

PERSONNEL MANAGEMENT REVIEW



**Commonwealth of Pennsylvania
Governor's Office of Administration**




M505.2 Amended

Commonwealth of Pennsylvania

GOVERNOR'S OFFICE

MANUAL

Subject: Personnel Management Review		Number: M505.2 Amended
Date: July 9, 1997	Distribution: Special	By Direction of:  Thomas G. Paese, Secretary of Administration

This manual provides agencies with many of the procedures and standards used by the Office of Administration for evaluating agency personnel programs when conducting personnel management reviews. The standards listed in this manual should

- be used as a guide by agency and field personnel officers to establish an internal process to assess program strengths and weaknesses, develop personnel management expectations, and correct deficiencies.

This amendment contains updated procedures and standards for evaluating the following personnel management programs:

- Personnel Management and Communication.
- Recruitment and Placement.
- Equal Employment Opportunity.
- Employee Relations.
- Attendance Management.
- Benefits and Services.
- Position Classification.
- Employee Performance Reviews.
- Training and Staff Development.
- Personnel Transactions and Records.

- Work Force Analysis.
- Employee Safety.
- State Employee Assistance Program and Drug and Alcohol Programs.
- Furloughs.

As an addition, the manual incorporates as Appendix E, an agency self-assessment check-off form, entitled Self-Assessment of Agency Personnel Management Programs. It has been developed to assist agencies in conducting a self-evaluation of their personnel programs to determine strengths and weaknesses. The self-assessment should be used in conjunction with the PMR Manual as a guide toward identifying and correcting areas of personnel programs that are deficient.

All revisions to this manual will be issued through the Directives Management System. Suggested changes to the manual should be sent to the Office of Administration, Personnel Management Review Division.

Changes in distribution requirements, names or addresses, or requests for copies of this manual should be directed to the Directives Management System, 783-5055.

This manual supersedes Manual M505.2 dated October 20, 1989.

PREFACE

The term *personnel management* is used throughout this manual. *Personnel management* is defined as attracting, developing, utilizing, and retaining people with the knowledge, skills, abilities, and attitudes necessary to accomplish an agency's mission. In order to attract, develop, utilize, and retain people, three major levels of responsibility are found in varying degrees in any organization.

The first level of responsibility is top management. A top manager has the responsibility for decision-making and policy-setting, for effectively utilizing employees, and for determining or influencing the program that the organization will carry out.

The second level of responsibility is the supervisor. The supervisor carries out the people-to-people relations that directly affect employees in carrying out their assignments. As a link between employees and top management, the supervisor is responsible for:

- Using the work force efficiently and effectively by defining assignments, training staff, establishing performance standards, and measuring performance.
- Motivating employees to produce their fullest potential by assigning meaningful work projects, practicing effective leadership, and providing recognition for achievement.
- Working with individual employees, and with organized groups that represent employees, in a fair and equitable manner.

The third level of responsibility is the personnel officer. The personnel officer assists both top managers and supervisors in carrying out their responsibilities toward managing human resources. The personnel officer has responsibility for:

- Advising managers on how the Commonwealth personnel system may best be used to accomplish agency goals and objectives.
- Initiating and carrying out personnel management programs aimed at assuring that there is an effective selection, development, and utilization of personnel resources.
- Evaluating the effectiveness of personnel management and the use of resources at all levels in the agency.

This three-way division of the total personnel management concept is fundamental to the review process. In identifying problems in the management of people in an organization and in developing practical and effective solutions to these problems, the role of each level must be analyzed and evaluated.

Personnel Management Review.

The Personnel Management Review (PMR) program was formally established in 1973 to accomplish the following five objectives through an on-site fact-finding process:

- To review agency personnel management programs, to determine program strengths and weaknesses, and to make recommendations for improvement, where required.

- To motivate and assist agency managers in improving personnel management (i.e., the way they recruit, develop, and utilize employees to reach objectives).
- To obtain and provide feedback to the Deputy Secretary for Employee Relations, Office of Administration, concerning statewide personnel practices.
- To determine if agencies are meeting their personnel administration and personnel management responsibilities within the framework of *Management Directive 505.7*, *Personnel Rules*, the merit system, Directives Management System, collective bargaining agreements, and applicable laws and regulations.
- To determine if agencies are complying with provisions established by the Governor's Policy Office.

This manual provides an explanation of the procedures and standards used by the Office of Administration as a guide when conducting agency personnel management reviews. The manual can be adapted by agency personnel offices to develop personnel management objectives and for assessing program strengths and weaknesses.

The term agency is used throughout this manual. It can be interpreted to reflect the complex organization of a central agency or the limited organization of a field activity. The principles applied differ only by the degree in which the review process is conducted.

TABLE OF CONTENTS

PREFACE	i
PART ONE – PLANNING THE REVIEW	1
PART TWO – ON-SITE REVIEW ACTIVITIES	4
PART THREE – REPORTING THE REVIEW	9
PART FOUR – FOLLOW-UP TO THE REVIEW	11
PART FIVE – PERSONNEL PROGRAM ELEMENTS, PROCEDURES, AND STANDARDS	12
A. PERSONNEL MANAGEMENT AND COMMUNICATION	13
B. RECRUITMENT AND PLACEMENT	20
C. EQUAL EMPLOYMENT OPPORTUNITY	30 ●
D. EMPLOYE RELATIONS	40
E. ATTENDANCE MANAGEMENT	48 ●
F. BENEFITS AND SERVICES	54
G. POSITION CLASSIFICATION	63
H. EMPLOYE PERFORMANCE REVIEWS	70 ●
I. TRAINING AND STAFF DEVELOPMENT	75
J. PERSONNEL TRANSACTIONS AND RECORDS	87
K. WORK FORCE ANALYSIS	91
L. EMPLOYE SAFETY	96
M. SEAP AND DRUG AND ALCOHOL PROGRAMS	103 ●
N. FURLOUGHS	110
PART SIX – APPENDICES	113
APPENDIX A – PERSONNEL RECORDS LISTING	115
APPENDIX B – EMPLOYE NOTIFICATION OF PMR QUESTIONNAIRE	117
– PERSONNEL MANAGEMENT REVIEW CONFIDENTIAL QUESTIONNAIRE	119
APPENDIX C – AGENCY HEAD NOTIFICATION MEMORANDUM	125
APPENDIX D – PERSONNEL OFFICER NOTIFICATION OF INTERVIEW SCHEDULE	126
APPENDIX E – SELF-ASSESSMENT OF AGENCY PERSONNEL MANAGEMENT PROGRAMS	127 ●

PART ONE

PLANNING THE REVIEW

A personnel management review is conducted by a team of analysts who are trained to assess the effectiveness of the administration of an agency's personnel management programs. Each review team consists of a team leader and several analysts, depending on the size and complexity of the agency being reviewed. Proper planning is basic to the success of every personnel management review. The team leader is largely responsible during this phase of the review process to ensure that effective working relationships are established with the various levels of management in the agency. To enhance the quality of a personnel management review, certain procedures should be followed:

1. Initial Meeting With Agency Head, Personnel Officer, and Review Team Leader.

The personnel office of the agency to be reviewed is contacted by the team leader to schedule a meeting with the personnel officer and agency head or designee. The initial meeting enables the team leader to establish a working relationship with the agency and to discuss the scope and purpose of the review, including the anticipated number of days on-site, date, composition of review team, work space requirements, and the programs to be reviewed.

In addition, supportive materials, listed below, should be requested:

- Objectives for the personnel office.
- Performance expectations/standards for personnel office staff. •
- Organization charts.
- Agency policy and functional statements. •
- Personnel procedures, manuals, and employe handbooks. •
- Equal Employment Opportunity (EEO) plans, policy statements, and progress reports. •
- Personnel office and EEO office staff job descriptions. •
- Copies of other recent studies, audits, or reports that focus on agency personnel management and administration. •

These requested materials should be analyzed as explained in paragraph 2, page 2, before beginning the review. In addition, a list of personnel records should be given to the personnel officer so that the records are available to team members upon arriving at the agency. (See Appendix A for a list of records.)

The use of PMR questionnaires also should be discussed at the initial meeting. The personnel officer should ensure that the questionnaires are distributed to all agency employes, allowing approximately three weeks for distribution and return of the questionnaires, depending on the size of the agency. All questionnaires should be returned sealed and unopened to the team leader, processed and summarized before the beginning of the review to provide the team with advance knowledge of employe perceptions of the agency's personnel management programs. (The use and analysis of PMR questionnaires is explained in Appendix B.) •

After the agency head and personnel officer are briefed on the review process, a formal letter should be sent to the agency head providing official notification of the proposed review. (A sample is provided in Appendix C.) •

- The agency should prepare for the review by conducting its own assessment of its personnel program by reviewing the program elements and standards contained in this manual, and by completing the Self-Assessment of Agency Personnel Management Programs form (Appendix E). The agency should conduct its self-assessment as soon as possible so any identified program deficiencies can be corrected prior to the commencement of the on-site portion of the review.

2. Analysis of Preliminary Information.

The preliminary information provided by the agency enables the review team to become knowledgeable about agency characteristics which may have an impact on personnel management programs and to identify problems which require special attention during the review. Agency policy statements, personnel office objectives, and organization charts should be analyzed by the team leader in order to gain knowledge about the agency before conducting the on-site review. Additional information about the agency should be gathered and analyzed, such as:

- Central computer system reports on sick leave usage and transactions timeliness rates.
- OA, Bureau of Equal Employment Opportunity reports on minority figures.
- OA, Bureau of Labor Relations reports on grievance and disciplinary activity.
- OA, Classification Division reports on working out-of-classification activity.
- OA, Pay Division reports on overtime hours and expenditures.
- State Civil Service Commission information on certification administration and pending appeal actions.

The PMR questionnaire results also should be analyzed so that employee perceptions of the agency's personnel management programs can be determined.

3. Selecting Review Team Members.

After the agency materials have been analyzed by the team leader, the designation of team members should be made. The number of team members will depend on the size of the organization, its geographical dispersion, and the depth and scope of the review. Each team member should possess the following skills and abilities:

- Thorough understanding of relevant policies, standards, and personnel management procedures.
- Ability to conceptualize.
- Ability to listen with understanding.
- Ability to express ideas orally and in writing.
- Sensitivity to individuals contacted and the agency's environment.
- Ability to draw conclusions from rough and varied materials.
- Flexibility to changes in scope and depth of the review as it proceeds.

Assignments for team members can be determined by the area of technical knowledge that an analyst possesses. Assignments also can be made to provide rotational experience such as assigning an analyst with position classification experience to review the benefits and services program.

The team leader's responsibility is to coordinate and manage the review and to consult and advise team members. The experience, expertise, and size of the team will determine how much time the team leader will need for these activities. In all cases, the team leader should actively participate as a working team member to gain firsthand knowledge of agency personnel management practices.

4. Developing the Review Schedule.

The tentative beginning and ending dates of the review are established initially with the agency head and the personnel officer. The team leader then must determine how much time will be required to review personnel records and to interview the personnel office staff and a representative sample of agency managers and staff. Consideration also must be given to the period of time that will be required to conduct visits to field locations, if required. Whatever the planned activity, the schedule should provide for the effective and economical use of team members' time, as well as sufficient flexibility to pursue problem areas. This is especially true when selecting employees for interviews. Much of the review team's time will be spent conducting interviews, but it is difficult to estimate how much time should be allotted to each interview. The length of the interview will vary depending on the employee being interviewed. Interviews with bureau directors or division chiefs will require more time, because of their management and supervisory functions, than interviews with nonsupervisory employees. For example, interviews with bureau directors can last from one to one and one-half hours while interviews with nonsupervisory employees normally last 15 to 30 minutes. Interviews with individual personnel staff responsible for administering the agency's personnel management programs may last as long as two hours.

The interview schedule should include time for team members to discuss their findings on a daily basis while on-site. Through daily team meetings, the team leader determines if the review is progressing as scheduled and what information is still needed to successfully complete the review.

After the interview schedule is completed, it should be sent to the agency personnel office well in advance of the arrival of the review team. This allows the personnel officer sufficient time to notify staff and determine whether staff selected for interviews will be available during the scheduled times. If any staff member will be unavailable for an interview during the scheduled time, the personnel officer should notify the team leader. Arrangements should then be made to alter the schedule or ensure a designee is assigned in place of the staff member. (A sample review schedule cover memo is provided in Appendix D.)

5. Preliminary Review Team Meeting.

After the appropriate agency staff members have been contacted, an analysis of the preliminary information has been completed, team members have been selected, and the interview schedule has been developed, the team leader should conduct a team meeting prior to conducting the on-site review.

The team leader should brief team members on his or her preliminary assessment of the personnel management programs in place at the agency. Each team member should be provided with an interview schedule and appropriate preliminary information regarding personnel office objectives, organization charts, policy statements, and PMR questionnaire results. In addition, team members should be briefed on their responsibilities such as becoming familiar with assigned personnel program elements, ensuring that all preliminary data relevant to their assigned personnel programs is collected, and providing appropriate team members with relevant findings resulting from program record checks and employee interviews.

During the preliminary review team meeting, the team leader also should provide target dates for the team to have a post-review meeting and to complete individual written sections of the report. The team leader is responsible for the conduct and results of every review. Leadership is vital if the review is to be conducted in a professional manner, preliminary procedures are adequately planned and accomplished, and each team member understands what is expected.

PART TWO

ON-SITE REVIEW ACTIVITIES

1. Opening Conference.

The transition from preparing for the review and the beginning of the on-site review is facilitated by the opening conference with the personnel office staff. Each team member should be present for the opening meeting. The purpose of this meeting is to:

- introduce each review team member to key personnel office staff.
- explain the techniques and procedures used during the review.
- elicit questions the personnel staff members may have concerning the review. It is important that this be done to ensure that there is an understanding among the personnel office staff on the conduct of the review and their participation in the process.

- After the team leader briefs the personnel office staff, the personnel officer is requested to provide the review team with an overview of the current personnel programs in place at the agency. This
- discussion is to inform the review team of the status of goals and objectives of the agency's personnel programs. The discussion with the personnel officer may also bring out any internal problems which have had a negative effect on the personnel programs. A good understanding of the personnel programs should be obtained at this meeting before beginning the fact-finding process.

When the initial meeting with the personnel office staff is completed, the team is ready to begin the review process by conducting a personnel records review.

2. Personnel Records Review.

- A review of the personnel office's records is the initial step in evaluating the personnel management programs. Reviewing personnel records, agency correspondence, and documents can indicate whether
- problems exist. It can alert the review team to possible problem areas that can be followed up when conducting employe interviews. **The personnel officer should ensure that records needed for the records review are gathered, labeled, and placed in the meeting area used by the PMR team.** It is important that the review team is able to begin work immediately reviewing records after the conclusion of the opening conference. The following is a list of the personnel records to be reviewed and the general purpose of their reviews:

- a. Official Personnel Folders.** Randomly selected Official Personnel Folders should be reviewed to ensure that they are being maintained in accordance with *Management Directive 505.18, Maintenance, Access, and Release of Employe Information*, and *Manual M505.4, Personnel Records Retention and Disposition Schedule*. The contents of Official Personnel Folders will also provide insight into incentive programs, benefits and services activities, training, classification, and other personnel actions.

- b. Recruitment and Placement Correspondence Files.** Reviewing recruitment and placement correspondence files can enable the review team to determine the extent of recruitment and placement activity, especially for positions that are hard to fill.

- c. Civil Service Certifications.** Certifications should be reviewed to determine if they are being properly used in accordance with *Manual M580.1, Certification of Eligibles for the Classified Service*, and that Civil Service requirements are being met.

d. Equal Employment Opportunity (EEO) Records. A review of the EEO plan, progress and monitoring reports, and discrimination complaints will give the team a perspective on whether the activity occurring in the EEO program is sufficient to address the needs of the agency. •
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e. Job Description and Essential Functions File. Employee job descriptions and essential functions are reviewed to determine whether they are being updated and are technically well prepared. •
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f. Classification File. Desk audit results are reviewed to determine technical expertise and the extent of classification surveys being conducted, and whether reclassification findings are properly justified in accordance with *Management Directives 520.4, Position Classification Post Audits*, and *520.5, Centralized Classifications Control System*. •
•

g. Working Out-of-Classification File. Temporary assignments in higher classifications are reviewed to ensure that appropriate selection, notification, and monitoring procedures are carried out in accordance with *Management Directive 525.4, Temporary Assignment in Higher Classification*.

h. Benefits Files. Information on benefit (medical/hospital plans including Basic, HMO, and POS; Group Life Insurance; work-related injuries; etc.) updates, such as flyers, newsletters, and memos to employees should be reviewed to determine how employees are advised of program changes. Benefits program manuals also are examined to determine if they are updated and complete. •
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i. Training Records. Training records are reviewed to determine if adequate and complete, as well as to determine the emphasis placed on the training program. The extent of the use of out-service training also is determined.

j. Attendance Records. Attendance records are reviewed to determine if they are complete and annotated with correct leave codes. A review of attendance records also can indicate whether proper leave adjustments are made. Numerous employees overdrawn on their leave entitlement may suggest the possibility of leave abuse. The use of compensatory leave also is reviewed to determine if it is recorded when earned and used. •
•

k. Employee Performance Evaluations. Employee performance evaluations are reviewed to determine if they are prepared in a timely manner, if performance standards as well as expectations, when applicable, are assigned, and if monitoring procedures are in place. •

l. Labor Relations Agreements and Minutes of Meetings. A review is made of any labor contracts, local agreements, or side letters in existence that are unique to the agency or any special provisions requiring action by the personnel office. If found, they should be explored and analyzed in more detail later in the review. In addition, minutes of labor-management meetings should be reviewed to determine the current issues being discussed and how they are addressed. •
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m. Grievance Files. Reviewing the grievance file will provide insight into the labor-management climate at the agency. The grievance file should contain those grievances that reach the third or fourth steps of the appeal process. Grievances resolved in the agency at the first or second step of the grievance procedure will not necessarily be found in these files, especially if grievance activity is low.

n. Disciplinary Files. Disciplinary files should be reviewed to determine trends in the types of disciplinary actions taken and if discipline is being administered progressively, uniformly, and equitably. Any available agency disciplinary policies and procedures should also be reviewed.

o. Financial Disclosure and Supplementary Employment Files. Financial disclosure statements and supplementary employment requests and related correspondence are reviewed to ensure that required filing procedures are followed.

p. Work Force Analysis File. A review of work force statistics is conducted to determine if a periodic analysis is made of programs which affect staff requirements such as turnover, sick leave, working out-of-classification, overtime, and workers' compensation. Complement control procedures and contingency plans for emergencies also should be reviewed to ensure that they are current.

- **q. State Employee Assistance Program (SEAP) and Drug and Alcohol Program Files.** A review of records is made to ensure that a program coordinator is identified and made known to employees, printed materials are maintained and distributed, training is conducted and records maintained, and Condition of Continued Employment (COCE) agreements are maintained.

r. Safety Files. A review of accident reports and safety related information is conducted to determine the frequency of accidents and the extent of the agency's safety program, including compliance with the Worker and Community Right-to-Know and SARA Title III programs.

3. Communications.

As the review begins, the team leader should ensure that communication channels between the review team and the personnel office are maintained. It is recommended that daily contact be made with the personnel office while the review team is on site. This serves to establish a basis for confidence and trust with the personnel office staff and will help alleviate apprehension especially when the team is interviewing managers and supervisors. Daily communication with the personnel officer and staff will provide an opportunity to gain additional information concerning personnel program practices and objectives and to obtain clarification of the information obtained in interviews. In addition, the need for providing technical assistance to the personnel office staff may become evident during these contacts.

4. Fact-Finding.

a. Reviewing Personnel Program Elements.

Program elements are components of personnel management programs which ensure adequate agency personnel program administration. The objective of reviewing personnel program elements is to obtain information that will provide an overall assessment of the specific agency personnel programs and provide a basis for recommending improvements when deficiencies are found.

Personnel program elements are not meant to be limiting, but are intended to be beginning points for fact-finding and a preliminary analysis of problems. Therefore, team members should have sufficient knowledge and background to supplement the review elements in order to collect appropriate information and resolve any identified problems. (See PART FIVE for a listing of program elements.)

- The review of personnel program elements includes determining whether program policies and procedures are in place and programs are adequately monitored. The team activity that will consume most of the review time is the interview. Therefore, some general comments concerning the nature of interviews are necessary.

b. Interviewing.

Interviews require careful preparation and planning and should not be initiated until relevant questions have been developed. Much of the review process will consist of interviewing managers, supervisors, and employees. Because of the variety of personnel programs, it is impractical to define the scope and direction of each interview. Fact-finding interviews require careful preparation by the team member. The team member should have a list of subjects to be discussed during the course of the interview.

At the beginning of each interview, the team member should briefly state the purpose of the review and indicate the confidentiality of individual employee comments. The interviewer also should mention some specific subjects to help the person being interviewed to understand the scope and purpose of the review. Confidentiality and the purpose of establishing general trends should be stressed to the interviewee.

(1) Personnel Office Staff Interviews. Interviews are conducted with individual personnel office staff. To ensure that all components of a program are covered, interview guidelines should be used for each program, following the elements listed in PART FIVE of this manual. The information for determining whether a program is administered adequately can then be obtained. •

(2) Management Interviews. Management interviews and interviews with higher level supervisors should allow the person interviewed some flexibility to chart the course of the interview. The initial subjects covered will be the most important to the interviewee and will help show the extent of his or her knowledge and role in personnel management. During the interview, the team member should direct the discussion only when points need to be clarified or it is necessary to guide the interview to a new subject, ensuring that nothing of importance is missed. •

(3) Supervisor and Employee Interviews. When interviewing first level supervisors and employees, the interview is more structured with more direct questions asked to allow for the employee's possible inexperience with personnel activities. Open-ended questions which evoke a free response are preferred to questions which call for a simple "yes" or "no" answer. For example: "What type of orientation to the agency did you receive?" is preferable to "Did you receive an orientation to the agency?" At the end of each interview, it is important to reaffirm the confidentiality of the interview and to state that the information obtained is solely for the purpose of establishing general trends and not for identifying information from specific individuals. As in all interviews, the team member should make sufficient notes to be able to recall the information for sharing with other team members.

c. Valid and Reliable Information.

The team member is responsible for obtaining valid and reliable information in order to form accurate judgements. Some employees will provide information willingly and freely, while others are hesitant and skeptical. A certain amount of reluctance to provide information which might be used against the employee can be expected. Moreover, some employees and supervisors may be hesitant to discuss programs because they have little knowledge of the areas being discussed. The team member must create the climate and conditions under which people will talk freely and reveal how they view their roles as managers and employees. If the comments being received seem to be too general to be of use, the team member should probe deeper to draw out as many specifics as possible. At all times, the interviewer must maintain objective neutrality and not engage in leading the interview or jump to obvious conclusions. •

- **d. Confidentiality.**

- The team member must ensure the confidentiality of the information obtained during the PMR process (e.g., through the review of agency records, employe interviews, and from any other means). In order to create a climate of trust and ensure the integrity of the review process, the team member must be cognizant of the information he or she relays to those outside of the PMR team.
- Information should be shared only on an as-needed basis with those outside of the team, while still ensuring the confidentiality of the source's identity. Team members also need to be aware that some information encountered during the review may have confidentiality restrictions imposed by regulation or law. Team members who are uncertain about divulging information obtained during the course of the PMR should consult with the PMR team leader for direction.

During each interview, the team member should document all findings. These notes are indispensable to the sharing and delivery of information gathered by the review team. For fact-finding to be accomplished in the most effective manner, fact-finding and analysis should take place simultaneously. As the review progresses, interview results begin to fall into a pattern and often a particular problem will be volunteered by a number of employes.

It is important to remember that interview findings should be weighed according to their limitations. Employe interview findings should be considered one source of information that either confirms or refutes findings reached through other review techniques. Also, whenever possible, interview findings should be verified with other staff members to confirm a potential major problem.

- After the on-site review activities are concluded, review team members should be prepared to write a report on their findings and provide any recommendations for the program areas for which they were responsible. The written report should be prepared shortly after the review is completed so that
- the findings are fresh in the minds of the review team members. The team leader will establish
 - timeframes and deadlines for the completion of written report sections.

PART THREE

REPORTING THE REVIEW

1. Closing Session.

A closing meeting is scheduled with the agency head and personnel officer so that the team leader can present the major findings of the review team. This meeting should be scheduled within one month of the on-site review after all fact-finding activities have been completed and adequate information is gathered on the personnel management programs. In preparing for this session, the team leader should conduct a team meeting following the on-site review to allow team members to share their findings and ensure that there are no conflicting findings. It is desirable for the team leader to have received draft written report sections from team members before the closing session. •

During the closing session, the team leader should encourage appropriate comments from the agency head and personnel officer while the following information is presented:

- A description of the methods and scope of the review of fact-finding activities, e.g., records review, interviews, and questionnaire results.
- Overall evaluation of each of the management programs reviewed highlighting instances of effective administration as well as pinpointing problem areas.
- Notification that a formal written report will be provided which will include detailed findings for each of the management programs with specific recommendations where required.

As mentioned previously, an objective of personnel management reviews is to motivate personnel management improvement. Simply reporting on review activities in a formal written report will not accomplish this objective; consequently, a well planned and conducted closing session is one of the most important steps toward achieving this objective.

2. Writing the Report.

Each review team member is responsible for preparing report sections for assigned program areas. To ensure the accuracy and completion of the report, it should be written as soon as possible after the on-site review. The report should be written to show cause and effect relationships between identifiable problems and how they hinder accomplishment of agency objectives. If this is done, management will be more likely to take steps to implement the team's recommendations for correcting deficiencies and making improvements. •

Findings and conclusions, both positive and negative, obtained during the review should be supported with specific statements of fact and not contain unsubstantiated generalizations. Quantifiable data and precise information should be used to back up the findings. For example, do not simply state that supervisors do not understand their role in the labor relations process, but provide the results of the questionnaire, as well as information gained through personal interviews, that substantiate this statement. Unsubstantiated opinions and conclusions will tend to discredit the entire report. The report should be kept unified and cohesive by grouping and integrating any related problems with recommendations provided to rectify the problems. •

The report does not become an end in itself. The objective of personnel management reviews is personnel program improvement based on review findings, and not the production of a report. The report is only a means to that end. The final report constitutes the official recording of the review findings. As mentioned previously, the final report must not contain any significant information which was withheld from the agency during the closing session.

The success the team can expect in motivating personnel management improvement will depend largely on their ability to gain the trust and confidence of management and to make direct and accurate reports of their findings and recommendations.

3. Distribution of the Report.

The final report is forwarded with a cover memorandum to the agency head. The cover memorandum should contain a general statement concerning the overall quality of the personnel management program. Distribution of the final report within the agency is left to the discretion of the agency head. Agency staff responsible for implementing specific recommendations should be provided with appropriate sections of the review report.

PART FOUR

FOLLOW-UP TO THE REVIEW

The objective of a personnel management review is to improve agency personnel management. To ensure that this is accomplished, follow-up procedures should be initiated within a reasonable period of time after a personnel management review report is transmitted to the agency head. •

Depending on the number of recommendations and the complexity and extent of effort required to implement the recommendations listed in the report, an agency should be given between one and three months to submit an initial PMR implementation plan. The plan should include completed and proposed actions, along with specific timetables and responsibilities for implementing each of the PMR report's recommendations. •

The PMR team leader should review closely the agency's implementation plan to ensure that all recommendations are addressed. Normally, additional follow-up reports are required until all PMR recommendations are adequately implemented. An agency should be given a maximum of six months to submit a follow-up report. Upon receipt of this follow-up report, a determination should be made by the team leader as follows:

a. If all significant recommendations are adequately addressed, notify the agency that no further follow-up reports are required and closeout the PMR process. •

b. If only a few significant recommendations remain to be addressed, request an additional follow-up report from the agency. (A period of three to six months should be allowed for a response.) •

c. If it appears there is little movement toward implementing certain recommendations, a modified on-site visit should be scheduled by the team leader to reevaluate only those outstanding recommendations and offer technical assistance where required, or steps should be taken to seek agency compliance through communication with top management officials. •

d. If little activity appears to be taking place to implement numerous recommendations, the team leader should schedule a complete follow-up review or schedule communication with the agency head. A complete follow-up review should include an on-site reevaluation of all PMR recommendations by the team leader with possible assistance from a member of the original PMR team. Interviews should be conducted with top management staff as well as staff responsible for implementing the PMR recommendations. Program policies and procedures implemented since the original PMR was conducted should be reviewed. •

A PMR follow-up report to the agency head should then be provided which lists actions that are needed to improve the administration of personnel management programs, as well as instances of a lack of effort to implement recommendations listed in the original PMR report. The agency should be required to respond to this report with a revised implementation plan within three months. •

PART FIVE

PERSONNEL PROGRAM ELEMENTS, PROCEDURES, AND STANDARDS

The following program elements, procedures, and standards are used in conducting personnel management reviews.

The elements listed in this manual present significant components of personnel programs. Suggested procedures should be used to gather information on each element to properly assess the element quality. The standards are guidelines for assessing the program element and have been developed from statutes, Executive Orders, Management Directives, Administrative Circulars, Manuals, rules, and accepted reasonable management or administrative practices.

A. PERSONNEL MANAGEMENT AND COMMUNICATION.

Element 1. Are organization charts and functional statements up-to-date for the personnel office? Is the personnel officer effectively placed in the organization to communicate with and support top management? Are any organizational changes for the personnel function pending or needed?

a. Procedures. Determine, through interviews with top management and personnel office staff, whether organization charts and functional statements are up-to-date. Interview the agency head, personnel officer, and top managers to determine if organizational placement is effective and if changes are anticipated or needed.

b. Standards. Adequate when organization charts and functional statements are up-to-date, when periodic reviews of organizational effectiveness occur, and when the organizational placement of the personnel officer provides:

- (1) Clear communication channels to the agency head.
- (2) Visibility and accessibility to key agency managers.

Element 2. Does the personnel officer provide effective support to top management in personnel management? Does the personnel officer communicate regularly with all levels of management and have their confidence and support? Does the personnel officer function as a constructive, integral part of management decision-making?

a. Procedures. Interview the agency head and top managers to determine the personnel officer's role in management decision-making and the frequency of communication with top managers.

b. Standards. Adequate when the personnel officer provides assistance to top management which enhances agency personnel management; when the personnel officer has top management support; and when the personnel officer functions as an effective part of the top management team in key decisions with personnel or staffing implications.

Element 3. Are the roles that managers and supervisors have in personnel management clearly defined and established in policy? Are managers and supervisors held accountable for their personnel management responsibilities?

a. Procedures. Review appropriate personnel policy statements or personnel manual sections and interview a sampling of managers and supervisors to determine whether they are aware of their personnel management responsibilities. Review a sampling of job descriptions and written performance standards/ratings for managers and supervisors to determine how their role is defined and how accountability is established for personnel management responsibilities.

b. Standards. Adequate when authority is assigned and managers and supervisors are held accountable for personnel management responsibilities such as leave control, grievance and discipline handling, classification, EEO, and training.

Element 4. Are the roles of the personnel officer and personnel office clearly defined and understood by managers, supervisors, and employees?

a. Procedures. Interview managers, supervisors, and employees to determine if their perception of the role of personnel is the same as both the written functional statement for the personnel office and personnel officer's definition of his or her role.

b. Standards. Adequate when managers, supervisors, and employees understand the role of the personnel officer and personnel office.

Element 5. Have realistic written objectives been established for the personnel office? Are up-to-date job descriptions and performance expectations and standards in place for the personnel officer and staff as part of their performance evaluation? Are employee performance reviews completed for the personnel officer and staff on a timely basis? Are responsibilities for key personnel programs and/or major personnel initiatives which involve a number of staff members assigned logically with accountability clearly placed?

a. Procedures. Review job descriptions and written objectives, performance expectations, performance standards, and performance evaluation forms. Interview the personnel officer and staff and the personnel officer's supervisor to determine if written objectives, expectations, and standards resulted from two-way communication. Determine if objectives and expectations are realistic, specific, time bound, measurable, and assign clear responsibility. Determine if employee performance evaluations and progress reviews are completed for the personnel officer and staff in a timely manner. Determine if overall responsibility for key personnel programs and/or major initiatives is clearly assigned to specific staff members.

b. Standards. Adequate when accurate, current job descriptions, and specific written objectives, performance expectations, and performance standards for the personnel officer and staff are in place and used as a basis for evaluating program effectiveness and individual performance. Adequate when objectives are developed with input from the personnel officer's supervisor. Adequate when the personnel officer and staff receive timely employee performance reviews and progress reviews.

Element 6. Are the agency head and top managers aware of and supportive of personnel office objectives? Do personnel office objectives take into account top management priorities? Are personnel office staff members aware of performance expectations for other personnel office staff and the personnel officer?

a. Procedures. Interview the agency head and top managers to determine if they are aware of and supportive of personnel office objectives and if personnel office objectives take into account top management priorities. Interview personnel office staff members to determine if all personnel office objectives have been communicated to them and if they are aware of priority objectives and expectations for the personnel officer.

b. Standards. Adequate when personnel office objectives have been communicated to the agency head, top managers, and the staff of the personnel office; when top management supports the personnel program; and when personnel office objectives and expectations take into account top management priorities.

Element 7. Is there a monitoring process to ensure that personnel office objectives are met and is the process flexible enough to allow substitutions and changes? What has been the record of the personnel office in achieving previous objectives?

a. Procedures. Interview the personnel officer to determine if a monitoring process is in place and how the personnel office is progressing on current objectives. Determine from written records and from discussion with the personnel officer the record of achievement on past objectives.

b. Standards. Adequate when a monitoring process is established and when most objectives are successfully achieved or appropriate adjustments made.

Element 8. Have the personnel officer, his or her supervisor, and the agency head defined a vision of the longer-term future (beyond the immediate fiscal year) for the agency's personnel program?

a. Procedures. Interview the personnel officer, his or her supervisor, and the agency head to determine if they have defined and discussed the long-term direction for the personnel office. Determine if current objectives and priorities for the personnel office comprise steps in a long-range plan.

b. Standards. No specific standards exist in this area, but it is exemplary when the personnel officer, his or her supervisor, and the agency head have discussed and defined a long-term direction for the personnel office and agency personnel management, and when immediate objectives are building blocks for long-term goals. •

Element 9. Are there any significant roadblocks faced by the personnel office in achieving objectives and standards? Are there any significant counterproductive trends negatively affecting the agency's personnel program?

a. Procedures. Interview the personnel officer to determine whether problems are being faced and how those problems could be overcome. Using preliminary PMR data as a base, discuss whether there are any significant counterproductive trends and, if so, whether causes and solutions have been identified. Determine if the personnel officer has used creative, innovative solutions when faced with stubborn problems.

b. Standards. Adequate when major roadblocks and counterproductive trends are identified early and when solutions are developed and implemented where feasible.

Element 10. Does the personnel officer use cooperative efforts with program office staff, other agencies, and the Office of Administration to administer and improve personnel programs?

a. Procedures. Interview the personnel officer to determine whether communication and collaboration on personnel programs occurs with staff outside the agency personnel office, particularly on difficult to achieve personnel programs or new personnel programs.

b. Standards. No specific standards exist in this area, but it is desirable when advice and assistance outside the personnel office is sought when resolving difficult problems or initiating new personnel programs. •

Element 11. Have agency personnel management policies been developed and disseminated to all employees and are they enforced uniformly throughout the agency? Are there adequate means for disseminating personnel information, including methods such as a newsletter, meetings, payroll supplements, etc.?

a. Procedures. Interview the personnel officer, review the PMR questionnaire, and review copies of any agency policies in place such as reporting-off procedures, work rules, and sick leave monitoring. Interview a sampling of agency managers and staff to gain their perceptions on the administration of agency policies and how that information was conveyed to them.

b. Standards. Adequate when agency personnel management policies are known to employees and are enforced uniformly throughout the agency and when adequate mechanisms are in place to disseminate personnel policy.

Element 12. Is an up-to-date personnel manual in place in the agency?

a. Procedures. Interview the personnel officer to determine whether a personnel manual has been developed and issued for use by management staff throughout the agency. Review the manual to determine if program content is accurate, complete, and up-to-date. Field sites should use a standardized personnel manual common to the agency.

b. Standards. Adequate when an up-to-date agency personnel manual or compilation of personnel policies is in existence. Information that will assist managers in the administration of the agency's management programs includes, but is not limited to, the following areas:

(1) Recruitment/placement.

(2) Equal employment opportunity.

(3) Classification.

(4) Pay.

(5) Benefits.

(6) Training.

(7) Employee attendance, leave, and work hours.

(8) Performance evaluations.

(9) Discipline and grievances.

(10) Ethics and Code of Conduct.

(11) Employee safety.

(12) State Employee Assistance Program.

(13) Furloughs.

Element 13. Does the agency use current employe and supervisory handbooks? Have they received preapproval from the Office of Administration? Do all handbooks contain a disclaimer statement? (Note: This pertains to all handbooks maintained on paper and electronically.) •

a. Procedures. Interview the personnel officer to determine whether employe and supervisory handbooks have been developed for use by employes and supervisors throughout the agency. Review the handbooks to determine if program content is accurate, complete, up-to-date and includes a disclaimer statement. Determine if the Office of Administration gave preapproval for issuance of the handbooks. Field sites should use standardized handbooks common to the agency. Only local policies/procedures should differ. •

b. Standards. Adequate when current employe and supervisory handbooks exist, include current information and a disclaimer statement, and when the Office of Administration has preapproved them. •

Element 14. Are personnel-related Management Directives, Administrative Circulars, and Executive Orders properly maintained and kept up-to-date in the agency personnel office?

a. Procedures. Compare the personnel office's central Management Directive file with the most recent issue of *Manual M210.3, Index of Issuances – Directives Management System*, to determine whether the agency is receiving and maintaining updated directives. For field facilities, ensure that central office directives or manual sections are maintained.

b. Standards. Adequate when the agency or facility personnel office Management Directive file is up-to-date.

Element 15. Do managers, supervisors, and employes view the personnel office as responsive and accessible?

a. Procedures. Interview managers, supervisors, and employes, and review PMR questionnaire responses to determine if employes consider the personnel office to be responsive and accessible. Review procedures with the personnel officer and staff for prioritizing responses to requests. Determine whether agency policy directs employes with personnel problems to contact the personnel office initially or some other source. Determine if the personnel office has standards for turnaround time and/or feedback on requests and if attainment of these standards is monitored by the personnel officer.

b. Standards. Adequate when agency staff view the personnel office as responsive and accessible and when standards for turnaround time and feedback are in place in the personnel office.

Element 16. Do managers, supervisors, and employes view the personnel office as providing impartial services and ensuring confidentiality?

a. Procedures. Interview managers, supervisors, and employes and review PMR questionnaire responses to determine the perception staff have of personnel office impartiality and confidentiality. Discuss these topics with the personnel officer to determine if there have been any problems or complaints.

b. Standards. Adequate when agency staff have confidence in the personnel office's impartiality and confidentiality.

Element 17. Are agency personnel administration activities the full responsibility of the personnel officer, or does the personnel officer's supervisor, the agency head, or the governing board or commission take an active role in day-to-day personnel administration activities? Do the personnel officer's superiors play a role in supporting the personnel program, particularly with key personnel initiatives?

a. Procedures. Interview the personnel officer, his or her supervisor, and the agency head to determine whether the personnel officer has full responsibility for personnel administration or whether there is regular day-to-day involvement by higher level staff. Review personnel actions to determine if signatory authority is delegated to the personnel officer.

- b. Standards.** Adequate when the personnel officer has full responsibility for day-to-day personnel administration activities, when the personnel officer's superiors provide support and guidance in key personnel areas, and when signatory authority has been delegated, in writing, to the personnel officer.
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Element 18. Do the personnel officer and personnel office staff regularly schedule on-site visits to agency program offices and field sites?

a. Procedures. Interview the personnel officer and program office and field site managers to determine the frequency of on-site contact by the personnel office to learn of problem areas, discuss policy, and offer technical assistance.

b. Standards. Adequate when program offices and field sites are visited regularly by representatives from the personnel office.

- Element 19. Do the personnel officer and personnel office staff have close working relationships and communication with personnel-related staff not in the personnel office, such as the Equal Opportunity Manager/Specialist, safety coordinator, program area trainers, and payroll staff?**
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a. Procedures. Review the organization chart and interview personnel-related staff not in the personnel office and the personnel officer to determine communication links and frequency of contact.

b. Standards. Adequate when the personnel officer and staff have close working relationships and frequent communication with personnel-related staff not in the personnel office.

Element 20. Are non-personnel functions assigned to the agency's personnel office on a permanent or frequent basis?

a. Procedures. Interview personnel office staff to identify any non-personnel duties which have been assigned to them.

b. Standards. Adequate when personnel office staff are not required to perform non-personnel duties on a permanent or frequent basis that interfere with their assigned personnel duties.

Element 21. Does the agency personnel office have sufficient staff, equipment, space, supplies, and funds to accomplish its mission?

a. Procedures. Interview the personnel officer, review staff assignments, and visit work areas to determine whether appropriate staff, equipment, work space, supplies, and funds have been allocated to the personnel office.

b. Standards. Adequate when the quality of assistance provided to management and employees and the extent of personnel program coverage are not affected negatively by a lack of staff, equipment, proper work space, supplies, or funds.

Element 22. Is performance of personnel office staff members satisfactory? Have personnel office staff been adequately trained and prepared to carry out their duties? Does the personnel officer anticipate the loss of any key staff members?

a. Procedures. Interview the personnel officer to determine if staff performance is satisfactory. Interview the personnel officer and staff to determine if staff are adequately prepared for their assignments. Review performance standards and evaluations for personnel office staff. Determine if any staff members are expected to leave and, if so, what steps will be taken to assure continuity of personnel services.

b. Standards. Adequate when personnel office staff are performing satisfactorily, have been appropriately prepared for their assignments, and when plans are in place to bridge the transition when key staff members leave.

Element 23. Does the staff of the personnel office form a cohesive work unit with positive, frequent internal communication and regular staff meetings?

a. Procedures. Interview the personnel officer and staff to determine the extent of internal communication, whether there is regular internal direction and staff meetings, and whether staff teamwork and morale are satisfactory.

b. Standards. Adequate when internal personnel office staff communication, direction, and teamwork positively affect attainment of personnel office goals, objectives, and standards.

Element 24. Are personnel administration responsibilities delineated clearly for those field facilities and program offices with full or part-time personnel specialists?

a. Procedures. Interview the personnel officer to determine the extent to which personnel administration responsibilities have been assigned to field facilities and/or program offices. Review any written policies which establish these responsibilities. Select field activities or program offices for on-site visits to interview appropriate management and administrative staff; discuss their working relationship with the central personnel office in the administration of personnel programs and what guidance, training, and monitoring comes from the central personnel office.

b. Standards. Adequate when written policies are in place which assign personnel administration responsibilities to field activities with personnel specialists, lines of communication are established to adequately rectify any problems being experienced, written standards for field facility personnel specialists are consistent with central policies, periodic audits using central office staff are conducted, and training and monitoring from the central personnel office occurs.

B. RECRUITMENT AND PLACEMENT.

Element 1. Do lists of eligibles exist for all Civil Service classes used by the agency?

a. Procedures. Interview the personnel officer and supervisors to obtain information on the length of time positions are vacant and whether or not eligible lists are adequate. Determine if accelerated examinations and localized testing were successful in providing eligible candidates.

b. Standards. The personnel office has taken the necessary positive steps to ensure that eligible lists are sufficient to meet employment needs and that it has complied with *Management Directive 580.16, Provisional Employment in the Classified Service*.

Element 2. Is the personnel office using the Bureau of Employment Services, SCSC, for assistance with vacancies that are difficult to fill?

a. Procedures. Contact the Bureau of Employment Services, SCSC, to determine if assistance has been requested by the agency in cases where candidates cannot be located to fill vacancies and that copies of all paid and unpaid advertising are being submitted. Discuss with the personnel officer to determine if this assistance has been successfully used.

b. Standards. There is compliance with *Management Directive 580.12, Recruitment for Classified Service Positions*, which provides for assistance to agencies in recruiting for Civil Service positions that require scarce skills or are unique. Also, guidance is provided by the Recruitment Manual published by the SCSC, Bureau of Employment Services.

Element 3. Does the personnel office maintain contacts with high schools, colleges, and professional and minority organizations for recruiting purposes?

a. Procedures. Discuss with the personnel officer and staff to determine the extent and effectiveness of recruitment sources.

b. Standards. The personnel office maintains contact with a variety of recruitment sources. Guidelines provided in *Management Directive 580.12, Recruitment for Classified Service Positions*, and the SCSC Recruitment Manual are used for recruitment of Civil Service candidates. The Bureau of State Employment (BSE) is contacted for assistance in recruiting for hard-to-fill vacancies and advertising for non-Civil Service positions.

- **Element 4. Is there an effective relationship between the personnel office and managers/supervisors in filling vacancies?**

a. Procedures. Discuss the procedures for filling vacancies and the type of assistance provided by the personnel office staff. Interview a sample of managers/supervisors to determine the quality and timeliness of that assistance. Review PMR questionnaire responses regarding recruitment and placement services provided by the personnel office.

b. Standards. Adequate when:

(1) An efficient system for filling positions is in place which provides for coordination between the personnel office and managers/supervisors.

- (2) Vacant positions were properly classified at the time they were last audited.

(3) After approval to fill has been obtained, vacancies are filled in a timely manner.

(4) The personnel office staff keeps managers/supervisors informed of any delays or problems encountered in filling vacancies.

Element 5. Are vacancies posted according to appropriate procedures?

a. Procedures. Review a sample of vacancy postings to determine sufficiency of information. Discuss length of posting with the personnel officer and locations where postings are made.

b. Standards. Adequate when:

(1) Bargaining unit vacancies are posted in conformance with applicable collective bargaining agreements.

(2) Management vacancies are posted, particularly when they constitute promotional opportunities for agency employees.

(3) Postings are placed in a variety of locations throughout the agency/facility to ensure widest circulation.

(4) Sufficient information is included on the posting, including position information, special requirements, hours, shift, method for applying, contact person, selection criteria, and for competitive promotions without examination, pertinent next lower classes should be used.

Element 6. Are procedures in place to periodically review agency recruitment and examination needs? Is the personnel officer or designee responsible for coordinating the determination of recruitment and examination needs and do key program officials including the Equal Opportunity Manager/Specialist participate in that process?

a. Procedures. Interview personnel staff person responsible for recruitment, personnel officer, Equal Opportunity Manager/Specialist, and a sampling of managers to determine their roles in identifying recruitment and examination needs, the extent of briefings held, and the personnel office's authority in recommending recruitment priorities. Contact the Bureau of Personnel Assessment, SCSC, to determine whether the agency submits an annual recruitment and examination plan and periodically updates needs throughout the year. Review the current plan and any amendments to determine current needs and discuss with personnel office staff.

b. Standards. Adequate when:

(1) The personnel officer or designee is responsible for administering the recruitment and examination program, has the authority to prioritize needs, prepares a semi-annual plan reflecting Civil Service needs, periodically forwards updates to the Civil Service Commission, provides briefings to managers, and assists managers in identifying recruitment and examination needs.

(2) Deputy Secretaries, Bureau Directors, and the Equal Opportunity Manager/Specialist assist in determining recruitment and examination needs by providing the following:

(a) Anticipated number of retirements and resignations expected by job classification.

(b) Anticipated program expansion by classification.

(c) Seasonal needs by classification, if any.

(d) Identification of job classifications where program officials have had considerable difficulty filling vacancies.

(e) Identification of classifications where recruitment efforts need to be expanded for affirmative action purposes.

Element 7. Is advertising being used effectively to recruit for hard-to-fill positions?

a. Procedures. Review the agency's recruitment file to determine the extent of advertising that has occurred. Discuss advertising procedures with the personnel officer or other responsible staff person.

b. Standards. Adequate when advertising has been placed in appropriate newspapers, journals, and other sources to the extent necessary to obtain sufficient candidates for hard-to-fill positions. Guidelines in the Civil Service Commission are referenced in developing effective advertisements. Advertisements are attractive and contain sufficient job information, contact person(s), and a statement regarding equal opportunity employment.

Element 8. Are procedures for handling walk-in or write-in applicants appropriate?

a. Procedures. Discuss procedures for handling applicants who walk or write in with the personnel office and responsible staff person.

- **b. Standards.** Adequate when applicants are provided application forms and/or are referred to SCSC and/or BSE for evaluation, testing, and referral.

Element 9. If the agency/facility conducts localized testing for Civil Service positions, are appropriate procedures used?

a. Procedures. Interview the personnel officer to determine announcement and testing procedures. Review any available files regarding the testing program.

b. Standards. Adequate when advertising has been extensive enough to reach a sufficient number of applicants and the procedures outlined in the SCSC Institutional Testing Manual are followed.

Element 10. Is the agency processing Civil Service certifications in a correct and timely manner?

a. Procedures. Contact the SCSC, Bureau of Audit and Technical Services, regarding the quality of certification management and any problems they may be encountering with the agency/facility relative to certification usage. On site, review a sample of certifications for correct annotations, timeliness of reporting, and validity of appointments. Determine if cancellation of certifications and use of selective certifications are justified.

- **b. Standards.** There is conformance with *Sections 601 and 602 of the Civil Service Act* and *Section 97.3, Civil Service Rules*, which state that certifications should be processed within 30 workdays or within the duration as extended by the director. Selections must be according to the rule-of-three and veterans' preference, or by the alternatives offered in *Section 602 of the Civil Service Act*, and collective bargaining provisions. Annotation codes to be used are found in *Manual M580.1, Certification of Eligibles for the Classified Service, Part F*.

Selective certifications are used in accordance with *Management Directive 580.15, Selective Certification of Classified Service Eligibles*, and certifications are not cancelled without justifiable reasons provided. Original copies of the certification and all waivers, Form SCSC-98, Availability Survey/Interview Notice, are attached and returned to the SCSC.

Element 11. Are Availability Survey/Interview Notices being completed properly?

a. Procedures. Contact the SCSC, Bureau of Audit and Technical Services, regarding the quality of the form, i.e., special requirements are not being used without SCSC permission and sufficient response time is being given.

b. Standards. There is conformance with *Management Directives 580.2, Civil Service Availability Survey/Interview Notice; 580.10, Rights of Certified Eligibles in the Classified Service; and Manual M580.1, Certification of Eligibles for the Classified Service.*

Element 12. Are appropriate interviewing procedures used in filling Civil Service positions?

a. Procedures. Determine the scope and nature of employment interviews through discussions with the personnel officer, supervisors, and recently-hired employees. Review Forms SCSC-98, Availability Survey/Interview Notice, to determine if they are properly used and discuss their use with the personnel officer.

b. Standards. Adequate when interviews and Forms SCSC-98 comply with *Management Directive 580.10, Rights of Certified Eligibles in the Classified Service*, the SCSC Selective Interview Guides, and *Management Directive 580.2, Civil Service Availability Survey/Interview Notice*, including:

(1) Candidate and job information on SCSC-98 is complete; a contact person in the personnel office is provided; and a description of job duties is included or attached. Five workdays are allowed for a response to the survey form, if by mail, and three workdays if telephone contact is made.

(2) Interviews are scheduled to last at least 30 minutes and sufficient time is allowed to accommodate delays. Appropriate supervisory personnel conduct the interviews.

(3) Additional testing at the agency level is not conducted and interviews pertain to relevant information about the interviewee's experience and capabilities which are job-related and all interviewees are asked the same questions.

(4) SCSC-98s are signed by applicants and all waivers are annotated and attached to the certification list.

(5) Candidates applying for positions covered by union contract are informed of the "Fair Share" deduction requirement.

Element 13. Have supervisors of Civil Service employees been trained in the use of eligible lists, the rule-of-three, and proper interviewing procedures?

a. Procedures. Determine the type and amount of training provided to supervisors through discussions with personnel and training staffs and interviews with supervisors.

b. Standards. Basic training is provided to all supervisors in the use of eligible lists, rule-of-three, and proper interviewing procedures including the provisions of *Management Directive 580.10, Rights of Certified Eligibles in the Classified Service.* Periodic refreshers also are conducted.

Element 14. Have violations of the Civil Service Commission Rules and/or Act occurred in the appointment or promotion procedures of the agency?

a. Procedures. Contact the Bureaus of Audit and Technical Services, and Investigation and Verification Division, SCSC, prior to the review for identification of any problems that exist or have occurred in the past.

b. Standards. No violations of the *Civil Service Rules* or *Civil Service Act* have occurred. Refer to *Sections 501, 601, and 602 of the Civil Service Act; Manual M580.1, Certification of Eligibles for the Classified Service; and Management Directive 580.10, Rights of Certified Eligibles in the Classified Service.*

Element 15. Are the Accelerated Examination Program (AEP) and provisional appointments properly administered?

a. Procedures. Discuss the agency's use of AEPs with the SCSC Special Projects Unit to determine whether the program is being used appropriately. Interview the personnel officer and responsible staff regarding the use of AEPs and follow-up of provisional employees. If possible, interview one or two employees who have participated in the program to obtain their perceptions.

b. Standards. Adequate when AEPs and provisional appointments are administered in accordance with *Management Directive 580.16, Provisional Employment in the Classified Service*, and the SCSC AEP Manual and:

(1) The process is used only when no regular examinations are available, the need for the exam was not anticipated, and candidates were not available on any employment or promotion list.

(2) The recruitment efforts in conjunction with AEPs are open and competitive.

(3) Appointments are expeditiously made from the AEP list of eligibles.

(4) The six-month working test period (WTP) is monitored and employees achieve probationary status if they successfully complete the WTP or are separated.

Element 16. Are emergency appointments to Civil Service positions properly administered?

a. Procedures. Request advance information from the SCSC, Bureau of Audit and Technical Services, regarding the use of emergency appointments in the agency and whether any such appointments are overdue. Discuss procedures used for emergency appointments with the personnel office.

b. Standards. Adequate when emergency appointments are administered in accordance with the provisions of *Management Directive 515.3, Classified Service Emergency Appointments*; are used only

- when justifiable emergency situations exist; and do not exceed 60 workdays (with an extension requested
- before 30 days) and documentation is sent in a timely manner.

Element 17. Does the agency have a promotion policy and are appropriate criteria used in selecting employees for promotion?

a. Procedures. Interview the personnel officer to determine the standards used for promotion and whether a promotion policy exists. Determine whether promotions are made in accordance with applicable collective bargaining agreements and personnel policies.

b. Standards. The policy conforms to collective bargaining agreements; Section 35.1 of the *Personnel Rules*; the agency's EEO plan; and, if applicable, *Sections 501, 601, and 602 of the Civil Service Act; Management Directive 580.19, Promotion in the Classified Service Without Examination;* and *Manual M580.1, Certification of Eligibles for the Classified Service.* The policy includes:

(1) General.

(a) As far as practical, vacancies are filled by promotion unless a specific need for outside talent has been identified.

(b) Promotion is based on assignment of duties and not to increase the pay of an employee.

(c) Salary is set in conformance with *Section 27.31 of the Personnel Rules.*

(d) Prior approval and the consent of the employee, agency head, and SCSC or BSE, whichever applies, are obtained.

(2) Collective bargaining.

(a) All vacancies are posted.

(b) Promotions are made in accordance with existing collective bargaining agreements.

(c) Promotees must have regular or probationary status, meet the minimum experience and training requirements (MET) for the vacancy, and be the senior bidding employee in the seniority unit. In the case of reclassification of a position, the incumbent need not have met the MET requirements, provided that the higher job title is covered by the same collective bargaining agreement or memorandum of understanding.

(3) Noncollective bargaining.

(a) All vacancies are posted. **Note:** Noncollective bargaining vacancies must be posted only if the agency plans to fill the vacancy using the competitive promotion without examination option.

(b) Promotees have or have had regular status in next lower position.

(c) Promotees meet the MET requirements.

(d) Promotees are either reachable on the appropriate promotion list or the promotion is based on meritorious service and seniority with the promotee receiving an unqualified recommendation of immediate supervisor and appointing authority.

Element 18. To what extent are Civil Service promotion without examination procedures followed?

a. Procedures. Discuss promotion procedures used at the agency/facility with SCSC, Bureau of Audit and Technical Services. Interview the personnel officer to determine the extent of promotions without exam and the procedure used in effecting such promotions. Review available documentation on promotions (personnel history folders, certification files, promotion files) to determine criteria used, selection procedures, and notification to candidates.

b. Standards. All promotions without examination are in accordance with *Section 501(3)* of the *Civil Service Act* and *Management Directive 580.19, Promotion in the Classified Service Without Examination*, i.e., promotions are based on meritorious service and seniority in the next lower position; the employee has had regular status in the next lower position, meets requirements for and has the unqualified recommendation of his or her immediate supervisor and of the appointing authority. Candidates are notified of nonselection and the selected candidate is provided written notification.

Element 19. Has the Rapid Promotion Examination (RPE) process been used appropriately to promote Civil Service employees?

a. Procedures. Discuss the agency's use of RPEs with the SCSC Special Projects Unit to determine the extent of use of the process and whether it has been used effectively. On site, review available records pertaining to RPEs and discuss with the personnel officer and staff to determine whether the criteria and procedures are used and appropriate selections are made. If possible, interview one or two employees who have been through the process for their perceptions of the program.

b. Standards. RPEs are used only when hiring needs cannot be met by regular examination programs or use of alternative promotion or appointment procedures and an approved vacancy exists. Procedures are followed in accordance with *Management Directive 580.29, Rapid Promotion Examinations in the Classified Service*, and the SCSC publication, *Information on Rapid Promotion Examinations*.

Element 20. Is the agency following correct procedures when demoting an employee?

- **a. Procedures.** Review the PMR transactions report for the agency/facility to determine the number and identity of recently demoted employees. Review personnel history folders of those demoted for documentation. Discuss demotion procedures and specific situations with the personnel officer.
- **b. Standards.** All demotions comply with *Section 35.3* of the *Personnel Rules* and applicable collective bargaining agreements. Civil Service demotions comply with *Sections 706* and *707.1* of the *Civil Service Act* and *Sections 99.31, 99.32, 99.34, 99.41, and 99.43* of the *Civil Service Rules*. Necessary documentation and appropriate notification is provided in accordance with *Management Directive 580.11, Documentation of Classified Service Personnel Actions*, and *Manual M580.1, Certification of Eligibles for the Classified Service*, for Civil Service demotions.

Element 21. Is the agency providing appropriate documentation and written notice for selected personnel actions?

a. Procedures. Examine a sample of Official Personnel Folders to determine if written notices of the required personnel actions, i.e., appointments, terminations, promotions, demotions, and furloughs, are being provided to employees in a timely manner. Interview a sampling of employees with recent personnel actions to determine whether they have received notification of the action.

b. Standards. There is compliance with *Section 950* of the *Civil Service Act* and *Section 105.2* of the rules of the State Civil Service Commission. *Management Directive 580.11, Documentation of Classified Service Personnel Actions*, identifies all personnel actions requiring written notice. Notification should be provided at least one day prior to the effective date for most actions unless exceptions are permitted by other SCSC issuances. Non-Civil Service employees are also informed, in writing, of personnel actions affecting them.

Element 22. Has authority been officially delegated to the personnel officer for signing personnel action notification letters?

a. Procedures. Determine whether a policy is in place which designates the personnel officer as the authority to sign personnel actions. Contact the SCSC, Bureau of Audit and Technical Services, to determine whether a current Form SCSC-5280, Delegation of Signatory Authority, is on file.

b. Standards. Adequate when written authority for signing personnel actions has been officially delegated to the personnel officer and the signature block on notification letters reflects this delegation.

Element 23. Are Civil Service employees who cannot be returned from LWOP being placed on preferred employment lists?

a. Procedures. Review attendance records and Official Personnel Folders to identify employees who have been placed on LWOP. Discuss with the personnel officer whether employees who could not be returned have been put on preferred reemployment lists. •

b. Standards. There is compliance with *Sections 807.1 and 807.2 of the Civil Service Act*, which grant the right of return to an employe on leave without pay. In cases where no vacancy is available, the employe shall have priority return status for one year in the class from which the leave was granted, unless otherwise specified by collective bargaining agreements.

Element 24. Are Civil Service and Non-Civil Service employees provided with information regarding restrictions on political activity? •

a. Procedures. Interview the personnel officer and a sample of Civil Service and Non-Civil Service employees to determine if information on political activity restrictions has been provided. •

b. Standards. Adequate when:

(1) The SCSC Information Pamphlet #10, Political Activity for Civil Service Employees – Do's and Don'ts, has been provided to all Civil Service employees.

(2) A summary of the Governor's Code of Conduct and the Hatch Act on restricted political activities has been provided to all Non-Civil Service employees. •

(3) Political activity restrictions as outlined in SCSC Information Pamphlet #10, Governor's Code of Conduct, and the Hatch Act are discussed during new employe orientation. •

(4) Unanswered questions are referred to the SCSC Investigation and Verification Division and OA, Bureau of Personnel. •

Element 25. Does the agency follow appropriate procedures for filling Non-Civil Service (NCS) vacancies?

a. Procedures. Contact the OA, Bureau of State Employment (BSE), to determine whether the agency is using appropriate procedures and filling NCS vacancies in a timely manner. Review agency procedures for filling NCS vacancies with the personnel officer to determine whether they conform to the requirements of *Management Directive 515.10, Selection and Appointment to Non-Civil Service Positions*. •

b. Standards. Adequate when:

(1) Prior to requesting referrals, the personnel officer ensures that budgetary and exception to freeze approvals are obtained, contractual placement rights are adhered to, bargaining unit bids are solicited and resolved, and transfers considered.

(2) Referrals are requested via a EMS Request-to-Fill and no other candidates are interviewed. Requests for minority referrals are made, as appropriate, to meet affirmative action goals.

- (3) Once referrals are received, all candidates are contacted and interviewed in a timely manner;
- written notices are provided to selectees and nonselectees; and all referral lists are returned to BSE with justifications for nonselection of referrals within 30 days.
 - (4) Any advertising for positions has been approved through BSE.

Element 26. Does the agency submit a weekly vacancy report of Non-Civil Service positions to the Bureau of State Employment, Office of Administration?

- **a. Procedures.** Contact the agency personnel officer to determine if they are coding all vacancies on the InfoQuest System, using the standard Position Placement Codes. Vacancies can be coded any day of the week, as the status of the vacancy changes.
- **b. Standards.** Adequate when vacancies are coded weekly by the agencies.

Element 27. Does the agency administer clerical skill tests to Non-Civil Service clerical applicants if they have not been tested by the Bureau of State Employment (BSE), Office of Administration?

- **a. Procedures.** Contact the personnel officer and responsible staff person to determine if standard NCS clerical tests, approved by BSE, were used. Ensure that standard testing methods were used.
- **b. Standards.** Adequate standardized clerical tests approved by BSE are used and administered in an appropriate location. Testing situations are uniform for all applicants.

Element 28. Have any candidates recently been appointed at a salary level above the minimum step in any classification?

a. Procedures. Interview the personnel officer to determine whether Civil Service or Non-Civil Service appointments have been made above the minimum step; if so, ensure that appointments conform to the requirements of OA, Bureau of Personnel. Contact OA, Pay Division, to determine whether agency is following appropriate procedures and policies.

b. Standards. Adequate when agency appointments above the minimum step do not exceed an applicant's present or most recent salary by more than ten percent; special circumstances such as outstanding qualifications, special training, or recruitment difficulties exist; and previous policies are not superseded.

Element 29. Are senior level and Senior Management Service (SMS) appointments, promotions, transfers, and removals appropriately handled?

a. Procedures. Interview personnel officer and appropriate staff to determine procedures for appointing, promoting, transferring, and removing senior level and SMS positions in the agency and a sampling of personnel history files of senior level and SMS employees to determine appropriateness of procedures. Interview a sampling of senior level managers to gather their perceptions. •

b. Standards. Adequate when:

(1) Senior level appointments, promotions, and transfers are processed in accordance with *Management Directive 515.16, Appointments to Senior Level Positions*, including prior approval of the Bureau of State Employment and the Secretary of Administration. •

(2) SMS appointments, promotions, transfers, and removals are processed in accordance with Chapter 32 of the *Personnel Rules*, including approval of the position within the SMS by the Secretary of Administration, granting of leave of absence from Civil Service, and retreat or return rights. SMS employees are notified of their status and rights verbally during the interview process and in writing prior to appointment.

Element 30. Are verification checks conducted on all initially appointed employees?

a. Procedures. Interview the personnel officer to determine whether verification checks are conducted on final candidates selected for employment and Employment Eligibility Verifications, Form I-9, are completed on all hires since November 6, 1986, as required by *Management Directives 515.15, Identification, Employment, and Education Verification Checks*, and *505.7, Personnel Rules, Sections 29.17, Identification, Employment, and Education Verification Checks*, and *29.18, Immigration, Reform, and Control Act (IRCA)*, are followed. Review a sampling of Official Personnel Folders of employees recently hired to ensure verification documentation is included, i.e., Form I-9 for employment eligibility and a statement that verification checks were made. • • •

b. Standards. Adequate when verification calls are made to references provided by the candidate to confirm the candidate's identity, work experience, and educational background directly related to the job and Employment Eligibility Verifications, Form I-9, are completed on all new hires.

- **C. EQUAL EMPLOYMENT OPPORTUNITY (EEO).**
- **Element 1. Are appropriate top management EEO responsibilities defined and communicated in writing?**
- **a. Procedures.** Review the agency's EEO plan to determine if top management's role is defined, and discuss placement of the EEO function within the organization.
- **b. Standards.** Adequate when the agency head supports the program and has appointed, in writing, an official who is responsible for the day-to-day implementation and monitoring of the EEO program. Sufficient allocations of resources are provided in support of the program.

- **Element 2. Has top management established and publicized a clearly stated policy in support of the Commonwealth's EEO policy?**

- **a. Procedures.** During discussions with the equal opportunity managers/specialists, request a copy of the agency's policy and determine if it clearly states a position consistent with the policy requirements in *Manual M410.3, Guidelines for Equal Employment Opportunity Plans and Programs*, and *Management Directive 505.7, Personnel Rules, §25.2*. The policy should be reviewed to determine when it was published, to whom it was disseminated, and where it is posted for review.

b. Standards. Adequate when the policy is a clearly written statement of the agency head's commitment to practices of EEO and nondiscrimination as it relates to employment practices including:

- Recruitment.
- Selection.
- Appointment.
- Promotion.
- Training.
- Delegation.
- Discipline for minorities, females, and employees with a disability.
- Job applicants.

The agency's policy statement, in letter or memorandum form and signed by the agency head, includes at least the following:

- **(1)** The agency's commitment to a fundamental policy of nondiscrimination for all persons regardless of race, color, religious creed, ancestry, union membership, age, sex, sexual orientation, national origin, AIDS or HIV status, or non-job related disability.
- **(2)** That EEO will affect all employment practices including recruiting, interviewing, hiring, promoting, and training.
- **(3)** The responsibility of all management personnel to participate in EEO planning.

(4) That management performance relating to the success of the agency's EEO plan will be evaluated in the same way as other agency objectives. •

(5) That a worksite free of discrimination (including discrimination against any employee or client with, or perceived to have, AIDS or HIV infection) and harassment (including sexual harassment) is maintained. •

(6) Provisions for EEO for qualified applicants and employees with a disability. •

(7) Assurances that, in offering employment and promotions to persons with a disability, no reductions in compensation would result because of disability income or other benefits. •

(8) Assurances that reasonable accommodations will be made for the physical or mental limitations of all applicants and employees who have a disability. •

(9) Identification of both the equal opportunity managers/specialists and the responsible deputy and their office locations and telephone numbers. •

The policy is revised or reissued annually or as necessitated by a change in the individuals responsible for the EEO program. •

Element 3. How has this policy been communicated throughout the agency to bureaus, regions, and field offices?

a. Procedures. Review appropriate PMR questionnaire results and ask managers and supervisors how they were informed of the EEO policy, what processes were used to explain the policy, and how they inform their employees of the policy. Review written correspondence which disseminates the policy and determine if the policy is posted on agency bulletin boards. •

b. Standards. Adequate when a combination of several of the following methods as well as any other appropriate methods are used to disseminate the policy:

(1) Publications such as policy manuals, employee newsletters, and employee handbooks.

(2) Staff meetings with management and supervisory personnel.

(3) Management orientation and training programs.

(4) Employee orientations.

(5) Bulletin board postings which are visible to all employees and job applicants.

(6) Payroll stuffers.

(7) Communications with external recruitment sources including unions, colleges and universities, technical schools, and community organizations which specialize in the recruitment or provide services to minorities, women, and persons with a disability. •

- **Element 4. Is the role of the Equal Opportunity Manager/Specialist clearly defined and appropriate?**
- **a. Procedures.** Review the equal opportunity manager's/specialist's job description and Employee Performance Review (EPR) form, as well as the EEO plan, to determine functions and responsibilities. Interview the Equal Opportunity Manager/Specialist and staff regarding their roles in the agency's EEO program.
- **b. Standards.** Adequate when responsibilities of the Equal Opportunity Manager/Specialist are clearly defined in the agency's EEO plan, including the monitoring of all aspects of the personnel management system impacting on equal employment and serving as consultant to agency management in identifying problem areas. These shall include the activities outlined in other elements of this section as well as the following:
 - **(1)** Training and assisting managers in the use of computer generated reports to review race and sex statistics of employees.
 - **(2)** Developing action plans with managers to correct problem areas in the work force or work environment.
 - **(3)** Providing feedback to top management regarding evidence of discrimination, if any, and progress toward achieving EEO goals.
 - **(4)** Managing the monitoring process to ensure effective implementation of the agency's EEO program.
 - **(5)** Providing orientation sessions to managers and supervisors regarding the approved EEO plan.
 - **(6)** Resolving formal complaints of discrimination and informal discrimination issues following guidelines provided in *Manual M410.3, Guidelines for Equal Employment Opportunity Plans and Programs* and *Management Directive 410.10, Guidelines for Investigating and Resolving Discrimination Complaints*.
 - **(7)** Coordinating responses to the Bureau of Equal Employment Opportunity (BEEEO), Pennsylvania Human Relations Commission (PHRC), and the Equal Employment Opportunity Commission (EEOC) regarding complaints of discrimination.
 - **(8)** Providing feedback to the agency's responsible official for equal employment regarding the performance of managers in equal employment.
 - **(9)** Reviewing and approving Commonwealth of Pennsylvania Equal Employment Review Certificates (Form STD-483).
 - **(10)** Producing the utilization analyses identified in Part One, Section Five of *Manual M410.3, Guidelines for Equal Employment Opportunity Plans and Programs*.

Element 5. What is the level of coordination between the agency personnel officer and Equal Opportunity Manager/Specialist?

a. Procedures. Interview the Equal Opportunity Manager/Specialist and personnel officer to determine the nature of their relationship and type of coordination that occurs. Ask the team leader or whomever interviews the official (deputy or equivalent) responsible for the EEO program to obtain perceptions regarding this relationship. Contact the Office of Administration, Bureau of Equal Employment Opportunity (BEEEO), for their perception regarding the working relationship with and between both parties.

b. Standards. Adequate when open communication exists between the personnel officer and Equal Opportunity Manager/Specialist, appropriate information is exchanged, and coordination occurs on the following topics:

(1) Forecasting job vacancies based on employee turnover and newly-created or abolished positions.

(2) Analyzing furloughs, appointments, promotions, terminations, and related personnel functions.

(3) Ensuring that agency personnel policies and procedures incorporate the goals of the Commonwealth's EEO program.

(4) Coordinating efforts to implement the Commonwealth of Pennsylvania Equal Employment Review Certificate process (Form STD-483).

(5) Ensuring that all managers and supervisors carry out their personnel duties in a fair and equitable manner.

(6) Resolving informal complaints of discrimination including sexual harassment.

(7) Responding to fact-finding requests from the BEEEO, PHRC, or EEOC regarding specific components of the agency's EEO plan.

(8) Providing furlough counseling to members of protected groups, and monitoring the placement and recall process for minorities, females, and disabled furloughees.

(9) Creating an agency network of recruitment resources of minorities, females, and disabled job candidates.

(10) Developing procedures for ensuring nondiscriminatory recruitment processes for qualified job applicants.

(11) Coordinating placement activities for furloughed minorities, females, and persons with a disability.

(12) Providing the Equal Opportunity Manager/Specialist advance notice of vacancies and promotional opportunities.

- **Element 6. Has a specific agency EEO plan been developed and has it been approved by the Office of Administration, Bureau of Equal Employment Opportunity (BEEO)?**

- **a. Procedures.** Review the agency's EEO plan with the BEEO staff. If a plan was not received prior to the beginning of the review, request a copy of the approved EEO plan from the Equal Opportunity Manager/Specialist.

b. Standards. Adequate when an approved agency EEO plan is in place and is periodically revised in accordance with *Management Directive 505.7*, *Personnel Rules, Chapters 24 and 25*; *Executive Order 1996-9, Equal Employment Opportunity*; and *Manual M410.3, Guidelines for Equal Employment Opportunity Plans and Programs*. The plan must include:

- (1) Title Page.
- (2) Transmittal memorandum from the agency to the Secretary of Administration by the agency head.
- (3) Policy Statements.
- (4) Dissemination of Commonwealth Policy Statement.
- (5) Responsibilities.
- (6) Utilization Analysis (Eight Point Factor).
- (7) Action Programs.
- (8) Exhibits.

Element 7. What provision does the plan make to assure that minorities and women receive equitable consideration for development and training opportunities for advancement?

- **a. Procedures.** Review the EEO plan and determine whether the plan discusses the manner in which training opportunities are made available and how it ensures that minorities, women, and individuals with a disability receive bona fide consideration for training. Discuss with the Equal Opportunity Manager/Specialist, personnel officer, or training officer whether race and sex data is maintained for all participants in agency training programs.

b. Standards. Adequate when:

- (1) The EEO plan includes provisions for assuring that training opportunities will be provided equitably to minorities, women, and employees with a disability.
- (2) Race and sex data is maintained for all participants in training programs.
- (3) An analysis is performed by race, sex, and EEO code to determine if minorities and women are equitably represented in training and development activities.

Element 8. Are EEO monitoring and reporting requirements being met?

a. Procedures. Interview the Equal Opportunity Manager/Specialist and personnel officer to determine whether monitoring and reporting requirements are completed in accordance with *Manual M410.3, Guidelines for Equal Employment Opportunity Plans and Programs*, and the Commonwealth of Pennsylvania Equal Employment Review Certificate reporting process (Form STD-483). Contact the OA, BEEO, regarding the agency's timeliness and compliance to requirements.

b. Standards. Adequate when:

(1) Monitoring procedures are established and used to determine whether the EEO plan and program are being implemented and include monitoring of personnel transactions, training, exit interviews, and achievement of EEO goals.

(2) Reporting requirements are completed and forwarded to the OA, BEEO in a timely manner, including the EEO plan no later than January 31st of each year.

(3) The Equal Employment Opportunity Information System (EEOIS) is utilized in the processing of the Commonwealth of Pennsylvania Equal Employment Review Certificates.

Element 9. Are the computerized statistical analyses used effectively?

a. Procedures. Discuss with the Equal Opportunity Manager/Specialist how the statistical analyses identified in *Part One, Section Five of Manual M410.3, Guidelines for Equal Employment Opportunity Plans and Programs*, are developed. Interview managers and the Equal Opportunity Manager/Specialist to determine their familiarity with these analyses and how they are used in conjunction with the EEO program.

b. Standards. Adequate when:

(1) The statistical analyses are generated by the Equal Opportunity Manager/Specialist or a staff member, using the standardized EEO software package, and includes the: Work Force Analysis; Job Group Analysis; Availability Analysis, based on the "Eight Factor Computation Method;" Utilization Analysis; and Objectives.

(2) The Equal Opportunity Manager/Specialist and his or her staff have been trained to use the EEO standardized software package and are familiar with how the software works and what information is required to be entered into the software system.

(3) The Equal Opportunity Manager/Specialist, his or her staff, and managers have been trained in the use of the statistical analyses reports and are familiar with the information it contains.

(4) The information provided by the statistical analyses is used to address underutilization of minorities and females and to pursue the achievement of objectives and action programs.

Element 10. Is the agency generally making progress toward achieving annual program and minimum representation objectives within time frames identified in its EEO plan?

a. Procedures. Review the annual plan and determine whether the action plans have been met and what is the level of underrepresentation.

b. Standards. Adequate when the majority of the action plans have been accomplished within stated time frames and when the minimum representation level has been achieved or good faith efforts have been made to achieve the minimum representation level.

Element 11. What is the role of agency managers in assisting in the development and implementation of the agency's EEO plan and program.

- **a. Procedures.** Discuss with managers their participation in developing and implementing the EEO plan. Review appropriate PMR questionnaire responses prior to interviews with managers and supervisors. Review any written standards and responsibilities for managers in the EEO program.

b. Standards. Adequate when managers:

- (1) Actively participate in the development and implementation of the EEO plan, including providing input to the process of establishing objectives and action programs.
- (2) Establish a work climate free of discrimination and harassment.
- (3) Interact with other managers in the overall EEO process.
- (4) Provide equal opportunity in all personnel practices.
- (5) Encourage subordinates to reflect overall philosophy and goals of the EEO program.

Element 12. What has been the extent of communications, training, orientation, incentives, and performance evaluations to motivate supervisors and management to achieve EEO program objectives?

- **a. Procedures.** Discuss with the responsible official, Equal Opportunity Manager/Specialist, personnel officer, managers, and supervisors what actions have been taken to ensure that they understand the EEO policy and their roles and responsibilities in EEO planning, implementation, and monitoring. Obtain a copy of the agency's EEO performance standards. Discussions should also be conducted with the agency training officer to determine the extent of involvement in the education process in EEO. A sampling of supervisor performance ratings should be reviewed to determine if they are being evaluated on their progress toward achievement of EEO goals.

b. Standards. Adequate when:

- (1) The current EEO plan has been distributed to all agency managers prior to program implementation.
- (2) Clearly defined responsibilities have been developed for managers and supervisors.
- (3) Managers and supervisors recognize and accept their responsibilities in the EEO program.
- (4) Managers and supervisors have been provided training on their roles and responsibilities in the planning, implementation, and monitoring of the EEO program.
- (5) Specific goals and objectives have been negotiated which are reflected in the management performance evaluation reports of these employees.
- (6) Managers and supervisors have been informed of their roles and responsibilities in implementing the Commonwealth of Pennsylvania Equal Employment Review Certificate program (see Form STD-483).

Element 13. Do agency employees demonstrate understanding and confidence in the EEO program? •

a. Procedures. Review the appropriate PMR questionnaire responses to determine whether employees feel that minorities and women are treated fairly. Interview a sampling of minority and female employees to determine their perceptions of the opportunities available to them, whether they have experienced any discrimination or harassment, and whether they have formally voiced their complaints.

b. Standards. Adequate when employee responses indicate that:

(1) Minorities and women are treated fairly and have equal opportunities. Responses indicating more opportunities would be reflective of specific actions having been taken in the interest of furthering EEO goals. •

(2) Employees are aware of the identity of the Equal Opportunity Manager/Specialist and know how to contact him/her. •

(3) Employees are aware of the discrimination complaint process and know how and where to file a discrimination complaint. •

(4) Such complaints have been handled effectively and with attempts made to resolve them at the lowest level. •

Element 14. Has cooperation with the personnel officer, Civil Service Commission, the Bureau of State Employment, and other recruitment resources produced satisfactory results to effect recruitment of minorities, females, and persons with disabilities? •

a. Procedures. Discuss with the personnel officer and Equal Opportunity Manager/Specialist whether adequate minority, female, and disabled candidates have been made available through established channels. If there has been any independent special EEO recruiting activity, discuss results, review available documentation, and ascertain the need for a special recruitment effort. •

b. Standards. Adequate when attempts are made to ensure that sufficient minorities, females, and candidates with a disability are available in the applicant pool so that individuals within these groups can be considered for all agency positions. •

Element 15. What accomplishments have been made in EEO recruiting over the last year and what are the strengths and weaknesses of the existing program? •

a. Procedures. Discuss accomplishments, weaknesses, and strengths of the EEO program with the Equal Opportunity Manager/Specialist and review documentation that indicates the extent of progress made. •

b. Standards. Adequate when documentation reveals that the agency's personnel management system has been fully analyzed to identify strengths and weaknesses and when objectives are being accomplished to correct identified problems.

Element 16. What attempts have been made to analyze and correct underutilization?

- **a. Procedures.** Discuss with the Equal Opportunity Manager/Specialist and the personnel officer the attempts made to correct underutilization of minorities and females in those areas where the utilization analysis show underrepresentation.

b. Standards. Adequate when attempts have been made to correct underutilization through such techniques as development of recruitment plans, trainee classes, or career development plans.

- **Element 17. Are employees using the EEO office for resolution of discrimination complaints?**

- **a. Procedures.** Determine the extent of activity by interviewing the Equal Opportunity Manager/Specialist, personnel officer, and labor relations coordinator (if appropriate) to discuss the frequency of discrimination complaints. Attempt to determine whether all complaints which should be brought to the Equal Opportunity Manager/Specialist are being submitted. Determine whether other organizations outside the agency, such as the Equal Employment Opportunity Commission (EEOC) and the Pennsylvania Human Relations Commission (PHRC), are being used to file complaints or appeals alleging discrimination are filed with the State Civil Service Commission. Interview employees and supervisors to determine if employees understand that certain complaints could be filed with the Equal Opportunity Manager/Specialist.

- **b. Standards.** Adequate when there is documentation to show that all employees have been advised of the availability of the EEO office for voicing complaints and problems and receive counseling regarding their appeal rights and options. Complaints are filed on Form STD-473, Grievance/Complaint Record, with the central office Equal Opportunity Manager/Specialist when their resolution cannot be resolved at the lower levels. Formal complaints are investigated using the procedures established in *Management Directive 410.10, Guidelines for Investigating and Resolving Discrimination Complaints*.

- **Element 18. Has the agency identified an HIV/AIDS Coordinator and developed and implemented an AIDS workplace program?**

- **a. Procedures.** Determine through record review and employee interviews if the agency has a current AIDS policy statement consistent with *Executive Order 1996-12, Workplace Policy for HIV/AIDS*, and *Management Directive 505.26, HIV/AIDS in the Workplace*.

b. Standards. Adequate when:

- **(1)** An HIV/AIDS Coordinator has been designated.
- **(2)** A policy statement has been approved by the Office of Administration and the Department of Health.
- **(3)** An ongoing AIDS training program has been developed for the agency.
- **(4)** All employees have received *Executive Order 1996-12, Workplace Policy for HIV/AIDS* and *Management Directive 505.26, HIV/AIDS in the Workplace*.

Element 19. Has the agency developed and implemented disability-related employment policies and procedures?

a. Procedures. Determine through review of records, policies, and employe interviews if the agency has established policies and procedures for disability-related employment issues consistent with *Executive Order 1996-11, Disability-Related Policy, and Management Directive 205.25*.

b. Standards. Adequate when:

(1) The Commonwealth's disability-related policies have been clearly communicated to employes. The agency has developed a written process to request accommodations and this process has been communicated to all employes.

(2) Agency has designated a disability policy coordinator and employes are aware of this person's identity.

(3) Assurances have been given for equal employment opportunities for applicants and employes with disabilities.

(4) The agency has established separate and confidential record keeping systems to maintain any confidential medical information and requests for accommodations that may identify the disability of any employe.

(5) Neither applicants nor current employes are limited, segregated, or classified in such a way that adversely affects the opportunities or status of the applicant or employe because of his or her disability.

(6) Job applications, examinations, interviewing techniques, training, selection, and promotion processes do not screen or tend to screen out from employment qualified individuals with disabilities.

(7) The agency has considered, and where appropriate, honored requests for reasonable accommodations from otherwise qualified applicants and current employes with disabilities.

(8) Employes are aware of the procedures to file a complaint of discrimination based on disability with the agency equal opportunity managers/specialists following procedures outlined in *Management Directive 410.10, Guidelines for Investigating and Resolving Discrimination Complaints*.

(9) Agencies with field activities have designated field disability policy coordinators/facilitators consistent with the size and need of the facility.

(10) The agency has required that all disability-related employment policies and procedures are complied within the agency.

D. EMPLOYE RELATIONS.

Element 1. Has an agency labor relations coordinator been designated?

a. Procedures. Contact the OA, Bureau of Labor Relations (BLR), and agency personnel office to determine identity.

b. Standards. Adequate when a labor relations coordinator has been designated and his or her identity has been disseminated throughout the organization and to the OA, BLR.

Element 2. Are the agency's labor relations functions coordinated effectively with the agency personnel office; program offices; and the Office of Administration, Bureau of Labor Relations? Are responsibilities clearly assigned for each office?

a. Procedures. Interview the personnel officer and labor relations coordinator to determine the method of coordinating labor relations program activities among the program offices; the OA, BLR; and the agency's personnel office. Review with bureau directors and top management the extent of coordination with the labor relations coordinator. Contact the OA, BLR, to determine the effectiveness of the agency's labor relations coordination and program.

b. Standards. Adequate when a cooperative working relationship has been established among the offices which contribute to the effective administration of the agency's labor relations program and when clearly assigned responsibilities have been developed for each office.

Element 3. Is there an effective working relationship between the labor relations coordinator and the agency's managers and supervisors?

a. Procedures. During interviews with managers and supervisors, ascertain whether there is a cooperative working relationship with the labor relations coordinator. Determine whether communications are adequate and if the labor relations coordinator is providing necessary assistance and guidance on decisions which impact on labor-management relations.

b. Standards. Adequate when managers and supervisors recognize the importance of an effective labor relations program by establishing communication with the labor relations coordinator to resolve problems consistent with collective bargaining agreements.

Element 4. Is there an effective working relationship between management and union officials?

a. Procedures. Review PMR questionnaire results and interview the agency head or appropriate deputy to determine top management's perspective and their judgment in the factors which have contributed to the nature of labor-management relations within the agency. Also, meet with the labor relations coordinator to obtain his or her opinion of labor-management relations and what problems exist. Local union officials who appear on the interview schedule may provide information on the nature of the labor-management relationship. Determine if regular labor-management meetings are held and whether substantive issues are being discussed. Review minutes of these meetings and determine what constructive changes have occurred.

b. Standards. Adequate when a relationship exists in which:

(1) Open lines of communication between union and management result in regular discussions of contract issues and cooperative efforts to resolve differences.

(2) Contract grievance procedures are administered in an effective, timely manner.

(3) Grievance resolution occurs or is at least attempted at the lowest level of supervision.

Element 5. Has appropriate delegation of authority been assigned to managers and supervisors in the labor relations program?

a. Procedures. Interview managers and supervisors and determine whether appropriate authority has been delegated to them to effectively administer the provisions of contracts and to resolve grievances. Identify, in their judgment, what changes should be made and how these changes could enhance the effective and equitable administration of contracts.

b. Standards. Adequate when the delegation of authority has been clearly stated by the agency head or labor relations coordinator for investigating, analyzing, and responding to grievances as required by *Management Directive 590.7, Labor Relations – Grievance Administration*.

Element 6. What has been the extent of labor relations training provided by the agency's training office, agency labor relations coordinator, or Office of Administration?

a. Procedures. Discuss extent of training during the past two years with the labor relations coordinator, agency training officer, and the OA training and labor relations representatives. Review PMR Questionnaire responses to provide preliminary information.

b. Standards. Adequate when appropriate supervisory personnel have received or are scheduled to receive training in basic labor relations theory, contract interpretation, and labor relations and grievance handling courses, and receive appropriate management directives and other data which affect their responsibilities. Coordinate with PMR analyst reviewing the training program.

Element 7. Are contract briefings periodically provided to appropriate managers and supervisors by the labor relations coordinator?

a. Procedures. Review PMR questionnaire responses and interview a random sampling of managers and supervisors to determine the extent of contract briefings they are receiving.

b. Standards. Adequate when managers and supervisors are briefed on contract changes as they occur.

Element 8. How effective has labor relations and grievance handling training been?

a. Procedures. Discuss with the labor relations coordinator the impact labor relations training has had on the agency's labor relations program. Interview supervisors who have received training and obtain their opinion of the effectiveness of the training and whether they feel more comfortable with their labor relations responsibilities. If a technical evaluation system is in place for agency training programs, review this information to obtain an assessment of the programs and identify potential problem areas.

b. Standards. Adequate when the training has provided participants with an understanding of their roles and responsibilities as supervisors and representatives of management which enables them to function effectively when dealing with labor relations issues.

Element 9. What are the results of grievances which have been carried to arbitration? Are proper investigation and documentation procedures followed? Are results implemented?

a. Procedures. Review the grievance and arbitration file to determine the number of grievances which have gone to arbitration. Determine the number in which the award favored the grievant or the employer or in which the action was modified by the arbitrator, as well as those settled or modified. Review arbitration results to ensure that decisions have been implemented.

b. Standards. Adequate when arbitration awards are not made in favor of the grievant because of improper investigation or lack of appropriate documentation and all arbitration results are appropriately implemented.

Element 10. Is an analysis periodically conducted on employe grievances?

a. Procedures. Review the grievance file and determine the number of grievances submitted and the number appealed to the third and fourth steps and any carried to arbitration. If the number of grievances appears to be above normal considering the size of the agency, determine the nature of the labor-management climate and whether any analysis has been done to identify common grievances arising from specific contract provisions. This analysis could identify information to be used to eliminate or revise management practices that are being grieved and may prove beneficial during contract negotiations. This information may suggest changes which should be negotiated.

b. Standards. Adequate when an analysis occurs on an annual basis to identify trends in grievances which might require proposed changes to agreement provisions, management practices, contract interpretation, etc. If unusually high numbers of grievances are occurring, the labor relations coordinator should work closely with top management in an attempt to rectify major problems. Any changes in management procedures resulting from a high number of grievances should not alter management rights or contract provisions.

Element 11. Are supervisors kept informed of the status of grievances submitted by employees under their supervision?

a. Procedures. Review appropriate PMR questionnaire responses and discuss with the labor relations coordinator the procedures used to keep supervisors advised on the status of grievances. Interview a sampling of supervisors to determine if they are kept adequately informed of the status of grievances submitted by their employees.

b. Standards. Adequate when supervisors are periodically notified by the labor relations coordinator of the status and resolution of grievances submitted by employees under their supervision and of grievances which are of general interest to the agency.

Element 12. Are employee seniority lists being posted in areas accessible to all employees as required by collective bargaining agreements?

a. Procedures. Discuss with the labor relations coordinator methods used to satisfy the requirement to post seniority information and postings.

b. Standards. Adequate when seniority lists are posted at worksite bulletin boards or other easily accessible locations throughout the agency. Manual recordings of seniority listings should be calculated in days. Seniority lists are provided to the local union president upon request but not more than once every six months. •

Element 13. Is overtime equalized and posted?

a. Procedures. Discuss with the labor relations coordinator, supervisors, and employees how overtime is equalized and where it is posted. Determine if there are any grievances. Review PMR questionnaire responses.

b. Standards. Adequate when procedures outlined for the equalization of overtime in labor contracts are followed.

Element 14. Are vacancy lists posted as required by collective bargaining agreements?

a. Procedures. Discuss with the labor relations coordinator, supervisors, and employees how the agency is satisfying the requirement to post vacancy information as required by contract provisions and what means are used to make the information readily available to employees. Determine if there have been any grievances. Review PMR questionnaire responses.

b. Standards. Adequate when entry level positions are posted for five calendar days and bargaining unit vacancies are posted 15 calendar days in advance of their filling, unless an emergency dictates a shorter period of time; postings are in easily accessible areas, such as worksite bulletin boards, and include the position numbers, job information, and procedures for applying; and grievances are investigated and resolved. •

Element 15. Is there a written policy on employe conduct in place? Has it been disseminated to employes?

- **a. Procedures.** Through discussions with the personnel officer or appropriate staff person, determine whether an approved policy on employe conduct has been disseminated throughout the agency. Review the employe handbook for reference to employe conduct. Interview supervisors and employes to determine whether they received and understand the policy.
- **b. Standards.** Adequate when a policy covering rules of conduct, overall standards of performance, and disciplinary procedures and actions, that is in compliance with personnel rules, labor contracts, and any rules unique to the agency, has been disseminated, and that employes are aware of and understand the policy.

Element 16. Are the consequences of violations to the policy on conduct based on the Commonwealth philosophy of progressive discipline?

- a. Procedures.** Review the policy and, through discussions with the personnel officer or appropriate staff person, determine the agency's approach to discipline. If the philosophy differs from the corrective progressive model, discuss the rationale behind the adopted approach.
- b. Standards.** Adequate when disciplinary policies stated in *Chapter 36 of the Personnel Rules*, and *Management Directive 590.7, Labor Relations – Grievance Administration*, are followed.

Element 17. Are disciplinary actions uniformly applied throughout the agency and consistent with "just cause" provisions?

- a. Procedures.** Review PMR questionnaire responses and determine from interviews with employes and supervisors whether disciplinary actions are uniformly carried out. Review the disciplinary actions file for any irregularities in application and, if any are found, review the cases thoroughly with the personnel officer.
- b. Standards.** Adequate when discipline is applied according to stated policy and in accordance with the *Personnel Rules* and labor agreements. An appropriate guideline would include:
 - (1) Employes are aware of rules of conduct and consequence of violations.
 - (2) Discipline is corrective and progressive.
 - (3) Discipline is determined on an individual basis considering severity of offense and work history.
 - (4) A thorough investigation is conducted and circumstances adequately documented prior to implementing discipline.
 - (5) Discipline is imposed within a reasonable time of management's knowledge of the infraction.

Element 18. Do discipline letters contain appropriate information relative to dates, reasons, and appeal rights?

a. Procedures. Review sampling of discipline letters, including those on suspension, dismissal, and resignation in lieu of discharge. •

b. Standards. Adequate when letters meet requirements of *Management Directives 580.11, Documentation of Classified Service Personnel Actions*, and *590.7, Labor Relations – Grievance Administration*, and contain appropriate appeal rights. •

Element 19. What authority has been assigned to managers and supervisors for carrying out disciplinary actions?

a. Procedures. Review appropriate PMR questionnaire responses and discuss the agency's disciplinary policy with the personnel officer or labor relations coordinator to determine the level at which disciplinary actions are authorized, including participation in pre-disciplinary conferences. •

b. Standards. Adequate when authority to discipline, in the form of issuing oral and written reprimands or recommending discipline, has been given to supervisors consistent with bargaining unit determinations. The responsibility for issuing more severe forms of discipline such as suspensions and dismissals has been clearly established and is understood by supervisors.

Element 20. Are managers and supervisors aware of the types of infractions or behavior which warrant disciplinary action?

a. Procedures. Review the personnel files or grievance files to determine what infractions normally receive discipline. Any inconsistencies should be noted and discussed with the labor relations coordinator.

b. Standards. Adequate when the established standards for types of behavior which warrant disciplinary action follow the guidelines in *Chapter 36 of the Personnel Rules* and the Governor's Executive Order on *Code of Conduct*.

Element 21. When appropriate, are counseling and oral reprimands effectively used prior to taking more severe disciplinary action?

a. Procedures. Review personnel files to determine whether counseling and oral and written reprimands are issued prior to issuing more severe disciplinary actions. Discussions with employees should also reveal whether or not effective use of counseling and reprimands is being accomplished.

b. Standards. Adequate when all employee infractions which do not require the immediate recommendation to suspend or dismiss have been dealt with by using progressive discipline. Supervisors are to maintain appropriate supervisory notes to document counseling and oral reprimands.

Element 22. Has the agency developed a system to ensure that the financial disclosure requirements of Act 170 and the Governor's Code of Conduct are being met?

a. Procedures. Interview the personnel officer to determine whether the requirements of *Management Directives 205.10, Financial Disclosures Required by Act 1978-170, as Amended by Act 1989-9, Public Official and Employee Ethics Law; 205.12, Financial Disclosures Required of Former Employees by Act 1978-170, as Amended by Act 1989-9, Public Official and Employee Ethics Law; 205.9, 1995 Implementation of Financial Disclosure Provisions of the Governor's Code of Conduct; and 505.7, Personnel Rules, Section 36.27, Financial Disclosure*, are being followed.

b. Standards. Adequate when:

(1) Staff members and former employees required to file financial disclosure statements are properly notified and a process involving the agency's chief counsel is in place for reviewing the statements for possible conflicts of interest.

(2) Terminating employees are informed of applicable employment restrictions and are provided a copy of "*Requirements for Former Public Employees and Public Officials Under Act 170.*"

(3) Financial statements are properly filed and purged and access procedures meet the requirements of the above listed directive.

Element 23. Does the agency ensure an adequate review of financial disclosure forms?

a. Procedures. Determine if personnel office staff review all financial disclosure forms for potential conflicts of interest and "red flag" potential problem cases for the agency Chief Counsel to review. Discuss with the Chief Counsel the substance, procedures, and timeliness of his or her review of forms and whether any conflicts have been identified.

b. Standards. Adequate when the personnel office reviews all financial disclosure forms and identifies those with potential problems and the agency Chief Counsel performs a substantive and timely review of all forms.

Element 24. Are proper procedures followed when employees and public officials are charged with criminal misconduct?

a. Procedures. Interview the personnel officer to determine whether the requirements of the Governor's Executive Order on *Code of Conduct*, are being followed.

b. Standards. Adequate when:

(1) The Secretary of Administration is notified as soon as possible after receipt of pertinent data and is provided specific data on all Commonwealth employees charged with criminal conduct.

(2) The agency head takes appropriate action to investigate the nature of the criminal charge and makes a predetermination as to whether the employee should continue to perform his or her duties.

(3) An employee charged with criminal conduct related to his or her employment with the Commonwealth, or which constitutes a felony, is suspended as soon as practicable without pay. Adequate follow-up is conducted, including investigation of circumstances and attendance at court hearings.

Element 25. Has a supplementary employment process been established to ensure the submission and review of supplementary employment requests?

a. Procedures. Interview the personnel officer to determine whether the requirements of *Management Directives 515.18, Supplementary Employment*, and *505.7, Personnel Rules, Section 36.26, Supplementary Employment*, are being followed: •

b. Standards. Adequate when:

(1) Employees are notified, in writing, of their responsibility to submit supplementary employment requests.

(2) Request forms are submitted, reviewed for conflicts of interest, cross-checked with financial disclosure forms, and a determination is rendered.

(3) Supplementary employment request forms are properly maintained.

(4) The Secretary of Administration is sent required copies of all agency approvals of supplementary employment. •

Element 26. Are activities that are not specifically or directly connected with the official business of the Commonwealth prohibited in agency facilities and offices?

a. Procedures. Interview the personnel officer, supervisors, and employees to determine if the requirements of *Management Directive 205.14, Prohibition of Activities Not Specifically or Directly Connected with the Official Business of the Commonwealth on Commonwealth Property*, are followed.

b. Standards. Adequate when the policy contained in *Management Directive 205.14* has been disseminated and action is taken to ensure compliance.

Element 27. Has a strike contingency plan been developed, approved, and maintained current?

a. Procedures. Request and review a copy of the strike contingency plan from the personnel officer.

b. Standards. A strike contingency plan has been developed consistent with guidelines provided in *Management Directive 590.5, Guidelines to be Followed During Legal Strikes*, and approved by the Office of Administration.

Element 28. Have employees been informed of the provisions of the *Whistleblower Law, Act 1986-169*?

a. Procedures. Interview employees who provide employee orientations and determine how and when employees are informed of the Whistleblower Law. Review new employee orientation checklists as well as appropriate bulletin boards.

b. Standards. Adequate when all employees are informed of provisions of the Whistleblower Law in accordance with *Management Directive 205.16, Compliance with the Whistleblower Law, Act 1986-169*.

- **E. ATTENDANCE MANAGEMENT.**

- **Element 1. Is there a designated attendance administrator in the personnel office who coordinates an active agency leave program?**

- a. **Procedures.**

- (1) Interview the personnel officer and the attendance administrator to determine the extent of leave responsibility assigned to the personnel office and whether the agency has an active leave program.

- (2) Determine the amount of time invested in operating the leave program.

- b. **Standards.** Adequate when:

- (1) The personnel office is responsible for administering the leave program.

- (2) There is a designated attendance administrator.

- (3) There is an active leave program.

- Element 2. Have the agency head and other top managers demonstrated continuing support for the leave program?**

- a. **Procedures.** Interview the agency head, personnel officer, and a sampling of managers, supervisors, and employees to determine their perception of top management support for the leave program.

- b. **Standards.** Adequate when the perception within the agency is that the agency head and top management strongly support the leave program.

- Element 3. Has a clear, thorough leave policy been disseminated to all employees?**

- a. **Procedures.**

- (1) Determine from the attendance administrator if a written policy on leave, which includes subjects such as sick leave abuse, sick leave restriction, sick family use, compensatory time earning and use, and sick, parental, and family care leave as they relate to the *Family and Medical Leave Act of 1993*, has been provided to all employees.

- (2) Determine if leave policy reminders have been issued through memos, an employee newsletter, or payroll stuffers.

- b. **Standards.** Adequate when a thorough, clear leave policy has been disseminated to all employees and reminders and updates are issued.

Element 4. Are supervisors/approving authorities exposed to the leave program through supervisory training, a supervisor's manual on leave, the agency personnel manual, and/or through briefings conducted by the attendance administrator?

a. Procedures.

(1) Determine from the attendance administrator and from a sampling of supervisors whether training, a manual, and/or briefings have been provided and whether they are effective.

(2) Review outlines used for training or briefings and review the supervisor's manual and agency personnel manual.

(3) Determine if supervisors have been provided guidance on how to promote acceptable leave usage and handle leave problems.

(4) Determine if supervisors know who to contact if a leave problem or question arises.

b. Standards. Adequate when:

(1) Supervisory training includes a portion on the leave program, supervisors have a leave manual, the personnel manual covers leave, and/or the attendance administrator has briefed supervisors thoroughly on the leave program.

(2) Supervisors have been provided policies and procedures on motivating employees toward acceptable leave usage and handling leave problems.

(3) Supervisors know who to contact with leave problems and/or questions.

Element 5. Are newly-hired employees provided an overview of the leave program through personnel office briefings, formal orientation, and/or an employee handbook?

a. Procedures. Interview the attendance administrator and a sampling of recently hired employees to determine if an overview of the leave program has been provided. In particular, determine if restrictions for leave anticipation during the first year of employment have been explained.

b. Standards. Adequate when new employees have been provided a full explanation of the leave program soon after beginning employment.

Element 6. What measures are being taken to control and decrease employee sick leave usage?

a. Procedures.

(1) Interview the attendance administrator and a sampling of managers and supervisors and review written documentation to determine if a plan to reduce sick leave use has been established.

(2) Determine if specific objectives for each part of the agency have been developed and publicized, and if managers participated in their development.

(3) Determine if steps have been taken to emphasize the management of leave in areas with relatively high or increasing sick leave use.

b. Standards. Adequate when steps are taken to control and reduce sick leave usage, particularly in areas with relatively high or increasing sick leave use.

Element 7. Does the personnel office monitor sick leave use and provide feedback to top management?

- **a. Procedures.** Interview the personnel officer, the attendance administrator, and a sampling of managers and supervisors and review written reports to determine if sick leave use is monitored and results reported to the agency head and top managers. Confirm findings with the team leader based on his or her discussion with the agency head.

b. Standards. Adequate when sick leave usage is monitored and progress reports are provided to top management.

- **Element 8. Does the attendance administrator monitor the use of the following types of leave: tardiness, AWOL, LWOP, compensatory, educational, and administrative leave?**

- **a. Procedures.** Interview the attendance administrator to determine if these types of leave are reviewed and analyzed. Determine if problems found are addressed.

- **b. Standards.** Adequate when the attendance administrator monitors the above types of leave, works to rectify problem areas, and makes adjustments to records when the leave is incorrectly used.

- **Element 9. Have appropriate Management Directives, leave policy statements, and time and attendance reporting system procedures been disseminated to timekeepers assigned throughout the agency, and have timekeepers been trained in their use?**

a. Procedures.

- **(1)** Interview the attendance administrator, central office leave transactions staff, and a sampling of timekeepers to determine if leave policies and procedures have been disseminated to timekeepers and if training has been provided. Determine if timekeepers know who to contact if they have leave-related questions. Determine if follow-up training and procedure changes are adequate and provided timely by the attendance administrator.

- **(2)** Interview a sampling of new timekeepers to determine if training on leave policies and on the time and attendance reporting system was adequate and performed timely by the attendance administrator.

- **b. Standards.** Adequate when all timekeepers are knowledgeable about pertinent leave policies and procedures, know how to use the time and attendance reporting system, and know who to contact if they have questions.

Element 10. Has the personnel office developed an audit method to periodically evaluate work unit leave practices?

a. Procedures.

- **(1)** Review employe attendance records during the records review and interview the attendance administrator and a sampling of timekeepers to determine if employe attendance records (Forms STD-330, C336L, and computer screens) periodically are audited.

- **(2)** Determine findings and corrective actions taken as a result of the audits.

b. Standards. Adequate when employe attendance records are reviewed at least annually by the timekeeper to ensure that balances and leave usage match the amounts recorded on the forms and the time and attendance reporting system. Adequate when the attendance administrator audits records periodically to ensure that leave codes are properly used and to determine any problem areas. •
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Element 11. When required, are employe leave adjustments processed properly and in a timely manner? •
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a. Procedures.

(1) Review appropriate leave reports and interview the attendance administrator and central office leave transactions staff to determine if the following types of leave adjustments are made in a timely manner when required: •
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(a) Excess leave extension (seven-pay period extension). •

(b) Readjustments to sick leave balances with excess leave extensions.

(2) Review appropriate leave reports and interview the attendance administrator and a sampling of timekeepers to determine if the following types of leave adjustments are made properly and in a timely manner by the timekeeper: •
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(a) Invalid personal leave.

(b) Overanticipated leave – restitution required and new employe overanticipation. •

(c) Invalid sick family leave and invalid military leave. •

b. Standards. Adequate when required leave adjustments are correctly processed.

Element 12. Are appropriate Integrated Personnel/Payroll System displays used to process and monitor time and attendance data? •
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a. Procedures. Ask the timekeepers to demonstrate use of the displays. •

b. Standards. Adequate when timekeepers are knowledgeable about the following displays: •

(1) PTA055 – 056 — paid leave displays. •

(2) PTA229 – 230 — time and attendance input displays. •

(3) PTA112 – 119 — time and attendance history displays. •

- **Element 13. Do managers and supervisors effectively handle employees who abuse leave privileges or scheduled work hours?**

- a. Procedures.**

- (1) Interview the personnel officer and review what agency experience has been with suspected or confirmed leave abuse or abuse of work hours.

- (2) Determine what direction or guidance has been provided to managers and supervisors and whether any employees have been placed on leave restriction.

- (3) Review a sampling of discipline cases to determine if management consistently applies counseling and progressive discipline to leave abusers.

- b. Standards.** Adequate when a leave policy has been developed and disseminated to appropriate managers and supervisors which ensures that:

- (1) The employee is counseled when attendance has become of concern to management.

- (2) The employee is encouraged to improve attendance and is placed on leave control which may require a written statement from a physician each time sick leave is taken.

- (3) Oral and written reprimands, suspensions or letters under the alternative discipline system, and dismissals are issued in progressive steps if attendance does not improve.

- (4) A leave restriction listing is maintained and is updated at least quarterly.

- (5) All activity has been thoroughly documented.

- **Element 14. Is there a substantial number of leave-related grievances, and is the attendance administrator involved with or familiar with leave-related grievance activity?**

- a. Procedures.** Interview the attendance administrator and discuss with the team member covering employee relations to determine if there are leave-related grievances and if the attendance administrator is involved with or familiar with them.

- b. Standards.** Adequate when the attendance administrator is involved in or familiar with any leave-related grievances and when he or she ensures that leave policy adequately reflects leave settlements and decisions.

- Element 15. Have positive steps been taken with union officials to address leave problems and develop common solutions?**

- a. Procedures.** Interview the attendance administrator, discuss with the team member covering employee relations, and review minutes of pertinent labor management meetings to determine if leave issues have been discussed with union officials.

- b. Standards.** Adequate when management has made an effort to discuss and resolve leave problems with union officials.

Element 16. Is an employe attendance recognition program in place at the agency?

a. Procedures. Interview the personnel officer and attendance administrator to determine if a recognition program is in place for employes with exemplary sick leave records, or if special awards have been given to such employes. ●

b. Standards. Adequate when recognition of some type is given to employes who have exemplary sick leave records.

Element 17. Are attendance standards included in employe performance standards and are employes rated on those standards?

a. Procedures. Interview the attendance administrator and review a sampling of performance standards and performance evaluations, including some for employes with poor attendance (i.e., unexcused absence) records. ● ● ●

b. Standards. Adequate when attendance standards are developed for employes and when employes are rated on those standards.

Element 18. Does the agency promote wellness among employes as an investment in long-term health and good attendance?

a. Procedures. Interview the personnel officer to determine if the agency has taken steps to promote employe health, such as distributing health related material or arranging for employe recreational opportunities.

b. Standards. Adequate when the agency has taken steps to encourage good health among employes.

Element 19. Are supervisors and employes aware that they have rights under the *Family and Medical Leave Act of 1993*? ● ●

a. Procedures. Interview the personnel officer and a sampling of employes to determine if they are aware that they have rights under the *Family and Medical Leave Act* as it relates to sick, parental, and family care leave without pay. Determine if the "Your Rights Under the *Family and Medical Leave Act of 1993*" poster is posted in all work locations. ● ● ● ●

b. Standards. Adequate when supervisors and employes are aware that they have rights and posters are placed in all work locations. ● ●

Element 20. Does the agency have a policy for office closings? ●

a. Procedures. Interview the personnel officer and a sampling of employes to determine if a policy has been issued and if employes are aware of it. ● ●

b. Standards. Adequate when the agency has a policy which conforms to *Management Directives 530.17, Partial and Full-Day Closings of State Offices*, and *505.7, Personnel Rules, Section 30.7, Office Closings*, and employes are aware of it and know how they will be advised of a closing. ● ● ●

F. BENEFITS AND SERVICES.

Element 1. How are new employees oriented regarding the Commonwealth's benefits programs?

a. Procedures. Review appropriate PMR questionnaire responses and interview the employee services coordinator to determine if an orientation program is offered to new employees. Interview a sampling of new hires for their perception of the benefits orientation program. Determine the following:

- (1) Program structure (classroom, one-on-one briefing, employee handbook).
- (2) Program outline.
- (3) Field employee participation.

b. Standards. Adequate when newly-hired employees are provided with an explanation of their benefits from a standard checklist and follow-up procedures are in place which allow for contacts at a later date if any questions arise. This can be provided by a formal group presentation or on an individual basis.

- **Element 2. Do new or newly-eligible employees effectively receive information regarding the medical options available through the Pennsylvania Employees Benefit Trust Fund (PEBTF)?**

- **a. Procedures.** Review the employee orientation program outline. Interview the employee services coordinator to determine what information is provided to employees regarding the medical options available through the PEBTF. Obtain a list of employees who recently enrolled in one of the PEBTF's medical options. Interview those employees to determine if they received a copy of the PEBTF Summary Plan Description and, if applicable, telephone numbers of the POSs and HMOs available in their service area. Determine if they were told to enroll in a medical plan within 31 days of eligibility.

- **b. Standards.** Adequate when:

- (1) Eligible employees receive a copy of the PEBTF Summary Plan Description and, if applicable, telephone numbers of the POSs and HMOs.

- (2) Employees are told by their personnel office to enroll in a medical option within 31 days of eligibility or employment.

- **Element 3. Are PEBTF-2 forms for new or newly-eligible employees enrolling in one of the PEBTF's medical options completed and processed to the PEBTF within 31 days of the effective date of employees' eligibility?**

- **a. Procedures.** Obtain a list of new employees who recently enrolled in one of the PEBTF medical options. Review the employees' PEBTF-2 forms contained in their Official Personnel Folders, Form STD-301, to determine when the forms were mailed to the PEBTF.

- **b. Standards.** Adequate when PEBTF-2 forms for new and newly-eligible employees who enrolled in one of the PEBTF medical options are correctly completed and mailed to the PEBTF within 31 days of eligibility.

Element 4. Are employees who enroll in the POS or HMO Options informed of the Medical Reimbursement Plan:

a. Procedures. Obtain a list of new employees who recently enrolled in either a POS or an HMO option. Interview employees to determine whether they were notified of the Medical Reimbursement Plan.

b. Standards. Adequate when employees who enrolled in a POS or an HMO were notified of the Medical Reimbursement Plan.

Element 5. Are employees who have exhausted their six months of sick and parental LWOPWB or 12 weeks of family care LWOPWB either returned to an active pay status or placed on a regular LWOP?

a. Procedures. Review monthly report PIP81601 (FMLA Related LWOP Eligibility Control Report) to obtain the names of employees who have or will soon exceed their maximum leave and/or benefits entitlement(s). Review the Official Personnel Folders, Form STD-301, to determine if these employees were notified that their leave and benefit entitlements were or are about to expire.

b. Standards. Adequate when benefits are cancelled for employees who remain on LWOP after their benefit entitlement expired, and employees are notified in advance of the changes in accordance with *Management Directive 530.2, Sick Leave Without Pay, Parental Leave Without Pay, and Family Care Leave Without Pay*; and *Management Directive 530.4, State Paid Benefits While on Sick, Parental, or Family Care Leave Without Pay*.

Element 6. Are employees provided with the PEBTF Summary Plan Description (SPD) upon hiring or gaining eligibility for coverage?

a. Procedures. Interview the employee services coordinator to determine if copies of the PEBTF SPD are kept in stock. Ask employees hired in the past 12 months and interviewed during the PMR whether they received the SPD.

b. Standards. Adequate when newly-eligible employees receive revisions to their PEBTF Summary Plan Description.

Element 7. Are permanent full-time and part-time employees who are enrolled in one of the PEBTF's medical options reminded to add or remove dependents from their Basic, HMO, or POS coverages?

a. Procedures. Interview the employee services coordinator to ask how employees are notified to add or remove dependents from their Basic, HMO, or POS coverages. Determine if the coordinator received from the Office of Administration, Employee Benefits Division, a memorandum and a list of employees whose type of contract changed due to the adding or removing of dependents, which was prepared by the PEBTF. If the coordinator received the report, obtain a sampling of permanent part-time employees on the report who are enrolled in the Basic Option. Review the PEBTF-2 form in their Official Personnel Folders, Form STD-301, to determine if these employees were charged the correct premium rate based on adding or removing their dependents.

- **b. Standards.** Adequate when:
 - **(1)** Permanent full-time and part-time employees are reminded to add or remove dependents from their Basic, HMO, or POS coverages.
 - **(2)** The Basic Option premium rate for permanent part-time employees reflects the correct number of dependents.

- **Element 8. Are new or newly-eligible permanent employees effectively informed of their eligibility for Group Life Insurance coverage?**
 - **a. Procedures.** Review the new employee orientation program outline. Interview the employee services coordinator to determine what information and/or material is provided to permanent employees regarding the Group Life Insurance Program (GLIP) during their orientation session. Obtain a list of new and newly-eligible permanent employees who enrolled in the GLIP. Interview the employees to determine what information they received regarding the GLIP.
 - **b. Standards.** Adequate when:
 - **(1)** Permanent employees are counseled regarding the GLIP.
 - **(2)** Permanent employees complete a Beneficiary Designation, Form LM-1381b.
 - **(3)** Enrolled employees receive copies of the Group Life Insurance Program Summary sheet and the Certificate of Insurance, Form TL-004850.

- **Element 9. Are terminating employees being notified of their right to convert the Group Life Insurance coverage within the first 16 days after termination?**
 - **a. Procedures.** Obtain a list of employees who have recently terminated employment. Determine if the employees were notified of their right to convert their Group Life Insurance coverage and, if requested, provided a Notice of Right to Convert Group Life Insurance, Form LG-6047f, and a List of Participating Insurance Companies, Form GLI-1.
 - **b. Standards.** Adequate when terminating employees are notified of the right to convert their Group Life Insurance coverage, and if requested, provided a Notice of Right to Convert Group Life Insurance and a List of Participating Insurance Companies.

- **Element 10. Are the Group Life Insurance Beneficiary Designations, Form LM-1381b, maintained in the Official Personnel Folders, Form STD-301? What controls exist regarding the release of beneficiary information?**
 - **a. Procedures.** Review a sampling of Official Personnel Folders, Form STD-301, to determine if copies of the Group Life Insurance Beneficiary Designation forms are on file. Interview the employee services coordinator to determine what procedures exist to protect the confidentiality of the beneficiary form information.

b. Standards. Adequate when:

- (1) New employees are notified of their right to complete a Beneficiary Designation form.
- (2) Copies of the form are maintained in employees' Official Personnel Folders.
- (3) Proper controls exist regarding the release of beneficiary information.

Element 11. Are employees who have exhausted their six months of sick and parental LWOPWB or 12 weeks of family care LWOPWB and placed on a regular LWOP notified by certified mail of their option to continue the Group Life Insurance (GLI) coverage for a maximum of 12 months by paying a monthly premium?

a. Procedures. Obtain a list of employees who were recently placed on a regular LWOP. Review the Official Personnel Folders, Form STD-301, to determine if employees were notified by certified mail of their option to continue GLI coverage for a maximum of 12 months by paying a monthly premium.

b. Standards. Adequate when employees receive a certified letter informing them of their option to continue GLI coverage for a maximum of 12 months.

Element 12. How are employees who turn age 70 and 75 informed of the reduction in the amount of their Group Life Insurance (GLI) and of their right to convert the coverage lost?

a. Procedures. Obtain a sampling of employees who appear on the monthly report of employees turning age 70 or 75 whose GLI amount will be reduced. Review the Official Personnel Folders, Form STD-301, to determine if the employees were notified by letter that their GLI coverage would be reduced based on turning either 70 or 75, and that they may convert the amount of insurance lost. If the employees requested, determine whether they were provided with a Notice of Right to Convert Group Life Insurance, Form LG-6047f, and a List of Participating Insurance Companies, Form GLI-1.

b. Standards. Adequate when employees turning age 70 or 75 are notified of the reduction in their GLI coverage and, if requested, provided with a Notice of Right to Convert and a List of Participating Insurance Companies.

Element 13. Are employees periodically reminded to review their Group Life Insurance (GLI) beneficiary designation forms to ensure that they are current?

a. Procedures. Interview the employee services coordinator to determine whether employees are reminded to update their GLI beneficiaries and what forms of notification, if any, are provided. Ask employees during the PMR interview process if, and how, they have been notified.

b. Standards. Adequate when employees are periodically reminded to review their beneficiary designation form.

- **Element 14. When employees appear to be permanently and totally disabled and are placed in an inactive pay status, does the personnel office provide them with an Application for Disability Life Insurance, Form LM-600742?**
- **a. Procedures.** Obtain names of employees who were recently placed in an inactive pay status because of an apparent permanent and total disability. Review the Official Personnel Folders, Form STD-301, to determine whether the employees received a letter and an Application for Disability Life Insurance, Form LM-600742.
- **b. Standards.** Adequate when employees who appear to be permanently and totally disabled and are placed in an inactive pay status receive a letter and an Application for Disability Life Insurance from the personnel office.
- **Element 15. Are employees advised of the termination date of their benefits when they are furloughed or terminate employment?**
- **a. Procedures.** Interview the employee services coordinator to determine the method of notifying employees who are terminating employment of the date that their benefits terminate and obtain copies of correspondence that was provided to employees who recently terminated employment.
- **b. Standards.** Adequate when employees who are terminating employment are informed of the effective date when their benefits will terminate.
- **Element 16. Does effective coordination exist between the agency's unemployment compensation coordinator, labor relations, field offices, comptroller's office, and legal office for processing unemployment compensation claims?**
- **a. Procedures.** Interview unemployment compensation coordinator and review methods used for processing required information, data collection, and data analysis.
- **b. Standards.** Adequate when communication and analysis occurred; and when Forms UC-1609 are provided to employees at the time of their termination, Forms UC-45 are completed and returned to OES within four days, and Forms UC-44F are reviewed upon receipt from the comptroller's office.

Element 17. Are unemployment compensation costs for the agency being analyzed?

- **a. Procedures.** Determine whether the Quarterly Unemployment Compensation Cost Report is being reviewed for possible errors, identification of costs by type of separation and location, and determination of costs of part-time and temporary employees. Review reports on statistics prepared for previous year.
- **b. Standards.** Adequate when the report is being used in determining agency unemployment costs.

Element 18. Are established procedures in place for ensuring that the agency is represented at unemployment compensation appeal hearings?

- **a. Procedures.** Review referee decisions to determine the agency's appeal hearings record and if the agency was represented at appeals hearings during the past year for which employee separations were at issue. Determine whether the field staff has received training in appeals hearings and if witnesses are briefed prior to attending hearings.

b. Standards. Adequate when either a staff person represents the agency at all unemployment compensation hearings or coordination and training have been established with the field offices.

Element 19. What actions have been taken by the agency to ensure that costs incurred by unemployment compensation claimants are appropriate?

a. Procedures. Determine whether procedures are in place for notifying OES within seven days if a claimant is offered a job, retirement benefits are reported for claimants who retire, and part-time wages are reported regularly to OES for claimants receiving partial UC benefits.

b. Standards. Adequate when management staff are aware of the guidelines listed in *Manual M530.14, Unemployment Compensation and the Supervisor*.

Element 20. Have internal routing procedures for Form CWC-119 or JPA-797, Workers' Compensation Claim Report, been established as part of the agency's workers' compensation program?

a. Procedures. Review any available internal processing procedures for Form CWC-119 or JPA-797. Determine if the internal procedure permits the timely processing of this form and that unnecessary steps do not exist in the procedure.

b. Standards. Adequate when supervisors of injured employees complete Forms CWC-119 or JPA-797 in a timely manner and the benefits coordinator has developed appropriate procedures throughout the agency to ensure that the workers' compensation third party administrator is provided a copy of the form within five workdays of notification of an accident for medical-only claims and within two days for indemnity claims. Program development, maintenance, and analysis are in accordance with *Manual M530.2, Workers' Compensation Insurance/Work-Related Disability Leave Administrative Manual*.

Element 21. Has the agency developed appropriate letters for distribution to employees who will be collecting workers' compensation and placed on injury leave?

a. Procedures. Obtain a sample of copies of notification letters sent to employees collecting workers' compensation who have been placed on injury leave. Determine whether the letters contain clearly stated pertinent information and information about the *Family and Medical Leave Act*.

b. Standards. Adequate when the letters contain the following information:

(1) If the claim is accepted, benefits will be continued. If denied, attendance records will be corrected and appropriate salary adjustments will occur.

(2) Explanation of leave options.

(3) Explanation of the financial transactions which take place to extend monetary benefits if paid leave is used.

(4) Information about the *Family and Medical Leave Act* is included.

Element 22. Has an effective tickler file and logging system been developed for contacting employes with a disability on a periodic basis to obtain updated information?

a. Procedures. During the interview with the responsible staff member, determine what methods have been developed to control and monitor the workers' compensation activities. Review these records and determine if adequate documentation is occurring to effectively administer the program.

b. Standards. Adequate when a tickler filing system ensures that the following contacts are made with disabled employes:

- (1) Three months after the accident, provide notification to apply for Social Security disability.
- (2) Five months after the accident, provide notification of change in benefits due to Social Security.
- (3) Eleven months after the accident, provide notification of termination of leave with benefits.

Element 23. What actions are being taken by the agency for returning an employe to work following an injury?

- a. Procedures.** Determine whether supervisors accompany injured employes for medical treatment, if the possibility of light duty is discussed with the treating physician, and whether disabled employes are periodically contacted or visited by an agency representative. Also, determine whether
- rehabilitative services available through the workers' compensation third party administrator and vocational contracts are considered to retrain employes for productive careers.

b. Standards. Adequate when a light duty assignment policy is in place and injured employes are periodically contacted and, if warranted, employes are returned to light duty assignments or are provided with rehabilitative or vocational services.

- **Element 24. What procedures are in place to ensure that workers' compensation claims are filed timely and that workers' changes in status are communicated to the third party administrator in a timely manner? How are workers' compensation costs monitored?**

- **a. Procedures.** Determine what methods are in place to monitor timeliness of injury reporting. Determine what the agency has done to improve timeliness and ensure that supervisors are aware of the importance of reporting injuries and changes in status in a timely manner and the related cost issues. Also, determine how workers' compensation costs are being monitored by reviewing reports such as the quarterly Casual Analysis and Loss Listing.

- **b. Standards.** Adequate when:

- (1) No claims are filed late (other than incident only claims that become submittable claims) and all changes in status are reported timely. Or, adequate when a procedure is in place to monitor timeliness and follow-up is made and corrective action is taken with offices and supervisors who are late in reporting injuries and changes in status. Claims are to be filed immediately for lost time and within three days for all others (except incident only claims are not filed unless or until the employe seeks medical attention) and changes in status are to be communicated immediately. Late is defined as:

(a) For indemnity claims, receipt of the claim by the workers' compensation administrator more than four days after the date of notification of the injury to the supervisor. •

(b) For medical only claims, receipt of the claim by the workers' compensation administrator more than eight days after the date of notification of the injury to the supervisor. •

(c) For changes in status, after the week in which the change occurred. •

(2) Costs are reviewed using reports and available information to determine how injuries and costs can be decreased. •

Element 25. Does the personnel office and State Employees' Retirement System (SERS) regional field offices work in cooperation and coordinate needed information? •

a. **Procedures.** Review appropriate PMR questionnaire responses and interview the designated retirement counselor to discuss the manner in which retirement counseling is provided.

b. **Standards.** Sufficient if the personnel office refers employees with retirement questions to the SERS regional field office and if SERS notifies the personnel office in writing of the completion of retirement papers. •

Element 26. Does the agency process retirement information in a timely manner?

a. **Procedures.** Review 056 Quarterly Retirement Processing Report to determine the timeliness rates for inputting termination transaction and final leave reporting into the Integrated Personnel/Payroll System (IPPS). •

b. **Standards.** Adequate when pay and leave data is being input into IPPS within 21 days of the effective retirement dates. •

Element 27. Does the agency have an employee recognition program in place?

a. **Procedures.** Review guidelines, standards, and policies which recognize employees, groups of employees, or organizations for exceptional performance or achievements.

b. **Standards.** Adequate when policies, responsibilities, and procedures are in place which ensure that the agency actively promotes employee recognition for longevity, retirement, and outstanding service or achievement as required by *Management Directive 505.23, Employee Recognition Programs*.

Element 28. Is information on direct deposit of pay periodically provided to employees?

a. **Procedures.** Review the quarterly report direct deposit participation to determine the agency participation rate. Interview employee services coordinator to determine whether information periodically is provided to agency staff on the direct deposit program. Also, review appropriate PMR questionnaire responses and interview a random sampling of agency staff for their perceptions on the program.

b. **Standards.** Adequate when employees are aware of the direct deposit of pay program and it is implemented in a timely manner for those electing to take part in it.

- **Element 29. Prior to and during the November enrollment period, are employees provided with information concerning the Family Care Account Program (FCAP)?**
- **a. Procedures.** Determine the number of employees enrolled in the FCAP. Review materials provided to employees to inform them about the FCAP.
- **b. Standards.** Adequate when employees are aware of the FCAP.

Element 30. Are the agency's benefits administrative manuals current?

a. Procedures. Review the following benefits manuals maintained by the employe services coordinator to ensure that they contain appropriate updated material:

- **(1)** *PEBTF Administrative Procedures Manual.*
- **(2)** *M530.2, Workers' Compensation Insurance/Work-Related Disability Leave Administrative Manual.*
- **(3)** *M530.3, Group Life Insurance Program Administrative Manual.*
- **(4)** *M530.9, Unemployment Compensation Insurance.*
- **b. Standards.** Adequate when all benefits manuals are current.

G. POSITION CLASSIFICATION.

Element 1. Is responsibility clearly assigned for position classification authority within the agency?

a. Procedures. Discuss with the personnel officer or appropriate management staff to determine whether classification authority has been officially assigned to the personnel office.

b. Standards. Adequate when functional statements clearly assign classification authority and maintenance responsibility to the central or field facility personnel office.

Element 2. Has the agency classification staff been trained in the Commonwealth's position classification program?

a. Procedures. Discuss with the classification staff the extent of training received during the past two years in basic and advanced classification methods.

b. Standards. Adequate when the classification staff expresses a sound knowledge of the Commonwealth's position classification program and receives periodic updated classification training as needed.

Element 3. Are procedures in place for developing and validating agency class specifications?

a. Procedures. Review policies and procedures with appropriate classification staff for uniformly collecting and documenting information on work assignments for submission to the OA, Bureau of Personnel, as required by *Management Directive 520.7, Development and Validation of Classification Standards*.

b. Standards. Adequate when the OA, Bureau of Personnel, receives required documentation for validating proposed classification specifications consistent with *Management Directive 520.7*.

Element 4. Is a system in place to monitor and control the reclassification and reallocation of positions involving classifications for which agencies have not been granted classification authority? ●

a. Procedures. Discuss with the personnel officer and appropriate classification staff whether uniform procedures exist for processing reclassifications and reallocations involving classes for which they do not have classification authority as required by *Management Directive 520.5, Centralized Classification Control System*. Review and discuss classification documentation provided to the OA, Bureau of Personnel, to determine if job descriptions, organization charts, and technical analyses justify the classifications forwarded by the agency. ●

b. Standards. Adequate when uniform procedures are in place to ensure that classification documentation is submitted to the OA, Bureau of Personnel, for all position classification actions requiring the approval of the OA, Bureau of Personnel, i.e., centralized classes and precedent setting actions. ●

Element 5. Does the agency classification program meet all conditions applicable for the continuation of decentralized classification authority?

a. Procedures. Interview classification analysts to determine if decentralized requirements are being met; review job descriptions, classifications, and OA post-audit reports.

- **b. Standards.** Adequate when requirements of *Management Directive 520.5, Centralized Classification Control System*, and the following are met:
 - (1) Maintenance of job descriptions for all positions.
 - (2) Review of 25 percent of agency positions on an annual basis.
 - (3) Discussion of organizational or functional changes affecting position levels with OA.
 - (4) Evaluate timeliness of compliance with implementation requirements in making adjustments to position classifications found in error as a result of post-audit activity.

Element 6. Are position classification surveys conducted in accordance with decentralized classification authority requirements which require that 25 percent of agency positions be reviewed on an annual basis? Do classification survey reports and individual position audit reports contain proper technical narratives and analyses to support agency recommendations?

a. Procedures. Discuss with the personnel officer and appropriate classification staff to determine whether classification surveys are properly conducted. Review recent classification survey reports and audit reports submitted to the OA, Bureau of Personnel, to determine whether they contain proper narratives and analyses. Review internal agency audit reports to determine if adequate technical analysis exists.

- **b. Standards.** Adequate when classification surveys are scheduled in accordance with *Management Directive 520.4, Position Classification Post Audits*, to ensure that audits of all positions are carried out which result in audits of 25 percent of the total positions on an annual basis. The survey and audit reports contain detailed narrative and analyses which are reflected in agency recommendations and reclassification actions.

Element 7. Are meetings held with agency program managers to discuss classification survey findings?

a. Procedures. Interview a sampling of program managers to determine whether they are provided with an adequate explanation of classification survey results.

b. Standards. Adequate when program managers are advised of classification survey findings within 30 days after the conduct of the survey or are informed that survey findings are pending when a prolonged survey remains incomplete.

Element 8. Do agency managers and supervisors possess sufficient understanding of the classification program to ensure that positions are properly allocated in their sections and understand their role in the classification process?

a. Procedures. Review appropriate responses listed in the PMR questionnaire and discuss with the classification staff to determine whether managers and supervisors possess a general understanding of the classification program. Interview a sampling of managers and supervisors to ensure that they are aware of their roles in the position classification process.

b. Standards. Adequate when managers and supervisors are aware of their role in the classification process and express an understanding that the classification program serves as a useful management aid by:

- (1) Ensuring that positions are properly allocated to provide for proper compensation.
- (2) Providing effective management of staff resources through equitable position assessment.
- (3) Assigning responsibilities for reviewing job descriptions on an annual basis and processing reclassification requests.

Element 9. Is position classification training periodically scheduled for agency managers and supervisors?

a. Procedures. Interview a sampling of managers and supervisors to determine whether classification training is being provided. Review available course outlines, evaluations, and attendance sheets to determine the extent of classification training scheduled during the past year including out-of-classification assignments and classification grievance processing.

b. Standards. Adequate when managers and supervisors have received classification training as part of a supervisory course or courses specifically designed for classification concepts.

Element 10. Have job descriptions been provided to agency employees and their supervisors?

a. Procedures. Interview a sampling of employees and supervisors to determine whether they possess current copies of job descriptions. Review PMR questionnaire responses to determine the percentage of respondents indicating that their job descriptions are available and current.

b. Standards. Adequate when employee job descriptions are current or are being updated and essential functions for the position are identified in an addendum to the job descriptions. ● ●

Element 11. Are job descriptions and essential functions present and technically well prepared at the agency? Is a system in place to ensure that job descriptions and essential functions periodically are updated? ● ●

a. Procedures. Review a sampling of job descriptions and essential functions to determine whether they clearly define the duties, responsibilities, and capabilities of the position and whether a position accuracy system is used for updating purposes. ● ●

- **b. Standards.** Adequate when the personnel office maintains job descriptions and essential functions for all positions that contain accurate statements of duties, responsibilities, and capabilities and update procedures are used that reflect any changes in those duties, responsibilities, and capabilities.
- Position accuracy forms or updated job descriptions and essential functions are reviewed and appropriate action is taken as needed.

• **Element 12. Are control procedures or time standards in place at the agency for processing requests for classification actions?**

- **a. Procedures.** Review internal procedures or standards and practices for processing classification requests within the personnel office and program offices. Review the log of submitted classifications.

- **b. Standards.** Adequate when classification requests normally are acted upon by the personnel office and findings communicated formally to employees and their supervisors within 30 days, unless the requests involve several positions which necessitate additional time. Employee initiated requests and classification grievances are processed in a timely manner consistent with contract provisions. A classification log indicates the type of action, employee name, classification, submittal date, decision, and date of status.

Element 13. Are identified, misclassified positions properly allocated at the agency?

a. Procedures. Review recent agency classification survey reports and any recent OA, Bureau of Personnel, post-audit reports to determine the disposition of identified, misclassified positions. Adjustments are to be made within four months of the date that improper classifications are uncovered. Interview personnel officer and classification analysts to determine if they are aware of any misclassified positions.

b. Standards. Adequate when corrective action has been taken by the agency to rectify any misclassified positions through reassignment, restructuring, or reclassification.

Element 14. Is the agency following correct procedures when an employee's position has been reallocated downward because of position reclassification including the salary save provision?

a. Procedures. Review personnel authorizations, position classification documents, and official personnel folders. Discuss specific situations with the personnel officer and classification analyst.

- **b. Standards.** Adequate when procedures and necessary documentation are followed in accordance with *Management Directive 580.28, Reallocation to a Lower Class in the Classified Service, Section 99.41 of the Civil Service Rules*, if applicable, and appropriate collective bargaining provisions.

• **Element 15. Does the agency have a standard procedure for submitting classification requests in accordance with *Management Directive 520.6, Processing of Reclassification Actions*, and does the agency properly apply *Management Directive 520.8, Pay Action Effective Dates for Changes to Position Classifications and the Classification Plan*?**

- **a. Procedures.** Review policies and procedures for submitting classification requests and determining the effective dates of reclassification actions to determine if they are in conformance with *Management Directives 520.6 and 520.8*.

b. Standards. Adequate when managers and supervisors or field personnel officers submit job descriptions, audit reports, and recommendations to the agency central personnel office where they are dated and analyzed. Approved reclassification requests reflect an effective date consistent with *Management Directive 520.8*. •

Element 16. Does the agency provide adequate technical documentation to support the assignment of proposed pay ranges to new classes or the revision of pay ranges to existing classes? •

a. Procedures. Review and discuss with Classification and Pay Division analysts the documentation being provided to assess the adequacy of this information. •

b. Standards. Adequate when agencies have provided appropriate internal and external comparisons as well as survey information to support the proposed pay ranges. •

Element 17. Are appropriate classification grievance procedures being followed at the agency?

a. Procedures. Review the classification grievance process with classification staff to determine whether procedures are in place to ensure that the necessary information is gathered, verified, and evaluated as required by *Management Directive 590.8, Classification Grievance Processing*.

b. Standards. Adequate when procedures are established to ensure that appropriate staff investigates, analyzes, and responds to classification grievances in a timely manner.

Element 18. What is the extent of classification grievance activity at the agency? What classes appear to be grieved most?

a. Procedures. Review the grievance files for the past year to determine classification grievance activity and whether there are any recurring class grievances. Discuss with the classification staff the reasons for recurring grievances.

b. Standards. Adequate when efforts are demonstrated to clarify or revise those class specifications where repeated grievance activity is evidenced by reassigning work, educating employees about the classification system, or exploring other alternatives to resolve problems. •

Element 19. Are agency monitoring procedures established for classification grievances which are appealed to higher levels?

a. Procedures. Interview classification and labor relations staff to determine what methods are used to monitor classification grievances which are appealed to higher levels. Review the grievance log to determine if the status of appealed classification grievances is properly noted and determine if managers/supervisors are informed of status.

b. Standards. Adequate when responsible staff and supervisors are aware of the status of appealed class grievances and a log is maintained for analysis when activity is high. The log should include: •

(1) Employee name and classification.

(2) Classification requested.

- (3) Date grievance received at third step and decision.
- (4) Date response sent to originator.
- (5) Date grievance forwarded to fourth step.
- (6) Date fourth step response received from OA, Bureau of Personnel, and decision.
- (7) Date advisory arbitration requested.
- (8) Date of arbitration award and decision.

Element 20. Are temporary working out-of-classification assignments monitored and controlled by the agency?

- **a. Procedures.** Discuss agency procedures to review and control the use of temporary assignments in a higher classification to determine adherence to *Management Directive 525.4, Temporary Assignment in Higher Classification*.
- **b. Standards.** Adequate when the following monitoring and control procedures are followed:
 - (1) Employees assigned to work in a higher classification are informed, in writing, of the temporary nature of the assignment.
 - (2) Assignments do not result in extreme pay range increases (two pay ranges or more) unless adequately justified.
 - (3) Employees meet the minimum education and training requirements of the higher classification.
 - (4) Justification for working in a higher classification is submitted by the employee's supervisor and efforts are made to ensure the assignment is absolutely essential and critical to the continued operation of the organizational unit.
 - (5) Temporary higher classification payment authorizations are verified against employee leave use when working in a higher classification and are consistent with the requirements of *Management Directive 525.4*.
 - (6) Supervisors have received training in their roles for administering working out-of-classification assignments.
 - (7) Working out-of-classification assignments do not exceed nine continuous months or the length of the leave of absence from the position to which the employee being replaced has a right of return. If assignment is to exceed nine months, adequate justification is submitted to OA to request an extension by the end of the eighth month.
 - (8) Working out-of-classification payments are input to the Integrated Personnel/Payroll System via PTA260 by close of business on Tuesday following the end of the pay period in which the assignment is worked to ensure biweekly payment.

Element 21. Are new employees briefed on the Commonwealth's classification and pay system during the orientation of the agency?

a. Procedures. Review with the classification staff any material presented to employees on the Commonwealth's classification and pay system. Determine whether basic classification information is available for employees in addition to their orientation briefing. Review PMR questionnaire responses to determine the extent of employee understanding of the classification system.

b. Standards. Adequate when the agency orientation program includes basic classification concepts and is supplemented with material which further explains the Commonwealth's classification and pay system.

Element 22. In agencies with field facilities, is classification technical assistance provided to ensure that the program is adequately administered throughout the agency?

a. Procedures. Interview the personnel officer or appropriate analyst to determine the procedures used to coordinate classification efforts at field facilities. During selective field visits, interview appropriate staff regarding the extent of assistance being provided by the agency's central office. Determine what standards have been established for the classification program in field facilities relative to surveys, documentation, and timeliness.

b. Standards. Adequate when the central office monitors field facility classification actions, maintains clearly defined lines of communications, provides assistance when required to ensure that classification actions are properly administered and has delineated specific standards for the documentation and timely processing of classification actions from the field facilities. The central office also assists field facilities in the conduct of surveys as needs dictate.

Element 23. How have agency organization changes affected the status of Senior Management Service (SMS) positions?

a. Procedures. Discuss with the personnel officer and classification staff to determine whether Senior Management Service assignments at the bureau, division, regional, district, or comparable levels were carried out based on the criteria of *Management Directive 505.7, Personnel Rules, Chapter 32*, and position and employee coding instructions issued by the OA.

b. Standards. Adequate when:

(1) Complete justification is submitted to OA, including specific class specifications, when positions are recommended to be included in SMS.

(2) SMS positions are recommended for removal from the SMS when they no longer meet requirements of the system.

(3) Positions and employees have been properly coded in the Integrated Personnel/Payroll System as SMS with an "S" in positions designated SMS by the Executive Board. The Type Service Employee field is coded "S" only for those employees occupying valid SMS positions. The Type Service Status field is coded to properly reflect the employee's rights under SMS and that non-SMS employees do not carry a code to be used only for employees in SMS positions.

- **H. EMPLOYE PERFORMANCE REVIEWS.**

Element 1. Has responsibility for coordinating, monitoring, and providing technical assistance/training in the administration of employee performance evaluations been appropriately assigned within the personnel office or agency?

a. Procedures. Interview the personnel officer and review personnel staff job descriptions, objectives, and standards to determine performance evaluation system responsibilities.

- **b. Standards.** Adequate when overall responsibility for coordinating the administration of performance evaluations is assigned to one employee. Specific responsibilities should be assigned or delegated in the areas of administrative processing, monitoring for timeliness and technical quality, and technical assistance/training in the establishment and use of work expectations/standards.

Element 2. Does the personnel office have a system for effectively monitoring the performance evaluation systems?

a. Procedures. Discuss with the personnel officer and staff responsible for the performance evaluation program the various monitoring activities which are performed. Interview managers and supervisors and discuss personnel office involvement. Review the EPR timeliness survey.

- **b. Standards.** Adequate when monitoring activities have been established to:
 - (1) Ensure timely submission of evaluations and progress reviews.
 - (2) Rating cycles meet the needs of the agency and employes are properly coded.
 - (3) Provide feedback and technical assistance to supervisors and management.
 - (4) Promulgate policy and procedures relative to administration of performance evaluations in agency.
 - (5) Assess training recommendations provided on EPR forms, and use the information in development of training plan.
 - (6) Maintain record of employe overall ratings.
 - (7) Provide management with necessary information and identification of any problems to ensure that systems operate correctly and appropriate rating cycles are established.
 - (8) Follow procedures/policy outlined in *Management Directive 540.7, Employee Performance Review*, are followed.
 - (9) Complete and return the EPR timeliness survey to the OA by March 1 of each year.

Element 3. Have standards/work expectations been established for all positions and conveyed to employes?

a. Procedures.

- (1) Interview managers, supervisors, and employes to determine how and when standards/work expectations are established and conveyed to employes.

(2) Review sampling of written standards, if utilized.

(3) Determine whether the method for conveying standards/expectations is consistent within a supervisory unit. ●

(4) Review job descriptions of managers and supervisors to determine if performance standard development is included. ●

b. Standards. Adequate when performance standards are established consistent with *Management Directive 540.7* or PLCB-41, State Store Appraisal Manual. Standards are clear, measurable, realistic, and time bound with input from the employee, supervisor, and reviewing officer.

Element 4. Are substantive and timely progress reviews conducted with appropriate modifications to objectives and/or standards?

a. Procedures.

(1) Review a sampling of EPR forms. ●

(2) Interview supervisors and employees to determine frequency and quality of progress reviews.

b. Standards. Adequate when formal progress reviews are conducted at least semiannually for employees and as needed to resolve problems. Appropriate modifications are made to objectives/standards as needs dictate.

Element 5. Has top management demonstrated support of the performance evaluation systems?

a. Procedures.

(1) Interview the agency head, deputies, and managers to determine level of involvement and use of evaluations.

(2) Interview personnel staff to determine top management action to resolve identified problems relating to administrative requirements of timeliness, progress reviews, training, and quality of standards.

b. Standards. Adequate when:

(1) Employees perceive top management commitment to the EPR processes. ●

(2) Top management takes appropriate corrective action to ensure adherence to administrative requirements. Supervisors/managers are rated on their adherence to these requirements. ●

(3) Top management administers a quality review standards to ensure consistency and integration with agency goals and objectives and work expectations and to ensure they are conveyed to employees. ●

Element 6. Does the personnel office provide top management with feedback on the performance evaluation process?

a. Procedures. Determine from the personnel officer and agency head whether there are any reports or information provided to the agency head or other top management employee relative to:

- (1) Supervisory compliance with EPR administrative processes, including timeliness and an assessment of methods used to convey work expectations/standards.
- (2) Distribution of overall ratings.
- (3) Any specific EPR problems which top management should address.

b. Standards. Adequate when periodic and/or as-needed reports and information are provided by the personnel office to top management addressing specific problem areas and requesting top management intervention to assist in the resolution of problems regarding EPRs.

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Element 7. Have all managers and supervisors received appropriate performance evaluation training?

a. Procedures.

- (1) Interview training officer or employee responsible for EPR training to determine amount and types of EPR training provided and target groups.
- (2) Review appropriate training records and discuss training efforts with managers and supervisors.

b. Standards. Adequate when:

- (1) All managers and supervisors have received training in the evaluation system(s) which they use to rate employees.
- (2) Training is offered on various methods for establishing standards/work expectations, including how to write appropriate measurable/timebased standards.
- (3) Refresher training is provided as needs dictate.
- (4) All newly-appointed or promoted supervisors are formally trained in the systems within six months and receive at least an in-depth briefing by the personnel office within the first month if formal training cannot be scheduled within the first month of appointment or promotion.

Element 8. Are the training and development sections on Form 363L completed and used effectively?

a. Procedures.

(1) Discuss how the training and development section is completed and used with the training officer and/or personnel officer and managers, supervisors, and employees.

(2) Review a sampling of evaluation forms.

b. Standards. Adequate when:

(1) Managers/supervisors complete the Training and Development Section (TDS) and comments indicate that efforts were made to obtain training.

(2) The training office reviews the TDS to assist in identifying training needs and developing the agency training plan.

Element 9. Have policies, procedures, and relevant information on the EPR processes been provided to manager/supervisors? ●

a. Procedures.

(1) Review written policies, procedures, and information provided to determine that adequate processing and policy issues have been addressed.

(2) Interview managers/supervisors to determine their relative understanding of EPR processes. ●

b. Standards. Adequate when written internal agency policies and procedures on the performance evaluation process have been disseminated and are consistent with requirements issued through *Management Directive 540.7, Employee Performance Review* and the *PLCB-41, State Stores Appraisal Manual*. ●

Element 10. Are procedures in place to effectively monitor probationary periods?

a. Procedures. Prior to review, obtain a copy of probationary period report for central agencies from the OA, Bureau of Personnel. Interview the personnel officer and staff and a sampling of managers and supervisors to determine if probationary periods are being effectively monitored. The SCSC is contacted regarding overdue probationary periods. ●

b. Standards. Adequate when:

(1) A system is in place to identify and monitor probationary periods.

(2) Follow-up occurs to ensure that interim evaluations are completed if required and end of probation evaluations are completed in a timely manner.

(a) Employees are notified, in writing, at least 10 days prior to the expiration of the probationary period that services have been satisfactory. ●

(b) A copy is sent to the SCSC. ●

(c) The personnel office appropriately confers regular status on the Integrated Personnel/ Payroll System (IPPS). ●

(3) Probationary periods are extended in a timely manner where employees are deemed to need additional time, experience, or training in order to achieve regular status or for leaves of absence during the probationary period. Employees are informed at least one workday prior to the effective date of the extension. A copy of the notice is simultaneously sent to the SCSC. ●

(4) Unsatisfactory performers are separated prior to the end of the probationary period.

(5) The personnel office provides assistance to supervisors in dealing with employee problems during the probationary period.

• **Element 11. Are reviewing officers actively involved in the establishment or approval of performance standards/expectations and administration of ratings?**

a. **Procedures.** Interview managers and supervisors to determine the role of the reviewing officer.

b. **Standards.** Adequate when reviewing officers:

(1) Approve, at a minimum, standards established for employees and attempt to ensure consistency among like organizational units or employees.

(2) Review and sign evaluations prior to obtaining signature of employees and address employee appeals.

Element 12. Does a performance evaluation appeal process exist within the agency?

a. **Procedures.** Interview the personnel officer and employees to determine knowledge of any appeal process.

b. **Standards.** Adequate when:

(1) Reviewing officers assess employee appeals and render decisions based on discussions with supervisors and employees as well as a review of the written documentation which supports the ratings.

(2) Classified service employees are informed of their appeal rights under *Section 951* of the *Civil Service Act* if they submit an appeal.

(3) In cases where the reviewing officer and employee's supervisor cannot reach agreement, they submit written documentation for review at the next level of supervision for final determination.

• **Element 13. Has the personnel office provided managers/supervisors with computer disks or on-line access to assist in preparation of the EPR form?**

• a. **Procedures.**

• (1) Interview personnel officer or staff responsible and determine if supervisors have been given the option of using personal computers (PCs) to prepare evaluations.

• (2) If supervisors have this option, determine if any problems exist in using PCs.

• b. **Standards.** Adequate when disks are available and supervisors have been trained in using automated EPR forms.

I. TRAINING AND STAFF DEVELOPMENT.

Element 1. Have the agency head and top management demonstrated support for the training program and encouraged staff development?

a. Procedures. Interview the agency head and the deputy of administration as well as a sampling of other managers, supervisors, and employees to determine the agency's support for training and staff development. ●
●
●

b. Standards. Adequate when: ●

(1) The agency's strategic plan includes the role that training plays in helping the organization meet its goals. ●
●

(2) A training budget has been established for the agency and/or individual organizational units. ●

(3) Training objectives are integrated into the employee performance evaluation system. ●

Element 2. Is the relationship of the training unit to the organization well defined and does an effective working relationship exist between the personnel and training officers?

a. Procedures.

(1) Review the agency's annual training plan, organization charts, and functional statements for training to determine whether the training program is appropriately placed in the organization.

(2) Interview the agency training officer to validate stated role of the training unit within the organization and determine relationship with personnel officer.

(3) Interview agency top management and a sampling of line managers to assess perceived accountability and responsiveness of the training unit.

(4) Interview the personnel officer to determine the nature of the relationship with the training officer and role in the training and staff development function.

b. Standards. Adequate when:

(1) Primary responsibility for coordinating employee training and development rests within the personnel office or, at a minimum, coordination occurs between the training and personnel units.

(2) The responsibility for training is clearly stated in the agency's training policy and the relationship between the training and personnel functions, if separate, is clearly defined.

(3) If the training unit is located outside the personnel office, the personnel officer, at a minimum, provides input into training programs, assists in presenting training in personnel-related topics, ensures that employee files contain training information, and provides information on new appointments or promotions to ensure that appropriate training is scheduled.

Element 3. Are sufficient employe training and development staff assigned?

a. Procedures.

- (1) Interview the agency training officer to determine the number of individuals whose primary duties are related solely to organizational learning needs and employe training and development.
- (2) Interview the agency training officer to determine if additional agency staff have been identified who can function as instructors in specific subject matter.

b. Standards. Adequate when:

(1) Depending on the size of the agency, a minimum of one individual is designated as the agency training officer. Additional duties should not be assigned which detract from the training coordinator's ability to fully support the training program.

(2) Depending on the size of the agency, an adequate number of individuals whose primary responsibilities are related to employe training and development are designated and their functional and structural relationship to the agency training officer is defined.

(3) Job descriptions are in place which identify the percentage of time spent on various training activities.

(4) A skill assessment of training staff has been conducted and appropriate development activities are occurring.

(5) A current list of additional agency personnel who can function as instructors is maintained and indicates names, titles, and subject areas.

Element 4. Have goals and objectives been established for the training program and have performance expectations and standards been developed for staff?

- **a. Procedures.** Review submitted objectives, if available, and discuss with the training coordinator and staff to determine if they are realistic, reflected in the training plan, in line with the agency's goals and objectives, and whether staff responsibilities have been identified. Review performance expectations and standards and discuss with the training officer to determine if they are appropriate.

b. Standards. Adequate when:

(1) Realistic objectives have been developed for the training program which are consistent with agency goals, incorporate identified training needs, and are reflected in the training plan.

- (2) Appropriate performance expectations and standards are in place for the training officer and staff that provide guidelines regarding the quality and quantity of work to be performed.

Element 5. Is a process in place to ensure adequate agency funding for employe training and development programs and to monitor and analyze training costs?

a. Procedures. Interview the agency training officer to determine his or her participation in establishing the agency budget, whether an agency training budget is in place, the sources of funding for training programs, and how training costs are analyzed.

b. Standards. Adequate when:

- (1) The training officer is involved in the budget preparation process for determining the amount of funds that should be allocated for training activities. ●
- (2) The agency has a specific training budget or appropriate method of allocating funds for training.
- (3) Adequate funds are available for employe training and development programs to meet employees' needs, including in-service and out-service training and purchasing of training resources.
- (4) Records of employe training and development cost figures (both in-service and out-service) are continuously maintained and a statistical summary and analysis are completed for each fiscal year.
- (5) The training officer participates in determining the most cost-effective means of obtaining needed training for agency employes. ●

Element 6. Are training resources adequate to support the training function and are they effectively utilized?

a. Procedures.

- (1) Review and discuss with the training officer agency inventory of training facilities and resources including equipment, supplies, audiovisuals, and reference materials.
- (2) Interview the agency training officer regarding access to training facilities, equipment, supplies, audiovisuals, and reference materials, including those available from other agencies. ●
- (3) Discuss with the training officer how the budget is allocated for training, the training officer's input in establishing the agency's training budget, and the process by which the training officer determines and accounts for training expenditures. ● ● ●

b. Standards. Adequate when:

- (1) Specific classroom and worksite training locations are designated for use by agency training staff, instructors, and supervisors.
- (2) A minimum supply of audiovisual equipment and training material is available to conduct a training course, i.e., easel stands and pads, visual/video playback systems, overhead projector, markers, handouts, name tents, etc. ● ● ●
- (3) Capability to develop materials (reproduction of handouts and making transparencies) has been identified.
- (4) Access to outside agency resources has been identified.
- (5) A catalog of agency resources (films, training programs, references, and journals) is maintained.

Element 7. Is there an agency employee training and development policy which clearly states the agency training philosophy and which is consistent with Commonwealth policy?

a. Procedures. During the record review process, the agency administrative or personnel manual should be reviewed for inclusion of a training policy. If a written policy is available, review it and determine if it clearly describes a comprehensive policy.

b. Standards. Adequate when the policy states:

- (1) Employees shall receive training in knowledge and skills required in the performance of their duties.
- (2) Supervisors are responsible for the training and development of their subordinates.
- (3) Development activities are geared to the needs of the organization.
- (4) The policy is consistent with the *Personnel Rules* and applicable Management Directives.

Element 8. Is an agency training plan prepared annually and a summary submitted to the OA Training Division or central office training unit (for field facilities)?

a. Procedures.

- (1) During the records review process, the agency's annual training plan should be reviewed.
- (2) Interview OA training and development staff or central office training staff to determine the quality of the agency plan using criteria in *Management Directive 535.7, Annual Agency Training Plan*.

b. Standards. Adequate when:

- (1) The plan contains the following:
 - (a) Training unit mission statement.
 - (b) Training program objectives stated in measurable terms and identifying specific results to be accomplished.
 - (c) Needs assessment conducted and identified needs reflected in plan.
 - (d) Designation of adequate staff and budget.
 - (e) Agency policies and procedures regarding the use of vendors, out-service training, and OA courses.
 - (f) Course content, number of presentations scheduled, and targeted participants as well as how courses meet identified needs.
 - (g) Employee development activities identified.
- (2) A summary training plan is submitted to the OA Training Division or central office training unit (for field facilities) by July 1 of each year for the upcoming fiscal year.

Element 9. Is an annual training report prepared and submitted to the OA Training Division or central office training unit (for field facilities) by August 15 of each year for training activities of the previous fiscal year? ● ●

a. Procedures. Review available training reports and interview OA Training Division staff or agency central office training unit staff to determine whether reports are submitted and the degree of their effectiveness and compliance with *Management Directive 535.7, Annual Agency Training Plans*.

b. Standards. Adequate when:

(1) The report briefly identifies the results accomplished, priorities of needs that have been met and the successful accomplishment of the training plan's objectives.

(2) The report is submitted to the OA Training Division or central office training unit by August 15 of each year .

Element 10. Is there a systematic approach to determining the training needs of agency employees?

a. Procedures. Review published instructions, reports, and information from the personnel officer, staff, and line managers to determine the methods used to assess training needs. Discuss needs assessment process with training officer.

b. Standards. Adequate when:

(1) Training needs are assessed annually prior to developing the training plan.

(2) Training needs are determined for managers, supervisors, and rank and file employees.

(3) Assessment methods include management/supervisory input, surveys, performance evaluation reviews, projected personnel needs, job analyses, and results of tests to determine skills and knowledge requirements.

(4) Results of assessments are analyzed, prioritized, and reflected in the training plan.

(5) Courses have been developed or sources located and agency resources allocated to meet these needs.

Element 11. Are priority training needs identified and reflected in the agency's annual training plan and the program curriculum?

a. Procedures. Review appropriate PMR questionnaire responses, training needs assessment data, the annual training plan, and training reports. Review all training courses provided in the last 12 months and discuss the reasons for offering those courses. If a needs assessment has been conducted, review the needs assessment and determine whether its results are consistent with the training which has been offered. If not, discuss this with the training officer and determine the reasons for offering the training, i.e., employe performance evaluation reviews.

b. Standards. Adequate when:

- (1) Priority needs are transformed into training objectives.
- (2) Agency resources are made available for and agency capabilities applied to priority topics.
- (3) Courses are developed and offered to meet needs. Behavioral objectives and lesson plans apply to identified needs.
- (4) Frequency, sequencing, and follow-up contribute to training objectives.

Element 12. Does the agency maintain permanent training records for all employees?

- a. Procedures.** Interview the training officer to determine whether records are being maintained for employees completing training courses and if they are in a computerized format. Review a random sampling of the training records to ensure that they are current.

b. Standards. Adequate when:

- (1) Computerized training records are maintained and updated for each employee, and are accessible by employee, or by course.
- (2) Training records or copies of computerized records are placed in Official Personnel Folders when employees terminate or transfer.

Element 13. Are training and development statistics compiled periodically in the agency?

- a. Procedures.** Review all available statistical summaries of agency training to determine the frequency of their preparation. Determine when the statistics are prepared.

b. Standards. Adequate when:

- (1) Training information is forwarded to the training officer in a timely manner after completion.
- (2) Statistics are compiled by course title, instructor, number of presentations, and total number of participants by race, sex, and bargaining unit as indicated in *Management Directive 535.7, Annual Agency Training Plans*.
- (3) Training statistics are periodically analyzed to determine whether the agency is meeting its goals and identified training needs are being met.

Element 14. Are scheduling, announcement, and nomination procedures in place to ensure inclusion of appropriate participants from within the entire agency?

a. Procedures.

- (1) Review training policy, procedures, and records, including nomination forms and training announcements.
- (2) Interview the training officer to determine the process for scheduling and announcing courses and for nominating and scheduling participants.

(3) Interview managers and supervisors to determine the effectiveness of the scheduling, announcement, and nomination procedures.

(4) Interview OA Training Division personnel to assess effectiveness of nomination and confirmation processes for OA courses.

b. Standards. Adequate when:

(1) Courses are scheduled at sufficient frequency to meet training needs.

(2) Course announcements are circulated as widely as necessary to reach the target group and sufficiently in advance to ensure participation of appropriate personnel.

(3) Nomination forms include information sufficient for prioritizing participants.

(4) Nomination procedures for scheduling and confirming participants are coordinated by the training unit.

(5) Selection of participants is based on established criteria including job relatedness, individual training plans, supervisory development, upward mobility, affirmative action, licensure, and certification.

(6) Nominations for OA courses are forwarded in a timely manner with participant priorities identified. Substitutes are designated in case nominees cannot attend.

Element 15. Are core training programs provided to agency employees?

a. Procedures. Review available training records to determine the extent to which core training programs are being provided and the sources for this training.

b. Standards. Adequate when:

(1) Training in the following areas is offered regularly.

(a) Orientation.

(b) Basic supervisory curriculum.

(c) Management development.

(d) Agency specific technical training.

(e) Personnel policies and procedures.

(f) Agency mission, programs, and procedures.

(2) The agency has developed internal capability to conduct this training within its available resources.

(3) Other sources are used to complete core training requirements, as necessary, including the OA, other agencies, and out-service training.

- **Element 16. Is Out-Service Training (OST) used effectively to meet training needs and is it controlled? Are OST requests submitted and approved through the Office of Administration (OA) in accordance with the most recent OST guidelines?**

a. Procedures.

(1) Review completed Form STD-279, Out-Service Training Authorization, requests and identify course titles, costs, and cost centers to which they are charged.

(2) Review available annual training reports compiling OST data to determine the overall costs and hours provided.

(3) Interview the training officer to determine procedures for reviewing and approving OST requests and evaluating training received.

b. Standards. Adequate when:

(1) Policy and procedures for approval and payment of OST consistent with Commonwealth policy are developed, published, and implemented.

(2) OST is approved only when in-service training resources cannot meet the specific training need.

(3) Use of OST is consistent with Commonwealth policy and applicable union agreements.

- (4) Requests are reviewed by training staff for job relatedness, to current job duties, cost effectiveness and availability of other resources; responses indicating approval or disapproval are forwarded in a timely fashion.

(5) Proper forms are used for requesting OST in accordance with *Management Directive*

- 535.3, *Out-Service Training* and the most recent guidelines in OST.

(6) An annual report of OST costs is compiled for both direct and indirect costs and analyzed to determine the cost benefit of the training in accordance with *Management Directive 535.3*.

(7) Employees participating in OST are asked to evaluate the training received regarding quality, applicability of concepts, and relevance to the agency. Follow-up contacts are made with supervisors to determine impact on the employee's performance and productivity.

Element 17. Are there training programs that provide supervisors at all levels with the skills required to effectively discharge their supervisory responsibilities?

a. Procedures.

(1) Review recent training needs assessments and training reports to determine the extent of supervisory training.

(2) Review PMR questionnaire responses pertaining to supervisory training.

(3) Interview supervisors regarding the training provided to them and any needs which may not be met.

(4) Review performance evaluation reports to identify supervisory training needs.

b. Standards. Adequate when:

- (1) Supervisors requiring training have been identified and targeted.
- (2) A procedure is in place to identify newly-appointed or promoted supervisors and training is provided within six months.
- (3) A core curriculum of courses is offered to supervisors including, at a minimum, supervisory development, discipline and grievance handling, and performance evaluation. Other elective courses are periodically provided.
- (4) Briefings regarding current personnel policies and procedures are developed and offered regularly to supervisors.
- (5) Refresher training is periodically provided to long-term supervisors trained more than five years ago.
- (6) As a result of training, supervisors acknowledge their responsibility for meeting the training and development needs of their subordinates.

Element 18. Are training activities and the results of training effectively evaluated at the agency? •

a. Procedures.

- (1) Interview training officer and training unit staff to determine methods used to evaluate training courses, out-service training, on-the-job training, and trainee programs.
- (2) Review training evaluation forms, questionnaires, and other evaluation data and reports.
- (3) Interview employees to determine their evaluation of the effectiveness and quality of training they have received.

b. Standards. Adequate when:

- (1) Agency-provided courses are evaluated by participants using an appropriate evaluation format and responses are compiled and reviewed by training and program personnel.
- (2) Standards for acceptable response rates in evaluation criteria are established.
- (3) Mechanisms for evaluation of out-service training, on-the-job training, and trainee programs are in place.
- (4) Techniques such as action planning, post-course assignments, and follow-up with participants and their supervisors are used to obtain evaluation data and document changes in behavior.
- (5) The results of training are analyzed by training and program personnel to assess the impact of training on the organization, e.g., improvements in productivity.
- (6) The effectiveness of training activities in meeting training needs, training objectives, and organizational goals are determined and reflected in the agency's annual training report.

Element 19. To what extent and how successfully has the agency used adjunct trainers (in-house subject matter specialists) and external consultants to present training programs?

a. Procedures.

(1) Review available training records to determine the extent to which adjunct trainers and external consultants have been used. For external consultants, determine the types of courses, contact hours, and cost of training, if available.

(2) Interview the agency training officer regarding the effectiveness of adjunct trainers and consultants, selection and evaluation mechanisms, and training provided.

b. Standards. Adequate when:

(1) A system has been developed and used to identify adjunct trainers and the course/topics they are qualified to instruct.

(2) Adjunct trainers are provided with train-the-trainer and hand-off training and work closely with staff training specialists in developing courses and applying appropriate training techniques.

(3) A procedure is in place to measure adjunct trainers' effectiveness. Commendations are provided to effective trainers and ineffective trainers are dealt with appropriately.

(4) External consultants are used to develop and present training programs based on priority needs and cost effectiveness.

(5) Consultant programs and performance are evaluated and dealt with accordingly.

Element 20. Are employes in trainee and intern positions provided with appropriate, planned training?

a. Procedures.

(1) Review training plans and evaluations of trainee and intern experiences.

(2) Interview training officer to determine methods for developing, monitoring, and evaluating training plans.

(3) Interview OA Training staff to determine coordination of training plans, as necessary.

(4) Interview a sampling of available trainees to determine their perception of the quality of training provided and adherence to the training plan.

b. Standards. Adequate when:

(1) Compliance with *Management Directives 535.4, Use of State Work Program and Public Services Trainee Classes; 535.5, Use of Trainee Classes in the Classified Service; 515.17, Computer Systems Intern Program; 515.19, Accounting Intern Program; and 515.21, Commonwealth School to Work Program*, is indicated by data and reports.

(2) Training plans reflect appropriate activities, sequencing, rigor, and evaluation.

(3) Training periods are monitored by training unit staff for effectiveness of training and performance of trainees and assistance is provided to supervisors of trainees, as required.

Element 21. How are on-the-job training (OJT) needs met at the agency?

a. Procedures. Interview the training officer and a sampling of managers and supervisors and employees to determine how OJT needs are met. Determine whether a program exists which supervisors use to meet training needs for new employees or employees who have been given new work assignments.

b. Standards. Adequate when:

(1) New employees are temporarily assigned to work under the direct supervision of a senior employee, supervisor, or other designee who has been given specific responsibility for providing OJT. ●

(2) The training unit staff provides assistance to supervisors to develop OJT assignments and determine additional training needs. ●

Element 22. How effectively does the agency's training unit interact with and participate in training provided by the Office of Administration, Training and Development Division and other OA sponsored training? ●

a. Procedures.

(1) Interview the training officer to determine the effectiveness of interaction with OA and participation in OA training programs.

(2) Interview OA Training and Development staff to determine effectiveness of agency interaction.

b. Standards. Adequate when:

(1) A cooperative relationship exists and technical assistance and training consultation is requested, as necessary, to maximize program effectiveness.

(2) Nominations processes are effective in ensuring agency participation in OA courses.

(3) Coordination of Management Intern Program activities and other projects requiring joint responsibility is effective.

(4) Agency participates in and internalizes OA hands-off courses.

(5) HIV/AIDS training is based on *Management Directive 505.26, HIV Infection and AIDS in the Workplace*. ●

Element 23. In agencies with field facilities or decentralized training functions, how effectively are training activities coordinated by the central office training unit?

a. Procedures. Interview the agency training officer regarding the procedures used to coordinate training efforts in field locations. During selective field visits, interview the appropriate staff regarding how training needs are identified, how training is provided, and how it is coordinated with the central office. Review field questionnaire responses regarding training services received from the central office.

b. Standards. Adequate when:

(1) Central training unit provides training and technical assistance to field personnel and monitors training programs.

(2) Through clearly defined lines of communication, agency-wide policy, planning, reporting, and evaluating are coordinated by the agency training coordinator.

(3) Periodic field visits are made to observe training programs and provide on-site technical assistance.

(4) Field staff are included in training provided by the central office training unit and OA.

J. PERSONNEL TRANSACTIONS AND RECORDS.

Element 1. Is the agency experiencing problems which affect the timeliness of processing personnel actions?

a. Procedures. Interview the transactions chief to determine whether recurring problems are being experienced and what is being done to rectify the problems. Also, review agency transactions timeliness rates (via InfoQuest) during the past year to determine whether transactions are being processed in a timely manner. ●

b. Standards. Adequate when central office staff rectify processing problems with the Personnel Systems Division, Office of Administration, in a timely manner, and when field facilities rectify processing problems directly with their central personnel office which result in transactions being processed within the pay period in which they are effective. ●

Element 2. Does the agency use the Integrated Personnel/Payroll System as the official personnel complement file? ●

a. Procedures. Interview the transactions chief to determine whether the Integrated Personnel/Payroll System is used to maintain records of all agency employees and positions. ●

b. Standards. Adequate when information on the Integrated Personnel/Payroll System is accurate and complete and duplicate manual files are not being maintained as required by *Management Directive 505.14, Personnel Management System*. ●

Element 3. How does the agency monitor and control staffing complement levels?

a. Procedures. Interview the personnel officer and transactions chief to determine procedures used for establishing authorized complement levels, requesting additional complement positions, and extending existing limited-term positions.

b. Standards. Adequate when authorized complement levels are not exceeded and when personnel office staff follow *Management Directives 505.2, Salaried Complement Management System*, and *505.20, Wage Complement Management and Control*, by preparing an electronic CAR to establish/fill positions, initiating appropriate transactions via IPPS, and monitoring and controlling complement on a monthly basis via reports PIP80801, PIP80901, PIP81101, PIP80701, and PET150 record. ●

Element 4. Are agency complement authorization requests appropriately processed? ●

a. Procedures. Determine if the agency monitors their complement through the use of the PET150 (Authorized Complement Control) screen and InfoQuest ad-hoc reporting. ●

b. Standards. Adequate when transactions staff are aware of agency complement conditions (full or partial complement control) established by the Office of Administration, justification reviews are conducted on all requests, records are maintained on all outstanding requests, a coordinator is assigned for agency staff to contact, and feedback is provided periodically to the originating manager on the status of the request. ●

Element 5. Are appropriate Integrated Personnel/Payroll System displays used to process and monitor employe/position information?

a. **Procedures.** Have the transactions staff demonstrate use of the displays.

b. **Standards.** Adequate when the transactions staff is knowledgeable about the following displays:

(1) PET031 – 045, PET002 – 007 — current employe and position screens to verify accuracy of data.

(2) PET110 – 116 — employe history screens.

(3) PET223, 226, 227 — transaction processing screens.

• (4) EMPLOC — locate employe by name.

(5) EMS002 — transaction approval screens and electronic approval.

(6) PET150 — authorized complement control inquiry.

(7) PIP705, PTM740 – Classification table inquiry.

(8) E10000 — main menu.

(9) PET017 — determine status of transactions.

(10) PIP708, PTM741 — pay rates table inquiry.

(11) PIP700, PIP701, PTM200 — generic table inquiry.

(12) PBP010, 031, 050 — payroll inquiry.

(13) PTA015, 016 — seniority inquiry.

Element 6. Are employe paychecks processed in a timely manner?

a. **Procedures.** Review appropriate PMR questionnaire results and interview a random sampling of agency staff for their perceptions of paycheck processing.

b. **Standards.** Adequate when new and rehired employes receive their initial paychecks no later than two weeks after the end of the pay period in which they began employment and employes returning from LWOP are compensated within two weeks after the end of the pay period in which they return as required by *Management Directive 505.3, Processing of Personnel Actions and Employe Paychecks*.

Element 7. Has the transactions staff been properly trained to carry out their duties and responsibilities?

a. **Procedures.** Review Office of Administration, Personnel Management System Division, training records and interview the agency transactions chief to determine the extent of training provided.

• b. **Standards.** Adequate when transactions staff have received available training offered by the Office of Administration and when new employes assigned to the transactions unit are provided on-the-job training under the direction of the transactions chief, including data retrieval methods such as InfoQuest.

Element 8. Has an IPPS security coordinator been assigned for the agency and are security violations being rectified? ●

a. Procedures. Request Daily Security Violation/Item Report, SCEC-27, from IPPS, Technical Support, for a 30-day period to determine extent of security violations being experienced at the agency. Review recurring security problems with the personnel officer and determine what attempts are being made to rectify the problems. ●

b. Standards. Adequate when:

(1) An IPPS security coordinator is assigned for the agency and recurring security violations are rectified. ●

(2) Each person authorized access to the system has been assigned a user ID number and the numbers are not shared among other staff.

(3) Only authorized persons are accessing the system.

(4) Transactions staff are aware of system security requirements, such as procedures for GETON, GETOFF, CHGPWD, DISPLA, and HELPER.

(5) Users not using the system for extended periods of time, i.e., over six months are removed from the security system.

Element 9. Are policies and procedures in place for maintaining, accessing, and releasing personnel information on agency employees?

a. Procedures. Interview the personnel officer or records custodian and review a random sampling of Official Personnel Folders, Form STD-301, to ensure that a folder is established for each employe.

b. Standards. Adequate when employes are afforded access to their folders and the folders contain required permanent information are purged of temporary and extraneous information on a regular basis, are maintained in locked file rooms during nonwork hours, and are transmitted to the State Records Center when employes terminate employment as required by *Management Directive 505.18, Maintenance, Access, and Release of Employee Information*.

Element 10. Are electronic approval records up-to-date? ●

a. Procedures. Review Election Approval File via PET305 for electronic approvals. ●

b. Standards. Adequate when: ●

(1) The user ID for approval level 25 is the agency head designee, usually the agency personnel officer, or has been granted signatory authority for personnel actions by the agency head. ●

(2) The personnel officer is satisfied that key transactions are properly routed for approval within the agency. ●

- **Element 11. Are electronic approvals applied in a timely manner to transactions?**
 - **a. Procedures.** Review transactions pending update via PET017 and determine how long it took for approving authorities to take action.
 - **b. Standards.** Adequate when action is taken within three days of receipt of approval message.

- **Element 12. Are Integrated Personnel/Payroll System screens released to agency users with the approval of the personnel officer or designee?**
 - **a. Procedures.** Interview the agency security coordinator and review the file of Security Request Forms to determine if the personnel officer or designee approved release of personnel/payroll screens.
 - **b. Standards.** Adequate when the personnel officer or designee approves the release of all personnel/payroll screens signing the Security Request Form.

- **Element 13. Has every employe accessing the Integrated Personnel/Payroll System been issued his or her own user ID?**
 - **a. Procedures.** Obtain list of names of system users from transaction chief and then review EMS002 to ensure each one has a user ID.
 - **b. Standards.** Adequate when each system user has a user ID.

K. WORK FORCE ANALYSIS.

Element 1. Are program, budget, equal employment opportunity, and personnel representatives involved in the agency's work force analysis activities, including the determination of current and future work force requirements? ●

a. Procedures. Interview the director of administration, personnel officer, budget officer, equal opportunity manager/specialist, and representatives from major program offices to determine the extent of their involvement in work force analysis and planning activities and whether a systematic process is in place for measuring and meeting current and future work force needs. Review available statistics on filled positions, vacancies, turnover, age, race, and sex of employees to determine the extent of statistics maintained and any obvious work force needs or trends. ●

b. Standards. Adequate when:

(1) Responsibility for work force analysis and planning has been clearly defined in mission and functional statements.

(2) Responsible entities represent a mix of organizational components that include personnel, budget, equal employment opportunity office, and major program offices and when effective and open communications are maintained. ●

(3) Planning to identify work force needs, recruitment, and complement expansion and reduction is conducted by personnel in conjunction with program offices, the budget officer, and the equal employment opportunity manager/specialist. ●

(4) Decisions are made on work force requirements after appropriate staff analyze documentation on agency needs in the areas of recruitment, classification, training, equal employment opportunity, etc. ●

Element 2. Is the personnel officer involved in the budget preparation process?

a. Procedures. Interview the personnel officer, budget officer, and major program managers to determine the extent of the personnel officer's involvement in the preparation of the complement sections of the agency's budget.

b. Standards. Adequate when the personnel officer actively participates in the preparation of the agency's annual budget, open lines of communication exist with appropriate top management staff to maximize the effectiveness of the planning process, and when the personnel officer is informed of budgetary changes with complement/staffing implications during rebudget and at other times. ●

Element 3. Does the agency gather work force data and/or request such data from central sources (the Office of Administration or State Civil Service Commission)?

a. Procedures. Interview the personnel officer or appropriate staff analyst to determine whether the agency gathers work force data or is aware of and has used data published by or available from the Office of Administration and the State Civil Service Commission.

b. Standards. Adequate when:

(1) Sufficient work force data is gathered and analyzed to assess the agency's work force status and assist in analyzing future needs.

(2) Staff responsible for work force analysis are familiar with data sources such as the Governor's Annual Work Force Report and reports generated by CMIC and the State Civil Service Commission, such as complement and position data, leave utilization data, affirmative action data, and turnover data.

- (3) Staff are familiar with procedures for requesting specific work force data, such as InfoQuest
- ad hoc reporting.
- (4) Staff are aware of the ad hoc reporting capabilities within the Integrated Personnel/Payroll
- System.

Element 4. What is top management's scope of understanding of work force analysis and planning?

a. **Procedures.** Interview the agency head and top management staff to determine their perspective of and support for work force analysis and planning.

b. **Standards.** Adequate when top management uses work force analysis to:

- (1) Increase information which is critical for making program, budgetary, and staffing decisions.
- (2) Enhance monitoring and evaluating capabilities.
- (3) Reduce personnel costs by making maximum use of existing staff to meet program needs.

Element 5. What work force analysis information is provided to top management staff?

a. **Procedures.** Interview the personnel officer or responsible analyst to determine the extent of work force analysis information that is provided to top management. Determine how the information is used and whether any actions have been taken as a result of the information being provided.

b. **Standards.** Adequate when periodic work force reports are provided to top management staff for identifying trends and possible problem areas, such as:

- (1) Work force composition.
- (2) Turnover.
- (3) Age and length of service.
- (4) Equal employment opportunity progress.
- (5) Leave use (sick and disability).
- (6) Overtime use.

Element 6. Does the agency thoroughly assess each vacant position before action is taken to fill it? During periods of full or partial central complement control, does the agency properly justify and request only essential positions to OA for filling?

a. **Procedures.** Interview the personnel officer and other appropriate staff to determine the agency procedure used to review vacant positions. During periods of full or partial control, discuss the quality of justifications and agency's approval rate with OA staff assigned to the Complement Authorization Request (CAR) process. For field facilities, contact the central office coordinator of the CAR process to determine the quality of justifications and input.

b. Standards. Adequate when an up-to-date review of all vacant positions occurs, long-term vacant positions are abolished, and appropriate justifications are forwarded to OA when requesting a position be filled when under full or partial complement control. •

Element 7. Have staffing standards been developed for agency program offices, where appropriate, and are staffing studies conducted?

a. Procedures. Review available documentation to determine whether staffing standards have been developed and used for establishing current complement levels and whether staffing studies have been conducted.

b. Standards. Adequate when staffing studies have been conducted in selected program areas and standards or ratios have been developed and used to determine staffing levels.

Element 8. Does the agency have contingency work force plans which can be used in emergencies such as strikes, furloughs, natural disasters, or civil disorders? •

a. Procedures. Interview the personnel officer or appropriate analyst to determine whether emergency work force plans are current and in accordance with *Executive Order 1993-2, Civil Disorder and Emergency; Management Directives 720.3, Guidelines for Reporting Bombs and Bomb Threats; and 720.4, Safety and Loss Prevention Program.*

b. Standards. Adequate when the agency has current contingency plans which can be implemented in emergency situations.

Element 9. Does the agency measure employee productivity, where feasible, and are efforts made to improve productivity?

a. Procedures. Interview the personnel officer and appropriate program managers to determine whether work assignments in the agency allow for organized productivity measurement. Determine if productivity enhancement efforts have been undertaken in appropriate program areas and whether the personnel office has participated in these efforts.

b. Standards. Adequate when employee productivity is periodically measured in work locations which allow for such activity and when positive results have been achieved after productivity improvement efforts have been undertaken.

Element 10. Is the agency personnel office informed of proposed or pending legislation or other factors such as anticipated changes in federal funding which may affect agency staffing or operations?

a. Procedures. Interview the personnel officer to determine whether advance information on factors affecting the composition of the agency work force is available for review and planning.

b. Standards. Adequate when an established process is in place which allows the personnel officer to review, comment on, and plan for legislation affecting the agency's work force.

Element 11. Does the agency use volunteers or additional temporary workers to supplement the existing work force?

a. Procedures. Interview the appropriate personnel office staff and volunteer resources coordinator, if available, to determine the extent to which volunteers and other supplementary workers are being used by the agency to accomplish tasks that otherwise would not be completed.

b. Standards. Adequate when:

(1) Supplementary workers such as interns, Pennsylvania Conservation Corps, and Green Thumb workers are used to supplement the agency's work force and perform work assignments not normally completed by agency staff.

(2) Volunteers are used where feasible to supplement the work force in program areas which are conducive to volunteer work.

Element 12. Is a formal exit interview program in place at the agency if the turnover rate exceeds the Commonwealth average or is considered a problem by management?

a. Procedures. Interview the personnel officer to determine the agency's turnover rate and review available standard exit interview information which is collected, analyzed, and presented to management staff.

b. Standards. Adequate when interviews are conducted and questionnaires are used to gather information from terminating employees for possible use in resolving job-related problems as required by

- *Management Directives 505.15, Exit Information Program, and 505.7, Personnel Rules, Section 37.6, Exit Information Program.*

Element 13. Does the agency have a policy which ensures that overtime and compensatory time are adequately monitored, analyzed, and controlled?

a. Procedures. Interview the personnel officer to determine the extent that overtime and compensatory time are being used in the agency and review any policies which ensure that it is properly recorded, monitored, analyzed, and controlled.

b. Standards. Adequate when:

(1) Overtime and compensatory time (both earnings and use) are recorded.

(2) Overtime and compensatory time are monitored by top management staff.

(3) A periodic analysis of overtime and compensatory time is conducted and problem areas are addressed.

(4) A written policy and procedures have been implemented regarding the monitoring, analysis, and control of overtime and compensatory leave usage in the agency. Compensation for overtime and granting of compensatory leave is in accordance with the *Personnel Rules, Fair Labor Standards Act*, and appropriate collective bargaining agreements.

Element 14. Has the personnel office made use of personal computers (PCs), networks, or other technology to improve the capability to store, sort, analyze, and present personnel information? ●

a. Procedures. Discuss the use of PCs and other technology with the agency personnel officer and appropriate staff.

b. Standards. Adequate when the personnel office is making use of available technology to store, sort, analyze, and present personnel information. ●

Element 15. Does the agency adhere to work hours policies stipulated by the Office of Administration and in union contracts?

a. Procedures. Interview the agency head, personnel officer, attendance administrator, time administrator, and a sample of managers and supervisors to determine agency work hours and the rationale for establishing a variable work hour program that may include staggered work hours, alternate work schedules (AWS), and/or flex time; the extent of implementation; what methods have been used to evaluate the effectiveness of the program; the relative success of the program; and whether appropriate union participation occurred before establishment. ● ● ● ●

b. Standards. Adequate when:

(1) Work hours stipulated by the Executive Board are adhered to.

(2) The variable work hour program that may include staggered work hours, alternate work schedules (AWS), and/or flex time was developed with appropriate union participation and is consistent with OA policy. ● ● ●

(3) Appropriate rationale for establishing a program with consideration of improving operational efficiency and/or client service. ● ●

(4) Evaluation of the effectiveness of the program is conducted to determine how well it achieves initial goals as well as any benefits or problems.

(5) The program is retained only if it meets initial goals or other significant achievements are noted.

Element 16. Do agency personnel office staff effectively use computers to improve productivity and accuracy? Are all personnel office staff familiar with the use of personal computers (PCs) and are there an adequate amount of PC work stations and software accessible to accommodate all personnel office staff? ● ● ● ●

a. Procedures. Determine if all personnel office staff have access to PCs. Determine if computer hardware and software are functional and adequate and if all staff have been trained to use them. ● ●

b. Standards. Adequate when there is an ample supply of functional computers, and software available to all personnel office staff to meet operational needs and demands. Adequate when users have been trained to affectively use the equipment and software to improve productivity and accuracy. ● ●

L. EMPLOYEE SAFETY.

Element 1. Does the agency have an operational safety program with a designated safety coordinator?

a. Procedures. Review the number of reported accidents during the past two years and interview the personnel officer and safety coordinator to learn if a safety program is operational. Determine the extent to which the safety program has been integrated into agency activities.

b. Standards. Adequate when a safety program is in place and there is a designated safety coordinator in cases where accident statistics warrant such a program.

Element 2. Has an agency safety policy been developed and has it been endorsed by and distributed from the agency head or designee? Does the policy provide general safety procedures as well as specific procedures for those areas which have a high frequency of accidents?

a. Procedures. Interview the safety coordinator and review a copy of the safety policy. If one is not available, determine why. Determine if the policy is designed to prevent accidents as well as establish proper procedures to be followed in case of an accident and if the policy covers areas such as fire

- emergency procedures, CPR identification and training, and precautions where exposed to blood, blood by-products, and other body fluids.

b. Standards. Adequate when a safety policy endorsed by the agency head has been provided to all employees which addresses general safety issues and places emphasis on work areas which have a greater potential for accidents to occur.

Element 3. Does the agency have a written safety plan which is based on an analysis of past accident rates and hazardous conditions and specifies clear objectives, including actions to be taken, time frames, and responsibilities?

a. Procedures. Review the agency safety plan and interview the safety coordinator to determine whether scheduled activities have occurred. Determine if the plan provides enough detail to guide the agency and to assign responsibilities over the planning period.

b. Standards. Adequate when an agency safety plan is in place and is being followed.

Element 4. Are the safety coordinator's responsibilities outlined in his or her job description, job standards, and position or unit goals/objectives?

a. Procedures. Determine whether a written description of safety responsibilities is included in the job description, whether specific standards for the safety coordinator are developed, and whether position or unit safety objectives with time frames have been established.

b. Standards. Adequate when a job description, position standards, and objectives are in place for the safety coordinator. Responsibilities normally should include:

- Recommending safety policies, procedures, and improvements.
- Chairing or advising safety committee(s).
- Developing the safety plan.
- Assisting in investigating accidents and conducting inspections.
- Analyzing safety data.
- Developing safety awareness and disseminating safety literature.
- Safety training.

Element 5. Has the safety coordinator received training in the operation of a safety program or does he or she have prior experience in employe safety?

a. Procedures. Interview the safety coordinator and determine what preparation he or she has in employe safety activities, including prior training or experience.

b. Standards. Adequate when the safety coordinator has had prior training and/or experience in operation of a safety program or is receiving ongoing training.

Element 6. If the safety coordinator is organizationally separate from the personnel office, is there a high level of communication between the safety coordinator and the personnel officer and staff?

- **a. Procedures.** Interview the personnel officer, benefits coordinator, training coordinator, and safety coordinator to determine the degree of communication and coordination on safety matters.

b. Standards. Adequate when coordination is occurring in the following areas:

- Sharing of accident reports and other accident information.
- Follow-up on lost time accidents.
- Provision of safety training.
- Implementation of light duty and other control policies.
- Investigations of employes with repeated accidents.
- Mutual participation on the safety committee.

- **Element 7. Are CWC-119 and JPA-797, Workers' Compensation Claim Report, or Forms STD-541, Automobile Accident Loss Notice, and agency investigation reports, where required, completed for all employe accidents or automobile accidents? Do supervisors complete the forms and investigate accidents?**

a. Procedures. Review established agency accident management policies to determine if there is emphasis that all injuries/accidents are to be reported and necessary actions taken by the injured employe's supervisor. Interview the safety coordinator and a sampling of supervisors to determine if policy is understood and being followed.

b. Standards. Adequate when supervisors report and investigate all accidents, whether injuries occur or not, in a timely manner and follow agency policies. Policies should state that injured employes receive immediate medical attention and that the supervisor advise the attending physician that light duty assignments or time off is available.

- **Element 8. Are all completed CWC-119 and JPA-797 or STD-541 forms and agency investigation reports, where required, forwarded to the safety coordinator for review? Are these reports reviewed periodically to identify problem work areas, preventable accidents, and recurring accidents so that corrective action can be taken?**

- **a. Procedures.** Review established reporting procedures and determine if completed injury/accident forms and investigation reports, where required, are forwarded to the safety coordinator for review and action, if appropriate. Interview the safety coordinator and determine if the forms have been analyzed and review any summaries or reports.

b. Standards. Adequate when:

- **(1)** All completed Workers' Compensation Claim Reports are forwarded to the safety coordinator or other responsible person within 24 hours of the accident.
- **(2)** Workers' Compensation Claim Reports are reviewed and analyzed upon receipt and a report is prepared periodically identifying recurring accidents and actions taken to eliminate causes.
- **(3)** Investigations are conducted whenever an accident results in disability leave and, if this is done in the personnel office, feedback is provided to the safety coordinator.
- **(4)** Accident information is accumulated and analyzed to include lost time, salary costs, and workers' compensation.

Element 9. Is top management periodically informed of the agency/facility safety record and potential safety problem areas?

a. Procedures. Interview the safety coordinator, personnel officer, and top managers to determine whether the safety coordinator regularly reports statistics and problem areas to top management. Determine if reports identify accident/injury statistics and specify accidents which were preventable.

b. Standards. Adequate when top management is periodically informed of safety issues and statistics.

Element 10. What safety training has been provided to both rank and file and supervisory employees?

- **a. Procedures.** Review training and orientation records and identify any formal safety training. Review appropriate PMR questionnaire responses. Ask the safety coordinator to provide a summary of the safety training offered. During the employee interview process, discuss the agency's safety training program to determine the extent and quality of training provided. Determine whether the safety coordinator is involved in safety training and if safety training needs are assessed periodically. Determine if training includes CPR, first aid procedures, fire emergencies, and universal precautions.

b. Standards. Adequate when new employees are instructed in basic safety procedures during their orientation. Managers and supervisors should receive periodic safety training when the rate of accidents in the agency, or their units, warrants training. The safety coordinator should be directly involved in or knowledgeable of all safety related training and should assess safety training needs.

Element 11. Are safety practices and procedures well publicized throughout the agency and is the identity of the safety coordinator known to managers and supervisors?

- a. Procedures.** Interview the safety coordinator and review available material regarding safety
- issues and determine how it is disseminated. Observe bulletin boards throughout the agency for
 - mandatory and optional safety literature. Determine if mandatory and optional safety posters are posted
 - in work areas, especially where a high probability for accidents exists, whether a safety manual has been issued, payroll staffers on safety issues have been utilized, or safety is covered in the agency's
 - employe handbook. Determine, through staff interviews, if employes are aware of the identity of the
 - safety coordinator and if minutes of safety committee meetings are circulated and whether a process is
 - in place for employes to raise concerns about safety issues.

b. Standards. Adequate when safety practices and procedures have been provided to employes, when these procedures are posted on bulletin boards, included in employe handbooks, etc., and when the identity of the safety coordinator and progress of the safety program are known within the agency/facility.

Element 12. Are appropriate safety inspection procedures in place in the agency or facility?

a. Procedures. Interview the safety coordinator to determine the type of inspection procedures undertaken and their frequency.

b. Standards. Adequate when:

- The safety coordinator, safety committee, or other responsible employes are involved in periodic scheduled and random safety inspections.
- Inspection reports are prepared and submitted to the safety coordinator and committee.
- Corrections of safety hazards are discussed, implemented, and documented.

Element 13. Is a fire prevention program in place at the agency/facility?

a. Procedures. Interview the safety coordinator to determine whether fire prevention is adequately practiced at the agency and review written procedures on fire safety and reports on fire prevention activities.

b. Standards. Adequate when the fire prevention program includes periodic inspections, testing of fire protection equipment, fire drills, and firefighting training and when specifications are established to ensure that furnishings being purchased meet fire safety requirements.

- **Element 14. Has the safety coordinator contacted the Department of General Services (DGS), Bureau of Risk and Insurance Management, to receive National Safety Council (NSC) service packets and take advantage of the Commonwealth's NSC group membership?**

a. **Procedures.** Interview the safety coordinator to determine if contact with DGS has been made.

b. **Standards.** Adequate when the name of the safety coordinator is on file with DGS and the safety coordinator has reviewed NSC information and services for possible use in the safety program.

- **Element 15. Is/are a safety committee(s) in place at the agency?**

a. **Procedures.** Interview the safety coordinator to determine whether central or field site safety committees are operational; determine committee composition and responsibilities and whether committee members have received safety training. Review safety committee minutes to identify committee activities.

b. **Standards.** Adequate when:

(1) The safety committee is composed of both management and union employees with representatives from areas with relatively high accident rates.

(2) The safety committee meets regularly to review accident reports, ensure that safety procedures are followed, and conduct accident investigations, where required.

(3) Safety committee minutes are maintained and distributed by key managers.

(4) The safety committee promotes employee safety education and training.

(5) The agency safety coordinator participates in safety committee activities.

(6) Members of the safety committee are trained in safety management procedures.

- **Element 16. Are employees who work in areas having safety hazards or a high accident rate rated on safety practices on their performance evaluations? Is recognition given to employees with exemplary safety records? Have employees with poor safety practices been disciplined?**

a. **Procedures.**

(1) Review a sampling of performance standards and evaluations to determine if safety practices are used as performance factors for employees in areas with safety hazards or high accident rates.

(2) Review recognition awards to determine if safety awards are given.

- (3) Review Workers' Compensation Claim Reports and discipline records to determine if employees demonstrating poor safety practices have been disciplined.

(4) Discuss safety as an element in performance evaluations, recognition, and discipline with the safety coordinator and personnel officer.

b. **Standards.** Adequate when exemplary or poor safety performance is reflected in performance evaluations, employee recognition programs, and discipline.

Element 17. Has the agency implemented procedures to ensure compliance with the *Pennsylvania Code, Title 34, Labor and Industry Chapters 301-323, Worker and Community Right-to-Know Regulations*?

a. Procedures.

(1) Interview the Right-to-Know coordinator to determine if support has been given to implement all requirements of the *Worker and Community Right-to-Know Act*.

(2) Review documents to ensure that annual training, when required, has been provided, Hazardous Substance Survey Forms are completed and posted, Material Safety Data Sheets (MSDS) are obtained for all hazardous substances, Employee Workplace Notices are posted throughout the agency, and proper labeling of all chemicals has occurred. •

b. Standards. Adequate when applicable requirements of *Title 34, Labor and Industry Chapters 301-323, Worker and Community Right-to-Know Regulations*, have been implemented.

Element 18. Has the agency implemented procedures to ensure compliance with Sections 303 and 304 of the *Superfund Amendment and Reauthorization Act of 1986 (SARA Title III)*?

a. Procedures. Interview the safety/Right-to-Know coordinator and review records to ensure that agency has:

(1) Completed an inventory of amounts of extremely hazardous substances.

(2) Noted where threshold amounts or greater are stored.

(3) Notified the State Emergency Response Commission and their local Emergency Planning Committee.

(4) Developed an emergency plan with the local Emergency Planning Committee.

In the event of spillage or release of listed chemicals into the local environment, the agency should report it to the State Emergency Response Commission and the local Emergency Planning Committee and take required follow-up actions.

b. Standards. Adequate when the requirements of *Sections 303 and 304 of the Superfund Amendments and Reauthorization Act of 1986* are met.

Element 19. Has the agency adopted guidelines to protect staff who have the potential to be exposed to blood and blood by-products?

a. Procedures. Review records and policy and procedure documents to ensure the agency has guidelines in place which protect staff against potential exposure to blood or blood by-products. Review training that has been conducted to implement the agency and Commonwealth HIV/AIDS policy. •

b. Standards. Adequate when agency follows *Executive Order 1996-12, Workplace Policy for HIV/AIDS*, and specific Centers for Disease Control (CDC) guidelines, and *Management Directive 505.26, HIV/AIDS in the Workplace*. •

Element 20. Has the agency implemented a smoking regulation policy in buildings and facilities where Commonwealth business is conducted?

- **a. Procedures.** Review policy and procedures to ensure they are consistent with *Management Directives 205.19, Smoking in Commonwealth Buildings and Facilities*, and *505.7, Personnel Rules, Chapter 40, Smoking in Commonwealth Buildings and Facilities*.
-

b. Standards. Adequate when:

(1) Smoking areas are designated that are convenient, adequately ventilated, and operationally feasible.

(2) Nonsmoking areas are designated by management and include strict prohibition in areas such as elevators, auditoriums, libraries, conference rooms, classrooms, computer equipment rooms, and copy rooms.

(3) Agency provides Department of General Services with a list of designated smoking and nonsmoking areas for buildings which General Services has maintenance and security responsibility.

(4) Provisions of the policy are included in the employe orientation program, employe handbooks, and supervisory training programs.

- **Element 21. Has the agency taken steps to reduce the chance of violence and adequately respond to incidents?**
-

- **a. Procedures.** Review policy and past incidents with the personnel officer. Determine if there have been bomb threats or incidents of threats or workplace violence, or issues on violence brought to the attention of management by unions.
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- **b. Standards.** Adequate when top management and the personnel officer have reviewed workplace safety concerns, have taken steps to reduce the chances of workplace violence, and have trained employees in areas such as responding to bomb threats.
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M. SEAP AND DRUG AND ALCOHOL PROGRAMS.

Element 1. Does the agency have an operational State Employee Assistance Program (SEAP) with a designated SEAP coordinator(s) for central and field offices?

a. Procedures. Review with the Office of Administration (OA) SEAP staff to determine names and number of SEAP coordinators. Discuss the level of SEAP activity with the personnel officer, labor relations coordinator, and SEAP coordinator.

b. Standards. Adequate when the SEAP program is operational throughout the agency as evidenced by the distribution of printed materials, posters, drug-free workplace policy, and when a sufficient number of coordinators have been designated. The names of agency/field SEAP coordinators should be known by employes and supervisors and reported to OA.

Element 2. Have employes, supervisors, and union representatives been trained on SEAP and the Commonwealth Substance Abuse Policy?

a. Procedures. Review with OA, SEAP staff agency training reports for the number of employes and supervisors trained. Review staff training schedules with the SEAP coordinator(s) and trainer. Review employe personnel records to determine if all employes have received the appropriate employe/supervisory training.

b. Standards. Adequate when all employes and supervisors have received training using the OA approved curriculum and an ongoing schedule established to provide training to new employes and supervisors.

Element 3. Does the agency maintain SEAP-related information in the personnel records in accordance with established guidelines?

a. Procedures. Review Official Personnel Folders to determine if:

(1) Documentation of employe discipline includes reference that an employe has been referred to SEAP at each step of the disciplinary process.

(2) Except as provided by SEAP procedures, no information on an employe's participation in SEAP is maintained in the Official Personnel Folder.

b. Standards. Adequate when personnel records reflect a SEAP referral only as part of the disciplinary process. Records should not contain any information that relates to an employe's participation in treatment.

- **Element 4. Does the agency utilize the Condition of Continued Employment referral process?**

- **a. Procedures.** Review with the OA SEAP staff to determine if the agency has utilized the Condition of Continued Employment (COCE) agreement. Review agency personnel history files to determine if:

- (1) The COCE is used for only those employees subject to termination and as approved by OA.
- (2) The agency obtained OA approval for the COCE, including all modifications and attachments to the COCE agreement.
- (3) Only information related to the employee's compliance is maintained in the official personnel folder.
- (4) Appropriate action has been taken with the employee and with written records upon notification of (un)successful discharge from SEAP.

- **b. Standard.** Adequate when the agency considers the use of a COCE prior to terminating an employee and requests OA approval before implementation. Only information related to an employee's compliance is maintained in the personnel record.

- **Element 5. Does the agency publicize and utilize the critical incident stress debriefing (CISD) services when traumatic events occur?**

- **a. Procedures.** Review with the OA SEAP staff to determine if the agency has utilized the on-site critical incident stress debriefing services. Discuss with the personnel officer and SEAP coordinator to determine if any situations have occurred that would be appropriate for a CISD. Discuss with managers and supervisors this awareness level of CISD services.

- **b. Standard.** Adequate when the agency responds in a timely manner and requests an on-site critical incident stress debriefing session in response to a traumatic event that affects employees at a work site; and when managers and supervisors are aware of the option to utilize CISD services.

- **Element 6. Does the agency have a designated Commercial Driver's License (CDL) Coordinator and back-up coordinator as well as field CDL coordinators/contact persons where appropriate? If there are other drug and alcohol testing programs, is there a coordinator?**

- **a. Procedures.**

- (1) Discuss with the Office of Administration (OA) analyst responsible for the CDL program to determine the name of the CDL coordinator and relative effectiveness and responsiveness.
- (2) Discuss with the agency CDL/drug testing coordinator the agency internal structure and review the job descriptions for the CDL coordinator/contact person.

- **b. Standards.** Adequate when:

- (1) An agency CDL coordinator and back-up have been designated when Commercial Drivers License employees; job descriptions of the coordinator contain CDL duties; contact persons for test results have been identified; and managers and supervisors are aware of identity of those responsible for the CDL program.

(2) The CDL coordinator provides requested information to the OA and Pennsylvania Department of Transportation CDL program manager within requested time frames. ●
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(3) Responsibility has been assigned to an employe(s) to coordinate agency drug/alcohol testing programs. ●
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Element 7. Have all employes who are required to operate CDL covered equipment been identified, trained, and coded on the Integrated Personnel/Payroll System (IPPS)? Is this information maintained current on a biweekly basis? ●
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a. Procedures. ●

(1) Discuss with the CDL coordinator how employes are designated, trained, and coded on the IPPS. ●
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(2) Determine from the OA analyst if there are any coding problems. Obtain and review list of coded employes from agency CDL coordinator. ●
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(3) Verify training by determining if CDL training certificates are in employe Official Personnel Folders. ●
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b. Standards. Adequate when: ●

(1) A system is in place to ensure that all new CDL employes receive appropriate CDL orientation, including training on the CDL drug and alcohol regulations and testing requirements, and are accurately and timely coded with the appropriate CDL codes, consistent with *Management Directive 505.29, Commercial Driver License Drug and Alcohol Testing Requirements*. ●
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(2) CDL coordinators review agency CDL employe and supervisor lists at least on a monthly basis to ensure accuracy. ●
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(3) Employes/positions who no longer perform CDL covered duties are removed from the coding system. Employes who are on long term leave (30 days or longer) are removed from the testing pool and are recoded and drug tested prior to assuming safety sensitive duties. ●
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(4) Employes are trained and coded before being assigned safety-sensitive duties and training certificates are in the Official Personnel Folders. ●
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(5) Employes are informed that if convicted of a moving traffic violation (other than parking) they must notify the agency and the Department of Transportation which issued that license within 30 days of the conviction. ●
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(6) A system is in place to ensure that all new employes subject to drug and alcohol testing receive appropriate information during orientation. ●
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- **Element 8. Does recruitment information for CDL covered positions and any other positions subject to drug and alcohol testing contain information about drug and alcohol testing? Are all applicants chosen for a CDL position/promotion given a drug test?**

- **a. Procedures.**

- (1) Discuss with the recruitment/placement analyst how CDL covered employees are recruited, what information is provided regarding drug and alcohol testing, what procedures exist for pre-employment drug testing, and how applicants who test positive are handled.

- (2) Determine what background check information is obtained.

- (3) Review recruitment material for CDL covered positions and any other positions subject to agency drug and alcohol testing.

- **b. Standards.** Adequate when:

- (1) Vacancy announcements and recruitment information contain information regarding drug and alcohol testing requirements.

- (2) Background checks are in conformance with the provisions of the *Commercial Motor Vehicle Safety Act of 1986* (§391.23) and drug and alcohol testing requirements effective January 1995.

- (a) CDL operators must report previous employment as a commercial driver during the past 10 years on a CDL Supplemental Employment Information form and a listing of moving traffic violations (other than parking) for which convicted or forfeited bond or collateral during the three years preceding the date of application. The agency must verify this information from the preceding three years within 30 days of employment and retain a written record of the background checks/driving record in the employee's Official Personnel Folders.

- (b) Previous employers are contacted to verify employment and to obtain drug and alcohol testing verification information for the last two years.

- (c) An agency must not permit a CDL operator to operate a commercial motor vehicle (CVM) if the employee's driver's license is suspended, revoked, or canceled or if the employee has more than one state's driver's license.

- (3) Applicants who test positive are not hired and are properly annotated on Civil Service and Bureau of State Employment certification lists, consistent with *Management Directive 505.29, Commercial Driver License Drug and Alcohol Testing and Licensing Requirements*.

- **Element 9. Have all supervisors of CDL covered employees been provided the designated CDL supervisory training?**

- **a. Procedures.**

- (1) Discuss how/when CDL supervisors are trained. Determine if there are any supervisors who have consistently not attended scheduled training.

- (2) Verify training by determining if CDL supervisory training certificates are in the Official Personnel Folders and they are coded on the IPPS file.

(3) Determine if there are any other agency drug and alcohol testing programs and if appropriate training has been provided. ●

(4) Interview selected supervisors to determine if they have been trained and whether additional supervisory training regarding CDL regulations, procedures, reasonable suspicion, etc., are necessary. ●

b. Standards. ●

(1) Adequate when supervisors receive CDL supervisory training within 60 days of becoming a CDL supervisor or the first scheduled class after becoming the supervisor, and training certificates are in the Official Personnel Folders, and they are coded on the IPPS file. ●

(2) Adequate when supervisors receive designated reasonable training for all other drug and alcohol testing programs. ●

Element 10. Do class specifications and job descriptions for CDL covered positions contain reference to CDL duties? ●

a. Procedures. Review sample of agency specific class specifications and job descriptions for CDL covered positions and discuss process for updating them to ensure all contain appropriate CDL language. ●

b. Standards. Adequate when all class specifications and job descriptions for CDL covered positions contain reference to CDL duties. ●

Element 11. Have internal agency policies and disciplinary procedures been established to deal with employees who test positive for drugs or alcohol? Have non-safety duties been designated? What policies exist for employees on prescription medication? ●

a. Procedures. ●

(1) Discuss with CDL coordinator and review agency policies and information relating to employees who test positive for drugs or alcohol. Determine if non-safety sensitive duties exist. Discuss policy/procedures for prescription medication. ●

(2) Discuss with supervisors their understanding of the policies and procedures. ●

(3) Discuss with employees their understanding of the policy on prescription medications. ●

b. Standards. Adequate when: ●

(1) Agency policies are consistent with *Management Directive 505.29, Commercial Driver License Drug and Alcohol Testing Requirements*, and any other agency policies or drug and alcohol testing (Corrections) and supervisors are aware of how to handle employees who test positive or where there is reasonable suspicion to suspect drug/alcohol use. ●

(2) No employee who has tested positive is returned to duty without a clean return to duty test and certification from SEAP. ●

(3) Supervisors have a clear understanding of the basic CDL regulations and agency substance abuse policies, their role in the process, and where to obtain assistance if a problem develops. ●

- (4) Employees are aware that they must ask their physician if prescribed medication will have any ill effect on their duties and, if so, have the physician complete the designated form.
- **Element 12. Has a procedure been established to review the driving record of CDL employes on an annual basis, consistent with the provisions of the *Commercial Motor Vehicle Safety Act of 1986 (391.25 – 391.27)*?**
- **a. Procedures.** Discuss with CDL coordinator how/when records are reviewed and what action taken if necessary.
- **b. Standards.** Adequate when procedure requires employe to annually furnish a list of convictions for motor vehicle violations (other than parking) or a certification indicating that the employe has not been convicted of or forfeited bond or collateral on an account of any violation.
- **Element 13. Have internal policies been established to deal with accidents involving a CDL covered employe?**
- **a. Procedures.** Discuss with the CDL coordinator any accidents involving CDL operators and how the situations were handled. Review any written procedures provided to supervisors.
- **b. Standards.** Adequate when all covered accidents are handled consistent with *Management Directive 505.29, Commercial Driver License Drug and Alcohol Testing Requirements*.
- **Element 14. Does the SEAP coordinator coordinate the referral, evaluation, and treatment process when there is a positive CDL test result?**
- **a. Procedures.**
- (1) Discuss with the SEAP coordinator his/her role when an employe tests positive. Determine how quickly the SEAP coordinator learns of positive test results.
- (2) Discuss with the CDL coordinator how and when the SEAP coordinator becomes involved once an employe has tested positive.
- **b. Standards.**
- (1) Adequate when the CDL coordinator/contact person has been notified that an employe has tested positive, the SEAP coordinator is informed and coordinates with OA SEAP, agency management, and the employe. The SEAP coordinator is the liaison among all parties throughout the referral, evaluation, and treatment process. All "Return to Duty" testing is coordinated through the SEAP coordinator.
- (2) SEAP coordinators and CDL coordinators share appropriate information and provide necessary training to supervisors to ensure they are aware of SEAP's role and responsibilities in dealing with positive test results and "Return to Duty" procedures.

Element 15. How is confidentiality maintained regarding the CDL testing process and results? ●

a. Procedures. ●

(1) Discuss with the CDL, SEAP, and labor relations coordinators what confidentiality procedures exist regarding names of employees tested, results, and any subsequent activities. Determine how written information on employees is maintained and what release procedures exist. ●
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(2) Discuss with managers, supervisors, and employees their knowledge of employee testing and what information they can obtain about employees. ●
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b. Standards. Adequate when information regarding the random testing pool, reasonable suspicion testing, test results, and subsequent actions is provided only to "designated need to know" staff. All other release of information is only with a signed release of information form from the employee. ●
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N. FURLOUGHS. (The following elements should be reviewed only if the agency/field facility has effected furloughs during the past year.)

Element 1. Has a furlough coordinator been assigned for the agency?

a. Procedures. Interview the agency personnel officer to determine whether an appropriate staff member has been assigned the responsibility for coordinating all furlough activities.

b. Standards. Adequate when furlough activities are coordinated with personnel office staff, program managers, including field administrators, and the Office of Administration.

Element 2. Has the agency provided the OA with required information prior to implementing the furlough process?

a. Procedures. Interview the appropriate Office of Administration staff and the agency personnel officer to determine whether the furlough process was adequately coordinated as required by *Management Directive 505.1, Employee Furlough Policy*, to ensure that individual hardships are minimized, unnecessary unemployment compensation costs are minimized, and applicable collective bargaining agreements are followed.

- **b. Standards.** Adequate when the agency provides the OA with the following information prior to effecting work force reductions:

- (1) An explanation of the need for the furlough.
- (2) An anticipated furlough date.
- (3) An organizational and geographical location of the anticipated furloughs.
- (4) The method of selecting employees to be furloughed.
- (5) One copy of Form STD-480, Furlough Impact by Race and Sex.
- (6) Classifications and bargaining units of employees to be furloughed.

- **Element 3. Has the agency notified and obtained approval of furlough units from the State Civil Service Commission?**

a. Procedures. Interview the agency personnel officer to determine if the State Civil Service Commission received and approved furlough units prior to furlough implementation as required by *Management Directive 580.20, Classified Service Furlough and Reemployment*.

b. Standards. Adequate when approval of furlough units is received from the State Civil Service Commission.

Element 4. Have standardized methods been developed for determining numerical weighting on performance evaluations? •

a. Procedures. Interview the personnel officer to determine whether employees in affected classes and furlough units are evaluated on the same form as required by *Management Directive 580.17, Performance Evaluation Credit for Classified Service Furloughs*.

b. Standards. Adequate when affected employees are evaluated on the same type of form and same factors, regardless of how many various forms are authorized for use, and the most recent annual or probationary evaluations are converted to numerical scores and placed in relative ranks.

Element 5. Are affected employees provided with an adequate explanation of furlough actions?

a. Procedures. Review a sampling of furlough notification letters to affected employees. In addition, determine whether group meetings are conducted to provide furlough information.

b. Standards. Adequate when furlough information includes efforts to place affected employees within the agency, a statement of basis for furlough, the effective date of furlough, an explanation of benefits, and contractual placement rights and appeal rights.

Element 6. Prior to furlough implementation, are attempts made to place noncontract or memorandum covered employees in agency vacancies for which they qualify?

a. Procedures. Review agency appointments between furlough notification and effective furlough dates to ensure that the agency has fulfilled contractual responsibility when filling positions for which noncontract or memorandum covered employees retain placement rights.

b. Standards. Adequate when agency procedures are in place that afford noncontract or memorandum covered employees the opportunity to be placed in vacant positions for which they qualify between the notification and effective furlough dates.

Element 7. Is a mandatory recall list maintained by the agency for contract covered employees?

a. Procedures. Interview the furlough coordinator to determine whether a mandatory recall list is maintained by seniority unit for contract or memorandum covered furlougees.

b. Standards. Adequate when contract or memorandum covered furlougees are afforded mandatory recall rights prescribed by appropriate collective bargaining agreements and memoranda of understanding.

Element 8. Are efforts being made to coordinate the recall or placement of furloughed employees with the OA, Bureau of State Employment?

a. Procedures. Contact the Bureau of State Employment to review actions taken by the agency to exchange information on the recall or placement of furlougees and determine the number successfully placed.

b. Standards. Adequate when the agency coordinates recall and placement actions with the Bureau of State Employment, including notification of rescinded furloughs.

Element 9. Are supervisors of affected employees involved in the furlough process?

- **a. Procedures.** Interview supervisors of units where furloughs have occurred to determine whether they were adequately notified and provided input to the furlough process.
- **b. Standards.** Adequate when supervisors are notified of pending furloughs before the effective dates of the actions and requested to provide input into the process, such as identifying potential positions for furlough and plans for staff training.

Element 10. Do Civil Service appeals and grievances submitted by affected employees result in findings favorable to the agency?

- **a. Procedures.** Interview appropriate OA and Civil Service Commission staff to determine the extent and findings of appeals and grievances submitted by employees affected by furloughs.
- **b. Standards.** Adequate when appeal and grievance findings usually favor the agency.

Element 11. Are actions taken to minimize potential disproportionate effects on minorities and women resulting from furlough actions?

- **a. Procedures.** Interview OA, Bureau of Equal Employment Opportunity staff, as well as the agency equal employment opportunity officer to determine steps taken to ensure furlough actions do not disproportionately effect minorities and women.
- **b. Standards.** Adequate when the agency equal employment opportunity officer plays an active role in the furlough selection process and that InfoQuest is used to identify the number of employees, by race, sex, and bargaining unit within a given seniority unit, affected by the proposed furlough; Form STD-480, Furlough Impact by Race and Sex is prepared to reflect projected impacts on minorities and women; and a copy of Form STD-480 is forwarded to the Bureau of Equal Employment Opportunity.

PART SIX
APPENDICES

APPENDIX A.

PERSONNEL RECORDS LISTING 115

APPENDIX B.

EMPLOYEE NOTIFICATION OF PMR QUESTIONNAIRE 117

PERSONNEL MANAGEMENT REVIEW CONFIDENTIAL QUESTIONNAIRE 119

APPENDIX C.

AGENCY HEAD NOTIFICATION MEMORANDUM 125

APPENDIX D.

PERSONNEL OFFICER NOTIFICATION OF INTERVIEW SCHEDULE 126

APPENDIX E.

SELF-ASSESSMENT OF AGENCY PERSONNEL MANAGEMENT PROGRAMS 127

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APPENDIX A

PERSONNEL RECORDS LISTING

- A. **Personnel office staff objectives, performance evaluations, and personnel history folders.** Activity reports and any other reports to top management summarizing personnel office accomplishments.
- B. **Personnel policies and procedures manual, if available.** Any communications on personnel issues such as internal directives, newsletter articles, memoranda, handbooks, payroll supplements, etc.; central office and field employe handbooks.
- C. **Management Directives file.** All personnel-related directives in the 500 series and others which affect personnel program areas such as *The Americans With Disabilities Act*, etc.
- D. **Official Personnel Folders (Form STD-301).** Random sample of _____. Additional files will be requested as needed.
- E. **Recruitment and placement files (past year).** Letters to applicants and colleges; recruitment sources; newspaper advertisements; vacancy notices for past year; CWEP reports; verification check policy and results; Civil Service Recruitment and Exam Needs report; AEPs; RPEs; 501 promotion procedure; local testing program; Non-Civil Service files; appointment and promotion letters.
- F. **Civil Service certifications (past year).** SCSC 98s and working copies of certifications.
- G. **Equal employment opportunity plan and policy statement.** Progress reports; documentation of contacts with minority groups for recruitment purposes; grievance file; appeal process; documentation on equal employment opportunity training; list of minority contracts; communications of sexual harassment and disability issues.
- H. **Job description file (Form STD-370).** For all employes if separate from personnel history file; position accuracy forms and procedures; senior management service policies; and, essential functions attachment for all employes if separate from personnel history file.
- I. **Classification files (past year).** Including desk audits; classification grievances; reclassification requests and responses; technical evaluations; survey reports; classification log; CAMs; Hay reviews.
- J. **Working out-of-classification records (past year).** Including Form STD-949, Time and Attendance Report; working out-of-classification policies and procedures; analyses of usage; sample letters, etc.
- K. **Benefits files.** Including orientation program outline and checklist; flyers, newsletter articles, payroll stuffers or memos informing employes of benefits changes [medical/hospital plans (Basic, HMO, POS), GLI, work-related injuries, etc.); recognition award programs; preretirement counseling program/information; disability leave and unemployment compensation records; sample letters to employes on benefits changes, injury leave, etc.

- **L. Training files.** Including Form STD-279, Out-Service Training Authorization; STD-278, Service Purchase Contract; STD-305, Training Record; training reports and training plan for current year and past year; courses conducted, such as discipline and grievance handling, supervisory development, performance evaluations; personnel related training conducted, such as transactions, Civil Service rules and procedures, leave monitoring, etc.; HIV/AIDS training records and safety related training records; training course lesson plans; rosters of attendees; and, plan for future training courses.
- **M. Attendance records.** Past and current year's Form C336L, Record of Absence, for all employees, requests for leave; leave policies on reporting off, use of sick leave, supervisory monitoring; leave restriction, any analyses of leave usage, recognition letters, discipline for leave abuse; confidential medical records files; and requests for FMLA types of leave for the last two years.
- **N. Employee performance ratings (Forms STD-363L, Employee Performance Review.** Random sample of _____ if not filed in personnel history files. List of delinquent evaluations, annotated computer listing of evaluations due, probationary listing. If another system is used, copies of applicable forms and system materials. EPR timeliness survey.
- **O. Labor relations files.** Unit agreements unique to the agency; agency side letter; labor-management meeting minutes (past year); seniority lists; strike contingency plan.
- **P. Grievance files.** Grievance log; responses from higher steps, etc.; grievance investigation documentation.
- **Q. Disciplinary files.** Including agency disciplinary policies and procedures, written summaries of predisciplinary meetings.
- **R. Financial disclosure file (Ethics Act, Code of Conduct).** Include most recent filing, completed forms, announcement memoranda, policies and procedures. Also, conflict of interest and supplementary employment policies and files.
- **S. Work force analysis file.** Statistics on turnover, overtime, compensatory time; staffing studies, sick leave use rates and exit information; overtime policy; vacancy lists; complement reduction plans; lists of volunteers or supplementary workers; log on CAR requests and CAR justification forms.
- **T. Safety program file.** Including accident reports; statistics on accidents and lost time; analyses of accidents; safety committee minutes; safety standards; safety plan and policy; safety procedures or manual; safety awareness information; data on safety training such as courses conducted, participant rosters, and future plans, etc.; agency HIV/AIDS policies and Hepatitis B vaccination records.
- **U. State Employee Assistance Program (SEAP) and Drug-Free Workplace Program records.** Coordinator identity; printed materials; training records; Condition of Continued Employment (COCE) records; critical incident stress debriefing records.
- **V. Furlough records.** Mandatory recall lists; furlough letters; equal employment opportunity impact statistics.
- **W. Commercial Driver's License (CDL) Records.** InfoQuest reports of employees and supervisors covered by program and applicable CDL codes; and instructional and procedural data pertaining to program.

APPENDIX B

EMPLOYEE NOTIFICATION OF PMR QUESTIONNAIRE

SUBJECT: Personnel Management Review Questionnaire

TO: All Staff

FROM: _____
(agency head/superintendent)

_____ (agency/facility) has been scheduled for a comprehensive review of its personnel functions during the period _____ (dates). The review is being conducted to assist in improving personnel programs in this agency and throughout the Commonwealth and will be conducted by representatives from the _____ (parent agency) and the Office of Administration.

You are an important part of this process. All personnel, up to and including the _____ (superintendent/agency head), are to complete the attached questionnaire.

Read the questionnaire carefully, respond honestly to the questions, and promptly return it, sealed in the envelope provided, to the personnel office not later than _____ (date). You will notice by the instructions that your responses are completely CONFIDENTIAL. DO NOT put your name and position on the questionnaire. Please note that Part One is to be completed by **all** employees, while Part Two is to be completed by **supervisory staff only**.

Interviews of a small sampling of employees will be held at a later date. If you are selected, you will be notified of the time and place of the interview. Your responses to the interviewer also are confidential and will only be used to determine the quality of our personnel activities.

Your willingness to participate in the review will assist the outside review team, assess the quality of our personnel activities, and will assist us in improving our programs. This will work to your benefit.

Please complete the questionnaire and return it by _____ (date).

Attachment:
PMR Questionnaire

PERSONNEL MANAGEMENT REVIEW CONFIDENTIAL QUESTIONNAIRE

INSTRUCTIONS

This questionnaire is part of a Personnel Management Review being conducted in your agency/facility by an outside review team. The questionnaire allows you to express your viewpoint on personnel management programs which are currently in place. Your responses are **confidential** and will only be seen by the review team. Do **not** place your name on this questionnaire.

All employees should answer Part One. Only supervisors of state employees should answer Part Two. Select the **one** best choice by placing an "X" by the most appropriate answer for each question.

Return the completed questionnaire to your agency/facility Personnel Office. To ensure confidentiality, seal it in the attached envelope. Your Personnel Officer will then forward the unopened questionnaires to the review team. Attach any comments you may have on an additional sheet of paper. Thank you for your cooperation.

PART ONE

TO BE COMPLETED BY ALL EMPLOYEES

1. What is your employment status?
 - A. Civil Service.
 - B. Non-Civil Service.
 - C. Not sure.

2. Are vacancies normally posted before positions are filled?
 - A. Yes.
 - B. Sometimes.
 - C. No.
 - D. Not sure.

3. What is your main source of information on promotional opportunities?
 - A. Personnel Office (i.e. newsletter, vacancy posting).
 - B. Supervisor.
 - C. Other employees.
 - D. Never informed.

4. Does your agency/facility have a written affirmative action policy?
 - A. Yes, I have read it.
 - B. Yes, but I have not read it.
 - C. No.
 - D. Not sure.

5. Are you aware of who your agency/facility Affirmative Action Officer is?
 - A. Yes.
 - B. No.
 - C. Not sure.

6. Do you feel racial minorities often are discriminated against on the job within your agency/facility?
 - A. Yes.
 - B. No.
 - C. I don't know.

7. Do you feel women often are discriminated against on the job within your agency/facility?
 - A. Yes.
 - B. No.
 - C. I don't know.

8. What is your race and sex?
 - A. White female.
 - B. Non-white female.
 - C. White male.
 - D. Non-white male.

9. How would you describe your performance expectations?
 - A. Realistic (expectations are achievable).
 - B. Unrealistic (expectations are not achievable).
 - C. Performance expectations have not been conveyed to me.

10. Are performance expectations used as a basis for evaluating your job performance?
 - A. Yes.
 - B. Sometimes.
 - C. No.
 - D. Performance expectations have not been conveyed to me.

Turn To Page 2.

ALL EMPLOYEES AND SUPERVISORS ANSWER THE FOLLOWING QUESTIONS

11. How frequently do you and your supervisor discuss your job performance?
- A. Never discuss.
 - B. Yearly (annual performance evaluation).
 - C. Twice yearly (progress review and annual evaluation).
 - D. At least quarterly.
12. Are **essential** duties and responsibilities of your job accurately reflected in your job description?
- A. Yes.
 - B. No.
 - C. Don't have a job description.
13. Your job classification (i.e. Psychiatric Aide, Corrections Officer 1, Clerk Typist 2) is based mainly on (check only one):
- A. How well you perform your duties.
 - B. Level of difficulty, complexity, and responsibility of your work.
 - C. How much work you accomplish.
 - D. Not sure.
14. In the last **two years**, has your agency provided or arranged for training to assist you in performing your present duties?
- A. Yes, and it was helpful.
 - B. Yes, but it was not helpful.
 - C. Have not received training during the past two years.
15. Do you feel additional training would help you with your present duties?
- A. Yes; in a number of areas.
 - B. Yes; but only in a few areas.
 - C. No.
16. If you were hired during the past **two years**, how long after being hired did it take you to receive an orientation?
- A. Not hired within the past 2 years.
 - B. Received a formal orientation within 3 months of hire.
 - C. Received a formal orientation within 3 months to 1 year of hire.
 - D. Never received a formal orientation.
17. Whom would you contact **first** to receive information on your medical/hospital benefits (i.e. Blue Cross/Shield, HMO)?
- A. Personnel Office.
 - B. Supervisor.
 - C. Pa. Employes Benefits Trust Fund.
 - D. Others (i.e. co-workers, union representatives).
18. What is your age?
- A. 34 or under.
 - B. 35-44.
 - C. 45-54.
 - D. 55 or over.
19. How would you describe your interest in the retirement system?
- A. At this point I am not interested in retirement.
 - B. I have sufficient knowledge about the retirement program.
 - C. I am interested in learning more about the retirement program.
20. In addition to seeking medical treatment, what would you do **first** if you had an accident at work where you were not seriously injured?
- A. Contact Personnel Office.
 - B. Contact Supervisor.
 - C. Not sure.
21. Have you received safety-related training from your agency/facility in the last **two years** (i.e. CPR, first aid, accident prevention, Right-to-Know)?
- A. Yes.
 - B. No.
 - C. Not sure.
22. Have you been trained on the Commonwealth's HIV/AIDS work place policy in the last **two years**?
- A. Yes.
 - B. No.
 - C. Not sure.

Turn To Page 3.

REMEMBER: CHECK ONLY ONE RESPONSE TO EACH QUESTION

ALL EMPLOYEES AND SUPERVISORS ANSWER THE FOLLOWING QUESTIONS

23. Are you familiar with the Commonwealth's substance abuse policy?
 A. Yes.
 B. No.
 C. Not sure.
24. Have you been trained on the Commonwealth State Employees Assistance Program (SEAP) which is available to employees and their families who are experiencing personal problems?
 A. Yes.
 B. No.
 C. Not sure.
25. Do you work other than 7.5 or 8 hour days (exclude overtime and comp-time)?
 A. Yes.
 B. No.
26. Have you had pay problems within the last **two years** (i.e. your biweekly check was not received on time and assistance was required to get it)?
 A. Yes, but only 1 or 2 times.
 B. Yes, more than 2 times.
 C. No.

Based on your own experience, how would you rate assistance provided by your **Personnel Office staff** in the following areas over the last **two years**? Check either A, B, or C for each question. If you had no experiences in these areas, please check D "Don't Know".

- | | Fully Satisfied | Somewhat Satisfied | Not Satisfied | Don't Know | |
|-----|-----------------------------|-----------------------------|-----------------------------|-----------------------------|--|
| 27. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Availability of Personnel Office staff? |
| 28. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Responsiveness of Personnel Office staff? |
| 29. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Accuracy of information provided by Personnel Office staff? |
| 30. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Confidentiality practiced by Personnel Office staff? |
| 31. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Pay assistance from Personnel Office staff? |
| 32. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Leave record assistance from Personnel Office staff? |
| 33. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Benefits assistance from Personnel Office staff? |
| 34. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Classification assistance from Personnel Office staff? |

Based on your experience, how would you rate the following factors in your **work section**? Please limit your response to the last **two years**.

- | | Fully Satisfied | Somewhat Satisfied | Not Satisfied | Don't Know | |
|-----|-----------------------------|-----------------------------|-----------------------------|-----------------------------|--|
| 35. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Communication from immediate supervisor? |
| 36. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Recognition of good performance from immediate supervisor? |
| 37. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Attendance/work rules consistently applied by immediate supervisor? |
| 38. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Discipline consistently applied by immediate supervisor? |
| 39. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Morale in work section? |
| 40. | A. <input type="checkbox"/> | B. <input type="checkbox"/> | C. <input type="checkbox"/> | D. <input type="checkbox"/> | Workload/staffing in work section? |

If you do **not** supervise State employees, you have completed the questionnaire. If you have additional comments, please place them on a sheet of paper and attach it to this questionnaire. Thank you for your assistance.

If you are a supervisor of State employees, please continue on to Part Two. NOTE: a supervisor is defined as any individual having authority to hire, evaluate, promote, grant leave, assign, reward, or discipline other employees.

**If you do not supervise State employees, you have completed this questionnaire.
 If you are a supervisor, please continue on page 4.**

PART TWO
TO BE COMPLETED ONLY BY SUPERVISORS OF STATE EMPLOYEES

41. How long have you been a supervisor in your current section?
- A. Less than two years.
 - B. Two to five years.
 - C. Over five years.
42. When did you receive basic supervisory training (i.e. discipline and grievance handling, performance evaluation and effective communication)?
- A. Before becoming a supervisor.
 - B. Within six months of becoming a supervisor.
 - C. More than six months after becoming a supervisor.
 - D. Never received basic supervisory training.
43. Have you received supervisory training (i.e. basic, special, or refresher) during the last two years?
- A. Yes.
 - B. No.
 - C. Not sure.
44. Do you feel you would benefit from additional supervisory training?
- A. Yes; in a number of areas.
 - B. Yes; but only in a few areas.
 - C. No.
 - D. Not sure.
45. Have you participated in a training needs assessment within the last year?
- A. Yes.
 - B. No.
 - C. Not sure.
46. Is training available that adequately meets your employees' needs?
- A. Yes.
 - B. No.
 - C. Not sure.
47. Have you received training in the preparation of performance evaluations?
- A. Yes; a program was offered in performance evaluation preparation.
 - B. Yes; but only as part of a basic supervisory course.
 - C. No; never received training in performance evaluation preparation.
48. How helpful has the Personnel Office been with recruiting candidates to fill authorized vacant positions in your section during the last two years?
- A. Very helpful; candidates are usually available for all positions.
 - B. Somewhat helpful; candidates are not always available for some positions.
 - C. Not helpful; candidates are rarely available for most positions.
 - D. Recruiting assistance was not requested.
49. How are your employee job descriptions kept up-to-date (check only one)?
- A. Yearly; during annual performance evaluation review.
 - B. More frequently than yearly; as duties and responsibilities change.
 - C. Infrequently; only when position is audited or reclassified.
 - D. Job descriptions are normally not kept current.
50. How timely has your Personnel Office been in conducting classification desk audits in your section during the last two years?
- A. Very timely; audits usually conducted within 30 days of request.
 - B. Somewhat timely; audits usually conducted within 31-90 days of request.
 - C. Not timely; audits usually take over 90 days from initial request.
 - D. Desk audits were not requested.

Turn To Page 5.

REMEMBER: CHECK ONLY ONE RESPONSE TO EACH QUESTION

51. How helpful has your Personnel Office been with temporary working-out-of-classification assignments in your section during the last two years?
- A. Very helpful; assistance is usually reliable.
 - B. Somewhat helpful; assistance is not always reliable.
 - C. Not helpful; assistance is never reliable.
 - D. Working-out-of-classification assistance was not requested.
52. How helpful has your Personnel Office been with the resolution of grievances in your section during the last two years?
- A. Very helpful; assistance is usually reliable.
 - B. Somewhat helpful; assistance is not always reliable.
 - C. Not helpful; assistance is never reliable.
 - D. Grievance resolution assistance was not requested.
53. How helpful has the Personnel Office been with the administration of employe discipline in your section during the last two years?
- A. Very helpful; assistance is usually reliable.
 - B. Somewhat helpful; assistance is not always reliable.
 - C. Not helpful; assistance is never reliable.
 - D. Discipline administration assistance was not requested.
54. Do you have access to collective bargaining agreements for union covered employes?
- A. Yes.
 - B. No.
 - C. Do not supervise union covered employes.
55. How would you describe the working relationship between management and union officials during the last two years?
- A. Cooperative; issues usually settled at the agency/facility level.
 - B. Uncooperative; issues rarely settled at the agency/facility level.
 - C. Not sure.
56. Are you aware of target minority hires for your section which are contained in your agency/facility Affirmative Action Plan?
- A. Yes.
 - B. No.
 - C. Not sure.
57. Is there a written policy on sick leave for your section (i.e. approval, monitoring, and reporting-off procedures)?
- A. Yes.
 - B. No.
 - C. Not sure.
58. Do you feel an employe leave abuse problem exists in your section?
- A. Yes; leave abuse exists in more than 1 case.
 - B. Yes; but abuse exists in only 1 case.
 - C. No.
 - D. Not sure.
59. Is there a written policy for assigning paid overtime in your section (i.e. approval, equalization, monitoring, and reporting procedures)?
- A. Yes.
 - B. No.
 - C. Not sure.
60. Has overtime been assigned in your section during the past two years?
- A. Yes.
 - B. No.
 - C. Not sure.
61. Is there a written policy for assigning compensatory leave in your section (i.e. approval, monitoring, and reporting procedures)?
- A. Yes.
 - B. No.
 - C. Not sure.

Turn To Page 6.

REMEMBER: CHECK ONLY ONE RESPONSE TO EACH QUESTION

62. Has compensatory leave been assigned in your section during the past two years?

- A. Yes.
- B. No.
- C. Not sure.

63. Have you received supervisory training on the State Employee Assistance Program (SEAP) within the last two years?

- A. Yes.
- B. No.
- C. Not sure.

64. Do you have access to a current personnel policies and procedures manual?

- A. Yes; a manual is available and contains updated policies/procedures.
- B. Yes, but the manual does not contain updated policies/procedures.
- C. Not aware of such a manual.

65. How would you describe the communication of personnel policies and procedures from your Personnel Office?

- A. Excellent; all personnel policies and procedures are fully explained.
- B. Good; most personnel policies and procedures are explained.
- C. Fair; only some personnel policies and procedures are explained.
- D. Poor; few or no policies and procedures are explained.
- E. I don't know.

If you have additional comments, please place them on a sheet of paper and attach it to this questionnaire. Do not write your comments on this questionnaire. Thank you for your assistance.

APPENDIX C

AGENCY HEAD NOTIFICATION MEMORANDUM

SUBJECT: Personnel Management Review

(agency/facility)

TO:

(name)

(agency/facility)

FROM: Thomas G. Paese
Secretary of Administration

_____ (agency/facility) has been scheduled for a Personnel Management Review (PMR) during the period _____ (dates). The review team will consist of staff members from the Office of Administration and _____ (parent agency).

The review will involve an analysis of the administration of the following personnel management programs: personnel management and communication; recruitment and placement; equal employment opportunity; employe relations; attendance management; benefits and services; position classification; employe performance reviews; training and staff development; personnel transactions and records; work force analysis; employe safety; SEAP and drug and alcohol programs; and furloughs. The overall objective of the review is to identify both effective and ineffective programs. Recommendations are then made in a report, following the on-site review, for those programs requiring improvement. ● ● ● ●

Personnel Management Reviews have been conducted in all state agencies and in numerous field facilities in order to improve on the Commonwealth's personnel management system.

Your personnel officer has provided information, such as an organization chart and job descriptions for the personnel office staff, which will be used for scheduling employe interviews during the review. We will transmit a copy of the interview schedule in the near future so that your personnel officer can notify those managers, supervisors, and their staffs selected for interviews. In addition, the personnel office was requested to distribute confidential questionnaires to all employes and return them in the near future so they can be analyzed prior to the PMR team's arrival on site. ● ●

Your cooperation and willingness to participate in the PMR process are appreciated.

Should you have any questions, please contact _____, Office of Administration, or _____ (personnel director of parent agency). ●

APPENDIX D

PERSONNEL OFFICER NOTIFICATION OF INTERVIEW SCHEDULE

SUBJECT: Personnel Management Review Schedule

_____ (agency/facility)

TO: _____ (name)
Personnel Officer

FROM: _____, Chief
Personnel Management Review Division

Attached for your information and coordination is the Personnel Management Review Schedule for the period _____ (dates). Please notify the identified organizational unit managers/supervisors that they will be interviewed as outlined in the schedule. Also, ensure that all employees are aware that members of the Personnel Management Review team will select a random sampling of staff assigned to the units scheduled for interviews. This random selection process will be determined when interviewing the specific unit manager/supervisor.

Please note: If any of the selected managers/supervisors will be on leave or otherwise unavailable during the course of the Personnel Management Review, please notify us so that a schedule adjustment can be made or an alternate selected for the interview.

As previously discussed, the opening meeting with you and your staff on _____ (date) is designed primarily as an introductory meeting. We request you provide a synopsis of the personnel management programs in place at _____ (agency). In addition, please ensure that all requested program records are organized, labeled, and placed in the room where the review team will work so that the team can begin the records review segment immediately following the meeting.

Interviews scheduled with agency managers will pertain to the personnel management programs as they are being administered in their sections and with their interaction with the personnel office. Interviews with selected individual staff members are conducted to elicit their perceptions of the services they are receiving from the personnel office. Interviews with managerial staff normally last approximately one and one-half hours while interviews with selected individual staff members last approximately 15 to 30 minutes.

Should you have any questions regarding the schedule, please contact _____ (Personnel Management Review Team Leader).

Thank you for your assistance in this matter.

Attachment



Self-Assessment of Agency Personnel Management Programs

This self-evaluation tool provides standards which identify critical elements in the areas of personnel. It should be used as a guideline toward improving agency personnel management programs. Through self-evaluation, agencies can identify the areas of personnel that are deficient, develop the appropriate performance expectations to attain the standards, and correct deficiencies.

Where agencies identify a need for technical assistance or training, they are advised to contact the Office of Administration or the Central Personnel Office (for field sites).

Self-Assessment of Agency Personnel Programs

A. Personnel Management and Communication

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. The agency Personnel Office is organizationally placed at a level which enables the Personnel Officer to effectively provide staff support to top management.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Current written functional statements for the Personnel Office clearly define program responsibilities and assign authority to the Personnel Office to function in an integral management support role.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The Personnel Office has sufficient allocations of funds, staff, equipment, supplies, and space to accomplish its mission	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Personnel Office staff are technically prepared to fulfill their personnel responsibilities and continue to receive training as necessary to carry out assignments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The Personnel Officer has negotiated specific achievable work expectations and standards for the current fiscal year with the immediate supervisor.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The Personnel Officer and staff have developed short and long range work expectations for the personnel program, priorities have been established, and progress made toward achieving them is evaluated at least semi-annually.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Personnel Office positions have current job descriptions and written standards for acceptable performance which are used as a basis for evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Policies and procedures for personnel management have been established and communicated to all agency employees such as work rules, reporting off procedures, and monitoring of sick leave usage.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Procedures are in place to ensure that management directives, administrative circulars, and the agency Personnel Manual (if available) are kept current and disseminated to appropriate staff.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Managers and supervisors effectively carry out their personnel management role in such areas as hiring, performance evaluation, attendance management, grievance and discipline handling, and classification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Personnel work activity is not duplicated in other organizational activities, i.e. no program office employees have been assigned technical personnel work without Personnel Office concurrence and training.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

**FULLY
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|-----|--|--------------------------|--------------------------|--------------------------|
| 12. | The Personnel Officer meets periodically with managers/supervisors in headquarters and field units to discuss personnel-related problems and/or programs | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 13. | The Personnel Officer has overseen the development of computer applications for appropriate personnel management and administration applications within the agency | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

For agencies with field personnel offices:

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|-----|--|--------------------------|--------------------------|--------------------------|
| 14. | The Personnel Officer has established personnel program standards and expectations for field personnel offices and periodically monitors field offices to ensure standards are met | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. | Field facility personnel officers inform their managers and supervisors of the personnel office's personnel program work expectations and standards.. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

B. Recruitment and Placement

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. No violations of the Civil Service Act or Rules such as illegal appointments have occurred in the last year.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The agency normally processes certifications within 60 days and provides reasons for cancellations.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Promotions without examinations are made in accordance with Section 501(3) of the Civil Service Act and M.D. 580.19, Promotion in the Classified Service Without Exam. No agency evaluation procedures are implemented without the approval of the Civil Service Commission.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Civil Service demotions are effected in accordance with Section 706 of the Civil Service Act either due to unsatisfactory performance or upon specific request of the employe.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The agency provides required notification of appointment, termination, promotion/demotion, and furlough actions to the State Civil Service Commission and the Office of Administration and within the time frames required by M.D. 580.11, Documentation of Classified Service Personnel Actions.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Authority for signing such notifications (as in #5) has been officially delegated to the Personnel Officer either in writing or by use of a signature block indicating the appointing authority's delegation of signatory authority to the Personnel Officer.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. An annual identification of recruitment and examination needs is completed as required by M.D. 580.12, Recruitment for Classified Service Positions.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Training is conducted for interviewers and appropriate personnel staff on the use of eligible lists and proper interviewing procedures as shown in the S.C.S.C. "Selection Interview Guide" and M.D. 580.10, Rights of Certified Eligibles. Agency ensures proper implementation of form STD-483, EE Review Certificate.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. New employes are provided notice and explanation of union membership options for union represented positions. Candidates applying for positions represented by a union are informed during their employment interview of the Fair Share Deduction requirement.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Appointment to senior level positions conforms to the policy and procedures of M.D. 515.16.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Non-Civil Service selections are made in conformance with the provisions of M.D. 515.10, Selection and Appointment to Non-Civil Service Positions....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

**FULLY
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|-----|--|--------------------------|--------------------------|--------------------------|
| 12. | No interviews are conducted for Non-Civil Service vacancies until an approved list of Non-Civil Service candidates is received from the Bureau of State Employment | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 13. | The agency returns referral lists to the Bureau of State Employment within 20 working days and provides justification for non-selection | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. | Vacancies are posted in accordance with appropriate collective bargaining agreements and management policies | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. | Appointments above the minimum are effected in accordance with M.D. 520.1, Appointments Above the Minimum | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. | Verification checks are conducted for all initially-appointed employes in accordance with M.D. 515.15, Identification, Employment and Character Verification Checks | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 17. | Form I-9 (Employment, Eligibility Verification) is completed on all new hires and identity and employment eligibility documents are checked as required by IRCA and M.D. 515.15..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 18. | The Personnel Officer has implemented and ensured the training of appropriate staff on the State Civil Service Commission's computerized certification system | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 19. | Criminal history records on employes or candidates for employment are closely reviewed to assure that offenses are not work-related and do not affect the employes' suitability for employment or continued employment | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

C. Equal Employment Opportunity (EEO)

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. A current and clearly-stated agency policy supporting the Commonwealth's EEO Program has been signed by the agency head, disseminated and posted throughout the organization and includes provisions for hiring persons with disabilities and prohibiting sexual harassment.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The agency EEO Officer maintains visibility through frequent contacts with managers, supervisors and employees throughout the agency.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The EEO Officer's responsibilities are clearly defined in the EEO Plan including monitoring all aspects of the personnel management system impacting on EEO to include implementation of STD-483, EE Review Certificate Program, and serving as a consultant to agency management in identifying problem areas.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Written procedures for processing discrimination complaints to the EEO Officer have been disseminated throughout the agency.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Formal discrimination complaints are documented using Form STD-482 and processed according to requirements in M.D. 410.10, Guidelines for Investigating and Resolving Discrimination Complaints.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The agency has developed and periodically monitors an EEO Plan which meets criteria established in M.D. 410.3, Guidelines for EEO Plans and Programs.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Managers participate in the development of the EEO Plan, particularly in the establishment of objectives and action programs.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. The Personnel Officer works closely with the EEO Officer in developing the EEO Plan and the Personnel Officer's expectations are linked to specific action items in the Plan.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. The objectives and timetables in the EEO Plan are revised periodically to correct imbalances in the work force for minority groups and women.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. The agency collects and analyzes statistics on personnel actions to meet EEO requirements and measure the success of its EEO Program. Statistics also include the number of minorities and women in higher level jobs, and the number being trained and involved in upward mobility programs.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. The EEO Officer is responsible for monitoring agency progress toward achieving its objectives by using the automated computerized system.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. The agency has attempted to correct under representation through such techniques as development of recruitment plans, trainee classes, or career development plans.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

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| 13. | An active recruitment and selection program for minority and female personnel is developed and is ongoing. Recruitment efforts reach beyond the local area if necessary | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. | An analysis of the discrimination complaints is made whenever increased occurrences, patterns, or common factors occur..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. | The EEO Officer reports to the responsible official for EEO and has a current job description and job standards, and has established specific work expectations/standards with the immediate supervisor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. | The EEO Officer, in collaboration with the Personnel Officer, develops and submits for approval EEO performance standards for managers and supervisors | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 17. | The EEO Office has sufficient allocations of funds, staff, equipment, supplies and space to accomplish its mission | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 18. | A process is in place for employees to request an accommodation due to a disability..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 19. | Required posters on laws which prohibit discrimination are posted, and required information is distributed to employees | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 20. | Supervisors and managers are trained on the requirements of disability-related policies, including the reasonable accommodation process | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

D. Employe Relations

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. A Labor Relations Coordinator has been officially designated who is well versed in labor relations and discipline and whose role is to provide assistance to managers and resolve grievances at the appropriate step for the agency head	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The agency has attempted to establish a cooperative management-union relationship, fostering mutual open communication, trust and resolution of problems at the lowest possible step	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. All supervisory and management personnel have received or are scheduled to receive training in labor relations theory, discipline and grievance handling.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Contract interpretation briefings are conducted by the Labor Relations Coordinator for all managers and supervisors whenever new contracts are negotiated or significant interpretations arise from arbitrations or court cases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Established procedures are in place for handling grievances and appeals which are in accordance with M.D. 590.7, Labor Relations Grievance Administration; M.D. 590.8, Classification Grievance Procedure and, if applicable to the organization, the Accelerated Grievance Procedure (AGP). Managers and supervisors have received a copy of M.D. 590.7 and M.D. 590.8 and, if applicable, the Rules and Procedures for the AGP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Employe grievances and arbitration awards are analyzed periodically to determine whether any trends are occurring which might require proposed changes to management practices or collective bargaining agreements.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The Labor Relations Coordinator notifies supervisors regarding the status of grievances submitted by employes under their supervision and the resolution of those which are of general agency interest.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Where furloughs have occurred, the agency has attempted to minimize the impact on affected employes by advising that a furlough is imminent, attempting to place affected employes with other agencies, and utilizing attrition where possible to avoid furloughs.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. A written policy has been disseminated stating established rules of conduct, standards of performance and disciplinary procedures which are consistent with labor contracts, the Personnel Rules, Code of Conduct, Substance Abuse in the Workplace, and other applicable management directives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Discipline is monitored by the Personnel Office to ensure the Personnel Rules, collective bargaining agreements and relevant management directives are followed. Each instance is judged independently and the degree of discipline is justified by the facts.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
11. Work policies and rules, including those unique to the agency, are provided in writing to employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Authority for oral and written reprimands has been clearly delegated to supervisors; responsibility for more severe discipline has been defined and communicated to supervisors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Employee disciplinary letters contain an explanation of the circumstances of the action, rationale for the discipline applied and the employee's appeal rights.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. An analysis of disciplinary actions is conducted periodically to identify trends and determine recurring problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. The OA is notified of anticipated individual dismissals prior to the effective date of the personnel action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Supplementary employment policies and procedures have been developed and implemented to review outside work activities of agency employees in accordance with M.D. 515.18 and applicants are informed of the supplementary employment policy during the employee selection process.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Financial disclosure statements required under Act 170 and the Governor's Code of Conduct include any severance payments received and are reviewed to ensure conflicts of interest do not exist, and financial disclosure forms are filed as required by M.D. 205.10, the State Ethics Act, and M.D. 205.9, the Governor's Code of Conduct	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Outside income or employment disclosed on financial disclosure forms is checked against supplementary employment files to ensure approval	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Employees are informed of the provisions of the Whistleblower Law Act 1986-169 in accordance with M.D. 205.16	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. The Office of Administration is notified of all employees charged with criminal conduct, as soon as possible, after receipt of pertinent data.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. Attendance Management

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. There is an active leave program, an agency attendance administrator has been designated, and timekeepers have been assigned.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. A clear, thorough leave policy has been disseminated to all employees and reminders and updates are issued.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Supervisory training is provided as necessary.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Newly hired employees receive a full explanation of the leave program as part of their orientation.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The agency has taken steps to control and reduce sick leave usage.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. A program is in place which requires supervisors to monitor sick leave usage, identify sick leave abusers, use sick leave restrictions, impose discipline, and recognize employees with low sick leave usage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The attendance administrator periodically analyzes sick leave usage and shares findings with managers where sick leave abuse is suspected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Timekeepers have received thorough training in the time and attendance reporting system and have been provided copies of the Leave and Holidays Program Manual.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. The Personnel Office has implemented strict leave monitoring and documentation procedures to ensure that requests for seven pay period extensions of the calendar year for excess annual and personal leave are only approved when necessary and in accordance with rules.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Leave adjustments are processed timely, for invalid and over usage of leave.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. The agency notifies all employees who begin a FMLA (Family Medical Leave Act) qualifying leave of their rights and responsibilities while on leave	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Leave records are audited periodically to ensure compliance with Commonwealth policy.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F. Benefits and Services

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. New employe orientation is provided either through a formal classroom presentation or on an individual basis. An orientation checklist is in place and is signed by each new employe upon completion of orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. A SERS retirement counselor is known by employes within the agency and group pre-retirement counseling sessions are periodically scheduled for employes aged 55 and over when the need exists or interest is expressed ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The agency has developed a working relationship with SERS regional field offices and encourages employes in those regions to contact SERS with retirement questions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The agency inputs required pay and leave information into IPPS no later than 21 days after the effective date of retirement.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. All benefits forms for new employes are completed promptly and accurately. Employes are periodically reminded to update beneficiary and dependent information and counseled regarding eligibility provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The agency has unemployment compensation procedures in place which include: providing appropriate forms to terminating employes, forwarding employment and salary data to the Office of Employment Security, and providing an agency representative at hearings who is well versed on the employe's case.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The agency has implemented a method for periodic review of UC claims from a cost containment standpoint.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Injury reports are provided to the Workers' Compensation Claims Administrator on the day of occurrence for serious injuries and within 3 work days of occurrence for all other reportable injuries.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. The agency has a process in place for identifying and correcting the late reporting of work place injuries, including review of and follow-up on monthly report of late reporting prepared by OA.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Employes on Injury Leave are informed in writing of their benefits and injury leave procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. A modified duty policy is in place which requires follow-up with employes absent due to work-related injury to determine their prognosis, date of return and fitness for modified duty and appropriate modified duty assignments are provided and monitored.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Separating employes are provided information regarding effects on benefits including conversion or COBRA continuation rights for Life Insurance, medical benefits, retirement, leave, financial disclosure and employment restrictions under Act 170, State Ethics Act.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

**FULLY
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13. Recognition programs have been established within the agency to recognize employes in such areas as outstanding achievement, minimum use of sick leave, longevity and retirement in accordance with M.D. 505.23..

14. The agency has a mechanism in place to communicate information on benefits and changes such as payroll stuffers, bulletins, or an employe newsletter.....

15. The agency's benefit communication program includes a commitment to educate employes concerning health care cost containment and to solicit employe cooperation with the Commonwealth's and PBTF's cost containment efforts.....

G. Position Classification

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. The agency maintains a current and accurate organizational chart and functional statements for each bureau and division.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Position classification surveys are conducted in accordance with decentralized classification authority requirements to include 25% of complement positions annually.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The classification staff identifies and analyzes classification grievance trends, determines causes, and prepares recommendations to eliminate the causes of these grievances.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Whenever misclassified positions are identified, they are properly allocated through restructuring, reassignment, or reclassification.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Classification requests are reviewed and findings communicated to originators within 30 days unless requests involve several positions or developmental work which would require additional staff time.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The agency has a procedure for monitoring and controlling temporary assignments (working out of class) in accordance with M.D. 525.4 including: prior approval and written notification of assignments, review of minimum qualifications and assignments, monitoring employee leave usage while on temporary assignment, and timely, accurate computer input of payment information.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Effective dates of reclassification actions are executed in accordance with M.D. 520.6, i.e. the date they are received in the Central Personnel Office ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. A mechanism is in place to ensure that job descriptions are kept current and reviewed annually. Updated job descriptions are forwarded to the classification staff for review and maintenance.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Class specifications used only in the agency are reviewed at least every two years or as program changes warrant an analysis.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Class specifications are appropriately validated and accurately documented prior to submission to OA for approval.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Classification training is provided to supervisors to explain classification principles and procedures and general information on job classification and pay is provided to all employees.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. An accurate listing of SMS positions is maintained, appropriate positions identified and proper procedures followed in the coding, recruitment, and appointment of SMS employees consistent with the Personnel Rules and OA and SCSC instructions.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

**FULLY
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| 13. Classification grievances are acknowledged and answered at the third step with the necessary extensions of time requested and the appropriate technical analysis made and documented | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. Essential job functions are developed for all positions and are appended to each job description. Updates are prepared as needed | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. Post audit documentation is available for OA review as requested | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

H. Employe Performance Reviews

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. Performance evaluations are prepared in a timely manner and delivered in accordance with the Personnel Rules and M.D. 540.7 and established rating cycles.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Performance evaluations are used to realistically and comprehensively assess performance, provide work expectations, and standards, and determine training needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Top management and the personnel officer have implemented a process to ensure that work expectations/standards are realistic, measurable, and consistent with the overall agency mission and goals.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Reviewing officers play a role in establishing, reviewing and modifying work expectations/standards and ensuring relative consistency in levels of responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The Personnel Officer has implemented an EPR monitoring system to ensure that:			
a. all positions are coded on IPPS with an appropriate rating cycle code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ratings are submitted timely and completely and the EPR timeliness survey is submitted to the OA by March 1 of each year.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. progress reviews occur at least semi-annually.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. required training is provided to new managers and supervisors and others as needed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. appropriate top managers are informed of supervisory non-compliance with performance evaluation procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Effective procedures for monitoring probationary periods of civil service and contract covered employes are established and operational	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Probationary employes receive regular status on time and there are no late submissions of end of probation performance evaluations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. The Personnel Office reviews performance evaluations to ensure completeness, quality, thorough documentation of performance problems, and identification of training needs and provides appropriate feedback to resolve problem areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PROGRAM ELEMENT STANDARDS (CONT'D)

**FULLY
MEETS
STANDARD** **PARTIALLY
MEETS
STANDARD** **DOES NOT
MEET
STANDARD**

- | | | | | |
|-----|---|--------------------------|--------------------------|--------------------------|
| 13. | The agency training staff is sufficient in size and adjunct trainers are used to increase capabilities to provide identified technical and theoretical courses to all levels of staff..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. | Training resources including supplies, audio/visuals, reference materials and classrooms are available to enhance training effectiveness | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. | Employees in trainee and intern positions are provided with appropriate, planned training. Consultative services are provided to agency staff in the development of training plans and projects | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. | A manual or computerized training record is maintained for each agency employee either in the personnel history file or in the training office, is updated as further training occurs, and is forwarded to the new agency when an employee transfers..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

I. Training and Staff Development

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. The agency has developed a written training and development policy which is consistent with the Commonwealth's training policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. An agency training plan and training report are prepared annually in accordance with M.D. 535.7 and submitted to the Office of Administration....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The agency Training Officer and staff have objectives stipulating training to be conducted and standards established and are evaluated based on these standards.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. In agencies with field facilities or decentralized training functions, training activities are coordinated by/with the Central office training function.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Policies and procedures for the approval and payment of out-service training are developed and implemented in accordance with the most recent guidelines on out-service training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Raters are identifying specific training and/or developmental activities with time frames for completion, for their subordinates on the performance evaluation form.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The agency training officer in collaboration with the agency Personnel officer ensures a systematic approach to determining training needs of managers, supervisors and other employees which includes but is not limited to periodic surveys and an annual review of training and development needs identified on performance evaluations.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Core training programs (orientation, supervisory development and agency-specific training) are available and presented as needs are identified.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Scheduling, announcement and nomination procedures are developed in such a manner to encourage inclusion of appropriate participants throughout the entire agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. All new supervisors complete courses in supervisory development, basic labor relations/contract administration and performance evaluation prior to assignment as a supervisor or within six months of the assignment.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. A mechanism is in place to determine the effectiveness of training programs and a systematic evaluation of the results of training is conducted.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. The agency has a specific training budget or appropriate method for allocating funds for training and adequate funds are available to meet employees' needs.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

J. Personnel Transactions and Records

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. The agency has developed goals to improve their transactions processing timeliness for actions under their control and has implemented procedures to ensure these goals are met	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Training in transactions is provided to new staff and periodic refresher training is provided to all transactions staff to include use of STD-483, EE Review Certificate and data retrieval methods such as infoquest.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The Transactions staff relies on IPPS for complement control and personnel history information rather than manual card files	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Personnel transactions are input in a timely and accurate manner.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. A time administrator has been assigned, and overtime shift differential, short term LWOP and wage payroll are input in an accurate manner.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Personnel History Folders are maintained in accordance with M.D. 505.18 and are purged biennially; folders of terminated employes are sent to the State Records Center within 60 days of termination.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The agency has developed and implemented a policy regarding access to employe records or information that can be accessed via terminal. Employe information is accessed in accordance with M.D. 505.18, Maintenance, Access and Release of Employe Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. A program is in place to insure that expiration dates are on position records, and requests are forwarded for extensions if needed prior to position expiration.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. A program is in place to compile and record monthly CWEP statistics.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. A program is in place to monitor usage of annuitant positions.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

K. Work Force Analysis

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. Work force analysis and planning is carried out within the agency through clearly defined activities in personnel, budget, equal employment opportunity and major program offices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Agency top management is provided with work force information which includes analyses of employment trends, work force composition, turnover, age and length of service, leave usage, overtime, and EEO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The agency effectively uses computers to assist in the analysis of workforce data, the maintenance of statistics, and the reduction of manual reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Staffing standards have been developed where feasible and used to determine staffing patterns and ratios.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Contingency plans for emergency situations including furloughs, strikes, natural disasters, and civil disorders are in place and include assignments and telephone contacts for the Personnel Office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The agency has developed a procedure to analyze program activity and the effectiveness of the utilization of existing staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Employee productivity is periodically measured, and productivity improvement efforts have been undertaken	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Supplementary workers and volunteers are used to supplement the agency's work force where feasible and to perform assignments not normally completed by agency staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. A written policy and procedure has been implemented to monitor, analyze, and control overtime and compensatory leave usage in the agency in accordance with the Personnel Rules, Fair Labor Standards Act, and appropriate collective bargaining agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. An exit interview program has been implemented and summary feedback is provided to managers and supervisors particularly where agency top management considers turnover high.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Any deviations from the agency's standard work hours are thoroughly reviewed by the Personnel Office and periodic evaluations are conducted to ensure they comply with OA requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. All alternate work schedule (AWS), flex-time, and job share arrangements are approved by the OA prior to implementation and evaluated to ensure compliance with Commonwealth and agency policies and contract provisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

L. Employe Safety

(The importance of a safety program is critical to the long-run cost containment of work related injuries. Agencies with few injuries and jobs with a limited risk of injury may want to selectively emphasize a safety program element. If you have a question as to how this section applies to your agency, please contact the Bureau of Personnel, Office of Administration.)

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. The agency has an assigned Safety Coordinator and a safety program is in place which is tailored to the needs of the agency.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. An agency safety policy is endorsed by the agency head and provided to all employes which addresses general safety issues and emphasizes working areas with greater potential for accidents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Supervisors report and investigate all accidents and completed injury reports are forwarded to the Safety Coordinator or Personnel Office in accordance with current guidelines.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Injury reports are reviewed by the Safety Coordinator to determine trends and recurring problems; at a minimum, investigations are conducted whenever an accident results in injury or property loss and recommendations are made for corrective actions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Coordination occurs between the Safety Coordinator and the Personnel Office on injury reports, safety training, modified duty, safety committee and investigations of employes with repeated accidents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Statistics on accidents and lost time due to accidents are maintained and periodically analyzed by the agency Safety Coordinator to assess the effectiveness of the safety program. Both short-run and long-run preventive measures are considered and implemented.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Accident information is analyzed to include lost time, salary costs, and Workers' Compensation costs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Periodic safety inspections of the work environment and equipment are conducted and safety hazards are corrected in a timely manner.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. A fire prevention program is in place which includes periodic inspections, testing of equipment, fire drills and fire-related training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. New employes are instructed in basic safety procedures during orientation; managers and supervisors receive periodic safety training when the rate of accidents is high enough to warrant presentation of a training program.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Safety practices and procedures are disseminated to employes, posted on bulletin boards and included in employe handbooks; safety training is conducted as necessary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. A system of reviewing preventable injuries is in place to determine the need for corrective discipline to reinforce safe working habits.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

FULLY MEETS STANDARD PARTIALLY MEETS STANDARD DOES NOT MEET STANDARD

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|-----|--|--------------------------|--------------------------|--------------------------|
| 13. | A multi-disciplinary Safety Committee has been established to meet and discuss safety issues, review accident reports, and conduct periodic inspections of worksites..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. | The agency has implemented procedures to ensure compliance with the Worker and Community Right-to-Know Act as follows | | | |
| a. | Agency Right-to-Know Coordinator has been designated..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. | Employee Workplace Notices are posted throughout the facility | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. | Hazardous Substances Survey Forms are completed and posted | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. | Annual Training is conducted for selected employees | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e. | Material Safety Data Sheets (MSDA) are obtained and updated for each hazardous substance or hazardous mixture in the workplace..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| f. | Health and Exposure Record System established..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| g. | All substances are labeled..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. | The agency has implemented SARA Title III requirements as stated in Sections 303 and 304..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. | The agency has complied with Executive Order 1996.12, AIDS Workplace Policy, and an appropriate level of AIDS education has been provided to all employees..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 17. | An HIV/AIDS workplace coordinator has been assigned who is responsible for recommending appropriate agency and/or field facility HIV/AIDS workplace policy, ensuring that HIV/AIDS policies are consistent with Commonwealth policy, providing assistance to managers, supervisors, and employees on HIV/AIDS questions, and coordinating HIV/AIDS education efforts | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 18. | Appropriate procedures are in place for protecting the confidentiality of HIV/AIDS information on employees, clients, residents, patients, student, or inmates at state-run or state contracted facilities..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 19. | Procedures for handling incidents of potential transmission of HIV and other bloodborne pathogens in the workplace are established and implemented, in accordance with M.D. 505.26..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 20. | In appropriate work settings, infection control practices and personal protective equipment is provided, adhered to, and monitored to reduce the likelihood of exposure..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 21. | Training is provided to all employees on basic HIV/AIDS information, and in jobs where there is the likelihood of encountering blood or body fluids, employees are receiving specialized training in procedure for preventing HIV transmission | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

M. State Employee Assistance Program and Drug and Alcohol Programs

PROGRAM ELEMENT STANDARDS	FULLY MEETS STANDARD	PARTIALLY MEETS STANDARD	DOES NOT MEET STANDARD
1. The agency has an operational State Employee Assistance Program (SEAP) which is evidenced by the distribution of printed materials, posters, and employee and supervisor knowledge of the programs.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. There are designated SEAP Coordinators for the central and field personnel offices and their names are known to the employees and supervisors. Their job descriptions identify SEAP duties.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Managers, supervisors and union officials are trained in methods of identifying employees with personal problems and informing these employees of help available through the State Employee Assistance Program (SEAP) using the approved curriculum. An ongoing schedule is established to provide training to new supervisors.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Employees have been trained on SEAP using the OA approved curriculum. An ongoing schedule is established to provide training to new employees.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Employees are annually provided a copy of the policy on Substance Abuse in the Workplace, the policy is posted and annual training information on substance abuse is conducted for all employees.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Where required, Certificates of a Drug Free Workplace are prepared and sent to the appropriate Federal agencies, and reporting requirements as stipulated in the substance abuse policy are met for employees convicted of drug violations in the workplace.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Documentation of employee discipline includes a SEAP referral at each step.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. A Condition of Continued Employment (COCE) is considered prior to terminating an employee from staff.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Appropriate procedures and records are established to monitor employees who are mandatorily referred to SEAP.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. If applicable, agency has a designated Commercial Driver's License (CDL) Coordinator and back-up person, and appropriate managers and supervisors are aware of the identity of those responsible for the CDL program.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Information regarding the CDL random drug testing pool, test results, and subsequent actions is maintained in a confidential manner and is provided to only "designated need to know" staff. All other release of information is only with a properly signed release of information form from the employee.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. The CDL Coordinator provides the requested information to the Office of Administration and the Pennsylvania Department of Transportation CDL program administrator within the requested time frames.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. CDL Coordinators review agency CDL employee and supervisor lists at least monthly to ensure accuracy.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Continued on reverse side)

PROGRAM ELEMENT STANDARDS (CONT'D)

FULLY MEETS STANDARD PARTIALLY MEETS STANDARD DOES NOT MEET STANDARD

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|-----|--|--------------------------|--------------------------|--------------------------|
| 14. | Employees/positions who no longer perform CDL covered duties are removed from the coding system. Employees who are on leave (30 days or longer) are removed from the testing pool and are recoded and drug tested prior to assuming safety sensitive duties | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. | Vacancy announcements and recruitment information contain information regarding drug and alcohol testing requirements..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. | Background checks are in conformance with the provisions of the Commercial Motor Vehicle Safety Act of 1986 (392.23) and drug and alcohol requirements effective January 1995 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 17. | Applicants who test positive are not hired and properly annotated on Civil service and Bureau of State Employment certification lists, consistent with M.D. 505.29, Commercial Driver Licenses Drug and Alcohol Testing and Licensing Requirements | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 18. | Agency policies are consistent with M.D. 505.29, Commercial Driver License Drug and Alcohol Testing Requirements, and supervisors are aware of how to handle employees who test positive or where there is reasonable suspicion to suspect drug/alcohol use. Employees who test positive or refuse to be tested are immediately removed from safety sensitive duties | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 19. | Supervisors receive CDL supervisory training within 60 days of becoming a CDL supervisor or the first scheduled class after becoming a supervisor, and training certificates are in the Official personnel Folders, and they are coded on the IPPS file | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 20. | A system is in place to ensure that all new CDL employees receive appropriate CDL orientation, including training on the CDL drug and alcohol regulations and testing requirements, and are accurately and timely coded with the appropriate CDL codes, consistent with Management Directive 505.29, Commercial Driver License Drug and Alcohol Testing Requirements | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 21. | Employees are trained and coded before being assigned safety sensitive duties, and training certificates are in the Official Personnel Folders..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 22. | Employees are informed that if convicted of a moving traffic violation (other than parking) they must notify the agency and the Department of Transportation which issued the license within 30 days of the conviction..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 23. | CDL and SEAP coordinator/contact person is notified when a CDL employee tests positive for drugs and/or alcohol, the SEAP Coordinator is informed and coordinates with OA SEAP, agency management, and the employee. The SEAP coordinator is the liaison among all parties throughout the referral, evaluation, and treatment process | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 24. | Except for COCE and CDL SEAP referrals, no information on an employee's participation in SEAP is maintained in the Official Personnel Folder | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 25. | COCE and CDL SEAP referral information is removed from the Official Personnel Folder one year after the employee's successful completion of treatment | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |