

Manager/Supervisor Handbook

HR Contacts:

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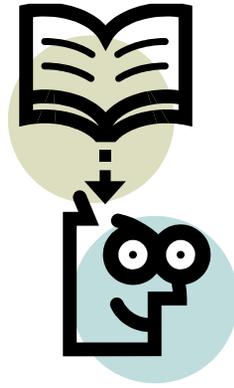
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All Policies and Forms may be found

At:

<http://kansastag.ks.gov/STATEHRO.asp?PageID=110>



Manager/Supervisor Handbook

STATE
POLICIES
&
PROCEDURES

TAG – State Human Resources Policy and Procedures

SECURITY - Common Access Cards (CAC)

References

DOD 5200.08-R, Change 1 5/27/2009

Policy

1. In compliance with Department of Defense's (DOD) physical security program procedures, the common identity standard for State employees and any long term volunteers of the Adjutant General's Department is the Common Access Card (CAC.)
2. Individuals must receive a minimum of a favorable National Agency Check (NAC) or Special Agreement Check (SAC) both of which includes a FBI fingerprint check prior to starting work, being processed for a CAC and processed for temporary computer network access. The only exceptions to this requirement are individuals who have a current national clearance recognized by the DOD.
3. CACs must be renewed every three (3) years.
4. The State Human Resource Office will be responsible for this policy for State employees and volunteers.

Procedures

1. New CACs:

- A. Once a person has been approved for hire by SHRO or selected as a volunteer, SHRO will contact the individual and make a conditional offer of employment pending the results of a NAC/SAC and fingerprint check. If applicable, some individuals will also be required to complete a background questionnaire. (See *Security/Security Clearances* policy.)
- B. The results of a NAC/SAC should be known within 10-20 calendar days.
 - 1) If the results are favorable the individual's information will be entered into the federal 'State Employee Database' (SED) after they have started working.
 - 2) If the results of a NAC/SAC identify any concerns, it will take longer depending on the length of time needed to adjudicate the respective issues.
- C. SHRO will notify the immediate supervisor or worksite designee when the data has been entered into the SED.
- D. After two (2) working days, the supervisor (or employee/volunteer) may check with any DEERS location to see if the CAC is available. (*See attachment A.*)
- E. If a CAC is not available in the DEERS system after 14 calendar days, the supervisor should contact SHRO.

2. **CAC Renewals:**

- A. CACs may remain active for a maximum of three (3) years, at which time they must be renewed.
- B. Employees on the federal network will be provided an electronic notice 45 days before their CAC expires. It is the responsibility of each employee to email SHRO at least **one (1) month prior** to their CAC expiration date in order to have their information re-entered into the SED database. This should allow adequate time for a new CAC to be processed through the system before the old one is inactivated.
- C. Employees on the state network are responsible for knowing their CAC renewal date and notifying SHRO at least **one (1) month prior** to their CAC expiration date.
- D. **NOTE:** If an employee's background check is expiring, the employee should begin that process 3-6 months prior to the expiration of his/her background check (see *Security/Security Clearances* policy) to ensure there is a valid background check date in the SED in order to be issued a new CAC.

3. **CAC Employment Status Changes (Federal/Military Status to State Status):**

- A. If a State employee already has an *active* CAC for their military duty he/she does not need to obtain another CAC as a State employee. **However**, when those individuals separate from the military/federal service, their CAC cards will be inactivated. Therefore, they must obtain a new CAC card as a State employee.
- B. It is the responsibility of each of those employees to email SHRO at least **one (1) month prior** to their CAC inactivation date in order to have their background check information entered into the SED and allow adequate time for a new CAC to be processed through the system before the old one is inactivated.

4. **Contacts:** For assistance see *Attachment B*.

- 5. Any exception to this policy and its procedures may be submitted to the SHRO Director. The merits will be taken into consideration on a case-by-case basis.

REFERENCES

Secretary of Administration Memorandum dated May 6, 1996

POLICY

All state employees of the Adjutant General's Department are required to dress and groom appropriately for their respective positions and project a positive public image that is consistent with the professionalism we desire to achieve. Employees are to adhere to the following minimum standards and supervisors are to fairly apply and enforce these standards:

1. Clothing shall be neat, clean, tasteful, free from offensive odor and of proper fit.
2. Clothing not considered appropriate in any setting includes:
 - a) Tight fitting, revealing or suggestive looking clothing which includes, but is not limited to: tank tops, muscle shirts, halter tops, midriff or tube tops, sleeveless T-shirts.
 - b) Tops or pants which expose the midsection when bending.
 - c) Hem lines more than three (3) to four (4) inches above the knee (where it bends in the back).
 - d) Clothing which is frayed, faded, cut off, has holes or appears excessively worn.
 - e) Clothing which contains graphics or slogans which are obscene, vulgar, demeaning, and/or considered offensive or which are contrary to a drug/alcohol/smoke-free work place.
 - f) Shorts.
 - g) Sweat or jogging pants/suits.
 - h) Athletic or logo type sweat shirts.
 - i) Sunglasses worn indoors.
 - j) Skorts, unless loose fitting and not short-like.
3. Clothing not considered appropriate in an office setting includes:
 1. T-shirts cut in an athletic box style. (Dress-type T-shirts are acceptable.)
 2. Jeans which do not conform to the standards in #2 above.
4. Tops should be tucked in unless designed to be worn outside.
5. Socks/hosiery must be worn.
6. Personal hygiene. Employees are to be clean, non-offensive and well groomed while at work. This includes clean, well groomed, neat hair; being able to see one's face; and having clean fingernails (unless performing work which prevents this).
7. Tattoos which are obscene, vulgar, demeaning, and/or considered offensive or which are contrary to a drug/alcohol/smoke-free work place must be covered.
8. Uniforms, when furnished or authorized by the agency, are required to be worn while on duty.
9. When employees, whose regular work allows the wearing of the more informal clothing, are representing the agency by participating in meetings, seminars and special functions; or who are working in an office setting, dress standards as outlined for office settings are to be worn.
10. Supervisors may develop more restrictive standards based on safety or enhanced public image.

PROCEDURES

1. It is the responsibility of employees to comply with these standards.
2. It is the responsibility of supervisors and the supervisory chain of command to ensure compliance with these standards.

3. An employee reporting to work whose attire or hygiene is out of compliance, may or may not be allowed to work the remainder of the work day depending on the severity and frequency of the noncompliance. Employees not allowed to work will be permitted to work when properly attired and groomed. Time away from work is not considered work time. It is the discretion of the supervisor if an employee may use accrued leave, rearranged time or be in unpaid status.
4. In addressing non-compliance, supervisors should follow progressive discipline guidelines.
5. Dress code may be occasionally relaxed for emergency incidents, such as disasters, technical hazards responses or response drills; or for special work events such as cleaning, moving, casual agency sponsored activities, etc., as authorized by the supervisor.
6. An employee or department director desiring an ongoing waiver of any standard in this policy may do so by submitting a written request to The Adjutant General, through the Director of OSHR. This request should state what standard(s) they would like waived and a justification.

EFFECTIVE DATE: 6/98
OPR: Director of OSHR
New: (6/98)

TAG – State Human Resources Policy and Procedures

SECURITY - Felonies

References

TAG Policy Letter #28
K.A.R. 1-9-19

Definitions - For purposes of this policy

1. **Conviction:** Conviction includes a plea or finding of guilty, a plea of *nolo contendere* (no contest), and all other actions tantamount to a finding of guilty, including adjudication withheld, deferred prosecution, diversion, expungement entry into adult or juvenile pretrial intervention programs, and any similar disposition of charges.
2. **Criminal Law.** A criminal law includes any military or other Federal criminal law; any state, district, commonwealth, or territorial or equivalent criminal law or ordinance; any criminal law or ordinance of any county, parish, municipality, or local subdivision of any such authority. Motor vehicle violations that do not involve a court appearance are excluded.
3. **Flag.** To annotate, mark, designate, a member employee's personnel file or employment application when felony charges are verified pending or a felony conviction is verified adjudicated.
4. **Member Employee.** Any and all full and part-time State employees, persons of the Kansas Adjutant General's Department and persons applying for employment with the Kansas Adjutant General's Department.
5. **Responsible authority.** The employee's division director or worksite manager.
6. **Volunteer.** Person performing services without compensation.

Policy

1. The purpose of this policy is to: document all member employees and volunteers with felonies; determine appropriate action, if any, by the Kansas Adjutant General's Department; and determine during the application and hiring/selection process the appropriateness of a person's prospective employment or volunteerism.
2. Although it is the intent of the Adjutant General to protect employees' rights until a case is adjudicated by civilian authority, the Adjutant General will take all reasonable and prudent steps to ensure the safety and security of other member employees and the public and maintain public confidence in the Adjutant General's Department.
3. Persons convicted of a felony and sentenced to prison for more than one year are definitely prohibited from employment and volunteer opportunities with the Adjutant General's Department as they would not pass the minimum background check criteria established by the Department of Defense.
4. Persons convicted of a felony and sentenced to prison for less than one year may be prohibited from employment and volunteer opportunities, depending on the circumstances of the respective case.
5. All employees, applicants and selectees for employment, and potential/existing volunteers must **self-report** all felony arrests, pending felony charges and convictions* the next agency working day following the event as describe in the 'Procedures' section of this document.

**With respect to felony convictions, this requirement applies even if the sentence has not been imposed or the member employee intends to appeal the conviction.*

6. Employees:

- a) Classified employees may be relieved of duty with pay pending an investigation.
- b) Unclassified employees may be relieved of duty with (or without) pay pending an investigation.
- c) The official personnel file, held in the State Human Resource Office, will be flagged. The flag will not be lifted until the civilian criminal charges are resolved and appropriate legal, administrative, and/or personnel action, if any, is completed.
- d) Employees may not be transferred/promoted/demoted to another position, work schedule, location, organizational unit or have any changes in pay without consultation and approval of Legal and the SHRO Director.
- e) After review of the documentation, information from the employee and/or an internal investigation, the Adjutant General will determine the appropriate action for an employee, if any, to be taken. Action could include dismissal.

7. Applicants and Selectees:

- a) After review of the documentation and/or information obtained from, or on, an applicant/selectee, a determination will be made as to the appropriateness of a person's prospective employment.
- b) Applicants may be allowed to continue with the selection process or they may have their application withdrawn from consideration for that opening as well as not being considered for future openings with the Adjutant General's Department.
- c) Selectees may be allowed to continue with the selection process, have their conditional offer of employment withdrawn or be allowed to be hired pending the results of the criminal action or results of a more thorough background investigation.

8. Volunteers:

- a) May temporarily or permanently be relieved of their association with the agency.
- b) May not be moved to another volunteer position, work schedule, location, organizational unit or have any other changes made without consultation and approval of Legal and the SHRO Director.
- c) After review of the documentation and/or information obtained from, or on, a potential or existing volunteer, a determination will be made as to the person's continued association with the Adjutant General's Department.

9. The responsible authority will, in cooperation with Legal and SHRO, be informed and, when required, engaged in all facets of the case.

10. Any disagreements with the recommendation of the responsible authority, Legal or SHRO will be resolved by the respective chain of command with The Adjutant General being the final authority.

11. Member employee's status will be determined as expeditiously as possible.

12. Failure to comply with any part of this policy or its procedures can, in itself, be grounds for appropriate legal, administrative, and/or personnel action, including immediate dismissal.

13. This policy takes precedence over any competing or contrary application of existing policies.

Procedures

1. No later than the first agency working day following a felony arrest, pending felony charge or felony conviction, an **individual** covered by this policy **must report** the incident to their first-line supervisor, higher level supervisor, or Legal. The person receiving the report must immediately notify the reporting employee's responsible authority (division director or worksite manager.)
2. When the **responsible authority** receives or obtains verification of a felony arrest, charge or conviction, it will immediately:
 - a) Notify **Legal**.
 - b) Contact the agency's **State Human Resources Office Director** (SHRO) (or Assistant Director in the director's absence) to flag the employee's personnel file. The flag will not be lifted until the civilian criminal charges are resolved and appropriate legal, administrative, and/or, personnel action, if any, is completed.
 - c) Notify the respective **Security Manager**.
3. The **responsible authority** will also:
 - a) Consult with the **Information Management Director** (or designee) on suspending the member employee's or volunteer's computer access.
 - b) Consult with the respective **Security Manager** on suspending the member employee's or volunteer's security clearance.
 - c) Prohibit the member employee from having any unsupervised public contact until otherwise notified.
 - d) Immediately, in the case of armed staff, suspend the member employee's access to weapons and ammunition.
4. **Agency Contact Numbers:**
 - a) Legal: 785-274-1027, 1481 or 1024.
 - b) State Human Resources: 785-274-1393 or 1460.
 - c) Security Managers:
 - 1) Army: 785-274-1067
 - 2) 190th: 785-831-4209 or 4207
 - 3) 184th: 376-759-7447
 - d) Information Management: 785-274-1034 or 1031.
5. The **responsible authority, Legal and SHRO** will confer on the nature of the civilian criminal charge and determine if the member employee's presence will create a work distraction for others, is a threat to other member employees, if the person should be relieved of duty, initiate a separation action and/or take other prudent administrative actions.
6. In determining appropriate action, the **responsible authority, Legal and SHRO** will:
 - a) In the case of felony charges and/or convictions of 'Person' felonies as defined by Kansas statutes, presume that the person should be terminated/separated. The burden is on the employee to prove

that he/she should be retained. The burden is also on any responsible authority and those in the chain of command to prove otherwise, if they desire to retain an individual.

- b) In the case of felony charges and/or convictions involving 'Dishonesty' as defined by Kansas statutes and consultation with Legal, the member employee's duties and responsibilities will be scrutinized to determine whether the member employee can continue in their current position. The responsible authority, Legal and SHRO will pay particular attention to, but not limited to, the member employee's access to personal identifiable information, Federal or State funds, Government credit cards, Federal and State computer and communications systems, and overall danger (physical, material and financial) to the workforce and Kansas Adjutant General's Department.
 - c) In the case of all other felony charges and/or convictions, determine on a case by case basis if any action is warranted.
7. The **responsible authority**, within ten (10) calendar days, will put a determination in writing with written comments from the JAG office and SHRO and forward it to the next level of authority. Each level of authority has ten (10) calendar days to add their recommendation and refer the case forward to the next level. The Adjutant General is final authority.
8. Legal will track and monitor the case until final resolution.

**LEAVE -
Funeral**

REFERENCES

KAR 1-9-12

POLICY

Employees on benefit eligible positions may be granted paid funeral leave upon the death of a close relative as noted below. Under no circumstance may funeral leave exceed six (6) working days. In making determinations, the relationship to the employee, required travel time and staffing must be considered.

1)	<u>RELATIONSHIP</u>	<u>RECOMMENDED MAXIMUM AUTHORIZED DAYS</u>
	Spouse	6
	Children*	6
	Parents*	6
	Brother & Sister*	6
	Grandparents/Grandchildren	3
	In-Laws: Father/Mother/Daughter/Son/Brother/Sister	3
	Other relative or foster child residing in household	3
	Aunt/Uncle	1
	Niece/Nephew	1

* Includes step and adoptive

- 2) In cases of a divorced employee who has custody of minor children, the death of the child's parent or grandparent may be considered for funeral leave. Recommended authorized days would be three (3) for a child's parent and one (1) for a child's grandparent.
- 3) In cases where an individual was raised by someone other than the mother or father, an allowance should be made to attend the funeral.
- 4) For relatives not covered under paid funeral leave, the employee may request to use vacation, overtime compensatory hours or holiday compensatory hours, if applicable.
- 5) Employees may also request to use other types of leave for additional days or for persons not covered by this policy.

PROCEDURES

- 1) If possible, employees should complete the 'TAG Leave Request' form prior to taking funeral leave. If this is not possible, the employee should immediately notify the supervisor (or a supervisor in the chain of command) and complete the leave request form immediately upon returning to work. There is no guarantee that the maximum allowed will be authorized. Also, it should not be assumed that being absent longer than the recommended authorized days will be approved as funeral or any other leave without prior authorization.
- 2) Leave request forms must specify the relationship to the employee and the location of the funeral.
- 3) Documentation of funeral leave may be requested. If requested, the documentation should be attached to the leave request form which accompanies the timesheet to OSHR.
- 4) For questions or special circumstances contact OSHR.

EFFECTIVE DATE: 6/98

OPR: Director of OSHR

New: 6/98(Date)

TAG – State Human Resources Policy and Procedure

GRIEVANCES- General

REFERENCES

K.A.R. 1-12-1

POLICY

Employees, classified and unclassified, may grieve conditions of work they believe adversely effect them with the following exceptions:

- a) Subjects whose settlement or appeal procedures are covered in Kansas Statutes or Regulations i.e., suspensions, demotions, dismissals, salary reductions and performance reviews.
- b) Non-selection for a job. (However, compliance with procedural requirements may be grieved).
- c) Management's authority to assign work to employees in accordance with their position description.
- d) Disagreements with the laws of the State of Kansas and Civil Service regulations.
- e) Disagreement with written policies of The Adjutant General's Department solely on the basis of opposition on moral or intellectual grounds.
- f) Allegations of sexual harassment or discrimination. (See agency policies addressing these issues.)

Copies of this policy shall be posted on all the department's official bulletin boards. Employees shall not be subject to coercion or reprisal for filing a grievance. Such actions should be reported to State Human Resources (SHR).

PROCEDURES

Grievance Procedures for Working Conditions:

1. Employees are required to bring the matter to the immediate supervisor within seven (7) calendar days of the occurrence.
2. The employee and supervisor should make a good faith effort to successfully resolve the issue.
3. The supervisor is required to respond to the employee within seven (7) calendar days.
4. If unsatisfied, the employee may appeal to the second level supervisor within seven (7) calendar days using the written grievance form. *The employee is responsible for providing copies of the grievance to SHR and the immediate supervisor.*
5. The second level supervisor is required to respond in writing to the employee within 7 calendar days, *with a copy to SHR.*
6. If the employee is still not satisfied with the response and chooses to appeal, the third level supervisor must receive the grievance form within seven (7) calendar days.
7. That supervisor has 14 calendar days in which to respond in writing to the employee, *with a copy to SHR.*
8. If the employee is not satisfied, they must appeal using the grievance form to the office of The Adjutant General within seven (7) calendar days.
9. The Adjutant General has 14 calendar days to respond in writing. The decision of The Adjutant General is final.
10. Copies of the final decision will be distributed to the appropriate supervisory personnel.

Notes

1. Timelines are counted as follows: Date of occurrence is considered Day 1. Date of receipt is considered Day 1.
2. Deadline extensions may be made by mutual agreement or by the Director of SHR for extenuating circumstances.
3. In the event a supervisor is unavailable to process a grievance, a designee may be appointed to address the matter.
4. Those responding to the grievance may meet with the employee to provide a full discussion of the matter. The employee must represent him/herself.
5. At any time during the process if mediation or assistance is desired, the Director of SHR may be contacted.
6. Failure by a supervisor to meet a timeline allows the employee to take the grievance to the next supervisory level.
7. Failure by the employee to meet a timeline shall be considered a settlement of the grievance based on the last decision.
8. Employees covered under a local union may file a grievance under one system only.
9. Employees have the right to file civil rights complaints with appropriate enforcement agencies.

ATTACHMENTS: Grievance Form and Grievance Flow Chart.

OPR: Director of State Human Resources

**The Adjutant General's Department
GRIEVANCE FORM
State of Kansas**

This form is only to be used after an employee has taken the concern to the immediate supervisor, has had an opportunity for a full discussion of the grievance, is not satisfied with the supervisor's response and desires to appeal that decision.

To: _____	From: _____	Date: _____
Worksite: _____	Position Title: _____	Phone: _____
The following incident occurred on: _____ It was presented to my supervisor on: _____ I am not satisfied with the response received on: _____		

Grievance: (Additional pages may be attached.) Grievance information must include the specific alleged adverse effect(s) this matter has on the employee.

Requested Remedy:

Signature of Grievant/Date

- Employee provides copies to:**
- a) State Human Resources (SHR), State Defense Building, 2800 SW Topeka Blvd, Topeka, KS 66611-1287
 - b) The immediate supervisor

Response of Second Level Supervisor

I received the grievance on _____, which was/was not within the 7 calendar day deadline.
(Response must be completed within 7 calendar days, with the date of receipt being day 1.)

Response:

Signature/Date _____
(Send copy of response to SHR)

Response of Third Level Supervisor

I received the grievance on _____, which was/was not within the 7 calendar day deadline.
(Response must be completed within 14 calendar days, with the date of receipt being day 1.)

Response:

Signature/Date _____
(Send copy of response to SHR)

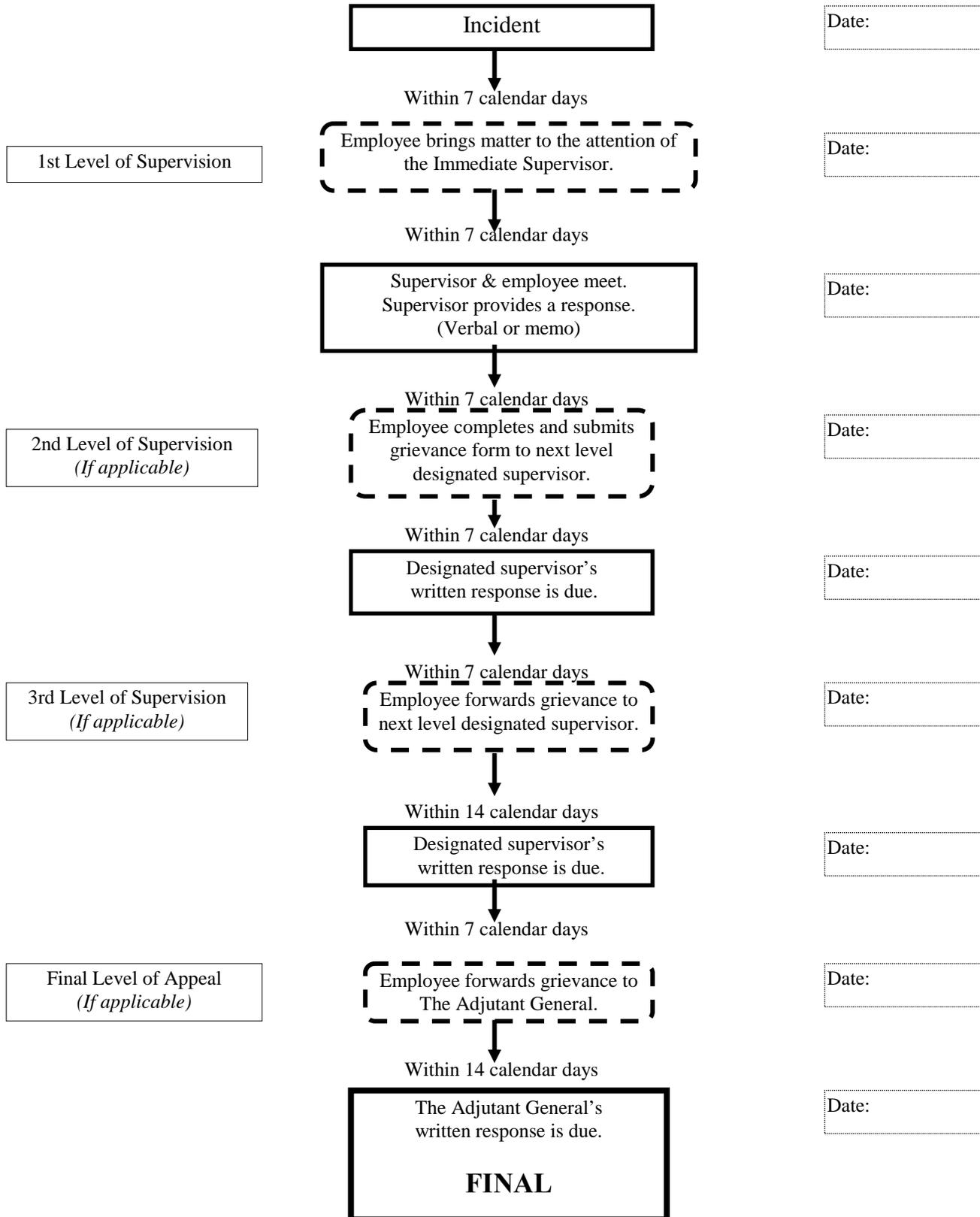
Final Decision of the Adjutant General

I received the grievance on _____, which was/was not within the 7 calendar day deadline.
(Response must be completed within 14 calendar days, with the date of receipt being day 1.)

Response:

Signature/Date _____

The Adjutant General's Department Grievance Procedure State of Kansas



**GUIDANCE &
DISCIPLINE**

Threats & Violence

REFERENCES

Secretary of Administration Memorandum 1-21-97

POLICY

The safety and security of employees and visitors is of utmost importance to The Adjutant General's Department. Threats, threatening behavior, acts of violence against employees or any related conduct which disrupts another's work performance or the organization's ability to execute its mission, will not be tolerated.

PROCEDURES

1. Any person who makes threats, exhibits threatening behavior, or engages in violent acts on The Adjutant General's Department's premises, may be removed from the premises as quickly as safety permits, and may be ordered to remain off The Adjutant General's Department's premises pending the outcome of an investigation.
2. Off-site threats of violent behavior are also covered by this policy. This includes, but is not limited to, threatening or violent behavior executed off agency premises but directed at state employees or members of the public while conducting official state business; and threats made via telephone, fax, electronic or conventional mail or any other communication media. Person(s) involved in these acts may also be relieved of duty pending the outcome of an investigation.
3. Violations of this policy will lead to disciplinary action of employees which may include, but are not limited to, suspension or termination of employment, and/or criminal prosecution. In addition, if the source of the violation is a non-employee, the response may include, but would not be limited to, barring the person(s) from agency premises, termination of any business relationship, and/or criminal prosecution.
4. All Adjutant General's Department state employees are responsible for notifying the agency (worksites) representative of any threats which they have witnessed, received, or have been told that another person has witnessed or received. Even without an actual threat, employees should also report any behavior they have witnessed which they regard as threatening or violent, when that behavior is job related or might be carried out on agency premises, or is connected to agency employment. Employees are responsible for making this report regardless of the relationship between the individual who initiated the threat or threatening behavior and the person or persons who were threaten or were the focus of the threatening behavior. If the designated agency (worksites) representative is not available, employees should report the threat to their supervisor or another member of the management team.
5. All individuals who apply for, or obtain, a protective or restraining order which lists agency locations as being protected areas, must provide to the designated agency (worksites) representative a copy of the petition and declarations used to seek the order, copy of any temporary protective or restraining order which is granted, and a copy of any protective or restraining order which is made permanent.
6. The Adjutant General's Department understands the sensitivity of this information and will protect the confidentiality of the reporting person(s) to the greatest extent possible.

The designated agency (worksites) representative is:

Name: Dee Lowe
Title: Director, OSHR
Location: State Defense Building - Topeka
Telephone: (785) 274-1393; DSN 83-720-8393

EFFECTIVE DATE: 6/98

OPR: Director of OSHR

New: 6/98

Progressive Discipline Guidelines

Informal Disciplinary Actions: VC-Verbal Counseling CM-Counseling Memorandum WR-Written Reprimand

Formal Disciplinary Actions: S-Suspension D-Dismissal *(Other options- Demotion and Pay Decrease)*

Note: This list is not inclusive. Greater or lesser penalties than those indicated may be imposed based on particular circumstances involved as exemplified in #3 in the “Policy” section of the “Guidance and Discipline Progressive Discipline Policy.”

<u>Type</u>	<u>1st Occurrence</u>	<u>2nd Occurrence</u>	<u>3rd Occurrence</u>	<u>4th Occurrence</u>
1. Attendance: A habitual pattern of failure to report for duty at the assigned time and place or to remain on duty.				
a. Unexcused tardiness. (Totaling 1 hour or 4 incidents, whichever comes first, in a 3 month period.) This includes returning from breaks, meal periods and from official business away from the work station.)	VC-CM	WR-S (1 day)	WR-S (1-2 days)	S (3 days)-D
b. Unauthorized absence – Failure to report for work on a scheduled work day without proper approval or leaving work without proper authorization.	VC-CM	CM -S (1 day)	WR- S (1-2 days)	S (3 days)-D
c. Unauthorized absence: “ No call-No show. ”	CM-WR	WR-S (1 day)	S (1-3 days)-D	D
d. Five consecutive work days of “No call-No show” grounds for job abandonment. (Must document attempts to contact the employee.)				D
e. Excessive absenteeism. (Guideline-The combination of a 6% or greater overall absenteeism rate and 5 or more incidents per 12 week period.*)	CM-WR	WR-S (1 day)	S (1-3 days)-D	D
* Does not require a 12 week delay between each phase.				
2. Leave: Habitual or flagrantly improper use of leave privileges.				
a. Failure to follow established leave procedures.	VC-WR	WR-S (1 day)	S (1-3 days)-D	D
b. Fraudulent claims of sick leave.	WR-S (1 day)	S (1-3 days)- D	D	
c. Falsification of a medical statement.	S (1 day) - D	D		

VC-Verbal Counseling CM-Counseling Memorandum WR-Written Reprimand S-Suspension D-Dismissal (Other options- Demotion and Pay Decrease)

<u>Type</u>	<u>1st Occurrence</u>	<u>2nd Occurrence</u>	<u>3rd Occurrence</u>	<u>4th Occurrence</u>
3. Sleeping on the job				
a. Posing no safety risk or security risk.	CM-WR	WR-S (1 day)	S (1-3 days)-D	D
b. Potential safety risk or security breach.	WR-S (1-5 days)	S (3-5 days)-D	D	
c. Resulted in injury, destruction or theft of property or a security breach.	S (5-10 days)-D	D		
4. Work Relationships: Failure to maintain satisfactory and harmonious relationships with the public and fellow employees				
a. Rude, insulting, unmannerly or impolite acts or remarks (non-discriminatory.)	VC-S (1 day)	WR-S (1-5 days)	D	
b. Use of profane or obscene language.	CM-S (1-3 days)	WR- S (1-5 days)	S (5 days)-D	D
c. Use of abusive, offensive or obscene language, gestures or similar conduct (non-discriminatory.)	WR-S(1 day)	S (1-5 days)-D	D	
d. Use of insulting, abusive, offensive or obscene language, gestures or similar conduct (discriminatory.)	S (1-5 days)	S (5-10 days)-D	D	
5. Discrimination: Prohibited discriminatory practice in any aspect of employment (recruitment, selection, advancement, performance appraisals, disciplinary actions, training, general treatment, etc.)	WR-S (1-5 days)	S (1-10 days)-D	D	
6. Disruption/Threats/Fighting				
a. Regular interruption to others which causes delays in completing work, is an annoyance or results in the employee being away from his/her work station a noticeable amount of time.	VC-CM	CM-WR	WR-S (1 day)	D
b. Disrupting others by creating a scene or disturbance.	WR- S (1-3 days)	S (1-5 days)-D	D	
c. Threatening to inflict bodily harm.	WR-S (1-5 days)	S (5-10 days)-D	D	
d. Attempting to inflict bodily harm.	S (3-5 days)-D	D		
e. Hitting, pushing or other acts against another without causing injury or property destruction.	S (1-5 days)	S (5-10 days)-D	D	
f. Hitting, pushing or other acts against another causing injury or property destruction.	S (5-10 days)-D	D		
g. Fighting.	S (5-10 days)-D	D		
h. Premeditated injury to another.	D			

<i>VC-Verbal Counseling</i>	<i>CM-Counseling Memorandum</i>	<i>WR-Written Reprimand</i>	<i>S-Suspension</i>	<i>D-Dismissal</i>	<i>(Other options- Demotion and Pay Decrease)</i>	
Type	1st Occurrence		2nd Occurrence		3rd Occurrence	
	4th Occurrence					
7. Inappropriate Material						
a. Displaying or possessing pictures or items of a sexual, pornographic or insensitive nature.	VC-D		D			
b. Accessing websites containing sexual, pornographic or insensitive material.	S (5-10 days)-D		D			
c. Using communication systems for sending materials of a sexual, pornographic or insensitive nature to others.	VC-D		D			
8. Sexual harassment arising out of, or in connection with, employment.						
a. Sexual harassment by non-supervisory or management staff.	VC-D		D			
b. Sexual harassment by supervisory or management staff.	S (5-10 days)-D		D			
c. Failure of supervisory or management staff to report allegations or incidents of sexual harassment.	VC-S (1-5 days)		S (5-14 days)-D		D	
9. Insubordination and related						
a. Insubordination: Refusal to accept a reasonable and proper assignment from an authorized supervisor (insubordination).	WR-S (1 day)		S (1-3 days)-D		D	
b. Failure to cooperate in an investigation or inquiry.	S (1-3 days)		S (3 -5 days)-D			
c. Deliberate neglect of duty.	VC-S (1 day)		WR-D		D	
10. Failure to comply with regulations, policies, procedures, regulations, and other instructions, etc. governing the work or agency.	VC-WR		WR-S (1-3 days)		S (1-5 days)-D	
a. Failure to follow written and verbal safety policies, procedures or instructions not resulting in injury to persons or destruction of property.	WR-S (1-3 days)		S (1-5 days)-D		D	
b. Failure to follow written and verbal safety policies, procedures or instructions resulting in injury to persons and/or destruction of property.	WR-D		S (5-10 days)-D		D	

<i>VC-Verbal Counseling</i>	<i>CM-Counseling Memorandum</i>	<i>WR-Written Reprimand</i>	<i>S-Suspension</i>	<i>D-Dismissal</i>	<i>Other options- Demotion and Pay Decrease)</i>
Type	1st Occurrence	2nd Occurrence	3rd Occurrence	4th Occurrence	
11. Alcohol and drugs.					
a. Consuming alcohol or cereal malt beverage during paid/unpaid meal and mid-point breaks.	VC-S (1-3 days)	S (1-3 days)-D	D		
b. Consuming alcohol or a cereal malt beverage while on the job or on state property (unauthorized).	S (3-5 days)-D	D			
c. Being impaired or under the influence when reporting to work or while on duty. (i.e. slow or slurred speech, unsteady, difficulty understanding, belligerent, dilated or red eyes, etc.)	S (1-5 days)-D	D			
d. Smelling of alcohol or illegal substances.	CM-S (1-3 days)	S (1-5 days)-D	D		
e. Possession or use of illegal substances on government property or while in a duty status.	D				
f. Sale or distribution of illegal substances on government property or while in a duty status.	D				
12. Releasing confidential or sensitive information.					
a. Breach of confidential or sensitive information – unintentional.	VC-S (1 day)	WR-S (1-3 days)	S (5-10 days)-D	D	
b. Breach of confidential or sensitive information – intentional.	S (1-3 days)-D	D			
c. Breach of confidential or sensitive information causing significant consequences to the agency, persons or property.	S (3-10 days)-D	D			
13. Gross misconduct or conduct grossly unbecoming a state officer or employee					
a. Immoral conduct	S (1-10 days)-D	D			
b. Conviction of a criminal act	S (1-30 days)-D	D			
c. Using one's position for personal gain.	S (5-10 days)-D	D			
d. Accepting anything of value from a person seeking contracts or other business or financial gain.	VC-D	D			
e. Solicitation of anything of value from a person seeking contracts or other business or financial gain.	S (5-10 days)-D	D			
f. Willful interference with the operation of the agency.	S (1-10 days)-D	D			
14. Possession of unauthorized firearms or other lethal weapons while on the job.	D				

<i>VC-Verbal Counseling</i>	<i>CM-Counseling Memorandum</i>	<i>WR-Written Reprimand</i>	<i>S-Suspension</i>	<i>D-Dismissal</i>	<i>(Other options- Demotion and Pay Decrease)</i>
Type	1st Occurrence	2nd Occurrence	3rd Occurrence	4th Occurrence	
15. False Statements					
a. False or misleading statement of a material fact in an employee's application for employment or interview.	S (1-5 days)-D	D			
b. Deliberate misrepresentation, exaggeration, falsification, concealment or withholding of a material fact:					
• During the recruitment and selection process.	D				
• In the course of an investigation.	S (1-10 days)-D	D			
• In the course of performing one's assigned duties.	VC-D	WR-D			
c. Making false, malicious or unfounded statements against other staff which tend to damage the reputation or undermine the authority or effectiveness of those concerned.	WR-D	S (1-10 days)-D	D		
16. Improper use of government property. Using government property in duty status for other than official purposes.					
a. Minor Impact	VC-WR	CM-S (1 day)	S (1-3 days)-D	D	
b. Significant Impact	WR-D	S (3-10 days)-D	D		
17. False claims and willful abuse or misappropriation of government funds, time, material, property or equipment					
a. Falsification of a timesheet.	WR -D	S (1-5 days)-D	D		
b. Making false claims for travel and other work-related expenses.	S (1-5 days)-D	D			
c. Making false statements, misrepresentation or fraud in entitlements or benefits.	S (1-5 days)-D	D			
d. Conducting non-agency business for personal gain while on the job.	CM-D	S (1-10 days)-D	D		
e. Theft-attempted.	S (1-5) days-D	D			
f. Theft-actual	S (3-10 days)-D	D			
g. Embezzlement	D				
h. Willful damage to or destruction of government property	S (1-5 days)-D	D			

<i>VC-Verbal Counseling</i>	<i>CM-Counseling Memorandum</i>	<i>WR-Written Reprimand</i>	<i>S-Suspension</i>	<i>D-Dismissal</i>	<i>(Other options- Demotion and Pay Decrease)</i>
Type	1st Occurrence	2nd Occurrence	3rd Occurrence	4th Occurrence	
18. Trespassing on the property of any state official or employee for the purpose of harassing or forcing dialogue or discussion from the occupants or owners of such property.	VC-S (1-5 days)	S (5-10 days)-D	D		
19. Political: Use of the employee's state positions, use of the employee's time on the state job or use of government property or facilities by the employee in connection with a political campaign.	S (1-5 days)-D	S (5+10 days)-D	D		
20. Complaints/Inquires/Investigations.					
a. Interference with or attempting to influence, or attempting to alter testimony or information from witnesses or participants.	WR-D	D			
b. Attempting to impede an inquiry or investigation or to influence investigating officials.	WR-D	D			
c. Retaliation against any person as a result of reporting alleged misconduct or filing a complaint or grievance.	S (1-5 days)	D			
21. Exhibiting other personal conduct detrimental to government services which could cause undue disruption or work or endanger the safety of persons or property of others, as may be determined by the appointing authority.					
a. Carelessness or negligence not resulting in harm to a person or loss of government property.	VC-S (1 day)	CM-S (3-5 days)	S (3-5 days)-D	D	
b. Carelessness or negligence resulting in harm to a person or destruction of government property.	VC-S (1-3 days)	S (1-5 days)-D	D		
c. Horseplay or practical joking.	VC-WR	WR-S (1 day)	S (1-3 days)-D	D	
d. Horseplay or practical joking causing injury or property destruction.	WR-S (1-3 days)	S (1-5 days)-D	D		
e. Participating in any action that would in any way seriously disrupt or disturb the normal operation of the agency, institution, department or any other segment of government	CM-D	S (1-5 days)-D	D		
f. Willful misuse or misappropriation of the property of others.	WR-S (1-5 days)	S (1-5 days)-D			

References

Governor's Inclement Weather Policy 12-07

Policy

1. The Adjutant General's Department may temporarily suspend non-essential services under extreme, extenuating weather conditions. Conditions warranting this rare action are: when highway travel is significantly compromised; efficient/effective clearing of roads is an urgent need and cannot be done without a major reduction in the level of traffic; that without that level of reduction in traffic, law enforcement/emergency vehicle responsiveness to accidents is seriously impaired; **and** when most employees traveling to/from work are in imminent danger of being stranded, stuck or involved in an accident. A declaration should not be made in situations where the precipitation is such that it will just take extra time, caution and driving at slower speeds to travel to and from work.
2. The rare temporary suspension of non-essential services is done by an authorized Declaration of Inclement Weather.
 - **Shawnee County:** Only the Governor of the State of Kansas or the Governor's designee has the sole authority to issue a Declaration of Inclement Weather for Shawnee County.
 - **Outside Shawnee County:** The Governor, The Adjutant General (TAG), or their designees may issue Declarations of Inclement Weather outside Shawnee County. If a declaration has not been made by the Governor or Adjutant General and the **worksite administrator/manager** desires a declaration for their worksite, he/she **must** request and be granted approval for a Declaration of Inclement Weather **from The Adjutant General's Department prior** to authorizing any Inclement Weather Leave for State employees.
 - **Exception: McConnell ANG:** "Non-essential" State employees **will comply** with emergency weather media announcements covering 'non-essential' military personnel.
3. Non-essential, benefits eligible (not 999-hour), employees not reporting for work, or not remaining at work, during an authorized designated inclement weather declaration will be placed on 'Inclement Weather Leave' in accordance with the procedures stipulated in this document. *Employees are to remain available for contact by supervisors and other agency personnel.*
4. Although an employee is designated as 'non-essential', if circumstances warrant, (a critical deadline, important meeting, an emergency, etc.) he/she may still be called to work. In those rare cases the employee will be expected to report to work. An employee who refuses to work may no longer use Inclement Weather Leave and may be subject to disciplinary action.
5. Essential employees who are scheduled to work and do not work must request to use their own leave.
6. When a **declaration has not been issued**, employees not reporting to work, reporting late or leaving early due to weather conditions will be expected to use their accrued leave. The agency recognizes that employees have different comfort levels and abilities driving in inclement weather. It also recognizes that some employees live significant distances from their worksites where weather conditions may be more severe. Therefore, to the extent possible, supervisors should approve employees' request for leave in those situations. At the discretion of the supervisor, employees may rearrange work hours *within the same workweek* to make up for those hours not worked.

Definitions

1. 'Essential' employees are those employees designated by administration who are required to continue essential mission functions during hazardous weather conditions.
2. 'Non-Essential' employees are all other employees not defined as 'essential'.
3. 'Essential mission functions' are those tasks which: a) are indispensable for the direct mission of the agency and/or unit, b) provide for the safety or security of persons and/or property, and/or c) for which delay in completing work tasks would not be feasible or prudent.

Procedures

1. **Prior** to requesting an Inclement Weather Declaration from the TAG or designee, *worksite administrators/managers* need to:
 - a) Take into consideration the mission of the worksite/office; the amount, kind and projected duration of precipitation; the location of the worksite; the condition of the area roadways and bridges surrounding the worksite; the expected duration of unsafe roadway conditions; general safety hazards; other large employers' actions; perception of the public/taxpayers, etc. Resources include:
 - **Calling toll-free 1-866-511-KDOT (5368).**
 - **Kansas' road conditions website, <http://www.ksdot.org/>**
 - **National Weather Service - http://weather.noaa.gov/weather/KS_cc_us.html**
 - b) Determine the following information: a) worksite(s) affected, b) staff affected, and c) the beginning and ending *date(s)* and the beginning and ending *time(s)** of the declaration. ***Could be any length of time; i.e. 30 minutes, 4 hours, all day, etc.**
2. When worksite administrators/managers believe circumstances warrant a declaration of inclement weather they must request authorization by contacting the TAG's primary designee, **Chief of the Joint Staff, at (785) 274-1141 (Wk) or 817-2998 (Cell),** or if unavailable, the **back-up designee, State Human Resource Director, at (785) 274-1393 (Wk) or 969-2180 (Cell).**
3. If approved, the *authorized TAG designee* will notify the Governor's Office. The **declaration must include** the following information: **a) employer identified as "The Adjutant General's Department", b) worksite(s) affected, c) staff affected, and d) the beginning and ending date(s) and the beginning and ending times of the declaration.**
4. **After** contacting the Governor's Office, notice of the authorized declaration is to be called into the agency's State Human Resource Department at (785) 274-1393 or cell (785) 969-2180.
5. The declaration will be communicated by the most feasible means as pre-determined by each worksite and unit. (See attachment.) This may include direct calls to employees at home, designated 'Call in' numbers, websites, calling trees, media outlets, etc. The information will be placed on the **voice mails of the following phones in SHR (785) 274-1393; 1392; 1391 & 1460.**
6. If at all possible, decisions as to temporarily suspending of non-essential mission functions should be made, and affected employees notified, 30-60 minutes prior to the employees scheduled work time.
7. Declarations made by the Governor and other entities, i.e. **McConnell ANG commander**, will be made directly to media outlets. Therefore, in those situations, non-essential employees may be aware of an Inclement Emergency Declaration much sooner than the Adjutant General's Department administration. Worksite managers should immediately call the Chief of the Joint Staff or the State Human Resource Director at the numbers above to inform them of any non-Shawnee County declarations.
8. Employee Timekeeping:
 - a) **Non-essential employees** who **do not work** during an authorized inclement weather declaration will code those hours on their timesheet as **IWN (for non-exempt, hourly employees)** and **IWE (for exempt, salaried employees)**. This Inclement Weather Leave begins at the effective time stated in the declaration unless otherwise notified.
 - b) **Essential employees** who are suppose to work and **do not work** must use **their own leave**.
 - c) **Employees** who **work** during an Inclement Weather Declaration will be compensated as usual.
 - d) **Employees** who had **previously authorized leave** (verbal or written prior to the declaration notice being effective) will not be affected and will use their leave as approved. As a general rule during extreme weather conditions, 'call-ins' or e-mails left on a supervisor's (or designee's) phone or computer will be considered as having leave authorized.
 - e) Individual exceptions to these procedures must be submitted for approval to the HR Director in a timely manner.

Attachments

Shawnee County - Essential & Non-Essential State Employees for Inclement Weather Declarations Chart
Shawnee County – Contingency Plan for Essential State Employees for Inclement Weather Declarations
Other Counties - Essential & Non-Essential State Employees for Inclement Weather Declarations/Contingency Chart

OPR: Director of State Human Resources

“Shawnee” County: Governor makes all declarations.

Essential and Non-Essential State Employees for Inclement Weather Declarations

Communication:

Bolded
used by the
Governor.

Television

KSNT-27
KTKA-49
WIBW-13

Radio

WIBW FM 97.3
KDVV FM V100

State Human Resource Voice Mails

(785) 274-1391, 1392, 1393 & 1460
(DSN) 83-720-8391, 8392, 8393 & 8460

Agency Website:

Worksite	Unit	Essential* Staff	Non-Essential** Staff
Headquarters	Archives		All
	Command Group	Adjutant General	All others
	Comptroller		All
	Emergency Mgmt	Administrator & On-Duty Operations Officer	All others
	Human Resources	Director	Auditor & Office Spec's
	Info Mgmt	Network Administrator on SDO's	Other user support staff.
	Public Affairs	Director	Asst. Public Affairs & Secretary
	Security	All Resource Protection Officers	
DOFE	Armory	Custodian	
	Environment		All
	Engineering		All
	Facilities Mgmt	All except →	Admin Asst, Accountant, Off Asst, CAD Tech, Mil Const Analyst & Property Ctrl
	Security Sys		All
RSMS	Surface Maint		All
	USPFO		All
	Warehouse		All
190th	Civil Engineering	All except →	Real Property & Engineering Tech
	Environment		All
	Fire Dept	All	
	Security Police	All Resource Protection Officers	Office Spec
AASF			All

* Expected to report for work unless otherwise notified by supervisor or authorized designee.

** Does not report to work unless work situation warrants **and** is notified by supervisor or authorized designee.

“Shawnee” County

Contingency Plan for **Essential** State Employees for Inclement Weather Declarations

Worksite	Unit	Essential Staff	Contingency
Headquarters	Command Group	Adjutant General	Work via telecommunications equipment.
	Emergency Mgmt	Administrator & On-Duty Ops Officer	Work via telecommunications equipment. Ops Officer: Call in another trained staff member.
	Human Resources	Director	Work via telecommunications equipment.
	Info Mgmt	Network Admin on SDO's	AGR or Techs.
	Public Affairs	Director	Work via telecommunications equipment.
	Security	All Resource Protection Officers	Hold over or call in other shift RPO's.
DOFE	Armory	Custodian	a) DOFE's essential staff covers. b) Armory National Guard members.
	Facilities Mgmt	Facilities direct maintenance staff.	a) Work with less. b) Call in other State employees.
190th	Civil Engineering	Facilities direct maintenance staff.	AGR & Techs.
	Fire Dept	All	a) Hold over or call in State employees. b) AGR & Techs.
	Security Police	All Resource Protection Officers	a) Hold over or call in other shift RPO's. b) AGR & Techs.

“Other” Counties

Essential and Non-Essential State Employees for Inclement Weather Declarations/Contingency

Authority: Governor, Adjutant General, Army Chief of Staff or State Human Resource Director. (Except: Active Mil. Installation Commanders)

Communication:

- All **media announcements**, other than those made by the Governor’s Office (or **AMIC’s**), must include “**The Adjutant General’s Department**” as the **employer**. Announcements may *also* include the individual worksite name.
- See **Chart Below**. (**Bolded** used by the Governor’s Office.)
- **State Human Resource Voice Mails: (785) 274-1391, 1393 & 1460; (DSN) 83-720-8391, 8393 & 8460**

County	Requestor	Worksite	Unit	Essential* Staff	Non-Ess**	Radio	TV	Call-in	Other/Contingency (C)
Allen	***	KDEM			All	99.3 FM & 94.3			
Brown	OIC	Hiawatha Armory		All		93.7 FM			Supv calls staff at home. C: AGR & Techs
Ellis	***	KDEM			All	99.5 & 103.3	KOOD -9		
Ford	***	KDEM			All	KRPH	KDCK-21		
Johnson	***	KDEM			All	All major	All major		
Leavenworth	OIC	BCTC		All					Supv calls staff at home. C: AGR & Techs
Reno	OIC	Hutch Armory		All					Supv calls staff at home. C: AGR & Techs
Riley	RSMS Manager	RSMS			All	KMAN 1350 AM KJCK AM/FM	KSNT-27 KTKA-49 WIBW-13	239-8891, 239-0415	Calling Tree
	Facilities Manager	CFTA		All					Supv calls staff at home. C: a) Work with less b) AGR & Tech
Saline	OIC	KSRTI		All		KSAL-AM KINA-AM	KAKE-10 KSNW-3 KWCH-12 WIBW-13		Supv calls staff at home. C: AGR & Techs.
	***	Civil Air			All				Supv calls staff at home.
	OIC	Smoky			All				Supv calls staff at home.
	***	KDEM			All				
Sedgwick	McConnell AFB Commander or Wing Commander	184 th	Civil Eng	All except →	Custodial Real Propty Eng Techs Procurement	KFDI AM/FM KRZZ FM KSJM FM	KAKE-10 KSNW-3 KWCH-12		Supv calls staff at home. C: a) Work with less. b) AGR & Techs.
			Security		All				Supv calls staff at home.
	***	KDEM			All				

OIC: Officer-in-Charge

* Expected to report for work unless otherwise notified by supervisor or authorized designee.

** Does not report to work unless work situation warrants **and** is notified by supervisor or authorized designee.

*** Follows declarations for the local Social and Rehabilitation Services (SRS) Office that will be announced on various local media outlets.

C – Contingency Plan

**Compensation -
In-Grade Pay Increase**

REFERENCES

Executive Directive 04-353 and Guidelines

PURPOSE

To provide permanent or temporary in-grade pay increases for State employees for qualifying reasons by allowing the Adjutant General to move *classified regular* employees from one step to another step on the same pay grade upon the approval of the Department of Administration and move *unclassified* employees within their designated pay range upon approval of the Governor.

POLICY

1. In rare and compelling circumstances State employees *may* receive pay increases for qualifying reasons within the parameters described below.
2. In-grade increases are to be the exception, not the rule.
3. Such increases may be permanent or temporary, depending on the reason for the action.
4. In-grade pay increases are not to be used for:
 - a. Pay for performance.
 - b. Bonuses or awards, since these are one-time issues and in-grade increases affect an employee's rate of pay.
 - c. Where a classification and compensation study action is more appropriate.
5. **"Permanent" Qualifying Reasons:**
 - a) **Correct pay inequities** that could result from any number of circumstances. As an example -- the need to adjust the salary of a long-term and productive employee who has seen newer employees appointed to a higher step because of "exceptional qualifications," promotional policies, or voluntary demotions.
 - b) **Counter an offer** by another employer when they offer** a valued employee an increase in pay. ***This "competition" would not include another State of Kansas agency that offers a legitimate promotional opportunity.*** Managers should consider whether such an increase would create other inequities in the work unit and balance that factor when deciding whether to request this type of increase.
***** May be required to provide written documentation and/or submit a written resignation.***
 - c) **Retain** a valued employee who would **otherwise retire**.
 - d) **Adjust salaries** to, or close to, "market" **without the need for a protracted study**. (These adjustments should only be considered when there is compelling need and when the number of affected employees is small. Formal classification and salary study action is more appropriate in those instances in which salary adjustment is needed for a large number of employees.)
 - e) **Compensate an employee for obtaining** a license, certification, or other type of **credential critical** to the agency's operation. Such instances should be rare and not constitute any type of bonus program.
 - f) **Compensate** an employee for stepping up to **more challenging responsibilities without having to reallocate** to a higher class or create a new level of classification when one does not currently

exist. This is **not** pay for performance -- it is pay for managing more responsibilities or such as filling in a vacant position or more complex and demanding responsibilities.

6. **“Temporary” Qualifying Reasons:**

- a) **Compensate** an employee for **temporarily** stepping up to more challenging responsibilities **without** having to temporarily reallocate to a higher class or make an acting assignment. Again, this is **not** pay for performance; it is pay for managing more complex and demanding responsibilities.
- b) **Compensate** for conditions of employment that may create a **hardship** for an employee, such as travel.
- c) Provide **geographic or language pay differentials**.
- d) A **temporary** in-grade pay increase must be for a **minimum of two pay periods**. Written notification to the employee is required if the increase is to be temporary. Such notice should clearly spell out the circumstances for which the temporary increase is being provided and must include the duration of the temporary increase and explain that the employee will be returned to his or her former step once the temporary circumstances are over.
- e) A **temporary** in-grade increase **may be extended or changed to a permanent** increase when circumstances change and the agency has submitted and received approval for the action. Submit these requests in the same format as the temporary in-grade pay increase.
- f) For the purposes of step movement, time spent on a higher step for a temporary classified in-grade pay increase shall count toward the time-on-step requirements of the step from which the employee is moved.

7. **Returning from Temporary Increase.**

- a) If an employee changes positions for any reason, an agency must return the employee to the salary step/wage the employee was on prior to the temporary increase unless:
 - Across-the-board classified salary step movement/unclassified merit was authorized during the term of the temporary increase, in which case the employee would be placed at the appropriate classified salary step based on time-on-step requirements/unclassified wage; or
 - The agency seeks and receives approval for another separate in-grade pay increase action (either permanent or temporary) based on the circumstance of the position to which the employee is moved.
- b) If neither of the two conditions above applies, the classified employee must be returned to his or her prior step/unclassified employees must return to their comparable wage and then, as appropriate:
 - Be retained at that salary level if the move is a transfer.
 - Have his or her salary increased in accordance with K.A.R. 1-5-13 and agency policy/practice if the move is a promotion.
 - Retain or have his or her salary decreased in accordance with K.A.R. 1-5-15 and agency policy/practice if the move is a demotion.

- c) If a classification salary study action results in a change in the pay grade for any employee receiving a temporary in-grade increase, the conditions for the in-grade increase must be revisited/reconsidered.

8. **Extending a Temporary Increase.** A new request must be submitted.

9. **Temporary to Permanent Increase.** A new request must be submitted.

10. **Transfers.**

a) An in-grade pay increase should only be given to an employee who is being transferred (i.e. moved to another position in the same or similar job classification on the same pay grade as the employee's current position) when:

- * The transfer (within the same agency or to a different agency) requires an employee to move his or her residence and, without an increase in pay, the employee would lose money.

- * The transfer is within the same agency and, even though the work could officially (by classification standards) be considered to be the same, the agency places a premium on the work/position to which the employee is being transferred.

b) In-grade pay increases for transferred employees may be either permanent or temporary depending upon the reason for which the increase was given.

11. **Effective Dates:**

The effective date will be the first date of the pay period in which the request is received or a future pay period as requested by the agency.

12. **Funding:**

In-grade pay increases are to be **funded within an agency's existing budget**. Examples of how agencies could pay for these increases include:

- a) Leaving positions open or eliminating positions, as they become vacant.

- b) Downgrading vacant positions.

- c) Using monies saved by filling vacant positions at a lower salary step, paying less than what was paid to previous incumbents.

13. **In-Grade Movement:**

No classified employee is to be moved to a dollar amount beyond step 15 of the pay grade to which the employee's position is currently assigned and no unclassified employee will be moved to a dollar amount beyond the maximum assigned to the respective job title.

14. **Updates:**

This agency will comply with any changes to the guidelines from the Division of Personnel Services or the Executive Directive as they are received.

PROCEDURES

1. **Internal Process**

- a) Requests are to be on the attached form and submitted to and endorsed by the respective program or department director.

- b) The request is then submitted to the agency State Human Resource Director (SHRD). The SHRD will review the request to ensure its completeness and compliance with the executive directive and agency

policy requirements and forward the request to a committee comprised of the Special Assistant to The Adjutant General (TAG) or designee, the Comptroller and one other senior manager appointed by the TAG for a designated period of time. In addition, up to three (3) senior managers will be selected by the TAG to serve as back-ups to ensure an informed committee of three is available to act on a request in a timely manner.

- c) The committee may request additional information or clarification on requests, past practices, etc. in order to make sound informed decisions.
- d) The committee will recommend to the Adjutant General or designee whether the request should be submitted to the Department of Administration or the Governor's Office and the amount of the increase.
- e) When the agency decision has been made the original documents with the written decision will be returned to the SHRD for the external required approvals, processing of approved increases and/or notification to the respective director/program manager of the final approval or denial of the request.

2. External Clearance Actions:

- a) Agencies must receive approval from the Department of Administration's Division of Budget and the Division of Personnel Services prior to providing an in-grade pay increase for *classified* employees.
- b) *Unclassified* wages must be requested and approved by the Governor's Office.

3. Grieveable:

Any employee, who feels he or she has been disadvantaged by not receiving an in-grade pay increase when others do, or by not receiving a comparable increase when circumstances are comparable, is encouraged to discuss the matter with their supervisor or manager. An employee may also file a grievance within the agency to obtain an equitable outcome or an appropriate hearing and/or response

- 4. For questions or special circumstances contact State Human Resources.

THE ADJUTANT GENERALS DEPARTMENT OF KANSAS
Deputy Chief of Staff Information Management
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA KANSAS 66611-1287

AGKS-J6

23 May 2005

MEMORANDUM FOR State Employees of the Adjutant Generals Department

SUBJECT: Information Technology Policy

1. As we move forward in the information age with new computers, software and network we must ensure our systems are compatible and secure in accordance with the information security requirements in AR.380-19. The Director of Information Management (DOIM) is the single point of contact for all matters pertaining to computer systems or networks.
2. Please read and sign the State Information Technology Policy attached. The signed copy will be placed individual personnel folders.



Henry M. Martin
Col, AG
J6

State Information Technology Policy

Notice and Consent

Use of this Government Computer System constitutes consent to monitoring of the system. Please use this technology responsibly. The contents and communications of this information system, including electronic mail (E-mail) and Internet access, may be monitored for inappropriate use. Inappropriate use may result in disciplinary action up to and including termination of employment.

Purchase and Acquisition

The Director of Information Management (DOIM) will review all purchases and acquisition of computer equipment and peripherals for this agency, in order to meet user and network requirements. All offices must coordinate with DOIM through their supervisory chain for purchase of computer systems or software and use of personal software (e.g., use of AOL on a government laptop). Violation of this policy may result in disciplinary actions.

Computer Use Policy

- Government provided hardware and software are for conducting official government business. Supervisors may authorize personnel to use government resources to further professional and technical knowledge if it is determined to be in the best interest of the agency.
- You are accountable and responsible for any transmission you generate, forward, copy, or distribute.
- Electronic communications are not confidential.
- Use of electronic communication (E-mail and Internet) are subject to official agency monitoring, and misuse may result in disciplinary action or criminal prosecution.
- The following activities involving the use of government computer hardware/software or network systems are specifically prohibited:
 - Storing, processing, displaying, sending, or transmitting language or material that is derogatory, discriminatory or offensive (e.g. hate or racist literature or symbols), obscene (pornography or sexually explicit), or sexually harassing material.
 - Storing or processing copyrighted material (including cartoons) unless approved by the author or publisher.
 - Activities for personal or commercial financial gain (e.g. sale of commercial or personal property).
 - Participating in "Chat Lines" or open forum discussion
 - Using another person's account or identity
 - Viewing, changing, damaging, deleting, or blocking access to another user's files or communications without appropriate authorization or permission.
 - Attempting to circumvent or defeat security or auditing systems without prior authorization or permission (such as for legitimate system testing or security research).
 - Installing, copying, storing, or using unauthorized software.
 - Permitting any unauthorized individual access to a government owned or operated system.
 - Modifying or altering the network operating system or system configuration without first obtaining permission from the administrator of that system.
 - Simultaneously being connected to the local area network AND a dial-up Internet service provider (e.g. AOL). This opens the system to outside intrusion.
 - Processing of classified information on any system not approved for classified information.
 - Connection of any non-agency owned equipment with out the written permission of the DOIM.
- Prior to an individual being granted access to a government network, they will sign a statement acknowledging they have reviewed and understand the provisions of this policy. Each individual's immediate supervisor is responsible to ensure that this occurs prior to system access.

I have read and understand this policy. I understand all information, including personal information, placed on or sent over this system may be monitored.

Signature

Date

State Human Resources Bulletin

Subject: *Leave-General*

Reference: *K.A.R. 1-9*

01-01

1. General Provisions:

- a. The various kinds of leave (Vacation, Sick, Military, Without Pay) are benefits provided by the State of Kansas.
- b. The use of these benefits is *dependent upon supervisory approval*. Supervisors should not be arbitrary or unreasonable in granting leave requests. *However*, approval of leave requests is not guaranteed, even when the employee has leave 'on the books'.
- c. Leave hours requested may be approved in full, approved partially or totally denied, depending upon the circumstances and the work load, staffing and commitments of the organization.
- d. Leave is not accrued until the end of a bi-weekly pay period (Saturday midnight) and can not be used until the beginning of the new pay period (Sunday 12:01 AM).

2. Leave Requests:

- a. Use of accrued leave must be requested in advance, using OSHR-P2, State Employee's Leave Request Form.
- b. In cases of *emergencies and/or unexpected incidents* which require immediate attention, leave must be requested via a telephone call to the immediate supervisor within thirty (30) minutes of the scheduled work shift or as otherwise designated by division, worksite, unit or immediate supervisor.
 - Calls must be made by the employee to his/her immediate supervisor, second level supervisor or other designee.
 - Calls are not be made to, or accepted by, co-workers.
 - Calls will not be accepted from family members or friends unless the employee is incapacitated.
 - The leave request form must be completed no later than the first day the employee returns to work.
- c. With the **exception of pre-scheduled** vacation, overtime compensatory and holiday compensatory leave and the discretionary day, ***all leave requests must indicate a specific reason for the leave***. The reason must be entered in the appropriate block on the leave request form – flat tire, pipe burst, broke arm, etc.
- d. The reason "Sick" is not enough. The reason must state the type of illness or circumstance – Dr. appointment, flu, head cold, etc.

3. Sick Leave:

- a. Sick leave may not be used for any reason other than an employee's illness and doctor's appointments and illnesses and doctor's appointments of family members, which reasonably require the employee to be absent from work.
- b. Sick Leave usage of three or more consecutive days requires a statement from a physician.
- c. An individual may be required to provide a physician's statement for any request or period of sick leave usage.
- d. Sick Leave may not be used as a substitute for Vacation Leave and/or Leave Without Pay (LWP).

4. **Military Leave (MIL):**

- a. MIL is authorized for employees that are members of a reserve component. Twelve days of Military Leave are authorized per calendar year for “active duty training purposes”.
- b. It is the responsibility of the employee to provide his/her supervisor with military orders for ‘active duty for training’, in advance, to accompany the State of Kansas Time and Leave Document (timesheet) and leave request form.
- c. When orders are not provided in advance, the employee must provide them prior to MIL being approved and entered onto the employee’s timesheet.
- d. Not all military orders meet the requirements for use of MIL leave. In those cases the employee may request use of other leaves (with the exception of sick leave), the discretionary day or LWP.

5. **Leave Without Pay (LWP):**

LWP will not be authorized except under extenuating circumstances and must be requested in advance (except for emergencies or unexpected incidents) using the OSHR-P2 Form.

6. **Unauthorized Leave:**

- a. When any, or all requested leave is unauthorized/denied and the employee does not report or stay at work, the employee will be considered ‘Absent Without Leave’ (AWOL). This means the employee may not use leave or their Discretionary Day.
- b. Additionally, the employee may be subject to informal and formal disciplinary actions.

State Human Resources Bulletins are designed to provide a quick reference and/or clarification on state or federal regulations or laws and serve as operating procedures and practices until more formal, detailed agency policies and procedures are published.

References

Policy

When feasible, employees injured on or off the job, will be provided an opportunity for light duty on a temporary basis. This should assist: a) employees return to full duty more quickly, b) worksites complete required responsibilities and c) the agency contain workers' compensation costs. The opportunity for light duty is not a right and there is no guarantee of light duty or the continuation of light duty.

Procedures

1. An employee with temporary restrictions must provide the worksite with a completed Temporary Work Capacities Form (TWC) signed by a licensed medical professional describing the specific temporary restrictions and the expected duration of those restrictions. If there are questions concerning the restrictions, the State Human Resource Office (SHRO) will clarify them with the licensed medical professional. That clarification process may delay a light duty decision.
2. In determining if light duty is feasible, various factors are taken into consideration, i.e: the type and length of the restrictions, the background and skills of the individual employee, the parts of his/her regular position which can be performed within the restrictions, availability of productive light duty in other sections of the worksite or agency, the amount of time to complete any potential light duty tasks, the number of employees already on light duty, length of time to train an individual on a light duty assignment, budgetary impact, staffing, etc.
3. The employee, supervisor and/or other management personnel may need to go over individual tasks and discuss the likelihood of the employee performing each task safely, competently and in a timely manner.
 - a. If the supervisor, worksite manager or appropriate management designee determines that light duty **can be** accommodated and the Temporary Work Capacities (TWC) form* is at the worksite, the designee may complete the Agency Only-Worksite section and forward it to SHRO for its records.

If the form is not at the worksite, the following information is sent to SHRO for its records: **Name of employee, Light Duty Start Date, End Date, Work Schedule, Duties and Location of light duty.**
 - b. If the worksite does **not have light duty or does not recommend** accommodating light duty, the reasoning for that decision is submitted to the SHRO Director. If the Temporary Work Capacities (TWC) form* is at the worksite, the management designee may complete the Agency Only-Worksite section and forward it to SHRO for review.

If the form is not at the worksite, the **reason(s)** for not placing an employee on light duty is sent to the Director of SHRO.
 - c. If SHRO does not agree with the recommendation of "no light duty," the director will contact the respective directorate/division director to resolve the issue.
4.
 - a. Unless otherwise approved for extenuating circumstances, the amount of time spent working on light duty is 30 calendar days.
 - b. The 30 day period commences with the first day the employee is placed on a light duty assignment.
 - c. However, longer periods of time, up to a total of three (3) months, may be approved in consultation with SHRO Director, if it appears to be in the best interest of the agency.

5. An employee on light duty must be productive. If there are only four (4) hours of light duty work available each day, then the employee would only be scheduled four (4) hours a day. At no time is an employee to be placed on light duty and have nothing or very little to do.
6. Light duty can be continuous or intermittent based on the needs of the agency.
7. An employee on light duty may be reassigned to another light duty assignment, within or outside their directorate, at any time as determined by management.
8. A light duty job may be performed by one employee or divided among several employees at the discretion of worksite management.
9. If a light duty assignment is on a different shift, the worksite may need to provide the employee an opportunity to make arrangements in their personal life before beginning light duty.
10.
 - a. Employees may be removed from light duty assignments if they are not performing at an acceptable level or for other sufficient reasons, such as unacceptable attendance while on light duty, budget constraints, etc.
 - b. The determination of removing an employee from light duty is made by the manager or designee after the employee has been informed of the deficiency and given an opportunity to improve. If there is no immediate, acceptable level of improvement, the management designee will evaluate the situation and make a determination regarding the continuation or reassignment of light duty.
 - c. If it is determined to remove (or reassign) an employee from his/her light duty assignment, the employee will be advised and a brief written notice explaining the action and when it occurred is sent to SHRO for its records.
11. Any employee not complying with his/her restrictions will be removed from light duty. The manager or designee, after evaluating reports of noncompliance, will make a determination whether an employee has or has not complied with his/her light duty restrictions and whether or not he/she will continue on that light duty assignment.
12. Employees with permanent restrictions which could affect the performance of essential functions of their job will be evaluated by SHRO for coverage under the American with Disabilities Act (ADA). If it is determined that an employee is covered under the ADA, SHRO will contact worksite management and the employee to explain that process.
13. Any exceptions to these procedures may be requested and approved by the Director of SHRO. The merits of which will be taken on a case-by-case basis.

OPR: Director of SHRO

References

K.S.A. 75-2925 thru 2945, 75-2935b and 75-2955
K.A.R. 1-6
Department of Administration Bulletin 03-01

Policy

1. To recruit and select the most qualified, suitable, highly effective employees in a timely manner.
2. To comply with applicable state and federal equal employment and civil service related laws, statutes, regulations and guidelines and sound interviewing and selection practices.
3. To provide fair and consistent access to jobs and promotional opportunities.
4. To utilize selection processes that fairly assesses the capacity and fitness of applicants to perform specific duties.
5. To provide consistent and equitable starting and promotional wages.
6. To maintain appropriate and sufficient documentation.

Definitions

1. **Benefits Eligible Positions:** Positions which are established to work 20 or more hours per week.
2. **Transfer:** Changing from one position to another position with a close similarity of duties, essentially the same basic qualifications and the same pay grade. (This does not apply to changes from unclassified to classified positions.)
3. **Division Director:** The position designated as fully responsible for a large or significant organizational unit, including funding.
4. **Classified Positions:** Classified positions have protection under the Civil Service Act. An applicant for a classified position must meet the minimum requirements for the position to be certified as eligible for the position. From the certified list of eligible candidates, agencies select a group of candidates to interview for the position. If selected, the successful applicant is placed on the pay matrix in the pay grade that is assigned to the job class. Once a classified employee completes an original probationary period and attains permanent status, he or she has appeal rights to the Civil Service Board if disciplinary action is taken against them.
5. **Unclassified Positions:** Employees in unclassified positions, in most cases, are selected by the appointing authority and approved and appointed by the Governor. Employees in unclassified positions do not have appeal rights to the Civil Service Board and are considered to be "at will" employees. These employees are not placed on the pay matrix but are paid at a salary approved by the Governor.

Procedures

1. **Vacancies:** Vacancies occur when a new position has been officially established or an employee officially separates from an existing position.
 - A. **Resignations** from the Adjutant General's Department.
 - (1) The *employee* completes and submits a "[Notice of Resignation](#)" form to management, preferably the immediate supervisor.
 - (2) The *immediate supervisor:*
 - Completes an "[SHRO Transaction Request Form](#)" (referred to as the Green Sheet),
 - Attaches the written resignation to it,
 - Obtains the Division Director's signature and
 - Submits it to State Human Resources Office (SHRO).

B. Voluntary Transfers and Demotions

- (1) The *employee* provides a written, signed statement to management, preferably the immediate supervisor, requesting the desired action.
- (2) The immediate supervisor may approve or disapprove the request. If approved, the supervisor:
 - Completes a [Green Sheet](#).
 - Attaches the employee's signed transfer or demotion request,
 - Obtains the Division Director's signature and
 - Submits it to SHRO for approval.

C. Employer initiated position separations:

- (1) Competitive promotions, competitive or management initiated transfers, or competitive demotions require the internal hiring supervisor to complete and submit a [Green Sheet](#) to SHRO as described above.
- (2) Dismissal and Job Abandonment. The immediate supervisor requests termination by completing a [Green Sheet](#) as described above accompanied by supporting documentation to the SHRO director. The Adjutant General (or designee) is the only one with the authority to dismiss an employee and may do so after following the appropriate process.

2. Pre-Advertising:

- A. Funding Verification.** Funding is to be verified with the Comptroller's Office or designated funding controller, even when replacing an existing position. This is done in order to ensure that there continues to be adequate funding for the position as changes in budgets, use of Federal or State money or other payroll expenses could affect the availability of funding. (A request to fill should only be submitted to SHRO **after** the verification of available funding.)

B. Position Description Review.

- (1) The immediate supervisor reviews the most recent position description to ensure it adequately reflects the work performed.
- (2) If the duties have changed, the position description is rewritten and submitted to SHRO for review.
 - a) If the position is "**classified**" and it appears reallocation may be appropriate, additional information is gathered and a request for reallocation is submitted to the Division of Personnel Services.
 - b) If the position is "**unclassified**" and it appears a title change may be appropriate, additional information is gathered and submitted to SHRO for a title code determination.
- (3) In addition to job tasks, position descriptions should reflect:
 - a) Job-related minimum qualifications
 - b) Desired qualifications and/or special knowledges, abilities, skills and/or personal characteristics,
 - c) Any specialized requirements, i.e. required licenses, types of security clearance, drug screens, physical abilities, etc., and
 - d) Any post employment requirements, i.e. completion of required training or certifications within pre-established timelines.

C. Transfer Option.

- (1) With SHRO approval, worksites/program/units may post an internal **transfer** opportunity within a respective organizational unit. This allows for the changing of shifts, work schedules, locations, job tasks, etc., among existing staff of the same job title. After any transfers are approved, the position that is ultimately vacant will be formally advertised.
- (2) When doing this, a written posting of a transfer opportunity is to be placed in a conspicuous place(s) and/or all eligible employees personally advised of the transfer opportunity.
 - a) If posting, a deadline must be specified.
 - b) If directly contacting all eligible employees, the supervisor or designee will either provide SHRO with a written statement verifying that all appropriate employees were contacted or list of those employees contacted with the dates and times of the contacts. This is to be done prior to the approval of any transfer.
- (3) Management is not obligated to approve a transfer request.

- D. **Voluntary Demotion Option.** Occasionally, for personal and/or work related reasons (i.e. shift, work schedule, travel, etc.) an employee desires a demotion. An employee must submit a written request to the supervisor. The supervisor, with the approval of their chain of command and SHRO, may grant the request if it is believed to be in the best service of the agency. If approved, the position vacated by the employee will be submitted for advertising.
- E. **State of Kansas Classified Employee Preference Program.** The State Employees Preference Program, K.A.R. 1-6-23, for *classified* positions will be followed prior to consideration of any other hiring options.

3. **Initiating Advertising:** Complete the “[Green Sheet](#).”

- A. Select “**Advertising.**”
- B. **Advertising options:** Generally vacancies will be open to both internal and external applicants. However, if a sufficient number of suitable Adjutant General Department *state* employees and/or other state employees are anticipated, the advertising may be restricted.
 - (1) ***AG Dept.** - Open to all present State employees of the Adjutant General’s Dept. only.
 - (2) ***Statewide Internal** – Open to all State employees.
 - (3) ***Public** – Open to anyone. (*Select this option to be able to consider Guard members.*)
 - (4) **Paid Ads (i.e., employment websites, newspapers, trades publications)** – Designate specific advertising sources. (*The cost of ads is paid for by the respective worksite.*)

* *Generally all job postings are placed on the State of Kansas website at no cost to the worksite.*
- C. **Remarks:** List any special qualifications or job perks in the “Remarks” section of the [Green Sheet](#) located towards the bottom of the form
- D. The [Green Sheet](#) is **signed** by the supervisor and the respective division director. By signing, these individuals verify that the position description still adequately describes the position, the minimum qualifications as stated on the position description are accurate, that funding is still available for the position and there is money for any paid advertising desired.
- E. The [Green Sheet](#) is then **submitted** to SHRO (with an AGO 503 form **if** paid advertising is desired). In addition, a copy of the most current position description is to be submitted *electronically* to SHRO. (This may be waived for worksites with multiple, identical positions if an electronic copy is already on file in SHRO.)

4. **Posting/Application Periods:**

- A. The *minimum* period for accepting applications is seven (7) calendar days. A longer period may be requested or the application period may be “open continuously” and then closed at a future date without notice.
- B. All internal vacancy lists distributed by SHRO must be posted in an area that can be viewed by all employees and/or distributed to all employees.
- C. Application periods may be extended or late applications accepted as determined by the supervisor and SHRO.

5. **Ads:**

- A. If paid advertising is desired, the supervisor submits an AGO 503 form with the [Green Sheet](#) and SHRO will forward it to the State Comptroller’s Office.
- B. The supervisor in collaboration with SHRO will determine the final placement of ads.
- C. SHRO will draft ads, forward them to the supervisor or designee for review and approval and submit them to the selected source(s). All ads need to include special requirements, i.e. valid driver’s license, KBI and other security clearance checks, drug screens, etc.
- D. SHRO or the advertising vendor(s) will provide specific cost information to the worksite.
- E. The cost is to be approved by an authorized worksite or program staff member prior to running an ad.

6. **Employee Preference Program:** Vacancies in regular *classified* positions are subject to the [Employee Preference Program](#) (EPP) as outlined in K.A. R. 1-6-23. Therefore, when a classified position is advertised there is the possibility that the position will be filled by an EPP individual without competition.

7. **Evaluation of Applications**

A. Once the application deadline has passed, SHRO reviews application materials, checks for minimum qualifications and then notifies the supervisor of the number of qualified applicants including those with verified Veteran's Preference*.

B. Veteran's Preference (VP): K.S.A. 75-2955

(1) *Classified* positions: Per K.A.R. 1-6-21, any applicant applying for a regular classified position who meets the civil service minimum qualifications for the position and the State's personnel definition of a "veteran" will be granted an interview *unless* the veteran was dismissed or did not resign in good standing from state service.

(2) *Unclassified positions.* Although applicants for *unclassified* position are not covered under K.A.R. 1-6-21, the agency will attempt to meet the intent of veteran's preference for unclassified vacancies. Since many of our applicant pools include a significant number of qualified veterans, it would not be feasible or practical to interview every veteran. Therefore, we will meet the intent by the following:

- Any applicant applying for an unclassified position who meets the minimum qualifications for the position and the State's regulation definition of a "veteran" will be granted an interview as described above *except* in cases where it would not be feasible to interview every qualified veteran due to the number of qualified applicants who are veterans.
- In those cases VP will be given to qualified veterans by adding bonus points to their screening scores. Bonus points will equal 5% of the total number of points possible on the screening mechanism. (Example: A 100 point screening mechanism would add 5 points to the veteran's screening score.)
- The agency reserves the right to not consider veterans who: a) have been previously interviewed and b) have unacceptable references and/or work history.

Note: The hiring process will not be delayed waiting for receipt of DD-214s to verify VP.

8. **Screening for Interviews:** If further screening is desired, SHRO and the immediate supervisor will develop a job related, written screening mechanism and screen candidates for interview. SHRO will notify those applicants not selected for interview.

9. **Selection Instruments - Interview Questions/Work Sampling Exercises, etc**

A. Selection instruments may include ratings of training, experience, and other qualifications; written tests; performance tests; interviews; physical fitness tests; assessment center evaluations; medical examinations; or other selection procedures related to the work of the vacant position. For classified vacancies, the agency shall make all selection instruments, procedures, records, or other selection materials available to the Director of the State Division of Personnel Services upon request.

B. Interview questions and other selection instruments are to be drafted by the supervisor in the standard format ([Appendix C](#)), with assigned point values. SHRO will provide assistance, [sample questions](#) and/or "A Guide to Interviewing" ([Appendix B](#)) upon request. (See [Appendix C](#) for examples of [behavioral](#) and [performance skill questions](#).)

C. The point values for each question are to reflect that question's or series of questions overall value/importance to the respective job.

D. There are mandatory questions which supervisors are to include when drafting a set of questions. ([Appendix C](#).)

E. Selection instruments are submitted to SHRO for review and approval prior to interviewing. Although not required, it is most helpful in evaluating responses to have the desired answers for each question in writing prior to interviewing.

- F. SHRO reviews the questions to ensure that there are no illegal or improper questions, that the correct minimum wage is quoted and that any less traditional selection instruments (i.e. work sampling) will be properly used.
 - G. Upon request SHRO will also review the selection instruments for job relatedness, compliance with legal standards, potential to distinguish the most knowledgeable and/or desirable candidates from those least knowledgeable and/or desirable.
 - H. Applications will not be released to the supervisor until selection instruments are approved by SHRO.
 - I. If the interview questions are identical to those approved for the same position the previous time it was open, the supervisor may state in the Remarks section of the [Green Sheet](#) and not be required to submit another set of questions.
- Option:* On an approved exception basis, a supervisor may opt to not assign point values or have the selection instrument reflective of items listed in B, C and G above. In doing so the supervisor then accepts full responsibility for any repercussions that may occur.

10. **Interview Teams**

- A. The immediate supervisor provides the names of the team to SHRO.
- B. Generally, the interview team consists of three (3) interviewers who are at higher wage ranges than the position being filled. All interviews must be conducted by the same team members. Substitutions cannot be made once interviews have commenced. If a team member is unable to complete all the interviews, his/her score sheets will not be used and the selection will be based on the scores and assessments of the remaining interviewers.
- C. The chairperson of the interview team is the immediate supervisor.
- D. Other members of the interview team should, as much as possible, be reflective of the applicant pool and workforce with respect to gender, race, etc.
- E. Interview team members may be individuals outside this agency, i.e. staff from other state agencies or community entities that work closely with the position being filled or are considered subject matter experts.
- F. When internal applicants are in the interview pool it is recommended that one member of the team be an individual who is not part of the immediate organizational unit and who does not know or work with the applicants being interviewed.
- G. SHRO will assist in securing non-agency interview team members upon request.

11. **Interview Packets.** Once the candidates for interview are selected and interview questions finalized and approved, an interview packet will be provided to the supervisor. The packet will contain all the necessary interview materials, including the applications of those to be interviewed and [“Guide to Interviewing.”](#)

12. **Scheduling Interviews**

- A. The immediate supervisor is responsible for selecting the dates and times of the interviews, securing a location and scheduling candidates. Candidates should have at least a two (2) day notice of interview dates.
- B. When scheduling interviews, the following must be documented: dates and times of candidate contacts and attempted contacts, any messages left and by what means messages were left, i.e. answering machine or name of person taking message. SHRO is to be notified of any candidate unable to be reached for interview. If time permits the supervisor may send written notifications of the interview date and time.
- C. When scheduling, candidates should be informed to arrive approximately 15-20 minutes prior to their scheduled interview time in order to sign forms, read the position description and organizational information and/or familiarize themselves with the interview questions. If work sampling exercises are being utilized, candidates should be advised as to how much earlier to arrive in order to ensure there is a reasonable amount of time to complete the exercises.
- D. If a candidate cannot interview when originally scheduled and requests an alternative date and/or interview time, if at all possible the interview team should try and accommodate the candidate with at least one alternative time.

In circumstances where an alternate day and/or time are not possible, the supervisor should notify SHRO immediately.

- E. If a candidate is late, calls the day of the interview requesting a reschedule or is a “no-show” and calls later to request another interview, the granting of another interview is at the discretion of the interview team.
- F. Phone interviews are permissible. SHRO must be notified in advance in order to advise on proper procedures.

13. Pre-Interview

A. Interview Team:

- (1) Interview team members are required to sign and abide by the [Confidentiality Agreement](#).
- (2) Interviewers need to **review each application prior** to the interview to determine if there are any questions regarding the information, or lack thereof, in an individual’s application materials. **Members should then request specific clarification from the candidate** as opposed to making personal assumptions. Interviewers should do this prior to the conclusion of the interview.
- (3) Common areas of clarification include: reason for leaving previous positions, more thorough description of duties performed, breaks in work history, names of immediate supervisors and phone numbers, etc.
- (4) **Each interview** team member will be provided a set of identical questions which contains space for documenting and scoring the content of the candidates’ responses.
- (5) Interviewers are to familiarize themselves with the questions and determine by whom each question will be asked. To maintain a fair playing field, interviewers should adhere to the same rotation and ask the questions in the same manner throughout the interview process.
- (6) When reviewing the questions prior to the first interview, there is a new question(s) the team wants to ask, they are to contact SHRO for approval. If approved, the question(s) is to be asked to all applicants.

B. Candidates:

Upon arrival, candidates are to:

- (1) [Sign a Release of Information form](#), Adjutant [General’s Department-State Application Supplement](#), [State of Kansas Tax Clearance Form](#), [Security Clearance Form](#) (and any other forms required of that particular position);
- (2) Be given the position description and selected policies to read; and
- (3) Usually be given an applicant version of the interview questions which does not contain scoring information.

Note: Candidates may make notes on their copy of the interview questions and take them into the interview.

Upon completion of the interview, the questions must be returned to the interview team.

14. Interviews

- A. Interviewers should make candidates feel at ease and make the interview more like a conversation than a rigid, verbal inquiry.
- B. Team members should ask any questions they have over a candidate’s application materials. Common questions may include: reasons for leaving previous positions, more thorough description of duties performed, breaks in work history, names of immediate supervisors and phone numbers, etc.
- C. Interviewers should maintain **eye contact** with candidates throughout the entire interview so as to avoid candidates talking to the tops of heads.
- D. Interviews are to be conducted in a consistent and legal manner.

- E. Interview team members may ask follow-up questions to a candidate's response in order to gain clarification of the response.
- F. Interviewers need not document verbatim each applicant's response but rather jot down enough of an answer to remember the content and essence of the response and to help assess the quality of responses consistently among the candidates.

15. **Post Interview**

- A. Team members total their respective points on each candidate, rank order them and record them on the "[Interviewer Ranking](#)" (referred to as the "Orange Sheet") form and then discuss differences in rankings and points among the interviewers.
- B. Selections should not be based on scores alone. Other factors may include, but are not limited to: position related communication skills, work history, specific experience, specific education & training, reference check results, skills of existing staff, professional appearance/hygiene, etc.
- C. After those discussions the team decides which candidate(s) will have reference checks performed.
- D. The team may also decide on their top choices in rank order in case the top candidate's references are not as favorable as desired.

16. **Reference Checks Required**

- A. Employment reference checks are required to be completed on the top candidate(s). (See **State Employee Reference Check form** often referred to as a "Blue Sheet")
- B. Only job references from a supervisor, someone in the management chain or a human resources office are acceptable. Personal references and those from co-workers are not acceptable and should not be considered.
- C. Generally reference checks are done covering the previous 10 years, on jobs which are directly related to the work performed in the vacant position and for any State job held by a candidate.
- D. In cases where the supervisor is unable to obtain a pertinent reference after concerted efforts SHRO is to be contacted for possible alternative reference sources. The attempts by the supervisor to obtain references should be recorded on a Blue Sheet and returned with the interview materials to SHRO. If possible, SHRO will also attempt to secure the information and provide a report to the supervisor.
- E. If there are any difficulties obtaining a reference from a state agency, SHRO should be notified immediately. SHRO will make the necessary contacts for the reference to be obtained.
- F. After the reference checks are completed a final selection recommendation is made.

17. **Selection Documentation**

- A. A [Candidate Interview Record](#) form (referred to as the "Yellow Sheet") is then completed by the supervisor. This form must accurately reflect the primary, distinguishing reason(s) for the selection or non-selection of each candidate, as well distinctions between candidates placed on an order of merit list.*
 - * If desired, a notation (or an attached order of merit list) specifying the priority order of applicants may be included on the Yellow Sheet in case the first candidate does not accept the job or if additional vacancies are anticipated in the near future.
- B. A [Green Sheet](#) is also completed on the selected candidate(s) and signed by the supervisor and the Division Director. In doing so, they are taking responsibility that the reasons noted on the Yellow, Orange and Blue sheets are accurate and verifiable.
- C. If the recommended wage rate is greater than the established minimum wage rate, a written justification for the higher rate must accompany the Green Sheet including a statement that there is adequate funding for the higher rate.
- D. All forms, as well as all interview materials, are returned to SHRO.

- E. If a selection is not made from those interviewed contact SHRO for options.

18. Human Resource Review/Approval/Processing

- A. SHRO will ensure all selection related materials are returned, agency policies and procedures followed, no nepotism issues need addressed, the requesting starting wage is correct and justified, and that appropriate reference checks were completed.
- B. If there are routine questions, omissions or other issues, SHRO will contact the chairperson of the interview team and/or other members of the team to attempt to resolve the concerns in an expeditious manner.
- C. If there are issues with a wage rate, SHRO will call and discuss the issue with the Division Director or designee. If an agreement is not reached, the issue is forwarded to The Adjutant General for a final decision.
- D. Requested hire or promotional wage rates for *unclassified* appointments which are greater than those pre-approved by the Governor, must be submitted by SHRO to the Governor's Office for approval.
- E. Once an appointment has been approved, SHRO will notify the supervisor to contact the candidate of choice. Job offers (and wage rates above the established minimums) are **not** to be made until approval has been obtained.

19. Offering a Job

After receiving approval from SHRO, the supervisor will contact the candidate(s) of choice and given a conditional offer of employment, and if necessary, make arrangements to have the candidate complete the necessary paperwork and be fingerprinted for the appropriate security clearance for the position.

- 1. Individuals selected for employment will be given a conditional offer of employment pending the results of their SAC/NAC.
- 2. **Results of the SAC/NAC.** Individuals who receive:
 - A. A '**Favorable**' result and only need a SAC/NAC may begin work according to the information listed under "Starting Dates" below..
 - B. A '**Favorable**' result and require a **NACI** will be given a tentative start date pending the results of their NACI.
 - C. A '**Favorable**' result and require a **Secret or higher level clearance** will be given a tentative start date pending electronic submission of their background information on e-QIP.
 - D. '**Concerned**' result will be requested to provide additional information and/or documentation.
 - E. '**Unfavorable**' results will have their conditional offers of employment or their potential association with the agency withdrawn.

20. Starting Dates

- A. **New hires** to the State may begin work until on any day; however hiring the last few days of a pay period is discouraged.
- B. **Present state employees** moving to or from the *same type* of position with respect to benefits (i.e. 999-hour or position with benefits) and overtime eligibility (i.e. exempt/salaried or non-exempt/hourly), must start at the beginning of a workweek, *preferably* at the beginning of a pay period.
- C. **Present state employees** moving to or from a *different type* of position with respect to benefits (i.e. 999-hour or position with benefits) and overtime eligibility (i.e. exempt/salaried or non-exempt/hourly), **MUST** start at the beginning of a pay period.

21. Post Job Offer

- A. The supervisor will contact SHRO with the hire date and coordinate a time and date for the "signing in" process.
- B. SHRO will provide written notification to all non-selected candidates.
- C. Announcement of the selected candidate(s) should not be made until notification of all non-selected candidates has occurred.
- D. **Note:** If additional openings occur in the same position classification/job title after a selection has been completed, additional candidates *may* be hired from the previous set of interviews, if the selection occurs within

60 days of the closing date or last accepted application (whichever is longer). The 60 day limit may be extended for the filling of *unclassified* positions but not to exceed 90 days unless there are compelling reasons and SHRO approves the request.

22. Summary of Supervisor's Responsibilities:

A. The immediate supervisor (or designee) is responsible for:

- (1) Submitting the [Green Sheet](#) for separations and recommended selections with any appropriate supporting documentation through the designated chain of command to SHRO.
- (2) Submitting a current position description.
- (3) Ensuring that adequate funding is still available through the designated chain of command.
- (4) Drafting interview questions, work sampling exercises or any other desired selection instruments and submitting them to SHRO for approval.
- (5) Assisting with the screening of applicants, if necessary.
- (6) Securing an interview team.
- (7) Selecting the location, dates and times of the interviews
- (8) Scheduling candidates for interview.
- (9) Conducting interviews.
- (10) Facilitating the discussion and selection recommendation.
- (11) Performing post-interview reference checks on the top applicant(s).
- (12) Making a recommendation for hire by completing the appropriate paperwork and returning all selection materials to SHRO through the designated chain of command for approval.
- (13) Providing additional follow-up as requested by SHRO.
- (14) After receiving approval from SHRO, making the job offer and setting a start date.
- (15) Contacting SHRO with the starting and scheduling a "Signing In" time.

B. Supervisors not complying with this policy or choosing any of the designated options accepts full responsibility for any repercussions that may occur and may have greater restrictions placed on them for filling future vacancies.

23. Any exceptions to this policy and its procedures may be requested and approved by the Director of SHRO. The merits of which will be taken on a case-by-case basis.

EFFECTIVE DATE: 12/2006; Rev: 4/2010

OPR: Director of SHRO

TAG – State Human Resources Policy and Procedures

**SECURITY -
Security Clearances**

References

DoD 5200.08-R, Change 1 5/27/2009
 DoD 5200.2-R, June 2002 (Draft)
 NGB Executive order 10450, 27 April 1953
 NGB Regulation, AR 25-2, 11 November 2003
 NGB Memorandum 14 April 2004
 Army Regulations 25-2 Chapter 4, section V

Policy

1. In order to comply with United States Department of Defense (DoD) requirements and ensure the safety and security of the missions, programs, property and employees of the Adjutant General’s Department, employees and volunteers must obtain and maintain the level of security clearance assigned to their respective work.

Sensitivity Level	Type of Clearance	Type of Check	Job Criteria Guidelines.
N/A	Suitability Determination (None or Confidential)	SAC or NAC*	Minimum for every State employee & volunteer. This includes temporary and seasonal persons.
Nonsensitive	Suitability Determination (None or Confidential)	NACI	Minimum for every State employee & volunteer with access to the computer network. This includes temporary and seasonal persons.
Noncritical Sensitive	Secret (S)	ANACI	Minimum for persons, who in the normal course of their job have access to, or need access to: <ol style="list-style-type: none"> 1. Classified information. 2. Information on, including the movement of, senior leadership. (TAG and other Generals) 3. Schematics and detailed designs of the buildings on the Joint Forces Headquarters Complex. 4. Social Security Numbers, other confidential personal information, or confidential agency data or information. 5. Information Technology network administrative rights.
Critical Sensitive & Special Sensitive	Top Secret (TS) & Single Scope Background Investigation (SSBI)	SSBI	Persons <ol style="list-style-type: none"> 1. With unrestricted access to computer network data centers 2. With access to a certified Sensitive Classified Information Facility (SCIF.) 3. With access to sensitive national security information 4. Others required by the TAG, DoD &/or Security Mgrs

* SAC is the term used by the Army Guard and NAC is the term used by the Air Guard

2. For each position/individual a level of clearance will be determined by the respective Security Manager in conjunction with the respective division director or worksite manager.
3. If clearance levels or the respective criteria change, individuals must meet the new standards.
4. Persons must receive a favorable NAC/SAC before they can begin working/volunteering.
5. Prior to being appointed to any position/association requiring a higher clearance level than an individual presently possesses, he/she must complete and submit the appropriate background information for the higher level background check.
6. A clearance decision can be overturned at any time, if at a later date, it is revealed that a person lied or concealed information during any part of the clearance process.

7. The type of clearance and/or background investigation for:
 - A. Benefits eligible employees will be identified in the State position description form DA 281-2.
 - B. Non-benefits eligible employees will be identified on the SHRO Transaction Form (Green Sheet.)
 - C. Volunteers will be identified in a memo from the supervisor notifying the State Human Resource Office (SHRO) of the future volunteer.
8. Persons already possessing a valid national security clearance recognized by the DoD will not need a new SAC/NAC, NACI or ANACI equivalent. Valid military clearances remain active for two (2) years after separation. Any equivalents must be submitted at the time of the conditional offer of employment.
9. A minimum background investigation (SAC/NAC) consists of a: a) search of investigative files and other records held by federal agencies such as the Federal Bureau of Investigation (FBI) and the Office of Personnel Management (OPM); b) fingerprint check and c) credit search. A SAC/NAC background check is also the first step in the clearance process for individuals requiring a higher level background check or clearance.
10. Four (4) criteria definitely resulting in a clearance denial are:
 - A. Conviction of a crime and sentenced to prison for more than one year
 - B. Currently an illegal user of, or is addicted to, a controlled substance
 - C. Mentally incompetent
 - D. Discharged or dismissed from the armed forces under dishonorable conditions.
11. Other variables taken under consideration in clearance determinations include:
 - A. Allegiance to the United States;
 - B. Foreign Influence;
 - C. Foreign Preference;
 - D. Sexual Behavior - of a criminal nature;
 - E. Personal Conduct – truthful, trustworthiness, credible;
 - F. Financial Issues – inability or unwillingness to satisfy debts, unexplained affluence;
 - G. Alcohol Consumption Issues;
 - H. Drug Involvement;
 - I. Psychological Conditions – judgment, reliability, emotional stability;
 - J. Criminal Conduct;
 - K. Handling Protected Information;
 - L. Outside Activities – related to foreign or international activities;
 - M. Use of Information Technology Systems – illegal activities.
12. All candidates for employment and potential volunteers are required to acknowledge that they have been advised of the agency's security clearance and background check requirements.
13. Individuals selected for employment will be given a conditional offer of employment pending the results of their SAC/NAC.
14. **Results of the SAC/NAC.** Individuals who receive:
 - A. A '**Favorable**' result and only need a SAC/NAC may begin work at any time.
 - B. A '**Favorable**' result and require a **NACI** may begin work at any time with the understanding that if the result of the NACI is less than 'Favorable' their continued employment depends on the results of the adjudication process.
 - C. A '**Favorable**' result and require a **Secret or higher level clearance** will be given a tentative start date pending electronic submission of their background information on e-QIP.
 - D. '**Concerned**' result will be requested to provide additional information and/or documentation.
 - E. '**Unfavorable**' results will have their conditional offers of employment or their potential association with the agency withdrawn.
15. **Failure to Obtain a Clearance:** Failure to obtain and maintain a favorable SAC/NAC, as well as the designated type of security clearance/background check, may result in a job offer being rescinded, separation of employment, separation of the association with the agency and/or other actions as may be deemed in the best interest of the agency.
16. **Interim Clearance:** An interim security clearance may be granted to persons after receiving a favorable SAC/NAC while a full investigation of their NACI, ANACI or SSBI and final clearance decision are being processed.

- 17. **Common Access Card (CAC):** Individuals must receive a minimum of a favorable SAC/NAC to obtain a Common Access Card (CAC.) The only exceptions to this requirement are individuals who have a current national clearance recognized by the DoD.
- 18. **Computer Access:** ‘Temporary’ computer access may be granted after receiving a favorable SAC/NAC while a NACI, ANACI or SSBI is being processed. Persons must also sign the Information Technology policy. (*Attachment G.*)
- 19. **Renewal Interval:** Persons must successfully renew their required clearance level at designated intervals.

Type/Level of Clearance	Type of Check	Renewal/Investigation Interval
Suitability Determination (None or Confidential)	SAC/NAC	15 years
Suitability Determination (None or Confidential)	NACI	15 years
Secret (S)	ANACI	10 years
Top Secret (TS)	SSBI	5 years
Single Scope Background Investigation (SSBI)	SSBI	Varying individual lengths

- 20. **Self Reporting of Arrests and/or Convictions:**
 - A. All employees and volunteers must self report, within one working day of the event, any arrests and/or convictions. Individuals must provide verification, or a means to verify, the arrest and/or conviction.
 - B. Failure to make these reports may result in disciplinary action, up to and including, immediate dismissal/separation.
 - C. For additional policies and procedures regarding ‘Felony’ arrests and/or convictions please see policy ‘Security-Felonies.’
- 21. The State Human Resource Office (SHRO) will be responsible for this policy for State employees and volunteers.

Procedures

- 1. **Prior to selection of an employee or volunteer:**
 All candidates for employment and potential volunteers will be provided:
 - A. A ‘*Security Clearance Informational Summary*’ form (*attachment A*) and ‘*An Authorization of Release of Information to the US Office of Personnel Management*’ form (*attachment B.*)
 - B. After reading the summary form, if an individual is still interested in pursuing a position or association with the agency, he/she is to read, sign and return both the summary and release forms to his/her potential agency supervisor. These forms are then sent to the Assistant Director of SHRO (ADSHRO).
- 2. **Selection of an employee or volunteer:** Once:
 - A. A **Selectee** has been approved for hire by SHRO, SHRO will contact the individual or worksite designee to make a conditional offer of employment pending the results of a SAC/NAC.
 - B. A **Volunteer** has been identified; the supervisor of the volunteer will contact the ADSHRO with the volunteer’s contact information.
 - C. The ADSHRO or the worksite designee (i.e. Office Manager) will provide individuals with information and/or forms concerning the security clearance process.

3. **Required Forms** are submitted together to the respective Air Wing Security Manager or to SHRO for all others.

Type	Forms
SAC/ NAC & NACI	Fingerprints - Two (2) cards <i>(Attachment C -Locations)</i>
ANACI & SBI	1. Initially: <ul style="list-style-type: none"> a. Fingerprints – Two (2) cards b. Job application &/or resume which contains the names & contact numbers of supervisors. c. Request for Security Clearance <i>(Attachment D1 for Air/ D2 others)</i> 2. After receiving a ‘Favorable’ SAC/NAC result: <ul style="list-style-type: none"> a. e-QIP, Electronic Questionnaire for Investigations Processing b. Classified Information Nondisclosure Agreement-SF312 <i>(Attachment E)</i>

4. **Security Manager (Designee) Locations:** *(Attachment F)*

5. **SAC/NAC Timelines:** Once the packet (See #3 above) is received by the respective Security Manager, the results of the check should be known within two (2) weeks.

6. **SAC/NAC Results & Actions:**

A. **Favorable Results for ‘Confidential’ Clearances:** The respective Security Manager will provide the SAC/NAC approval date in writing to the ADSHRO. HRO in turn will notify the supervisor to contact the new individual and determine a start date.

B. **‘Favorable’ SAC/NAC Results for Individuals Requiring a NACI:** The respective Security Manager will notify, in writing, the ADSHRO with the SAC/NAC approval date.

1) The ADSHRO will then notify the supervisor that the employee may be contacted for a start date. When offering the job and before the individual makes his/her decision whether or not to accept the offer, the supervisor **must inform the candidate** that when the NACI result is received (which could take a couple of months) if the result is ‘Concerned’ or ‘Unfavorable’, the ability of the individual to work could be affected, including immediate termination.

2) **Interim Computer Access:** If the individual will have access to any agency computers or networks, the supervisor should also contact the respective Information Technology section to request temporary access.

3) **Common Access Card:**

- a. Individuals needing a CAC should be able to obtain their CAC within five (5) working days of the date their background check date was entered into the federal State Employee Database (SED.)
- b. Individual should contact their nearest DEERS location to ensure their CAC is available prior to going to the location.
- c. Individuals will need to provide specific identification documents required by the DEERS office, including one picture ID.

C. **‘Favorable’ SAC/NAC Results for Individuals Requiring an ANACI or Higher Level Background Check:**

1) The respective Security Manager will notify, in writing, the ADSHRO with the SAC/NAC approval date. The ADSHRO will then notify the supervisor that the employee may be contacted for a start date with the understanding that the individual:

- a. Before their first day of work, must complete and electronically submit their background information on e-QIP.
- b. On or before their first day at work, read, **initial each of the 11 paragraphs**, have witnessed and return to their respective Wing Security Manager or the ADSHRO (all others), a SF 312 ‘Classified Information Nondisclosure Agreement’ (CINA) *(Attachment E.)*

- c. Is made aware that when the ANACI or SSBI results are received (which could be months or over a year) if the result is 'Concerned' or 'Unfavorable', the ability of the individual to work could be affected, including immediate termination.
- 2) The respective Wing Security Manager or ADSHRO (all others) will contact the individual and explain the e-QIP process (See #7 on page 5) and instructions for completing the CINA form. The original completed CINA will be filed with the respective Security Manager. The ADSHRO will verify the e-QIP submission and receipt of the CINA. If either is missing, the ADSHRO will contact the supervisor and SHRO liaison and inform them that the individual may not start work or sign any new employee forms until both requirements can be verified.
- 3) **Interim Computer Access:** Individuals who will have access to any agency computers or networks must read and sign the Information Technology policy (*Attachment G*) and return it to SHRO. The supervisor may then contact the respective Information Technology section to request temporary access.
- 4) **Common Access Card (CAC):**
 - a. Individuals needing a CAC should be able to obtain their CAC within five (5) working days of the date their background check date was entered into the SED.
 - b. Individual should contact their nearest DEERS location to ensure their CAC is available prior to going to the location.
 - c. Individuals will need to provide specific identification documents required by the DEERS office, including one picture ID.

D. 'Concerned' Results:

- 1) If there are any concerns, Security Managers will either contact the individual directly (Air Guard) for follow up or notify SHRO (all others.)
- 2) Once additional information and/or documentation are provided to the Security Manager, the Security Manager will make a decision on the interim employability/association of the individual following DoD guidelines. If the determination is favorable, the Security Manager will notify in writing the ADSHRO with the date the decision on the favorable check was made.

E. 'Unfavorable' Determinations: If the determination is unfavorable, the Security Manager will submit his/her determination to his/her supervisor for a final review. If the Security Manager's supervisor concurs with the unfavorable determination, the Security Manager will contact SHRO.

SHRO will in turn contact the supervisor of the:

- 1) **Selectee** prior to contacting the individual and rescinding the job offer.
- 2) **Volunteer** and have the supervisor inform the person he/she will not be a volunteer.

7. **E-QIP Required for 'Secret' and Higher Clearance Levels:** Electronic submission of background information must be completed prior to an individual's first day at work.

A. The respective Security Manager or SHRO designee will contact individuals from information on their 'Request for Security Clearance' (*Attachment D1 or D2*) form and direct them to the background clearance website to which the Security Manager has given them access.

B. Individuals must:

- 1) Complete and electronically submit their information **prior** to reporting to their first day of work.
- 2) Accurately report all information requested. **Concealing information may well result in an unfavorable determination** due to an individual being considered unreliable and dishonest. A person's loyalty, character, trustworthiness and reliability are traits strongly evaluated.
- 3) Print, sign and submit the three (3) signature pages from the e-QIP website to the respective Security Manager (Air) or SHRO designee (all others.)

8. **NACI and ANACI Results:** NACI and ANACI results are usually received by the respective Security Manager within 30 days of submission. Higher levels of clearance will take much longer. If the results are:
- A. **'Favorable':** The Security Manager will notify in writing the ADSHRO with the ANACI approval date. The ADSHRO will enter that date in the federal State Employee Database (SED.)
 - B. **'Questionable':** The Security Manager will either contact the individual directly (Air Guard) or notify SHRO (all others), for follow up. The individual will also be given an 'Intent to Deny Civil Security Clearance' letter from the respective Security Manager and a notice requesting information.
 - 1) The request for information will specify what is needed and a date by which the individual needs to respond **in writing**. If a response is not received by the deadline, it will be assumed that the individual refuses to comply. If the individual is unable to provide the requested documentation by the deadline, he/she must immediately contact the person who signed the request to discuss the issue and determine if an extension is possible.
 - 2) Once additional written information and/or documentation are provided to the Security Manager, the Security Manager will make a decision on the continued employability/association of the individual following DoD guidelines.
 - a) If the decision is **'Favorable'**, follow '8.A.' above.
 - b) If the decision is **'Unfavorable'**, the Security Manager's supervisor must concur. If there is concurrence, then the Security Manager (Air) notifies the supervisor; for all other individuals the Army Security Manager contacts SHRO who in turn informs the worksite director/manager.
If worksite management:
 - **Accepts** the decision, SHRO processes the dismissal action.
 - **Disagrees** with the decision and wants to retain the individual, they must request the employee to file an appeal.
9. **SSBI Results:** SSBI results take months to complete. The process is the same as outlined above for NACI's and ANACI's.
10. **Appeals:**
- A. The supervisor, with concurrence of the respective division director, will inform the individual of their desire to have him/her appeal the denial of clearance decision within the period specified on the 'Intent to Deny Letter.'
 - B. The individual must prepare a **Rebuttal letter** following the format described in the 'Intent to Deny Letter.'
 - 1) List each security concern from the background inquiry separately and state: 'Admit' or 'Deny.'
 - 2) Provide supporting information for each concern.
 - 3) Organize supporting documents in the order they are referenced in the letter.
 - 4) Sign and date the letter.
 - C. The individual must secure a written endorsement from their division director.
 - D. The individual must place the rebuttal letter, supporting documents and the division director's endorsement letter in a single envelope or package.
 - E. The individual must submit the rebuttal package directly to the Security Manager (Air Guard) for a decision or the ADSHRO (all others) who will forward it to the Army Guard Security Manager for a decision.
 - F. The Security Manager will then submit the documents to The Adjutant General for a final decision.
 - G. The decision of The Adjutant General is final and cannot be appealed.
11. **Renewal of Background Checks**
- A. Background checks are valid as outlined on page 3 under 'Renewal Intervals.'
 - B. Renewals for NAC/SAC and NACI's should be started three (3) months prior to the expiration date.
 - C. Renewals for ANACI and SSBI's should be started six (6) months prior to the expiration date.
 - D. Individuals must contact their respective Security Manager to receive 'Renewal' instructions.
 - E. Failure to obtain a timely renewal could affect the ability of an individual to continue working.

12. **Reporting of Arrests and/or Convictions:**

- A. All employees and volunteers must **self report** to their supervisor, **within one (1) working day* of the event**, any arrests and/or convictions.
 - * Some components of the agency may require notification within 24 hours.
- B. The supervisor then reports the information to the ADSHRO or the respective Wing Security Manager.
- C. The supervisor also contacts the SHRO Director if an employee failed to report an arrest or conviction as required in order to discuss possible disciplinary action.
- D. The respective Security Manager will review relevant information and make a determination as to retaining the individual or recommending separation.
- E. Any recommended separations will also be reviewed by the Security Manager’s supervisor before a final decision is made regarding the individual’s continued employment or association with the agency. If the recommendation is termination, that recommendation will be provided to SHRO for action.
- F. **Felony** arrests and/or convictions are covered in policy ‘Security-Felonies’.

13. **Attachment List:**

	Title
A	Security Clearance Informational Summary
B	Authorization for Release of Information to OPM
C	Fingerprint Locations
D1	Air –Request for Personnel Security Action
D2	All Others – Request for Security Clearance
E	Security Clearance Contacts
F	Classified Information Nondisclosure Agreement
G	Informational Technology Policy

- 14. Any exceptions to this policy and its procedures must be submitted to the Director of SHRO. The merits of which will be taken on a case-by-case basis

TAG – State Human Resources Policy and Procedure

Sexual Harassment/ Hostile Work Environment

References

Kansas Civil Service Act 75-2925 and 75-2926
K.A.R. 1-9-18(a)
Title VII of the Civil Rights Act of 1964

Policy

Sexual harassment will not be condoned or tolerated. It is the commitment of this agency to provide employees a work environment that respects people, provides equal opportunity for all personnel, maintains a positive environment that eliminates discriminatory behaviors or practices and is free of sexual harassment and of any inappropriate behavior and language that may be hostile, intimidating or offensive. This harassment-free environment also applies to agency customers.

Definitions

Sexual harassment is defined as unwelcomed sexual advances, requests for sexual favors, as well as any verbal, physical or visual conduct of a sexual nature when submission to or rejection of this conduct explicitly or implicitly affects an individual's employment, unreasonably interferes with an individual's work performance or creates an intimidating, hostile or offensive work environment. This includes, but is not limited to:

- a) sexually demeaning language or harassing conduct;
- b) sexual oriented teasing, kidding or joking;
- c) unwelcomed flirtations or touching;
- d) patting;
- e) hand gestures;
- f) displays of pictures of a sexual nature or that exploit male or female persons;
- g) discussing sexual activities; and
- h) explicit or implicit insinuation that submission to, or rejection of, sexual advances will in any way influence personnel decisions regarding an employee's employment, wages, advancement, assigned duties, shift, or any other conditions of employment or career advancement.

Sexual harassment may occur as a single event or as a series of incidents.

Sexual harassment can occur in a variety of circumstances, including but not limited to the following:

- a) The victim as well as the harasser may be a woman or a man. The victim does not have to be of the opposite sex.
- b) The harasser can be the victim's supervisor, an agent of the employer, a supervisor in another area, a co-worker, or a non-employee.
- c) The victim does not have to be the person harassed but could be anyone affected by the offensive conduct.
- d) Unlawful sexual harassment may occur without economic injury to or discharge of the victim.

Procedures

1. If an employee believes he/she is being sexually harassed, the employee is encouraged (but not required) to immediately confront the harasser clearly stating what behaviors are offensive and asking the person to cease those kinds of comments or behavior. If an employee is unable to confront a harasser in person, the employee may write the harasser a letter stating what behavior was offensive, when and where it occurred, that it is to be stopped and how the employee would like to be treated in the future. Employees may also seek assistance from staff noted below in bringing the unwanted/offensive behavior to the attention of a harasser.
2. Employees who believe they have been harassed should immediately report alleged sexual harassment/hostile work environment violations to the agency's Director of State Human Resources (SHR). In the absence of the director, employees may report to the following federal Adjutant General's Department staff knowledgeable in this subject area: State Equal Employment Manager (SEEM), the Judge Advocate General (JAG) or the Inspector General (IG). Employees have the option of reporting directly to the Adjutant General at any time.
3. Likewise, employees who believe they have witnessed unacceptable behavior should document what has been seen or heard and report as designated in #2 above.
4. Employees need to keep a record of what has happened, including specific dates, comments, behaviors, lists of possible witnesses and copies of any correspondence to or from the alleged harasser.
5. Supervisors who have incidents of alleged unacceptable behavior reported to them should immediately report such incidents to the agency's Director of SHR. Failure at any supervisory level to immediately forward such reports, or failure to take corrective action as determined appropriate, will be considered condoning sexual harassment and the supervisor may be subject to disciplinary action.

6. The agency's Director of SHR is responsible for conducting investigations. A panel may be appointed to assist in the investigation. In the absence of the agency's Director of SHR the Adjutant General will be responsible for the assignment of the investigation.
7. Alleged harassers may be relieved of duty with pay or reassigned while an investigation is being conducted.
8. Confidentiality will be maintained to the fullest extent possible during the investigation. Staff interviewed during an investigation should not discuss the investigation with co-workers or the employee(s) being investigated. Likewise, the employee being investigated should not discuss the investigation with co-workers or contact employees that might be involved. Employees that interfere with an investigation, discuss interviews with others or retaliate in any manner may be subject to disciplinary actions.
9. This policy prohibits any form of retaliation to an employee who without malice or personal revenge, reports an allegation. Any employee retaliating against a reporter or person associated with filing the complaint will be subject to disciplinary procedures as describe in #10 below.
10. Employees engaging in any form of sexual harassment, sexually harassing behavior or hostile work environment behavior will be disciplined in accordance with progressive disciplinary measures. This may include verbal or written counseling, letter of reprimand, suspension and/or dismissal. The severity and frequency of incidents will determine the level of any formal or informal disciplinary action. Additionally, training may also be recommended.
11. Sexual affairs between supervisors and employees have the potential for sexual harassment allegations and are inappropriate. Workplace affairs may affect job performance, suggest favoritism and compromise confidential information. These behaviors may also be the basis for a claim of hostile work environment.
12. A log of reports covered by this policy will be maintained.
13. Training: Employees will annually complete training (including sensitivity training, climate surveys and /or knowledge assessments) related topics to Equal Opportunity, Affirmative Action and Sexual Harassment. Training will be documented and records maintained in SHR.

Responsibilities

Employees: Responsibilities of every employee are to: a) strive to maintain a sensitive, harassment-free work environment, b) treat co-workers and visitors with respect and dignity, c) refrain from inappropriate behavior, d) properly report all allegations of inappropriate behavior and e) adopt an attitude that reporting is important in providing a good working environment.

Supervisors/ Managers: The additional responsibilities of every supervisor and manager are to: a) be alert and pro-active in providing a good working environment for all employees, b) report allegations as directed by this policy, and c) ensure all employees successfully complete the annual training requirements and request consultation or special training as needed.

State Human Resources Director: The additional responsibilities of the director are to: a) ensure employees are provided information and/or training on the agency's sexual harassment policy, b) investigate allegations promptly, c) maintain a log of reports, d) provide or secure training as requested and e) provide consultation and/or technical assistance, including information on filing complaints with enforcement agencies when requested.

Call:	The Adjutant General:	(785) 274-1001 or 83-720-8001
	Director, State Human Resources:	(785) 274-1393 or 83-720-8393
	KS National Guard Equal Employment Manager:	(785) 274-1168 or 83-720-8168
	KS National Guard Judge Advocate:	(785) 274-1024 or 83-720-8024
	KS National Guard Inspector General:	(785) 274-1021 or 83-720-8021

Write: The Adjutant General's Department
Attn: Director, State Human Resources
2800 Topeka Blvd.
Topeka, KS 66611-1287

OPR: Director of State Human Resources

TAG – State Human Resources Policy and Procedures

**TIMEKEEPING & PAY -
*Shift Differential***

References

K.A.R.1-5-28

Policy

1. Shift differential is paid for hours worked by employees in non-exempt (hourly) positions* on regularly established shifts other than the normal day shift.
2. The normal day shift (referred to as 1st shift) is a regularly scheduled shift that both begins and ends between 5:30 A.M. and 5:30 P.M.
3. Employees working ‘regularly’ scheduled ‘non-day’ shifts (referred to as 2nd and 3rd shifts) receive shift differential for all the hours worked during those regularly scheduled shifts, even the few consecutive hours that may fall within normal day shift hours.
4. Shift differential is not paid:
 - When an employee is on any type of leave or holiday.
 - When an employee is working during the day shift, i.e. attending training, orientation, covering a day shift, etc.
 - When 2nd and 3rd shift employees work a partial shift with all of their hours worked that day falling in between 5:30 AM and 5:30 P.M.
 - When a ‘day shift employee’ works 2nd or 3rd shifts on an ‘irregular or occasional’ basis. *However, if a day shift employee’s schedule is changed to a 2nd or 3rd shift temporarily for a period of one or more full work weeks (Sunday – Saturday), he/she would be eligible for shift differential during that period.*
 - For additional day shift hours worked either before or after a ‘regularly scheduled’ 2nd or 3rd shift.
5. Any questions or exceptions to this policy may be requested for approval by the Director of SHRO, the merits of which will be taken on a case-by-case basis.

**Does not include fire fighters who work 24 hours shifts.*

References

K.A.R. 1-5-26

Purpose:

To ensure coverage outside of regular business hours for likely emergency situations, ensure that stand-by pay is properly administered and help balance the agency's need for coverage and response with employees' personal lives.

Policy

1. This policy applies to non-exempt (hourly) employees.
2. Provisions specific to The Adjutant General's Department will be designated with (TAGD) throughout this document.
3. **Eligibility:** Employees are eligible for stand-by pay under the following conditions:
 - a) the period of time is outside an employee's regular work hours*
*If there is a staff shortage during business hours and an employee is on a rearranged work schedule, the employee may be authorized to continue on stand-by status during regular business hours while not at work. (TAGD);
Example: An employee has already worked 40 hours by Thursday and is on Stand-by duty for the week. If on Friday, other staff are out-of-town and unavailable to take emergency calls, the employee on Stand-by, as authorized by the supervisor, will continue to take emergency calls even during regular business hours and be compensated the respective Stand-by rate.
 - b) during this period of time, the employee is required, at agency direction, to remain available to the agency to perform necessary work within a specified response time as determined by program or worksite management; and
 - c) is limited to work situations where a reasonable probability of emergency recall exists.
4. **Regular or Periodic:** Stand-by may be required for employees on a regular, reoccurring basis or "as needed." Examples of potential "as needed" stand-by include, but are not limited, to the following: predictions of severe weather where employees may be needed to clear ice or snow from the premises and immediately respond to after hours mechanical breakdowns on drill weekends or second and third shifts.
5. **Failure to Respond:** At the discretion of the agency, any employee on stand-by who is not available in accordance with the terms and conditions contained in the Agreement for Stand-By Compensation, and who does not present reasonable justification for failure to call and/or report as required when called, may be subject to disciplinary action and forfeiture of stand-by compensation for that stand-by period.
6. **Schedule and Stand-by Hours Limitations:**
 - a) Employees are not to work more than seven (7) consecutive days in a stand-by status. Occasionally, due to unforeseen circumstances, employees may be required to be in stand-by status for longer than seven (7) consecutive days. However, the maximum number of days in stand-by status shall not exceed 14 days in any twenty-eight (28) day period without prior written approval from the Adjutant General or his designated representative.
 - b) Likewise, employees are not to be scheduled for stand-by more than every other weekend. Occasionally, due to unforeseen circumstances, employees may be required to be in stand-by status two consecutive weekends. However, the maximum number of weekends in stand-by status shall not exceed two (2) weekends in any twenty-eight (28) day period without prior written approval from the Adjutant General or his designated representative.
 - c) Employees may switch stand-by duty with the prior approval of the respective director or worksite manager (or designee) so long as the switch does not cause either employee to violate 5 a) and b) above.
 - d) Employees must notify their supervisor or designee at least 72 hours prior to scheduled stand-by duty if they are unable to perform stand-by duty as scheduled.

- e) Excessive periods of unavailability for stand-by may be causes for loss of eligibility for stand-by status, at the discretion of the supervisor or designee. Additionally, employees in positions requiring stand-by may also be subject to disciplinary action, including dismissal.
7. **Stand-by and Leave:** Employees on leave are not to be scheduled for stand-by until the employee returns to regular work status. *(Regular work status - If authorized leave ends the day before a weekend or holiday, the employee may perform stand-by duties throughout the weekend and/or holiday.)*
8. **Relieved of Duty.** Employees relieved of duty pending an investigation (K.A. R. 1-9-19) will not perform stand-by until the investigation is completed and the employee returns to work. In such cases, the director will determine the appropriateness of scheduling the employee for stand-by duty. The agency may permanently or temporarily remove an employee from working stand-by at its discretion. Employees will be provided such notices in writing.
9. **Compensation and Timekeeping:**
- a) Calls or work in excess of seven (7) minutes are compensable and are to be reflected on timesheets.
 - b) Calls or work of seven (7) minutes or less (de minimis rule) are not compensable unless: a) they are regular or daily calls or b) there are multiple calls with such frequency that it interferes with the employee's personal activities.
 - c) Employees are to maintain a log (or an approved equivalent) of calls taken and any work performed while on stand-by. This log is to be attached to the timesheet. (See attachment #2.)
 - d) Employees are compensated \$1.00 per hour on stand-by in accordance with state regulation 1-5-26, or as provided for in respective labor agreements or unclassified pay plans.
 - e) Each employee on stand-by who is called in to work shall be compensated for the actual hours worked at the appropriate rate of pay, but shall not be paid stand-by compensation for that time actually worked. (i.e. If an employee works three hours during a 16 hour stand-by period, he/she will receive stand-by pay for 13 hours since the employee is being compensated at their appropriate regular pay rate for three hours.)
 - f) When an employee on stand-by is "called in" or "called back" to work within a two-hour period of their regular work schedule, the minimum of two hours compensation specified in K.A. R. 1-2-25 of "Call in and call back pay" does not apply.
 - g) Only the hours actually worked by the non-exempt employee shall be credited in determining eligibility for overtime compensation.
 - h) Holidays: Employees may only be compensated for a maximum of 24 hours in a day. On holidays, employees on stand-by receive Holiday Credit Paid (HDC) for the number of hours they are regularly scheduled to work. Therefore, the maximum number of stand-by hours possible on a holiday is the difference between the number of hours regularly scheduled for that holiday and 24. (i.e. 24-8 hour day=16 hours of stand-by; 24-10 hour day=14 hours of stand-by.)
 - i) Time during which an employee is restricted to a particular telephone number at a 'specific location designated by the employer', or to the 'employer's premises', in order to remain personally available to the employer shall be considered hours worked and the employee shall be compensated at the employee's regular rate of pay instead of receiving stand-by compensation. With the use of wireless communication devices employees on stand-by are able to effectively use their time for their own purposes. It would be rare for employee to be restricted to a specific location and phone where they could not pursue their personal interests.
 - j) If an employee performs stand-by related work, the employee will be compensated for that work in the following priority order unless otherwise determined by the agency.
 - 1) Rearranged time within the same work week (i.e. week, Sun-Sat) as the stand-by was performed.
 - 2) Compensatory time.
 - 3) Pay.

While every effort will be made to meet the needs of the individual, the final determination as to how an employee will be compensated shall be determined by the agency, in its absolute discretion unless otherwise covered under a labor agreement.

10. Any changes to the state regulations or agency policies and procedures regarding timekeeping and stand-by compensation will be provided to employees in writing.
11. Any deviations from this policy will be submitted by the Director, through the State Human Resource Office (SHRO) Director, to the Adjutant General (or his designee) for consideration and approval.

Procedures

1. The respective **director or worksite manager** (or their designees) determines if stand-by, as defined in State regulation and agency policy, is warranted for a particular situation. If so, a written plan sufficiently describing the reasoning and position(s) involved is submitted to SHRO.
2. **SHRO** will review the written plan and determine if the employee/position and the reasoning for placing him/her on stand-by is consistent with State intent and agency policy for stand-by.
3. If the SHRO Director approves the written plan an effective date for starting stand-by will be determined by the requesting director or worksite manager (or designee). If the SHRO Director does not believe the plan is consistent with the applicable rules, regulation and policies, he/she will respond back to the director within seven (7) business days from the day SHRO receives the request explaining in writing how the plan is non-complaint. The director or worksite manager may then modify the plan accordingly or make a written request for reconsideration through the SHRO Director to the Adjutant General (or designee) for a final decision.
4. **Director or worksite manager** (or their designees) who have an existing document they would prefer to use for logging stand-by calls and work (other than attachment 2) must obtain prior approval from SHRO prior to using such a non-standard log..
5. Prior to beginning stand-by duty, the **supervisor or designee** will provide an employee with copies of K. A. R. 1-5-26 (Attachment 3), the agency's Stand-By policy, the approved reporting log (Attachment 2) and "Agreement for Stand-By Compensation." (See attachment #1). The supervisor will explain those documents and answer any questions from the employee. The supervisor will decide on a reasonable "specified response time" for notification purposes, and enter the response times on the Agreement. When the director approves the Agreement, he/she is also approving the response times.
6. The **employee** and supervisor will sign the agreement followed by the director's signature of approval. The director or supervisor will provide a copy of the signed agreement to the employee and submit the original to SHRO for filing in the employee's official personnel file.
7. The **director or worksite manager** (or designee) will develop a stand-by schedule in compliance with this policy and inform all affected employees. A courtesy copy should be provided to SHRO to aid in checking timesheets and resolving stand-by discrepancies.
8. As employees or positions designated for stand-by change, written notification from the **director or worksite manager** (or designee) is to be sent to SHRO.
9. While on stand-by, **employees** are to keep a "Stand-by Log" (or its approved equivalent) and attach it to their timesheet. The **supervisor**, as with any timekeeping document, will review it for compliance with policy and accuracy; make any necessary corrections and submit it to SHRO.

OPR: Director SHRO

The Adjutant General's Department
State Employee's Request for Authorization of Overtime

Name: (Print)

1. This form is to be completed by the employee and supervisor with the understanding that overtime is to be kept to a minimum.
2. Authorization for **overtime (OT)**, whether it is for compensatory time or pay, **must be approved in advance.**
3. *Unless otherwise justified and approved, all overtime will be in the form of compensatory time (comp time.)*
4. Overtime applies to non-exempt staff only.
5. Overtime is defined as time **actually worked in excess of 40 hours** during the workweek. *(Designated firefighting positions 106 hrs/14 day workweek.)*
6. Work weeks begin on Sunday at midnight and run through Saturday.
7. This completed form must be submitted with the respective timesheet.

	<u>Date</u>	<u>Estimate</u> <u># OT</u> <u>Hours</u>	<u>Purpose</u> <u>&</u> <u>Reason why time cannot be rearranged during the work week.</u>	<u>Preliminary</u> <u>Supervisor's</u> <u>Approval/Date</u>	*	<u>Actual</u> <u>time start</u> <u>OT</u>	<u>Actual</u> <u>time</u> <u>end OT</u>	<u>Total</u> <u>OT</u> <u>hours</u>	<u>Final</u> <u>Supervisor's</u> <u>Approval/Date</u>
1.					*				
2.					*				
3.					*				
4.					*				

If pay is requested the following must be completed and signed.

Justification for pay as opposed to compensatory time:	
Is this consistent with department/unit policy &/or practice?	If not, please explain the departure from policy/practice.
Supervisor Approval/Date:	Fiscal Acknowledgement/Date:

REFERENCES

Fair Labor Standards Act 29CFR 785.33-41

POLICY-*General* Provisions

1. Non-exempt (hourly) State employees of The Adjutant General’s Department (TAGD) will be compensated for travel time in a consistent manner and in compliance with the Fair Labor Standards Act (FLSA). This policy does not pertain to Exempt (salaried) employees.
2. Per the FLSA, employers may choose to compensate employees in a greater manner than that provided for in federal law. Specific agency provisions are designated with ‘(TAGD)’ throughout this document.
3. Supervisors and employees are to keep travel expenditures as cost effective as possible.
4. **During a week in which an employee travels, supervisors should pre-approve a rearranged work schedule in order to avoid overtime if at all possible.**
5. If overtime is unavoidable, the employee and supervisor will complete and submit the regular agency overtime form with the timesheet.

POLICY-*Situational* Provisions

1. **Home to Work Travel.**
 - A. **Normal:** As a general rule, an employee’s time is not considered ‘compensable’ until he reaches the first worksite. Time spent in normal home to work travel and vice versa is not compensable unless the employee is required to meet someone or pick up work materials, in which case work time starts at the meeting place.
 - B. **Emergency*:** When contacted at home and required to travel a substantial distance to perform an emergency job all time spent traveling is compensable.
 - * In order to have some parameters for the definition of ‘emergency’ the following is provided: The situation is unexpected or is a result of an uncontrollable act of nature; and for which urgent, prompt action must be taken and response cannot wait until the next scheduled work day.
2. **Travel To and From Home to Transportation Terminals**
 - A. Employees, both driver and passengers, will be compensated for travel to/from transportation terminals (i.e. airports) depending on the **lesser of: a) the travel time from one’s home to the airport or b) the estimated travel time had one departed from the regular worksite.** (TAGD)

Example 1: An employee who works in Topeka and lives in Lawrence must catch a flight from the Kansas City Airport at 8:00 AM. Since it is shorter to leave from his home in Lawrence than it is from his Topeka worksite, he would be compensated from the time he left home.

Example 2: An employee who works in Topeka and lives in Manhattan must catch a flight from the Kansas City Airport at 8:00 AM. Since the distance from her worksite (Topeka) to the airport is less than from her home (Manhattan), she may leave from home but will only be compensated for the amount of time it would have taken her had she left from Topeka.

- B. Employees are not authorized to arrive at an airport terminal more than two (2) hours prior to the departure of their flight (TAGD).

3. Out-of-Town Travel.

A. *Same Day:*

- 1) If an employee is required to travel and return in one day, all travel time is compensable with the *exception* of mealtimes and 'ordinary home-to-work.'** This applies to both the driver and passenger. (TAGD)

** If it is more feasible for an employee to travel from home rather than report to their regular worksite first, the employee may leave from home if authorized by their supervisor.

In those cases, employees will be compensated for the amount of time which is the lesser of: a) the travel time from home to the destination or b) the estimated travel time had the employee departed from the regular worksite. (TAGD)

Example 3: An employee's worksite is Topeka; she lives in Lawrence and is required to attend a meeting in Kansas City. Since it is more feasible for the employee to leave from Lawrence her supervisor approves her leaving from home and being compensated for the travel time from Lawrence to Kansas City since it takes less time to reach Kansas City from Lawrence than it does Topeka.

Example 4: An employee lives in Kansas City, his regular worksite is Topeka and he is required to attend a meeting in Manhattan. His supervisor determines that it is more feasible for him to leave from home. Since it is a shorter distance from Topeka to Manhattan than Kansas City to Manhattan, the employee would be compensated for the estimated time it would normally take someone to travel from his Topeka worksite to Manhattan.

B. *Overnight:*

- 1) All time spent traveling by employees are compensable even on non-regular workdays with the following exceptions: (TAGD)
 - a. Scheduled layovers falling outside the individual's regular work hours for which he/she is able to leave the transportation terminal and pursue personal interests.
 - b. Meal breaks based on the individual's regular schedule.
 - c. Unscheduled flight delays at the end of the day greater than two hours. Within the two hour delay period an employee must determine whether to rebook the next day and stay in a hotel or stay at the airport overnight in a non-pay status.
- 2) Time spent in non-travel or non-work activities is not compensable.

Example E5: An employee travels Sunday for a conference that begins at 1:00 PM Monday. The employee would be compensated for travel time on Sunday, but would not be compensated on Monday until 1:00 PM. as the employee was free to pursue activities of her own interest Monday morning. *(Unless the supervisor had **pre-authorized** the employee to perform work for which the supervisor confirms a work product.)*

Example E6: A conference ends at noon on Tuesday and the employee's flight leaves at 7 PM. It takes 15 minutes to arrive at the airport and the employee needs to be there two (2) hours early to go through airport security and board. The employee would not be compensated from noon until 4:45 PM as he was free to pursue activities of his own interest from noon to 4:45 PM. *(Unless the supervisor had **pre-authorized** the employee to perform work for which the supervisor confirms a work product.)*

- 3) Lost Luggage: Employees may be compensated up to one (1) hour for waiting for lost luggage.

C. *Private Automobile Use:*

If public transportation (i.e. air flight) is available but an employee requests, and is approved, to drive a private vehicle, the compensable work hours are the lesser of: a) time actually spent driving the car or b) the hours that would have been compensable had the employee used public transportation.

PROCEDURES

The following procedures are designed to more efficiently check and process timesheets, provide for consistency in time reporting and ensure that all employees are appropriately compensated in accordance with agency policies, and State and Federal regulations.

1. For **same day travel**, employees are to note on their timesheet the beginning and ending work times if different than their regular work hours for that particular day.
2. For **overnight travel**, employees are to attach to their timesheet a copy of their:
 - A. Travel Payment Voucher DA-125*
 - B. Flight Itinerary to the timesheet*

*Unforeseen issues, such as flight delays of 30 minutes or more should be noted on the Flight Itinerary or travel payment voucher and initialed by the immediate supervisor.

3. During periods of travel, the immediate supervisor is required to sign the timesheet, verify and initial the itinerary and work hours**. This is particularly important when an employee has been on an overnight trip and the supervisor has pre-approved the employee to perform work during non-travel or non-attendance periods. (See example in Section '3B 2' in the Policy section.)

**If the immediate supervisor is not available to sign and initial the physical documents, he/she may submit them by email or fax to the State Human Resource Office (SHRO) with their approval.
4. If employees travel together, the names of the traveling companions are to be noted on the timesheets or Travel Payment Vouchers (DA-125) in order to ensure they are similarly compensated
5. Any exceptions to this policy may be requested and approved by the SHRO Director. The merits of which will be taken on a case-by-case basis.

**GUIDANCE &
DISCIPLINE**

Threats & Violence

REFERENCES

Secretary of Administration Memorandum 1-21-97

POLICY

The safety and security of employees and visitors is of utmost importance to The Adjutant General's Department. Threats, threatening behavior, acts of violence against employees or any related conduct which disrupts another's work performance or the organization's ability to execute its mission, will not be tolerated.

PROCEDURES

1. Any person who makes threats, exhibits threatening behavior, or engages in violent acts on The Adjutant General's Department's premises, may be removed from the premises as quickly as safety permits, and may be ordered to remain off The Adjutant General's Department's premises pending the outcome of an investigation.
2. Off-site threats of violent behavior are also covered by this policy. This includes, but is not limited to, threatening or violent behavior executed off agency premises but directed at state employees or members of the public while conducting official state business; and threats made via telephone, fax, electronic or conventional mail or any other communication media. Person(s) involved in these acts may also be relieved of duty pending the outcome of an investigation.
3. Violations of this policy will lead to disciplinary action of employees which may include, but are not limited to, suspension or termination of employment, and/or criminal prosecution. In addition, if the source of the violation is a non-employee, the response may include, but would not be limited to, barring the person(s) from agency premises, termination of any business relationship, and/or criminal prosecution.
4. All Adjutant General's Department state employees are responsible for notifying the agency (worksite) representative of any threats which they have witnessed, received, or have been told that another person has witnessed or received. Even without an actual threat, employees should also report any behavior they have witnessed which they regard as threatening or violent, when that behavior is job related or might be carried out on agency premises, or is connected to agency employment. Employees are responsible for making this report regardless of the relationship between the individual who initiated the threat or threatening behavior and the person or persons who were threaten or were the focus of the threatening behavior. If the designated agency (worksite) representative is not available, employees should report the threat to their supervisor or another member of the management team.
5. All individuals who apply for, or obtain, a protective or restraining order which lists agency locations as being protected areas, must provide to the designated agency (worksite) representative a copy of the petition and declarations used to seek the order, copy of any temporary protective or restraining order which is granted, and a copy of any protective or restraining order which is made permanent.
6. The Adjutant General's Department understands the sensitivity of this information and will protect the confidentiality of the reporting person(s) to the greatest extent possible.

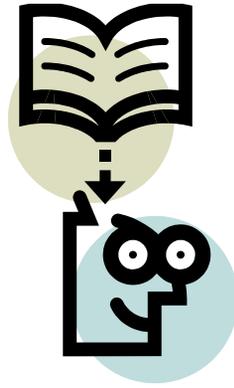
The designated agency (worksite) representative is:

Name: Dee Lowe
Title: Director, OSHR
Location: State Defense Building - Topeka
Telephone: (785) 274-1393; DSN 83-720-8393

EFFECTIVE DATE: 6/98

OPR: Director of OSHR

New: 6/98



Manager/Supervisor Handbook

TAG
Policies



DEPARTMENTS OF THE ARMY AND THE AIR FORCE
JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KS 66611-1287

JFHQ-KS-TAG

5 November 2004

MEMORANDUM FOR All KSNG Members and Employees Assigned to the SDB

SUBJECT: SDB Smoking Policy

1. The purpose of this policy is to establish the designated smoking area for the State Defense Building. Since 6 May 1992, all interior space of Kansas National Guard workplaces have been designated smoke free to include cigarettes, cigars, snuff, and chewing tobacco.
2. Specific guidance regarding designating smoking areas can be found in NGR 600-3 (KSARNG) or AFI 40-102 (KSANG). Effective 1 December 2004, smoking will be limited to the loading dock in the southeast corner on the lower level of the building. This area is not a common point of access to and from the building and affords protection from the elements.
3. Because people are the most valuable asset in the Kansas National Guard/Adjutant General's Department, assistance is available for Federal Employees through the Employee Assistance Program. Ms Karen Morrow is the POC and can be reached at DSN 720-8170 or Coml (785) 274-1170. AGR members can contact any Active Duty Medical Treatment Facility or Ms Dottie Clark at DSN 720-8185 or Coml (785) 274-1185 for enrollment or eligibility information. State employees/Kansas residents can contact the Kansas Tobacco Use Prevention Program, "KANSTOP", which provides toll-free access to trained tobacco cessation counselors at no charge. 1-866-KAN-STOP or website: www.Kanstop.org.
4. For employees who continue to smoke; smoke breaks will be part of the regular break policy. Supervisors are responsible for the proper administration of all breaks, to include smoke breaks.
5. This policy supersedes TAG Smoking Policy dated 1 April 1992.


TOD M. BUNTING
Major General (KS), KSNG
The Adjutant General

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DEPARTMENTS OF THE ARMY AND THE AIR FORCE
NATIONAL GUARD OF KANSAS
ADJUTANT GENERAL OF KANSAS
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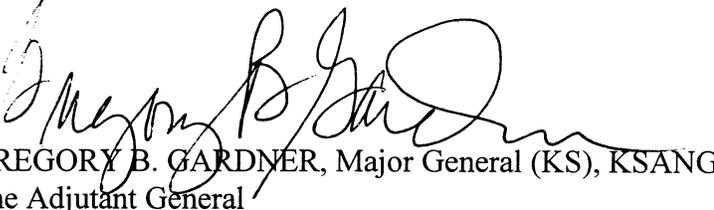
TAG

1 June 2000

MEMORANDUM FOR All KSARNG Commanders

SUBJECT: TAG Policy Letter No. 2, Appointment of Unit Public Affairs Representative (UPAR) and Use of Armory Funds

1. Unit Public Affairs Representatives (UPARs) will be appointed from each KSARNG unit. They are to reach out to as many Kansas communities and leaders as possible to offer assistance, let them know what we do, and foster positive relationships. They will accomplish this by organizing events, developing relations with local community leaders, contacting local media, writing stories and taking photographs when necessary. They will also provide stories and photographs to be published in the Plains Guardian.
2. For them to provide this service, the UPARs must have supplies. It is my policy that cost of film and cost of developing may be purchased from the armory funds..
3. This letter supersedes Command Policy Letter No. 14, Armory Funds, dated 1 June 1987.


GREGORY B. GARDNER, Major General (KS), KSANG
The Adjutant General

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DEPARTMENTS OF THE ARMY AND THE AIR FORCE
JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KS 66611-1287

JFHQ-KS-TAG

19 June 2007

MEMORANDUM FOR See Distribution

SUBJECT: TAG Policy Letter No. 3, Drug and Alcohol Abuse

1. Substance abuse is incompatible with military service. The Kansas National Guard will be a drug-free organization. All soldiers and airmen are subject to random drug testing.
2. Commanders are responsible for unit participation in the drug testing program. An active, aggressive drug testing program conducted on a regular and consistent basis serves as an effective deterrent to drug abuse. It also provides a safe training environment. Commanders will follow appropriate Army and Air regulations, instructions and directives for the testing of soldiers and airmen.
3. Soldiers and airmen who test positive for illicit drugs are subject to disciplinary action and/or processed for separation of the Kansas National Guard. Soldiers and airmen who are alcohol impaired will be subject to disciplinary action.
4. Commanders will conduct substance abuse resistance training. Training will include information and the location of professional help for those needing evaluation and treatment for drug and alcohol problems. The Drug Demand Reduction section and Social Actions and Human Resources Office employees will be able to assist those individuals with an identified substance abuse problem.
5. Drug and alcohol abuse by Kansas National Guard members can seriously damage physical and mental capabilities and jeopardize an individual's safety. It can also jeopardize the safety of others and is detrimental to the good order, discipline and readiness of the National Guard.
6. This memorandum updates Command Policy Letter No. 3, dated 26 February 2004, and will be posted at all units.

A handwritten signature in black ink that reads "Tod M. Bunting".

TOD M. BUNTING, Major General, KSNG
The Adjutant General

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TAG

29 May 2002

MEMORANDUM FOR See Distribution

SUBJECT: TAG Policy Letter No. 4, Use of Federal Equipment to Support Community Relations and Domestic Action Programs

1. Over the years, the Kansas National Guard has been a strong supporter of community organizations and events. We have traditionally supported our community organizations through the loan of equipment such as water buffalos, tents, trailers, and other material. In the estimation of our leadership, this has been a key element in maintaining the unique bond between the National Guard and the citizenry we serve.

2. With the enactment of the Joint Ethics Regulation (JER), the Army Regulations (AR) and Air Force Manuals (AFMAN) were changed to reflect the new guidance imposed by Congress. This guidance, found in AR 700-131, dated 1 September 1996 and in AFMAN 23-110 dated 1 April 2001, specifies how we must deal with the loan of federal equipment. The Adjutant General or his representatives can no longer authorize the usage of military equipment by civilian organizations without proper documentation to include a lease agreement. In addition, it requires that an amount be charged to the organization, which includes government entities, and that the charge is commensurate with local rental rates. We must not compete with local merchants who are in the lease and rental business.

3. This means that there are few situations where we can provide military equipment for community activities or events without a lease agreement and remuneration. The following guidance is provided for commanders and full-time support personnel of the Kansas Army and Air National Guard.

a. Requests for the use of federal equipment by law enforcement agencies and governmental units charged with the safety and well being of our citizens will be directed to the Plans, Operation & Military Support Officer (POMSO) for the Kansas Army National Guard and the Executive Support Staff Officer (ESSO) for the Kansas Air National Guard. They will make the appropriate determination regarding the loan or lease of such equipment. They will then forward requests to the United States Property & Fiscal Office (USP&FO) for Kansas to enact the required loan or lease agreements and remuneration.

b. Requests for the use of federal equipment by community based organizations, military support organizations, scouting organizations and subordinate elements of local governments which do not have ramifications regarding public safety and the duties of law enforcement, should be evaluated and actions taken in accordance with guidance below.

TAG

SUBJECT: TAG Policy Letter No. 4, Use of Federal Equipment to Support Community Relations and Domestic Action Programs

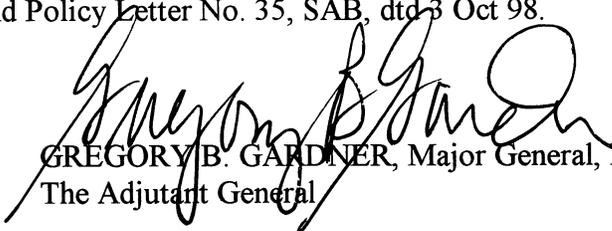
(1) If the request is considered viable by the local commander it may be supported utilizing recruiters and full-time unit support personnel as a strength improvement activity. In such cases, the equipment being utilized must remain under the care, custody and control of the Kansas National Guard at all times.

(2) If the request for support can be utilized as a valid training activity for the unit, it should be evaluated under KS SOP 360-61/KANGI 10-8021, Public Affairs, Civil-Military Innovative Readiness Training. Requests will be submitted through command channels to the Community Support Advisory Council (CSAC) for approval. If the training activity will use less than 100 man hours, the local commander has the authority to submit the request to the CSAC for validation. Point of Contact (POC) is the Secretary to the General Staff (SGS).

(3) Requestors should be strongly encouraged to use their own resources. When commercial sources are available, it will be noted in the command response to the request. In some cases, this will absolutely preclude our ability to provide any support. We can only provide equipment that is not immediately required to support the ongoing mission of the Kansas National Guard or any other element of the Department of Defense. When a request is received from an organization, which cannot be supported as above, it should be forwarded through the appropriate headquarters to the Adjutant General of Kansas, ATTN: Chief of Staff, for the Army National Guard, or ATTN: ESSO, for the Air National Guard. In coordination with the USP&FO for Kansas, The Chief of Staff or ESSO will determine if a lease agreement can be entered into in accordance with the appropriate regulations. If so, the USP&FO will action the appropriate agreements and determine the proper remuneration. If not, the Chief of Staff or ESSO will respond to the requesting agency on behalf of The Adjutant General and delineate the reasons why the request cannot be honored.

4. This matter is of the utmost concern to the Adjutants' General and United States Property & Fiscal Officers nationwide. The interpretation of the JER and the new guidelines of the Army and Air Force have seriously curtailed the access of the public to National Guard equipment. When fielding public concerns regarding our inability to fulfill an organization's request, please let them know that we must follow current laws and regulations. POCs at this office regarding this guidance are the Chief of Staff, Kansas Army National Guard and the Executive Support Staff Officer, Headquarters, Kansas Air National Guard.

5. This letter supersedes Command Policy Letter No. 35, SAB, dtd 3 Oct 98.


GREGORY B. GARDNER, Major General, KSANG
The Adjutant General

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ADJUTANT GENERAL OF KANSAS
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TAG

24 June 2002

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter No. 5, Security Precautions for General Officers

1. The security procedures for General Officers are a matter of concern worldwide as a result of increased terrorist activities. While the attitudes of our communities across our State is positive relative to the military in general, precautions are a necessity in meeting and maintaining our objectives for mobilization and readiness.

2. Commanders and supervisors at all levels must be aware of the need for certain precautions with regard to General Officers. Protocol officers, General Officer execs and aides, Command Sergeants Major, Command Chief Master Sergeants and drivers will place particular precautions, when and where applicable, in the display of General Officer auto flags and star plates. Instances that require immediate attention are:

a. General Officer auto flags and star plates for military sedans and aircraft are to be displayed on military installations only. Upon entering a military installation, the sedan driver will stop the vehicle and display the appropriate auto flag or star plate and then proceed to the General Officer's destination. Upon departure from the military installation, the driver will stop at the gate or exit to remove the auto flag or star plate. Star plates for aircraft will be displayed only on take-off and landing at a military installation.

b. General Officers' itineraries will be provided on a "NEED TO KNOW" basis only.

c. Protocol officers, General Officer execs and aides, Command Sergeants Major, Command Chief Master Sergeants and drivers will ensure that this policy is enforced.

3. The purpose of this policy is to ensure the safety, in as much as possible, of the General Officer and ensure the understanding of requirements and policy of The Adjutant General.

4. This letter supersedes Command Policy Letter No. 8, Subject as above, dtd 1 Jun 87.


GREGORY B. GARDNER, Major General, KSANG
The Adjutant General

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TAG

25 February 2004

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter No. 6, General Services Administration (GSA) Vehicles

1. GSA vehicles are National Guard Bureau (NGB) controlled items that will not be replaced until age and mileage have been exceeded (i.e., 12 years and 120,000 miles for buses, 4 years or 60,000 miles for sedans, etc.) The users must help to keep these vehicles in good shape or the vehicles will not be available for use.

2. GSA vehicles will be carefully controlled, supervised and monitored by commanders and supervisors at all levels. At no time will GSA vehicles be abused.

a. GSA vehicles are for "**Official Use Only**". No vehicles will be used for other than National Guard missions and operations without prior permission of the Chief of Staff.

b. Transportation requirements will be consolidated at all levels of command. It is not cost effective to have several vehicles going to the same location for the same event. It is not cost effective to lease buses from a commercial source if we do not fill all available buses to capacity.

c. GSA vehicles will be used for their intended purpose. Buses are not cargo trucks. Buses will carry personnel only. All equipment or baggage should be transported by truck. Sedans will not be overloaded.

d. All GSA vehicles (except 4WD) are to be operated on hard surface or county maintained roads only. GSA vehicles are not permitted on dirt roads in training areas or on tank trails. Any damage incurred while off of hard surface is negligence and will require a report of survey.

e. GSA vehicles will be returned to the Temporary Motor Pool (TMP) cleaned (inside and out) and fueled. Vehicle interior cleanliness is an operator responsibility and cannot be charged on a GSA credit card. Exterior washes are limited to two per month at the lowest price available and may be charged on a GSA credit card.

f. Requesting and scheduling of GSA vehicles will be accomplished at the earliest possible time. Once a vehicle has been requested, commanders will ensure that it is picked up on time, returned on time, and cancelled if not needed, so that full utilization of assets may be accomplished.

TAG

SUBJECT: TAG Policy Letter No. 6, General Services Administration (GSA) Vehicles

g. Any incident that involves damage to GSA vehicles must be reported. Any incident that involves a civilian, negligence, or the possibility of negligence must have a report of survey initiated immediately.

h. Federal Property Management Regulation 101-39.300(D) prohibits the use of tobacco products in GSA vehicles.

i. Federal Property Management Regulation 101-39.300(C) requires all drivers and occupants to wear seat belts whenever vehicle is in operation.

j. General Services Administration, FMR Bulletin B-2, discourages the use of hand held wireless phones by the driver while operating any motor vehicle owned or leased by the Federal Government. The use of a hands free accessory or device for the cell phone may be used.

3. This letter supersedes Command Policy Ltr No. 6, General Services Administration (GSA) Vehicles, dated 24 June 2002.


TOD M. BUNTING, Maj Gen (KS), KSNB
The Adjutant General

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JFHQKS-TAG (200-1)

26 September 2007

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter No. 7, Kansas Army and Air National Guard Environmental Policy

1. I am committed to environmental leadership in all of our activities. This Environmental Policy is based on our commitment to being a good steward by providing a clean and safe environment in our communities throughout Kansas. We must ensure a safe and healthy workplace for our military and civilian staff by complying with all applicable environmental laws and regulations. We can sustain readiness and efficiently accomplish our mission by leveraging our resources while reducing material procurement, waste management costs and liabilities.
2. Kansas Army and Air National Guard units and facilities are committed to continual environmental improvement through preventing pollution, obtaining training, complying with all applicable environmental laws and regulations, and bringing deficiencies to the attention of their Commander or Supervisor. Environmental management procedures will be developed and followed in order to improve and monitor our overall environmental performance and to set and review overall environmental objectives and targets.
3. The Kansas Army and Air National Guard will work closely with federal, state, and local environmental regulatory agencies and other interested parties in order to meet all environmental compliance requirements, but also communicate our commitment to sustained environmental quality and improvement to the citizens we serve.
4. Environmental stewardship is the responsibility of every member of the Kansas Army and Air National Guard. Preventing pollution provides us with an opportunity to increase our stewardship of the environment in which we live, work, and play.
5. This memorandum updates TAG Policy Letter #7, dated 3 June 2005.


TOD M. BUNTING, Major General, KSNG
The Adjutant General

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JFHQS-TAG

28 September 2007

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter No. 8, Kansas Army National Guard Qualified Recycling Program (QRP) Instructions

1. Recycling turns materials that would have been thrown away into valuable resources that generate a wide range of environmental and financial benefits, including reducing waste disposal costs. Through recycling, we conserve our natural resources, prevent pollution, and reduce the need for new landfills. This is an important and easy way for all of us to contribute to the protection of our environment, and the citizens of Kansas.
2. Recycling of reusable materials by Army activities is required by Army Regulation (AR) 200-1 and DoD Instruction 4715.4, and is a cornerstone of sound environmental stewardship as outlined in the TAG Policy Letter No. 7, Kansas Army and Air National Guard Environmental Policy, dated 26 September 2007.
3. I am committed to ensuring that all Kansas Army National Guard (KSARNG) activities recycle paper, cardboard, and scrap metals to the greatest extent possible, and am establishing a KSARNG Qualified Recycling Program (QRP) with the following goals:
 - a. To divert or recover reusable materials from waste streams, and
 - b. To identify and properly segregate the materials to maintain their recycling potential.
4. All KSARNG units, facilities, and activities will comply with the following requirements:
 - a. Aircraft and vehicle maintenance activities (AASFs, FMSS, CSMS, MATES, RTS-M, RSMS-Riley, RSMS-Salina, A-TEAM) will continue to collect scrap metal in proper containers and recycle those through the USPFO Warehouse.
 - b. The State Defense Building Complex (Topeka) and the Kansas Training Center (Salina), as well as the AASFs, FMSS, and RSMS-Salina will properly segregate and collect white paper, mixed paper (newspaper, magazines, etc), and cardboard and recycle those materials through the USPFO Warehouse. KSARNG tenant activities at Fort Riley (the Camp Funston Training Area (CFTA), MATES, A-TEAM, RSMS) and at Fort Leavenworth should recycle paper and cardboard through their respective installation's recycling program. These tenant activities should obtain receipts or other records showing how much paper and cardboard

JFHQKS-TAG

SUBJECT: TAG Policy Letter No. 8, Kansas Army National Guard Qualified Recycling Program (QRP) Instructions

were recycled and submit them to the USPFO Warehouse, ATTN: Recycling Manager, within five (5) business days to ensure that required tracking of recycled materials is accomplished.

c. All other activities may choose to transport their recyclable materials to their supporting FMS for recycling, or recycle materials locally through a local recycler. If activities choose to recycle locally, the following requirements apply:

(1) A receipt or other document showing the type and amount of material recycled must be obtained from the recycler. A copy should be submitted to the USPFO Warehouse, ATTN: CW4 Shafer, within five (5) business days to ensure that required tracking of recycled materials is accomplished.

(2) Activities are prohibited from receiving money (or any other type of compensation) from recyclers. This does not apply to the recycling of aluminum cans, which is permitted at the local level.

5. Proceeds from the materials recycled through the USPFO Warehouse will be handled in accordance with DoD QRP guidelines. These proceeds will be used for purchasing equipment and other materials required ensuring the continued operation of the recycling program. Of the remaining balance, up to 50% may be used to fund other environmental projects with the remainder expended that will directly benefit the facilities and units through Morale, Welfare, and Recreation (MWR) type projects.

6. This memorandum updates TAG Policy Letter #8, dated 18 November 2003.

7. The POC for this program and all other environmental issues is MAJ Anthony Randall, Environmental Program Manager, at (785) 274-1151, anthony.randall@us.army.mil.



TOD M. BUNTING, Major General, KSNG
The Adjutant General

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15 October 2009

MEMORANDUM FOR: All Title 32 Technicians of the Kansas Army National Guard and Kansas Air Guard

SUBJECT: TAG Policy Letter No. 9, Equal Employment Opportunity (EEO) Policy for the Kansas National Guard

1. Title VII of the Civil Rights Act of 1964, as amended, prohibits discrimination in employment based on race, color, religion, gender, national origin, age (over 40), or handicap condition (physical and/or mental). This act will be strictly enforced throughout the Kansas National Guard.
2. My policy on discrimination is clear and unequivocal. Every employee of the Kansas National Guard, both military and civilian, will be provided equal treatment in all facets of their employment. Conduct which violates this policy is outlined in NGR (AR) 690-600/NGR (AF) 40-1614. It is unlawful to discriminate against an individual or group based on their race, color, religion, sex (gender), national origin, age, or physical or mental handicap.
3. Questions regarding complaints may be addressed with your supervisor, an EEO Counselor or you may contact the State Equal Employment Manager or the Equal Employment Opportunity Specialist at (785) 274-1166 or (785) 274-1168.
4. This policy letter supersedes the previous TAG Policy letter No. 9 dated 21 September 2007. This policy letter will be posted on all unit/organizational bulletin boards.


TOD M. BUNTING, Major General, R.SNG
The Adjutant General

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15 October 2009

MEMORANDUM FOR: All Members and Employees of the Kansas Army National Guard and Kansas Air National Guard

SUBJECT: TAG Policy Letter No. 10, Equal Opportunity (EO) Policy for the Kansas National Guard

1. I am committed to providing a work environment that is free from illegal discrimination and harassment for the soldiers, airmen and all employees of the Kansas National Guard to include their families.
2. It is my policy not to condone or tolerate unlawful discrimination or sexual harassment within the Kansas National Guard. It is unlawful to discriminate against an individual or group because of their race, color, national origin, religion or gender.
3. I expect leaders, at all levels, to view equal opportunity as an essential foundation upon which to build readiness. Each command must have the appropriate personnel appointed and trained as their Brigade Equal Opportunity Advisor (EOA), Unit Equal Opportunity Leader, and Wing Equal Opportunity Officers.
4. I expect commanders to establish and maintain an active equal opportunity program within their commands. Commanders will conduct required annual climate assessments and training in accordance with their regulatory guidelines.
5. It is my goal to establish an affirmative action plan/program to guarantee equal opportunity in recruiting, hiring, training, assigning, rewarding, promoting, disciplining and separating our Guard members.
6. Questions regarding complaints may be addressed with your supervisor, an EO Representative, or you may contact the State Equal Employment Manager or the Equal Employment Opportunity Specialist at (785) 274-1166 or (785) 274-1168.
7. This policy letter supersedes the previous TAG Policy letter No. 10 dated 21 September 2007. This policy letter will be posted on all unit/organizational bulletin boards.


TOD M. BUNTING, Major General, KSNG
The Adjutant General

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JFHQKS-TAG

15 October 2009

MEMORANDUM FOR: All Members and Employees of the Kansas Army National Guard and Kansas Air National Guard

SUBJECT: TAG Policy Letter No. 11, Sexual Harassment Policy for the Kansas National Guard

1. All Kansas National Guard personnel are entitled to work in an environment free from sexual harassment. Ensuring a working environment that is free of any form of sexual harassment is both an individual and a corporate responsibility at every level of supervision and command. My policy is "Zero Tolerance".
2. Military members that feel they have been sexually harassed should report such conduct through their chain of command, their Unit Equal Opportunity personnel or to the State Equal Employment Manager.
3. Technicians that feel they have been sexually harassed should report such conduct to an Equal Employment Opportunity (EEO) Counselor or the State Equal Employment Manager.
4. I expect complaints to be expeditiously, fairly, and thoroughly addressed and immediate, appropriate, corrective action will be taken against military members and employees engaging in sexual harassment. I will not tolerate retaliation against individuals who report sexual harassment.
5. If you have questions, contact the State Equal Employment Manager or Specialist at (785) 274-1166 or (785) 274-1168.
6. This policy letter supersedes the previous TAG Policy letter No. 11 dated 21 September 2007. This policy letter will be posted on all unit/organizational bulletin boards.


TOD M. BUNTING, Major General, KSNG
The Adjutant General

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JFHQ-KS-TAG

26 February 2004

MEMORANDUM FOR All Members of the Recruiting Staff of the Kansas Army and Air National Guard

SUBJECT: TAG Policy Letter No.12, Recruiting Tour Renewals

1. In order to maintain a viable Kansas National Guard it is important that we have the best recruiting personnel in place to ensure we maintain our military strength. The most important purpose of the recruiting staff is to provide TAG and commanders with quality personnel resources to fill critical positions and vacancies.
2. The objective of recruiting is to fill all military positions at 100 percent; priority is given to fill critical positions that impact the ability to perform wartime taskings. Additional resources have been provided recruiting staff when requested to make the recruiting process more productive. Unfortunately, strength numbers indicate that even with the addition of resources the numbers in Kansas have not significantly increased.
3. The Executive Support Staff Officer (ESSO) for the Air Guard and the Chief of Staff (COS) for the Army Guard, acting for the Adjutant General, are ultimately responsible for the oversight of the recruiting and retention programs. Therefore, a summary of each recruiter's activities/production with the supervisor's recommendation will be submitted to the ESSO/COS prior to extension/renewal of every AGR tour. This information will be used by the ESSO/COS to provide a final determination for length of tour extension/renewal.
4. It is my goal to establish the best recruiting staff for the Kansas National Guard. This initiative will help us meet the strength challenges we face in the years ahead and to keep the Kansas National Guard relevant.

Tod M. Bunting
TOD M. BUNTING, Maj Gen (KS) KSNB
The Adjutant General

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19 June 2007

MEMORANDUM FOR See Distribution

SUBJECT: TAG Policy Letter No. 13, Urinalysis Testing of AGR Personnel

1. LAW DOD directive 1010.0, D (2) (b), every soldier will test annually. The Substance Abuse Office will select dates for AGR testing to accomplish this directive.
2. Dates elected for AGR testing may be drill weekend, annual training or any other normal duty day for the selected AGR soldier or group of soldiers. When drill weekends are selected, the AGR soldiers may be tested in addition to or in lieu of normal random testing for their units. During drill weekend, AGR soldiers are specifically selected because of the AGR status, not by random sampling as part of their unit. They will appear on a separate DD Form 2624 and will be accompanied with special instructions.
3. Unit Commanders will report by memorandum to the Alcohol and Drug Control Officer (ADCO) which AGR soldiers listed on the DD Form 2624 were not tested. They will cite the justification for not having the soldier's sample collected. When AGR soldiers are selected as a part of the unit's normal random selection, they will be tested as a part of the unit regardless of whether or not they have been tested previously and will also be subject to an unannounced AGR testing as well.
4. When an AGR soldier is selected for testing other than on drill weekend, the collection may be done by trained local unit personnel or by Substance Abuse personnel. These tests will be unannounced and will be conducted randomly.
5. POC's are SSgt John Fagan, Substance Abuse Prevention Program Manager, or LTC Brian Sholar, State Alcohol and Drug Control Officer, at 785-861-3936. The mailing address is Kansas National Guard Counter-Narcotics Program, P.O. Box 19012, Topeka, KS 66619-0012.
6. This policy supersedes the previous TAG Policy Letter No. 13, Urinalysis Testing of AGR Personnel, dtd 26 Feb 04.

TOD M. BUNTING, Major General, KSNG
The Adjutant General

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JFHQKS-TAG

21 September 2007

MEMORANDUM FOR: All Members and Employees of the Kansas Army National Guard and Kansas Air National Guard

SUBJECT: TAG Policy Letter No.14, Diversity Policy for the Kansas National Guard

1. America's demographics are rapidly changing. The Kansas National Guard must mirror the diversity of our community's and Kansas as a whole. My intent is that all soldiers and airmen embrace diversity, because it's the right thing to do. I direct all commanders and staffs to continually energize their efforts and ensure unit participation in diversity and mentoring. Now is the time to diversify and enhance our mission capability and readiness.
2. The Kansas National Guard is made great by our people. Our challenge is to capitalize on the changing demographics in our society by valuing ethnic and cultural differences, as well as similarities. Embracing diversity better enables us to recruit, mentor, retain and promote the best talent to achieve our goals. Our dedication to diversity will foster dignity and respect, while providing continuity with Army and Air Force values.
3. The foundation of a successful diversity program must include:
 - a. Allocating resources to leverage the potential of diverse communities
 - b. Recruiting members from diverse communities
 - c. Retaining a diverse force through team building and mutual respect
 - d. Fostering mentorship and training to develop our soldiers
 - e. Monitoring and assessing progress through clear expectations, accountability, evaluation and recognition
4. Questions regarding diversity may be directed to the State Diversity Initiatives Coordinator, MAJ Monte C. Weathers at 785-274-1166 or DSN 720-8166.
7. This policy letter supersedes the previous TAG Policy letter No. 14 dated 17 July 2006. This policy letter will be posted on all unit/organizational bulletin boards.


TOD M. BUNTING
Major General, KSNG
The Adjutant General

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6 May 2009

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter #15 UPDATED, Tobacco Free Workplace Policy

1. The purpose of this policy is to restate the Smoke Free Environmental Policy for the Kansas National Guard. Since 6 May 1992, all interior space of Kansas National Guard workplaces have been smoke free to include cigarettes, cigars, snuff, and chewing tobacco.
2. Specific guidance for implementing designated smoking areas can be found in NGR 600-3 (KSARNG) or AFI 40-102 (KSANG). Commanders should review governing directives for compliance.
3. Because people are the most valuable asset in the Kansas National Guard, assistance is available for Federal Employees through the Employee Assistance Program. The HRO ERS Branch Chief is the POC and can be reached at DSN 720-8170 or Com1 (785) 274-1170. AGR members can contact any Active Duty Medical Treatment Facility or the AGR Tricare Manager at DSN 720-8185 or Com1 (785) 274-1185 for enrollment or eligibility information. Assistance is also available for State Employees through the Employee Assistance Program, HealthQuest. State Employees can contact HealthQuest directly at 1-888-275-1205 or the SHRO personnel at (785) 274-1391/1392 for enrollment or eligibility information.
4. For employees who continue to smoke; smoke breaks will be part of the regular break policy. Supervisors are responsible for the proper administration of all breaks, to include smoke breaks.
5. This policy supersedes TAG Policy Letter #15, SAB, dated 5 Nov 04.

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TOD M. BUNTING, Major General, KSNG
The Adjutant General



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JFHQ-KS-TAG

19 January 2005

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter #16, National Flag at Half Staff during Memorial Ceremonies

1. Reference Army Regulation 600-25, Appendix B, Salutes, Honors and Visits of Courtesy, dated 1 September 1983, and FORSCOM Policy letter dated 05 January 2004.
2. Referenced regulation provides guidance concerning the flying of the National Flag at half staff on military installations where the funeral or death of a soldier occurs. Missing is regulatory specific guidance for units having memorial ceremonies for their soldiers who have died and whose funeral is conducted elsewhere. The referenced policy letter provides specific guidance on this issue.
3. The Adjutant General of Kansas or his designee will notify the units required to fly the National Flag at half staff for their soldiers who died in the line of duty. Unit locations designated to fly the National Flag at half staff will be determined on a case by case basis. The National Flag will fly at half staff at the designated locations from sunrise on the day of the funeral until the last volley is fired over the casket.
4. By flying our National Flag at half staff during memorial ceremonies, we honor our brave men and women who have made the ultimate sacrifice for their country.


TOD M. BUNTING, Major General (KS), KSNG
The Adjutant General

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JFHQKS-TAG

23 November 2009

MEMORANDUM FOR Employees of the Adjutant General's Dept and Members of the KS National Guard

SUBJECT: TAG Policy Letter #17, Electronic Communications Device Use While Driving in Performance of Duty

1. This policy applies to all employees of the Adjutant General's Department and members of the Kansas National Guard.
2. Hand-held Equipment Guidance:
 - a. While driving in the performance of duty, employees will not, under any circumstance, use a hand-held cellular phone (personal or agency issued), Blackberry or other communications device. Use of these devices includes talking, reading or replying to text messages.
 - b. While driving any type of Government owned vehicle, to include tactical vehicles, use of a hand-held cellular phone (personal or agency issued), Blackberry or other communications device is prohibited. Use of these devices includes talking, reading or replying to text messages.
3. Hands-free Equipment Guidance:
 - a. While driving in the performance of duty, employees will not, under any circumstance, use a hands-free cellular phone (personal or agency issued), Blackberry or other communications device. Use of these devices includes talking, reading or replying to text messages.
 - b. While driving any type of Government owned vehicle, to include tactical vehicles, Kansas Adjutant General Department employees will be required to quickly respond to incoming calls with a short response advising that the call will be continued once the driver can safely stop and park the vehicle. Drivers will not utilize agency provided hands-free equipment to initiate calls while driving. Drivers will not read or respond to text messages while driving.
4. Violation of this policy may result in disciplinary and/or adverse action, IAW appropriate guidance, which may result in termination.
5. While this policy technically covers employees while on duty, or in the performance of duty related activities (which, for AGR personnel is seven days a week, 24 hours a day), I strongly urge you to practice this policy at all times. The safety of each employee, as well as your family's safety and well-being, cannot be overstated.
6. This policy letter supersedes the previous TAG Policy letter No. 17 dated 24 February 2005.


TOD M. BUNTING, Major General, KSNG
The Adjutant General



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JFHQKS-TAG

17 June 2005

MEMORANDUM FOR All Kansas National Guard Employees

SUBJECT: TAG Policy Letter #18, Workplace Violence

1. It is The Adjutant General's policy to promote a safe environment for employees of the Kansas National Guard. The Department is committed to working with its employees to maintain a work environment free from violence, threats of violence, harassment, intimidation, and other disruptive behavior. While this kind of conduct is not pervasive at our agency, no agency is immune. Every agency will be affected by disruptive behavior at one time or another.
2. Violence, threats, harassment, intimidation, and other disruptive behavior in our workplace will not be tolerated; that is, all reports of incidents will be taken seriously and will be dealt with appropriately. Such behavior can include oral or written statements, gestures, or expressions that communicate a direct or indirect threat of physical harm. Individuals who commit such acts may be removed from the premises and may be subject to disciplinary action, criminal penalties, or both.
3. We need your cooperation to implement this policy effectively and maintain a safe working environment. Do not ignore violent, threatening, harassing, intimidating, or other disruptive behavior. If you observe or experience such behavior by anyone on agency premises, whether he or she is an agency employee or not, report it immediately to a supervisor or manager. Supervisors and managers who receive such reports should seek advice from the Labor Relations Office at 785-274-1162 regarding investigating the incident and initiating appropriate action. **[PLEASE NOTE: Threats or assaults that require immediate attention by security or police should be reported first to security at your local agency or to police at 911.]**
4. I will support all efforts made by supervisors and agency specialists in dealing with violent, threatening, harassing, intimidating or other disruptive behavior in our workplace and will monitor whether this policy is being implemented effectively. If you have any questions about this policy statement, please contact SMSgt Keith Guffy at 785-274-1162.


TOD M. BUNTING, Major General (KS), KSNG
The Adjutant General

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DEPARTMENTS OF THE ARMY AND THE AIR FORCE
JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KS 66611-1287

JFHQ-KS-TAG

16 November 2005

MEMORANDUM FOR All Kansas National Guard Personnel

SUBJECT: TAG Policy Letter #19, Unprofessional Relationships

1. References:

- (a) Air Force Instruction 36-2909, Professional and Unprofessional Relationships, 1 May 1999.
- (b) Army Regulation 600-20, Army Command Policy, chapter 4, 13 May 2002.
- (c) Department of the Army Pamphlet 600-35, Relationships between Soldiers of Different Rank, 21 February 2000.

2. Professional relationships contribute to the effective operation of the Kansas National Guard. Both the Army and the Air Force have set standards for proper relationships between individuals in the military. Even the perception that individuals are violating the professional relationship standard erodes our ability to complete our mission. I expect members of the Kansas National Guard to comport their behavior to both the intent and spirit of the standard. This command will adhere to and enforce that standard.

3. Any violation of AFI 36-2909 or AR 600-20, chapter 4 will be taken seriously, and corrective action will be taken. Members of this command who have questions about the applicable policy regarding professional and unprofessional relationships should address those questions to their commander or judge advocate.

4. POC for this policy is the Legal Advisor's Office, Major Fran Brunner, (785) 274-1481.


TOD M. BUNTING, Major General (KS), KSNG
The Adjutant General



DEPARTMENTS OF THE ARMY AND THE AIR FORCE
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JFHQ-KS-TAG

6 March 2008

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter #20, Mobilization Dwell Policy regarding Army National Guard Soldiers

1. The previous policy of limiting involuntary mobilizations pursuant to Title 10, United States Code 12302 to 24 cumulative months is rescinded based on the Secretary of Defense Memorandum, "Utilization of the Total Force," dated January 19, 2007. **Therefore, this memorandum rescinds TAG Policy Letter #20, "Mobilization of Army National Guard Soldiers," dated 12 June 2006.** The nation no longer uses Contingency Operations Temporary Tour of Active Duty orders to manage Reserve or Guard Soldiers who are called up for multiple mobilizations.

2. Terms of Partial Mobilization under 10 USC 12302 (Pursuant to Executive Order 13223):

a. **STATUTORY:** The statutory authority for ordering units and members of the Ready Reserve to involuntary active duty in response to the World Trade Center and Pentagon attacks is 10 U.S.C. 12302. The provision specifies that the period of involuntary active duty for units and members of the Ready Reserve shall not exceed 24 consecutive months. The provision also requires the fair treatment of members of the Ready Reserve regarding their involuntary call-up by considering members' previous duty, family responsibility, and employment to maintain national health, safety, or interest.

b. **POLICY:**

(1) Units or individuals with mobilization orders pursuant to 10 USC 12302 published on or after January 19, 2007 shall comply with their mobilization orders for the full period specified, which will not exceed 12 months at any one time, except at Service discretion this period may exclude individual skill training required for deployment and post-mobilization leave. However, such orders may be amended to extend the period of mobilization with approval by the Secretary of Defense, or designee.

(2) Effective 19 January 2007, the planning objective for involuntary mobilization of Guard units will remain one year mobilized to five years demobilized (1:5). However, today's global demands will require a number of selected units and individuals be mobilized again sooner than this standard.

JFHQ-KS-TAG

SUBJECT: TAG Policy Letter #20, Mobilization Dwell Policy regarding Army National Guard Soldiers

(3) No Soldier shall be involuntarily mobilized again under Title 10 U.S.C. 12302 without a minimum of 2 years dwell (home station) time. This policy includes Soldiers transferring to the Kansas National Guard from any Active component. Furthermore, I will personally review and approve or deny any Soldier generated request to volunteer for re-mobilization before the individual has less than 1 year dwell. Each level of a Soldier's chain of command, (Company/Battery, Battalion, Brigade) must approve by separate memorandum the Soldier's request before I will entertain any appeals. Personal interviews with Soldiers requesting re-mobilization within the first year of their dwell time is required without exception. The approval authority for Soldiers with more than one (1) year of dwell time but less than two (2) total years is the Brigade commander or equivalent who will personally interview the Soldier and provide a document confirming their approval or denial to JFHQKS-DCSOPS-MRO. Voluntary tours of duty (i.e., those tours authorized pursuant to Title 10 U.S.C. 12301(d)), shall be considered as dwell time for members performing such tours.

(4) The only exceptions to this policy are: key leaders who are assigned to the unit when the unit is notified by the Joint Forces Headquarters and full-time Soldiers who are expected to deploy with their unit of assignment.

3. Soldiers will not be permitted to conduct Soldier Readiness Processing or be added to a unit Deployment Manning Document until a dwell waiver has been approved.

4. The staff proponent for this policy is the Deputy Chief of Staff Operations who can be reached at (785) 274-1101.

5. This policy must be conspicuously posted to armory/unit bulletin boards and each Soldier is to be made aware of this policy.



TOD M. BUNTING, Major General, KSNG
The Adjutant General

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JFHQKS-TAG

9 March 2007

MEMORANDUM FOR All Kansas National Guard Personnel

SUBJECT: TAG Policy Letter #21 UPDATED, Possession of Privately Owned Weapons on Kansas National Guard Installations and Property

1. References:

- a. Kansas Statutes Annotated 21-4201, Criminal Use of Weapons.
- b. Kansas Statutes Annotated 21-4218, Unauthorized Possession of Firearms on State Property.
- c. Kansas Statutes Annotated 74-5602.
- d. Kansas Administrative Regulation 1-49-11.
- e. 2006 Kansas House Bill 2118 amending 2006 Kansas Senate Bill No. 418, The Personal and Family Protection Act (commonly referred to as the Kansas Concealed Carry Act).
- f. AR 190-11, AFI 31-201-4, AFD 31-1, and AFD 31-2.

2. Definitions:

a. Weapon:

(1) Any firearm, including any revolver, pistol, rifle, shotgun, or other device designed for, or capable of propelling a bullet or other projectile by means of an explosive or compressed charge.

NOTE: This definition does not include air rifles (BB and pellet guns) or compressed air paint ball guns used by members of the Kansas National Guard for training and recruiting purposes.

(2) Any knife with a blade longer than four inches; a straight razor, spring or elastic powered BB guns; a sap, slapper, or bludgeon; brass knuckles; numchucks, throwing stars, or like or similar martial arts items; bows and arrows; crossbows and bolts, or like or similar items; spears, swords, sabers or dirks, other than those designed and used exclusively for ornamental, ceremonial, or sporting purposes.

b. Privately-owned weapon: Any firearm or weapon in the possession of an individual, other than an authorized military weapon in an individual's possession as part of official military duties.

c. Possession: Either, actual ownership of a weapon or exercise of dominion and control over a weapon, regardless of actual ownership. Possession includes weapons stored in vehicle trunks or other such secure locations within a vehicle.

3. The possession of privately owned weapons on Kansas National Guard installations and property constitutes an unacceptable threat to the safety of military and civilian employees of the Kansas National Guard. Accordingly, the possession of a privately owned weapon on any property owned or leased by the Kansas National Guard is expressly prohibited. This prohibition specifically includes any individual issued a license to carry a concealed weapon under the Personal and Family Protection Act of Kansas.

JFHQKS-TAG

SUBJECT: TAG Policy Letter #21 UPDATED, Possession of Privately Owned Weapons on Kansas National Guard Installations and Property

4. Other than military personnel in possession of an authorized military weapon while in the performance of their official duty, the only other individuals authorized to carry weapons onto property owned or leased by the Kansas National Guard are:
 - a. Law Enforcement Officers, while actually engaged in the performance of their official duties as defined by KSA 74-5602;
 - b. Wardens, Superintendents, Directors, Security Personnel and Keepers of prisons, penitentiaries, jails and other institutions for the detention of persons accused or convicted of crime, while acting within the scope of their authority;
 - c. Resource Protection Officers employed by the Kansas National Guard while in the performance of their official duties;
 - d. Certified instructors and participants in Kansas Hunter Safety classes, so long as all weapons have been cleared by the instructor and no ammunition is brought in;
 - e. Licensed auctioneers who have entered into a valid armory rental agreement to use the armory for an auction, so long as gun locks or zip ties are used to make the weapon inoperable.
5. The Adjutant General, or his designated representative in his absence, may grant specific exceptions to this policy on a case by case basis.
6. I hereby direct that all Kansas National Guard installations and property be posted with approved signs and/or notices indicating the area restrictions on weapons.
7. Violation of this policy by military or civilian employees of the Kansas National Guard will result in the person being directed to leave the installation or property with the weapon, and may result in disciplinary action taken IAW applicable military and civilian regulations and statutes.
8. Point of contact for this policy is the Office of the Staff Judge Advocate, ATTN: LTC Bruce Woolpert or Maj Frances Oleen at 785-274-1027.


TOD M. BUNTING, Major General, KSNG
The Adjutant General

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OFFICE OF THE ADJUTANT GENERAL OF KANSAS
JOINT FORCE HEADQUARTERS - KANSAS
2722 SW TOPEKA, BLVD
TOPEKA, KANSAS 66611-1298

REPLY TO
ATTENTION OF

JFHQKS-TAG

22 June 2009

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter No. 22, Troop Feeding

1. This memorandum updates TAG Policy Letter No. 22, Troop Feeding, dated 13 March 2007.
2. The KSARNG meal standard is three (3) quality meals per day. These meals will be selected from the KSARNG Food Service Menu approved by the KSARNG Menu Management Board. The KSARNG has acquired a Blanket Purchase Agreement (BPA) for a Subsistence Prime Vendor. All KSARNG units will procure all their subsistence from the prime vendor during Inactive Duty Training and Annual Training conducted within the state of Kansas.
3. The tactical commander's feeding plan will be governed by Mission. Commanders will ensure their 92G soldiers, are being utilized and performing their required duties at all levels. In addition, with reduction in IDT and AT subsistence funds, commanders that have attached or assigned 92G personnel must feed "class A" Rations. This will ensure that the KSARNG units can be monitery supported for the entire year.
4. KSARNG receives their funding for subsistence based upon the total strength, number of operatable dining facilities and the Basis Daily Food Allowence for the (BPA). There is no additional authorization within the subsistence budget for commercially prepared meals. The KSARNG cannot continue to acquire funds from other internal sources to be utilized to support commercially prepared meals.
5. Commanders will ensure that required food service training is being conducted, documented and filed in the food service files. Unit Commanders having assigned/attached cooks must ensure their cooks are licensed to operate all field fuel-fired equipment, appoint a Food Service Officer and a unit Field Sanitation Team. Coordinate with the food program manager and the KSARNG Surgeons office for required additional training for these additional duties.
6. While the KSARNG Food Program Manager is responsible for the food program, it takes a "Team Effort" to efficiently manage this program. Commanders at all levels will support this program and ensure that their assigned 92G personnel and food advisors/senior food service management NCO's are performing their required duties, IAW AR 30-22, KSARNG Food Service LOI and other directives published from the DOL.
7. Commanders possessing 92G personnel must coordinate with their Subordinate Commanders, Administrative Officers and the Food Program Manager, and initiate a plan of action to co located and attached enough cooks and equipment down to their subordinate units in order for them to utilize "A" Rations, if possible. Units with limited cooks or kitchen equipment may still be able to prepare "A" Rations utilizing the Rapid Preparations meals offered in the KSARNG 14 Day Menu.

JFHQKS-TAG

SUBJECT: TAG Policy Letter No. 22, Troop Feeding

8. Units co-located in armories and drilling on the same weekend will combine food service operations. Supporting units will be on a rotating basis. Supported unit commanders will ensure that their 92G personnel are performing PMCS on assigned equipment or conducting food service training training or other training related tasks that the unit may have.
9. Commanders will ensure that the Armory or field kitchens are inspected after each use, by their assigned field sanitation teams in order to ensure sanitary controls are IAW AR 40-5, (Preventive Medician), Para, 14-3, b. Units will utilize the checklist published by the food program manager to conduct this inspection.
10. Food service personnel will wear the cook white uniform while preparing meals in armory garrison dining facilities IAW AR 67-1 (Wear and Appearance of Army Uniforms), Chapter 9 , Para, 9-1 thru 9-5.
11. MRE's will not be served during IDT home station unless approved by the food program manager. MRE's will mainly be utilized during AT and IDT field training events for lunch meals.
12. KSARNG units training at an active duty installation will utilize the KSARNG Prime Vendor unless not authorized from the supporting installation TISA. If utilizing the TISA, units will follow their guidance.
13. S-4/G-4 Officers must ensure their assigned food advisor or chief/senior food operations management NCO's are performing their required duties IAW AR 30-22, KSARNG Food Service LOI and other directives implemented by the KSARNG Food Program Manager.
14. Requests for exception to this policy will be submitted to the JFHQKS, DOL, Food Program Manager. Each request will be considered on its own merit.
15. This policy authorizes all officers and enlisted AGR soldiers receiving BAS to subsist in Appropriated Fund Dining Facilities IAW AR 30-22, Para 3-30 and 3-34.
16. This memorandum updates TAG Policy Letter No. 22, Troop Feeding, dated 13 March 2007.
17. POC for this policy is MSG David C. Raska, KSARNG State Food Program Manager, and can be reached at (785) 274-1894 or david.raska@us.army.mil.


TOD M. BUNTING
MAJOR GENERAL, KSNG
The Adjutant General

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JFHQKS-TAG

26 April 2007

MEMORANDUM FOR All Members of the Kansas National Guard

SUBJECT: TAG Policy Letter #23, Motorcycle Accident Prevention

1. As motorcycling continues to become an increasingly popular mode of transportation and recreation, it is imperative that our Kansas National Guard Family be aware of the educational and personal protective equipment (PPE) requirements for operation of motorcycles. The Department of Defense Instruction (DODI) 6055.4 the DOD Traffic Safety Program and AR 385-55, Prevention of Motor Vehicle Accidents, dictate the educational and PPE requirements for civilians and military personnel operating motorcycles.
2. All AGR personnel must comply with the requirements of the appropriate regulations both on and off duty. Traditional soldiers and airmen will comply with the regulatory guidance when performing in any military status operating a motorcycle. Off duty compliance is strongly encouraged.
3. The current regulations require that everyone operating a motorcycle in conjunction with Para 2, is required to have completed a motorcycle safety course commensurate with those provided by the Motorcycle Safety Foundation. The information about these courses and availability may be obtained from the State Safety Manager or Wing Safety Personnel.
4. The minimum required Personal Protective Equipment in accordance with current regulations is a Department of Transportation approved helmet, face shield or approved goggles properly attached to the helmet, sturdy over the ankle footwear, long sleeved shirt or jacket, long pants, full fingered gloves or mittens designed for motorcycles and a brightly colored outer garment vest/belt/riding jacket (day) / retro-reflective upper garment (night).
5. The State of Kansas does not have a helmet or PPE requirement except for protective eyewear when a windshield is not in place and a helmet requirement for those under 18 years of age. This policy is to illustrate that regardless of State requirements, Military and DOD Civilian personnel have a requirement to comply with the appropriate regulations when acting in conjunction with these positions.


TOD M. BUNTING, Major General, KSNG
The Adjutant General



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JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
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JFHQKS-TAG

21 March 2007

MEMORANDUM FOR All Kansas National Guard Personnel

SUBJECT: TAG Policy Letter #24, State Sponsored Life Insurance

1. The United States Congress has authorized each individual state to establish and administer its own life insurance program for the benefit of members of the state National Guard members and their families. 37 U.S.C. Sec. 707.
2. To that end, I hereby name the National Guard Association of Kansas, underwritten by American Equity Life Insurance, Des Moines, Iowa, as the state sponsored life insurance agency for the Kansas National Guard to administer our life insurance program for the benefit of members of the Kansas National Guard members and families.
3. With this action comes the authorization to access Kansas National Guard members' payroll for the purpose of paying premiums as determined by the individual soldier or airman through the various DFAS (Defense Finance Accounting System). This insurance program is in addition to government sponsored life insurance programs such as SGLI (Serviceman's Group Life Insurance) and is voluntary on the part of each member of the Kansas National Guard.
4. The registered insurance agent of the National Guard Association of Kansas is authorized to present the life insurance program to Kansas Army and Air National Guardsmen. This agent should be licensed with the State of Kansas Insurance Commissioner to establish and maintain high ethical standards of the insurance program and act in behalf of and in the best interests of soldiers, airmen and their families. I expect the agent and association to meet the reasonable expectation of providing prompt and full payment to families in the event of loss of a loved one to minimize stress associated with the financial burden of final expenses.
5. On behalf of the Kansas National Guard and all our members, we appreciate all the hard work displayed by the employees and agents of the National Guard Association of Kansas' life insurance program, and look forward to our relationship ahead.


TOD M. BUNTING, Major General, KSNG
The Adjutant General

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JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KS 66611-1287

JFHQKS-TAG

26 April 2007

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter #25, Service Member Medical Injuries

1. It is my intent that all KSNG Soldiers and Airmen who are injured and either in hospital care or awaiting treatment, return to duty or return to their home as quickly as possible. They should be in the same or better condition than when they reported for duty where possible. We must aggressively monitor their care just as we would our own family members.
2. Effective immediately the following responsibilities are assigned:
 - a. Joint Force Headquarters:
 - (1) All personnel who are injured in combat operations will be visited within 72 hours of arrival in CONUS by a KSNG senior leader to check on their medical condition, family care and potential issues in either area. All other injured Soldiers or Airmen will be visited as soon as absolutely possible. These visits will be coordinated by the Chief of Staff – LC for Army personnel, and by the Deputy JCS for Airmen.
 - (2) The State Medical Section will track the status of Army Service Members, including when they entered into medical care, date and time of each change in medical status, any issues raised by the caregiver, the patient or the family. The Air Wings will track Airmen. They will determine and document the expected outcome of the caregiver, the patient, the family and our organization including, end state for the injury, timeline and location. An update report will be published weekly and as needed for the Adjutant General and component commanders.
 - (3) The State Surgeon, in conjunction with the CoS-LC and the Deputy JCS will develop a decision point matrix or chart NLT 15 May 07 to guide the State Medical section in determining when and to whom they should raise issues on medical care of our injured Service Members.
 - (4) The State Family Program Coordinator's office will ensure they make periodic contact with affected families, on a least a bi-weekly basis.
 - (5) The State Chaplain will provide personal support where necessary.
 - b. Major Subordinate Commands & Air Wings:
 - (1) Make weekly contact with all Soldiers or Airmen still in a Title X status to see if there are any issues with their care or support. Once they are released from Title X status, I still expect their unit of assignment to make contact with them at least monthly to see how they are doing.

JFHQKS-TAG

SUBJECT: TAG Policy Letter #25, Service Member Medical Injuries

(2) Aggressively monitor each and every service member injured in unit operations. Ensure they feel like they will always be a member of our team and Guard family, which they are.

(3) Report all contact with wounded Soldiers or Airmen up through the chain of command to the CoS-LC and/or Deputy JCS.

3. Additionally, I have extended an invitation to select elected officials to visit our wounded Soldiers or Airmen. Where possible, a military escort will be assigned to visit with them.

4. My expectation is that each Soldier or Airman will receive the best care available, by the Military or other health care providers. The goal is to ensure the fastest recovery and quickest return possible to his or her mission, family and community. Issues that arise regarding treatment and/or recovery that could impede meeting this expectation will be raised immediately to the appropriate command or staff level for the earliest resolution possible.



TOD M. BUNTING, Major General, KSNG
The Adjutant General

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DEPARTMENTS OF THE ARMY AND AIR FORCE
Joint Forces Headquarters Kansas
2800 Southwest Topeka Boulevard
Topeka, Kansas 66611-1287

JFHQKS-TAG

1 May 2007

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter #26, Sexual Assault Prevention and Response Program (SAPR) Awareness Policy for the Kansas National Guard

1. Reference Department of Defense Directive (DoDD) 6495.01 "SAPR Program," dated 6 October 2005, Department of Defense Instruction (DoDI) 6495.02 "SAPR Program Procedures," dated 23 June 2006, The Adjutant General's policy letter #11 Sexual Harassment and policy letter #18 Workplace Violence.
2. Sexual assault is a crime that demeans the value of others, erodes the trust, good order and discipline that are vital to the success of any military unit. The Kansas National Guard will focus on the prevention of sexual assault, effectively implement the Sexual Assault Prevention & Response Program, and pursuing or assisting with the prosecution of offenders to the fullest extent allowed under either civilian or military law.
3. The SAPR Program defines sexual assault as: "intentional sexual contact, characterized by use of force, physical threat or abuse of authority or when the victim does not or cannot consent. Sexual assault can occur without regard to gender or spousal relationship or age of the victim." DoDD 6395.01, October 6, 2005.
4. My policy is clear and unequivocal on the support of the SAPR program. All Soldiers and Airmen of the Kansas National Guard will be afforded the same level of support and treatment in all facets of their membership. Support for this policy is outlined in DoDI 6495.02 Para 5 entitled Responsibilities dtd 23 June 2006.
5. Questions in regards to this policy can be accessed at the following website: http://www.sexualassault.army.mil/content/leader_prevent.cfm, by calling the Inspector General's Office at 785-274-1020, Military One Source for trained counselors at 1-800-464-8107 or through the Joint Force Headquarters (JFHQ) Sexual Assault Response Coordinator (SARC), CPT Robert Parvin at 785-861-3973 or robert.parvin@us.army.mil.
6. This policy letter will be posted on all unit/organizational bulletin boards.

Distribution:
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Todd M. Bunting, Major General, KSNG
The Adjutant General



DEPARTMENTS OF THE ARMY AND THE AIR FORCE
JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KS 66611-1287

TAG

21 April 2009

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAG Policy Letter No. 27, Waivers and Exception to Policy Requests for Army Regulation 190-11 and Army Regulation 190-51.

1. To ensure that Arms, Ammunition and Explosives (AA&E) and Army property meet or exceed the security and accountability standards of AR 190-11 and AR 190-51, the following will be implemented:
 - a. Units will submit a memorandum requesting waivers or exceptions to policy to the State Security Specialist. Units will clearly state the reason for the request, duration, and compensatory measures to be taken, if needed.
 - b. The State Security Specialist will review the request ensuring it is a valid request for waiver or exception to policy and no lapse in security exists.
 - c. Waivers or exceptions to policy will be approved by the Chief of Staff, KSARNG.
2. Approved waivers will be valid for one year. Units requiring a continuation will submit a new written request. Units will state the circumstances for why the original deficiencies were not corrected and include a plan of action to ensure correction.
3. Exceptions to policy will be reviewed annually by the State Security Specialist.
4. Commanders will not approve their own waivers or exceptions to policy.
5. POC is SSG Joseph H. Cole Jr., State Security Specialist, 785-274-1125.


TOD M. BUNTING, Major General, KSNB
The Adjutant General

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NGKS-Z

10 March 2010

MEMORANDUM FOR Kansas Adjutant General's Department Employees

SUBJECT: TAG Policy Letter #28, Hiring, Administrative Actions involving Felony Convictions

1. All member employees of the Kansas Adjutant General's Department with a past felony or a pending felony charge will be documented. The documentation will be forwarded through appropriate channels to determine appropriate action, if any, by the Kansas Adjutant General's Department. This includes a determination during the application and hiring process of the appropriateness of a person's prospective employment. The policy applies to all member employees of the Kansas Adjutant General's Department.
2. It is the intent of the Adjutant General to protect the member employee's rights until the case is adjudicated by civilian authority. However, the Adjutant General will take all reasonable and prudent steps to ensure the safety and security of other member employees and maintain public confidence in the Adjutant General's Department.
3. A member employee's status will be determined as expeditiously as possible.
4. The Office of the State Staff Judge Advocate will promulgate the procedures, rules, and definitions required to implement this policy.
5. This policy is new and takes precedence over any competing or contrary application of existing policies.


TOD M. BUNTING, Major General, KSNG
The Adjutant General

Attachment:
NGKS-JA Implementation of TAG Policy #28



DEPARTMENT OF THE ARMY AND THE AIR FORCE

KANSAS NATIONAL GUARD
JOINT FORCES HEADQUARTERS KANSAS
OFFICE OF THE STAFF JUDGE ADVOCATE
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KANSAS 66611-1287

NGKS-JA

10 March 2010

MEMORANDUM FOR Kansas Adjutant General's Department Employees

SUBJECT: Implementation of TAG Policy Letter #28, Hiring, Administrative Actions involving Felony Convictions

1. Reference: SecDef Policy dated 2 April 2008, Self-Reporting by Officers and Senior Enlisted Members of Criminal Convictions; Army Regulation 135-178, Administrative Separation of Enlisted and Officers; Air Force Instruction 35-3206, Administrative Discharge Procedures; State of Kansas Statutes and Procedures as provided by the Kansas Adjutant General's Department, State Human Resources Office.

2. Definitions, for purposes of this policy:

a. The term "conviction" includes a plea or finding of guilty, a plea of *nolo contendere* (no contest), and all other actions tantamount to a finding of guilty, including adjudication withheld, deferred prosecution, diversion, entry into adult or juvenile pretrial intervention programs, and any similar disposition of charges. Expungements or other similar actions resulting in the removal of a felony from a criminal record or history are specifically included.

b. A criminal law includes any military or other Federal criminal law; any state, district, commonwealth, or territorial or equivalent criminal law or ordinance; any criminal law or ordinance of any county, parish, municipality, or local subdivision of any such authority. Motor vehicle violations that do not involve a court appearance are expressly not included.

c. "Member employee" means any and all full-time/temporary full-time, part-time/temporary part-time, and drill/traditional/M-day status military members; full-time, part-time, and temporary, contract civilian employees; contractors; full and part-time volunteers; and any other persons of the Kansas Adjutant General's Department and persons applying for employment with the Kansas Adjutant General's Department. This policy specifically excludes full and part-time prisoner/probationer/parolee employees working through various programs with municipal, county, state, and federal departments of corrections.

NGKS-JA

SUBJECT: Implementation of TAG Policy Letter #28, Hiring, Administrative Actions involving Felony Convictions

d. "Responsible authority" means the member employee's first-line supervisor, unless the authority has been withheld by a higher level supervisor or member of the chain of command. For dual/multiple status member employees, all responsible authorities will meet to determine which responsible authority will take the lead and to coordinate all actions.

e. "Flag" means to annotate, mark, designate, a member employee's personnel file or employment application when felony charges are verified pending or a felony conviction is verified adjudicated, each appropriate Personnel/Human Resources offices may define through their own regulations/instructions/policies the ramifications of a "Flag" on current and future personnel actions.

3. Purpose: The purpose of this policy is to document all member employees with felonies and to determine appropriate action, if any, by the Kansas Adjutant General's Department and to determine during the application and hiring process the appropriateness of a person's prospective employment. The policy applies to all member employees of the Kansas Adjutant General's Department. When a member employee is charged with a felony in a civilian court or when the responsible authority becomes aware of a member employee being charged with a felony or having a past felony conviction, the following actions will be taken:

a. When the responsible authority receives verification of a felony charge or conviction, it will immediately flag the member employee's personnel file. The flag will not be lifted until the civilian criminal charges are resolved and appropriate legal, administrative, and/or, personnel action, if any, is completed.

b. The responsible authority will determine, after consultation with Legal and the appropriate Personnel/Human Resources offices, if the member employee's presence will create a work distraction for others or is a threat to other member employees. This determination will be in writing with written endorsement from Legal and the appropriate Personnel/Human Resources offices. Conflicts will be resolved by the applicable responsible authority chain. The Adjutant General is the Department's final authority.

c. The responsible authority will consult with the Legal office on the nature of the civilian criminal charge and make a determination on appropriate legal, administrative, and/or, personnel action, if any. The Legal office will track and monitor the case until final resolution. The responsible authority will be, in cooperation with Legal and appropriate Personnel/Human Resources offices, informed and, when required, engaged in all facets of the case.

NGKS-JA

SUBJECT: Implementation of TAG Policy Letter #28, Hiring, Administrative Actions involving Felony Convictions

d. The responsible authority will consult with the J6 on suspending the member employee's computer access.

e. The responsible authority will consult with the J2 in suspending the member employee's security clearance.

f. The responsible authority will immediately suspend the member employee's access to weapons and ammunition.

g. The responsible authority will not place the member employee on State Active Duty, pre-mobilization, or mobilization orders without specific approval of the Adjutant General or the Adjutant General's designee.

4. All member employees have an affirmative obligation to self report a pending felony charge or felony conviction to their first-line responsible authority or the Legal office. Full and part-time member employees must report the first working day following their charge or conviction. Drill status military members must report their charge or conviction no later than their next scheduled drill date, orders date, or 30 days, whichever comes first. This obligation applies even if sentence has not been imposed or the member employee intends to appeal the conviction. Failure to comply can, in itself, be ground for appropriate legal, administrative, and/or personnel action.

5. Upon notification of a member employee's felony charge or conviction, the responsible authority will determine, after consultation with Legal and the appropriate Personnel/Human Resources offices, whether to initiate separation or termination action. Within ten (10) days, the responsible authority will forward, in writing, their recommendation and refer the case to the next level of authority. Each level of authority has ten (10) to add their recommendation and refer the case forward. The Adjutant General is the Department's final authority.

6. When determining appropriate action, if any, the responsible authority, Legal and appropriate Personnel/Human Resources offices will:

a. Apply a rebuttal presumption to separate or terminate a member employee charged or convicted of a Person Felony, as defined by Kansas Statutes.

b. Apply no presumption on appropriate action, if any, for a member employee charged or convicted of a felony involving dishonesty, as defined by Kansas Statute and consultation with Legal. This is a case by case analysis. However, the member employee's duties and responsibilities will be scrutinized to determine whether the member employee can

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continue in their current position. The responsible authority, Legal, and appropriate Personnel/Human Resources offices will pay particular attention to, but not limited to, the member employee's access to personal identifiable information, Federal or State funds, Government credit cards, Federal and State computer and communication systems, and overall danger (physical, material, and financial) to the workforce and Kansas Adjutant General's Department.

c. Apply no presumption on appropriate action, if any, for member employees charged or convicted of all other Felonies including expungements or other similar actions resulting in removal of a felony from a criminal record or history, of any type of felony. This is a case by case analysis.

7. It is the intent of the Adjutant General to protect the member employee's rights until the case is adjudicated by civilian authority. However, the Adjutant General will take all reasonable and prudent steps to ensure the safety and security of other member employees and maintain public confidence in the Adjutant General's Department.

8. Member employee's status will be determined as expeditiously as possible.

9. This policy is new and takes precedence over any competing or contrary application of existing policies.

FOR THE ADJUTANT GENERAL:

A handwritten signature in black ink, appearing to read 'S. Dold', written in a cursive style.

SCOTT A. DOLD, Col, KSANG
Senior Legal Advisor to the Adjutant General



DEPARTMENTS OF THE ARMY AND THE AIR FORCE
JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KS 66611-1287

NGKS-TAG

10 May 2010

MEMORANDUM FOR KSNG Unit Commanders

SUBJECT: TAG Policy Letter #29, Official Policy for the Adjutant General's Mounted Color Guard (MCG)

1. This is the official policy letter that was verbally approved on 16 September 2004 based upon recommendations of JAG, HRO, Chief of Staff and TAG MCG Commander

2. **MISSION STATEMENT:** The Adjutant General's Mounted Color Guard and Cavalry Troop demonstrate the Horse Soldier heritage and traditions of the Kansas National Guard. The unit participates in military and civic events that enhance recruiting, retention and good public relations by demonstrating the history and pageantry of the mounted Kansas National Guard Soldier.

3. The unit is made up of volunteer members, FTM (TECH/AGR) and M-day officer, enlisted, civilian and retired members of the Kansas Army and Air National Guard. Family members of volunteers may participate in certain supervised events based upon the approval of the unit commander. There is certain risk involved in all equine events and the Kansas National Guard assumes no liability. Volunteer Troopers provide their own mounts, horse maintenance and transportation. Periodic uniforms and horse equipment will be provided by the agency as accountable station property.

4. Troopers and mounts are trained in basic cavalry mounted drills. Equine units require extensive and frequent training. SAFETY is paramount in all unit activities. Composite Risk Management will be conducted and applies to all missions at all times. The health of the mounts is the responsibility of the owner. Yearly veterinary health certificates and Coggins test is required on each animal.

5. The MCG Commander will maintain a roster of active MCG members that will be updated quarterly and ensure distribution of that roster to KSNG organizations. The Commander will appoint the MCG Staff consisting of members of the unit. The Staff and responsibilities shall consist of:

* **Commander:** The MCG Commander is the primary trainer and coordinator of unit events. He/She will chair all unit meetings or designate someone to do so. The Commander will represent the unit at all event meetings and official functions.

* **First Sergeant:** The 1SG will assist the Commander in the execution of his duties. He/She will have primary responsibility for instructing the unit in drill. He/She will inspect both troopers and the camp to see that they present a proper military appearance.

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SUBJECT: TAG Policy Letter #29, Official Policy for the Adjutant General's Mounted Color Guard (MCG)

- * Adjutant: The Adjutant will assist the unit Commander in the execution of his duties. He/She will be responsible for maintaining all unit personnel records and the minutes of unit meetings. He/She will develop and maintain a unit "alert roster", be responsible for handling incoming and outgoing unit correspondence, and edit the unit newsletter.
- * Quartermaster Sergeant: The Quartermaster will be responsible for maintaining all unit financial and equipment records. He/She will be prepared to give an accounting of same when required.
- * Add'l Leadership Roles: As it becomes necessary, the unit Commander and his Staff (the other elected leaders) may appoint officer/noncommissioned officers to other necessary roles. In addition, the elected leaders may appoint a unit member as chairman of a special or temporary committee. The Commander may, at his discretion, appoint another unit member to function in a leadership capacity, in particular situations.

6. MCG members that are full-time employees of the Kansas National Guard will reference HRO Policy Letter #14 for proper leave policies and procedures.

7. All official event participation by the MCG will be in some form of legally authorized military status, i.e. State Active Duty, IDT, AT, ADSW, No-Pay IDT (points only) to ensure liability protection for both the individual and organization.


TOD M. BUNTING, Major General, KSNG
The Adjutant General

Distribution:
Army (All)
Air (All)



DEPARTMENTS OF THE ARMY AND THE AIR FORCE
JOINT FORCES HEADQUARTERS KANSAS
2800 SOUTHWEST TOPEKA BOULEVARD
TOPEKA, KS 66611-1287

NGKS-TAG

27 July 2010

MEMORANDUM FOR NGKS Army Distribution (All)

SUBJECT: TAG Policy Letter #30, Energy Conservation Heating and Cooling Regulations According to AR 420-1, Chapter 22-12

1. Due to the current rewrite status of the KSSOP 11-27, this official policy letter is drafted in accordance with AR 420-1, Chapter 22-12 (2 November 07) establishing heating and cooling regulations, specifically thermostat settings, humidity control and portable heating and cooling devices, effective upon receipt.
2. During the heating season, temperatures in occupied facilities will be maintained in the range of 72 degrees Fahrenheit plus or minus 2 degrees Fahrenheit during working hours and heating setback temperatures during unoccupied times shall be set at 60 degrees Fahrenheit plus or minus 5 degrees Fahrenheit. Temperatures in warehouses and similar active working spaces, like maintenance bays, will be at 55 degrees Fahrenheit plus or minus 5 degrees Fahrenheit during occupancy and 45 degrees Fahrenheit plus or minus 5 degrees Fahrenheit during unoccupied periods. Warehouses will not be heated if they are usually devoid of human activity and if freezing and condensation are not issues.
3. Wherever mechanical cooling is authorized, cooling season temperatures for occupied working and living spaces shall be maintained in the range 74 degrees Fahrenheit plus or minus 2 degrees Fahrenheit. Cooling set-up temperatures during unoccupied times shall be set at 85 degrees Fahrenheit plus or minus 5 degrees Fahrenheit. Space temperature for medical and medical research operations will comply with these standards.
4. Seasonal humidity levels may be adjusted to improve personnel comfort if the system is capable of humidity control. Adjustments in humidity control will be accomplished in the most efficient manner to minimize the increase in total consumption.
5. The operation of portable heating and cooling devices is prohibited where the intent is to circumvent the heating and cooling standards outlined above. Supplemental heating and cooling may be used when cost effective energy reductions can be achieved by reducing usage of primary heating and cooling systems or personal comfort levels cannot be achieved by reasonable adjustments of the primary system. Such devices are particularly effective where only a few people occupy a portion of a large building, and conditioning is only required in a small section of the facility. Use of personal supplemental heating or mechanical cooling devices must have supervisor written approval and must only be used when the area is occupied.

SUBJECT: Energy Conservation Heating and Cooling Regulations According To AR 420-1,
Chapter 22-12

6. All Commanders, Supervisors and Building Managers are charged with monitoring energy usage in your facilities for compliance.

7. The point of contact for energy issues is Sarah Karlin, KSARNG Energy Conservation Manager, at (785) 274-1148.


TOD M. BUNTING, Major General, KSNG
The Adjutant General



Manager/Supervisor Handbook

Helpful
Information

Managing Attendance Issues

Employees are expected to take leave as needed to recover from illness, maintain work/life balance, and manage their health and other personal needs. But when a pattern of absences results in lost productivity, or impedes the work of others, attendance can become an issue. Attendance problems may show up as:

- Unauthorized or unscheduled absences.
- A pattern of before and after weekend absences.
- Tardiness and early departures.
- Long or frequent breaks.
- Excessive leave use, resulting in the need to take leave without pay.

Strategies for Success

- **Clearly define the problem.** The goal is to improve performance, not just improve attendance. Clearly establish and understand the specific impact of missed work, such as:

Lack of availability.

Lost productivity.

Missed deadlines or deliverables.

Impact on other employees' deliverables, productivity, or morale.

If a specific negative impact can't be identified, review the position description. Perhaps a full-time position is not needed.

- **Set clear standards.** Supervisors often assume that employees understand their expectations about flexing their schedules, taking breaks, and submitting leave requests. Many issues can be resolved by simply communicating specific expectations.
- **Monitor and document employee attendance.** Analyzing attendance to determine whether a true pattern or problem exists, and intervene at the earliest possible opportunity. HR has tools available should you need them to assist with this.
- **Consider requiring medical verification.** If records indicate a pattern of sick leave abuse, consider requiring the employee to provide medical verification of their illness. Notify them that going forward you will require a Dr's note for any medical leave.
- **Be aware of other laws affecting leave use.** There is a complex web of federal and state laws that impact leave from work, including the Family and Medical Leave Act (FMLA), Americans with Disabilities Act (ADA), Title VII of the Civil Rights Act of 1964, Uniformed Services Employment and Reemployment rights Act (USERRA), and Workers Compensation. Thoroughly analyze whether employees have specific legal rights before taking any action. HR can assist you with this should you need assistance.
- **Assess whether the problem is temporary or chronic.** Many people experience a short-term personal crisis that requires absence from work. Issues can include acute personal illness, family

illness or death, substance abuse treatment, spousal abuse, and/or family legal trouble. Whether the issue is temporary or long-term may impact the course of action an employer chooses to take.

- **Don't take personal responsibility for the source of the problem.** It is not an employer's job to fix underlying problems, but rather to provide resources to employees that may help them improve their performance. We have an Employee Assistance Program that employees may utilize.

Potential Challenges

- **Shifting behavior.** When confronted with one type of leave abuse (e.g., calling in sick every Monday after payday), some employees will stop that behavior but begin exhibiting another problem (e.g., tardiness or long lunch breaks). When responding to this kind of abuse, consider setting strong and comprehensive standards for the employee covering all aspects of attendance.
- **Up / Down cycles.** Some employees will correct attendance issues when first confronted, only to return to old behavior several months later. Consider implementing a performance improvement plan with a long monitoring timeframe during which the employee must demonstrate improvement.
- **Concerns about treating employees differently.** Some supervisors fail to take action because they believe they have to 'treat everyone the same.' It is appropriate to set stricter standards for employees with attendance problems. Treating them differently is not a punishment; it is a targeted strategy to help improve their performance.
- **Employees who come to work sick.** Also known as 'presentee-ism', Many employees choose to come to work sick rather than use up their sick leave or take leave without pay. Persuading or forcing employees to take leave can be difficult. Contact HR should you need assistance with this issue.

Other Resources

The [Employee Assistance Program](#) provides resources for and assistance to employees and their family members to resolve personal or work related problems.

Benefits of Coaching

- Reduced Stress – *you'll be in a better position to think things through and make the best decisions about coaching your employees*
- Able to get more work done – *you won't be spending as much time trying to figure out how to handle challenging employees*
- Feel better – *that's what happens when you proactively handle an employee situation*
- Increases efficiency and effectiveness – *you will get more done through your employees when you are effectively coaching them to reach their potential*

Four Step Coaching Process:

1. Describe the situation (positive or negative) and your expectations
2. Get agreement on the situation (positive or negative) and if necessary develop solutions together
3. Agree on an action plan
4. Follow up to ensure the situation has improved.

Coaching GOOD WORK

- When you see it, say it and be specific what the employee did well. Don't just say great job. *You did a great job at answering those tough questions from the customer with a smile on your face.*

Coaching POOR WORK

- When you see it, say it and be specific what the employee needs to improve on. *You did not enter all of the data entry that I asked for you to complete.*
- Make it private and show you care. *I understand you may have some other distractions going on but I still need you to complete this data entry in a timely fashion.*
- Ask questions. *Do you understand why it is important for you to complete this data entry? There are other work areas that are waiting for us to provide them this information so that they can complete their reports.*
- Offer simple positive and practical advice. *In the future if you need help make sure you come to me well ahead of time so I may make arrangements to assist you.*

Correcting POOR HABITS

- Prepare the employee. *I would like to meet with you this afternoon to discuss your tardiness to work.*
- Be gentle but direct. *I noticed you have been tardy to work on these 5 occasions in the last month. I realize you have many things to do in the morning but it is expected that you arrive to work by your scheduled start time.*
- Make it private, make it positive. *We can move back your start time 15 minutes and meet one month from now to discuss how this is working.*

Skill Steps: Why and How

Skill Steps	Why	How
Describe your problem and expectations	<i>Make sure you start on the same page; both parties know what is being discussed.</i>	<i>Share facts only, not opinions, make expectations realistic and in line with the agency goals.</i>
Get agreement on the problem	<i>There may be facts you are unaware of, make sure you allow employee time to share and listen to their concerns.</i>	<i>Ask for the employee's description of the problem, ask if they agree that this problem exists, ask if they see the impact of their behavior</i>
Develop solutions together	<i>Employee will be more likely to buy into the solution, gives a voice to both parties, shows that the goal of coaching is not to reprimand but improve</i>	<i>Share your ideas, ask for their ideas, brainstorm a list, ask them to bring solutions back to you later</i>
Agree on an action plan	<i>To ensure the employee knows what is expected of them moving forward, you will both have a shared understanding of the next steps.</i>	<i>Jointly propose next steps and ask if this is something the employee can do</i>
Follow up to ensure the situation has improved	<i>Opportunity to reinforce and congratulate success, opportunity to clarify if plan is not being followed</i>	<i>Catch the employee doing the right thing, make an effort to spend more time around this employee, ask them how it is going, schedule a date for follow-up</i>

DOCUMENTATION

Get in the habit of documenting events frequently and regularly for all employees. It allows you to remember events – good and bad. This will provide important information for future appraisals, warnings or discipline, if necessary.

Good Documentation Is:

1. Accurate. It contains information, which you know to be true and which can be objectively substantiated.
2. Factual. It contains a description of the offense or problem, along with names, dates, and times, place of events and/or warnings, and the duration and frequency of the problem or offence.
3. Informative. It tells precisely what rule or policy was violated or what performance, attendance or behavioral problem exists. It explains what the employee must do to correct the problem. It lists previous steps taken to resolve the problem and the consequences if the problem continues.
4. Clear and precise. Use language that is objective and clear. Don't use words "never" or "always". Don't say "you are not doing your job" or "you are always late." Do say: "You did not finish the XYZ project by the June 1 deadline. You were 10 minutes late on January 4 and 15 minutes late on January 8."
5. Timely. Write down the information while it is still fresh.
6. Retained. Retain any papers you use to show mistakes. i.e. memos, phone messages, purchase orders, as well as all prior warnings or memos concerning the employee.
7. Signed. Have the employee sign the document. It is important to show that the employee actually received a document such as a warning, appraisal, action plan etc. If the employee refuses to sign, have a human resources representative or another neutral manager sit in on the discussion and witness that the document was given to the employee. You may also wish to have the employee write "I refuse to sign" or "I don't agree" beside his signature, to indicate that he or she received the document regardless of whether he or she agrees with it.

DO NOT INCLUDE:

1. Hearsay. This is information or reports from other employees or managers, which cannot be objectively confirmed or substantiated (e.g. "Joe said that Frank thought you were late".)
2. Subjective evaluations or conclusions. Opinions such as "you are lazy" or "you have a bad attitude."

Practice Good Discipline

ACT FAIRLY

- Make sure the incident or behavior warrants discipline under the policy
- Check that the employee know and understood the rule that was violated
- Find out if there were any circumstances beyond the employee's control that affected what the employee did
- Determine if the employee new and understood the penalties for rule violation.
- Make the discipline match the offense; don't treat minor infractions the same as serious ones.

ACT CONSISTENTLY

- Discipline the same or similar violations in the same way
- Be sure you're not coming down especially hard on an employee because of personal dislike or other problems.
- Be sure you're not looking the other way on violations committed by employees you like or who are especially important to your group.

ACT LEGALLY

- Act promptly after a violation occurs, even if you're just giving a verbal warning.
- Be sure to follow the steps of progressive discipline.
- Document what the rule violation was, when it happened, and what disciplinary action was taken and when.
- Check that disciplinary action was fair and consistent in terms of what has happened with other employees.
- Ask whether a reasonable person could interpret this discipline as retaliation for exercising legal rights.
- Ask whether a reasonable person could interpret this discipline as discriminatory.
- Ask whether a reasonable person would feel that the "punishment" fit the "crime."

BEFORE AND DURING DISCIPLINARY MEETINGS

ANSWER these questions <u>Before</u> holding a disciplinary meeting.	ANSWER these questions <u>After</u> a disciplinary meeting.
<input type="checkbox"/> Did the employee know the rule of standard involved?	<input type="checkbox"/> Does the employee understand the violation, its seriousness, and its impact?
<input type="checkbox"/> Did the employee know what constitutes a violation?	<input type="checkbox"/> Has the employee had a chance to explain the situation from his or her side?
<input type="checkbox"/> Has the rule been enforced in the past?	<input type="checkbox"/> Are there any circumstances beyond the employee's control that affected this situation?
<input type="checkbox"/> Does clear objective evidence show the employee committed the violation?	<input type="checkbox"/> Is there objective evidence that the employee committed the violation?
<input type="checkbox"/> Has the employee violated this rule before?	<input type="checkbox"/> Has the discussion remained calm, avoiding accusation?
<input type="checkbox"/> Has the employee had a history of violations?	<input type="checkbox"/> Is the focus on correction, not blame?
<input type="checkbox"/> Have other employees received similar discipline for the same offense?	<input type="checkbox"/> Does the discipline match the violation?
<input type="checkbox"/> Does the disciplinary action reflect any bias against the employee?	<input type="checkbox"/> Has the employee offered suggestions for corrective action?
<input type="checkbox"/> Is the disciplinary action appropriate for the offence?	<input type="checkbox"/> Is there an agreed-upon plan for corrective action?
	<input type="checkbox"/> Is there a timetable included in the corrective action plan?

FMLA Eligibility Determination

Checklist #1:

INSTRUCTIONS: This checklist helps you determine whether an employee is eligible for time off under the FMLA.

STEP ONE: *Determining whether the employee meets the FMLA's minimum work requirements.*

Yes ___ No ___ **(a) Does the employee's life time work for the company total one year?**

- If yes, go to question (b).
- If no, the employee does not qualify.

Yes ___ No ___ **(b) Has the employee worked 1250 hours (31 weeks) during the year preceding the start date for the leave?**

- If yes, go to question (c).
- If no, the employee does not qualify.

Yes ___ No ___ **(f) Has this employee already taken 12 weeks of FMLA designated leave in this calendar/roll-over year?**

- If yes, the employee does not qualify.
- If no, proceed to Step 2.

TIMELINESS CHECKLIST: Determine whether the employee notice is timely.

Yes ___ No ___ **(a) Is the leave foreseeable by the employee?**

- If yes, proceed to question b.
- If no, proceed to c.

Yes ___ No ___ **(b) Did the employee give notice of the leave 30 days before its start date? Or if foreseeable, but less than 30 days, within one or two business days?**

- If yes, go to STEP TWO.
- If no, then the start of the leave may be delayed up to 30 days from the day the employee gave notice. Immediately notify HR informing them of this fact.

Yes ___ No ___ **(c) Did the employee give the company notice – written or oral – of his/her need for the unforeseeable leave as soon as practicable (normally no later than one business day after when the need for leave became known to the employee)?**

- If yes, proceed to STEP TWO.
- If no, then immediately contact HR informing them of this fact.

Checklist #1:

STEP TWO: *Determine whether the employee gave sufficient information to place the company on notice that the leave could be covered by the FMLA. Note that the employee does not have to mention FMLA specifically in order for his/her notice to be sufficient.*

Yes ___ No ___ (a) **Did the employee's written or oral notification inform the company of the fact that the leave was due to his/her unforeseeable medical condition?**

- If yes, then go to (b).
- If no, then go to (c).

Yes ___ No ___ (b) **Did the employee's written or oral notification provide the timing and duration of the leave?**

- If yes, then should notify HR Immediately of this fact. Please note that the leave may be covered by the FMLA. HR must, within 5 business days, send the employee an **FMLA FIRST CERTIFICATION REQUEST LETTER** requesting medical certification.
- If no, then go to (c).

Yes ___ No ___ (c) **Did the employee's written or oral notification inform the company of the fact that the leave was due to his/her child, parent, or spouse's unforeseeable medical condition?**

- If yes, then go to (d).
- If no, then immediately contact HR informing them of this fact.

Yes ___ No ___ (d) **Did the employee's written or oral notification provide the timing and duration of the leave?**

- If yes, then the company (HR) should orally notify the employee that the leave may be covered by the FMLA. If the leave is requested for the birth of a child or the placement of a son or daughter with the employee for adoption or foster care, HR must, within 5 business days, send the employee a **FMLA BIRTH / ADOPTION / FOSTER CARE LETTER** requesting appropriate certification.
- If no, then the employer should request that the employee provide this information. If the employee fails or refuses to do so, then the employee has not provided the company with sufficient information for it to have notice that the leave may be covered by the FMLA. HR must, within 5 business days, send the employee the **FMLA INELIGIBILITY LETTER**.

Yes ___ No ___ (a) **Is the reason for the leave one of the following?**

- The Employee suffers from a Serious Health Condition.-- Complete Serious Health Condition Checklist below
- The Employee needs to care for parent, spouse, or child who is suffering from a Serious Health Condition.- Complete Serious Health Condition Checklist below
- Employee needs leave to care for new born, adopted, recently placed foster child or for a related purpose.
- Employee needs Qualified Exigency leave related to an immediate family member in the military.
- Employee needs Military Caregiver leave related to a covered service member in his or her Immediate family.
 - If yes, then employee qualifies.
 - If no, the employee does not qualify.

Serious Health Condition Checklist

Checklist #2:

INTRODUCTION: This checklist helps you determine whether an individual or a covered service member has a serious health condition under the FMLA. Specifically, the FMLA defines a serious health condition as an illness, injury, impairment, or physical or mental condition that involves either in-patient care or continuing treatment by health care provider.

STEP ONE: *Determine whether the condition constitutes or is connected with in-patient care.*

Yes ___ No ___ **(a) Does the condition require an overnight stay in a medical care facility?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, go to question (b).

Yes ___ No ___ **(b) Is the absence due to incapacity (i.e. inability to work, attend school or perform other regular daily activities) related to a condition that required overnight stay in a medical facility?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, go to question (c).

Yes ___ No ___ **(c) Is the absence due to the need for medical treatment** in connection with a condition that required overnight stay in a medical facility?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, then proceed to step 2.

Checklist #2:

STEP TWO: *Determine whether the condition requires continuing treatment** by a health care provider.*

Step Two- A: *Determine whether the condition incapacitates the Individual* more than three consecutive calendar days and requires continuing treatment by a health care provider.*

Yes ___ No ___ (a) **Does the condition incapacitate the individual* (i.e. inability to work, attend school or perform other regular daily activities due to the serious health condition, treatment therefore, or recovery there from) for more than three consecutive calendar days?**

- If yes, go to question (b).
- If no, proceed Step Two-B.

Yes ___ No ___ (b) **Does the condition require two or more treatments by one of the following?**

- a health care provider
- a nurse
- a physician's assistant under direct supervision of a health care provider
- a provider of health care services (e.g. physical therapist) under orders of, or on referral by, a health care provider

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.

- If no, go to question (c).

Yes ___ No ___ (c) **Did the condition require treatment** by a health care provider on at least two occasions?**

- If yes, go to question (d).
- If no, proceed to Step 2-B.

Yes ___ No ___ (d) **Did the two visits to a health care provider occur within thirty (30) days and the first visit within seven (7) days of the first day of incapacity?**

- If yes, go to question (e)
- If no, proceed to Step 2-B

Yes ___ No ___ (e) **Does the treatment by a health care provider result in a regimen of continuing treatment** such as :**

- a course of prescription medication (e.g. an antibiotic)
- therapy requiring special equipment to resolve or alleviate the health condition (e.g. oxygen).

NOTE: Taking of over-the-counter medications such as aspirin, antihistamines, or salves; or bed-rest, drinking fluids, exercise, and other similar activities that can be initiated without a visit to a health care provider, is not, by itself, sufficient to constitute a regimen of continuing treatment for purposes of FMLA leave.

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.

- If no, proceed Step 2-B.

** Treatments also include examinations to determine if a serious health condition exists and evaluations of the condition. Treatment does not include routine physical examinations, eye examinations, or dental examinations.

Checklist #2:

Step Two – B: *Determine whether the incapacity for any period of time is related to a condition that incapacitates the individual* for more than three days and requires continuing treatment by a health care provider.*

Yes ___ No ___ **(a) Is the absence due to the individual's* need for medical treatment related to a condition that caused incapacity for more than three calendar days and required subsequent medical treatment?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, then go to question (b).

Yes ___ No ___ **(b) Is the absence due to any period of incapacity (i.e. inability to work, attend school or perform other regular daily activities due to the serious health condition, treatment therefore, or recovery there from) related to a condition that caused incapacity for more than three calendar days and required subsequent medical treatment?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; send the employee an **FMLA Eligibility Notification Letter**.
- If no, go to question (c).

Yes ___ No ___ **(c) Is the absence due to individual's* receiving multiple treatments for a condition that would likely result in a period of incapacity of more than three consecutive days in the absence of medical intervention or treatment**? (e.g. cancer --chemotherapy, radiation, etc.--, severe arthritis --physical therapy--, kidney disease --dialysis)**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**. HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, then the individual does not have a condition that requires a continuing treatment by a healthcare provider. Proceed to Step Two–C.

Checklist #2:

Step Two-C: *Determine whether the incapacity of any period of time is due to a chronic condition.*

Yes ___ No ___ (a) **Is the individual* incapacitated (i.e. inability to work, attend school or perform other regular daily activities due to the serious health condition, treatment therefore, or recovery there from) for any period of time due to a chronic condition that meets all of the following:**

- Requires periodic visits for treatment by a health care provider, or by a nurse or physician's assistant under direct supervision of a health care provider;
- Continues over an extended period of time (including recurring episodes of a single underlying condition); and
- May cause episodic rather than a continuing period of incapacity (e.g. asthma, diabetes, epilepsy, etc.).
 - If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
 - If no, go to question (b).

Yes ___ No ___ (b) **Is the absence for treatment** for a chronic condition that meets all of the following:**

- Requires periodic visits for treatment by a health care provider, or by a nurse or physician's assistant under direct supervision of a health care provider;
- Continues over an extended period of time (including recurring episodes of a single underlying condition); and
- May cause episodic rather than a continuing period of incapacity (e.g. asthma, diabetes, epilepsy, etc.).
 - If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
 - If no, proceed to Step Two-D.

Step Two-D: *Determine whether the incapacity for any period of time is due to certain specific conditions.*

Yes ___ No ___ (a) **Is the individual* incapacitated (i.e. inability to work, attend school or perform other regular daily activities due to the serious health condition, treatment therefore, or recovery there from) for any period of time due to pregnancy, or for prenatal care?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; send the employee an **FMLA Eligibility Notification Letter**.
- If no, go to question (b).

Yes ___ No ___ (b) **Is the absence due to individual's* receiving multiple treatments for restorative surgery after an accident or other injury?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; send the employee an **FMLA Eligibility Notification Letter**.
- If no, go to question (1).

Step Two-E: Determine whether the permanent or long-term incapacity is due to untreatable conditions?

Yes ___ No ___ **(a) Is the individual *incapacitated (i.e. inability to work, attend school or perform other regular daily activities due to the serious health condition, treatment thereof, or recovery there from) on a long-term or permanent basis?**

- If yes, go to question (b).
- If no, proceed to Step 3.

Yes ___ No ___ **(b) Is the long-term or permanent incapacity due to a condition for which treatment may not be effective? (e.g. Alzheimer's, a severe stroke, or the terminal stages of a disease)**

- If yes, go to question (c).
- If no, proceed to Step 3.

Yes ___ No ___ **(c) Is the individual* under the supervision of a health care provider? (not necessary that he/she be receiving active treatment**)**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; send the employee an **FMLA Eligibility Notification Letter**.
- If no, proceed to Step 3.

STEP THREE: Determine whether there is a serious health condition other than one requiring in-patient care or continuing treatment by a health care provider.

Yes ___ No ___ **(a) Is the condition one that involves the administration of cosmetic treatment? (e.g. acne, plastic surgery)**

- If yes, it is not a serious health condition unless it requires in-patient hospital care or complications develop; HR will send the employee an **FMLA Ineligibility Notification Letter** no later than 5 business days from the date he/she requested the leave.
- If no, go to question (b).

Yes ___ No ___ **(b) Is the condition one of the following conditions without any complications?**

- the common cold
- the flu
- ear aches
- upset stomach
- minor ulcers
- headaches other than migraine
- routine dental or orthodontia problems
- periodontal disease
- other (any other common minor conditions)

- If yes, it is not a serious health condition; HR will send the employee an **FMLA Ineligibility Notification Letter** no later than 5 business days from the date he/she requested the leave.
- If no, go to question (c).

Yes ___ No ___ **(c) Does the condition involve restorative dental or plastic surgery after an injury or removal of cancerous growths?**

- If yes, go to question (d).
- If no, go to question (e).

Yes ___ No ___ **(d) Does the condition qualify as one of those covered under step 1 or step 2?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, go to question (e).

Yes ___ No ___ **(e) Is the condition a mental illness resulting from stress or allergies?**

- If yes, go to question (f).
- If no, go to question (g).

Yes ___ No ___ **(f) Does the condition qualify as one of those covered under step 1 and step 2?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, go to question (g).

Yes ___ No ___ **(g) Is the absence due to treatment** for substance abuse?**

- If yes, go to question (h).
- If no, it is not a serious health condition; HR will send the employee an **FMLA Ineligibility Notification Letter** no later than 5 business days from the date he/she requested the leave.

Yes ___ No ___ **(h) Does the condition qualify as one of those covered under step 1 and step 2?**

- If yes, go to question (i).
- If no, it is not a serious health condition; HR will send the employee an **FMLA Ineligibility Notification Letter** no later than 5 business days from the date he/she requested the leave.

Yes ___ No ___ **(i) Is the treatment** for substance abuse by a health care provider or by a provider of health care services on referral by a health care provider?**

- If yes, then the condition qualifies as a serious health condition and the absence caused by the condition is protected under the **FMLA**; HR will send the employee an **FMLA Eligibility Notification Letter**.
- If no, it is not a serious health condition; HR will send the employee an **FMLA Ineligibility Notification Letter** no later than 5 business days from the date he/she requested the leave.

** Treatments also include examinations to determine if a serious health condition exists and evaluations of the condition. Treatment does not include routine physical examinations, eye examinations, or dental examinations.

MEMORANDUM

TO: All Agencies Human Resource Director
FROM: Pat Witt, FMLA Manager, Division of Personnel Services
DATE: November 30, 2009
SUBJECT: Changes to the FMLA Regulations

Effective October 28, 2009, the signing of the National Defense Authorization Act created changes to the Family Medical Leave Act. The changes are as follows:

Care giver Leave:

Military care giver leave has been expanded so it may be used to care for veterans undergoing treatment, recuperation or therapy for an injury, as long as the veteran was a member of the Armed Forces, National Guard or Reserves within 5 years of requiring care. The changes also expand military care giver leave so that employees may use it to care for a covered service member's serious injury or illness incurred because service on active duty aggravated an existing or preexisting injuries. (Note: active duty military personnel are now covered)

Exigency Leave:

Under the new law, qualifying exigency leave will now cover family members of the regular Armed Forces deployed to a foreign country. This is in addition to the current coverage of family members of the National Guard or Reserves.

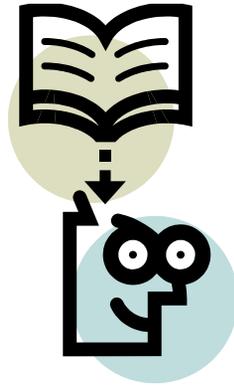
The State uses the Federal FMLA forms. Those forms have not been changed yet. When any changes are made, we will notify you. Please review your policies and any documents, letters, etc that you use in administering the FMLA for your employees to make sure they are compliant with the changes.

If you should have any questions, please do not hesitate to contact me at 785-296-4352, pat.writt@da.ks.gov

**SHARED LEAVE
PROCESS SUMMARY
January 4, 2010**

1. The Statewide Shared Leave Program is governed by K.A.R. 1-9-23.
2. All state agencies, except the Regents and those headed by an elected official, must send all Shared Leave requests to the Statewide Shared Leave Committee for review and determination. The Regents and those agencies headed by an elected official are encouraged to use the state program to ensure consistency.
3. The Statewide Committee is comprised of 3 representatives from various state agencies, 1 representative from DPS, who chairs and manages the program, and 1 staff member from DPS who handles the clerical and technical responsibilities and enters the requests and donations and communicates with the agencies.
4. The committee meets once a week to consider requests. (Unless it is a holiday week)
5. The criteria for Shared Leave approval are quite stringent. The medical condition must be serious, extreme or life-threatening.
6. There are two (2) forms used in the Shared Leave Process. The first is the request form, DA 325(revised 05-09) identified with the word "committee" on the top . This is a 3 page form and all pages must be completed. The second is the Donation form, DA 223 (revised 10-09). This form will be completed by employees wishing to donate leave to an employee who has been approved to receive Shared Leave. (The forms may be found at <http://www.da.ks.gov/ps/subject/sharedlv.htm>)
7. When reviewing the requests, the committee will not know the name of the requesting employee or the employee's agency. Decisions are based on the medical information submitted by the health care provider(s) only. Any written personal information from the employee is maintained in the file but not reviewed by the committee
8. The Committee's decision will be communicated to the agency via e-mail no later than the next day after the committee meets.
9. After the committee has made a determination and the agency has been notified of that decision, Shared Leave approval and hours will not be entered until DPS receives a signature page from the agency appointing authority.
10. For "umbrella" agencies, all Shared Leave requests and donations should be sent through the agency central office.
11. It is the employee's responsibility to work with their health care provider to provide complete and readable medical information.
12. It is the agency's responsibility to help clarify and translate the information and make sure the application is complete and legible.
13. It is the employee's and agency's responsibility to make sure the employee name and EMPLID# are accurate and legible.
14. All information and documentation pertaining to Shared Leave requests are maintained in locked file cabinets. Only the chair of the committee and the committee technical assistant will have access to those records.

15. The agency must submit all Shared Leave requests to the Committee, unless the agency determines there has been leave abuse by the requesting employee. If, per agency policy and practice, the employee is a leave abuser, the agency must notify the employee and may decline to forward the request to the Committee.
16. If the Committee denies a request, the employee always has the opportunity to resubmit for consideration with additional information.
17. The agency appointing authority has authority to overturn a final denial by the Committee, ONLY if the appointing authority believes it will be in the best interests of the state. If the agency overturns the Committee denial, the agency will need to submit a signed Shared Leave form with the reason for the overturn.
18. Agency Appointing Authorities do NOT have the authority to overturn and approval from the Committee.
19. There is no appeal process associated with Shared Leave. Shared Leave is not considered an "entitlement".



Manager/Supervisor Handbook

Performance
Management

State of Kansas Performance Management Process

Identification Information (please print)		
Employee Name (Last, First, MI):	Person Completing Review:	
Employee ID:	Agency Name:	
Class Title:	Position Number:	Date of this Review:
_____ To _____ (Month/Day/Year) Timeframe Being Evaluated (Month/Day/Year)	Review Type: <input type="checkbox"/> Probationary <input type="checkbox"/> Recommend permanent status <input type="checkbox"/> Extend probationary status <input type="checkbox"/> Not recommended for permanent status <input type="checkbox"/> Annual <input type="checkbox"/> Special <input type="checkbox"/> Unclassified	
Overall Performance Rating: <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Needs Improvement <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Exceptional		

Part I: Performance Planning

Instructions: Identify objectives for the employee based on the manager/employee performance planning discussion. Please ensure each objective is a SMART objective (Specific, Measurable, Attainable, Relevant, Time-Based). In setting the objectives, be as specific as possible using quantitative (e.g., numbers, data, quotas, dates) and/or qualitative measures or feedback where helpful.

Indicate how progress against the objectives will be observed or measured (tracked). Modify objectives as needed throughout the performance management cycle. The number of objectives should be based on the outcomes of the performance planning discussion; you may add more lines below (objectives) as necessary. In the Annual Performance Review, indicate employees overall performance against each objective.

Objectives List Objectives in the Table Below		Measurement	
		A measurement scale and target should be established for each objective.	
Obj	Description	Tracking Method	Annual Performance Review
1			
2			
3			
4			
5			

State of Kansas Performance Management Process

Part I: Performance Planning (continued)

Instructions: Considering the employee's overall strengths and weaknesses, identify the critical competencies (from pages 4-7), an essential requirement or an agency specific competency for this review period that the employee should focus on. Consider those competencies that are critical for achievement of responsibilities and objectives for the coming year in addition to those that are important from a developmental perspective (important for a future position and/or for increased or changed responsibilities). The competencies chosen should be based on information from manager/employee performance planning discussion(s), any items identified through the development planning process, and any items from the most recent performance review.

For each competency, provide any project or on-the-job suggestions that the employee can engage in to help in development.

Competency	Project or On-the-Job Suggestions	Annual Performance Review
1.		
2.		
3.		
4.		

On-Going Feedback and Coaching Process

Instructions: Identify the process to be used throughout the year to provide feedback and coaching to the employee. Identify any input tools that will be used to provide feedback throughout the year. In addition, identify the timing for the mid-year review and/or any other coaching sessions. Identify any employee responsibilities in the process. For instance, you may wish to identify when and how on-going feedback will be delivered, who has responsibility for setting up coaching sessions, when the mid-year review will happen, if current customer input tools will be used, etc.

On-Going Feedback and Coaching Process

State of Kansas Performance Management Process

Part II: Mid-Year Discussion

Instructions: Document progress against the Objectives and Competencies as defined in the Performance Planning process. Be as specific as possible about the employee's actual performance to date, documenting specific observable results wherever possible, and adding qualitative information or feedback wherever helpful. Any valid updates to employee's objectives, which are based on changes in State or agency needs, may also be documented in this section.

Mid-Year Discussion and Coaching Progress

Part III: Essential Requirements

Instructions: Considering the level the employee typically or consistently operates at, check (✓) the box which best describes his/her behavior for the competency below. A behavioral example must be provided for the Unsatisfactory rating.

Dependability: Recognizes their responsibilities to the agency and applies effective work habits and attitudes to meet work requirements. Accomplishes tasks by showing concern for all aspects of the job and manages workload or completes tasks in a timely manner.

- Attends work regularly and on time
- Plans appropriately for absences
- Assumes personal accountability for work

Unsatisfactory * <input type="checkbox"/>	Meets Expectations <input type="checkbox"/>
----------------------------------------------	---------------------------------------------------

Example: _____

Agency Values: Individuals adhering to agency values align their actions with high standards of conduct, accept responsibility for behavior and exhibit personal integrity at all times. Acts as a role model for other employees and does the right thing, even when no one is watching. Individual does not waste agency resources (i.e., time, material).

- Demonstrates personal integrity and ethical behavior
- Displays good stewardship of public resources
- Adapts to changes in processes, procedures or responsibilities

Unsatisfactory * <input type="checkbox"/>	Meets Expectations <input type="checkbox"/>
----------------------------------------------	---------------------------------------------------

Example: _____

** An Unsatisfactory rating in Dependability or Agency Values will result in an Overall Performance Rating of Unsatisfactory*

State of Kansas Performance Management Process

Part IVa: Annual Performance Review - Competencies

Instructions: Considering the level the employee typically or consistently operates at, check (✓) the box which best describes his/her behavior for the competency below. A behavioral example should be provided for each competency. (end of year)

CORE COMPETENCIES (FOR ALL EMPLOYEES):

Job Responsibilities: Please rate the individual on execution of their expected day-to-day responsibilities, and specialized knowledge as outlined in the job description. Specialized Knowledge is the knowledge of and/or skill in a particular field (e.g., marketing, engineering, etc.) or trade (e.g., electrician, housekeeping, etc.) and the ability to apply that knowledge and/or skill in a variety of business situations.

(Only one box may be checked – Upper boxes for planning session and lower boxes for end of year)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learner: <ul style="list-style-type: none"> ▪ Limited ability to conduct job responsibilities; needs more experience or practice. ▪ Requires clear and specific instructions to get the job done. ▪ Understands enough to independently handle some routine tasks of the job. ▪ Understands regulations and policies; correctly applies them. 	Experienced Knowledge: <ul style="list-style-type: none"> ▪ Technically experienced and competent. ▪ Has thorough working knowledge of the area. ▪ Handles most routine tasks of the job; needs direction for more difficult tasks. ▪ Supervises others effectively through proper delegation, communication, and follow-up. 	Expert Knowledge: <ul style="list-style-type: none"> ▪ Can exercise independent judgment regarding all technical issues and responsibilities. ▪ Understands how area of responsibility relates to broader issues. ▪ Requires assistance for the most difficult aspects of the job. ▪ Supervises others with a focus on coaching for effective performance. 	Transferring Knowledge: <ul style="list-style-type: none"> ▪ Independently handles the most difficult aspects of the job. ▪ Understands how the area of knowledge relates to broader departmental or agency goals. ▪ Plays a role in transferring skills and knowledge to others. ▪ Takes responsibility for projects and tasks that have broader departmental or agency impact.

Behavioral Example: _____

Communication: Understands others' ideas and expresses thoughts and information effectively, utilizing appropriate gestures, tone, organization, grammar, format and materials. Maximizes performance through effective communication and develops a communication style that optimizes individual and team performance. It includes expressing ideas, requesting actions, summarizing events, and formulating plans by means of clear and effective writing, communicating, or presenting.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

(More than one category may be checked – Upper boxes for planning session and lower boxes for end of year)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shares Information: <ul style="list-style-type: none"> ▪ Shares relevant information and keeps others informed. ▪ Listens to others' opinions. ▪ Explains reasons for decisions. 	Facilitates Participation: <ul style="list-style-type: none"> ▪ Communicates objective and purpose and how individual is critical to team success. ▪ Encourages participation from all team members. ▪ Runs effective meetings; uses agendas, outlines expectations, keeps group focused. ▪ Negotiates for win-win solutions. 	Tailors Communication: <ul style="list-style-type: none"> ▪ Understands audience and tailors communication so that it is perceived as being clear, relevant, and even handed. ▪ Develops a communication style to facilitate a positive team environment and advance the team's agenda. ▪ Adjusts style/approach to build partnerships with others and to ensure acceptance of ideas. 	Uses Communication to Promote Agency Effectiveness: <ul style="list-style-type: none"> ▪ Uses communication to promote broad learning, effectiveness and efficiency. ▪ Communicates with different people at different levels throughout the agency to ensure the buy-in of others. ▪ Communicates broadly to ensure others understand the link between the current task and long-term strategies.

State of Kansas Performance Management Process

Behavioral Example: _____

Customer Service: Addresses underlying customer needs that add value, to remove causes of customer's problems and ensure the long-term viability of the relationship. It includes demonstrating understanding of the customer's point of view, delivering on commitments, gaining the confidence of customers, and maximizing customer satisfaction. Customers include external and internal customers or clients, suppliers, etc.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

(More than one category may be checked – Upper boxes for planning session and lower boxes for end of year)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintains Communication: <ul style="list-style-type: none"> ▪ Follows through on customer inquiries, requests, and complaints. ▪ Keeps customer up-to-date about progress of projects. ▪ Gives friendly, cheerful service and distributes helpful information to customers. ▪ Maintains clear communication with customers regarding mutual expectations. 	Takes Personal Responsibility: <ul style="list-style-type: none"> ▪ Takes personal responsibility for correcting customer-service problems. ▪ Corrects customer-service problems promptly and un-defensively. ▪ Makes self fully available to the customer, especially when they are going through a critical period. 	Addresses Underlying Customer Needs: <ul style="list-style-type: none"> ▪ Seeks information about the real, underlying needs of the customer beyond those expressed initially. ▪ Makes concrete attempts to add value to the customer, to make things better for the customer in some way. ▪ Gets at the root of a customer problem and removes the cause of the problem. 	Uses Long-Term Perspective: <ul style="list-style-type: none"> ▪ Develops strategies and solutions that have long-term benefits for the customer. ▪ Addresses customer problems with a focus on the long-term relationship. ▪ Proactively builds customer relationships and maintains good relationships with the customer over the long term.

Behavioral Example: _____

Initiative: Identifies a problem, obstacle or opportunity and takes action to address current or future problems or opportunities.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

(More than one category may be checked – Upper boxes for planning session and lower boxes for end of year)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Addresses Current Opportunities or Problems: <ul style="list-style-type: none"> ▪ Recognizes when a situation calls for a different approach from the usual. ▪ Pulls together ideas, issues and observations when a new perspective emerges. ▪ Recognizes and acts on current opportunities 	Is Decisive in a Crisis: <ul style="list-style-type: none"> ▪ Acts quickly and decisively in a crisis situation. ▪ Makes decisions and takes action where the norm is to wait and hope the problem will resolve itself. ▪ Is prepared to try out different solutions or take a different approach. 	Plans Ahead and Takes Action: <ul style="list-style-type: none"> ▪ Looks for opportunities to make improvements. ▪ Looks beyond the facts in order to develop solutions that have currently not been used in the agency before. ▪ Generates new and varied solutions to problems. ▪ Identifies changes that will improve performance in own agency. 	Anticipates and Prepares for Long-Term Problems: <ul style="list-style-type: none"> ▪ Anticipates situations 6 months to a year ahead or more and acts to create opportunities or avoid problems that are not obvious to others. ▪ Applies and modifies learned concepts, methodologies or ideas that have been used in other departments or agencies, to develop new solutions to problems.

Behavioral Example: _____

State of Kansas Performance Management Process

Teamwork: Achieves team objectives by developing and sustaining cooperative relationships. Employee works cooperatively with others as part of the team, as opposed to working separately or competitively. At the highest levels, it includes an ability to ensure the cohesiveness of the team and to ensure success.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

(More than one category may be checked – Upper boxes for planning session and lower boxes for end of year)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Cooperates:</p> <ul style="list-style-type: none"> ▪ Cooperates willingly with others. ▪ Ensures all group members have the relevant and needed information. ▪ Speaks positively of other team members. 	<p>Solicits Input:</p> <ul style="list-style-type: none"> ▪ Solicits ideas and opinions from others to help form specific decisions or plans. ▪ Genuinely values others' input and expertise and is willing to learn from others. 	<p>Encourages Others:</p> <ul style="list-style-type: none"> ▪ Takes specific steps to create a team environment and model desired behavior. ▪ Encourages all members of the group to contribute. ▪ Publicly recognizes the contributions of other team members. 	<p>Promotes the Team:</p> <ul style="list-style-type: none"> ▪ Acts to promote a friendly climate, good morale and cooperation within the team. ▪ Protects and promotes the team's reputation with others. ▪ Resolves team conflicts. Brings conflict within the team into the open and encourages or facilitates a beneficial resolution. ▪ Partners with other teams and promotes collaborative decision making to solve problems.

Behavioral Example: _____

State of Kansas Performance Management Process

LEADERSHIP COMPETENCIES (FOR MANAGERS ONLY):

Performance Management: Promotes employee development opportunities and fosters the long-term learning or development of others. Sets clear goals and expectations, ensures feedback and addresses performance issues in a timely manner. It includes the ability to apply State of Kansas regulations and policies, to delegate effectively, to deal with performance issues, and to hold others accountable.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

(More than one category may be checked – Upper boxes for planning session and lower boxes for end of year)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Sets Clear Objectives and Expectations:</p> <ul style="list-style-type: none"> ▪ Gives detailed explanations of specific goals and objectives to others. ▪ Delegates effectively to employees to enable focus on managerial responsibilities. 	<p>Holds People Accountable for Performance:</p> <ul style="list-style-type: none"> ▪ Sets goals or objectives for employees that drive high performance. ▪ Holds employees accountable for their performance. ▪ Reviews employees' performance against clear standards and objectives, and rectifies performance issues. ▪ Provides timely feedback and performance evaluations to employees. 	<p>Coaches for Effective Performance:</p> <ul style="list-style-type: none"> ▪ Provides real-time coaching to others to improve performance. ▪ Addresses performance problems early to ensure minimal department or agency impact. ▪ Utilizes employee recognition to reinforce positive outcomes and behaviors. ▪ Identifies training or development needs for team or group of employees. 	<p>Creates Climate for High Performance:</p> <ul style="list-style-type: none"> ▪ Implements specific tactics to create a climate for high performance. ▪ Interfaces with other leaders to develop best-practice people practices for the good of the agency. ▪ Develops employees for future roles.

Behavioral Example: _____

Leadership: Outstanding State of Kansas managers view themselves as leaders of people. They recognize that they are responsible for facilitating the work of their employees, which may mean providing essential information, creating efficient work structures or processes, or securing additional resources. These leaders inspire confidence in people and create excitement about the work and purpose.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

(More than one category may be checked – Upper boxes for planning session and lower boxes for end of year)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Keeps People Informed:</p> <ul style="list-style-type: none"> ▪ Provides clear, consistent, and ongoing communication to team members. ▪ Lets people affected by the team know what is happening and the status of decisions. ▪ Makes sure the team has all the information it needs to make decisions and carry out its responsibilities, individually and collectively. ▪ Explains the reasons behind a decision promptly and candidly. 	<p>Promotes Team Effectiveness:</p> <ul style="list-style-type: none"> ▪ Creates the conditions that enable the team to perform at its best (e.g., setting clear direction, delegating responsibility, getting the right people). ▪ Makes team membership (including selection and dismissal) and assignments in a manner that promotes morale and productivity of the team. ▪ Obtains input from others to promote the effectiveness of the team. 	<p>Takes Care of the Team:</p> <ul style="list-style-type: none"> ▪ Obtains needed resources and information that the team needs to meet its goals. ▪ Provides or secures needed support and development for individuals or the team as a whole. ▪ Holds team members accountable for their contributions to team success, including bringing team resources to their assistance. 	<p>Inspires the Team:</p> <ul style="list-style-type: none"> ▪ Generates excitement, enthusiasm, and commitment to agency and/or departmental goals. ▪ Develops a workforce plan that positions the department or agency for long-term success. ▪ Inspires confidence in the mission of the agency. ▪ Models desired behavior.

Behavioral Example: _____

State of Kansas Performance Management Process

Part IVc: Annual Performance Review: Overall Performance Review Rating

Instructions: Indicate which level most appropriately describes the overall performance level of the individual. Add any comments that provide clarification to the Overall Review (may include unique circumstances, relevant career objectives, or other considerations).

Overall Performance Level:

Unsatisfactory <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Exceptional <input type="checkbox"/>
<ul style="list-style-type: none"> ▪ Employee is not making the contributions expected of an employee in this role. ▪ Immediate improvement is required. ▪ Essential requirement was not met. 	<ul style="list-style-type: none"> ▪ Employee is inconsistent in performance. ▪ Employee sometimes meets expectations and requirements. ▪ Continual improvement is required to fully meet expectations. 	<ul style="list-style-type: none"> ▪ Employee is making meaningful and valuable contributions. ▪ Employee has shown consistent and continual performance throughout the review period. 	<ul style="list-style-type: none"> ▪ Employee is making significant contributions and often exceeds objectives and expectations. ▪ Employee demonstrates a high level of competency. 	<ul style="list-style-type: none"> ▪ Employee is making outstanding contributions on a continual basis. ▪ Employee's achievements are clearly distinguishable from solid performers, and are highly valued by others. ▪ Employee consistently performs at a high level of competency.

Manager Comments: _____

Employee Comments: _____

Signatures

Performance Planning Discussion

Employee's Signature*: _____ Date: _____

Manager's Signature (completed by): _____ Date: _____

Mid Year Discussion

Employee's Signature*: _____ Date: _____

Manager's Signature (completed by): _____ Date: _____

Annual Performance Review Discussion

Employee's Signature*: _____ Date: _____

Manager's Signature (completed by): _____ Date: _____

Reviewer's Signature (reviewed by): _____ Date: _____

Appointing Authority Signature: _____ Date: _____

**Note: Signature does not imply agreement with the content of the review. It only indicates the employee's awareness of the information contained herein. A permanent employee, within seven calendar days after being informed of his/her rating, may appeal to the agency head. See K.A.R. 1-7-12.*

Competency

UN- Unsuccessful SS – Somewhat Successful *FS – Fully Successful CS – Clearly Superior TD – Totally Distinguished

Frequency

R – Rarely S – Sporadically *F – Frequently M – Most of the Time A – Always

* Comments are required for all categories except those marked with an '*'. Although not required, comments for '**' categories are highly recommended.

1.	Technical Competency: Demonstrates technical competence in areas of responsibility. Work product is thorough and accurate. Provides timely technical advice.	UN	SS	FS*	CS	TD
	Factors and Impact:					
2.	Work Performance: Takes initiative in identifying, beginning, & completing work. Organized. Work products comply with guidelines, directives & timelines. Works safely. Demonstrates a commitment to agency and unit mission & customer satisfaction. Requires minimum supervision.	UN	SS	FS*	CS	TD
	Factors and Impact:					
3.	Flexibility: Meets changing conditions. Accepts constructive criticism & suggestions. Seeks solutions acceptable to all. Concentrates on team rather than self.	UN	SS	FS*	CS	TD
	Factors and Impact:					
4.	Attitude: Displays contagious optimism about the work, customers, staff & policies. Shows positive sense of humor. Acts a positive influence on others. Deals with anger, frustrations & disappointments in a mature manner.	UN	SS	FS*	CS	TD
	Factors and Impact:					
5.	Communication: Keeps supervisors & co-workers informed. Conveys verbal/written thoughts clearly, concisely & appropriately. Listens & asks appropriate questions.	UN	SS	FS*	CS	TD
	Factors and Impact:					
6.	Work Relationships: Develops effective & appropriate work relationships with customers, co-worker & supervisors. Treats others with dignity, respect and sensitivity. Supports team decisions. Promotes trust, mutual respect and coordination.	UN	SS	FS*	CS	TD
	Factors and Impact:					
7.	Work Habits: Regular, dependable attendance. Is punctual. Begins working on time. Makes productive use of time. Self-disciplined on break periods (e.g. lunch or smoking).	R	S	F*	M	A
	Factors and Impact:					
8.	Appearance: Dresses appropriately for position and when representing the agency. Adheres to dress code. Good personal hygiene. Projects a positive image of the agency.	R	S	F*	M	A
	Factors and Impact:					

Optional: Use next page for developing specialized categories for a specific job or employee.

Optional Page

(Use this page for any additional categories desired for appraisal *or, if preferred, attach a separate list of accomplishments.*)

- a) In the numbered rows, place the desired category title and description **and** copy/paste either the “Competency” or “Frequency” rating categories from the previous page in the five (5) boxes at the end of the respective row.
- b) In the “Factors and Impact” space, provide the specific activities completed and/or the behavior demonstrated that were taken into consideration in selecting a rating level **and** describe the impact of that to the agency, unit or other entity.

Competency
 UN- Unsuccessful SS – Somewhat Successful *FS – Fully Successful CS – Clearly Superior TD – Totally Distinguished

Frequency
 R – Rarely S – Sporadically *F – Frequently M- Most of the Time A – Always

** Comments are required for all categories except those marked with an ‘*’. Although not required, comments for ‘*’ categories are highly recommended.*

9.					
	Factors and Impact:				
10.					
	Factors and Impact:				
11.					
	Factors and Impact:				
12.					
	Factors and Impact:				
13.					
	Factors and Impact:				
14.					
	Factors and Impact:				

Employee and Supervisor
Appraisal Feedback Form-Optional

Feedback #1:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #2:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #3:

Employee's Initial/Date

Supervisor's Initial's/Date:

Appraisal Feedback Form Continued

Feedback #4:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #5:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #6:

Employee's Initial/Date

Supervisor's Initial's/Date

The Adjutant General's Department
Supervisor Performance Appraisal

Name: (Last, First, Middle)	From:	To:
Title:		Position #
Type: 1. Annual 2. Special 3. Probationary Recommend: a) Retain b) Extend Prob c) Dismiss <small>(Underline or bold) (Underline or bold)</small>		
Overall Rating: Fully Successful Clearly Superior Truly Distinguished <small>(Underline or bold)</small> Somewhat Successful Unsuccessful <small>(Ratings for classified employees convert to 3 rating levels in the State system: SS & U-Lowest level; FS & CS-Middle level; and TD-Highest level.)</small>		
<u>Supervisor's Comments:</u>		
Supervisor's Signature/Date:		
<u>Reviewer's Comments:</u>		
Reviewer's Signature/Date:		
<u>Employee's Comments:</u>		
<small>(Employee's signature denotes receipt. It does not necessarily signify agreement.)</small>		
Employee's Signature/Date:		
<u>Professional Growth, Quality Improvement or Projects for Next Rating Period:</u>		

Performance Appraisal Appeals: An employee who has previously completed their probationary period may, within seven (7) calendar days of being informed of his/her performance appraisal, appeal the appraisal in writing on a separate memo to the Adjutant General. (The day the employee is informed of the appraisal is considered Day 1.)

Competency

UN- Unsuccessful SS – Somewhat Successful *FS – Fully Successful CS – Clearly Superior TD – Totally Distinguished

Frequency

R – Rarely S – Sporadically *F – Frequently M – Most of the Time A – Always

* Comments are required for all categories except those marked with an '*'. Although not required, comments for '*' categories are highly recommended.

1.	Unit/Program Management: Ensures mission is accomplished. Makes sound decisions. Takes initiative in meeting changing conditions. Promotes & demonstrates a commitment to agency & customer satisfaction. Organized. Work results comply with guidelines, directives & timelines. Seeks solutions acceptable to all. Concentrates on issues, situations & behavior rather than self. Promotes & practices safety. Works independently.	UN	SS	FS*	CS	TD
	Factors & Impact:					
2.	Technical Expertise: Demonstrates technical competence in areas of responsibility. Work product is thorough & accurate. Provides timely technical advice.	UN	SS	FS*	CS	TD
	Factors & Impact:					
3.	Work Relationships/Attitude: Develops effective & appropriate work relationships with administrators, peers, subordinates & customers. Treats others with dignity, respect & sensitivity. Supports team decisions. Promotes trust, mutual respect & coordination. Displays contagious optimism about the work, customers, staff & policies. Shows a positive sense of humor. Acts a positive influence on others. Accepts constructive criticism & suggestions. Deals with anger, frustrations & disappointments in a mature manner.	UN	SS	FS*	CS	TD
	Factors & Impact:					
4.	Communication: Keeps administrators, peers & subordinates informed as appropriate. Conveys thoughts clearly, concisely & appropriately. Listens, asks appropriate questions & responds tactfully & professionally. Uses timely face-to-face, verbal, non-verbal &/or written communication as appropriate for situation.	UN	SS	FS*	CS	TD
	Factors & Impact:					
5.	Human Resource Management: Provides, timely, supportive & effective direction & supervision. Is respected. Acknowledges individual & team successes. Appropriately & timely addresses & documents unacceptable behavior or performance. Applies policies & procedures fairly. Completes employee feedback sessions & performance appraisals timely. Provides opportunities for employee development. Makes & documents sound selection decisions.	UN	SS	FS*	CS	TD
	Factors & Impact:					
6.	Work Habits: Regular, dependable attendance. Is punctual. Makes productive use of time.	R	P	F*	M	A
	Factors & Impact:					
7.	Appearance: Dresses appropriately for position & when representing the agency. Adheres to dress code. Good personal hygiene. Projects a positive image of the agency.	R	P	F*	M	A
	Factors & Impact:					

Optional Page

(Use this page for **any additional categories desired** for appraisal or, if preferred, attach a separate list of accomplishments.)

- a) In the numbered rows, place the desired category title and description **and** copy/paste either the “Competency” or “Frequency” rating categories from the previous page in the five (5) boxes at the end of the respective row.
- b) In the “Factors and Impact” space, provide the specific activities completed and/or the behavior demonstrated that were taken into consideration in selecting a rating level **and** describe the impact of that to the agency, unit or other entity.

Competency
UN- Unsuccessful **SS** – Somewhat Successful ***FS** – Fully Successful **CS** – Clearly Superior **TD** – Totally Distinguished

Frequency
R – Rarely **S** – Sporadically ***F** – Frequently **M**-Most of the Time **A** – Always

** Comments are required for all categories except those marked with an ‘*’. Although not required, comments for ‘*’ categories are highly recommended.*

9.					
	Factors and Impact:				
10.					
	Factors and Impact:				
11.					
	Factors and Impact:				
12.					
	Factors and Impact:				
13.					
	Factors and Impact:				
14.					
	Factors and Impact:				

Employee and Supervisor
Appraisal Feedback Form - Optional

Feedback #1:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #2:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #3:

Employee's Initial/Date

Supervisor's Initial's/Date

Appraisal Feedback Form Continued

Feedback #4:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #5:

Employee's Initial/Date

Supervisor's Initial's/Date

Feedback #6:

Employee's Initial/Date

Supervisor's Initial's/Date

Blue = Planning Phase

Green = Ongoing & Mid Year

Red = End of Year

State of Kansas Performance Management Process

Identification Information (please print)		
Employee Name (Last, First, MI): <i>Sample, Joe</i>	Person Completing Review: <i>Manager, Jane</i>	
Employee ID: <i>K00000111111</i>	Agency Name: <i>Kansas Department of Revenue</i>	
Class Title: <i>Supervisor</i>	Position Number: <i>K00000000</i>	Date of this Review: <i>10/15/09</i>
<u>10/08</u> To <u>10/09</u> (Month/Year) Timeframe Being Evaluated (Month/Year)		Review Type: <input type="checkbox"/> Probationary <input type="checkbox"/> Recommend permanent status <input type="checkbox"/> Extend probationary status <input type="checkbox"/> Not recommended for permanent status <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Special <input type="checkbox"/> Unclassified
Overall Performance Rating: <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Needs Improvement <input checked="" type="checkbox"/> Meets Expectations <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Exceptional		

Part I: Performance Planning

Instructions: Identify objectives for the employee based on the manager/employee performance planning discussion. Please ensure each objective is a SMART objective (Specific, Measurable, Attainable, Relevant, Time-Based). In setting the objectives, be as specific as possible using quantitative (e.g., numbers, data, quotas, dates) and/or qualitative measures or feedback where helpful.

Indicate how progress against the objectives will be observed or measured (tracked). Modify objectives as needed throughout the performance management cycle. The number of objectives should be based on the outcomes of the performance planning discussion; you may add more lines below (objectives) as necessary. In the Annual Performance Review, indicate employees overall performance against each objective.

Objectives List Objectives in the Table Below		Measurement	
		A measurement scale and target should be established for each objective.	
Obj	Description	Tracking Method	Annual Performance Review
1	<i>Conduct a team building activity at the end of each of the four quarterly staff meetings that will enhance employees' understanding of the benefits of team work.</i>	<i>1 Team Building Activity per Quarter</i>	<i>Conducted Team Building Activities on 07/15, 10/22, 01/19, and 04/12</i>
2	<i>Increase the number of tax returns processed by 10% by the end of the fiscal year.</i>	<i><8% - Unsatisfactory 8-9% - NI 10%- ME 11-12%-EE >12%- Exceptional</i>	<i>Increased tax returns processed by 10.5%</i>
3	<i>Attend CPR training to obtain annual certification by the end of the fiscal year.</i>	<i>Yes- ME No- NI/Unsat.</i>	<i>Enrolled in CPR class, but so late in year that course was full.</i>
4			

State of Kansas Performance Management Process

Part I: Performance Planning (continued)

Instructions: Considering the employee's overall strengths and weaknesses, identify the critical competencies (from pages 4-7), for this review period that the employee should focus on. Consider those competencies that are critical for achievement of responsibilities and objectives for the coming year in addition to those that are important from a developmental perspective (important for a future position and/or for increased or changed responsibilities). The competencies chosen should be based on information from manager/employee performance planning discussion(s), any items identified through the development planning process, and any items from the most recent performance review.

For each competency, provide any project or on-the-job suggestions that the employee can engage in to help in development.

Competency	Project or On-the-Job Suggestions
1. Leadership- Promotes Team Effectiveness	A. Encourage the team to approach a problem as an opportunity. Allow them to take reasonable risks and be innovative in their approach to problems and opportunities. B. Read "Good to Great" by Jack Collins.
2. Dependability (Essential Requirement)- Focus on demonstrating integrity and doing the right thing.	Attend "Respect in the Workplace" training
3. Communication- Tailors Communication	When interacting with others, be open to their opinions and viewpoints. Adapt your own responses to others' needs and be willing to accept an outcome that may be different from your initial expectations. Understanding and adapting to others' needs will increase your effectiveness.
4. Change Management (Agency Competency)	Identify three changes that will improve the operations and results of the agency and lead an effort to implement one change.

On-Going Feedback and Coaching Process

Instructions: Identify the process to be used throughout the year to provide feedback and coaching to the employee. Identify any customer input tools that will be used to provide feedback throughout the year. In addition, identify the timing for the mid-year review and/or any other coaching sessions. Identify any employee responsibilities in the process. For instance, you may wish to identify when and how on-going feedback will be delivered, who has responsibility for setting up coaching sessions, when the mid-year review will happen, if current customer input tools will be used, etc.

On-Going Feedback and Coaching Process

Throughout the year, we will have one-on-one meetings on a monthly basis to discuss progress on performance objectives and competencies. In addition, I will provide constructive feedback, both positive and negative, in the moment to help Joe grow and develop. Joe will solicit feedback after meetings and activities he is working on from his manager.

State of Kansas Performance Management Process

Part II: Mid-Year Discussion

Instructions: Document progress against the Objectives and Competencies as defined in the Performance Planning process. Be as specific as possible about the employee's actual performance to date, documenting specific observable results wherever possible, and adding qualitative information or feedback wherever helpful. Any valid updates to employee's objectives, which are based on changes in State or agency needs, may also be documented in this section.

Mid-Year Discussion and Coaching Progress

04/15/08. Met with Joe and discussed his impressions and thoughts around his performance to date. We then reviewed the performance objectives and competencies that were on target. These included:

- 1. He held two quarterly team building activities to date.*
- 2. He had some problems with attendance that had been discussed and was not meeting expectations. He was attending work on time.*
- 3. In a few of our discussions, Joe brought forward several opportunities for change that would benefit the agency. These included...*

We also discussed areas for improvement. This included enrolling in CPR training, so that he could renew his certification by the end of the year.

In terms of ongoing communication and feedback, we decided to continue to meet on a monthly basis. In coaching sessions, we will discuss the chapters of the "Good to Great" book that he is reading as part of the Team Leadership on-the-job suggestion.

Due to budget cuts, the Respect in the Workplace training is no longer offered. As a result, we determined...

Part III: Essential Requirements

Instructions: Considering the level the employee typically or consistently operates at, check (✓) the box which best describes his/her behavior for the competency below. A behavioral example must be provided for the Unsatisfactory rating.

Dependability: Recognizes their responsibilities to the agency and applies effective work habits and attitudes to meet work requirements. Accomplishes tasks by showing concern for all aspects of the job and manages workload or completes tasks in a timely manner.

- Attends work regularly and on time
- Plans appropriately for absences
- Assumes personal accountability for work

Unsatisfactory * <input type="checkbox"/>	Meets Expectations XX
----------------------------------------------	------------------------------------

Example: *While there was a discussion with Joe about attending work on time on 01/15/09, he corrected his performance. He has been on time every day since that discussion. Joe is thorough in the review of his work to ensure that he produces accurate information.*

Agency Values: Individuals adhering to agency values align their actions with high standards of conduct, accept responsibility for behavior and exhibit personal integrity at all times. Acts as a role model for other employees and does the right thing, even when no one is watching. Individual does not waste agency resources (i.e., time, material).

- Demonstrates personal integrity and ethical behavior
- Displays good stewardship of public resources
- Adapts to changes in processes, procedures or responsibilities

Unsatisfactory * <input type="checkbox"/>	Meets Expectations XX
----------------------------------------------	------------------------------------

Example: _____

* An Unsatisfactory rating in Dependability or Agency Values will result in an Overall Performance Rating of Unsatisfactory

State of Kansas Performance Management Process

Part IVa: Annual Performance Review - Competencies

Instructions: Considering the level the employee typically or consistently operates at, check (✓) the box which best describes his/her behavior for the competency below. A behavioral example should be provided for each competency.

CORE COMPETENCIES (FOR ALL EMPLOYEES):

Job Responsibilities: Please rate the individual on execution of their expected day-to-day responsibilities, and specialized knowledge as outlined in the job description. Specialized Knowledge is the knowledge of and/or skill in a particular field (e.g., marketing, engineering, etc.) or trade (e.g., electrician, housekeeping, etc.) and the ability to apply that knowledge and/or skill in a variety of business situations.

XX	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learner: <ul style="list-style-type: none"> ▪ Limited ability to conduct job responsibilities; needs more experience or practice. ▪ Requires clear and specific instructions to get the job done. ▪ Understands enough to independently handle some routine tasks of the job. ▪ Understands regulations and policies; correctly applies them. 	Experienced Knowledge: <ul style="list-style-type: none"> ▪ Technically experienced and competent. ▪ Has thorough working knowledge of the area. ▪ Handles most routine tasks of the job; needs direction for more difficult tasks. ▪ Supervises others effectively through proper delegation, communication, and follow-up. 	Expert Knowledge: <ul style="list-style-type: none"> ▪ Can exercise independent judgment regarding all technical issues and responsibilities. ▪ Understands how area of responsibility relates to broader issues. ▪ Requires assistance for the most difficult aspects of the job. ▪ Supervises others with a focus on coaching for effective performance. 	Transferring Knowledge: <ul style="list-style-type: none"> ▪ Independently handles the most difficult aspects of the job. ▪ Understands how the area of knowledge relates to broader departmental or agency goals. ▪ Plays a role in transferring skills and knowledge to others. ▪ Takes responsibility for projects and tasks that have broader departmental or agency impact.

Behavioral Example: Since Joe is new to the job, this is an acceptable level for this competency

Communication: Understands others' ideas and expresses thoughts and information effectively, utilizing appropriate gestures, tone, organization, grammar, format and materials. Maximizes performance through effective communication and develops a communication style that optimizes individual and team performance. It includes expressing ideas, requesting actions, summarizing events, and formulating plans by means of clear and effective writing, communicating, or presenting.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	XX	<input type="checkbox"/>	<input type="checkbox"/>
Shares Information: <ul style="list-style-type: none"> ▪ Shares relevant information and keeps others informed. ▪ Listens to others' opinions. ▪ Explains reasons for decisions. 	Facilitates Participation: <ul style="list-style-type: none"> ▪ Communicates objective and purpose and how individual is critical to team success. ▪ Encourages participation from all team members. ▪ Runs effective meetings; uses agendas, outlines expectations, keeps group focused. ▪ Negotiates for win-win solutions. 	Tailors Communication: <ul style="list-style-type: none"> ▪ Understands audience and tailors communication so that it is perceived as being clear, relevant, and even handed. ▪ Develops a communication style to facilitate a positive team environment and advance the team's agenda. ▪ Adjusts style/approach to build partnerships with others and to ensure acceptance of ideas. 	Uses Communication to Promote Agency Effectiveness: <ul style="list-style-type: none"> ▪ Uses communication to promote broad learning, effectiveness and efficiency. ▪ Communicates with different people at different levels throughout the agency to ensure the buy-in of others. ▪ Communicates broadly to ensure others understand the link between the current task and long-term strategies.

Behavioral Example: _____

State of Kansas Performance Management Process

Customer Service: Addresses underlying customer needs that add value, to remove causes of customer's problems and ensure the long-term viability of the relationship. It includes demonstrating understanding of the customer's point of view, delivering on commitments, gaining the confidence of customers, and maximizing customer satisfaction. Customers include external and internal customers or clients, suppliers, etc.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	XX	<input type="checkbox"/>	<input type="checkbox"/>
Maintains Communication: <ul style="list-style-type: none"> ▪ Follows through on customer inquiries, requests, and complaints. ▪ Keeps customer up-to-date about progress of projects. ▪ Gives friendly, cheerful service and distributes helpful information to customers. ▪ Maintains clear communication with customers regarding mutual expectations. 	Takes Personal Responsibility: <ul style="list-style-type: none"> ▪ Takes personal responsibility for correcting customer-service problems. ▪ Corrects customer-service problems promptly and un-defensively. ▪ Makes self fully available to the customer, especially when they are going through a critical period. 	Addresses Underlying Customer Needs: <ul style="list-style-type: none"> ▪ Seeks information about the real, underlying needs of the customer beyond those expressed initially. ▪ Makes concrete attempts to add value to the customer, to make things better for the customer in some way. ▪ Gets at the root of a customer problem and removes the cause of the problem. 	Uses Long-Term Perspective: <ul style="list-style-type: none"> ▪ Develops strategies and solutions that have long-term benefits for the customer. ▪ Addresses customer problems with a focus on the long-term relationship. ▪ Proactively builds customer relationships and maintains good relationships with the customer over the long term.

Behavioral Example: _____

Initiative: Identifies a problem, obstacle or opportunity and takes action to address current or future problems or opportunities.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	<input type="checkbox"/>	XX	<input type="checkbox"/>
Addresses Current Opportunities or Problems: <ul style="list-style-type: none"> ▪ Recognizes when a situation calls for a different approach from the usual. ▪ Pulls together ideas, issues and observations when a new perspective emerges. ▪ Recognizes and acts on current opportunities 	Is Decisive in a Crisis: <ul style="list-style-type: none"> ▪ Acts quickly and decisively in a crisis situation. ▪ Makes decisions and takes action where the norm is to wait and hope the problem will resolve itself. ▪ Is prepared to try out different solutions or take a different approach. 	Plans Ahead and Takes Action: <ul style="list-style-type: none"> ▪ Looks for opportunities to make improvements. ▪ Looks beyond the facts in order to develop solutions that have currently not been used in the agency before. ▪ Generates new and varied solutions to problems. ▪ Identifies changes that will improve performance in own agency. 	Anticipates and Prepares for Long-Term Problems: <ul style="list-style-type: none"> ▪ Anticipates situations 6 months to a year ahead or more and acts to create opportunities or avoid problems that are not obvious to others. ▪ Applies and modifies learned concepts, methodologies or ideas that have been used in other departments or agencies, to develop new solutions to problems.

Behavioral Example: *In our monthly one on ones Joe has been proactive in finding opportunities to make improvements in our agency which ties to our agency competency Change Management.*

State of Kansas Performance Management Process

Teamwork: Achieves team objectives by developing and sustaining cooperative relationships. Employee works cooperatively with others as part of the team, as opposed to working separately or competitively. At the highest levels, it includes an ability to ensure the cohesiveness of the team and to ensure success.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	<input type="checkbox"/>	XX	<input type="checkbox"/>
<p>Cooperates:</p> <ul style="list-style-type: none"> ▪ Cooperates willingly with others. ▪ Ensures all group members have the relevant and needed information. ▪ Speaks positively of other team members. 	<p>Solicits Input:</p> <ul style="list-style-type: none"> ▪ Solicits ideas and opinions from others to help form specific decisions or plans. ▪ Genuinely values others' input and expertise and is willing to learn from others. 	<p>Encourages Others:</p> <ul style="list-style-type: none"> ▪ Takes specific steps to create a team environment and model desired behavior. ▪ Encourages all members of the group to contribute. ▪ Publicly recognizes the contributions of other team members. 	<p>Promotes the Team:</p> <ul style="list-style-type: none"> ▪ Acts to promote a friendly climate, good morale and cooperation within the team. ▪ Protects and promotes the team's reputation with others. ▪ Resolves team conflicts. Brings conflict within the team into the open and encourages or facilitates a beneficial resolution. ▪ Partners with other teams and promotes collaborative decision making to solve problems.

Behavioral Example: _____

State of Kansas Performance Management Process

LEADERSHIP COMPETENCIES (FOR MANAGERS ONLY):

Performance Management: Promotes employee development opportunities and fosters the long-term learning or development of others. Sets clear goals and expectations, ensures feedback and addresses performance issues in a timely manner. It includes the ability to apply State of Kansas regulations and policies, to delegate effectively, to deal with performance issues, and to hold others accountable.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

XX	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sets Clear Objectives and Expectations: <ul style="list-style-type: none"> ▪ Gives detailed explanations of specific goals and objectives to others. ▪ Delegates effectively to employees to enable focus on managerial responsibilities. 	Holds People Accountable for Performance: <ul style="list-style-type: none"> ▪ Sets goals or objectives for employees that drive high performance. ▪ Holds employees accountable for their performance. ▪ Reviews employees' performance against clear standards and objectives, and rectifies performance issues. ▪ Provides timely feedback and performance evaluations to employees. 	Coaches for Effective Performance: <ul style="list-style-type: none"> ▪ Provides real-time coaching to others to improve performance. ▪ Addresses performance problems early to ensure minimal department or agency impact. ▪ Utilizes employee recognition to reinforce positive outcomes and behaviors. ▪ Identifies training or development needs for team or group of employees. 	Creates Climate for High Performance: <ul style="list-style-type: none"> ▪ Implements specific tactics to create a climate for high performance. ▪ Interfaces with other leaders to develop best-practice people practices for the good of the agency. ▪ Develops employees for future roles.

Behavioral Example: Joe is relatively new to managing employees and needs to further develop himself to hold others accountable and to be able to deliver difficult messages.

Leadership: Outstanding State of Kansas managers view themselves as leaders of people. They recognize that they are responsible for facilitating the work of their employees, which may mean providing essential information, creating efficient work structures or processes, or securing additional resources. These leaders inspire confidence in people and create excitement about the work and purpose.

Employee does not demonstrate any of the levels below; this competency will be included in the employee's development plan.

<input type="checkbox"/>	XX	<input type="checkbox"/>	<input type="checkbox"/>
Keeps People Informed: <ul style="list-style-type: none"> ▪ Provides clear, consistent, and ongoing communication to team members. ▪ Lets people affected by the team know what is happening and the status of decisions. ▪ Makes sure the team has all the information it needs to make decisions and carry out its responsibilities, individually and collectively. ▪ Explains the reasons behind a decision promptly and candidly. 	Promotes Team Effectiveness: <ul style="list-style-type: none"> ▪ Creates the conditions that enable the team to perform at its best (e.g., setting clear direction, delegating responsibility, getting the right people). ▪ Makes team membership (including selection and dismissal) and assignments in a manner that promotes morale and productivity of the team. ▪ Obtains input from others to promote the effectiveness of the team. 	Takes Care of the Team: <ul style="list-style-type: none"> ▪ Obtains needed resources and information that the team needs to meet its goals. ▪ Provides or secures needed support and development for individuals or the team as a whole. ▪ Holds team members accountable for their contributions to team success, including bringing team resources to their assistance. 	Inspires the Team: <ul style="list-style-type: none"> ▪ Generates excitement, enthusiasm, and commitment to agency and/or departmental goals. ▪ Develops a workforce plan that positions the department or agency for long-term success. ▪ Inspires confidence in the mission of the agency. ▪ Models desired behavior.

Behavioral Example: Joe has held the 4 quarterly meetings that were identified in performance objectives and did an excellent job of listening to others and promoting the effectiveness of the team.

State of Kansas Performance Management Process

Part IVb: Annual Performance Review - Summary Discussion Points

Based upon your ratings in the previous sections, identify the employee's major strengths in this job, and areas for improvement. In addition, include any additional accomplishments. Comments summarized here will help focus your end of year performance review discussion, and help you prioritize relevant objectives and development priorities for the coming year.

Additional Accomplishments:

Joe served on an agency wide committee to promote information sharing. He also gave a presentation to the Leadership group on Communication that was well received.

Employee's Major Strengths in this Job:

Joe has the natural ability to take on a leadership role and to bring people together to work on a common goal. He has learned to slow down, listen to others and tailor his message to his audience. As a result he has strong communication skills.

Areas Where Improvement Would Benefit Job Performance:

Because Joe is relatively new to his leadership role it will be important for him to balance his Affiliative style with an ability to hold employee's accountable.

State of Kansas Performance Management Process

Part IVc: Annual Performance Review: Overall Performance Review Rating

Instructions: Indicate which level most appropriately describes the overall performance level of the individual. Add any comments that provide clarification to the Overall Review (may include unique circumstances, relevant career objectives, or other considerations).

Overall Performance Level:

Unsatisfactory <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Meets Expectations XX	Exceeds Expectations <input type="checkbox"/>	Exceptional <input type="checkbox"/>
<ul style="list-style-type: none"> ▪ Employee is not making the contributions expected of an employee in this role. ▪ Employee may not be appropriately placed in the job or the agency. ▪ Immediate improvement is required. 	<ul style="list-style-type: none"> ▪ Employee is inconsistent in performance. ▪ Employee sometimes meets expectations and requirements. ▪ Continual improvement is required to fully meet expectations. 	<ul style="list-style-type: none"> ▪ Employee is making meaningful and valuable contributions. ▪ Employee has shown consistent and continual performance throughout the review period. 	<ul style="list-style-type: none"> ▪ Employee is making significant contributions and often exceeds objectives and expectations. ▪ Employee demonstrates a high level of competency. 	<ul style="list-style-type: none"> ▪ Employee is making outstanding contributions on a continual basis. ▪ Employee's achievements are clearly distinguishable from solid performers, and are highly valued by others. ▪ Employee consistently performs at a high level of competency.

Manager Comments: Joe communicated his desire to learn more and be able to promote to a more challenging position. He has many of the building blocks to be successful.

Employee Comments: _____

Signatures

Performance Planning Discussion

Employee's Signature*: _____ Date: 10/25/08

Manager's Signature (completed by): _____ Date: 10/25/08

Mid Year Discussion

Employee's Signature*: _____ Date: 04/15/09

Manager's Signature (completed by): _____ Date: 04/15/09

Annual Performance Review Discussion

Employee's Signature*: _____ Date: 10/15/09

Manager's Signature (completed by): _____ Date: 10/15/09

Reviewer's Signature (reviewed by): _____ Date: 10/20/09

**Note: Signature does not imply agreement with the content of the review. It only indicates the employee's awareness of the information contained herein. Any classified employee who believe that he/she has been unfairly reviewed may, within (7) calendar days after being advised of the review, address an appeal in writing to the Director of Human Resource or Agency Head.*

State of Kansas

Performance Management Process

A Resource Guide for Managers

May 2008

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INTRODUCTION

About the State of Kansas' Performance Management Process

To achieve goals, we must continually strive for excellent Employee performance at all levels within the State of Kansas.

The Performance Management Process is designed to encourage open, ongoing communication between the Employee and the Manager about performance issues. The Process is a continuous cycle that helps Managers and Employees work together to establish objectives, to monitor progress toward these goals, and to assess results.

This Resource Guide will help Managers to:

- Understand the Manager's role and the Employee's role in the four phases of the Performance Management Process.
- Set objectives with Employees and discuss, individually, how they can contribute toward the success of the agency.
- Understand the competency based approach and how it will apply to each Employee.
- Conduct Mid-Year Discussion with Employees.
- Assess Employees' performance against the objectives and competencies.
- Conduct Annual Performance Review Discussions with Employees.

The Performance Management Process at the State of Kansas must maintain mutual respect between Manager and Employee, and add value to their day-to-day communication about performance and development issues.

Performance Management Principles

Our Performance Management Process is based on the following principles:

- It is simple to understand and administer.
- It links the agency's objectives and individual goals together for a specific time period.
- It appraises the behaviors that support the vision and values of the agency as well as appraises job results.
- The different rating levels are clearly defined and consistently applied.
- The highest performance level is attainable and used to recognize outstanding performance.

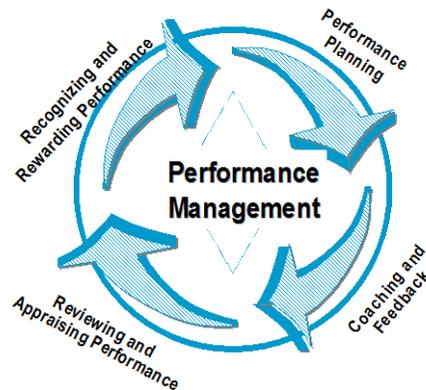
- It communicates expectations, motivates success and focuses on coaching and development instead of being just a grading mechanism.
- It promotes positive and constructive feedback.
- It minimizes employee stress.

The Performance Management Framework

The Performance Management Process can be thought of as a continuous cycle focusing on planning performance, coaching, reviewing, and rewarding.

Summary of the main stages of the Performance Management process include the following:

1. **Planning Performance** is the way in which we define what we expect of people and how they are to contribute to achieving the agency's goals.
2. **Coaching Performance** is about reinforcing and supporting the efforts made by individuals in pursuit of those same goals throughout the year, modifying priorities and resources with the changing external world.
3. **Reviewing Performance** concerns evaluating the successes and failures of the year, learning from them, and preparing for the coming year.
4. **Rewarding Performance** is the means by which performance is to be recognized.



What will the State of Kansas' Employees be Measured Against?

There are two basic criteria against which all Employees will be measured against:

Objectives = "What"

Competencies = "How"

What are Objectives?

Objectives describe the specific performance results an Employee will be expected to achieve for the year.

Why are Objectives Important?

Objectives provide Managers and Employees with the criteria needed to objectively discuss performance results. Clear objectives prevent surprises during Mid-Year Discussion and Annual Performance Review, more effectively managing performance on a continuous basis.

Objectives:

- Provide an up-front, objective, mutually understood and accepted basis for reviewing and discussing performance results.
- Reduce misunderstandings between the Manager and the Employee about what performance results he/she is expected to achieve.
- Specify each Employee's role in accomplishing tasks that are important for achieving the agency's and the State of Kansas' goals.

Effective Objectives

Objectives should be S.M.A.R.T.:

- **Specific:** Think micro, not macro; a goal that is too general will require more action steps than are effective.
- **Measurable:** Manager should be able to monitor and gauge progress in objective terms.
- **Attainable:** It's frustrating to have a goal that you don't have control over or that can't be achieved in a reasonable amount of time. Be realistic and consider the obstacles and the resources needed.
- **Relevant:** The goals should relate directly to departmental and overall agency objectives.
- **Time-Based:** Manager should be able to track your progress against specified timeframes.

What are Essential Requirements?

Essential Requirements are those basic behaviors or requirements that are critical for positions within the State of Kansas workforce. These requirements include:

- Dependability
- Agency Values

Please Note: An Unsatisfactory rating in Dependability or Agency Values will result in an Overall Performance Rating of Unsatisfactory

What are Competencies?

Objectives describe **what** results are expected. It is also important to identify **how** results should be achieved. Competencies describe, very specifically, what kinds of skills, behaviors, and personal characteristics the Employee is expected to exhibit in accomplishing job responsibilities.

Why Measure Against Competencies?

Each agency has a unique way of defining its success. While people's technical skills and experience certainly play a part in this definition, it is important to consider "how" those skills are being applied and utilized to get the job done. By measuring competencies, we come to understand whether Employees are exhibiting the behaviors that have been identified as core competencies within the State of Kansas.

What Competencies will be Measured at the State of Kansas?

Following are the core competencies which have been identified as critical to success for all employees within the State of Kansas environment:

- Job Responsibilities
- Communication
- Customer Service
- Initiative
- Teamwork

Following are the leadership competencies which have been identified as critical to a supervisor or manager's success within the State of Kansas environment:

- Performance Management
- Leadership

What is the Manager's Role in the Performance Management Process?

The Manager's role in the Performance Management Process includes:

- Using the Performance Management Process to give ongoing feedback to Employees and to assess performance.
- Working with Employees to set objectives for continuous improvement and to monitor performance against those objectives.
- Reinforcing good performance with appropriate reward and recognition, and dealing appropriately with performance deficiencies.
- Training, coaching and developing Employees.

To carry out this role successfully, Managers need to:

- Communicate the big picture of the departmental and agency goals to Employees, and show the relationship between their jobs and agency success.
- Let Employees know what is expected from them and why.
- Help Employees to establish challenging but realistic objectives and work with Employees to help them achieve these objectives.
- Identify competency levels needed for achieving high quality results.
- Conduct at least one Mid-Year Discussion with each Employee to monitor progress and to modify objectives and plans as needed.
- Conduct an Annual Performance Review discussion with each Employee.
- Identify Employee development needs and implement specific development strategies based on those needs.

What is the Employee's Role in the Performance Management Process?

The Employee must take an active role to achieve performance excellence. The Employee's role includes:

- Initiating challenging but realistic objectives that support State of Kansas' strategy, agency, and department goals.
- Taking responsibility for their own continuous performance improvement and development.
- Creating action plans and following through to achieve objectives.
- Letting their Manager know when they need information, help or advice to meet their objectives.
- Monitoring their own performance by actively soliciting feedback from others.
- Asking their Manager for regular feedback on performance throughout the year and initiating suggestions for improvement.
- Keeping their Manager informed about progress toward accomplishing their objectives and demonstrating competencies.
- Keeping their Manager informed of any problems or potential problems which may impact their ability to perform up to expectations.

PHASE I: PLANNING PERFORMANCE

What is Performance Planning?

Performance Planning is a process of jointly planning the performance objectives for the upcoming year. This section of the Resource Guide will help Managers prepare and conduct the Performance Planning discussions to:

- Discuss major responsibilities and develop objectives with Employees.
- Identify competencies Employees can use to perform responsibilities effectively and to achieve objectives.

Overview of Steps in Performance Planning

Individual Performance Planning includes the following steps:

- 1. The Manager prepares his/her objectives** based on his/her agency goals for the year. Ideally, these will be derived from the broader agency objectives.
- 2. The Employee writes 3-5 objectives** based on agency goals and developmental opportunities identified in the previous year.
- 3. The Employee and the Manager meet to review and finalize the objectives** that will best contribute to enhanced personal and agency effectiveness.

What is the Performance Planning Discussion?

The Performance Planning Discussion is a meeting at the beginning of the Performance Cycle in which the Manager and the Employee:

- Discuss the Employee's major accountabilities, and jointly agree on objectives.
- Review the competencies against which performance will be measured.

Importance of the Performance Planning Discussion

This discussion will help the Manager and the Employee to:

- Integrate the agency's objectives with the Employee's objectives.
- Mutually agree upon specific objectives and expected results.
- Discuss and agree on challenging, yet realistic objectives.
- Identify the competencies which will be particularly critical in achieving these objectives.
- Discuss action plans and next steps needed to accomplish objectives and to demonstrate competencies.

Summary of Performance Planning

Do

- Tie Employee's objectives to the objectives of the agency.
- Encourage the Employee to develop his/her own goals.
- Gather information so the objectives are set at the appropriate difficulty level.
- Develop specific, measurable objectives that are challenging yet realistic. Use quantitative and/or qualitative measures where helpful.
- Discuss how demonstration of competencies will contribute to meeting objectives.
- Agree, up front, on the criteria for successful achievement of objectives.
- Discuss specifically which competencies the Employee will need to demonstrate to achieve objectives.
- Ask Employees to suggest action plans for achieving objectives.
- Set Mid-Year Discussion meeting date to discuss progress on objectives. Remember the importance of ongoing, informal coaching.
- Set objectives to improve future performance.
- Let the Employee know that objectives can be revised if the circumstances change and if critical goals are no longer reasonable or relevant given changing business circumstances.

Don't

- Set objectives without looking at the "big picture".
- Develop objectives for the Employee without any discussion.
- Set objectives that are too easy or too difficult under the circumstances.
- Develop general or vague objectives.
- View competencies as unrelated to the achievement of objectives.
- Assume the Employee can read your mind or know what is important to you.
- Ignore the "how" of achieving objectives.
- Neglect to discuss steps and resources needed to achieve complex objectives.
- Assume that you can set objectives and forget about them until the end of the review cycle.
- Be overly critical of the Employee's past performance when setting objectives.
- View objectives as cast in bronze!

PHASE II: COACHING PERFORMANCE

What is Performance Coaching?

Performance Coaching provides both formal and informal opportunities for the Employee and the Manager to discuss progress against objectives, review demonstration of competencies and determine if any objectives should be modified before the final review at the end of the performance management cycle.

This section of the Resource Guide will help Managers to provide both informal and formal performance coaching to Employees throughout the year.

Coaching is one of the most important managerial skills for improving performance results and for motivating and developing Employees. Coaching discussions:

- Clarify the Manager's expectations.
- Reinforce positive results and effective demonstration of competencies.
- Identify adjustments needed to achieve objectives and to effectively demonstrate competencies.
- Ensure the continued development of the Employee.
- Renew the Manager and Employee partnership to achieve results.

Guidelines for Effective Coaching

Consider the following guidelines for effective coaching:

- Conduct discussions as needed throughout the year. Do not wait for the Mid-Year Discussion to discuss how an Employee is doing.
- Remember that either the Manager or the Employee may initiate coaching discussions at any time during the year.
- Use every opportunity to give timely, specific feedback. Generally, Employees are accepting of constructive criticism.
- Remember to coach employees on **both** the Objectives ("what") and the Competencies ("how").
- Continue to define and discuss requirements that are mutually acceptable to the Employee and the Manager.

Guidelines for Providing Recognition

Consider the following guidelines for providing recognition:

- Remember that recognition reinforces and rewards successful past performance and encourages continued successful performance in future.
- Recognition must be sincere, specific and earned.
- Recognition builds Employees' confidence, acting as a powerful motivator.

Provide recognition when an Employee:

- Has achieved a critical goal.
- Has made substantial progress toward achieving a complex or long term critical goal.
- Effectively demonstrates specific competencies.

Steps for Providing Recognition

Use the following steps to provide recognition:

1. Describe the situation.

- Make a general reference. For example, "You made a very effective presentation to the customer."

2. Describe specifically what the Employee did that made performance results or demonstration of competencies effective.

- For example, "You demonstrated Customer Service when you anticipated and responded emphatically to the customer's objection. You listened by paraphrasing effectively and by then emphasizing how this process would benefit the customer."

3. Describe the positive impact of the Employee's performance.

- State how the Employee's performance positively impacted: his/her achievement of objectives, demonstration of competencies, and people's perceptions of the Employee.
- For example, "Based on your effective presentation, we were able to gain the support of the team to move forward on the project."

Characteristics of Feedback for Improving/Developing Performance

Feedback for improving/developing performance identifies **what** needs to be improved or developed, **why** it is important to do so and **how** to do it. Effective feedback is:

- **Prompt**, rather than delayed. Don't wait three months to discuss what needs to be done differently.

- **Focused** on important issues. Discuss one or two things that would really improve the Employee's performance. Don't overwhelm the Employee so he/she feels that you are overly critical or that he/she is totally ineffective.
- **Two way**, rather than one-way. Get the Employee's perception of his/her strengths and areas that need improvement. Performance improvement involves two-way discussion, not a lecture.
- **Descriptive**, rather than judgmental. Discuss behaviors related to the job. Avoid discussing personality traits. Say, "You interrupted Bob three times during our discussion," not "You're rude."
- **Specific**, rather than general. Say, "If you presented your findings at the quarterly meeting, you'd gain visibility with upper management," not "Upper management is unaware of your abilities."
- **Helpful**, rather than destructive. Don't give feedback when you're angry, even if you were very concerned about the Employee's performance when you observed him/her. Wait an hour or, if necessary, a day. Think about what you'll say and how you'll say it. Present your feedback in a constructive way that is likely to enhance future performance.
- **Focused** on problem solving and developing for the future. Don't blame for the past or ignore opportunities for future development. The idea is to identify specific things the Employee can do differently.
- **Developmental**, rather than remedial. Every job can be performed better. Even a very effective Employee can enhance his/her skills. Everyone benefits from ongoing, periodic coaching. It should not be reserved for poor performers.

Pitfalls to Avoid When Giving Feedback

The following is a list of pitfalls that may arise during a feedback session:

- Feedback receivers may fear that there is *more to the message* than what is said. Be sensitive to how you believe the Employee is responding to the feedback.
- Most of the time, both the Manager and the Employee *treat feedback as a management responsibility*. Employees tend to detect problems that are occurring, but rationalize their own role and responsibility. Thoughts such as "It's my Manager's job to fix this" help individuals avoid analyzing, discussing or eliminating problems. *In reality*, it is the **joint responsibility** of both parties. Feedback should be solicited by the Employee as well as volunteered by the Manager to help maximize performance.
- Managers and Employees often *avoid and ignore talking about problems* until the problems get so big or have gone on for so long that they become crises. When the

discussion finally occurs, it is often too late for effective problem solving, and the discussion itself usually is charged with defensiveness, blaming, and helplessness.

- Often Managers legislate improvements in performance *without involving the Employee in the action planning* or without assuring that the Employee commits to real action. If the Employee doesn't personally commit to changing his/her behavior, even the best action plans are useless. If the Employee lacks the skills and/or support to implement the action plan, it is a waste of time.
- Often development plans are designed as though *everyone had the same learning style*. Some people learn faster on the job; others learn through reading, attending courses and workshops, or watching role models. Make an effort to understand the Employee's preferred learning style.

What is the Mid-Year Discussion?

The Mid-Year Discussion is a more formal opportunity for the Employee and the Manager to: discuss progress against objectives; discuss demonstration of particular competencies; and identify if any changes need to be made to objectives.

Importance of the Mid-Year Discussion

The Mid-Year Discussion provides a valuable opportunity for: coaching, problem solving, and updating objectives. By discussing actual results to date versus objectives, the Manager and the Employee can:

- Identify performance results that are on or above target. This approach enables Managers to provide recognition to encourage continued strong performance.
- Identify performance results that are “below target” and develop plans for improving performance. By identifying and correcting performance problems as they occur, Managers will avoid surprises at the Annual Performance Review Discussion.
- Develop plans to accomplish expected results.
- Discuss any competencies that need to be enhanced or demonstrated further to accomplish objectives.
- Identify potential problems that may affect future performance. By planning preventive actions, Managers can often eliminate such problems before they occur.
- Identify what specific help, if any, the Employee needs from you to accomplish his/her objectives.
- Add, change, or delete objectives in response to changes in priorities or business conditions.

The Mid-Year Discussion will be a required part of the Performance Management Process. Remember, the Mid-Year Discussion is not intended to take the place of informal, day-to-day coaching and communication with the Employee.

Guidelines for How Often to Conduct “Update Review Discussions”

The Manager and the Employee may find it helpful to conduct Update review discussions more frequently.

Consider scheduling more frequent reviews when:

- The Employee is new to the job.
- The workload has increased.
- The work has changed.
- Priorities in the agency or department need to change.
- The Employee has a performance problem.
- The Employee needs or requests more guidance from the Manager.

Preparing for the Mid-Year Discussion

Thorough preparation is a must for discussing the Employee's progress against achievement of objectives and demonstration of competencies. The Manager should:

- 1. Schedule the meeting and ask the Employee to prepare by:**
 - Reviewing his/her results against objectives and job responsibilities.
 - Determining if the results on each critical goal meet, exceed, or are below the agreed upon expectations.
 - Identifying the cause and possible solutions for any below target results.
 - Identifying plans for accomplishing objectives for the remainder of the year.
 - Identifying any objectives that need to be added or updated to reflect changes in business priorities.
- 2. Review relevant performance data and information:**
 - From "customers", both internal and external.
 - On the Employee's results against each objective.
 - On the Employee's demonstration of competencies.
 - On conditions affecting the Employee's performance.

- On changes in business priorities which may require objectives to be added or revised.
- 3. Identify the Employee's improvement or development needs.**
- What could he/she do to make an even greater contribution to the goals of the agency or the goals of the department?

Steps for Conducting the Mid-Year Discussion

The following steps will help Managers conduct the Mid-Year Discussion:

- 1. Set the stage**

- Thank the Employee for preparing for the discussion.
- Review the importance of the discussion for monitoring progress toward achieving objectives, demonstrating competencies, and for modifying objectives, if needed.
- Review the agenda.

- 2. Ask the Employee to review his/her perception of progress on each objective.**

- Share your perception of progress.
- Discuss similarities and differences in perceptions.
- Provide recognition for on or above target performance results.
- If any performance results are below target, develop specific next steps for improving performance.

- 3. Ask the Employee to discuss how the use of particular competencies is contributing to the achievement of performance results.**

- Share your perception of the employee's demonstration of competencies.
- Provide recognition for effective demonstration of competencies.
- Discuss specific ways the Employee could demonstrate competencies to further enhance performance results.

- 4. Determine if any objectives should be modified.**

- Document any changes.

- 5. Summarize the discussion and offer ongoing support.**

- Discuss plans/next steps for achieving objectives and demonstrating competencies for the remainder of the year.

- Discuss any other questions or concerns related to performance or development that you or the Employee want to discuss.
- Encourage the Employee to come to you any time he/she has questions about performance or needs advice to achieve his/her objectives.
- Express confidence in the Employee's ability to contribute to the overall success of the agency.

Tips for Observing and Documenting Behaviors

1. Be thoroughly familiar with the competencies and objectives that are to be evaluated during the performance appraisal period.
2. Keep a record of critical incidents related to objectives and competencies, and include:
 - **Context:** when, where, etc.
 - **Action:** what the Employee did or didn't do
 - **Outcome:** the result or impact of the action or inaction
3. Be as specific as possible in presenting behaviors. Avoid general words such as "good" or "fine."
4. Be careful not to allow what you have seen in one situation influence your observations of other situations.
5. Document both the presence and absence of desired behaviors.
6. Solicit feedback from others who work closely with the Employee.
7. Watch your own behavior; be careful about inferences.
8. Document your observations immediately following the incidents, not long after the fact. You do not want to find yourself in the position of having to remember or recreate events at the time of the meeting.

Summary of Performance Coaching

Do

- Conduct informal day-to-day coaching discussions as needed in addition to conducting the Mid-Year Discussion.
- Take time before the Mid-Year Discussion to review performance data to assess the Employee's results and how he/she achieved those results.
- Ask the Employee to review performance data to prepare for the discussion.
- Establish a positive tone and climate.
- Listen to the Employee's viewpoints.
- Remember to provide recognition for results that are on or above target.
- Revise objectives as needed.
- Encourage an open dialogue. Get the Employee involved. Listen by paraphrasing, asking open questions, and empathizing. Ask for the Employee's ideas on enhancing results.
- Set specific next steps for improving performance on below target results and for continuing to develop the Employee.
- Focus on enhancing future performance.
- Review results achieved and plans to accomplish results for the remainder of the year.

Don't

- Use the Mid-Year Discussion as the only time for coaching the Employee.
- Forget that preparation is a must for success.
- Fail to encourage Employees to self-assess their results and to take an active role in performance management.
- Put the Employee on the defensive.
- Discount Employees' perceptions or minimize concerns.
- Focus on one negative performance situation and forget about the positive ones.
- Ignore changed business needs/priorities.
- Talk at the Employee and give lots of "If I were you" advice that implies "My way is the only way."
- Sidestep problems. Remember that continuous improvement is our goal at the State of Kansas.
- Blame the Employee for past performance.
- Ignore performance plans for the remainder of the year.

PHASE III: REVIEWING PERFORMANCE

What is Performance Review?

The Annual Performance Review is an assessment of the Employee's overall performance for the year.

This Section of the Resource Guide will help Managers to:

- Assess performance and complete the **Performance Review** form by:
 - Assessing the results on each objective.
 - Assessing performance on each Competency.
 - Determining the Overall Rating.
- Conduct an Annual Performance Review Discussion with the Employee.

Overview of Steps in Performance Review

1. Preparing for the Performance Review

- The Manager sets a review time and date with the Employee and gives the Employee suggestions on how to prepare for the Annual Performance Review discussion. The Manager and the Employee jointly determine who else is knowledgeable about the Employee's performance (e.g., project team members, internal/external customers, etc.).

2. Gathering Input from Others

The Manager:

- Solicits input on the Employee's performance from project team members, internal/external customers, etc.

3. Completing the Performance Review Form

The Manager:

- Considers input on the Employee's performance from others (e.g., project team members, internal/external customers, etc.).
- Assesses the Employee's results on each objective.
- Assesses the Employee's performance on each Competency.

Don't wait until the end of the year to discuss the Employee's performance results and development needs with your Manager. Throughout the year, keep your Manager informed to avoid surprises and major disagreements which could delay the approval process.

4. Conducting the Annual Performance Review Discussion with the Employee

The Manager:

Discusses performance results and demonstration of competencies. Identifies obstacles beyond the Employee's control and how to handle them in the future.

- Explains the ratings.
- Discusses development if appropriate.
- Secures all required signatures.

What is the Annual Performance Review Discussion?

The Annual Performance Review Discussion is a face-to-face meeting between the Manager and the Employee at the end of the performance period between October 1st and December 31st. Its focus is on assessment of past results and development in the future.

Steps for Conducting the Annual Performance Review Discussion

Use the following steps to conduct an effective Annual Performance Review Discussion:

1. Set the Stage.

- Create an open, relaxed atmosphere.
- Thank the Employee for preparing.
- Review the purpose of the discussion: to summarize the Employee's performance for the year and to set next steps for continued development in the current job.
- Review the agenda.

2. Review how Ratings on objectives was Determined.

- Discuss how the performance rating on each objective contributed to your overall rating.
- If the Employee's opinion differs from your perception, listen to his/her rationale.
- Be open to changing your assessment if the Employee presents information you did not consider. Otherwise, restate and explain your assessment using specific illustrations.

3. Review how Ratings on competencies was Determined.

- Discuss how performance on each Competency contributed to or detracted from the accomplishment of objectives.
- Explain your overall assessment on each competency.
- If the Employee's perception differs from yours, listen to his/her rationale.
- Be open to changing your assessment if the Employee presents information you did not consider. Otherwise, restate and explain your assessment using specific illustrations.

4. Review the Overall Rating.

- Explain how you determined the Overall Rating based on an overall assessment of performance on objectives and competencies.
- If you feel a significant change in the overall rating is warranted as a result of your discussion with the Employee, explain that the desire for change will be considered and documented.

5. Discuss the Employee's Development Plan.

- Open the discussion by reviewing the overall purpose of the Performance Management Process at the State of Kansas. Emphasize the goal of having a formal process to encourage continuous development.
- Identify the Employee's major strengths in the job. Emphasize the parts that he/she does particularly well, to boost confidence and create a positive atmosphere.
- In a constructive way, identify areas where improvement is needed.
- Identify what additional skills or knowledge would help the Employee perform more effectively. Determine specific action steps for developing those skills and knowledge.
- Agree on a development method that:
 - Appeals to the Employee.
 - Is acceptable to you.
 - Is practical in the agency environment.
 - Makes the best use of time and resources.
 - Is least disruptive to the Employee's and others' work.

- Common development methods include:
 - Coaching.
 - Redesigning parts of the job, or changing its boundaries.
 - Self-development activities.
 - Project assignments or task force participation.
 - Cross-training with another employee/division.
 - Formal training programs.

6. Summarize the Discussion and End on a Positive Note.

- Ask for any questions or the need for further clarification.
- Set next steps, if appropriate (e.g., a date for next year's Performance Planning Discussion).

The Performance Ratings at the State of Kansas

Under the new State of Kansas Performance Management System, there are five separate and distinct performance levels identified:

Unsatisfactory	= Employee is not making contributions expected of an employee in this role. = Employee may not be appropriately placed in the job or the agency. = Immediate improvement is required.
Needs Improvement	= Employee is inconsistent in performance. = Employee sometimes meets expectations and requirements. = Continual improvement is required to fully meet expectations.
Meets Expectations	= Employee is making meaningful and valuable contributions. = Employee has shown consistent and continual performance throughout the review period.
Exceeds Expectations	= Employee is making significant contributions and often exceeds requirements and expectations. = Employee demonstrates a high level of competency.
Exceptional	= Employee is making outstanding contributions on a continual basis. = Employee's achievements are clearly distinguishable from solid performers, and are highly valued by others. = Employee consistently performs at a high level of competency.

Guidelines for Determining the Ratings

Use the following guidelines, along with managerial judgment, to determine ratings.

When you assess the Employee's results against each objective, consider:

- How close the Employee came to meeting the objective.
- External factors, things outside the Employee's control, that impacted his/her results, such as emergencies that pre-empted his/her time, unexpected conditions, or difficulties.
- How challenging the objective was.
- How much help you provided the Employee in accomplishing the objective.
- The impact of the Employee's performance results upon customers, either internal or external to the State of Kansas.
- If the Employee failed to obtain acceptable results on an objective, describe the extent of the gap and hypothesize why it occurred. Explain whether it appears the failure was due to factors within or beyond the Employee's control. Also, mention any coaching discussions and improvement steps to which the Employee previously agreed.
- If the Employee obtained outstanding results on the objective, provide supporting information. For example, by how much did he/she exceed the objective and how did he/she do it?

When you assess the Employee's demonstration of competencies, remember to:

- Observe the Employee in action, and note how his/her behaviors affected the results achieved. Take notes throughout the year on specific behaviors, both positive and negative, that affected results.
- Your documentation will be critical for an effective discussion with the Employee.

Use the complete competency model as your reference in measuring performance.

Measurement Pitfalls to be Avoided

1. **The Halo Effect:** allowing one single event (positive or negative) to bias overall perception of performance.
2. **Stereotyping:** a pre-supposed assumption about someone without evidence or grounding.
3. **The Central Tendency:** lumping all Employees in the same category to avoid conflict; or “averaging” out an Employee’s performance.

4. **The Recency Error:** the review covers the entire year; don't be biased by a major error committed just before the review.
5. **Length of Service Bias:** longer time in the job does not *necessarily* mean better performance; confront any performance not at the level expected from the amount of experience, even if past managers have not done the same.
6. **The Initial Impression:** whether good or bad.
7. **Lack of Documentation:** not grounding the review with specific examples from throughout the year.

Dealing with Performance Review Problems

There are five possible reactions when Employees do not respond effectively to the performance appraisal:

The Hard-to-Convince Employee

- Some Employees may be disappointed with their review. Managers should plan out what they will do if this happens.
- Do not argue with the Employee. Make your position clear, and then try to understand the reasons for disagreement. Complete agreement may be difficult to attain, although agreement on some basic points should be reached.
- Be open to the possibility that you overlooked something critical. Add more information to the review to support your position.
- Let the Employee talk, and listen carefully.

The Noncommittal Employee

- Some people may have different reactions as a result of fear, resentment, lack of interest, cultural differences or lack of understanding. Find out which of these it is, so that you can determine how to proceed.
- Some periods of silence are natural as the Employee thinks over what you have said. Don't rush; give your remarks time to be absorbed.
- Try asking some open-ended questions to get the Employee talking. Restate the feedback and check for understanding.
- Having the Employee prepare a self-rating may spur some thoughts.

The Easy-to-Convince Employee

- If Employees agree too quickly to all of your opinions, this may not be a good sign.

- Check to ensure the Employee really understood what you said (e.g., by having them restate it in their own words). Make sure the agreement is genuine.
- Emphasize that you will be following through on your decisions, and then do so.

The Quick-Tempered Employee

- Some Employees will get angry when you point out weaknesses in their performance, regardless of how tactfully you present it.
- If this occurs, let the Employee vent their feelings and listen patiently.
- Do not get into an argument. The best thing to do is pause or leave the room briefly to let the Employee regain composure.
- Further discussion at this time may not be effective. Schedule another meeting, and try to calm the Employee by explaining that you will have another opportunity to talk.

The Employee Who Is Experiencing Personal Issues

- Personal crisis can sometimes be the cause of poor job performance. If an Employee becomes emotional in a review, listen and show concern.
- Pause or leave the room briefly to let the Employee regain composure.
- As you feel is appropriate, given your relationship with the Employee, ask questions to find out the reason for the outburst. Do not get into an in-depth discussion of personal issues and do not offer personal advice. In most cases, what Employees need is simply someone to listen.
- You may need to reschedule a meeting where the conversation can focus on performance, not the personal, non job-related issues.

Summary of the Performance Review

Do

- Gather performance data from a variety of sources for the full year.
- Focus on the Employee's performance in the job.
- Explain how you determined each rating. Give specific examples of how performance results were achieved and how particular competencies were demonstrated.
- Use the *Unsatisfactory* rating to confront and correct poor performance. Develop specific action plans to address performance issues.
- Get the Employee's reaction and perceptions. Make it clear that you are interested in his/her feelings and thoughts.
- Focus on future improvement and development.
- Remember to discuss both strengths and development needs.
- Document both positive and negative incidents throughout the year.
- Choose a private meeting place where you will not be disturbed. Allow sufficient time for the actual appraisal meeting (1-1¹/₂ hours).

Don't

- Focus on most recent performance data only.
- Be judgmental or focus on the Employee's personality.
- Discuss the performance of other Employees, or compare the Employee with other Employees.
- Tolerate unacceptable performance.
- Conduct a one-way discussion.
- Dwell on a past problem, blame the Employee, or put him/her on the defensive.
- Assume that performance enhancement is for poor performers only.
- Focus on weakness only.
- Allow for interruptions.

PHASE IV. REWARDING PERFORMANCE

“Effective performers should know that their contribution is recognized and valued by the agency. The purpose should be to reward the high performing people and to motivate all the people.”

Performance Related Pay -- Some Background and Issues

Pay is one of the strongest communicators of how much the State of Kansas values the contributions of an individual or group. A well structured and implemented performance related pay strategy sends clear messages about the direction and values of an agency.

In understanding the key links between pay and Performance Management, there are a number of issues that need to be taken into account:

- Performance rewards should be significant enough to motivate the excellent performers.
- The process needs to be monitored, evaluated and reviewed.
- It is important to manage expectations about what performance rewards can and will deliver.
- It is important to avoid being too mechanistic or simplistic about setting performance targets.

The operation of merit pay is traditionally linked, either directly or indirectly, to appraised performance. As a result its success is partly dependent on the quality of the appraisal process in operation. Appraisal “rating inflation,” inadequate management training in appraisal, and poorly designed appraisal processes can all have an adverse effect on the efficiency of merit pay as a performance-related reward. The creation of an effective Performance Management process eliminates these issues.

Steps for Selecting and Communicating Base Salary Increases

The steps to select and communicate a base salary increases are in the process of development. More information will be added in the future.

SUPPORTING EMPLOYEE DEVELOPMENT

What is Employee Development?

Employee development focuses on clarifying Employees' strengths and weaknesses, and identifying opportunities for him/her to further develop particular skills which will contribute to improved performance on the job.

This Section of the Resource Guide will help Managers to understand the importance of Employee Development and learn to identify appropriate developmental needs of those Employees you supervise.

What is the Role of Employee Development in Performance Management?

- Ensures Employees' understanding of the State of Kansas' commitment to excellence in personal performance and the commitment to continuous improvement.
- Fosters maximum individual contribution in support of overall agency goals and direction.
- Serves as a process to define problem areas, and or strengths/weaknesses so they can be corrected or developed.
- Can serve as a management tool to facilitate internal transfers and promotions.
- Focuses individual/personal growth within the department and agency.

Helping Employees Identify Developmental Needs

In identifying Employee developmental needs, ask the Employee:

1. What are your key objectives/job duties? List in order of importance.
2. Do you anticipate any significant changes in any of these activities during the next year or so?
3. What aspects of your job give you the most problems at present?
4. In what areas do you think you could make a significantly greater contribution to team performance?
5. In what ways do you think you need to develop as an individual? What learning would help you to:
 - meet the challenges of the changes listed in (2);
 - deal with the problems listed in (3);
 - help you make a greater contribution to your team's performance;

- aid your professional development as an individual?
6. Considering the way we do things currently, do you have ideas as to procedure/process improvements that would make the agency run more efficiently and effectively?

Guidelines for Employee Development

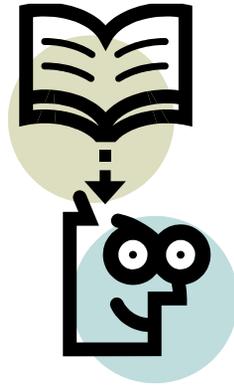
Keep in mind the following things:

- Encourage Employees to take an active role. Discussions should be Employee-driven.
- Look at how to maximize the use of Employees' strengths and talents.
- Focus on development in current job.
- Use task forces and special projects as opportunities for development in particular areas.
- Attempt to understand Employee's motivation and interests.
- Be realistic regarding advancement opportunities.
- Create mentor relationships where appropriate.
- Consider lateral transfers for Employee development purposes.
- Tie training programs to individual development programs.
- Follow-up periodically throughout the year.

Procedures to follow when employee goes on Active Military Orders

1. Determine if employee wants to use vacation, Sick Time, Comp Time, etc. for full pay periods for a period of time or until they have exhausted their leave balances. If not, place the employee on Military Leave of Absence.
2. If the employee does want to use leave while on orders, please remember they cannot use Military Leave unless they are on Active Training or some other type of training.
3. When the Leave of Absence starts, the employee may choose to drop their Group Health Insurance (GHI*), carry the GHI only on their spouse and children, or they may choose to leave their insurance as is. For the first 30 days of Leave Without Pay, the agency will continue to pay our portion of the insurance coverage. The employee will need to write a personal check payable to The Adjutant General's Department for the employee's portion of GHI (including prescription, dental and vision) and the Comptroller's Office will create a receipt voucher. SHR will send a copy of the voucher, a copy of the check and a DA-180 (Adjustment Form) to Payroll in order to process the Adjustment. This needs to be done for the pay periods during the first 30 days of Leave Without Pay.
4. SHR will help the employee complete a GHI Change Form indicating what they want to do about their insurance coverage. If they choose to continue coverage, it will be under the Direct Bill program. A letter with billing information will be sent from Department of Personnel Services to the employee about how to pay for the insurance coverage during the remainder of the Leave of Absence.
5. When the employee returns from the Leave of Absence, they will need to complete a GHI Enrollment form. The effective date of their insurance can either be the first day of the month following the end of their orders or the first day of the month they come back to work.
6. Life Insurance: While the employee is on Active Military orders, their regular life insurance policy will be maintained by the State of Kansas. If the employee is enrolled in Optional Group Life insurance, they will need to convert that policy with a Life Conversion Form. When the employee returns to work after the Leave of Absence, they will need to complete an Optional Group Life Enrollment form. Their Optional Group Life insurance will go back to the amount of coverage they had before the Leave of Absence.

* Note: GHI is carried in the employee's name and uses the employee's SSN as the policy number. If the employee drops their coverage and carries only on the spouse and/or children, the policy may change to the spouse's name and SSN. The insurance company will send a letter to the employee stating that they are no longer eligible for insurance. The company will also send a letter and new ID cards in the spouse's name.



Manager/Supervisor Handbook

Worker's
Compensation

State Self Insurance Fund & SHRO Frequently Asked Questions

1. What is Workers Compensation?

It is compensation provided by the employer for a personal injury caused by an accident arising out of and in the course of employment. Employees who sustain compensable injuries from an accident injury or occupational disease may be entitled to:

- a. Reasonable and necessary medical treatment expenses to treat the job related injury or illness;
- b. Disability compensation to replace part of the wages lost due to a disability; and
- c. Survivors benefits if death results.

2. Who administers Workers Compensation for State of Kansas employees?

- a. The State Self-Insurance Fund (SSIF) was established by the Kansas legislature to administer workers compensation claims on behalf of State of Kansas employees.
- b. The SSIF can be reached in Topeka at 785-296-2364.

3. What if I have an accident at work?

- a. All State employees must notify their supervisor immediately if they have sustained an on the job injury.
- b. Failure to notify an employer within 10 days of the accident could jeopardize compensation.
- c. Upon notification, the supervisor should get with the employee and fill out the Kansas Department of Labor, Division of Workers Compensation "**Employer's Report of Injury**" form (K-WC 1101-A (Rev 2-06)).
- d. This form must be completed in its entirety and signed by management and sent directly to the State Self Insurance Fund (SSIF) within 24 hours of the supervisor's awareness of the injury.

4. What if the injury requires emergency treatment?

- a. Life or limb-threatening emergency situations require immediate medical attention from the closest medical facility.
- b. Injuries such as broken bones, profuse bleeding, head injuries, wounds that require stitches, chemicals in the eye(s), etc. are some examples of emergency situations.
- c. Prior authorization is not required for emergency treatment but the supervisor should inform the SSIF as soon as possible at 785-296-2364.

5. What if the injury is not an emergency but the employee wants to seek medical attention?

- a. The State Self Insurance Fund is legally entitled to choose the treating physician.
- b. The State Self Insurance Fund does not guarantee that any doctor visit will be covered until compensability is determined.
- c. If an employee self-selects a doctor who is not an authorized Corvel physician or that is not agreed upon by the SSIF, the SSIF will only be responsible for the first \$500 in medical bills from the self-selected physicians once compensability has been determined.

If an employee self-selects a doctor who is not an authorized Corvel physician or that is not agreed upon by the SSIF and the claim **is** determined to be **compensable**, the SSIF will only be responsible for the first \$500 in medical bills from the self-selected physicians.

If an employee self-selects a doctor who is not an authorized Corvel physician or that is not agreed upon by the SSIF and the claim is determined to **not be compensable**, the employee is responsible for the all medical costs incurred. The employee will be provided a denial letter from SSIF which he/she provides to their respective medical plan for claims processing.

- d. It's a good practice to receive **prior authorization** from the State Self Insurance Fund at **785-296-2364** before sending the employee to the doctor in non-emergency situations to assist in determining compensability.
- e. Please note that all phoned in reports must be followed-up with a completed Employer's Report of Injury within 24 hours.

6. What doctors do we use to treat our injured workers?

- a. The State Self Insurance Fund utilizes the Corvel physician network for workers compensation medical care. This vast network of doctors provides great opportunities in treating injured state workers.
- b. Please follow the instructions below to search for doctors in a specific location:
Steps to Search for a Doctor in the Corvel Physician Network
 - 1) Use the following link:
http://www.corvel.com/provider_lookup/findProvider/findsearchparams.asp
X
 - 2) Under **Select a Network** select the **Workers Compensation** network.
 - 3) Select the distance within you would like to search.
 - 4) Type in the city or county.
 - 5) Select the state (**Kansas**).
 - 6) Check the specialty to search (**occupational medicine, general practice, hospital or orthopedics, etc**).
 - 7) Finally, click **Find Providers**. To move from page to page scroll up near the top of the page and click "Next."

7. How is compensability determined?

- a) Compensability is determined from the "Employer's Report of Injury" and/or a phone call with the agency management reporting the facts of the injury.
- b) The SSIF claims specialist and advisors utilize the Kansas Laws and Regulations to determine compensability of a claim.

8. What happens to the doctor bill if the claim is found not to be compensable?

- a) The employee will need to pay for the visit or submit the bill to their medical insurance provider.
- b) The employee will receive a denial letter from the SSIF that can be sent to the medical insurance provider and/or their personal health insurance.

9. Is mileage allowed for treatment I get?

- a) You will be entitled to mileage when you drive to your authorized provider's office if the distance is more than 5 miles roundtrip.
- b) A **mileage form** is available for your use in keeping track of your miles and may be submitted periodically, usually monthly, as you drive.

10. How do I get prescriptions?

- a) Your provider may prescribe certain drugs or other items during the course of your treatment.
- b) You may purchase prescription drugs from any outlet in your area.
- c) The vendor may allow you to charge the drugs and then directly bill the Fund; or you may pay for the drugs and be reimbursed by the Fund.
- d) The Fund usually will not pay for over the counter items, aspirin, band aids, etc.
- e) Your claim representative will assist you with such purchases if you have a problem.

11. How do I get hardware and other items?

Please do not purchase or rent any other items such as electrical stimulators or other hardware until you check with your claim representative.

11. How and when do I get paid if I am off work?

- a) You may be compensated at the rate of 2/3 of your gross average weekly wage, subject to a weekly maximum, if a physician restricts you from all work or if your employer can not accommodate physician directed restrictions. This compensation is termed Temporary Totally Disabled, or "TTD".
- b) In general, you are not eligible for weekly compensation for the first 7 days unless you are totally disabled from work 21 consecutive days.
- c) The SSIF will issue you a separate check in the same time frame (biweekly) as State employees receive regular pay.
- d) Your agency will be advised of the SSIF paid compensation and will make necessary adjustments to your time and leave balances.
- e) If you receive SSIF compensation, please check with your personnel officer about sick leave, vacation leave or FMLA considerations.

12. Will I be taxed on SSIF payments?

Workers compensation wage loss payments are not subject to state or federal income tax.

13. Do I have to use vacation leave or sick leave if I am drawing "TTD"?

- a) No, however, most employees do supplement "TTD" with leave so as to make up pay for any shortage (since TTD is 2/3 to a certain level).
- b) See your agency personnel office for more details or call your claims adjuster.

14. Am I eligible for shared leave consideration if I have a work related injury?

No. Shared leave is not intended to cover employees who are receiving workers compensation. (K.A.R. 1-9-23)

15. How soon can I try to return to work?

- a) Your supervisor, agency and claim representative will begin the process of getting you back to work as soon as possible.
- b) The treating physician will determine if you have physical restrictions.
- c) You, your supervisor and the representative can then review any restrictions to decide if you can return to duty.
- d) This could be in the form of accommodated duty or shortened hours so long as they do not exceed physical restrictions.
- e) If the agency can accommodate restrictions, you will be expected to return to work.
- f) As your restrictions are adjusted, your accommodations will be evaluated until you are back to regular duty.

16. What if I have questions about this process?

- a) Your primary assistance is the claim representative (or adjuster) at 785-296-2364.
- b) Located in Topeka, the claim representative will advise you and will see that you receive the necessary information and compensation.
- c) Another source is in the Division of Worker's Compensation in Topeka which has claim advisors who can provide you with consultation on a toll free number, 1-800-332-0353.
- d) Also, mediation or a hearing before an administrative law judge in the county where the accident occurred is available.
- e) Your claim representative or advisor can explain the administrative hearing process to you.

17. What if I see an unsafe act or condition at work?

- a) Correct the situation if it is within your scope of responsibility or decision making.
- b) Otherwise, report it to your supervisor.
- c) Your agency may also contact the Division of Labor at 1-800-332-0353 for workplace hazard prevention services and consultation.

18. What if I think someone is cheating on workers compensation?

- a) The SSIF occasionally receives reports that someone who is off work on workers compensation is working another job or participating in activities that would indicate the person could be working.
- b) Please report these with as much specific detail as possible to the SSIF at 785-296- 2364.

19. Do I need an attorney to handle my claim?

- a) You may get suggestions from co-workers, friends and others to get representation.
- b) Initially, your best source of information about how claims are administered and how they are "settled" comes from your claims representative.
- c) You could also call the Division of Workers Compensation's toll free 1-800-332-0353 or local Topeka number (296-2996) and speak with an advisor.
- d) We suggest you try to resolve any situation through this process before considering representation.
- e) Please contact the State Self Insurance Fund at (785) 296-2364 if you have any other questions.

SHRO	Jo Boswell	785-274-1392	jo.boswell @tag.ks.gov
SHRO	Marti Stadler	785-274-1392	marti.stadler@tag.ks.gov
SHRO	Stephanie Burdett	785-274-1460	stephanie.burdett@tag.ks.gov
SSIF	Topeka (local)	296-2364	
SSIF	Toll Free	1-800-332-0353	
SSIF	Claims by E-mail		wc1101a@khp.ks.gov
SSIF	Claims by Fax	FAX (
Corvel	Providers	http://www.corvel.com/provider_lookup/findProvider/findsearchparams.aspx	

Kansas Adjutant General's Department

Employee's Report of Off-The-Job Injury

The department head/supervisor/manager is requested to see that this form is completed when there is an off-the-job injury requiring treatment or time off work. This form should be returned to HR within 24 hours of an off-the-job injury or at the earliest possible moment.

Name of the Employee: _____ Age _____ Sex _____

Home Address: _____ City _____ Zip _____

Social Security #: _____

Date of off-the-job injury: _____ Time of injury: _____ AM__ PM__

Place of injury: _____

How did the injury occur? _____

Name substance or object that directly caused injury. _____

Describe in detail nature and extent of injury; indicate part of body involved. _____

Was employee admitted to hospital? _____ Date: _____

Emergency room only? _____

Name and address of attending physician: _____

Is additional medical aid needed? _____

What medications will the employee be prescribed? _____

Has employee returned to regular duty? _____ Light Duty? _____ Date: _____

Additional comments: _____

Employee Signature

Date

Supervisor Signature

Date

Kansas Adjutant General's Department

Employee's Report of Injury

The department head/supervisor/manager is requested to see that this form is completed when there is an injury requiring treatment or time off work. This form should be returned to HR within 24 hours of an injury or at the earliest possible moment.

Name of the Employee: _____ Age _____ Sex _____

Home Address: _____ City _____ Zip _____

Social Security #: _____ Home Phone _____ Date of Birth _____

Position _____ Dept. _____

Date of off-the-job injury: _____ Time of injury: _____ AM__ PM__

Was injury or last exposure on employer's premises? _____

Where _____

How did the injury occur? _____

What was the worker doing when injured? _____

Name substance or object that directly caused injury. _____

Describe in detail nature and extent of injury; indicate part of body involved. _____

Was employee admitted to hospital? _____ Date: _____ ER only? _____

Hospital address: _____

Name and address of attending physician: _____

Has employee returned to regular duty? _____ Light Duty? _____ Date: _____

Additional comments: _____

Employee Signature

Date

Supervisor Signature

Date

Kansas Adjutant General's Department

Employee's Report of Minor Injury

In the case of minor accidents that require neither treatment nor work interruption (e.g. minor cuts, scrapes, etc.) Department Head or Supervisor may retain the report or it may be sent to HR.

Name of Employee: _____

Date of Injury: _____

Time of injury: _____ AM__ PM__

Place of injury: _____

How did injury occur? _____

Name substance or object that directly caused injury: _____

Indicate part of body involved: _____

What was the employee doing when injured? _____

Witness to injury: _____

Additional comments: _____

Employee Signature

Date

Supervisor/Manager Signature

Date



DIVISION OF WORKERS COMPENSATION
 KS DEPT OF LABOR
 800 SW JACKSON ST STE 600
 TOPEKA KS 66612-1227

EMPLOYER'S REPORT OF ACCIDENT

Submit original report only

OSHA CASE OR FILE NUMBER _____
 There is a \$250 penalty for failure to file Accident Reports within 28 days of the employer's receipt of knowledge of the accident.

DO NOT WRITE IN THIS SPACE

READ INSTRUCTIONS BEFORE FILLING IT OUT.

1. Federal Employers Identification Number **48-6029925** Date of Hire _____

2. Name of Employer **Adjutant General's Department** Telephone Number **(785) 274-1393**

3. Mailing Address **2800 SW Topeka Blvd.** **Topeka** **KS** **66611**
Street City State Zip Code

4. Location, if different from mailing address _____
Street City State Zip Code

5. Nature of Business **State Government** S.I.C. Code **9199** Dept. or Division _____

6. Name of Employee _____
First Middle Last Age Sex

7. Home Address _____
Street City State Zip Code

8. Soc. Sec. # _____ Birth Date _____ Employee's Occupation _____ Home Phone Number _____

9. Date of Injury or Occupational Disease _____ Time of Injury _____ A.M./P.M.
 Date Disability Began _____ Gross Average Weekly Wage \$ _____

10. Place of Accident or Last Exposure _____
City County State

11. Was accident or last exposure on employer's premises? YES NO

12. How did accident occur? _____

13. What was employee doing when injured? _____

14. Name substance or object that directly caused injury _____

15. Describe in detail nature and extent of injury, indicate part of body involved _____

16. Was worker admitted to hospital? YES NO Date _____ Treated by emergency room only? YES NO
 Hospital name & address _____

17. Name and address of attending physician or clinic _____

18. Has employee returned to regular duty? YES NO Light Duty? YES NO Date _____

19. Is compensation now being paid? YES NO Date first/initial payment _____

20. Weekly compensation rate \$ _____ Is further medical aid needed? YES NO UNKNOWN

21. Did employee die? YES NO If so, give date of death _____ (File amended report within 28 days if death subsequently occurs.)

22. Name and address of dependents (death cases only) _____

23. Insurance Carrier and Third Party Administrator **State Self-Insurance Fund - Room 920 - Landon State Office Bldg.**
 Address **900 SW Jackson Street** **Topeka** **KS** **66612-1251** **(785) 296-2364**
Street City State Zip Code Phone
 Policy Number _____ Name of Agent _____
 Claim Number _____ Name of Claim Representative _____

24. Date of Report _____ *Supv Signature* _____ Title _____

AGE

OD
 Y N

CAUSE

NATURE

SEVERITY

0 - NO TIME LOST
 1 - TIME LOST
 2 - MEDICAL
 3 - FATAL

SOURCE

MEMBER

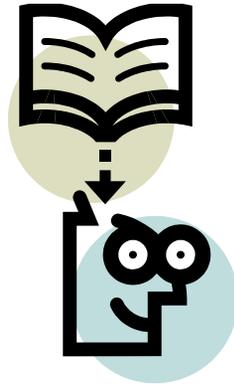
DO NOT WRITE IN THIS SPACE

Questions or comments can be directed to the Kansas Division of Workers Compensation, Topeka, KS - Phone: 1-800-332-0353



Manager/Supervisor Handbook

FORMS



Manager/Supervisor Handbook FORMS

Recruitment
Forms

NOTICE OF RESIGNATION
The Adjutant General's Department
State Human Resource Office

I, _____, am resigning my position as a(n) _____
 (Print)
 _____, effective _____, which will be my last day

at work. The reason for my resignation is:

_____ Accepted a position with _____

_____ End of temporary position (999er)

_____ Moving to _____

_____ Other (Please Specify) _____

Forwarding Address:

My last paycheck should be:

- a. _____ Direct deposited as usual
- b. _____ Mailed to forwarding address above

 Signature

 Date

Resignation Procedures

1. Submit your original resignation to your supervisor or SHRO.
2. Meet with your supervisor regarding the status of job duties, completion of needed tasks and computer files.
3. Contact OSHR immediately for:
 - a.) Information on health insurance, life insurance and KPERS, if applicable.
 - b.) Any change you would like to make regarding your address or direct deposit information.
 - c.) Scheduling an "oral" exit interview (optional).
 - d.) Consideration of a leave donation, if applicable.
4. On your last working day:
 - a.) Return all department issued property, i.e. keys, tools, uniforms, beepers, etc.
 - b.) Make a final check with your supervisor regarding status of job tasks and computer files.
 - c.) Complete an EXIT INTERVIEW FORM and seal it in the envelope provided.
 - d.) Complete, sign and submit your timesheet to your supervisor.

SHRO Transaction Request Form-*Green Sheet*

1. **ADVERTISE:** (Positions are posted to the State's website at no cost. Use remarks section for special instructions.) Public
- a) TAG Dept (Present State employees of this agency.) Statewide Internal (State employees in all agencies.)
- Paid recruitment options. (Requires a 503 form.)*
- b) Career Builder Newspapers* Other* *List or identify in Remarks.
- c) Closing Date: _____ Ongoing until further notice.
2. **EMPLOYEE TRANSACTIONS:** (Requisition #, if applicable. _____)
- a) Hire Promotion Transfer Demotion
- b) Resignation Dismissal End of Temporary Abandonment
- c) Leave of Absence (Attach Doctor's statement, Military Orders and/or explanation): From: _____ Return: _____
- d) Other (Specify)
3. **POSITION:** (Position description submitted electronically and signed original attached): Yes No
- a) New Position Reclassification Transfer Temporary Upgrade
- b) Funding _____ Other (Specify): _____
-

4. **EFFECTIVE DATE:** (Beginning of pay period may be required) Estimated (Worksite) _____ Actual (SHR) _____

5. **Name:** _____ **Employee ID:** _____
6. **Job Title:** _____ **Position #:** _____ **Supv. Pos#:** _____
- a) Classified Unclassified
- b) Regular Temporary w/Benefits Temporary no Benefits
- c) Full-time Part-time-% 999 hours
- d) Supervisory Confidential Union Covered _____
7. **Division:** _____ **Dept. ID #:** _____ **Work Phone:** _____
8. **Salary Range/Step:** _____ **Salary/Hourly Wage:** _____ **Standby (opt):** Yes
9. **Shift:** _____ **Work Schedule:** _____ **Computer Access:** Yes
10. **Clearances Required:** Confidential (CAC ID Only) Secret
- Top Secret Top Secret with Sensitive Compartmented Info.
11. **Pre-employment::** Drug Screen Physical Psychological
-

12. **Remarks:**

13. **Approvals:**

Worksite Supervisor/Date

Division/Director/Date

SHR Director/Date

The Adjutant General's Department
Interview Team Member
Confidentiality Agreement

It is critical that strict confidentiality be maintained before, during and after all phases of the selection process.

The Office for State Human Resources is responsible for providing information to applicants regarding their status and reason for non-selection. This information will come primarily from screening forms and/or the Candidate Interview Records (which is submitted along with interview materials and the selection recommendation.)

Recommended selections are not final and job offers not made until all approvals, including the Governor's office when applicable, are obtained.

Our signatures below signify that we understand and will uphold the confidentiality of the interview and selection process. We also understand that failure to comply with these standards may result in disciplinary actions.

Print Names

Signature/Date

Please return with interview materials.

UNDERSTANDING OF SELECTED CONDITIONS OF EMPLOYMENT
Office for State Human Resources, Adjutant General's Department

By accepting a state position with The Adjutant General's Department you agree to the following conditions of employment:

1. Accept compensatory time (at the time and a half rate) in lieu of pay for overtime hours worked.
2. Commit in writing to the *State Substance Abuse Policy*. See Attached.
3. Be honest, trustworthy, industrious and reliable.
4. Understand that a KBI security check will be conducted. Some worksites also require a military security clearance and/or a FEMA clearance. Felony convictions or serious driving convictions may be grounds for non-selection or dismissal.
5. Work the approved work schedule. This includes beginning work promptly at the scheduled time. Employees are not to work outside scheduled hours without the authorization of a supervisor.
6. Ensure that your appearance, dress and demeanor project a positive and professional image of the agency at all times.
7. Work well with others, serve your customers, and demonstrate a commitment to a good working environment, free of discrimination and sexual harassment.
8. Understand that many positions are funded totally, or in part, through federal funding. Employment is contingent on continued federal funding.

I have read, understand and will adhere to the conditions of employment described above.

Security Clearance Requirement for CAC Cards

In order to ensure the safety and security of the missions, programs, property and employees of the Adjutant General's Department individuals will be given conditional offer of employment; employees and volunteers will obtain and/or maintain the appropriate security clearance required for their respective status and position. Failure to do so will result in rescinding job offers and/or separation.

In accordance with interim guidance issued by the Office of the Under Secretary of Defense, the head of a Federal agency may not grant or renew a security clearance to individuals who:

- Have been convicted of a crime and incarcerated for one year or more,
- Have been discharged or dismissed from the Armed Forces under dishonorable conditions; or
- Are determined to be mentally incompetent, as determined by competency proceedings conducted in a court or administrative agency with proper jurisdiction.

List of Adjudication Guidelines: The careful weighing of a number of variables known as the whole person concept

- Allegiance to the United States;
- Foreign Influence;
- Foreign Preference;
- Sexual Behavior - of a criminal nature;
- Personal Conduct – truthful, trustworthiness, credible;
- Financial Issues – inability or unwillingness to satisfy debts, unexplained affluence;
- Alcohol Consumption Issues;
- Drug Involvement;
- Psychological Conditions – judgment, reliability, emotional stability;
- Criminal Conduct;
- Handling Protected Information;
- Outside Activities – related to foreign or international activities;
- Use of Information Technology Systems.

List of Mitigating Factors: The ability to determine that the person is an acceptable security risk

- The nature, extent, and seriousness of the conduct;
- The circumstances surrounding the conduct, to include knowledgeable participation;
- The frequency and recent action of the conduct;
- The individual's age and maturity at the time of the conduct;
- The extent to which participation is voluntary;
- The presence or absence of rehabilitation and other permanent behavioral changes;
- The motivation for the conduct;
- The potential for pressure, coercion, exploitation, or duress; and
- The likelihood of continuation or recurrence.

CACs must be renewed every three (3) years. FBI Fingerprints must be renewed every five (5) years.

The State Human Resource Office will be responsible for this policy for State employees and volunteers for non-military sections of the agency. The State Comptroller's Office will be responsible for this policy for State contractors.

All employees, volunteers (State) and/or contractors (State) must self report to their respective Security Manager any arrests and /or convictions within one working day of the event. Failure to do so may result in immediate dismissal/separation. The respective Security Manager will review relevant information with the respect to the guidelines listed above and make a determination as to retaining the individual or recommending separation. Any recommended separations will also be reviewed before a final recommendation as to the individual's continued employment or association with the agency.

All candidates for employment are required to acknowledge that they have been advised of the security clearance requirement for State employees, volunteers and contractors with the Adjutant General's Department.

Candidate/Employee Acknowledgement

I acknowledge that I have been informed of the Security Clearance Requirements for the Adjutant General's Department and am aware of the mitigating factors and the circumstances of not obtaining the necessary clearance for the position hired.

Print Candidate Name (Signature)

Date

Print Employee Name (Signature)

Date

**Adjutant General's Department
State Candidate Interview Record**

Position Title:

A8

Position #:

Unit:

Location:

Type of Position: Classified Unclassified
 Full-time Part-time 999 hour
 Regular (FTE) Temp w/Benefits

Replacing:

Interview Team

Chair of team:

Members:

Directions: Once a selection recommendation is made, complete this form listing all persons scheduled for interviews. Submit the original to State Human Resources when returning interview materials.

Interview Date	Result Code*	Ref Chk	Est Hire Date	Est Wage	Name	Reason for Decision: List the primary differences that distinguish the applicant selected from each of the other candidates. Those differences must be compatible with interview and application documentation, verbal and non-verbal communications, &/or references. (<i>See back.</i>)

* 1-Hire 2-Not hired 3-Declined Offer 4-Withdrew 5-No Show

Examples Of “Selection/Non-Selection Decisions” Comments

1. Interview

- a. Demonstrated the greatest knowledge of _____.
- b. Demonstrated the greatest skill in _____.
- c. Demonstrated the greatest ability in _____.
- d. Gave the most thorough, complete answers in _____ area(s).
- e. Lacked the level of knowledge in _____ as person selected.
- f. Did not possess the skill level in _____ as person selected.
- g. Answers weak in _____ area(s).

2. Background

- a. Had the most experience in _____.
- b. Had the most education/training in _____.
- c. Had the best background in most important mix of job tasks i.e. _____.
- d. Work history sporadic/unstable.
- e. Did not have as much experience in _____ as person selected.
- f. Lacked the education background in _____ as person selected.

3. Communication Skills (if applicable)

- a. Communication skills were clear, concise.
- b. Projected the most positive, professional, helpful image.
- c. Demonstrated the ability to quickly establish good rapport.
- d. Poor communication skills, no eye contact, rambled, difficult to understand.
- e. Had difficulty understanding the intent of questions &/or answering questions.

4. Work Habits

- a. Excellent work attendance, never tardy, works independently.
- b. Only missed one day of work last year.
- c. Flexible with working late or coming in early.
- d. Counseled, suspended or terminated for attendance problems.
- e. Pattern of attendance problems.
- f. Required close supervision and checking of work products.

5. Work Relationships

- a. Selected as employee of the month.
- b. Evaluations reflected high marks in getting along & helping others.
- c. Able to work with the most difficult, demanding people.
- d. Presents criticism in tactful & constructive manner.
- e. Has some difficulty accepting supervision.
- f. Terminated from last job for sexual harassment.
- g. Pattern of not getting along with co-workers.

6. Miscellaneous

- a. Will require considerably less orientation & training to job than others.
- b. Does not possess the required driver's license.
- c. Could not work the required hours.
- d. Good applicant had a little less _____ than person selected.
- e. Good applicant. The knowledge or experience in _____ would best strengthen/compliment the skills of the existing work unit.

! Reference Checks Required !

RETURN MATERIALS

- | | |
|----------------------------------------|----------------------------------------------------|
| ____ Applications | ____ All interviewers' score sheets |
| ____ Ranking Sheet (orange) | ____ Candidate Interview Record (This form-yellow) |
| ____ Reference Checks (blue) | ____ SHRO Transaction Request Form (green) |
| ____ All forms completed by applicants | |

CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT

AN AGREEMENT BETWEEN

AND THE UNITED STATES

(Name of Individual - Printed or typed)

1. Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to classified information. As used in this Agreement, classified information is marked or unmarked classified information, including oral communications, that is classified under the standards of Executive Order 12958, or under any other Executive order or statute that prohibits the unauthorized disclosure of information in the interest of national security; and unclassified information that meets the standards for classification and is in the process of a classification determination as provided in Sections 1.2, 1.3, and 1.4(e) of Executive Order 12958, or under any other Executive order or statute that requires protection for such information in the interest of national security. I understand and accept that by being granted access to classified information, special confidence and trust shall be placed in me by the United States Government.

2. I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of classified information, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information have been approved for access to it, and that I understand these procedures.

3. I have been advised that the unauthorized disclosure, unauthorized retention, or negligent handling of classified information by me could cause damage or irreparable injury to the United States or could be used to advantage by a foreign nation. I hereby agree that I will never divulge classified information to anyone unless: (a) I have officially verified that the recipient has been properly authorized by the United States Government to receive it; or (b) I have been given prior written notice of authorization from the United States Government Department or Agency (hereinafter Department or Agency) responsible for the classification of the information or last granting me a security clearance that such disclosure is permitted. I understand that if I am uncertain about the classification status of information, I am required to confirm from an authorized official that the information is unclassified before I may disclose it, except to a person as provided in (a) or (b), above. I further understand that I am obligated to comply with laws and regulations that prohibit the unauthorized disclosure of classified information.

4. I have been advised that any breach of this Agreement may result in the termination of any security clearances I hold; removal from any position of special confidence and trust requiring such clearances; or the termination of my employment or other relationships with the Departments or Agencies that granted my security clearance or clearances. In addition, I have been advised that any unauthorized disclosure of classified information by me may constitute a violation, or violations, of United States criminal laws, including the provisions of Sections 641, 793, 794, 798, *952 and 1924, Title 18, United States Code, * the provisions of Section 783(b), Title 50, United States Code, and the provisions of the Intelligence Identities Protection Act of 1982. I recognize that nothing in this Agreement constitutes a waiver by the United States of the right to prosecute me for any statutory violation.

5. I hereby assign to the United States Government all royalties, remunerations, and emoluments that have resulted, will result or may result from any disclosure, publication, or revelation of classified information not consistent with the terms of this Agreement.

6. I understand that the United States Government may seek any remedy available to it to enforce this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement.

7. I understand that all classified information to which I have access or may obtain access by signing this Agreement is now and will remain the property of, or under the control of the United States Government unless and until otherwise determined by an authorized official or final ruling of a court of law. I agree that I shall return all classified materials which have, or may come into my possession or for which I am responsible because of such access: (a) upon demand by an authorized representative of the United States Government; (b) upon the conclusion of my employment or other relationship with the Department or Agency that last granted me a security clearance or that provided me access to classified information; or (c) upon the conclusion of my employment or other relationship that requires access to classified information. If I do not return such materials upon request, I understand that this may be a violation of Section 793 and/or 1924, Title 18, United States Code, a United States criminal law.

8. Unless and until I am released in writing by an authorized representative of the United States Government, I understand that all conditions and obligations imposed upon me by this Agreement apply during the time I am granted access to classified information, and at all times thereafter.

9. Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect.

(Continue on reverse.)

Attachment G

10. These restrictions are consistent with and do not supersede, conflict with or otherwise alter the employee obligations, rights or liabilities created by Executive Order 12958; Section 7211 of Title 5, United States Code (governing disclosures to Congress); Section 1034 of Title 10, United States Code, as amended by the Military Whistleblower Protection Act (governing disclosure to Congress by members of the military); Section 2302(b)(8) of Title 5, United States Code, as amended by the Whistleblower Protection Act (governing disclosures of illegality, waste, fraud, abuse or public health or safety threats); the Intelligence Identities Protection Act of 1982 (50 U.S.C. 421 et seq.) (governing disclosures that expose confidential Government agents), and the statutes which protect against disclosure that may compromise the national security, including Sections 641, 793, 794, 798, 952 and 1924 of Title 18, United States Code, and Section 4(b) of the Subversive Activities Act of 1950 (50 U.S.C. Section 783(b)). The definitions, requirements, obligations, rights, sanctions and liabilities created by said Executive Order and listed statutes are incorporated into this Agreement and are controlling.

11. I have read this Agreement carefully and my questions, if any, have been answered. I acknowledge that the briefing officer has made available to me the Executive Order and statutes referenced in this Agreement and its implementing regulation (32 CFR Section 2003.20) so that I may read them at this time, if I so choose.

SIGNATURE	DATE	SOCIAL SECURITY NUMBER <i>(See Notice below)</i>
ORGANIZATION (IF CONTRACTOR, LICENSEE, GRANTEE OR AGENT, PROVIDE: NAME, ADDRESS, AND, IF APPLICABLE, FEDERAL SUPPLY CODE NUMBER) <i>(Type or print)</i>		

WITNESS		ACCEPTANCE	
THE EXECUTION OF THIS AGREEMENT WAS WITNESSED BY THE UNDERSIGNED.		THE UNDERSIGNED ACCEPTED THIS AGREEMENT ON BEHALF OF THE UNITED STATES GOVERNMENT.	
SIGNATURE	DATE	SIGNATURE	DATE
NAME AND ADDRESS <i>(Type or print)</i>		NAME AND ADDRESS <i>(Type or print)</i>	

SECURITY DEBRIEFING ACKNOWLEDGEMENT

I reaffirm that the provisions of the espionage laws, other federal criminal laws and executive orders applicable to the safeguarding of classified information have been made available to me; that I have returned all classified information in my custody; that I will not communicate or transmit classified information to any unauthorized person or organization; that I will promptly report to the Federal Bureau of Investigation any attempt by an unauthorized person to solicit classified information, and that I (have) (have not) (strike out inappropriate word or words) received a security debriefing.

SIGNATURE OF EMPLOYEE	DATE
NAME OF WITNESS <i>(Type or print)</i>	SIGNATURE OF WITNESS

NOTICE: The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Account Number (SSN) is Executive Order 9397. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you have access to the information indicated above or 2) determine that your access to the information indicated has terminated. Although disclosure of your SSN is not mandatory, your failure to do so may impede the processing of such certifications or determinations, or possibly result in the denial of your being granted access to classified information.

* NOT APPLICABLE TO NON-GOVERNMENT PERSONNEL SIGNING THIS AGREEMENT.

**State of Kansas
SUBSTANCE ABUSE POLICY**

AFFIRMATION FORM

Statement of Policy

Employees are the State of Kansas' most valuable resource and, therefore, their health and safety is a serious concern. The State of Kansas will not tolerate substance abuse or use which imperils the health and well-being of its employees or threatens its service to the public. Furthermore, employees have a right to work in an environment free of substance abuse and with persons free from the effects of drug or alcohol abuse. It shall therefore be the policy of the State of Kansas to maintain a workforce free of substance abuse.

- A. Reporting to work or performing work for the state while impaired by or under the influence of controlled substances or alcohol is prohibited.
- B. The unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace, or while the employee is on duty, official state business or stand-by-duty.
- C. Violation of such prohibitions by an employee is considered conduct detrimental to state service and may result in a referral to the Employee Assistance Program or discipline in accordance with K.S.A. 75-2949d, or other appropriate administrative regulations.
- D. Employees are required by federal law to notify the employing state agency head in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
 - (1) An employee who is convicted of violating any criminal drug statute in such workplace situations as stated above will be subject to discipline in accordance with K.S.A. 75-2949d, or other appropriate administrative regulations.
 - (2) A conviction means a finding of guilt (including a plea of nolo contendere) or the imposition of a sentence by a judge or jury, or both, in any federal or state court.
- E. Agencies that receive federal grants or contracts must, in turn, notify federal granting agencies in writing, within ten calendar days of receiving notice from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant.
- F. Employees will be given a copy of the Substance Abuse Policy. Employees will be informed that they must abide by the terms of the policy as a condition of employment and of the consequences of any violation of such policy.

AFFIRMATION OF POLICY

As an employee for the State of Kansas, I affirm that I have read and understand the meaning of the above Substance Abuse Policy. I am aware of the provisions of this policy which is mandated by the Federal Drug-Free Workplace Act, and that a violation of this policy will result in disciplinary action as stated above.

Name of Employee: _____ Soc. Sec. No. _____

Agency Number and Name: _____ Employee ID No. _____

(Signature of Employee)

Date

(Signature of Agency Representative)

Date

Interview Rankings

Orange

Title:

Worksite:

Date:

Each Interviewer, #1, #2 and #3, rank orders applicants from **the highest scoring to lowest scoring**.

1. Place the name of each interviewer, #1, #2 and #3 in the first row.
2. Each interviewer then rank orders applicants from his/her highest scoring to lowest scoring by placing the applicant's name and respective score in the 'Name' and 'Pts.' (points) columns.

#1 (Interviewer Name)	Pts.	#2 (Interviewer Name)	Pts.	#3 (Interviewer Name)	Pts.
1.		1.		1.	
2.		2.		2.	
3.		3.		3.	
4.		4.		4.	
5.		5.		5.	
6.		6.		6.	
7.		7.		7.	
8.		8.		8.	
9.		9.		9.	
10.		10.		10.	
11.		11.		11.	
12.		12.		12.	
13.		13.		13.	
14.		14.		14.	
15.		15.		15.	
16.		16.		16.	
17.		17.		17.	
18.		18.		18.	
19.		19.		19.	
20.		20.		20.	

**Authorization Of Release Of Employment Information
To The Adjutant General's Department**

I, _____ ,
(Print full name, including other names under which you have worked.)

authorize _____

to release to The Adjutant General's Department any information requested by them for the purpose of evaluating me for possible employment.

In doing so, I hereby release all individuals and organizations from any liability, who in good faith, provide information to The Adjutant General's Department concerning my occupational competence, character and other qualifications for employment purposes, and I hereby consent to the release of such information to the Adjutant General's Department.

Photocopies of this document will be as binding as the original.

Signature/Date

Social Security Number

State of Kansas Tax Clearance Information Form for Candidates and New Hires

- All citizens of the State of Kansas are expected to fulfill their responsibility to pay their share of state taxes. Through education, enforcement of tax laws, and identification of noncompliance, equal treatment of all taxpayers is ensured. Public trust in state government is strengthened when public servants understand and fulfill their responsibility to pay their share of state taxes. The State of Kansas Tax Clearance Program for New Hires is authorized by Executive Order No.2004-03 signed by Governor Kathleen Sebelius for implementation June 6, 2004.
- Pursuant to Executive Order No. 2004-03, all new employees hired by participating state agencies shall be subject to a tax clearance check.
- Employees of the legislative and judicial branches of state government, employees of elected officials, and students employed by Board of Regents institutions shall not be subject to the tax clearance check for hiring purposes.
- A tax clearance check shall not delay or prevent the hiring of any candidate for employment.
- A tax clearance check consists of a review of the records maintained by the Kansas Department of Revenue for purposes of determining whether an employee is current in the filing of tax returns, payment of tax liabilities and otherwise in compliance with Kansas tax statutes. All information provided to the Department of Revenue shall be confidential. The Department of Administration will electronically submit the hiring information on the new employees to the Department of Revenue.
- If the review of a new employee's tax account(s) indicates that an outstanding tax liability exists or that the new employee is otherwise not in compliance with Kansas law, the employee shall be notified that the tax clearance has been denied. Upon receiving notification of denial the employee shall be required to resolve any outstanding tax liability and correct any form of noncompliance.
- A denial letter does not necessarily mean the employee has done anything wrong or has a tax liability. It simply means the employee should contact the Department of Revenue.
- An outstanding tax liability may be resolved either by payment in full of the balance due or establishment of an installment payment agreement with the Department of Revenue. For Tax Assistance please contact the Department of Revenue at 1-785-368-8222.
- Employees who fail to cooperate with the Department of Revenue in resolving outstanding tax liabilities, including the failure to remain current in making installment payments, shall be referred to the Department of Administration debtor setoff program, under which 25% of an employee's net pay may be offset to satisfy outstanding Kansas tax liabilities. In addition, a collection fee of 17% will be added to the balance.
- All candidates for employment are required to acknowledge that they have been advised of the tax clearance requirement for employees of participating state agencies.

Candidate/Employee Acknowledgement

I acknowledge that I have been informed of the Tax Clearance Program for the State of Kansas and am aware of the requirements for payment, if applicable.

Candidate Name (Signature)

Date

Employee Name (Signature)

Date

Human Resource Office

Date

KANSAS

Employment Application



ACCOMMODATIONS: The Americans with Disabilities Act of 1900 ensures you the right to employment with the State of Kansas. Arrangements will be made if you have a disability that requires an accommodation for completing an application form, interviewing or any other part of the employment process. It is your responsibility to make your needs known to the Division of Personnel Services 785/296-4278 or the agency to which you are applying.

THE **STATE OF KANSAS** IS AN EQUAL OPPORTUNITY EMPLOYER**POSITION FOR WHICH YOU ARE APPLYING**

VACANCY _____ **JOB** _____ **STATE** _____
REQUISITION # _____ **TITLE** _____ **AGENCY** _____

Return this application form to the agency which has the vacancy for which you are applying; *do not return this form to any other location.*

PLEASE WRITE CLEARLY, OR TYPE, AND ANSWER ALL QUESTIONS

*You will have an applicant identification number only if you have registered using the Personal Data form.
 If you are or have been a state employee, the applicant identification number is your employee identification number.*

Applicant Identification No. _____ **Social Security No.** _____
 (Optional)

Name _____
 Last First Middle

Address _____
 Street, Apt. # City State Zip Code

Telephone () _____ (Day) Message Number () _____

Email Address _____

Are you known to employers/references/schools by another name? If yes, name _____ No _____

Have you worked for the State of Kansas before or do you now? If yes, dates _____ No _____

How did you hear about us? _____

Are you claiming veterans preference? Yes No If you are claiming veterans' preference for the first time please mail a copy of your DD214, copy of discharge to the agency advertising the vacancy.

Have you ever been convicted of a felony? Yes No **INFORMATION REGARDING CONVICTION RECORD WILL NOT NECESSARILY BAR AN APPLICANT FROM EMPLOYMENT; INDIVIDUAL CIRCUMSTANCES WILL BE CONSIDERED RELATIVE TO THE JOB SOUGHT.**

Educational Background

	Institution and City, State	Degree or Certificate Attained	Major Area of Study	Credit Hours or Academic Years Completed
High School/GED		High School/GED transcript not required.		
College or University				
Graduate School				
Vocational, Technical, Business School				
Other Education				

Vocational Licenses/Registrations (Attach copy of documents)

Type	License/Registration Number	Issuing Authority	Issue Date	Expiration Date

Work Experience - List your last three employers *or* last three positions, starting with the most recent. Attach a *Supplement to Employment Application* or other pages if you want to include more positions.

Month & Year From: _____ To: _____	Name/Address of Employer	Reason for Leaving	<input type="checkbox"/> Paid Employment <input type="checkbox"/> Unpaid Experience <input type="checkbox"/> Full-time <input type="checkbox"/> Part-time <input type="checkbox"/> Number of hours per wk: _____ Ending Pay \$ _____ per _____
------------------------------------------	--------------------------	--------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Title: _____ Duties: _____

List Computer Skills used in this Position _____

Largest Number of People Supervised _____ Supervisor's Name _____ Supervisor's Phone Number _____

Month & Year From: _____ To: _____	Name/Address of Employer	Reason for Leaving	<input type="checkbox"/> Paid Employment <input type="checkbox"/> Unpaid Experience <input type="checkbox"/> Full-time <input type="checkbox"/> Part-time <input type="checkbox"/> Number of hours per wk: _____ Ending Pay \$ _____ per _____
------------------------------------------	--------------------------	--------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Title: _____ Duties: _____

List Computer Skills used in this Position _____

Largest Number of People Supervised _____ Supervisor's Name _____ Supervisor's Phone Number _____

Month & Year From: _____ To: _____	Name/Address of Employer	Reason for Leaving	<input type="checkbox"/> Paid Employment <input type="checkbox"/> Unpaid Experience <input type="checkbox"/> Full-time <input type="checkbox"/> Part-time <input type="checkbox"/> Number of hours per wk: _____ Ending Pay \$ _____ per _____
------------------------------------------	--------------------------	--------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Title: _____ Duties: _____

List Computer Skills used in this Position _____

Largest Number of People Supervised _____ Supervisor's Name _____ Supervisor's Phone Number _____

Other Employment: (Account for all employment in at least the last 10 years)

Name and Address of Company	Position Held	Employment Dates

Other Related Experiences: Please describe here any other related professional certifications, honors, special skills, qualifications, or experiences not mentioned elsewhere, i.e., equipment or machines operated, etc.

Computer Skills (name software and hardware) _____

SUPPLEMENTAL WORK EXPERIENCE _____

References Include supervisors and persons **we may contact** to verify your performance and qualifications.

Name _____	Occupation _____	Mailing Address _____
Your supervisor? Yes ___ No ___	Organization _____	Phone (Day) _____
Name _____	Occupation _____	Mailing Address _____
Your supervisor? Yes ___ No ___	Organization _____	Phone (Day) _____
Name _____	Occupation _____	Mailing Address _____
Your supervisor? Yes ___ No ___	Organization _____	Phone (Day) _____

AFFIRMATION

I affirm that the facts set forth above in my application for employment are true, correct and complete to the best of my knowledge. I understand that I may be required to submit information not requested on this application form; that the employing agency may verify any information provided by me in the employment process; and that incomplete information or omission of my signature is just cause for rejection of my application.

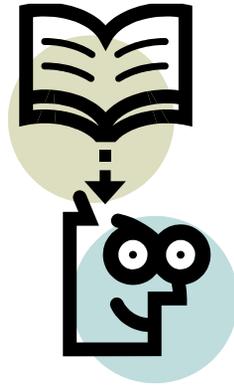
I understand and agree that, if hired, my employment would be contingent upon conditions specific to the position for which I am applying. I also understand that any omission of information, or erroneous information provided in any part of the employment process, would be sufficient cause for discharge. I agree that the employing agency may, at its sole discretion, provide compensatory time off in lieu of overtime pay if I were employed in a nonexempt position and if there were no existing agreement to the contrary.

SIGNATURE OF APPLICANT

DATE

If you are applying for a vacancy which has a requisition number (Req No), you must also register using the Personal Data form, if you have not already done so. Personal Data forms are available from any state agency or Workforce Center. Return this application form to the agency which has the vacancy for which you are applying; *do not return this form to any other location.* For general information about the State of Kansas employment process, phone Civil Service Employment Information (Department of Administration, Topeka, Kansas) at 785-296-4278.

THE STATE OF KANSAS IS AN EQUAL OPPORTUNITY EMPLOYER
Promoting Diversity in a Diverse State



Manager/Supervisor Handbook FORMS

Security
Clearance Forms

Primary Fingerprint Locations

City	Location	Phone	Other Information
Fort Riley	Ft. Riley Bldg 500, Room 100	(785) 239-3607	Hours: 7-4 Recommend to call first
Salina	Saline County Police Dept 251 N 10 th Street Salina, KS	(785) 826-6502	\$15 for one card* Hours: Tues, Wed, Thurs 9-4
Topeka - 190th <i>(Restricted to 190th staff only.)</i>	Security Manager 5920 SE Coyote Drive, Topeka Kansas 66619, Bldg 2005 Room B207 2 nd Floor	(785)861-4207 DSN: 720-4207 Call for appointment.	mark.peterson@kstope.af.mil
Topeka - JFHQ	SGT Dawn Michael Room 17 Armory lower level, NE Or Security Room 113 Armory, 1 st Floor, SE	(785) 274-1067 (4 DIGIT 1067) DSN 720-8067 (785) 274-1155 (4 DIGIT 1155) DSN 720-8155	dawn.michael@us.army.mil no e-mail address
Wichita - 184th	Security Manager MSgt Eric Smith	(316) 759-7447 DSN 743-7447	eric.smith.1@ang.af.mil
Other Worksite Locations: SHRO and supervisors will locate an appropriate place to obtain fingerprints as the need arises.			

*Any charges may be subject to change without notice.

REQUEST FOR PERSONNEL SECURITY ACTION

AUTHORITY: 10 U.S.C. 8012; 44 U.S.C. 3101; and EO 9397.

PRINCIPAL PURPOSES: To identify investigation, security clearance, unescorted entry requirements, and special access program authorizations.

ROUTINE USES: To request personnel security investigations, record emergency or limited access authorization, entry to restricted areas, and to record special access program authorizations. SSN is used for positive identification of the individual and records.

DISCLOSURE IS VOLUNTARY: Failure to information and SSN could result in assignment to less sensitive duties.

I. IDENTIFYING INFORMATION			
1. NAME (Last, First, Middle, Maiden)		2. ORGANIZATION OR FIRM SPONSOR	
3. GRADE E6	4. SSN	5. CITIZENSHIP	
6. DATE OF BIRTH		<input type="checkbox"/> US CITIZEN	<input type="checkbox"/> IMMIGRANT ALIE <input type="checkbox"/> NON-US NATIONAL
7. PLACE OF BIRTH (City, State, and Country)			

II. INVESTIGATION, CLEARANCE, ELIGIBILITY, ENTRY AND ACCESS REQUIREMENTS			
8. INVESTIGATION REQUIREMENT		9. CLEARANCE, ENTRY OR ACCESS REQUIREMENT	
<input type="checkbox"/> NATIONAL AGENCY CHECK (NAC)	<input type="checkbox"/> NATIONAL AGENCY CHECK-WRITTEN INQUIRIES (NACI)	<input type="checkbox"/> ONE-TIME ACCESS	<input type="checkbox"/> LIMITED ACCESS
<input type="checkbox"/> BACKGROUND INVESTIGATION (BI)	<input type="checkbox"/> SPECIAL BACKGROUND INVESTIGATION (SBI)	<input type="checkbox"/> INTERIM CLEARANCE	<input type="checkbox"/> SPECIAL ACCESS
<input type="checkbox"/> BI PERIODIC REINVESTIGATION (PR)	<input type="checkbox"/> SBI PERIODIC REINVESTIGATION (PR)	<input type="checkbox"/> FINAL CLEARANCE	<input type="checkbox"/> UNESCORTED ENTRY
		<input type="checkbox"/> TOP SECRET	<input type="checkbox"/> PRIORITY
		<input type="checkbox"/> SECRET	<input type="checkbox"/> PRIORITY B
		<input type="checkbox"/> CONFIDENTIAL	<input type="checkbox"/> PRIORITY C

III. LOCAL FILES CHECK			
10. TO:		11. FROM:	
12. DATE	13. TYPED NAME, GRADE AND TITLE OF REQUESTER		14. SIGNATURE

IV. MEDICAL RECORDS CHECK			
15. I CERTIFY a medical records check required by DOD 5200.2R/AFR 205-32, has been completed and no information exists, unless shown in Section VII, which would preclude the granting of a security clearance, unescorted entry to restricted areas, or access to special program classified information.			
16. DATE	17. TYPED NAME AND GRADE OF BASE DIRECTOR, MEDICAL SERVICES		18. SIGNATURE

V. SECURITY POLICE RECORDS CHECK			
19. I CERTIFY a security police records check required by AFR 205-32, has been completed and no information exists, unless shown in Section VII, which would preclude the granting of a security clearance, unescorted entry to restricted areas, or access to special program classified information.			
20. DATE	21. TYPED NAME AND GRADE OF SECURITY POLICE OFFICIAL		22. SIGNATURE

VI. ACCESS AUTHORIZATION					
<input type="checkbox"/> ONE-TIME ACCESS	<input type="checkbox"/> LIMITED ACCESS	<input type="checkbox"/> CNWDI	<input type="checkbox"/> NATO	SIOP-ESI	
				<input type="checkbox"/> CONTINUING	<input type="checkbox"/> ONE-TIME
23. I CERTIFY the named individual requires access to the above special program(s), meets all investigative and clearance requirements, and has been briefed on program responsibilities as outlined in the governing directive. If applicable, emergency or limited access is necessary and will not endanger the national security.					
24. DATE	25. TYPED NAME, GRADE AND TITLE OF APPROVING AUTHORITY			26. SIGNATURE	
27. DATE	28. TYPED NAME, GRADE AND TITLE OF SPECIAL ACCESS PROGRAM CERTIFYING OFFICIAL			29. SIGNATURE	

VII. REMARKS	
30. (If more space is needed, use reverse and show item number being continued)	



REQUEST FOR SECURITY CLEARANCE/ SUITABILITY TRUSTWORTHINESS INVESTIGATION FOR ARNG STATE EMPLOYEES SUPPORTING DoD MISSIONS.

Section I: Requesting Organization

Circle One

State Clearance Program POC:	Name:	Approved:	Yes/No
State Clearance Program POC (cont):	Email:	Phone:	
Commander	Name:	Approved:	Yes/No

Section II: Individual To Receive Security Clearance or Suitability /Trustworthiness Investigation

Applicant's Full Name (first, middle, last):	
Title:	
Agency/Department & Location/Address:	
Work Phone:	
Cell Phone:	
Email Address:	
Home Mailing Address:	
Social Security Number:	
Date of Birth (MM/DD/YYYY):	
Place of Birth (City/State):	

Section III: Pre-Qualifying Conditions

Yes/No

Is the applicant a US citizen?	
Does the applicant currently hold a security clearance? If so, what level/agency?	
Has the applicant held a clearance within the past 10 years? If so, what level/agency?	
- If yes, has the applicant separated within the past 24 months?	
(If separated within the past 24 months, provide documentation reflecting date of separation)	

Section IV: Justification

Select One

Describe your current position and specific duties in support of a DoD mission that justify the need for a level clearance or for a suitability/trustworthiness investigation.

Section V: Commander's Certifying Statement and Signature

I certify that the state employee requires a security clearance or a suitability/trustworthiness investigation to perform duties that are in direct support of a DoD mission.

Additional Comment (if needed):

Name/Rank: _____ Signature: _____

Section VI: Privacy Act Information

NOTICE: The Privacy Act, 5 U.S.C. 522a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Account Number (SSN) is Executive Order 9397. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you have access to the information indicated above, 2) determine that your access to the information indicated has terminated, or 3) certify that you have witnessed a briefing or debriefing. Although disclosure of your SSN is not mandatory, your failure to do so may impede such certifications or determinations.

Once Reviewed & Approved, the Army National Guard State Security Manager Should Email This Form To The applicable Supporting Army Installation Security Office

REQUEST FOR PERSONNEL SECURITY ACTION

AUTHORITY: 10 U.S.C. 8012; 44 U.S.C. 3101; and EO 9397.

PRINCIPAL PURPOSES: To identify investigation, security clearance, unescorted entry requirements, and special access program authorizations.

ROUTINE USES: To request personnel security investigations, record emergency or limited access authorization, entry to restricted areas, and to record special access program authorizations. SSN is used for positive identification of the individual and records.

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6. DATE OF BIRTH		<input type="checkbox"/> US CITIZEN	<input type="checkbox"/> IMMIGRANT ALIE <input type="checkbox"/> NON-US NATIONAL
7. PLACE OF BIRTH (City, State, and Country)			

II. INVESTIGATION, CLEARANCE, ELIGIBILITY, ENTRY AND ACCESS REQUIREMENTS			
8. INVESTIGATION REQUIREMENT		9. CLEARANCE, ENTRY OR ACCESS REQUIREMENT	
<input type="checkbox"/> NATIONAL AGENCY CHECK (NAC)	<input type="checkbox"/> NATIONAL AGENCY CHECK-WRITTEN INQUIRIES (NACI)	<input type="checkbox"/> ONE-TIME ACCESS	<input type="checkbox"/> LIMITED ACCESS
<input type="checkbox"/> BACKGROUND INVESTIGATION (BI)	<input type="checkbox"/> SPECIAL BACKGROUND INVESTIGATION (SBI)	<input type="checkbox"/> INTERIM CLEARANCE	<input type="checkbox"/> SPECIAL ACCESS
<input type="checkbox"/> BI PERIODIC REINVESTIGATION (PR)	<input type="checkbox"/> SBI PERIODIC REINVESTIGATION (PR)	<input type="checkbox"/> FINAL CLEARANCE	<input type="checkbox"/> UNESCORTED ENTRY
		<input type="checkbox"/> TOP SECRET	<input type="checkbox"/> PRIORITY
		<input type="checkbox"/> SECRET	<input type="checkbox"/> PRIORITY B
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<input type="checkbox"/> ONE-TIME ACCESS	<input type="checkbox"/> LIMITED ACCESS	<input type="checkbox"/> CNWDI	<input type="checkbox"/> NATO	SIOP-ESI	
				<input type="checkbox"/> CONTINUING	<input type="checkbox"/> ONE-TIME
23. I CERTIFY the named individual requires access to the above special program(s), meets all investigative and clearance requirements, and has been briefed on program responsibilities as outlined in the governing directive. If applicable, emergency or limited access is necessary and will not endanger the national security.					
24. DATE	25. TYPED NAME, GRADE AND TITLE OF APPROVING AUTHORITY			26. SIGNATURE	
27. DATE	28. TYPED NAME, GRADE AND TITLE OF SPECIAL ACCESS PROGRAM CERTIFYING OFFICIAL			29. SIGNATURE	

VII. REMARKS	
30. (If more space is needed, use reverse and show item number being continued)	

State Information Technology Policy

Notice and Consent

Use of this Government Computer System constitutes consent to monitoring of the system. Please use this technology responsibly. The contents and communications of this information system, including electronic mail (E-mail) and Internet access, may be monitored for inappropriate use. Inappropriate use may result in disciplinary action up to and including termination of employment.

Purchase and Acquisition

The Director of Information Management (DOIM) will review all purchases and acquisition of computer equipment and peripherals for this agency, in order to meet user and network requirements. All offices must coordinate with DOIM through their supervisory chain for purchase of computer systems or software and use of personal software (e.g., use of AOL on a government laptop). Violation of this policy may result in disciplinary actions.

Computer Use Policy

- Government provided hardware and software are for conducting official government business. Supervisors may authorize personnel to use government resources to further professional and technical knowledge if it is determined to be in the best interest of the agency.
- You are accountable and responsible for any transmission you generate, forward, copy, or distribute.
- Electronic communications are not confidential.
- Use of electronic communication (E-mail and Internet) are subject to official agency monitoring, and misuse may result in disciplinary action or criminal prosecution.
- The following activities involving the use of government computer hardware/software or network systems are specifically prohibited:
 - Storing, processing, displaying, sending, or transmitting language or material that is derogatory, discriminatory or offensive (e.g. hate or racist literature or symbols), obscene (pornography or sexually explicit), or sexually harassing material.
 - Storing or processing copyrighted material (including cartoons) unless approved by the author or publisher.
 - Activities for personal or commercial financial gain (e.g. sale of commercial or personal property).
 - Participating in "Chat Lines" or open forum discussion
 - Using another person's account or identity
 - Viewing, changing, damaging, deleting, or blocking access to another user's files or communications without appropriate authorization or permission.
 - Attempting to circumvent or defeat security or auditing systems without prior authorization or permission (such as for legitimate system testing or security research).
 - Installing, copying, storing, or using unauthorized software.
 - Permitting any unauthorized individual access to a government owned or operated system.
 - Modifying or altering the network operating system or system configuration without first obtaining permission from the administrator of that system.
 - Simultaneously being connected to the local area network AND a dial-up Internet service provider (e.g. AOL). This opens the system to outside intrusion.
 - Processing of classified information on any system not approved for classified information.
 - Connection of any non-agency owned equipment with out the written permission of the DOIM.
- Prior to an individual being granted access to a government network, they will sign a statement acknowledging they have reviewed and understand the provisions of this policy. Each individual's immediate supervisor is responsible to ensure that this occurs prior to system access.

I have read and understand this policy. I understand all information, including personal information, placed on or sent over this system may be monitored.

Signature

Date

**Authorization of Release of Information
To The United States Office of Personnel Management**

I, _____ ,
(Print full name, including other names under which you have worked.)

authorize The Adjutant General's Department to release any information requested by the United States Office of Personnel Management and its investigators for the purpose of evaluating me for a security clearance.

In doing so, I hereby release all individuals and the agency from any liability, who in good faith, provide information to the United States Office of Personnel Management and its investigators concerning my character and other qualifications for security purposes.

Photocopies of this document will be as binding as the original.

Signature/Date

Security Clearance Informational Summary

1. In order to ensure the safety and security of the missions, programs, property and employees of the Adjutant General's Department individuals will be given conditional offer of employment; employees and volunteers will obtain and/or maintain the appropriate security clearance required for their respective status and position. Failure to do so will result in rescinding job offers and/or separation.
2. In accordance with interim guidance issued by the Office of the Under Secretary of Defense, the head of a Federal agency may not grant or renew a security clearance to individuals who:
 - a. Have been convicted of a crime and incarcerated for one year or more,
 - b. Have been discharged or dismissed from the Armed Forces under dishonorable conditions; or
 - c. Are determined to be mentally incompetent, as determined by competency proceedings conducted in a court or administrative agency with proper jurisdiction.
 - d. Are currently illegal drug users of, or are addicted to, a controlled substance.
3. List of Adjudication Guidelines: The careful weighing of a number of variables known as the whole person concept
 - a. Allegiance to the United States;
 - b. Foreign Influence;
 - c. Foreign Preference;
 - d. Sexual Behavior - of a criminal nature;
 - e. Personal Conduct – truthful, trustworthiness, credible;
 - f. Financial Issues – inability or unwillingness to satisfy debts, unexplained affluence;
 - g. Alcohol Consumption Issues;
 - h. Drug Involvement;
 - i. Psychological Conditions – judgment, reliability, emotional stability;
 - j. Criminal Conduct;
 - k. Handling Protected Information;
 - l. Outside Activities – related to foreign or international activities;
 - m. Use of Information Technology Systems.
4. List of Mitigating Factors: The ability to determine that the person is an acceptable security risk
 - a. The nature, extent, and seriousness of the conduct;
 - b. The circumstances surrounding the conduct, to include knowledgeable participation;
 - c. The frequency and recent action of the conduct;
 - d. The individual's age and maturity at the time of the conduct;
 - e. The extent to which participation is voluntary;
 - f. The presence or absence of rehabilitation and other permanent behavioral changes;
 - g. The motivation for the conduct;
 - h. The potential for pressure, coercion, exploitation, or duress; and
 - i. The likelihood of continuation or recurrence.
5. FBI Fingerprints must be renewed every five (5) years.
6. **Ongoing Self Reporting:** All employees, volunteers (State) and/or contractors (State) must self report to their respective Security Manager any arrests and /or convictions within one working day of the event. Failure to do so may result in immediate dismissal/separation. The respective Security Manager will review relevant information with the respect to the guidelines listed above and make a determination as to retaining the individual or recommending separation. Any recommended separations will also be reviewed before a final recommendation as to the individual's continued employment or association with the agency.
7. The State Human Resource Office will be responsible for this policy for State employees and volunteers for non-military sections of the agency. The State Comptroller's Office will be responsible for this policy for State contractors.
8. All candidates for employment, potential volunteers and potential State contractors and their employees scheduled to work on an Adjutant General's Department project are required to acknowledge that they have been advised of the agency's security clearance requirement.

Candidate/Employee /Volunteer/State Contractor Employee Acknowledgement

I acknowledge that I have been informed of the Security Clearance Requirements for the Adjutant General's Department and am aware of the mitigating factors and the circumstances of not obtaining the necessary clearance for the position hired.

 Print Name

 Signature

 Date



Manager/Supervisor Handbook FORMS

Standby
Forms

Agreement for Stand-By Compensation

1. I, _____, understand that I am eligible to receive stand-by compensation as provided for by state personnel regulation 1-5-26, applicable labor agreements, unclassified pay plans and the Adjutant General's Department Stand-by Policy effective in accordance with the terms and conditions below until otherwise notified.

2. I understand that all stand-by assignments must be scheduled and/or authorized by the following individuals, or their appointed designees:
 - a) _____, Supervisor
 - b) _____, Director

3. I also understand that while on stand-by, I am required to remain available to the agency via the following, provided by the agency, within the indicated response times: *(Bold or circle all that apply and fill in response time(s).)*
 - a) cellular phone (response time = _____ minutes)
 - b) pager (response time = _____ minutes)
 - c) radio (response time = _____ minutes)
 - d) other: _____

4. Failure to respond within the designated response time may result in forfeiture of stand-by compensation for that off-duty period and possible loss of eligibility for continued stand-by status; all at the discretion of the agency. In addition, disciplinary action, up to and including dismissal, may also occur.

5. I am required to maintain an accurate Stand-by Time Log to reflect all periods of stand-by and any work performed while on stand-by. This log will be attached to each respective timesheet.

6. At the beginning of the next regular workday following stand-by duty, it is my responsibility to inform my supervisor or designee of any work performed while on stand-by status - both on and off the worksite.

7. I understand that the time spent working while in stand-by duty will be compensated in the following priority order unless otherwise determined by the agency:
 - a) rearranged time within the same work period (i.e. week) as the stand-by work was performed
 - b) compensatory time
 - c) pay

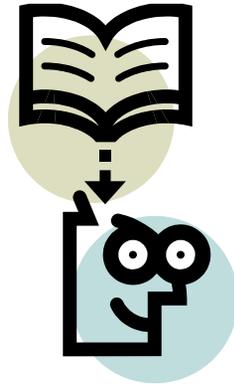
8. I am currently assigned stand-by duty as follows:

9. I received, read and understand the state personnel regulation 1-5-26 regarding stand-by compensation and the agency's Stand-by policy, and agree to comply with them. If at any time I am uncertain about stand-by procedures, I will seek clarification from my supervisor

Employee Signature/Date

Attachments: Agency Stand-by Policy, Agency Stand-by Log and K.A.R. 1-5-26

cc Personnel File



Manager/Supervisor Handbook FORMS

Timekeeping
Forms

TAG – State Human Resources Policy and Procedures

Timekeeping & Pay- Overtime

References

K.A.R. 1-5-24 & 1-9-2 (c) & (d)
Department of Administration Bulletins 00-01 & 05-04

Policy

1. All staff is to keep overtime to a minimum and control the fiscal liability of overtime accruals.
2. Whenever feasible, work time should be rearranged during the same workweek to avoid overtime.
3. Overtime is to be approved in advance unless there are extenuating circumstances, such as an emergency.
4. Only non-exempt (hourly) employees are eligible for overtime.
5. Benefits eligible, non-exempt employees who work overtime are compensated in ‘time’ at the 1½ rate or by ‘pay’ at 1½ times the hourly rate of pay.
6. Overtime compensatory time may be used as early as the next ‘work week’ after being accrued. *An employee does not have to wait until the next ‘pay period’ to use accrued ‘comp time’ as is the case with accrued vacation and sick leave.*
7. Non-benefits eligible (999-hour), non-exempt employees who work overtime are compensated by pay at the 1½ rate as they are not eligible to accrue time. The 1½ rate counts towards the 999-hour limit.
8. Unless otherwise justified and approved, overtime is compensated by ‘comp time’ as opposed to pay until the combination of accrued overtime compensation hours and accrued holiday compensation/credit hours reach 120.+
Exception: Overtime will be paid time if, as a result of a disaster or other extenuating circumstance, the agency receives funding from another source to cover that overtime expense.
9. Any overtime or holiday hours worked over 120+ will be paid unless requested and justified and then approved by The Adjutant General.
10. Supervisors, managers and fiscal staff are to work together in approving and managing overtime.
11. Employees can be required to work overtime.

Definitions

1. **Time worked** is time actually worked, including time worked on a legal holiday or an officially observed holiday.
2. **Overtime** is time actually worked over 40+ hours in the designated workweek.* (*Leave taken and holiday credit do not count toward overtime.*)
3. **Overtime** starts at the point in the day that the employee works over 40+ hours in the work week.*
Example: If a Monday-Friday, 8am-5pm scheduled employee works 11 hours on Monday (11 hrs/wk), 8 hours on Tuesday (19 hrs/wk), 9 hours on Wednesday (28 hrs/wk), 12 hours on Thursday (40 hrs/wk), the employee would be in overtime status if any time is worked on Friday. Note: Overtime is not figured by the day, but by the week. Therefore in the example above, although the employee worked more hours than regularly scheduled, on Monday, Wednesday and Thursday there was no ‘overtime’ on those days because the employee had not yet **worked** 40 hours in the week.
4. **Holiday Compensation Time:** Accumulations of “Holiday Credit” banked at straight time and “Holiday Compensation” hours accrued at the 1½ rate.

*Exception is designated fire fighting positions whose overtime threshold is 106 hours and work week is a 14 consecutive day period.

5. **Work week:** The State work week is seven (7) consecutive days beginning at Sunday midnight and continuing through Saturday. *

Procedures

1. **Request for Overtime:**
 - A. The supervisor and employee will assess the work load, special projects, staffing, urgency, etc. to determine if overtime is the only feasible alternative for a specific situation.
 - B. If it is determined that overtime is the only feasible option, a “State Employee’s Request for Authorization of Overtime” form (attachment) is to be completed by the employee and supervisor.
 - C. If the estimated number of overtime hours worked will cause the employee to exceed a combination of overtime comp hours and holiday comp/credit hours in excess of 80, the supervisor must also secure the approval of the respective division director.
 - D. If the overtime is approved and the combination of overtime comp hours and holiday comp hours will put the employee over the 120 agency threshold, the employee will be **paid*** for the hours over 120. When that occurs the respective fiscal officer must also sign the form.

Approval Summary

Combined Hour Totals	Approval	Approval	Coordination with
80 or less	Supervisor		
Over 80 to 120	Supervisor	Division Director	
Over 120	Supervisor	Division Director	Fiscal Officer

- E. The signed, approved overtime form is attached to the timesheet and submitted to the State Human Resource Office (SHRO) at the end of each pay period.
- F. Unless otherwise approved and documented*, SHRO will automatically pay any overtime or holiday comp/credit when the combination of the two exceeds 120 hours.

* If there are extenuating circumstances and instead of pay, it is desired that the employee be allowed to **accrue more** than the combination of 120 hours, a request and justification is to be submitted to The Adjutant General through SHRO.

2. **Ongoing Exceptions:**
If there is a business reason for an ongoing mass exception to this policy (i.e. federal disaster funds covering hours worked under a presidential declared disaster), a request for an ongoing exception justifying the exception is to be submitted to the SHRO Director for approval.
3. **Accrual Reports**
SHRO will provide division directors (or a designee) leave accrual reports as they become available after the processing of each payroll period. These reports contain leave information, as well as overtime compensatory time and holiday compensatory time/credit figures.
4. Any exceptions to this policy and its procedures may be requested for approval by the Director of SHRO or The Adjutant General. The merits of which will be taken on a case-by-case basis.

OPR: Director of SHRO

* Exception is designated fire fighting positions whose overtime threshold is 106 hours and work week is a 14 consecutive day period.

The Adjutant General's Department
State Employee Work Hours and Flextime Request Form

1. Core working hours for the agency are **9:00 am to 3:00 pm**.
2. Any deviation from a 5 day, 8 hours per day (5/8) workweek must be submitted to State Human Resources (SHR) and approved ***prior*** to beginning work.
3. Unless otherwise requested and approved, individual work schedules will **convert to the traditional 5/8 schedule during weeks with a State holiday(s)**.

4. **Name:** **Date:**

5. I request the following work schedule (must coincide with State workweeks – Sun thru Sat):

a) **Beginning** **and** b) **Ending**
(Sunday) *(Saturday)*

	Sun	Mon	Tues	Wed	Thurs	Fri	Sat
Beginning Work Time							
Length of Lunch							
Ending Work Time							
Total Work Hours Per Day							

6. **Employee:** _____
Employee Signature/Date

7. **Supervisor:** Approved or Disapproved (Circle): _____
Supervisor Signature/Date

8. **SHR:** Approved or Disapproved (Circle): _____
SHR Signature/Date

The Adjutant General's Department
State Employee's Leave Request Form

Name:

Common Leave Codes – Non Exempt

(*Exempt employees* – drop the last letter of the applicable non-exempt code and replace it with an ‘E’.)

VAC Vacation	MIL Military (15 days/federal calendar yr)	SHL Shared Leave
SCK Sick	JRY Jury Duty	WSL Worker's Comp-Sick Leave
DDY Discretionary Day	FNL Funeral +	WVL Worker's Comp-Vacation Leave
CMT Comp Time Taken	ADM Administrative	WCT Worker's Comp-Comp Time Taken
HCT Holiday Comp Taken	LWP Leave Without Pay	WHC Worker's Comp-Holiday Comp Taken

+ *Note*: Maximum of 6 days is **not** automatic. The employee's relationship to the deceased and necessary travel time determine the number of days. (See Funeral Leave Policy.)
 "Relationship" must be specified in the 'Reason' or 'Comments' section.

Must Obtain Approval Before Taking Leave

(**Non-exempt**: Use leave in **1/4 hour** increments, i.e. .25, .50, .75, 1.0.)

(**Exempt**: Use leave in **1/2 day** increments, i.e., 4.0 & 8.0 hours.)

Type	Pre-Sched? Yes/ No	Reason*	From Date	From Time	To Date	To Time	Total Hrs	Employee Sign**/Date	Time	Result A-PA-D ***	Supv Sign/ Date
1.											
2.											
3.											
4.											

* Reason required *except* for *pre-scheduled* vacation leave, discretionary day or comp time.

** Employee's signature acknowledges and agrees that hours approved may be modified.

*** A=Approved. PA=Partial Approval. (List leave hours approved in the 'Comments' section.) D=Denied.

*** Leave hours may be modified if there is a potential for "additional hours" during the designated work week.

Comments: