Beavercreek Township
Human Resource Management Review
Final Recommendations

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Before providing my recommendations regarding Human Resources for the Beavercreek Township, let me thank you for the opportunity to work with you in this capacity. As a citizen of Beavercreek Township, it is my pleasure to provide you with recommendations that I hope will be helpful and productive for your organization.   This document will lay out my recommendations in the areas outlined in our Agreement:

Introduction

In assessing the Human Resource function for Beavercreek Township, I had extensive interaction with and data gathering from the Township Administrator, Mr. Alex Zaharieff, and Human Resource Administrator, Ms. Trish Gustafson. I also met with and interacted with Township Trustee, Mr. Tom Kretz, all Department Heads, Mr. Jim Barone from the Township Fiscal Office, and legal counsel at the Law Office of Taft, Stettinius & Hollister, LLP. Data was also collected from many other townships regarding their current human resource and records retention policies and practices.

I also conducted a Human Resources and Management Audit of the Beavercreek Township. In doing so, I collected and compiled information from all of the above mentioned individuals and entities. Appendix A presents the results of the HR and Management Audit. While the results of that audit reach beyond the scope of the Agreement for this project, I include relevant recommendations resulting from the HR and Management Audit below, and the data collected for the audit serve to strongly inform all of my recommendations as well.

General Recommendations

My first overall concern in the broad area of Human Resources for the Township is the lack of consistency in policy formation and enforcement across various employee groups and even across individuals within those groups. A lack of consistency in policy across groups or individuals can create a variety of ill effects on the part of employees, such as inequity perceptions, poor morale, and lowered levels of productivity and performance. Even more importantly for the Township, though, these negative outcomes at the individual employee level multiply to the organization level and create possible legal issues and ultimately even employee turnover. I have seen numerous examples of such inconsistency in my review of the Human

Resources function at the Township and I will highlight those areas of inconsistency and comment on my recommendations for solutions throughout this document.

My second overall recommendation is that the Township Administrator, Mr. Alex Zaharieff, should have more authority over day-to-day Township activities and decision-making. As is nicely outlined on the Beavercreek Township website, Mr. Zaharieff is very qualified for the position and his depth of knowledge in both private and public sector affairs is a great benefit to Beavercreek Township. In my opinion, based on my interactions with many Township employees, things would run more smoothly and be more effective if the Board of Trustees would play a more legislative role and the Township Administrator, currently Mr. Alex Zaharieff, would play an operational role and make decisions on the day-to-day functioning of the organization. Also, Township employees indicated that they would prefer to have the Board of Trustees act as a unified Board rather than functioning as individual trustees on various issues and initiatives.

Third, the Township Human Resources Administrator, Ms. Trish Gustafson, should have more involvement in and authority to administer Human Resources activities for the Township. While the Human Resources Job Description and Township Handbook outline responsibilities and activities of HR for the Township, information I gathered from the Township Administrator, the HR Manager herself, and the Department Heads indicates that the HR Job Description does not accurately reflect the current position (in a variety of ways outlined later in this document). The HR Manager is not involved in activities that are within the main functional areas of HR (e.g., employee selection, disciplinary action, etc.) across most of the departments. This is again an inconsistency in policy and practice. This is not only a fairness and equity issue, but also becomes a legal issue since Department Heads are going solo on tasks such as employee

selection, an area in which lawsuits are quite likely to occur. It extends far beyond the context of legal issues, too, as a professional HR function has the ability to improve the productivity of employees and save costs in a variety of ways. Effective HR practices can lead to exceptional benefits for the Township. HR is a professional career and the current HR Manager cannot manage the HR function for the Township if she is not allowed to do so.

HRM Review - Including Items a through e

a. Township Employee Handbook

b. HR Policy & Procedures Review

c. HR Forms & Documentation Review

d. HR State and Federal Compliance Review (hiring, layoff, termination, etc.)

Because the recommendations pertaining to items a through d overlap in many areas (e.g., the Township Forms are contained in the Handbook), the recommendations are all provided together in this section. Where particular items pertain to Township Forms or pose a legal risk, those are duly noted as such.

Recommendations Resulting from the HR and Management Audit

The results of the HR and Management Audit can be found in Appendix A. The audit covered the following functional areas of HR: Employee Recruiting, Employee Selection, Training and Development, Performance Management, Compensation, Benefits, Employee Relations and Communications Employee Treatment, and Legal Compliance and Other Activities.

The responses to the audit suggest that the HR department, which consists only of the HR Manager, is not involved in strategic planning or in the formation of policies. The HR function is more fully utilized by the Fire Department than with the other departments. While in most organizations it would be the responsibility of HR to design and carry out personnel policies, procedures and programs, at the Township, it appears that the Board of Trustees and Township Administrator play this role rather than HR. Responses to the audit also suggest a lack of consistency in how various personnel policies and practices are carried out with the township (as

was already noted above). There are some additional areas of concern that are beyond the scope of this project that I can comment on further if it is desired.

Recommendations Resulting from Review of the Handbook and Interaction with Township Employees

I conducted a line-by-line review of the Township Handbook and also asked the Township Administrator, the HR Manager, and all Department Heads to comment on any concerns they may have regarding HR policies and practices (including the Handbook).

Overall I found the Handbook and its written policies to be quite good. The Handbook is comprehensive in covering relevant policies. There are, however, a number of specific policies that I comment on below.

- My first recommendation regarding the Handbook is that the Township Forms should not be contained within the Handbook. It is not common practice for forms to be part of employees handbooks and doing so is problematic in the instance that a form needs to be changed, since employees sign a form annually stating that they have received the Handbook and understand the policies (and thus changing any single form would invalidate the verification that employees have seen and understand the Handbook).

- As mentioned previously, my professional recommendation is that the Township Administrator should have more authority over operations within the Township. One aspect of this type of authority is that Alex should be authorized to work with HR to draft new policies and to review and revise current policies. The current Board of Trustees should be listed in the "Employment Categories and Definitions" on page 12 of the Handbook and should be listed as being involved in the grievance process – but not listed

or involved in other places within the Handbook or activities of the day-to-day operations of the Township.

- It is my understanding that there was an Addendum added to the Handbook which revised certain policies in the Handbook. There was some discussion among employees and administrators regarding whether this addendum was formally added to the Handbook or not – and even further confusion regarding what the bottom line was in terms of how the Addendum revised the policies. It is not preferred to add anything at the end of a Handbook so as to cause the employees to refer back to the original policy, read that, then read the Addendum, and be required to compare the two portions of the document to see the implications of the Addendum on the policy. Instead, policies should be ordered and numbered in the Handbook so that if there is a change to one policy, that policy can be replaced in its entirety and everyone will have access to the fully updated revised policy. Appendix B includes a sample format which can be used for policies in the personnel Handbook.

- It is in the best interest of the Township to carefully review any policies, rule, and guidelines that are drafted at the department or unit level. I understand that the Fire Department had developed some policies and procedures and that they have chosen to discontinue those and start fresh. I feel this is a good idea. The Road Department currently also has a Snow and Ice Control Procedure Manual. I reviewed that policy and see no specific ways in which it may conflict with the current Township Handbook. However, the policy was last revised in 2002, so should be reviewed for possible changes (e.g., do employees still carry pagers?). As there is a need for new policies and

procedures, the relevant Department Head, the Township Administrator, and the HR Manager should ensure that all new rules are consistent with the Township Handbook and its policies and practices.

- It would be good practice to review the Handbook annually to ensure that all policies remain relevant and effectively enforced. The existing policies in the Handbook and those within any individual Department should also be reviewed by legal counsel, including the Township's labor attorney, in order to ensure legal compliance as well as consistency with the Collective Bargaining Agreement.

- The form employees sign annually to state that they have received and understand the Handbook and its policies contained therein is currently signed in hard copy format and copies of that form are retained in employee personnel files. If this form was instead placed online, then in the event of a change to any policy, the new policy could be sent and a new acknowledgement signed easily and in a timely manner online by employees.

- Page 9 - I would add that employees will be notified when policies contained in the Handbook are changed. This note can be added in the second paragraph where it is noted that the Township reserves the right to change policies in the Handbook.

- Page 10 – Eliminate the section listed as item #3 – this content is already stated on page 9. Also, the text in item #5 should be consolidated with the "Introduction" listed on page 9, as the content overlaps. Also under section #5, I would omit the last sentence of the first paragraph which states that when departmental work rules etc. are in conflict with

the Handbook, the "the more definite shall apply." This phrase "more definite" is a vague statement that could produce confusion on the part of employees and/or even legal risk for the Township. It is critical that the negotiation and resulting contract with the union not be in conflict with policies for the overall Township.

- Page 10 – Under the definitions, the term "Appeal" states that an appeal is "the response of an Employee to the decision made based on a disciplinary action." Could an appeal also apply in other circumstances – e.g. an appeal to a policy denial such as being denied leave, etc.? If so, then the definition should be written in a broader way.

- Page 10 – Under the term, "Discipline", it would be advised to add that discipline could result from poor performance. Also consider eliminating the phrase "and the community", as this seems overly broad that the employees must adhere to rules and procedures that are beyond the organizations (unless it is implying that employees will be disciplined when they have legal violations, etc. – which could be better dealt with in specific policy than being included in this definition).

- Page 11 – I would add in the definition for "Employee – Exempt" that this is an employee for whom the minimum wage requirement does not apply (along with the mention of these employees not being subject to overtime). Minimum wage and overtime requirements are the main aspects of the Fair Labor Standards Act legislation upon which exempt and non-exempt employees statuses are based.

- Page 11 – A probationary period of 12 months is quite lengthy – especially for a position which the employee is promoted into (as noted on page 15). If the policy is working well, though, I don't necessarily recommend changing it – I just wanted to note that many organizations commonly require a probationary period of three months or six months.

- Page 11 – The definition for "Extended Family" is quite inclusive. I believe that the only policy this would affect is Funeral and Bereavement Leave, since most other policies pertain only to Immediate Family (e.g., sick leave), but any other policy that includes reference to Extended Family would be impacted by this definition. It could be examined how often such leave is taken for an "Extended Family" member in order to make sure the policy is not abused.

- Page 12 – The definition for "Immediate Family" is more inclusive than that required by federal legislation such as the Family Medical Leave Act (FMLA). If the Township wishes to be more inclusive, that is fine…but it would have implications for employee coverage in terms of staffing and also for financial costs due to leave taken etc. It should be evaluated for the intent of the Township in defining Immediate Family in this way and also evaluated for the impact on Township resources as a result of the utilization of employee benefits for which Immediate Family pertains.

- Page 13 – The content from the second paragraph under "1. Equal Employment Opportunity" should be moved down to be included in the "Disability Accommodation"

section. In that same paragraph, it seems like "discipline" may be one aspect of employment where an accommodation based on disability may not apply.

- Page 14 – The second to the last paragraph needs to be rewritten – as it is, it says employees must report to [various individuals]…and then continues saying "…must be reported". This needs a rewrite.

- Page 14 – Two small typographical errors – First, in the paragraph beginning, "Sexual Harassment is but one type…" – there are two commas in a row after the term Township Administrator. Second, there should be a period at the very end of the page.

- Page 15 – add at the end of the section on "Probationary Period Following Promotion" that the demotion could have resulted from a performance issue also (not just discipline).

- Page 15 – Under "Hiring a Department Head", I would suggest appointing a hiring panel before any applicant resume review is done, but the main authority in the process of hiring a Department Head should be the Township Administrator. The HR Manager should also play a larger role in the employee selection process – and in that role, should also be reviewing applicant resumes. This section should also note how individuals will be selected for an interview – right now, it states that the Township Administrator will review resumes and determine which candidates meet the minimum qualifications, and then it skips to "Once interviews have been completed".

- Page 15 – Under "Hiring of Relatives" – this sections ends by stating that "For the purposes of this policy, a relative is any person who is related by blood or marriage, or whose relationship with the Employee is similar to that of persons who are related by blood or marriage." This statement is quite broad-reaching and could be interpreted in different ways. Is it intended to cover blended families, etc.? Perhaps provide an example or two to clarify – or revise or omit this aspect of the policy.

- Page 17 – the top paragraph indicates that employees apply for positions by submitting a "job posting application" which lists their job-related skills and accomplishments, etc. It is fine for the Township to have current applicants submit such materials, but to the extent possible, particularly when both external and internal candidates are both considered for a specific job position, the Township should be using the same application blank and collecting the same information from all applicants for the position.

- Page 17 – The paragraph just above the "Merit" section should be moved to the previous page to the beginning of the "Job Posting" section.

- Under the discipline section, which begins on page 17, it might be advisable for Department Heads and the Township Administrator to be able to suspend an employee for up to five days before taking the issue to the Board. This will allow Department Heads to handle performance and disciplinary issues within their departments swiftly and immediately and without taking Board of Trustees time and attention on matters that are not severe.

- Pages 17-19 – Perhaps the list of behaviors which may result in disciplinary action could be grouped into themes by type of behavior (e.g., letter F – absence, and letter K – poor attendance and tardiness). Also, right now this lists includes some very broad items (e.g., letter O – Intimidation; letter N – Sabotage or subversive activity of any kind; and coercion of a third party and letter V – Immoral conduct). Broad items such as this allows for inclusiveness, but it is also vague and does not specify whether such behavior needs to occur in the workplace or could be outside the workplace, etc. The listing should be as clear as possible, particularly with regard to whether actions outside of the workplace will be subject to disciplinary action.

- Page 19 – Typographical errors – periods should be added to the end of item BB and also to item A under 8.2 – Types of Discipline.

- Page 19 – Consolidate and streamline the first list under section 8.2 – Types of Discipline and the paragraph beginning "Progressive Discipline means...". In that same paragraph, add at the end of the paragraph that another offense can also lead to demotion (as well as termination of employment). The first paragraph under "Disciplinary Procedure" needs to be revised for grammar and punctuation.

- Page 19 – The disciplinary policy states that, "The Board of Trustees retains the right to alter any discipline given by the Township Administrator or Supervisor." This is not at all advised – the management of day-to-day operations should be left to the Township Administrator, HR Manager, and the Department Heads. To broadly state that the

decisions on discipline are not final (and to allow the Board of Trustees to make changes to the decisions that have been made) severely limits and undermines the authority of the qualified individuals who have been hired into these positions.

- On Page 20, within the last paragraph of the discipline history section, the discipline to be made permanent in one's personnel file should also include actions that create a hostile work environment (per the Township's other policies regarding harassment and hostile work environment). These types of serious actions on the part of an individual employee should not roll off of one's record.

- Pages 20-21 – The Problem Resolution and Grievance procedures should be streamlined and made more clear and concise. It is fine to have an oral portion to the process, where a resolution is sought before there a written grievance would be filed, but it should not include so many steps, which could take up to approximately a week or more, as this could conflict with the portion of the policy that requires the written grievance to be filed within seven work days after the initial meeting with the supervisor. The grievance procedure need not involve so many layers of management either (e.g., having the option to file a written grievance with each supervisory level up to the last supervisor in the chain of command). In fact, it would be better for the grievance process to be streamlined and to have grievances be run through the Township Administrator and the Human Resources function – especially since many times items that may be at issue likely involve the employee's supervisor. The point of first contact over any issue that may become a formal grievance can first be brought to the employee's supervisor (assuming that the supervisor is not specifically involved or related to the reason for the

grievance), but after that, the issue should be submitted to the attention of HR and the Township Administrator.

- Page 22 – Item # 8 should be moved earlier in the policy (prior to item #6). Should this item say, "grievance against the department head" rather than "grievance of a department head"?

- Page 22 – Item #6 – having employees bring grievances to the Board of Trustees if an issue is not resolved - is not-advised. The Township Administrator, HR Manager, and Department Heads should be able to resolve any grievances. If the issue cannot be resolved, based on best practices, it would be better to mandate either mediation or arbitration of the grievance instead of having the Board of Trustees conduct a hearing and make a decision. There is legal risk to the Township for such a hearing on a private employee matter to be brought to the fore in a public setting before the Board of Trustees. Even if the hearing is held in a more private setting, there will still be some level of public disclosure regarding the fact that there is a grievance that cannot be solved by the Township administration. This is bad for public relations and could negatively impact the reputation of the Township. Mediation and/or arbitration would be a good alternative in instances where the grievance outcome cannot be resolved by administration. It is common practice to involve a mediator first and then go to arbitration only when mediation does not result in a resolution. Mediators and arbitrators have training and expertise that would help resolve any issues in the best possible way.

- Page 23 – Standard Work Week Policy - The narrative on standard work week should reflect that this applies to office hours and hourly employees and not to Department heads who are salaried employees. Generally a timesheet approach would not be used for salaried employees. It appears to me that the Department Heads are doing their jobs and performing perhaps even more than forty hours of work per week, and yet they seemed concerned about very specifically accounting for their hours (and in some instances carefully tracking their time and activities). This does not seem to me to be a good use of their time. Timekeeping is also addressed on Page 38 (see below).

- Page 25 - Under vacation leave, there should be an additional category included between "Upon Completion of Probation" and "3 years to 4 years" for those with one to three years (or put probationary period in as no leave and then 1 to 3 years at 5 days). Department Heads indicated that perhaps that there should be one additional tier of 30 vacation days for employees who have been with the Township for 15 years or more.

  Also, there are employee concerns over not being able to use vacation leave during the first twelve months of employment with the Township. It is common practice in many organizations for a newly hired employee to be allowed to use vacation time in the first year. Leave could be prorated depending on when the employee is hired during the year, as it is for personal leave days.

- Page 26 – My recommendation is that all accrued leave for all employees, i.e. sick, vacation, comp time and personal leave, should be used in 1/10 of an hour increments consistent with the Collective Bargaining Agreement.

- The maintenance agreements and collective bargaining agreements both offer longevity leave to these groups of employees, but other township employees are excluded. Human Resources gets many complaints about this particular difference in policy across employees. As my overall recommendations regarding consistency in policies and practices provided above, this is another example of an instance in which it is important to ensure consistency in formation and adherence and enforcement of policies across different employee groups.

  Another instance of different policies across groups of employees relates to Vacation Leave. Consistency with the Collective Bargaining Agreement and a Board Resolution which pertains to Battalion Chiefs and Deputy Chiefs would be improved if the policy allowed Township employees to have unused vacation leave up to half of the yearly accrual to roll over into the following year.

- It is my understanding that there was previously a Home Based Work policy in the Handbook that has been removed. This policy, which would mainly apply to Department Heads, would allow for occasional needs to work off-site. Specific approval would be required from the Township Administrator. My recommendation is that re-implementing such a policy would be beneficial, as long as Department Heads are accomplishing their

work adequately. Such accomplishment of work goals can be ensured, since personnel who wish to working from home on a limited basis will need to receive approval from the Township Administrator, who knows whether the Department Head's job is being performed adequately. Appendix C includes a draft of a Home Based Work Policy. Also, later in my recommendations, I provide some ideas for a Performance Management system that would benefit the Township (see Appendix D). If Department Heads are performing well - which would be known through performance management practices day-to-day and through formal performance appraisals - then allowing limited work from home could be seen as a reward to the Department Heads, thus further improving their performance.

- Page 27 - Under funeral leave, the CBA offers travel time under the funeral and bereavement section up to 24 hours. I have been informed that the Handbook used to allow this also, but it has been removed. I suggest being consistent with the CBA.

- Page 31 - Under educational reimbursement, all approvals under this section should come from the Township Administrator.

- Page 32 - addresses comp time. The accrual amounts were reduced – and I heard support from multiple individuals for reinstatement to 40 hours for 40 hour employees and 53 for those who are on a 24/48 hour shift.

- Page 33 – The "Insurance" policy states that health insurance coverage for any Township Employee who has been on leave for more than twelve months for any reason. This could occur in a case where the Employee may be on unpaid leave. If the individual is still an Employee of the Township after the twelve months of leave, it may be a legal risk to terminate this person's health insurance, as their leave may be due to a medical concern or condition that constitutes a disability under the Americans with Disabilities Acts (ADA). If all other employees retain their insurance and this person's insurance is terminated, this termination of coverage may appear to be based specifically on the disability rather than on the fact that they have been on leave. It might instead be included in the policy that the employee will be given a choice between two options – 1) end employment with the Township, or 2) pay the portion of the health insurance premium that the Township generally pays, in addition to the portion of the premium that the employee generally pays (i.e., take over the total cost of the employee retaining the health care coverage that is being provided by the Township). This would limit the legal risk.

- Page 37 – The "Employee Medical Examinations" policy states that information on an Employee's medical condition or history will be kept separate from other Employee information. The policy also states that "Access to this information will be limited to the Township Administrator and the Human Resource Manager." Though this is the stated policy, this is not the current practice. Employee files, including medical records, are currently retained in the Fiscal Office, where individuals beyond the Township

Administrator and Human Resources Manager have access to them. This is a critical legal risk under HIPAA.

- Page 41 has the section pertaining to personnel files. All of these records should be housed in Human Resources. This is a practice that is currently being utilized by the majority of others jurisdictions of similar size to Beavercreek Township. See further detail on this recommendation in the section of this report pertaining to Records Retention. It is my understanding that bills for Township expenses are sent to the Township Office. However, I also understand that the Board recently changed this policy to require township attorneys to send the billing detail to Township Administrator, Alex Zaharieff, who in turn gives Ms. Christy Ahrens the actual amount to be paid. All medical bills, psychological exam bills and polygraph testing results that have in the past gone to the Township Office should instead be sent to the Township Administrator.

- Page 41 – The "Personnel Files and Records" policy states that employees are responsible for reporting changes to their education, training, and experience, since these items are important factors in the promotion process. The question can be asked whether employees do report such changes on an ongoing basis. It is fine to encourage employees to report such qualifications, but it would be good to have this be part of an annual process of performance review (later in this document I provide a recommendation about implementing such a system).

- Page 57 – Under the "Use of Township Equipment", in the third sentence, replace the word "actions" with the word "equipment". In the last sentence in that paragraph, insert the word "permission" as the second word in the sentence.

- Page 61 has a telephone/fax policy that should be completely removed. Telephone and Fax policies are not as necessary any longer due to most employees having personal cell phones and the ability to have unlimited talk time.

e. HR Records Retention Compliance

Fiscal Office has set up a detailed filing system for all records and also maintains a detailed Records Retention Policy that details exactly where all records are retained and for what time duration. These are positive aspects of the process. However, while the Fiscal Office maintains the records and files as they interpret the statutory mandate, this definition conflicts with what are considered to be Human Resource personnel records. As an example, the Fiscal Office views their office as not retaining or housing any "HR records" in their office. But clearly the files maintained in the Fiscal Office are HR records - including personnel records in a broad sense and also medical records that are private records. I am not aware of whether the Fiscal Office staff have received relevant HR training. Regardless of training, multiple Township employees have reported to me that private information that was part of personnel files has in the past become known to employees that should not have had access to such files or information.

Currently the Handbook states that all Township records are to be housed at the Fiscal Office. However, this is not completely accurate. For example, the Fire Department retains the

EMS records. HR also retains records on Workers Compensation as well as other Medical Records. I saw a severe demonstrated mistrust between various parties regarding what information should be retained where and who should have access to the records.

I examined a sampling of the files retained at the Fiscal Office (I looked at approximately 10% of the employees files), and I discovered documents in general personnel files that contained medical information. The Records Retention Policy maintained by the fiscal office indicates in many places that *medical records would not be subject to disclosure* – but those records should not be placed in the personnel files at all. Medical records should instead be maintained in a Medical Only file for each individual employee. The Fiscal Office does maintain a Medical Only file for each employee, but it appears that not all records that contain medical information are being placed in those separate files.

From a statutory standpoint, I understand that the Fiscal Office must handle any records or information requests since there is a charge for providing such information and other units cannot handle money (but the Fiscal Office can). The actual compiling and copying of information for the public records request, though, as well as the redaction of information that is not deemed to be public, can be done by the responsible party no matter where the records are stored. One legal concern from a privacy perspective is ensuring that all private information is redacted in the files that have been requested before the documented are provided to the person requesting them. A copy of the records that are provided under such requests should also be retained.

In an effort to assess best practices in public sector records maintenance and retention, fifty different Ohio Township jurisdictions were contacted regarding their current records practices (data for forty five of the Townships was ultimately collected). Of these jurisdictions,

most maintained only billing records in their Fiscal Office, particularly if the Township had a paid HR Manager position on staff. Only approximately one third of the jurisdictions retained all records in the Fiscal Office, and of those organizations, there are no instances where all records are retained in the Fiscal Office if both a Township Administrator and HR Manager are employed [as is the case for Beavercreek Township]. Most cases in which all records are maintained in the Fiscal Office were those in which there is no Township Administrator and/or HR Manager. In two of the cases where the Fiscal Office retains all records, the Fiscal Officer was trained and functioning in the HR role also, and in two additional cases, there was neither a Township Administrator nor HR Manager, so the Fiscal officer was fulfilling all three roles. In summary, where there is an HR Manager employed within townships, the HR function generally handles and maintains all records except bills.

In order to make decisions on where records should be maintained, who should be allowed access to those records, and how public records requests should be handled, it is helpful to define what constitutes a "record" and what constitutes a "public record" from a legal standpoint. It is also useful to know what documents may be exceptions when there is a public records request in terms of the document(s) not being required to be disclosed. The Ohio Attorney General provides a very detailed and helpful guidebook (approximately 100 pages in length) on public records and public records requests entitled, "Ohio Sunshine Laws: An Open Government Resource Manual" available online at http://www.ohioattorneygeneral.gov/getattachment/bc3c1628-4278-46db-9a17-18b1152dad80/2014-Sunshine-Laws-Manual.aspx).

First, an overarching pertinent question is what constitutes "records" in general. In Ohio, the Statutory Definition of "records" from R.C. 149.011(G) is as follows:

The term "records" includes "any document, device, or item, regardless of physical form or characteristic, including an electronic record as defined in R.C. 1306.01, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

Further, under the Ohio Sunshine Laws, the statutory definition of a "public record" from R.C. 149.43(A)(1) is as follows: "Public record" means records kept by any public office. The Township is a public office, so there are a number of records which would be considered to be public, and would thus be subject to public records requests if they arise.

There are, however, exceptions enumerated in the Public Records Act for which various documents would not need to be disclosed in public records requests. For example, records recording information pertinent to Attorney-Client Privilege would not be required to be disclosed. Medical records are another exception. Medical records that are a document or combination of documents that "pertain to a patient's medical history, diagnosis, prognosis or medical condition - and were generated and maintained in the process of medical treatment" would not need to be disclosed. Family Medical Leave Act and Americans with Disabilities legislation which may apply to protecting and keeping private medical information that may be in personnel files would further limit the legality of a public office to disclose medical information pertaining to an employee.

Public employee personnel files are generally regarded as "public records." However, if any item in the file is *not a record of the office* (e.g., it does not serve to document the organization, operations, etc. of the public office) or if it meets the various exceptions to public record disclosure, then that record may be withheld in a public record request. For example, the Ohio Supreme Court has generally found that the home addresses of public employees kept by their employers solely for administrative convenience are not "records" of the office. That

information that is either not considered to be a record or which meets one of the exceptions, then, can be redacted from the file in the case of a public information request. For further information, refer to the Sunshine Law Guidebook listed above - Chapter 3 provides a listing of the exceptions and Chapter 6 includes coverage of special topics such as which items from personnel files are subject to release and which items may be withheld.

Thus, when information pertaining to these types of exceptions is included in personnel files (such as the medical information I viewed in Township personnel files) and is not properly redacted, the Township runs a legal risk. Personnel files, particularly if they contain medical information rather than keeping the medical information for each employee in a separate file, pose the greatest exposure to the Township in terms of disclosing information that is not "public" and should not be disclosed during a public records request situation.

The Ohio Attorney General's office and the Ohio Auditor of State's office provide Ohio Sunshine Laws training for elected officials throughout the state, as mandated by Ohio Revised Code Sections 109.43 and 149.43(E)(1). Officials are required to attend a three-hour training during each term of elective office during which the official serves. If all elected officials (or their designees) within the Township have not had this training, they should do so.

In addition, the Ohio Attorney General's Office offers a free public records mediation program to help mediate disputes between public records requesters and local public offices. The program reduces the number of public records-related cases filed in the court system by providing an alternative means of resolving disputes. Since the program's inception, the Attorney General's Office has assisted in successfully resolving the majority of the proper requests for mediation it has received.

The Attorney General's Sunshine Law Guidebook indicates that beyond being familiar with the specific Ohio laws pertaining to public records requests, public offices such as the Township should also create and adopt a Public Records Policy for responding to public records requests. A model policy is available from the Attorney General's office – it can be found at http://www.ohioattorneygeneral.gov/Files/Publications/Publications-for-Legal/Sunshine-Laws/Model-Public-Records-Policy.aspx. Since I am not aware that such a policy exists at the Township, I am including the Attorney General's sample policy as Appendix D. The guidebook suggests that the policy should be included in the office's policies and procedures Handbook and perhaps also perhaps placed on the office's website in the interest of transparency.

Taken together, it is my recommendation that all personnel files, including workers compensation and medical records and files be maintained in Human Resources. The I-9 documents verifying authorization to work in the United States should also be removed from the individual employee files and stored in a single location, as this is also a best practice. The Township Administrator should also have access to the files, as outlined in the policies in the current Handbook. If an information request is made for public records, the process of identifying the relevant records can be done by HR according to the Public Records Policy and private information can be redacted. Then the Fiscal Office can take care of the billing process for the records request (if applicable). The current policy pertaining to billing that eliminates detailed information being included in a bill (e.g., an attorney consulting with HR about a specific employee) is also a best practice and should be used for legal billing, but also for billing for anything that pertains to medical records.

HR Manager Assessment

f. HR Manager Assessment (performance, compensation, full-time/part-time

In order to assess the HR Function within the Township, a Job Analysis was conducted. Job Analysis is the process of collecting information about the Tasks, Duties, and Responsibilities (TDRs) of a specific job position. The result of the Job Analysis process is a Job Description that accurately and adequately describes the position. The Job Analysis for the Township Human Resources function revealed that the current HR job description is not up-to-date. Though Township documents reflect that the HR Manager should rightly be involved in HR activities within the organization, this is not always the case. More often than not, Departments do not utilize the expertise of the HR Manager. For example, though the HR Job Description states that HR "Directs the recruitment, testing, and selection activities for the Township", but in reality HR is not involved at all with hiring in some departments. This is not only inconsistent, but also very worrisome from a legal standpoint. If a Department Head, who had no training in HR or on legally protected class statuses (such as race, gender, religion, etc.), it could very well be the case that an applicant may be discriminated against (or at least appear to be) on the basis of a legally protected class status (even if that is not the intention – simply due to lack of knowledge, etc.).

This is a legal risk for the Township. More than one Township employee told me that when the HR Manager has been involved in interviews of prospective employees, she has noted that certain questions asked by other Township employees should not be asked of or answered by the applicant due to potential legal concerns. Of course if the HR Manager is not involved in the interview, the questions could well be asked and answered – and the information could be used in an inappropriate way during the employee selection process. At the very least, the perception

of the prospective employee could be that the information collected may have been used in a discriminatory way – possibly leading to legal action against the Township.
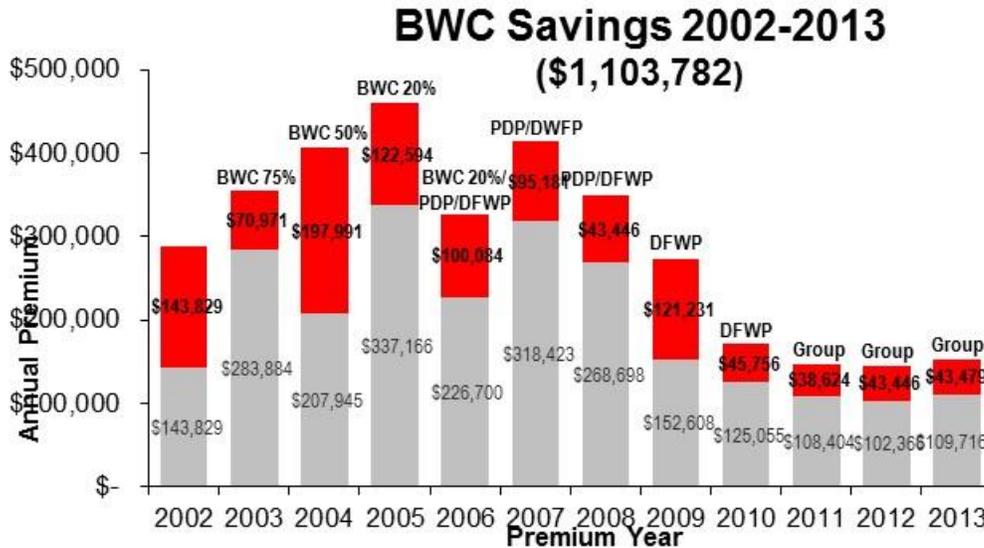
Employee selection is not the only area in which the HR Manager should have more involvement and more authority to direct activities and create policies. In talking with Township employees, it has become apparent that of the work carried out by HR is also listed under the Township Administrator or other Department Heads in order to avoid conflict with the Fiscal Office or with the Board of Trustees. This is dysfunctional – the HR Manager is a specialist in HR and, as such, is entitled to an accurate job description as well as credit for the work she does in all HR areas. Not only should the HR Manager be allowed to be involved in HR activities, it should be made mandatory that all departments will involve HR in all important decisions relating to employees, as well as pertaining to Township policies and practices.

Beyond the HR job description itself, I have found Ms. Trish Gustafson to be a very competent HR professional. In my extensive interaction with her, I found the information and insights she provided to be accurate and reflective of current HR knowledge and legal and best practices.

The question was raised in the context of the Human Resource Management Review whether the HR position at the Township should be a full-time or part-time position. One way to consider whether a full-time HR Manager is needed is by examining organization size and the HR duties that are included and required for that size organization. Various credible sources, including the Society for Human Resource Management (SHRM), the premier professional organization worldwide for human resources, cite a desired ratio of HR professionals to organizational employees of 1 HR professional to approximately 100 employees (or, HR-to-Employees ratio of 1:100). This ratio holds across a broad range of organization sizes and types,

with the average ratio of HR-to Employees being 1.12 HR professionals per 100 employees across all organizations polled. Having one HR position for an organization the current size of the Beavercreek Township is well in line with this standard. In fact, in recent years, SHRM's Human Capital Benchmarking survey reported that organizations with less than 100 employees, on average, employed more than <u>two</u> HR professionals.

Beyond the simple ratio guidelines that provide an indicator of how many HR Professionals a given company should choose to employ, the more important thing to assess is the benefit and value to the organization that the HR staff provide. One tangible way in which HR staff can provide meaningful value to the company is through cost savings or productivity gains. The following chart depicts the very large savings in Workers Compensation premiums enjoyed by the Township due to policies and programs that have been implemented by the Township HR Manager. Since Ms. Gustafson was hired, the number of Workers Compensation claims have been reduced dramatically, and thus premiums have also been significantly reduced. The overall savings on this single item alone offsets more than the HR Manager's salary. This is also just one of the ways that a professional HR function can contribute to cost savings and economic health of the organization.

BWC Savings 2002-2013
($1,103,782)

Chart: "BWC Savings 2002-2013 ($1,103,782)". Y-axis: Annual Premium ($- to $500,000). X-axis: Premium Year (2002–2013).

- 2002 BWC 75%: $143,829 (red) / $143,829 (gray)
- 2003: $70,971 (red) / $283,884 (gray)
- 2004 BWC 50%: $197,991 (red) / $207,945 (gray)
- 2005 BWC 20%: $122,594 (red) / $337,166 (gray)
- 2006 BWC 20%/PDP/DFWP: $100,084 (red) / $226,700 (gray)
- 2007 PDP/DWFP: $95,187 (red) / $318,423 (gray)
- 2008 PDP/DFWP: $43,446 (red) / $268,698 (gray)
- 2009 DFWP: $121,231 (red) / $152,608 (gray)
- 2010 DFWP: $45,756 (red) / $125,055 (gray)
- 2011 Group: $38,624 (red) / $108,404 (gray)
- 2012 Group: $43,446 (red) / $102,366 (gray)
- 2013 Group: $43,479 (red) / $109,716 (gray)

Along the theme of adding benefit value to the Township, the HR function conducts investigations whenever there is a policy violation on the part of an employee (e.g., when there is a claim of harassment). HR's competent investigation and collection of fellow employees' statements in recent legal actions against the Township have proved to be very valuable in positive outcomes for the Township. This cannot be overemphasized, as the cost to the Township of a successful legal claim against the Township would be extremely large.

Thus, it is my professional opinion that conducting the HR function within the Township currently requires a full-time position. In fact, if the HR Manager were to be effectively involved in all HR activities that are occurring in the Township (which I argue should be done), more than one position may even be warranted.

I know that Ms. Gustafson, desires to obtain HR certification as a Senior Professional of Human Resources (SPHR) from the Human Resources Certification Institute (HRCI – see further information at www.hrci.org). This certification, the premier certification in the field of human resource management, has existed for nearly forty years and is a designation that is very well-respected in the field of human resources. Having the certification sends a signal that the

individual is committed to the HR profession and is competent in the field and organizations who employ certified individuals show that they understand the value of HR. Ninety seven percent of respondents in a large global survey of over 1,500 organizations conducted by the Society for Human Resource Management (SHRM) believe that it is important for individuals working in HR to be professionally certified.

It would be a true benefit to the Township to have Ms. Gustafson obtain the SPHR certification, as the content knowledge she will gain alone will be worthwhile. Beyond the competency and content knowledge gained by pursuing the certification, providing funding for Ms. Gustafson to become certified will be a meaningful sign that the Township and the Board of Trustees recognize the value of HR in the organization. Having employees gain professional HR certification can bring numerous advantages to the organization and this support for certification will allow Ms. Gustafson to feel that she is a valued employee. If the HR position continues as it is, Ms. Gustafson will not be able to utilize her professional knowledge and skill and in the longer term, other HR job opportunities may become attractive enough to her that she will consider leaving the organization.

I have been asked to provide a proposed schedule for professional development for the Township HR Manager. I propose the following:

1. Society of Human Resource Management (SHRM) Membership for the HR Manager
   - If the HR Manager is not already a member of SHRM, this is well worth the professional membership annual fee of $160
   - SHRM's website allows access to current guidance on the whole range of HR topics, sample HR policies, etc. – it provides a wealth of knowledge

2. Pursue the SPHR certification through the Human Resources Certification Institute
   - The next exam testing window for the exam is April and May, 2015
   - Wright State University offers a local HR Certification study course to prepare for the exam at a cost of approximately $1,300. It is a formal 3-credit undergraduate course offered on Saturdays that can be taken on a non-degree basis. If other possible study

course offerings are desired (e.g., one offered once per week in the evening), I am aware of offerings at other institutions regionally and can provide that information.

3. Consider having the HR Manager pursue a formal Human Resources Certificate (different from the certification)

The following HR Certificate program is currently proposed at Wright State University (approvals are currently being sought – approval is expected to be gained in Fall 2014)

- Consists of a series of six 3 semester credit undergraduate classes – with the above mentioned course counting as the first course of six
- Cost of approximately $1,300 per course ($7,800 total for six courses)
- Classes offered in alternate scheduling format – on evenings, weekends, etc.
- Certificate specifies two required classes (the HR Certification Study Course and Staffing) – and the four elective courses can be selected from a list of course offerings The proposed certificate format will allow for the HR Manager to take courses that are of most relevancy or value to the Township.
- Formal academic coursework goes into much more depth than other HR-related professional development opportunities (e.g., luncheons, seminars, webinars, conferences, etc.)
- Costs can be spread out over time, as tuition and fees are collected at the time each course is taken – and courses are available year around

4. Ongoing Professional Development and SPHR Recertification

- Recertification as SPHR
- 60 hours of professional development/continuing education to be documented every three years (20 hours per year)
- All courses listed above count toward the SPHR Recertification process

The next section of the report outlines the results of the Job Analysis. First, the current Job Description for the HR Manager position is included. Then, the inaccuracies in the current HR Job Description are detailed and a listing of the necessary changes to the HR Job Description is provided.

ORIGINAL HUMAN RESOURCES JOB DESCRIPTION

BEAVERCREEK TOWNSHIP
HUMAN RESOURCES DEPARTMENT
851 Orchard Lane, Beavercreek, Ohio 45434
Ph: (937) 426-1213   Fax: (937) 306-5150

2014 DEPARTMENTAL MATRIX

FUNCTION OF THE HUMAN RESOURCES DEPARTMENT

As listed within the most recent job description, the Human Resource Manager is responsible for the personnel management function of Beavercreek Township, and makes recommendations regarding the recruitment, hiring, training, firing, discipline, compensation, and evaluation of Beavercreek Township employees. Duties are performed under the direction of the Township Administrator.

In addition, the job description for the Township Human Resource Manager reflects that this position:

- Plans, schedules, and coordinates the work and operations of the Human Resources Office of the Township.
- Directs the recruitment, testing, and selection activities for the Township.
- Conducts wage surveys, performs job task analyses, and updates position descriptions.
- Assesses employee training and development needs, and conducts and/or arranges for appropriate programs.
- Responsible for the implementation and administration of various employee benefit programs.
- Responsible for negotiations with employee labor unions.
- Responsible for employee relations and programs.
- Responsible for the administration of workers' compensation claims.
- Responsible for FMLA notifications, eligibility and records. Coordinates with Fiscal Officer for tracking purposes.
- Responsible for the administration of the Township's health care plan.
- Makes policy recommendations concerning the Township's compensation schedule and updates the schedule as necessary.
- Makes policy recommendations concerning the Township's personnel policies and procedures and employee benefit programs.
- Represents the Township at personnel related hearings and investigations.
- Oversees prevailing wage enforcement as it pertains to building construction.
- Enforces employee disciplinary actions.
- Delegates personnel-related work to the Fire Department Office Manager as necessary.
- Responds to complaints from citizens.
- Responds to concerns, questions, and complaints from Township employees.

1

UPDATED JOB ANAYSIS INFORMATION

The Job Analysis process revealed that there are many discrepancies between what is stated within the job description and the actual duties for the Human Resource position. These issues have been outlined below:

- Directs the recruitment, testing, and selection activities for the Township.

The HR position handles these duties with respect to the Fire Department, and, on a very limited basis, for the Maintenance Department. It appears that HR is involved peripherally in the hiring of Township employees in other departments. HR, however, is sometimes consulted after issues pertaining to employee recruitment and selection have arisen (issues which may, as noted above, be legal risks).

- Conducts wage surveys, performs job task analyses, and updates position descriptions.

It was noted by the HR Manager that the only changes or updates that have been made to job descriptions have been changes that were noted and given directly to HR from the Board. Also, it seems that wage surveys have not been conducted.

- Assesses employee training and development needs, and conducts and/or arranges for appropriate programs.

Since training budgets have been reduced in the HR budget as well as in the budgets of other departments, training and development activities are very minimal within the Township. Thus, this aspect of the HR Manager's job is lessened.

- Responsible for negotiations with employee labor unions.

While the HR Manager takes part in union negotiations as part of the management team, she has not been responsible for negotiations.

- Responsible for employee relations and programs.

It seems that the HR Manager is responsible for Employee Relations issues mainly when something has not gone well (e.g., a disciplinary action, etc.). It is much preferred to have HR involved from the very beginning so as to lessen employee issues and negative perceptions on the part of the employee and at the same time to lessen the legal risk for the Township.

Employee Relations involves trying to have employees get along and see that policies are being fairly interpreted and enforced across all employees. It is difficult to do this in the current Township workplace environment where there is a lack of consistency on many fronts.

- Makes policy recommendations concerning the Township's compensation schedule and updates the schedule as necessary.

It does not appear that the HR Manager typically makes policy recommendations. Further, the Township does not have a true compensation schedule. In my opinion, compensation is something that could use some attention. At a minimum, a wage a salary survey should be conducted across positions within the Township and adjustments should be made based on the data that result from the survey.

- Makes policy recommendations concerning the Township's personnel policies and procedures and employee benefit programs.

The HR Manager does work on a team with respect to reviewing health and dental plans on an annual basis and this group has attempted to make recommendations to the Board of Trustees in the past.

In terms of overall personnel policies and procedures though, it is my understanding that the role of recommending Personnel Policies and Procedures has been seen most recently as the role of the Board of Trustees (including fairly recently a very detailed revision of the Township Handbook). This should be something that is carried out by the HR Manager, as she has the most knowledge and expertise in the area of HR and of best practices among other organizations. The Board can be asked to sign off on new or revised policies, but he HR Manager and Township Administrator should have the authority to implement and carry out policy.

- Oversees prevailing wage enforcement as it pertains to building construction.

The HR Manager does not carry out this task. While wage data could be obtained that would speak to prevailing wages, this task does not seem pertinent to the positions currently employed within the Township.

- Enforces employee disciplinary actions.

This has always fallen under the Board of Trustees or the Township Administrator. The HR Manager should, though, be involved in and have authority to manage disciplinary actions.

EACH POSITION WITH DEPARTMENT

There is only one position within the Human Resource Department, although the HR position can utilize assistance from other Township staff (Laurie and Michele) on an as needed basis.

PAY SCALE FOR EACH POSITION:

It is my understanding that a true pay scale has never been researched for the Township HR position. It was noted that one line was added to the job description a few years ago which reads: "There is only one tier for this position which has a pay range of $45,000 to $65,000

annually." However, the pay for the position is not within this range, so it is unclear how that occurred.

<u>CURRENT PAY FOR EACH POSITION</u>:

Ms. Trish Gustafson has been in the job for 12 years and her current salary is $77,188.80.

The Department of Labor Bureau of Labor Statistics reports median salaries as follow:

$85,100 for the Dayton area
$93,900 for the state of Ohio
$100,800 for the United States

The current salary level for the Township HR Manager is below the market slightly. However, the substantial level of employees benefits provided by the Township also add to total compensation for the position.

If the value added by the HR Manager position (e.g., the cost savings listed above) is considered, then the Township should consider raising the pay level for the position.

<u>HOURS WORKED ON A REGULAR BASIS</u>:

Ms. Gustafson have been afforded a flexible, 40 hour work week during her tenure with the Township per her agreement at the time of hire. I see no problems with this type of work arrangement, particularly if that was the agreement made when she was hired. Most HR items may be time sensitive, but likely don't need immediate attention. One Township employee mentioned that Ms. Gustafson was not available during work hours, but I found Ms. Gustafson to always respond quickly to my calls and/or requests and her availability (or lack thereof) did not surface as a significant issue in my data collection from other Township employees. I feel that if the flexible hours were an issue, other employees would have provided this information to me also. If it has not already been made clear to all employees that the HR Manager has a flexible work schedule, then that should be done. Is would not be fair or equitable to not adhere to the terms of hire with regard to the flexible working schedule – and it would be ill-advised to not adhere given that Ms. Gustafson is a valued employee of the Township.

<u>WHAT EACH POSITION DOES TO SUPPORT OTHER DEPARTMENTS</u>:

In addition to the items listed in the original Job Description, the Township HR Administrator does substantive work in the following areas *which are not listed* within the current Job Description:

<u>Assessment Center for the Fire Department</u> - This is a contractual item through the CBA. Meets with the Chief to determine each year (or two if the list is extended) what items should be added to the assessment center. Draft a component of this; review all items being used to test employees; train the assessors; and run the entire assessment center.

Civil Rights Issues – In the past, HR's role was to conduct investigations and handle these matters, including meeting with the investigator and drafting the statement of position. Since the Township insurance has now changed and there is now a Township Administrator, the role is to work with the Township attorney through gathering information requested by the investigator and answering policy questions.

Unemployment Matters - Handles all unemployment matters from the beginning to the third level of appeal. After that, the township attorney is involved.

Investigations - Handles all investigations on sexual or other forms of harassment, reasonable suspicion, etc.

Labor Management - HR Manager is part of the administrative team. Attends monthly labor-management meetings and works with the management team on grievances and collective bargaining.

Employee Assistance Program - Works with the EAP provider to schedule trainings on multiple issues. Assists employees with and/or schedules treatment.

Fair Credit Reporting Act (FCRA) - Drafts combined disclosure notification(s); prepares correspondence to applicants based upon findings.

Consolidated Omnibus Budget Reconciliation Act (COBRA) - Drafts policy; prepares notifications; works with employees post separation on navigating the employer requirement and employee benefit.

Safety - Serves as part of the safety team as designated in the CBA; manages safety as it pertains to workers' compensation claims.

Medwork Medical Testing/Exams - Schedules and reviews all pre-employment, promotional, return to work, and functional capacity exams.

Drug testing – As stated in the Handbook, serves as the Administrator of the Drug Testing Program. Works with Medwork to conduct all random testing throughout the year; conducts testing required after an accident, injury or exposure.

Grievances - Drafts response to grievance; work with department heads on potential or filed grievances.

HIPAA - Serves as the HIPAA compliance officer; trains new hires on this federal law; handles any public requests for run reports or requests for amendments.

PERRP Requirements - As a public sector entity, the Township falls under PERRP (rather than OSHA). The BWC now handles PERRP for all Ohio public sector employers. HR Manager prepares data for the PERRP claims reporting that is required on an annual basis. This is due in

February and outlines the Township's claim information. In the event of an investigation resulting from an injury, the HR Manager would work with PERRP officials.

Document Requests - Facilitates document requests, as these are received through the fiscal office.

Orientation - Plans and conducts new hire orientation for the Fire Department and Township employees.

Severance/Terminations - Drafts severance agreements and meets with employees to review these. Notifies employees of the Boards' decision to terminate their employment.

Drafting of Requests for Proposals (RFPs) - Drafts RFPs on various issues.

WHO DO THEY REPORT TO:

The HR Manager reports to the Township Administrator

Succession Planning

g. Succession Planning Practices for All Departments

and

i. Contingency for short and long term replacement of each employee

Succession planning is the process of an organization identifying current employees that will be probable successors for other higher level employees within the organization. Formal succession planning is generally done for only managerial level employees. Right now, there are two Department Heads who do not supervise other employees in their job function or discipline – Human Resources and Information Technology. In those departments, succession planning would not be pertinent. The other Department Heads do supervise employees who may possess the qualifications to be promoted into supervisory positions in the event that the Department head vacates the position. Department Head positions, however, rarely become open, as turnover within the Township is extremely low.

In order to do formal contingency planning, a more extensive inventory of employee knowledges, skills, abilities, and other characteristics (KSAOs) must be compiled. There is currently no formal tracking of employees' educations, skills, and other credentials beyond those collected on the employment application form. The Township Employee Handbook indicates that employees are responsible for updating HR when they gain additional training or education, so that it can be documented in their personnel files. Having even a simple electronic database containing employee KSAOs would be preferred to the current process. Such a database could have the capacity to be searchable as well in order to use the system to quickly identify which employees would be qualified for a promotion or lateral job placement within the organization.

As noted before, this information on training and expertise can be collected from the employees when they have their annual performance review.

ii. Cross Training Practices

The Fire Department utilizes a system within which non-administrative operational level employees are given tasks that allow employees to gain training and skills that are relevant to higher level positions for which they may be considered (e.g., a firefighter may work on a program such as Fire Prevention). This practice has several advantages. First, from a risk management perspective, employee who are involved in such tasks are more aware of the activities and requirements and are more able to carry out the requirements of their supervisors in their (sometimes sudden) absence than if they had not been involved in these tasks. Second, this practice of building the up-and-coming employees supports succession planning by identifying directly who has taken on certain tasks and knowing how they handled those tasks in that context. Third, through these operational level employees performing and being responsible for these tasks, supervisors and administrators can conduct an assessment of the employee's motivation to succeed in their position(s) and within the organization as well as an assessment of their organizational commitment and desire to be promoted and take their careers to the next level. While there are costs to these cross training practices (mainly in the form of overtime pay to the employees who are taking on more tasks) – they are well worth it from an organizational functioning and productivity standpoint. Other departments could also utilize this cross training model for their own employees, where appropriate.

iii. Supervisor & Management Leadership and Management Development Practices

Generally, managerial level employees are hired for their technical expertise, not for their ability to lead and manage others. Herein lies a common problem in organizations – supervisors do not necessarily have the content knowledge and skills they need in order to supervise effectively. Luckily, much can be gained through managerial training. Unfortunately, as noted, the Township is currently providing very little in terms of training and development opportunities to its employees.

In order to avoid some of the legal risks mentioned above and also to enhance employee performance throughout the entire organization, supervisors should all be given basic managerial training. Managers/Supervisors should be provided training on the application of the Township Handbook policies. It is not enough for them to be aware of the Township policies – they must know how to consistently and fairly implement those policies. Training should be made available to Supervisors on Legally Protected Class Statuses (in hiring and other day-to-day management functions), Performance Management and Performance Appraisal (including common errors made by supervisors), and other leadership and supervisory topics. These trainings can be offered as a Brown Bag Lunch series with training being conducted by the HR Manager or by utilizing a Train the Trainer approach where one person attends the training and then goes back to their work unit to help other employees learn about the training content.

Taft and Associates, the Township's current legal counsel, frequently provides training sessions that their clients can attend. While some of the sessions they hold may be general in nature and may have a large attendance from across their many clients, Taft and Associates will also provide for no additional fee training on various topics at their client's own facilities. They have numerous training offerings that the Township could choose to provide to the Township

employees. The following are examples of onsite training Taft and Associates can provide for managers and employees:

- General Management Training - on interviewing and hiring employees, how to handle disciplinary action situations, and employee discharge

- Sexual Harassment - including legal definitions and how to reduce such behavior in the workplace

- Worker's Compensation - on how to manage claims and reduce costs

- Leave Management - including leave under the Family Medical Leave Act (FMLA) and compliance with the American's with Disability Act (ADA) and how to comply with the collective bargaining agreement and other public sector rules

The Township should utilize all of these possible avenues of training – particularly those which can be provided by the HR Manager and current legal counsel.

iv. Continuous Education Programming

The majority of Continuous Education Programming that is being done in the Township is being done in the Fire Department due to mandatory trainings and specific knowledge requirements for the job. For other departments within the Township, there is little training occurring and little funding for Continuous Education. I provide some depth in this report of professional development for the HR Manager, but a similar plan could be made for each positions and employee within the Township. The cost to provide valuable training that could benefit the Township greatly may not even be that expensive to provide. While there is always some cost to such development and training efforts, it is important to invest in current employees in this way.

Other Recommendations

In the context of this Human Resource Management Review, I was asked earlier this fall to provide feedback on a draft of an Employee Recognition Program. I found the drafted Program to be very good and did not have any recommended changes. I thought the committee that drafted the policy did an excellent job of designing the program and writing up the documentation. This program and the document nicely reflect exactly the overall goals of employee recognition programs (i.e., promote positive behaviors, create a culture or respect and recognition, and improve morale, productivity and quality of work) and lay out a process in which outstanding efforts and accomplishments can be fairly determined and recognized. I especially like that Informal/Immediate Recognition is also included in the program, as it is this type of ongoing feedback, reward, and recognition that keeps employees motivated and productive and also allows them to feel valued as employees. I hope this program is implemented within the Township.

I recommend that the Township implement a Performance Management system that would facilitate day-to-day performance of employees and also annually assess individual employee performance formally through performance appraisal. Annual performance review would also be a good time to update the database and employee files with training and expertise that employees have gained over the course of the year. I am including as Appendix E some further information on Performance Management and Performance Appraisal as well as some sample forms that could be used or modified within the Township. There have been two Performance Evaluation forms that have been used previously or are currently being used within the Township – one to evaluate Firefighters and one to evaluate the Township Administrator. It is dangerous from a legal standpoint to evaluate the performance of some employees and not

others. I suggest implementing a performance management and performance appraisal system for all Township employees.

Summary

In my assessment, Beavercreek Township has a lot of competent, hard-working employees. However, due to circumstances of inconsistent supervision and treatment, the morale and tenor of the organization has suffered. This is not at all a lost-cause situation, but in order to turn around the ongoing dysfunction, the Township will need to make the recommended changes. I am confident that improvements will be seen very quickly as the changes are implemented. I wish you the very best of luck as you work toward an even better organization. I am proud to live in Beavercreek and I hope that the Township will do everything it can for our community to remain a great place in which to live and work. Don't hesitate to contact me if you have any questions or if I can be of further help.

Best Regards,

Melissa L. Gruys, Ph.D., SPHR

APPENDIX A
Human Resources and Management Audit

The HR Audit data presented below was compiled through interaction with the HR Manager, the Township Administrator, and the Department Heads. The purpose of a Human Resources audit is to assess the effectiveness of the Human Resources function and to ensure regulatory compliance. This HR audit allows an assessment of all of the main HR functions and also assesses generally the legal compliance issues associated with those functions.

Human Resource Department
Self-Assessment

Please indicate the current frequency of each activity by using one answer to the left of each numbered statement.

> 5 = quite frequently
> 4 = frequently
> 3 = occasionally
> 2 = rarely
> 1 = never

__5__ 1. We alert management to personnel problems in the organization.

__5__ 2. We advise managers (my boss and others) when we think some of their management practices are having an adverse impact on performance.

__5__ 3. We review critical personnel decisions or actions to be taken by operating managers to insure that they are appropriate (e.g., grievances, arbitrations, salary changes, etc.). **For Fire Department Only**

__N/A__ 4. We design personnel policies, procedures and programs.
Board of Trustees or Township Administrator do this

__2__ 5. We implement personnel procedures and programs consistently.

__1__ 6. We follow up on personnel policies, procedures and programs to see that they are working.

__4__ 7. We conduct studies of important personnel problems and recommend action.

<u> 1 </u>   8.   We conduct studies to help managers improve on their way of managing.

<u> 5 </u>   9.   We act as a personal confidant to superiors or other managers on individual and organizational problems.

<u> 5 </u> 10.   We act as a counselor to other managers on personal and organizational problems.

<u> 5 </u> 11.   We act as a counselor to non-supervisory employees.

<u> 5 </u> 12.   We analyze and act to insure that there is an adequate supply of skills and talents coming into the organization.   **For Fire Department Only**

<u> 1 </u> 13.   We are actively involved in maximum utilization of skills and abilities (managerial and non-supervisory) to accomplish the objectives of the organization.

<u> 1 </u> 14.   We are actively involved in the process of evaluating managerial skills and abilities.

<u> 1 </u> 15.   We contribute analysis and advice on evaluation of managerial skills and abilities.

<u> 1 </u> 16.   We contribute to the determination and design of organization structure.

<u> 2 </u> 17.   We participate in major discussions pertaining to objectives and goals of this organization and to our achievement of them.

<u> 1 </u> 18.   We act as a strategic partner in all aspects of the planning for this organization.

<div style="text-align:right;">

Adapted from material developed by:
Steven Appelbaum, SPHR

</div>

HR Self-Audit Questionnaire

Use the following scale for all items presented below:

YES = Y	SOMETIMES = S	NO = N

Recruiting, Selection, and Employment of Employees

Employee recruitment is a process of identifying and evaluating applicants for positions in the company and hiring those that will be most likely to accomplish job tasks effectively and in a way that supports the organizational objectives. Once employees have been selected, employment pertains to ongoing activities that take place in employing those individuals.

Employee Recruiting

___N___ 1. Is HR involved in forecasting staffing needs?

___Y___ 2. Do policies exist pertaining to recruiting procedures?

___Y___ 3. Is there a formal process in place for identifying job vacancies (e.g., a requisition form, etc.)?   **For Fire Department Only**

___N___ 4. Does the company project ahead for HR requirements (e.g., how many employees will be needed in what positions, and when, etc.)?
For Fire Department Only; Limited Handbook Language

___N___ Do the projections take into account anticipated changes in technology, changes in products or services offered, and new skills and education that will be needed?

___N___ 5. Is there a succession plan in place for key managerial positions?

EEO-Y 6. Does the company have an Equal Employment Opportunity (EEO) policy and/oo
AAP-N an Affirmative Action Plan (AAP)? **Does not need an AAP, but could do it voluntarily**

___S___ Are EEO/AAP goals being met in hiring process?

___Y___ 7. Are applicants tracked for EEO purposes (e.g., so adverse impact calculations can be conducted)?

___N___ 8. Are internal and external recruiting handled consistent with policy?

__N__ 9. Are recruiting methods selected on the basis of the position to be filled (e.g., where will we need to look in order to find an engineer)?

_____ 10. What kind of recruiting sources does your organization use and for what positions?

X	newspaper	__	direct mail
__	journals/periodicals	__	applicant tracking
__	special events (e.g., job fair)	X	employee referral
__	professional networking (e.g., associations)	__	college recruiting

__Y__ 11. Are applicants asked through which recruitment method they identified the position?

__S__ Is this data kept and evaluated across recruiting methods/sources?

__Y__ 12. Does the company assess the effectiveness as well as the cost of recruiting sources?

__Y__ 13. Is there a policy regarding what defines an applicant and when applications will/will not be accepted?

__Y__ 14. Is there a formal internal job posting policy or process?

_____ 15. Has the company evaluated or utilized any of the following alternatives to satisfying workforce requirements?

X	project or contract outsourcing	X	temp employees
__	internal temporary employee pool	__	part-time employment
X	collaborating with competitors on recruiting	__	job sharing

__N__ 16. Is the length of vacancy time for various positions monitored?

__Y__ 17. Is the company aware of all legally protected classes at the federal and state level (e.g., race, gender, age, disability status, etc.)

__Y__ Is information that pertains to protected class status collected from applicants only when necessary?
Fire Department and Township Recruits Only

__4__ 18. On a scale of one to seven (seven being highest, four being adequate, and one being lowest), how would you as HR/management rate the effectiveness of the recruiting system?

__4__ 19. On the same one to seven scale, how do you think your internal clients (other departments and employees) would rate the effectiveness of the recruiting system? **Lacks Consistency Between Departments**

Employee Selection

_____ 20. How is the appropriateness of job applicants assessed? (e.g., are selection devices used?) **Psychological testing, Polygraph Testing, Background Check, Driving Record Check, Interviews, References**

__Y__ 21. Are employee selection devices (e.g., tests, interviews, personality profiles, etc.) matched to the tasks, duties, and responsibilities of the position being hired for?

__Y__ 22. Has the employment application been reviewed to ensure it meets legal requirements and minimizes legal risk?

__S__ 23. Have the employee selection testing instruments that are being used been professionally validated?

__N__ Are adverse impact calculations regularly calculated for each selection device?

__Y__ 24. Does your company have a policy that prohibits discriminating against qualified disabled individuals (based on the ADA definition)?

__Y__ Does the company's job descriptions distinguish those qualifications, physical requirements, duties, and responsibilities which are essential and those that are non-essential?

__Y__ Can disabled individuals apply for open positions and gain access to the premises?

__N__ Is there a review process for employee restrictions and reasonable accommodations?

__Y__ 25. Have all HR staff and managers been trained in nondiscriminatory hiring practices?

__Y__ 26. Is pre-employment drug testing done?

__Y__ If so, is there a policy and procedure for such testing?

__Y__ Are consent forms obtained from individuals prior to being tested?

__Y__ 27. If medical exams are done, are they done post-hire (e.g. job offer is contingent upon passing the exam)?

__Y__ 28. Are the references of applicants checked (e.g., past employers etc.)?

__Y__ Are reference release forms obtained from applicants?

_____		Who performs the reference checks and what is asked? **By HR or Outsourced**
__Y__	29.	Are background checks done on applicants?
_____		Who performs the background checks and what is investigated? **By HR or Outsourced**
__Y__	30.	If interviews are used, are the questions job-related and are all questions asked in the same order for all candidates? **Maybe not for selection processes that don't utilize Trish's involvement and expertise**
_____		Who conducts the interviews? Does more than one individual conduct the interview? **Trish and Fire Employee(s) for Fire Department; Department Heads for Other Departments**
__Y__		Do all interviewers provide ratings of applicants on various dimensions during the interview?
__Y__	31.	Are confirmation letters used to ensure understanding of a job offer (e.g., the letter may detail that the employee will be working in an "employment-at-will" context)?
__Y__	32.	Are I-9s and W-4s completed by all new hires?
__Y__	33.	Are the social security numbers of all new hires verified with the Social Security Administration (to ensure the numbers are not fraudulent)?
__S__	34.	Is emergency contact information collected from all employees upon hire? Are updates to this information made regularly? **Fire Department Only**
__N__	35.	Is there a policy on re-hiring past employees (especially those who may have quit or been fired)?
__Y__	36.	Have the selection cost(s) associated with turnover been calculated for various positions? **Fire Department Only**
__Y__	37.	Are exit interviews conducted for those individuals who are leaving the company?
_____		If so, what information is gathered? **Fire Department Only**
_____		Who conducts the interview?
_____		Who is given feedback from the exit interview and how is it used?
7 for Fire	38.	On a scale of one to seven (seven being highest, four being adequate, and one

4 Overall   being lowest), how would you as HR/management rate the effectiveness of the employee selection system?

   5   39. On the same one to seven scale, how do you think your internal clients (other departments and employees) would rate the effectiveness of the employee selection system?

Training and Development

Training and development is the process of identifying and evaluating applicants for positions in the company and hiring those that will be most likely to accomplish job tasks effectively and in a way that supports the organizational objectives and goals.

   S   40. Is there a formal orientation for new employees? **Fire Dept. and Township Only**

   Y   Is the orientation of new employees conducted in a timely fashion?

   N   Are follow-up employee orientations scheduled?

   S   41. Is a formal training needs assessment carried out regularly at the organizational, job, and individual levels? **Fire Department Only**

   S   42. Are legal requirements considered in training needs?

   N   43. Is remedial training (e.g., literacy training, English as a Second Language, basic computational skills, etc.) offered?

   N   44. Is there a formal career planning process for employees carried out to aid with employee retention (e.g., may identify individual skills, interests, and training needs)?

   N   45. Are there management development programs in place to aid succession planning?

   S   46. Is training of first-line supervisors provided for newly promoted individuals? (e.g., training on performance management and conflict resolution).

   S   47. How are managers made aware of all legally protected classes that are mandated at the federal and state level (e.g., race, gender, age, disability status, etc.)? **Only through Trish – no formal training is provided**

   Y   48. Do all employees get training on harassment and hostile work environment (hopefully annually)? **Fire Department and Township employees – not Maintenance employees**

  N   49. Does the performance appraisal process feed into organization training programs? (e.g., training needs are identified through the performance appraisal process)

  N   50. How are training programs and opportunities communicated to employees?
Not done Township wide

  N   51. Are subscriptions to professional training and development journals maintained and circulated among department members?

  Y   52. Are company safety policies and procedures in compliance with federal, state, and local regulations (e.g., OSHA)?

  Y   Is safety training and accident prevention information provided for employees?

  S   53. Do all training programs have clear objectives (for example, in a workshop on Microsoft Word, a clear objective would be, "At the end of the training, participants will be able to use the Merge/Sort feature")

  S   54. Is cost considered in the selection of training programs?

  S   Is there a method of tracking training cost(s) in terms of lost work time? Other metrics?
Fire Department Only

  S   55. Are training needs and costs reflected in the organizational budget?
Fire Department Only

  S   56. Are the results and outcomes of training programs evaluated? (especially beyond just employee reactions to assess whether the training is being transferred into the jobs themselves).
Fire Department Only

  N   Does the organization measure the return on investment of training?
Yes in Fire Department

<u>7 for Fire</u> 57. On a scale of one to seven (seven being highest, four being adequate, and one 1 for Twnship being lowest), how would you as HR/management rate the effectiveness of the & Mainten. training and development system?

  4   58. On the same one to seven scale, how do you think your internal clients (other departments and employees) would rate the effectiveness of the training and development system?

Performance Management

Performance management is a means through which employee behavior is assessed to see if it is consistent with the organizational goals and objectives and if it accomplishes the tasks associated with the position. Then based on this assessment, actions can be taken to maximize and improve performance.

__N__ 59. Does your organization have a formal employee performance appraisal system?

__N/A__ Do employees understand the use and purpose of the appraisal process?

__N/A__ Are performance appraisals done on a timely basis?

__N/A__ Are appraisals complete, well-documented, and job-related?

__N/A__ Are there specific performance appraisal forms that are used for each position?

__N/A__ Does the appraisal rate various job tasks or responsibilities separately (as opposed to rating overall performance)?

__N/A__ 60. Is the performance management system one in which performance appraisal is simply part of the process (e.g., managers are working to correct and enhance individual employee performance daily)?

__N/A__ 61. Does the performance appraisal establish clear objectives, expectations and performance measurement criteria linked to that specific job?

__N/A__ Do performance objectives clearly support departmental and organizational objectives?

__N/A__ Are these objectives and measurement criteria discussed with the individual being appraised?

__N/A__ Do the employees have clear and direct control over the outcome of their appraisals?

__N/A__ 62. Do performance appraisals reflect an employee's positive behavior, as well as results?

__N/A__ 63. Are highly performing individuals identified for advancement?

__N/A__ 64. Are pay plans linked to rewards for measured performance?

__N/A__ Is there a clear tie between the appraisal given and any compensation adjustment that might be authorized?

__N/A__ Is the performance rating/pay adjustment reviewed by someone in a position higher than that of the rater before discussion with the employee and

implementation?

__N/A__ 65. Does the performance appraisal provide objective, interactive and meaningful feedback on performance?

__N/A__ 66. Do performance appraisals include a written plan to improve employees' knowledge and skills?

__N/A__ 67. Is the distribution of ratings within each department or unit analyzed?

__Y__ 68. Is there a policy on employee disciplinary action?

__Y__ Are there specific forms that are used for disciplinary action?

__N__ 69. Are discipline and discharge policies consistently followed?

__1__ 70. On a scale of one to seven (seven being highest, four being adequate, and one being lowest), how would you as HR/management rate the effectiveness of the performance management system?

__1__ 71. On the same one to seven scale, how do you think your internal clients (other departments and employees) would rate the effectiveness of the performance management system?

Compensation

Compensation is a system of compensating employees to ensure that the organization attracts, retains and motivates employees to accomplish organizational objectives.

__N__ 72. Does the organization have a policy clearly stating its position on employee compensation?

__N__ Is the pay plan linked to the organization's management philosophy on compensating employees, and does it reinforce the values of the organization?

__N__ Is the organization's compensation philosophy clearly communicated to all employees?

__N__ Is it clearly supported and monitored by management?

__Y__ 73. Does the compensation policy contain procedures to guide managers on how to implement the compensation system?

__N__ 74. Is there one position within the organization accountable for overseeing and Coordinating all compensation-related activities (job evaluation, job classifications, job descriptions, salary administration, performance appraisal and

compliance with all governmental pay regulations, including FLSA, ADA, compensable time and EEO regulations)?

  N   75. Does the compensation policy comply with the Fair Labor Standards Act?

  N   76. Does the company regularly conduct a job evaluation for <u>all</u> positions to determine the worth of the positions to the organization?

  N   77. Is there a process for keeping the organization aware of compensation paid for comparable job functions in the region?

  N   Compensation paid to comparable exempt job functions nationwide?

  N   Compensation paid to comparable exempt job functions industry wide?

  N   How frequently are these market studies performed?

  N   Are pay ranges wide enough so as not to force vertical pay growth?

  N   Are pay ranges wide enough and procedures available to reward additional knowledge, skills, abilities and responsibilities and encourage lateral career growth?

  N   Do the intervals between ranges clearly define the differences in positions assigned to those pay ranges?

  Y   Are pay differences great enough to ensure that a subordinate is not paid more than his or her supervisor, including overtime payments?
Fire Department Only

  S   78. Are all jobs classified using a consistent job analysis?

  N   79. Are all job classifications reviewed for gender and minority pay equity?

  N   Are all comparable jobs reviewed for possible evidence of uneven treatment for females or minorities?
This is an issue for office staff – but a review has not been done

  Y   80. Does your organization have a pay-for-performance (merit-based) system?

      Does it work as intended, or is it a tool for compensation adjustment?
As a Tool for Compensation Adjustment

  N   Does an outstanding performance merit an outstanding reward?

  Y   81. Are compensation increases budgeted throughout the organization and are

guidelines for distribution clearly communicated?
Budgeted but guidelines for distribution are not clearly communicated

       Are ranges and limits clearly defined (e.g., pay increments linked to performance measures)?

       Is distribution of compensation among departments reviewed by management for consistency and equity before awarding increases? **Same for all**

__N__ 82. Are other performance compensation awards (results sharing) appropriate and in place?

__N__ Are there Profit-sharing awards based on organization-wide profitability or gain-sharing awards based on local performance?

__N__ Are there special recognition awards, (e.g., bonuses for meeting a combination of Results criteria, including department contribution performance, major productivity increases, sales and profit increases, or cost savings)?

__N__ Are there group or team productivity based on team performance and distributed to team members?

__N__ Is there a special pay-for-knowledge system, (e.g., payment for increased development of employee knowledge, skills, abilities and/or responsibility) allowing a broader job design without changing assignments?

__Y__ 83. Does your organization have the capacity for a compensation strategy to attract, retain and motivate employees?

__S__ 84. Are compensation administration costs included in the budget?

__3__ 85. On a scale of one to seven (seven being highest, four being adequate, and one being lowest), how would you as HR rate the effectiveness of the compensation system?

__1__ 86. On the same one-to seven scale, how do you think your internal clients (other departments and employees) would rate the effectiveness of the compensation system?

Benefits

Benefits can be defined as remuneration other than pay itself that is provided to employees.

__Y__ 87. Is there a fairly competitive employee benefit programs in place?

__Y__ 88. Does the organization have a clear policy in place regarding employee benefits

(e.g., who will receive which benefits)?   **O.R.C.**

N   89. Are the benefit and compensation programs connected and priced together?

Y   90. Are the benefit program and individual benefit costs known, monitored, and managed?

Y   100. Does the company have a benefit broker or brokers? Are these resources understood and well utilized?

Y   101. Are Consolidated Omnibus Budget Reconciliation Act (COBRA) continuation of benefits materials distributed at time of hire <u>and</u> qualifying event (e.g., leaving the organization or being fired)?

Y   102. Is the communication regarding benefits meeting legal and employee needs for information?

Y   103. Is all benefit information provided to employees? How?
Upon hire and via intranet

Y   104. Are leave of absence policies defined (e.g., sick leave, time off for jury duty or military service, etc) and administered effectively?

Y   Is it clearly conveyed to employees how the company leave policies interact with the Family Medical Leave Act (e.g., is FMLA done on the basis of a "rolling year" with sick leave to be used before FMLA leave).

Y   105. Do you regularly conduct a cost containment review for health benefits?

N   106. Does the company have a wellness program in place?

Y   107. Does the company provide an Employee Assistance Program (EAP) for employees?

N   108. Is there a program to control absenteeism costs?

N   109. Are unemployment compensation costs analyzed for costs savings?

Y   110. Does the company offer retirement benefits? **O.R.C.**

    If so, how often is the retirement program reviewed?

    Does the company offer retirement planning and counseling information for employees? OPERS and OP&F

N   111. Is the company current on competitive employee benefits (e.g., childcare,

flextime, job sharing, paid time off systems, etc.)?

N   112. If there are additional policies regarding benefits (e.g., health plan benefit designation or refusal, employee reimbursement for tuition, etc.), how are these policies conveyed to employees?

N   113. Do benefits serve as recruiting and retention tool for your company?
Health and dental only

N   114. Do you regularly survey employees regarding their knowledge of and satisfaction with the employee benefit plan (in terms of customer service, claim management, accuracy, timeliness, etc.)?
No survey, but all issues are brought in fairly quickly

N   115. If employee satisfaction with one or more benefits is low or costs for various benefits are high or non-competitive, do you put your benefit plans out to bid?
This is a Board of Trustees Decision

            If so, how often does this occur?

N/A 116. Are the utilization rates for each employee benefit calculated regularly?
Under 100 employees, so, N/A

N/A   Does this information impact decision-making about ongoing benefits to offer to employees?

Y   117. Are the costs of employee benefits regularly calculated and compared to national, industry, and local data? **Industry and local data**

Y   118. Does the company regularly communicate to employees regarding the benefits it Provides as well as emphasizing the employer's financial contribution to employee benefits?

6   119. On a scale of one to seven (seven being highest, four being adequate, and one Being lowest), how would you as HR rate the effectiveness of the benefits system?

6   120. On the same one-to seven scale, how do you think your internal clients (other departments and employees) would rate the effectiveness of the benefits system?

Employee Relations & Communications

N   121. Is there one position within the organization accountable for overseeing and coordinating all employee relations and communications activities?

Communications

Communications includes all interactions – verbal and written – with organizational members.

<u> Y </u> 122. Are all postings (e.g., FMLA information) that are required by federal and state law posted in the appropriate places?

<u> Y </u> 123. Are there policies that state the organization's employee relations philosophy governing all conditions affecting employees?

<u> Y </u> 124. Do these policies state expected behaviors of employees?

<u> Y </u> 125. Are these policies condensed into an employee handbook?

<u>   </u> 126. How and to whom is the employee handbook distributed?
Upon hire to all employees

<u> S </u> 127. Is the employee handbook information reviewed by legal counsel to satisfy all laws affecting employment, personnel relations, working conditions, employment at will, implied employment contracts and disclaimer issues?

<u>   </u> 128. How frequently is the employee handbook updated?
This depends on who is elected to the Board of Trustees

<u> Y </u> 129. Do employees sign a release form indicating that they have read and understand the handbook?

<u> S </u> 130. Are new policies that may have legal implications reviewed by legal counsel?

<u> N/A </u> 131. If there are any other policies and/or agreements the company has (e.g., non-compete or confidentiality agreements, last chance agreements, safety policies, telecommuting policies, or policies regarding the use of company property or credit cards), how are employees made aware of these policies?

<u> S </u> 132. Does the organization regularly assess existing policies and procedures for relevance and possible revision?

<u>   </u> How would employees be made aware of any changes that might be made to policies? **Intranet or meetings**

<u> Y </u> 133. Is there is a Drug Free Workplace Policy or similar policy? If so, is the policy included in the handbook?

<u> Y </u> 134. Does your company provide programs for alcohol/drug rehabilitation? How is Program information communicated to employees? **Via Handbook or Trish**

_Y_ 135. Does your company conform to the Family Medical Leave Act?

_Y_ 136. Does your company have an explicit policy against sexual harassment?

_S_ Has a procedure to investigate and resolve sexual harassment complaints been formulated?

_S_ Do you offer training for management on sexual harassment awareness and legal requirements?

_Y_ 137. Are applicants and new hires provided with job descriptions for the position they are applying for or have just been hired for?

_N_ 138. Are employees given the opportunity to exchange information with superiors as well as assimilate information being transmitted from the top down?

_____ 139. Are there forums that allow for regular interaction and information exchanges between employees and management? (e.g., a company newsletter)

If so, briefly describe: **Sharepoint announcements and posts**

_N_ 140. Are there forums in which racial and ethnic minority concerns are conveyed to management with the intent of affecting positive changes?

_Y_ 141. If an employee wishes to discuss a problem or issue that he or she might be having with his or her immediate supervisor, is there a procedure for doing so?

_____ 142. Is there a hazardous communication program (including MSDSs) in place?

_S_ 143. Does your organization engage in employee opinion surveys? **Fire Dept. Only**

_____ If yes, how often? **Annually**

_Y_ Do you communicate survey results to employees?

_Y_ Is there a demonstrated commitment to introducing changes based on survey data?

Employee Treatment

_S_ 144. Are employees afforded a process where both sides of a complaint are heard and a decision is rendered fairly?

_Y_ 145. Are disciplinary procedures and rules of conduct explained in an employee handbook or other form of notice? (Remember, the purpose of discipline is to have people behave in an acceptable way.)

_Y_ 146. Are progressive forms of discipline expressly cited?

_N_ Are they consistently applied?

_Y_ 147. Does someone in HR have the training to handle employee relations issues that arise (e.g., two employees have a disagreement)?

_N_ Has the company put in place a policy regarding employees with all types of personal issues might be referred?

_Y_ 148. Is there a program that provides for management and employee participation in the discipline process?

_____ 149. Are managers guided by policy as they make decisions from hire to employee separation? **Board of Trustee decisions**

_____ 150. Are managers given the opportunity to provide input on policy drafts before they are formalized?
HR and employees give input, but it is rarely used by the Board

_N_ 151. Are there opportunities for employee professional growth?
_____ If so, what type(s)?

_N_ 152. Does the organization demonstrate, emphasize, and reward leadership to ensure success and satisfaction in the organization?

_2_ 153. Using a one-to-seven scale (seven being highest, four being adequate, and one being lowest), how do immediate manager practices rate in terms of daily supervision and management of employees?

_Y_ 154. Has the organization demonstrated reasonable employment security and violence prevention programs?

_N_ 155. Is direct compensation/pay reasonable, equitable and competitive?

_N_ 156. Are employee and team accomplishments, special efforts, and contributions recognized in addition to direct pay?
Very few thank yous – more negative than positive

_N_ 167. Does the organization encourage teamwork and employee involvement?

_1_ 168. On a scale of one-to-seven (seven being highest, four being adequate, and one being lowest), how do you think your Human Resources department would rate the effectiveness of the organization's employee relations and communications programs?

___1___ 169. On the same one-to-seven scale, how do you think your internal clients (other departments and employees) would rate the effectiveness of the employee relations and communication programs?

Legal Compliance and Other Activities

_____ 170. What is the strategic mission and values of the company? Are HR policies and practices in line with those?
The Board has never developed a mission – the Department Heads have

_____ 171. Is there an organizational flowchart?

___N___ On the organizational chart, does each individual only report to one person?

___Y___ Is the amount of subordinates any given manager is supervising appropriate?

___Y___ 172. Is job analysis information available for all jobs in the organization? (e.g., job descriptions stating major objectives, responsibilities and accountabilities, and also job specifications stating the knowledges, skills, abilities, and other characteristics that are needed by an individual to perform the job successfully)

___Y___ 173. Is there an emergency evacuation plan?

___Y___ 174. Is there a preparedness plan for events such as terrorist incidents or natural disaster (e.g., data back-up)?

___Y___ 175. Are there procedures for monitoring the organization's compliance with personnel laws and regulations?

___Y___ Are the policies and procedures published and adequately communicated?

___Y___ 176. Is there a company-wide appeal or grievance procedure?

_____ If so, how is it administered? **Handbook policy is confusing**

___Y___ 177. Are there policies and practices in place to protect employee privacy, including Medical information (i.e., HIPPA compliance)? **But this is consistently violated**

___Y___ 178. Is there a policy pertaining to employee requests to review personnel files?

_____ 179. Are recordkeeping requirements known and adhered to regarding:

X	COBRA	X	I-9s
___	Payroll Information	X	Applicant Tracking
___	Medical Record Information	X	OSHA 300 Logs PEERP

<u>X</u>   Record Retention   <u>X</u>   HIPAA
___   IRCA   ___   OSHA – MSDS
                                           OSHA is N/A – under PEERP

___Y___ 180. Is there an accident investigation process in place?

___Y___   If so, is it used consistently?

___S___ 181. Are Americans with Disabilities Act (ADA) compliance activities planned and
               integrated into other HR functions (e.g., hiring)?

___N___ 182. Are you a federal contractor/subcontractor?

_N/A_   If so, do you have the required Affirmative Action Plan (AAP) in place?

_N/A_   Are you doing the proper reporting with respect to the AAP?

_N/A_   If appropriate based on level of federal contracting, does your company fulfill the
               requirements for the Drug Free Workplace Act of 1988?

___Y___ 183. Have there been any formal complaints to the company (past or pending)?

_____   If so, what was the outcome and has corrective action taken place?

___Y___ 184. Have there been any lawsuits filed against the company (past or pending)?

_____   If so, what was the outcome and has corrective action taken place?

_____ 185. What is the organization's monthly absentee rate? **Varies**

_____   Do you consider this high or low? **N/A**

              In what departments/areas are absences particularly high and why?

              _____

              _____

_____ 186. What is the annual turnover rate (average position replacement per year)?

_____   Do you consider this high or low? **There is no turnover**

_____   Are demographics of those employees who turn over analyzed?

_____   How is this analysis used? _____

_____ 187. Has management made an effort to reduce turnover?

_____   If so, what actions have been taken?

__N__ 188. Has the organization attempted to project future HR needs in terms of an increase in working mothers, child care, single parents, elder workers, a more diverse workforce, etc.?

__N__ 189. Has the organization made plans to meet its future employee relations needs?

__Y__ 190. Is your organization unionized?

_____   If so, how would you characterize the relationship between management and the union? **Mostly OK**

_____   What actions have been taken by management to promote a good working relationship with the union? **Communication**

_____   If not unionized, what actions are taken to promote a union-free environment?

_____ 191. Are HR policies and procedures are reviewed annually and updated as needed? **Board driven**

_____ 192. Does HR have annual goals/objectives against which to measure its activity and results? **Board driven**

_____ 193. Has HR has worked to be a strategic partner with management on all business related issues? **HR has attempted this**

__N__ 194. Are HR activities seen by top management as a main contributor to the success of the organization?

APPENDIX B
Sample Policy Format for the Personnel Policy Handbook

Beavercreek Township, OHIO
PERSONNEL POLICY No. 001
HOME BASED WORK
Approved: <u>00/00/0000</u>
Amended: <u>00/00/0000</u>

PURPOSE: The Township is committed to creating a work environment where the needs of our citizens, employees, and the Township are balanced. The Township confirms its commitment to develop, maintain and support a comprehensive policy of equal opportunities in employment within the Organization. Therefore, the Township will allow Home Based Work where it is reasonable and practical to do so and where operational needs require an employee to work remotely.

APPLICATION: This section contains general guidelines for all and specific procedures for employees not covered by agreements. The details of procedures for members of the groups listed below are contained in the respective contracts or agreements.

REFERENCE(S): Beavercreek Township Handbook; IAFF Local <u>0000</u> Collective Bargaining Agreement; Beavercreek Township Road Department Agreement

EFFECTIVE: <u>00/00/0000</u>

RELATED Personnel Policies: <u>0000000</u>

APPENDIX C
Sample Home Based Work Policy

DEFINITION: Home Based Work is defined as working at home or at other off-site locations. Home Based Work is a cooperative arrangement between the Township and an employee, based upon the needs of the job. Home Based Work means working, not taking time off. This policy applies only to situations where the Township occasionally allows an employee to work at home to meet the needs of our citizens, employees, and the organization.

PROCEDURE: Home Based Work shall be used in accordance with the following guidelines:

Approval

1. All Home Based Work requests must have Department Head and Township Administrator approval.

2. Each request will be reviewed and evaluated based on the needs of the Township. Before granting permission for Home Based Work arrangements, the Department Head and the Township Administrator should know the specific work to be performed and the projected amount of time expected.
   a. The Department Head and the Township Administrator, when asked to approve a Home Based Work schedule request will consider issues such as:
      i. The type of work and the amount of work to be completed.
      ii. Can the work be completed efficiently?
      iii. Can the work be completed without direct supervision?
      iv. Will there be an adverse effect on the provision of meeting the needs of our citizens?

Scheduling and Use

1. Employees should make arrangements with their Department Head at least one day in advance of Home Based Work. Under regular circumstances, Home Based Work should not comprise more than eight hours in a given week, or more than sixteen hours within a month, unless prior approval has been granted.

   a. The Township recognizes that there will be instances when Home Based Work will be needed due to an unforeseen circumstance which will not allow for prior authorization. In these instances, the employee should immediately contact their Department Head for approval.

3. Should the amount of Home Based Work needed to finish a specific project exceed the previous arrangement, the employee is to notify their Department Head immediately for

approval. Employees must be available by phone during the approved Home Based Work schedule.

4. Home Based Work shall be documented on the Township approved timesheet as regular hours.

5. Under no circumstances are employees permitted to schedule Home Based Work without prior permission. Any attempt to do so, with or without reporting such time, will result in disciplinary action in accordance with the Township's discipline policy.

APPENDIX D
Sample Public Records Policy*

MISSION STATEMENT

Openness leads to a better informed citizenry, which leads to better government and better public policy. Consistent with the premise that government at all levels exists first and foremost to serve the interests of the people, it is the mission and intent of **[public office]** to at all times fully comply with and abide by both the spirit and the letter of Ohio's Public Records Act.

DEFINING PUBLIC RECORDS

All records kept by **[public office]** are public unless they are exempt from disclosure under Ohio law. All public records must be organized and maintained in such a way that they can be made available for inspection and copying.

A record is defined to include the following: A document in any format – paper, electronic (including, but not limited to, business e-mail) – that is created, received by, or comes under the jurisdiction of **[public office]** that documents the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

RESPONSE TIMEFRAME

Public records are to be available for inspection during regular business hours, with the exception of published holidays. Public records must be made available for inspection promptly. Copies of public records must be made available within a reasonable period of time. "Prompt" and "reasonable" take into account the volume of records requested; the proximity of the location where the records are stored; and the necessity for any legal review and redaction of the records requested. It is the goal of **[public office]** that all requests for public records should be acknowledged in writing or, if possible, satisfied within **[X]** business days following the office's receipt of the request.

HANDLING REQUESTS

No specific language is required to make a request for public records. However, the requester must at least identify the records requested with sufficient clarity to allow the office to identify, retrieve, and review the records. If it is not clear what records are being sought, the office must contact the requester for clarification, and should assist the requester in revising the request by informing the requester of the manner in which the office keeps its public records. The requester does not have to put a records request in writing, and does not have to provide his or her identity or the intended use of the requested public record. It is this office's general policy that this information is not to be requested. However, the law does permit the office to ask for a written request, the requestor's identity, and/or the intended use of the information requested, but only (1) if a written request or disclosure of identity or intended use would benefit the requestor by enhancing the office's ability to identify, locate, or deliver the public records that have been requested; and (2) after telling the requestor that a written request is not required and that the

requester may decline to reveal the requestor's identity or intended use. In processing the request, the office does not have an obligation to create new records or perform new analysis of existing information. An electronic record is deemed to exist so long as a computer is already programmed to produce the record through simple sorting, filtering, or querying. Although not required by law, the office may accommodate the requestor by generating new records when it makes sense and is practical under the circumstances.

In processing a request for inspection of a public record, an office employee must accompany the requester during inspection to make certain original records are not taken or altered. A copy of the most recent edition of the Ohio Sunshine Laws manual is available via the Attorney General's internet website (www.ohioattorneygeneral.gov) for the purpose of keeping employees of the office and the public educated as to the office's obligations under the Ohio Public Records Act, Open Meetings Act, records retention laws and Personal Information Systems Act.

ELECTRONIC RECORDS

Records in the form of e-mail, text messaging, and instant messaging, including those sent and received via a hand-held communications device (such as a Blackberry) are to be treated in the same fashion as records in other formats, such as paper or audiotape. Public record content transmitted to or from private accounts or personal devices is subject to disclosure. All employees or representatives of this office are required to retain their e-mail records and other electronic records in accordance with applicable records retention schedules.

DENIAL OR REDACTION OF RECORDS

If the requester makes an ambiguous or overly broad request or has difficulty in making a request for public records, the request may be denied, but the denial must provide the requester an opportunity to revise the request by informing the requester of the manner in which records are maintained and accessed by the office. Any denial of public records requested must include an explanation, including legal authority. If the initial request was made in writing, the explanation must also be in writing. If portions of a record are public and portions are exempt, the exempt portions may be redacted and the rest released. When making public records available for public inspection or copying, the office shall notify the requestor of any redaction or make the redaction plainly visible. If there are redactions, each redaction must be accompanied by a supporting explanation, including legal authority.

COPYING AND MAILING COSTS

Those seeking public records may be charged only the actual cost of making copies, not labor. The charge for paper copies is **[X]** cents per page. The charge for electronic files downloaded to a compact disc is **[X]** per disc. A requester may be required to pay in advance for costs involved in providing the copy. The requester may choose whether to have the record duplicated upon paper, upon the same medium in which the public record is kept, or upon any other medium on which the office determines that the record can reasonably be duplicated as an integral part of the office's normal operations. If a requester asks that documents be mailed, he or she may be

charged the actual cost of the postage and mailing supplies. There is no charge for documents e-mailed.

MANAGING RECORDS

[Public office] records are subject to records retention schedules. The office's current schedules are available at **[location]**, a location readily available to the public as required by §149.43(B)(2), Ohio Revised Code.

*Drafted by the Ohio Attorney General – available at
http://www.ohioattorneygeneral.gov/getattachment/37760f26-9522-4f7b-9340-3e2f5487efb9/Model-Public-Records-Policy.aspx

APPENDIX E
Information on Performance Management and Sample Forms

What Is Performance Management? (Not Just an Annual Appraisal)

Performance management is the process of creating a work environment or setting in which people are enabled to perform to the best of their abilities. The first step would be to select appropriate people to fill the positions with the correct skill sets and interests. Finding a good job fit is crucial to the process. Providing effective orientations, education, and training of the job is important because nobody can do their best job when they do not have the necessary information to perform their task. This includes job-related, position-related, and company-related information needed to perform their jobs. After the correct training is supplied, provide on-going coaching and feedback to the employee. This helps people build their strengths and encourage employees to seek help when they need it. Finally, conducting performance appraisals is an important part of performance management.

What is a Performance Appraisal?

A performance appraisal is a review of an employee's performance of assigned duties and responsibilities over a period of time. The appraisal measures skills and accomplishments with reasonable accuracy and not on the employee's personality characteristics. It provides a way to help identify areas for performance enhancement and to help promote professional growth.

Why Appraise Performance?

Performance appraisals can be very beneficial to management and the employee. Management usually uses performance appraisals for training and development, decisions involving compensation, and in assessments involving an employee transfer or promotion.
Performance appraisals can also help supervisors gain a better understanding of each employee's abilities, stimulate employee's interest, improve job performance, all while giving the opportunity to get the employees and management all on the same page. Performance appraisal also provides employees with recognition for their work and effort. The existence of an

appraisal program indicates to an employee that the organization is genuinely interested in their individual performance and development.

PROPOSED PERFORMANCE MANAGEMENT POLICY

The Township should maintain a policy of evaluating the job performance of its employees as a means of measuring efficiency and effectiveness of our operations, providing employees with meaningful information about their performance and aiding in making decisions related to such areas as training, compensation, promotion, job assignments, retention, and long-range planning. Evaluation of employees can to be participatory in nature, involving the employee's input as well as the employee's supervisor. All new employees should receive a review after the first 90 days of employment.

The supervisor would complete the appraisal and discuss the results with the employee. The form, signed by the supervisor, employee, and the department head, should be returned to Human Resources for the individual's personnel file.

Approvals Required For Appraisal (for both New Hires and Current Employees)

New Hire Review

- Supervisor
- Department Head
- Director of Human Resources
- Township Administrator

Performance Appraisal Process

1. Approximately four weeks before the evaluation date, the Supervisor/Department Head will receive the evaluation forms. The Self Evaluation form should be given immediately to the employee to complete. The supervisor/manager will complete the Performance Evaluation form. All ratings must be supported by a narrative justification.

2. Two weeks before the evaluation date, all forms should be completed. The evaluating supervisor/manager will review the employee's Self Evaluation and route both evaluation forms as indicated above. The evaluation is confidential. Please take the necessary precautions when routing.

3. After the evaluations are routed and approved, the supervisor/manager will discuss the entire evaluation with the employee on or before the evaluation date.

4. The employee will sign the evaluations to signify that the evaluation has been received and discussed.

5. After the evaluation meeting, the supervisor/manager will return the evaluation forms to HR for filing.

Performance Evaluation

Probationary ☐   Annual ☐

Employee Name _____   Title _____
Hire Date _____   Time in Position _____
Rated By _____   Title _____
Date Rated _____   Date Reviewed w/Employee _____
Last Performance Review _____
Approved By _____

Rating _____

Performance Levels

Excellent	Very Good	Good	Fair	Unsatisfactory
Consistently performs all duties in an exceptional manner. Exceeds expectations, and goes regularly beyond what is required of the job. Work is of the highest quality and quantity. Highly responsive. Requires little or no supervision.	Works in a manner considerably above the normal expectations for the position—unusually high quality of work. Frequently exceeds what is expected of the position. Very responsive. Requires minimum supervision.	Performs all duties in a competent manner and consistently meets all expectations for the position. Has a normal response time for work and requires normal time and attention from the supervisor.	Meets some expectations for the job, but requires improvement in quality and/or quantity of work. Requires extra attention from supervisor.	Performance is not acceptable. Separation may be indicated; or reassignment under appropriate circumstance. Excessive attention is required by supervisor.

Job Skills

	Excellent 5	Very Good 4	Good 3	Fair 2	Unsatisfactory 1
1. **Quality of work** - accurately and thoroughly applies requisite technical knowledge and skills necessary to complete work.	☐	☐	☐	☐	☐
2. **Quantity of work** - productively and efficiently handles volume of work required by job and meets deadlines.	☐	☐	☐	☐	☐
3. **Adapts to change** - accepts change and effectively adapts to rapidly changing work situations and business conditions.	☐	☐	☐	☐	☐
4. **Self-motivated** - gets started and keeps moving toward objectives on own initiative in order to achieve desired results.	☐	☐	☐	☐	☐
5. **Setting priorities** - prioritizes and handles many different matters in a limited amount of time.	☐	☐	☐	☐	☐

Analytical Skills

	Excellent 5	Very Good 4	Good 3	Fair 2	Unsatisfactory 1
6. **Problem analysis and solving** - analyzes problems, develops alternatives for solving and initiates corrective action.	☐	☐	☐	☐	☐
7. **Creative Thinking** - recognizes new opportunities; suggests and/or develops new and imaginative ways for implementation.	☐	☐	☐	☐	☐
8. **Judgment** - reaches objective, sound, logical and timely conclusions and decisions.	☐	☐	☐	☐	☐

Communication Skills

	Excellent 5	Very Good 4	Good 3	Fair 2	Unsatisfactory 1
9. **Oral communication** - capably articulates thoughts and ideas in speaking and listens carefully to others.	☐	☐	☐	☐	☐
10. **Written communication** - writes clearly, concisely and meaningfully.	☐	☐	☐	☐	☐
11. **Presentation skills** - effectively presents program in a knowledgeable manner.	☐	☐	☐	☐	☐

Interpersonal Skills

	Excellent 5	Very Good 4	Good 3	Fair 2	Unsatisfactory 1
12. **Diplomacy** - interacts positively and sensitively with people.	☐	☐	☐	☐	☐
13. **Teamwork** - demonstrates ability to work with others within and across work groups.	☐	☐	☐	☐	☐
14. **Maintains confidence** - handles secret or confidential information or personal matters without breaching trust or confidence.	☐	☐	☐	☐	☐

Managerial Skills (if applicable)

	Excellent 5	Very Good 4	Good 3	Fair 2	Unsatisfactory 1
15. **Goal-setting** - conceives and defines work objective or goals that are significant, realistic, and attainable.	☐	☐	☐	☐	☐
16. **Delegation** - effectively utilizes others to achieve goals.	☐	☐	☐	☐	☐
17. **Development of subordinates** - creates an environment which encourages professional growth and enables accurate performance assessments and feedback.	☐	☐	☐	☐	☐
18. **Leadership** - provides direction and motivation to maintain job, departmental and company standards.	☐	☐	☐	☐	☐

_____
Section

Behavioral Elements

1. **Personal characteristics**
   Consider dependability/reliability, self-confidence, attitude, adaptability, judgment and professional image.
   - ☐ Acceptable   Comments:
   - ☐ Needs Improvement
   - ☐ Unacceptable (disruptive to workplace)

2. **Company interest**
   Consider service orientation, support of company standards of fair play, ethics, integrity. Demonstrates a positive commitment to CDO's goals.
   - ☐ Acceptable   Comments:
   - ☐ Needs Improvement
   - ☐ Unacceptable (disruptive to workplace)

3. **Work habits**
Consider absenteeism, tardiness,
operation within company policy, work
rules and interference in work of others.

☐ Acceptable

☐ Needs Improvement

☐ Unacceptable (disruptive to
workplace)

Comments:

Performance Summary

Section Total: _____ divided by (14 or 18) = _____

Overall Performance Rating _____

Comments: _____

_____

_____

Goal Assessment

List major goals that were assigned to the employee in this evaluation period and rate performance based on the results produced.

_____

_____

_____

_____

_____

Developmental Goals

_____

_____

_____

_____

Employee Comments

_____

_____

_____

_____

(The employee's signature on this form does not necessarily signify agreement with the supervisor's comments/appraisal, but that the review has been discussed with them in person.)

Signatures

Employee _____   Date _____

Supervisor _____   Date _____

_____   Date _____
Department Head

Self Evaluation

Employee Name:_____   Date Due to Manager:_____

Department:_____   Evaluation Date:_____

Performance Evaluation - Please complete this Self Evaluation and return it to your Supervisor by the date indicated above. This is your opportunity to evaluate your performance. Your Supervisor is completing a similar form and both performance evaluations will be discussed during your performance evaluation meeting. The Self Evaluation is required and becomes part of your personnel file.

Education, Training, and Qualification Update – It is critical that each employee keep Township records of Employee skills and expertise up to date. All employees should include any updates that have occurred over the past year on the last page of this form. Please add any accomplishments, skills, certifications, responsibilities, awards, etc. you have acquired since last year's performance review. If you have changed projects or assumed a new position, be sure to note the change.

Please rate your performance in the following areas by placing a check mark in the appropriate rating for each category. If the rating is Excellent, please support with a written justification.

Performance Categories/Criteria	Unsatis-factory	Fair	Good	Very Good	Excellent
Work Quality Criteria: Sets quality standards of performance for self, subordinates, and the organization.					
Work Productivity Criteria: Productive during work time; completes projects/tasks in a timely manner. Handles multiple priorities.					
Initiative Criteria: Exerts effort in identifying, starting, and completing projects; self-starting.					
Technical Proficiency Criteria: Analyzes problems, demonstrates under-standing of technical job-related skills; reaches logical conclusions.					
Communication Skills Criteria: Effectively presents thoughts and ideas; interacts positively with people; maintains confidential information; maintains effective working relationships with customers and co-workers to accomplish objectives.					
Supervisory/Leadership Skills (if applicable) Criteria: Defines work goals/objectives, effectively utilizes others to achieve goals/objectives; provides direction; encourages professional growth.					

Please answer the following questions:

1. What have you accomplished since your last evaluation?

_____

_____

_____

_____

2. What are your greatest strengths?

_____

_____

_____

3. What could you have done differently or better?

_____

_____

_____

4. What does management need to know to make your job easier?

_____

_____

_____

    Management Response:

_____

_____

_____Response by_____ Date_____

5. What are your goals for the next year?

_____

_____

_____

_____   _____
Employee Signature/Date   Supervisor Signature/Date

Beavercreek Township
Human Resource Management Review

Gruys Consulting, LLC
Melissa L. Gruys, Ph.D., SPHR

One Additional Recommendation Not Included in the Final Report

The Wage and Hour Division of the Department of Labor provides a Designation Form that is used to designate leave as Family Medical Leave Act leave (attached). This form should be given to an employee who has requested, or who has been placed on FMLA leave, prior to the commencement of the leave so that he or she is aware of the amount of leave usage.

I understand that the previous Board of Trustees divided the duties pertaining to FMLA between Mr. Jim Barone in the Fiscal Office and Ms. Trish Gustafson in HR. It is my recommendation that HR should be solely responsible for this task, as it requires tracking leave availability and usage as well as other personal employee information that is better handled by HR.