in the organizational hierarchy and a supervisory employee who had previously had direct supervision of only three employees is assigned to continue to supervise the three but through a lead worker and also to supervise a second unit comprised of a supervisor and four subordinate staff. If the expanded duties and organizational responsibility merit reclassification to a higher level supervisory classification, the action is a change in allocation.

  Again, whether this abrupt organizational change is noted immediately or after a significant time lapse, it is still a single, specific event imposed by management which causes the classification to change and, therefore, must be determined a change in allocation.

- Assignment to a vacancy.

  Example: In a unit of several staff, one of whom is designated as leadworker and occupies a higher level position, the leadworker position falls vacant. One of the remaining employees is assigned leadwork responsibility for the others. Since the leadwork duties constitute the basis for higher classification, this assignment of the duties of the vacancy to another position has the same effect as filling the vacancy by bypassing the competitive selection procedure. The resulting reclassification can only be determined to be a change in allocation to which competitive selection procedures must apply.

2. Situations where special scrutiny is applied and **change in allocation** is <u>usually</u> determined.

   - Shift from non-supervisory to supervisory.

     Examples: 1) An employee (position) previously a peer to others is elevated in responsibility to direct and supervise the others. 2) An employee who has always, as a leadworker, assigned and reviewed work and recommended discipline and reward, is also assigned to make recommendations about whom to hire, promote or transfer which are accepted by management. This change causes the position to include six of the ten supervisory responsibilities necessary to meet the PELRA test for supervisor and the allocation criteria for the supervisory class. The change was abrupt and management-imposed and is determined to be a change in allocation. Note: DOER believes strongly that management should be taking direct action to appoint its supervisors. While lead workers may "ease into" making recommendations in various areas such that a case could be made for a determination of reallocation rather than change in allocation, this shows a sloppy, unconscious approach to management which should be corrected.

- Moves between different occupational categories and between different career clusters.

  An employee who has had clerical responsibilities for collecting, assembling, checking and arranging data is assigned professional responsibilities for analyzing and drawing conclusions from data. This represents a significant variation in duties - a shift of both occupational categories and career clusters. Occupational categories differentiate levels of work responsibilities. Career clusters differentiate kinds of work responsibilities. Reclassifications of positions which cross these distinctions are reviewed especially carefully. The differences are greater than are the more subtle variations of level which occur within a class series. For this reason, reclassifications which cross either or both occupational category and career clusters receive special scrutiny and are most likely to result in a determination of a change in allocation.

3. Situations in which reallocation is the <u>likely</u> outcome.

   - A gradual change in job duties typically within a class series, in the same occupational category, and career cluster. The gradual rate of the change is well documented. For example, a Research Analyst whose command of statistical procedures increases with use makes her able to independently design study projects, as well as carry out the data analysis for them, resulting in reallocation from Research Analyst to Research Analyst, Intermediate.

   - Reclassification resulting from a study of positions conducted by the Department of Employee Relations.

     Here the presumption is that any changes found in the course of a study are reallocations unless proven otherwise. Class studies are undertaken by DOER to clarify class concepts and bring classification consistency to all affected positions. Efforts are concentrated on appropriate definition of the kind and level of work of positions without regard to the type and manner of occurrence of changes in those positions. As a result, decisions affecting large numbers of employees and positions must be made as efficiently as possible while minimizing the effect on individual employees.

   - "Mis-classification".

     Those situations in which a position was improperly classified at the point it became vacant and the employee who was hired into it and has continued working in it with the same duties throughout, is subsequently reviewed by the Department of Employee Relations and reclassified to a class other than that for which the employee was originally hired. Again, the emphasis is on effective definition of kind and level of work in the position while minimizing the effects on the incumbent employee.

NOTE: A quick review of the duties assigned a recently-vacated position by the supervisor and personnel office, prior to recruitment efforts, will minimize the occurrence of "mis-classifications."

What documentation is needed to determine reallocations vs. changes in allocation?

- If a request is made for reallocation, it should be specific and set apart in a separate paragraph of the audit memo. The paragraph(s) should give a clear explanation of how the position's duties have changed, how the change(s) occurred, over what time period, and for what reasons. If available, previous descriptions of the position verifying the variations in duties at different times may be presented in support of the request.

- If information submitted in support of a reclassification request of an occupied position does not contain a specific request for and justification of why the reclassification should be determined to be a reallocation, a change in allocation determination will be made.

Unclassified Positions:

NOTE: The foregoing information applies to classified positions. A similar determination is applied to unclassified positions when changed duties necessitate comparison to a different job class. In such situations, a determination is made concerning whether the change was abrupt (a change in allocation) or gradual (a reallocation). Appointment procedures for unclassified positions are different from procedures for classified positions (requires another unclassified appointment to the new class comparison not a non-competitive promotion, transfer or demotion) but back pay provisions and effective dates of appointment for positions are the same as those for the classified service.

If a position which has been unclassified and compared to class X is moved into the classified service and determined to be properly allocated to class Y due to a gradual change in duties, the incumbent cannot be appointed to the classified service via non-competitive promotion. In other words, a previously unclassified employee cannot be "reallocated into the classified service." Since the action is an initial allocation of the position to the classified service, the incumbent may only be appointed to the position by using the competitive eligible-list appointment process or another appropriate non-competitive appointment type. The incumbent may not be appointed according to the provisions of M.S. 43A.15, Subdivision 5, non-competitive promotion.

GLOSSARY OF TERMS USED IN CLASSIFICATION

Allocate or Classify	• to place a specific position in an appropriate classification on the basis of the kind, difficulty, and responsibility of work performed.
Benchmark Position	• a position that most accurately represents the concept of a particular class which serves as a basis for comparison when other positions are allocated to that same class.
Change in Allocation	• reclassification of a position resulting from abrupt, management-imposed changes in the duties and responsibilities of a position.
Class Merger	• the combining of two or more classes into a single class under the title of one of the classes or under a new title.
Class Title Change	• a change in the official title of a class to more clearly identify the responsibilities of a position or group of positions allocated to that class where the purpose, major functions and required qualifications remain essentially unchanged.
Classification	• one or more positions sufficiently similar with respect to duties and responsibilities that the same descriptive title may be used with clarity to designate each position allocated to the class, that the same general qualifications are needed for performance of the duties of that class, that the same test of fitness may be used to recruit employees, and that the same schedule of pay can be applied with equity to all positions in the class under the same or substantially the same employment conditions.
Classify or Allocate	• to place a specific position in an appropriate classification on the basis of the kind, difficulty and responsibility of work performed.
Classification Specification (Class Spec)	• a brief, general description of the concepts attributed to a classification including class title, kind of work, nature and purpose, and the knowledges, skills and abilities required.

Classified Service	• positions in the state civil service for which appointments must be based on merit and ability to perform the duties of the position and which afford tenure following a probationary period.
Demotion	• a change of an employee from a position in one class to a position in another class with less responsible duties and a lower salary range.
Position (Job)	• a group of duties and responsibilities assigned or delegated by competent authority, requiring the full-time or less than full-time employment of one person.
Position Description	• a formal definition of the duties, responsibilities, working relationships and performance expectations of a position in State service (written description of work performed).
Promotion	• a change of an employee from a position in one class to a position in another class with more responsible duties and a higher salary range.
Reallocation	• reclassification of a position resulting from significant changes over a period of time in the duties and responsibilities of a position.
Reclassification	• to change the classification or allocation of a position to a higher class, lower class, or moving it to another class at the same level. This action may result in a reallocation or change in allocation in the position.
Transfer	• the movement of an employee from one department to another department or from one class to another class where the classes are in comparable salary ranges.
Unclassified Service	• positions in the state civil service which, by statute or by action of the Commissioner of Employee Relations, are not included in the classified service, do not require merit selection and do not afford tenure following a probationary period.

Pre-Employment Inquiry Guidelines

ACCEPTABLE	SUBJECT	UNACCEPTABL
Name "Have you ever used another name? */or/* "Is any additional information relative to change of name, use of an assumed name, or nickname necessary to enable a check on your work and education record? If yes, please explain."	**NAME**	Maiden name.
Place of residence.	**RESIDENCE**	"Do you own or rent your home?"
Statement that hire is subject to verification that applicant meets legal age requirements. "If hired can you show proof of age?" "Are you over eighteen years of age?" "If under eighteen, can you, after employment, submit a work permit?"	**AGE**	Age. Birthdate. Dates of attendance or completion of elementary or high school. Questions which tend to identify applicants over age 40.
"Can you, after employment, submit verification of your legal right to work in the United States?" */or/* Statement that such proof may be required after employment.	**BIRTHPLACE, CITIZENSHIP**	Birthplace of applicant, applicant's parents, spouse, or other relatives. "Are you a U.S. citizen?" */or/* Citizenship of applicant, applicant's parents, spouse, or other relatives. Requirements that applicant produce naturalization, first papers, or alien card *prior to employment.*
Languages applicant reads, speaks, or writes.	**NATIONAL ORIGIN**	Questions as to nationality, lineage, ancestry, national origin, descent, or parentage of applicant, applicant's parents, or spouse. "What is your mother tongue?" */or/* Language commonly used by applicant. How applicant acquired ability to read, write, or speak a foreign language.
Name and address of parent or guardian if applicant is a minor. Statement of company policy regarding work assignment of employees who are related.	**SEX, MARITAL STATUS, FAMILY**	Questions which indicate applicant's sex. Questions which indicate applicant's marital status. Number and/or ages of children or dependents. Provisions for child care. Questions regarding pregnancy, child bearing, or birth control. Name or address of relative, spouse, or children of adult applicant. "With whom do you reside?" */or/* "Do you live with your parents?"
	RACE, COLOR	Questions as to applicant's race or color. Questions regarding applicant's complexion or color of skin, eyes, hair.

Statement that photograph may be required after employment.	**PHYSICAL DESCRIPTION, PHOTOGRAPH**	Questions as to applicant's height and weigh Require applicant to affix a photograph to application. Request applicant, at his or her option, to submit a photograph. Require a photograph after interview but before employment.
Statement by employer that offer may be made contingent on applicant passing a job-related physical examination. "Do you have any physical condition or handicap which may limit your ability to perform the job applied for? If yes, what can be done to accommodate your limitation?"	**PHYSICAL CONDITION, HANDICAP**	Questions regarding applicant's general medical condition, state of health, or illnesses Questions regarding receipt of Workers' Compensation. "Do you have any physical disabilities or handicaps?"
Statement by employer of regular days, hours, or shifts to be worked.	**RELIGION**	Questions regarding applicant's religion Religious days observed */or/* "Does your religion prevent you from working weekends holidays?"
"Have you ever been convicted of a felony, or, within (specified time period) a misdemeanor which resulted in imprisonment?" (Such a question must be accompanied by a statement that a conviction will not necessarily disqualify applicant from the job applied for.)	**ARREST, CRIMINAL RECORD**	Arrest record */or/* "Have you ever been arrested?"
Statement that bonding is a condition of hire.	**BONDING**	Questions regarding refusal or cancellation of bonding.
Questions regarding relevant skills acquired during applicant's U.S. military service.	**MILITARY SERVICE**	General questions regarding military services such as dates, and type of discharge. Questions regarding service in a foreign military.
	ECONOMIC STATUS	Questions regarding applicant's current or pas assets, liabilities, or credit rating, including bankruptcy or garnishment.
"Please list job-related organizations, clubs, professional societies, or other associations to which you belong—you may omit those which indicate your race, religious creed, color, national origin, ancestry, sex, or age."	**ORGANIZATIONS, ACTIVITIES**	"List all organizations, clubs, societies, and lodges to which you belong."
"By whom were you referred for a position here?" Names of persons willing to provide professional and/or character references for applicant.	**REFERENCES**	Questions of applicant's former employers or acquaintances which elicit information specifying the applicant's race, color, religious creed, national origin, ancestry, physical handicap, medical condition, marital stat age, or sex

LAWFUL INTERVIEWS: DO'S & DON'TS

A Summary of EES - U of M Seminars

DO'S

1) Use a written, structured format for asking interview questions

2) Prepare for the interview by carefully examining both the job description/job specifications and whatever background data you already have about the applicant

3) Acquaint yourself with EEO, non-discrimination viewpoints and practices. Resist your curiousity, pre-conceived assumptions

4) Shake hands. Introduce yourself. You are greeting a guest of your organization

5) Inform applicant you always take notes during interviews to help remind you of special factors.

6) Let applicant know you have taken the time to really read the application blank.

7) Encourage applicant to ask questions about the job, the organization

8) Treat each applicant with courtesy, dignity. This interview is probably a more traumatic event for the applicant than for you.

9) At conclusion of interview, try to give applicant your honest, initial impression as to relative competitive position for job. If no chance, say so tactfully.

10) Summarize data, comments, recommendations in writing as soon as applicant leaves

DON'TS

1) "Wing it", tailoring the interview to the applicant sitting with you

2) Simultaneously interview, make initial examination of the application blank and job description data

3) Attempt to elicit questionable data indirectly from an applicant, if you suspect that data is inappropriate (EEO standpoint), irrelevant to job performance

4) Force applicant to initiate introduction; force applicant to wait in your presence while you finish doing something else

5) Abruptly start writing as the applicant is talking (very disconcerting if applicant is not forewarned)

6) Ask exactly the same questions already filled in on application blank (clarification or elaborations are expected and totally acceptable, however)

7) Allow communication to become a one-way street: (Interviewer asks, interviewee responds")

8) Allow the interviewee to become defensive sensing powerlessness, inadequacy

9) End interview with total noncommitment "Don't call us, we'll call you" approa (Leaves applicants, good and bad, with uncertainty, confusion)

10) Wait until several applicants have come and gone before summarizing. The longer you wait, the more likelihood of unreliability

INTERVIEW INFORMATION SUMMARY

AT THE CLOSE OF THE PRE-EMPLOYMENT INTERVIEW, YOU SHOULD BE ABLE TO PROVIDE THE FOLLOWING DATA ABOUT EACH APPLICANT:

I. BIOGRAPHICAL FACTS, CREDENTIALS, ACHIEVEMENTS: FACTS SUPPLEMENTAL TO THE RESUME/APPLICATION FORM

II. TECHNICAL KNOWLEDGE (WHAT DOES APPLICANT KNOW)

III. EXPERIENCE/ACTIVITY DESCRIPTIONS (WHAT HAS APPLICANT ACTUALLY DONE)

IV. SELF-EVALUATIONS (WHAT WILL MOST LIKELY MOTIVATE THE APPLICANT?)
   A. LIKES, DISLIKES, PREFERENCES
   B. THINGS DONE BEST, LESS WELL
   C. HYPOTHETICAL.SPECULATIVE STATEMENTS (WHAT IF...")
   C. REASONS FOR PAST EDUCATIONAL/WORK DECISIONS

V. BEHAVIORS
   A. EXAMPLES OF PAST BEHAVIORS (HOW DID APPLICANT RESPOND TO SPECIFIC SITUATIONS IN THE PAST?)
   B. OBSERVED, JOB-RELEVANT BEHAVIORS

INTERVIEW ANALYSIS SHEET

Name _____ Date _____

Position _____ Interviewer _____

Knowledge and Skills

Fact or condition of knowing through experience or association.
Distinct ability to use knowledge effectively, developed aptitude or ability.

(+)	(-)
Significant knowledge and/or skills demonstrated and/or verifiable	Significant knowledge and/or skill deficiencies
1.	1.
2.	2.
3.	3.

Exceeds Minimum Requirements ○

At Minimum Requirements ○

Below Minimum Requirements ○

Job Related Behaviors, Characteristics, Preferences

i.e., attendance, environmental setting, likes-dislikes, stress, disposition.

(+)	(-)
Helpful Behaviors, Characteristics, Preferences	Potential Problem Behaviors, Characteristics, Preferences
1.	1.
2.	2.
3.	3.

Acceptable ○

Unacceptable ○

INTERVIEW RECORD

Position _____

pplicant's Name _____

QUESTION	RATING FACTOR (Knowledge, skill or ability being assessed)	RATING
1		1 2 3 4 5
2		1 2 3 4 5
3		1 2 3 4 5
4		1 2 3 4 5
5		1 2 3 4 5
6		1 2 3 4 5
7		1 2 3 4 5
8		1 2 3 4 5
9		1 2 3 4 5
10		1 2 3 4 5

RATING VALUES: 1 = Unsatisfactory 2 = Marginal
3 = Satisfactory 4 = Good 5 = Excellent
(See reverse for definitions of rating values)

TOTAL:

OVERALL ASSESSMENT:

OVERALL RANK:

COMMENTS:

RATER'S SIGNATURE DATE

RATING SCALE

(5) EXCELLENT - Candidate's performance on this factor is outstanding. THIS IS THE HIGHEST RATING.

(4) GOOD - Candidate's performance on this factor is clearly above that required for satisfactory job performance. THIS IS A HIGHER PASSING RATING.

(3) SATISFACTORY - Candidate's performance on this factor is adequate (e.g., at a level sufficient for satisfactory job performance). THIS IS THE LOWEST PASSING RATING.

(2) MARGINAL - Candidate possess this factor to some degree, but at a level below that required for satisfactory job performance. (This rating should be used if you have reservations about considering the candidate's performance on this factor as satisfactory.) THIS IS A FAILING RATING.

(1) UNSATISFACTORY - Candidate's performance on this factor is either totally lacking or well below that required for satisfactory job performance. THIS IS A FAILING RATING.

PROBE WORDS AND QUESTIONS

LEVEL (OBJECTIVES & INDICATORS)

- What were your specific responsibilities?
- What were the results of...?
- Tell me about...
- How did you handle...?
- How did you decide to do that?
- How was....implemented?
- What changes have you made?
- What were your subordinates duties"
- What pressures...?
- How much...?
- On what were you evaluated?

CONDITIONS

- Who did you do it with?
- Give me an example of...?
- What was your role in...?
- What did that involve?
- How often did you...?
- How was your boss/others involved?
- What resources were available?
- What difficult situations?
- Reporting & peer relationships
- Dollar control/budget
- Organizational stability
- Size of support groups

KNOWLEDGE/SKILLS

- What skills helped you do...?
- What was the process you followed to...?
- How/where did you learn that...?
- How would you handle...?
- Given this situation what would you do?
- How did you put pressure on...?
- How do you reward...?
- Special training...
- Why do you suppose others would?

ATTITUDES; FEELINGS; VALUES

- How did you feel when...?
- What was important to you about...?
- If _____ were to happen, what would you do/feel?
- Why...?
- What one thing would you have changed about your last job?
- What conflicts were there & how were you involved?
- What was satisfying?
- What were your greatest accomplishments?

RELEVANT WORK EXPERIENCE & TRAINING

1)

2)

3)

Exceeds Minimum Requirements ◯

Minimally Qualified ◯

Below Minimum Requirements ◯

NON-CERTIFICATION

Department: Commerce

TO: Employee

FROM: Supervisor

SUBJECT: Certification

This memo is to notify you that you will not be certified in your current position because of excessive absenteeism. You have missed 11 days in the past 4 months, not counting scheduled vacation to which you are entitled. You will return to your former class on October 16. You pay will also revert to its former level.

← action taken

← reasons for non-certification

When you interviewed for this position I stressed that one of the primary selection considerations in attendance. You were aware that the work of four other employees is dependent on your own task completion. At your mid probationary review last month you were also advised that missing 8 unscheduled days in 3 months represented an unacceptable pattern, and that you would not be certified if improvment was not immediately apparent. In the past month you have missed 3 additional days. I have asked if any specific medical reason existed for your absenteeism and you stated that you "just got sick alot". I had also encouraged you to contact the Employee Assistance Program if non-work concerns were affecting you.

← past warnings

← mid probation review

← attendance since last warning

I regret this action is necessary, but find I must place the needs of my unit first.

You may appeal this action pursuant to Article XV of the labor agreement wit Council 6.

← employee rights

cc: Personnel File
Council 6

WRITTEN REPRIMAND

Department: Human Services

To: Jane Doe January 31, 1988

From: Supervisor

Subject: Written reprimand

The purpose of this memo is to inform you that you are receiving a written reprimand for your failure to report for work on Sunday, January 28, 1988 and other excessive absent and sick time used since your employment as a Human Services Technician at the State Hospital on August 20, 1987.

level of discipline

reason for discipline

On Sunday, January 23, 1988, you were scheduled for a 7 am to 3:30 pm shift. An investigation reveals that you did not sign in or out that day, nor did you call the work area to report your absence. In reviewing your attendance record sheet, I have found that from August 20, 1987 to January 31, 1988, you have recorded a total of 16 1/2 hours of sick time and 66 1/2 hours of absent time. Of the 66 1/2 hours of absent time recorded, 12 1/2 hours of that time was due to depleting your sick leave balance. The record also reveals that on November 5, 1987, the head nurse and myself met with you to discuss your third month evaluation. At that time we identified your attendance record as one of your weak points. We also outlined what action you needed to take to improve your performance in that area. I also told you at that meeting that maintaining a good work record was essential and failure to comply with this expectation could effect your final certification.

past warnings

Therefore based on the above information, the time missed on January 23, 1988 will be considered absent without pay and this written reprimand will be given as disciplinary action for abuse of time. In the future I expect you to :

corrective action required

1. Report to work as scheduled
2. Minimize the use of absent time
3. Notify the unit 1 administrative staff, or in our absence, the Administrative Director of your absence prior to the beginning of your scheduled shift if unable, for good reason, to report to work.

Failure on your part to comply with all of the above expectations will result in further disciplinary action which could seriously affect your employment at the State Hospital.

consequence of no improvement

You may appeal this disciplinary action pursuant to Article XV of the labor agreement with Council 6.

appeal rights

cc: Personnel File
Council 6

SUSPENSION

May 23, 1988

John Doe
Home Address

Dear Mr. Doe:

The purpose of this letter is to inform you that you are being suspended from employment at the State Hospital for one day. The period of suspension will be Wednesday, May 23, 1988, in accordance with your posted schedule. ← level of discipline

The reason for this suspension is your misuse of sick time on Saturday, May 19, 1988. At approximately 1:00 pm on that day you reported to your suspervisor that you were sick and unable to work. Shortly after that, you were observed playing in a softball game and following that you were again observed socializing in a local beer parlor. Both of these activities took place during the hours that you were scheduled to work. ← reason for discipline

In the future you will be expected to report to work as scheduled; if sick leave is used you will be required to furnish a statement from a medical practitioner. This requirement will remain in effect until August 23, 1988. ← corrective action required

Should you display similar inappropriate action in the future, you will subject yourself to further disciplinary action, up to and including discharge. ← consequence of no improvement

You may appeal this action pursuant to Article XV of the labor agreement with Council 6. ← appeal rights

Sincerely,

Supervisor

cc: Personnel File
Council 6

DISCHARGE

May 2, 1985

Employee
Home Address

Effective 4:40 pm October 3, 1985, you will be terminated for excessive absenteeism. This action is the culmination of several unsuccessful attempts to modify your job behavior including:

← level of discipline

September 19 - ten day suspension for unauthorized absence
August 3 - three day suspension for unauthorized absence
July 23, July 17, July 5 - docked for unauthorized absence
June 17 - written reprimand for unauthorized absence
June 3 - verbal reprimand for unauthorized absence
May 25 - counselling session and memo of concern regarding leave usage
May 10 - counselling session regarding leave usage

← reason for discipline

← past warnings / discipline

You have worked for the state three years and have no sick leave balance. You have been unable to provide an acceptable doctor's statement justifying your absences. You have been unwilling to accept a referral to the Employee Assistance Program. Your coworkers have been forced to perform a large proportion of your job duties. I will no longer tolerate this situation.

← reasons for discipline

Under the terms of your collective bargaining agreement you and your union representative may schedule a meeting tomorrow to hear the charges against you and present your explanation. I will reserve the time from 10 - 11:00 am to meet with you if you exercise this right.

← employee rights

This action may be appealed pursuant to Article 8 of the labor agreement with MAPE.

Sincerely,

Supervisor

cc: Personnel File
MAPE

GLOSSARY OF LABOR RELATIONS TERMS

1. Arbitration Award - the decision of the neutral arbitrator, (third party representing neither the exclusive representative nor the employer) on a grievance dispute or negotiations impasse.

2. Bargaining Unit - the entire group of employees represented by the exclusive representative (union), including both members and non-members.

3. Bureau of Mediation Services (BMS) - the State neutral administrative agency which performs unit determinations, conducts elections for employee representation, and mediates contracts when negotiations have broken down.

4. Business Agent - a paid employee of the exclusive representative who represents employees in grievances, arbitration, and in negotiating new contracts with the employer.

5. Certification - formal designation by a government agency of the employee organization selected by the majority of the employees in a supervised election to act as exclusive representative for all employees in the bargaining unit.

6. Collective Bargaining - the continuous business/institutional relationship between the exclusive representative and the employer over the administration, negotiation and interpretation of a written contract covering wages, hours, fringe benefits, and other terms of employment.

7. Confidential Employee - an employee who has access to information subject to use by the employer in collective bargaining and/or actively participates in collective bargaining on behalf of the employer.

8. Continuing Grievance - a dispute as to the interpretation/application of the specific terms of the contract which is repetitious over a period of time since it first started (for example, if an employee is receiving an incorrect hourly rate of pay, it will continue on each subsequent check until corrected).

9. Contract Administration - the process by which the terms of the contract are implemented, interpreted, applied, or enforced.

10. Corrective Discipline ("progressive discipline") - is the method of using increasingly more severe forms of discipline (oral, written, suspension) to correct the employee's misconduct.

11. Decertification - withdrawal by a government agency of an exclusive representative's official recognition as the employees' representative by virtue of an election or an agency order.

12. Due Process - the opportunity for employees to be heard and to receive a fair hearing by a neutral individual.

13. Essential Employees - employees in the law enforcement, correctional guards, nurses, professional engineers and supervisors bargaining units. These employees, by law, cannot strike, but rather may utilize binding interest arbitration.

14. Exclusive Representative - an employee organization which has been certified by the Bureau of Mediation Services to meet and negotiate with the employer on behalf of all employees in the bargaining unit.

15. Exclusivity - the concept that the exclusive representative alone has the right by law to represent the employees concerning their terms and conditions of employment. Attempts by supervisors to meet and discuss terms and conditions contained in the contract with employees without the exclusive representative can result in unfair labor practices and violate the contract.

16. Fair Share - the right of an exclusive representative to require employees who are not members of the exclusive representative to contribute a fee for services rendered by the exclusive representative. The fee must be equal to the regular membership dues less the cost of benefits available only to members of the exclusive representative.

17. Final Offer Arbitration - a form of interest arbitration in which the arbitrator must select the position of either the employer or the exclusive representation.

18. Grievance - a dispute or disagreement as to the interpretation or application of any term or terms of the collectively bargained contract between the employer and the exclusive representative.

19. Impasse - point at which negotiations and mediation have broken down, and the exclusive representative and the employer are deadlocked on remaining issues to settle a new contract.

20. Interest Arbitration - the submission to a third party neutral of issues concerning terms and conditions of employment left unresolved after bargaining to impasse to form a new or successor contract.

21. Just Cause - the minimum standard for taking disciplinary action against non-probationary classified employees covered by a labor contract.

22. Local (chapter) - an organizational unit of the exclusive representative which elects its own officers and stewards (representatives).

23. Management Rights - rights reserved to management, which may be expressly noted as such in a collective bargaining agreement. Management prerogatives usually include, but are not limited to, the right to schedule work, to determine the number of employees, define the organization relationships, select employees, and assign duties.

24. Mediation - the process whereby a mediator assists both the exclusive representative and the employer in trying to reach a contract settlement once negotiations have broken down.

25. Meet and Confer - the exchange of views and concerns between employers and employees.

26. Meet and Negotiate - process by which representatives of employees and employer meet for the purpose of reaching agreement on wages, hours, terms and conditions of employment for employees in a particular bargaining unit.

27. Non-Essential Employees - employees not classified as essential, by law, who have a right to strike over new contract terms.

28. No-Fault Settlement - a mutually agreed-to resolution to a grievance wherein neither the exclusive representative, the employee, nor the employer admit wrongful action, and agree to terms disposing the problem in the best interest of all concerned.

29. Past Practice - is a reasonably uniform response to a recurring situation over a substantial period of time which has been recognized by the parties implicitly or explicitly as the proper response.

30. Public Employment Labor Relations Act (PELRA) - the statute governing collective bargaining in the public sector in Minnesota.

31. Recognition - official designation by BMS that an employee organization is the certified representative for a group of employees for the purpose of collective bargaining.

32. Rights (grievance) Arbitration - the submission of an unresolved grievance (issue involving existing contract language) to the arbitrator for binding determination of the issue.

33. Rule of Reasonableness - the theory that there are implied standards of fairness, objectivity, and constraints imposed on management not to be unreasonable by acting arbitrarily, capriciously or discriminatorily.

34. Steward (association representative) - the elected or appointed representative of the local or chapter who confers with the employer, transmits messages of the exclusive representative, and presents grievances to the supervisor.

STATE DEPARTMENT OF ADMINISTRATION
POLICY REGARDING SEXUAL HARASSMENT

The Minnesota State Department of Administration believes that sexual harassment has no place in the work environment. Additionally, under federal and state law, sexual harassment of employees is illegal. Therefore, it is against Department policy for any employee or other person to subject another employee or other person to sexual harassment. Any acts of sexual harassment should be immediately reported. After investigation, appropriate disciplinary action, up to and including termination, will be instituted against anyone found to have violated this policy.

1. Acts of sexual harassment, which are prohibited by this policy, include but are not limited to: unwelcome sexual advances; requests, demands, or subtle pressure for sexual favors or sexual activity of another employee; and other verbal or physical conduct of a sexual nature (e.g., lewd comments or gestures; unwanted, intentional physical contact of a sexual nature, and subjecting fellow employees to written or pictorial materials of a sexual nature) when:

   (a) Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;.

   (b) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual;

   (c) such conduct is offered in order to receive special treatment or in exchange for or in consideration of any personnel action;

   (d) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

2. Retaliation against any employee for refusing a sexual advance, for refusing a request, demand, or subtle pressure for sexual favors or activity, or for reporting an incident of possible sexual harassment to the Personnel Department is also prohibited.

Sexual harassment is strictly prohibited. If anyone engages in any such conduct, let the offending person know immediately and firmly that you find the conduct offensive, and report the matter to your supervisor, the Department's Affirmative Action, a Union steward, your Division Director, or the Personnel Director. The Personnel Division will make a complete investigation, and appropriate disciplinary action will be taken.

PROCEDURES

RESPONSIBILITIES

Managers and Supervisors

1. Take all steps necessary to prevent harassment from occurring, such as affirmatively raising the subject, expressing strong disapproval, informing employees of their rights to raise the issue of harassment and to make it known that disciplinary action will be taken against employees who engage in any form of harassment of other employees.

2. Contact the Department of Administration Affirmative Action Officer immediately when they become aware of a harassment complaint.

3. Fully investigate complaints of harassment in conjunction with the Affirmative Action Officer and Personnel Director.

4. Maintain a file or written documentation regarding complaints.

5. Prohibit retaliation by others against any employee who files a harassment complaint.

6. Review, as necessary, with subordinates, the Department of Administration Harassment Guidelines.

The Harassed Employee

1. Immediately inform the person causing the harassment that their behavior is objectionable and ask that it cease.

2. If the harassment does not cease, report it to your Supervisor or Division Director.

3. Maintain a written record of the instances of harassment and the names of any witnesses.

4. If, after taking the complaint to an immediate Supervisor or Division Director, the harassment continues, contact the Department of Administration Affirmative Action Officer.

NOTE: Employees have the right to report a harassment complaint directly to the Affirmative Action Officer in circumstances where they feel uncomfortable reporting it to their immediate Supervisor or the Division Director. However, if at all possible, it is advised to go directly through the chain of supervision.

This procedure does not replace the right of any employee to file a formal complaint with the Department of Human Rights.

WHAT IS SEXUAL HARASSMENT?

Any behavior of co-workers or supervisors which is unwelcome, personally offensive, insulting and demeaning when:

- Submission to such conduct is explicitly or implicitly made a term or condition of an individual's employment.

- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual.

- Such conduct has the purpose or effect of unreasonably interfering with an individual's performance or creating an intimidating, hostile, or offensive working environment.

EFFECTS OF SEXUAL HARASSMENT

Creates stress.

Cuts productivity.

Violates employee rights.

LEVELS OF SERIOUSNESS

There are clearly two levels of seriousness in harassment violations:

- Those which are annoying and should be corrected early and firmly and;

- Those where people offer or threaten to use the power of their position to control, influence, or affect the career, salary, or job of another person if the harassment is challenged.

TYPES OF SEXUAL HARASSMENT

- Unwanted sexual compliments, looks, innuendos or suggestions about one's clothing, body or sexual activity.

- Unwanted, unnecessary touching, brushing against one's body patting or pinching.

- Demanding sexual favors accompanied by implied or overt threats concerning conditions or employment.

- Displaying pictures or objects depicting nude or scantily-clad women or men in work areas.

- Use of language implying inferiority of an employee based on sex as "girl" or "boy", rather than "woman" or "man".

RETALIATION OR REPRISAL

Actions or threats of action, implied or overt, to inaccurately appraise performance, or deny transfers, if the employee complains about harassment.

WHAT TO DO:

Step 1 -

If you are able, clearly explain to the person causing the harassment that the behavior is objectionable and ask that it cease. Do so as soon as it happens.

Step 2 -

If behavior does not stop, advise immediate supervisor unless supervisor is causing the harassment.

Step 3 -

Use the internal complain procedure in the Affirmative Action Plan.

Step 4 -

This procedure does not replace the right of any employee to file a formal complaint with the Minnesota Deparment of Human Rights (you have 300 days from the occurrence of the harassment to file a charge).

WHO IS RESPONSIBLE?

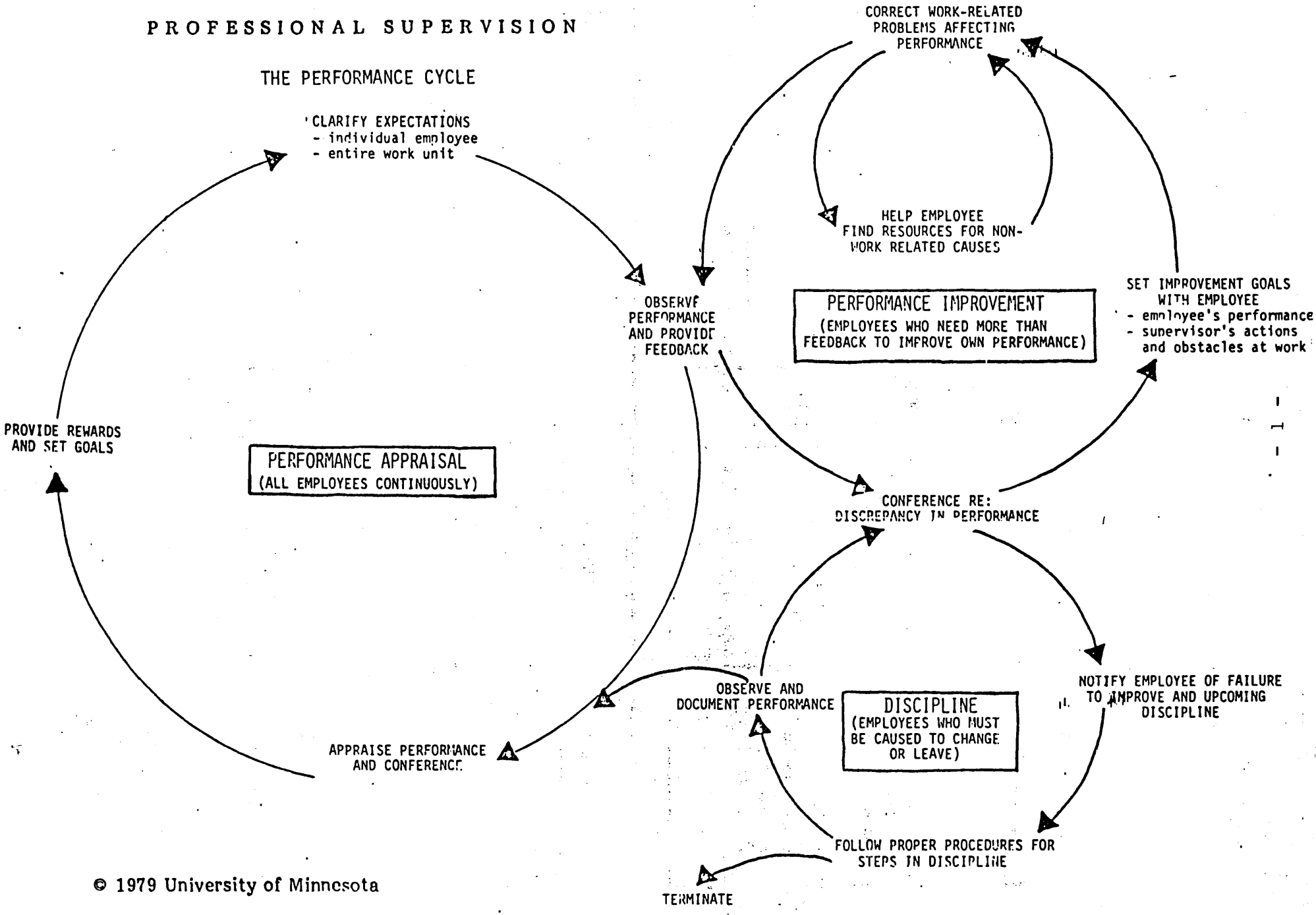
An employer is responsible for acts of sexual harassment in the workplace where the employer, its agents, or supervisory employees knows or should have known of the acts.

MANAGEMENT RESPONSIBILITY:

1. Affirmatively raising the subject.
2. Expressing strong disapproval.
3. Informing employees of their rights.
4. Develop methods that will sensitize all concerned.
5. Remind employees of Administration's policy statement in regard to sexual harassment.
6. Inform employees of the avenues for seeking redress.
7. Make employees aware that appropriate action will be taken against employees violating the policy.

PROFESSIONAL SUPERVISION

THE PERFORMANCE CYCLE



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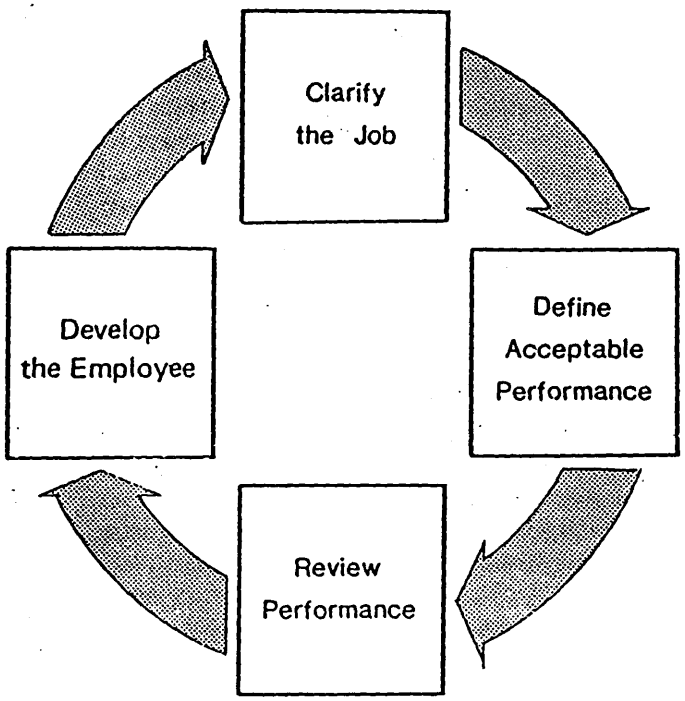
THE PERFORMANCE APPRAISAL CYCLE

So far we have looked at the performance appraisal process from a theoretical point of view. We have described its roles and functions in general terms as they relate to all organizations. But what about your organization? What does performance appraisal mean for the State of Minnesota, your agency, office or institution, your work unit? What does it mean for you and the employees you supervise?

We have translated the principles of effective performance appraisal into a continuous ongoing process called the **performance appraisal cycle.** It consists of four interrelated steps, shown in the following diagram:



STEP 1. Clarify the Job

The first step in the performance appraisal cycle is designed to help you and each employee in your work unit define in specific terms the roles, responsibilities and working relationships of his or her position in the organization. What is the purpose of the job? What are the employee's major responsibilities? What authority has the employee been granted to carry them out? Who does the employee report to and/or supervise? Who is directly affected by the employee's work? What knowledge, skills and abilities must the employee have to effectively do the job? These are some of the essential questions that must be answered to determine what the employee's job is all about. The answers to these questions are summarized in a position description.

STEP 2. Define Acceptable Performance

What does it mean to successfully carry out one's responsibilities? How does the employee know that he or she is doing a good job? These are the questions answered in the second step of the performance appraisal cycle. To define acceptable performance is to specify what the employee should accomplish during the appraisal period in each area of responsibility and to set the standards by which the accomplishments can be measured and evaluated. Written managerial objectives, performance indicators and standards of performance are used to summarize the employee's intended accomplishments during the appraisal period.

STEP 3. Review Performance

One of your most important tasks as a supervisor is to constantly review and evaluate the performance of your work unit, and continually look for ways to improve it. Most of the time you do this through frequent, informal, on the job contacts with your employees. At least once a year you meet formally with the members of your staff to review and evaluate their individual accomplishments during the year. This process enables you and your employees to see where their performance was strong and where it might have been stronger; to identify factors that may have affected their performance during the year; to make necessary changes in their job responsibilities and goals and to look for ways to improve their performance in the future. The formal face-to-face meeting, or **appraisal interview,** is intended to help you and each of your employees summarize the important elements in this step of the appraisal process. Formal semi-annual or quarterly reviews may also be desirable. Regardless of frequency, yearly, semi-annual, quarterly, etc., the formal review should not provide any surprises. The key to preventing surprises in the formal review is frequent informal reviews.

STEP 4. Develop the Employee

Reviewing past performance is worthwhile only if it is directed toward improving future performance. It is impossible to change past performance. Focusing on it can only lead to hostility and defensiveness. But the past can serve as a guide for planning for the future. The final step of the performance appraisal cycle is designed to help you and your employees identify specific needs for growth and improvement in their work; assign priorities to those needs; select specific activities to meet the most important needs; and evaluate the results after the activities have been completed.

PERFORMANCE APPRAISAL REMINDERS

At least once a year, you must set aside time to formally meet face-to-face with each of your employees to appraise individual performance. This formal process consists of four steps:

STEP ONE - PREPARE FOR THE INTERVIEW

Scheduling the Interview

- At least 2 weeks in advance, schedule a minimum of 1 hour in a place that is private, and you won't be interrupted.
- Keep the appointment.

The Employee's Role

- The employee should review the job description and write down accomplishments and results achieved for each responsibility.
- The employee should note changes needed in the job description.
- These notes should be forwarded to the supervisor and reviewed prior to the formal review meeting.

The Supervisor's Role

- Review employee's notes, and your records of accomplishments. Compare these with established performance indicators or objectives.
- Consider the importance of the performance objective; the relationship between quality and quantity of work, and time needed to get it done; and any circumstances beyond the control of the employee which affected performance.
- Prepare a draft evaluation to use in discussion with the employee. You have the final authority in evaluating performance, but you are wise to discuss and get input from the employee on this.
- Review the employee's performance with your supervisor. Discuss growth potential, future organizational changes which may affect responsibilities and relationships.

STEP TWO - GATHER DATA AND DISCUSS WITH EMPLOYEE

- Explain the purpose of the interview. Assure the employee that the emphasis on improving future performance.
- Together with the employee, analyze and discuss employee's performance, comparing actual results achieved with the previously established standards.
- Be an active listener. Encourage employee to contribute his or her viewpoints and comments; explain the reason for your evaluations and observations; try to resolve differences of opinion.
- There should be no surprises and no significant differences of opinion. The interview should be a summary of what you and the employee know has been happening all along.
- Review training or other developmental activities the employee completed during the appraisal period. Identify growth and development needs for the upcoming appraisal period.

(over)

STEP THREE - EVALUATE PERFORMANCE

- This can be done as a second part of the previous step/meeting, or sometime later, after you have had time to reflect on the discussion.
- Identify past performance problems and comment on any improvements made during the appraisal period.
- Assess the employee's present job responsibilities and performance indicators or objectives, and if necessary, redefine them for the next appraisal period. (You should rewrite the job description if significant changes have occurred, or if three years have lapsed since it was written.)
- Emphasize strengths on which the employee can build or use more effectively.
- Criticism should be expressed tactfully but should not be omitted, because it may "hurt" feelings. Most employees want to know where their performance could be improved.
- Be careful not to compare the employee with other employees. It is better to compare the employee's accomplishments with his or her potential.
- Make sure you evaluate the employee's work and not the employee's worth. Improvement is the goal of the interview.
- Identify specific ways in which the employee can improve his or her performance during the next appraisal period.

STEP FOUR - SUMMARIZE THE PERFORMANCE REVIEW

- The written information you record becomes part of the employee's personnel file. It may be used in decisions concerning advancement, future training needs, salary adjustments and contested disciplinary actions.
- You may use a Performance Review form, a narrative format or both. A narrative should summarize what was covered in the interview, including an assessment of accomplishments and results achieved in each responsibility or objective, and specific ways to improve performance.
- Include additional comments or concerns not covered in the job description, e.g., unique contributions, special assignments, work habits, etc.
- Rate the overall performance level of the employee (outstanding, superior, satisfactory, adequate, or unsatisfactory *).
- Address growth potential and development needs of the employee.
- Form and narrative must be signed by the supervisor and the employee, indicating he or she has reviewed and received a copy of the evaluation.

  * If performance is unsatisfactory, and salary increase is to be withheld or deferred, notify the employee in writing prior to to effective date, with a copy to Personnel Services.

For more information on performance appraisal, consider taking or retaking the Department of Employee Relations' course called "Managing Employee Performance". See quarterly training schedule for dates offered.

State of Minnesota

PERFORMANCE REVIEW

PE-00072-01 (3-78)

This information may be used in decisions concerning advancement, reassignment, future training needs, performance related salary adjustments, and as evidence in contested disciplinary actions. The employee may legally refuse to provide the information, but failure to do so may affect any of the above decisions.

EMPLOYEE'S NAME		AGENCY/DIVISION
CLASSIFICATION TITLE	WORKING TITLE (if different)	POSITION CONTROL NUMBER
APPRAISAL PERIOD to	DATE PERFORMANCE INDICATORS ESTABLISHED	DATE REVIEWED WITH EMPLOYEE

A. EVALUATION OF RESPONSIBILITIES identified in the employee's position description. For each responsibility check the appropriate level of performance in terms of three primary factors: quantity, quality and time. If a factor is inappropriate for measuring the employee's performance of a given responsibility, cross out that factor. There is also room to add a factor that may be more appropriate than the three listed. Use the COMMENTS section to support and/or qualify your evaluation. Comment (justification) must be given when either "Below Standards" or "Greatly Exceeds Standards" is used.

RESP. NO.	PRIORITY	% OF TIME	EVALUATION FACTORS	LEVELS OF PERFORMANCE: Below Standards	Minimally Meets Standards	Fully Meets Standards	Exceeds Standards	Greatly Exceeds Standards	COMMENTS
See Position Desc.									
1			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	
2			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	
3			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	
4			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	
5			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	
6			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	
7			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	
8			QUANTITY QUALITY TIME	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	( ) ( ) ( ) ( )	

B. ADDITIONAL COMMENTS AND CONCERNS to be considered in the performance review. Add anything that is relevant to the employee's performance not included in Section A.

PERFORMANCE APPRAISAL INTERVIEW

BEHAVIOR OBSERVATION WORKSHEET

1. Did the Supervisor set the climate well? How?

2. Describe the Supervisor's degree of openess, responsiveness and firmness.

3. Was the Supervisor clear and direct? How?

4. Describe how the Supervisor approached the following:

   TASK (what the results were);

   PEOPLE (Discuss methods that got the results, attitudes, etc.)

5. Did the subordinate contribute actively? If no, why not?

6. Were new goals and objectives established?

7. Were strengths and weaknesses discussed?

8. Were future developmental neeeds identified?

9. Were agreements made including how the supervisor would help and was a commitment given in writing?

10. Do you think this subordinate would leave feeling motivated or defeated?

III. Implementation of a Performance Appraisal System Based on Performance Standards and Target Objectives

A. Clarification Phase: insure that all items in IIA. through IIK. have been carried out (for a new system) or examined and revised (for an ongoing system).
   1. Conduct individual conferences with each subordinate to clarify expectations and to clarify the workings of the performance appraisal system
   2. Assure an appropriate focus on two aspects of clarification
      a. the tasks and responsibilities of both parties
      b. the supervisory relationship, interpersonal issues, and effective communication

B. Observation Phase: assure that accurate, descriptive observation is being conducted and recorded appropriately by the superior, subordinate and others.
   1. Secure and provide instruction and guidance in the skill of behavior observation and description.
   2. Monitor subordinates' own observations for completeness and accuracy.
   3. Provide frequent descriptive feedback on actions and their consequences (positive and negative)
   4. Cause subordinate to interpret own actions and their consequences.

C. Assessment Phase: assure that interpretation of performance and results is withheld until a significant body of purely descriptive information has been observed and recorded.
   1. Assessment should be carried out by the subordinate and superior simultaneously (and by peers if appropriate)
   2. Assessment should be the result of comparing real performance and results with the expectations, standards, and results laid out at the beginning of the performance period.
   3. Performance (good or bad) not covered by standards or goals does not count.

D. Evaluation Phase: cause the subordinate to enter into a proactive discussion of performance-against-standards and results-against-targets.
   1. Place maximum possible responsibility on the subordinate for planning and carrying out the conference.
   2. Superior serves as validator of the subordinate's presentation
   3. There should be no surprises to either person regarding performance, results, or anticipated ratings.

E. Goal Setting and Planning Phase: assure that the standards and expectations governing the ensuing performance period are explicated.
   1. Time may be needed between the conference and this activity to allow for maximum input from subordinate.
   2. Extensive improvement or revision in performance areas may require returning to the issues described earlier in this process.

HOW'M I DOIN'?

DO MY ABILITIES MATCH MY JOB?

WHERE DO I WANT TO GO FROM HERE?

DOES MY PRESENT JOB PROVIDE OPPORTUNITIES TO REACH MY GOAL?

WHAT WOULD INCREASE MY ENJOYMENT OF THE WORK?

DID I ACCOMPLISH AS MUCH AS I COULD HAVE LAST YEAR?

WHAT COULD BE DONE TO INCREASE MY ACCOMPLISHMENTS ON THE JOB?

WHAT TRAINING WOULD I LIKE TO RECEIVE?

THE "JUST CAUSE" REQUIREMENT

Managers and supervisors must have "just cause" for disciplining permanent employees. The following criteria are relevant in determining the existence of just cause:

1. Did the employee have knowledge and understanding of the rule or standard and was the employee adequately forewarned of the consequences of his/her conduct? Severe instances, such as stealing, do not require prior warning since employees are expected to understand such offense will result in discipline.

2. Was the violated rule or order reasonably related to orderly, efficient and/or safe operations of the department, or to performance that the supervisor could properly expect of the employee?

3. Did the supervisor investigate before administering discipline, and was the investigation fair and objective? The supervisor must attempt to discover the facts, talk with others involved in the incident, and should give the employee the opportunity to explain his/her side of the incident, including any mitigating circumstances.

4. Did the investigation produce evidence or proof that the employee acted contrary to the department's rules or standards? Based on the facts he/she has gathered, is the supervisor more convinced than not that the employee was guilty of the alleged misconduct?

5. Have the rules, standards, and resulting discipline been applied evenhandedly to other employees in the past, without discrimination? Employees must be judged by the same standards and the rules must be applied equally to all employees. Enforcement must be internally consistent to afford equal treatment.

6. Was the level of discipline given out reasonable in relation to the seriousness of the offense? The supervisor may not impose more severe discipline than the offense reasonably merits. In deciding the appropriate level of discipline, the supervisor may consider such things as (a) the seriousness of the offense; (b) employee's past record and length of service; (c) the amount of elapsed time since any previous discipline; (d) The department's previous history of treating similar cases.

DISCIPLINARY LETTER INCLUDES:

- LEVEL OF DISCIPLINE
- REASON(S) FOR DISCIPLINE
- PAST WARNINGS/DISCIPLINE
- CORRECTIVE ACTION REQUIRED
- CONSEQUENCES OF NO IMPROVEMENT
- EMPLOYEE'S APPEAL RIGHTS

35. Strike - concerted action in failing to report for duty, the willful absence from one's position, the stoppage of work, slowdown, or the abstinence in while or in part from the full, faithful, and proper performance of the duties of employment for the purposes of inducing, influencing, or coercing a change in the conditions or compensation or the rights, privileges, or obligations of employment.

36. Supervisor - an employee who has the authority to undertake a majority of the following functions in the interest of the employer: (1) hire; (2) transfer; (3) suspend; (4) promote; (5) discharge; (6) assign; (7) reward; (8) discipline of other employees; (9) direct the work of other employees; and (10) adjust of other employees' grievances on behalf of the employer.

37. Terms and Conditions of Employment - hours of employment, the compensation therefore including fringe benefits except retirement contributions or benefits, and the employer's personnel policies affecting the working conditions of the employees. (The employer is required to bargain over the grievance procedure.)

38. Unfair Labor Practice - actions of the employer or an exclusive representative that are violations of State statute. Such actions include restraining or coercing employees in the exercise of their legal rights and refusing to meet and negotiate in good faith.

39. Unit Determination - the definition of an appropriate group of employees for bargaining.

DISCIPLINE

A. Philosophy of Discipline

Discipline should not be considered a form of punishment per se, but a mechanism to instruct or teach an employee whose conduct has varied from what is desirable. The undesirable conduct may be, but is not limited to:

a. misconduct
b. inadequate work performance
c. work rule or policy violations
d. absenteeism

B. Progressive Discipline

1. Progressive Discipline is a series of steps or levels of discipline taken when undesirable conduct occurs which increase in severity when the undesirable conduct is repeated.
2. The steps or levels of discipline are:

- informal: Counseling or retraining.
- oral reprimand: An official notice of deficiency that does not go in the personnel file. The employee should be made aware that failure to comply could result in further, more severe discipline. The supervisor could keep a record of the oral reprimand in his/her supervisor file.
- written reprimand: Is issued when undesirable conduct recurs, the employee receives a copy and it is also placed in the personnel file.
- suspension: A specific period of time off of the payroll -- usually "one last chance" given to the employee emphasizing the seriousness of the situation.
- demotion: Involves placing an employee in a lower classification at a lower rate of pay. It generally applies to poor work performance where there is hope that an employee could function at a lower level job.
- discharge: The final penalty after all other other methods to salvage the employee have been unsuccessful or the employee's conduct is a major violation.

3. Mitigating circumstances be considered in determining the level of discipline.
4. Any discipline must meet the test for Just Cause.

CORRECTIVE DISCIPLINE

- INFORMAL PROCESS
- ORAL REPRIMAND
- WRITTEN REPRIMAND
- SUSPENSION
- DEMOTION
- DISCHARGE

EMPLOYEE ATTENDANCE RECORD

ABSENCE CODE >>>	Code		Code		Code		Code	
	1	Personal Illness	4	Military Res. Trg.	7	Union Leave	10	Other Unpd Lv
	2	Family Illness	5	Jury Duty	8	Disciplinary Leave	11	Tardy
	3	Bereavement	6	Annual Leave	9	Medical LOA		

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	TOTALS: Casual	Other	Total
JAN	Hours																																		
	Code																																		
FEB	Hours																																		
	Code																																		
MAR	Hours																																		
	Code																																		
APR	Hours																																		
	Code																																		
MAY	Hours																																		
	Code																																		
JUN	Hours																																		
	Code																																		
JUL	Hours																																		
	Code																																		
AUG	Hours																																		
	Code																																		
SEP	Hours																																		
	Code																																		
OCT	Hours																																		
	Code																																		
NOV	Hours																																		
	Code																																		
DEC	Hours																																		
	Code																																		

ANNUAL TOTALS >>>

EMPLOYEE NO.	EMPLOYEE NAME	EMPLOYMENT DATE	TRANSFER DATE (IN)	TRANSFER DATE (OUT)	TERMINATION DATE	YEAR

Adm. 1022A
Revised 11/6f

TIME AND LEAVE RECORD

Vacation _____ Hrs.

Name _____

Sick Leave _____ Hrs.

S. S. No. _____

Balances Brought Forward Through

S/L Reserve _____ Hrs.

Payroll Period Ending _____

Entry Date _____

Overtime _____ Hrs.

Yr. Pay Period From To		WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	VACATION E	VACATION T	VACATION Bal.	SICK LEAVE E	SICK LEAVE T	SICK LEAVE Bal.	SICK LEAVE Res.	OVERTIME E	OVERTIME T	OVERTIME Pd.	OVERTIME Bal.
06-22-88	R													H												
07-05-88	O																									
07-06-88	R																									
07-19-88	O																									
07-20-88	R																									
08-02-88	O																									
08-03-88	R																									
08-16-88	O																									
08-17-88	R																									+ 15 +
08-30-88	O																									
08-31-88	R						H																			
09-13-88	O																									
09-14-88	R																									
09-27-88	O																									
09-28-88	R																									
10-11-88	O																									
10-12-88	R																									
10-25-88	O																									
10-26-88	R																									
11-08-88	O																									
11-09-88	R			H																						
11-22-88	O																									
11-23-88	R		H	H																						
12-06-88	O																									
12-07-88	R																									
12-20-88																										

Yr. Pay Period From To		WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	VACATION			SICK LEAVE				OVERTIME			
																E	T	Bal.	E	T	Bal.	Res.	E	T	Pd.	Bal.
12-21-88	R						H							H												
01-03-89	O																									
01-04-89	R													H												
01-17-89	O																									
01-18-89	R																									
01-31-89	O																									
02-01-89	R																									
02-14-89	O																									
02-15-89	R						H																			
02-28-89	O																									
03-01-89	R																									
03-14-89	O																									
03-15-89	R																									
03-28-89	O																									
03-29-89	R																									
04-11-89	O																									
04-12-89	R																									
04-25-89	O																									
04-26-89	R																									
05-09-89	O																									
05-10-89	R																									
05-23-89	O																									
05-24-89	R						H																			
06-06-89	O																									
06-07-89	R																									
06-20-89	O																									

CODE: V - Vacation
S - Sick Leave
OE - Overtime Earned
OT - Overtime Taken
E - Earned
T - Taken
Res. - Reserve
Pd. - Paid

NOTES: EMPLOYEE ATTENDANCE RECORD

Use to record comments, explanatory notes, and other such information relating to absences recorded on the reverse of this form. Include information concerning counseling and other corrective actions relating to the employee's absences.

Date of entry	Date(s) of absence	Comments/Notes