Operational Guide

**Personnel Selection
and Management**

AMERICAN HUMANE

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Introduction

The effectiveness of any organization, whether for profit or not, comes from the quality of its people, their knowledge of and commitment to the organization, as well as their attitude toward co-workers and the public. We give the name "Personnel Policy" to those management rules, regulations, and procedures that facilitate selection and retention of qualified people, provide required knowledge, secure commitment, nurture positive attitudes, and assure that employee matters are handled fairly, equitably, and legally. Up to 80 percent of an animal welfare agency's budget and what seems to many managers to be a disproportionate amount of time is devoted to personnel issues. However, hiring, training, supervising, motivating, and, in some cases, terminating staff are all part of the ongoing office routine. So are strong policies.

Does your organization have a written personnel policy designed to ensure selection and retention of appropriate staff? Are there job descriptions for all positions, including the executive director?

Does your interview and hiring process result in skilled and motivated employees?

Are training opportunities available for both new and experienced workers?

Is your staff stable, with a low turnover rate?

Do you regularly assess the performance of all staff and provide feedback?

Are you confident that an employee cannot sue (and win) for race, sex, or age discrimination or other unfair employment practices?

If your answer to any of these questions is "no" (as it is for all too many organizations), your organization is likely not operating productively and is potentially in violation of Equal Employment Opportunity Commission (EEOC) guidelines and/or court decisions regarding fair employment practices.

That's where this Operational Guide comes into play. Animal care and control employees are our most costly and important resource. Common sense and the law require that we treat them fairly and equitably. Employees who feel valued both as people and as workers, who are involved in a broad range of organizational issues and activities, and who are treated fairly and equitably are more motivated and more productive.

Therefore, the role of management is to develop employment policies that address the issue of productivity through good people, to implement these practices, and to engage in activities that motivate staff. Designed to offer ideas to help you achieve these goals, this Operational Guide suggests understandable, fair, and integrated policies and procedures that both involve and motivate staff.

Employee Motivation

Why do it? Better productivity. How to do it? Through involvement. When to do it? Now! Tomorrow will be at least one day too late.

Research shows, time and time again, that employees who perceive an organization's personnel policies as unfair are less productive than employees who view their employer's policies as positive and administered fairly. Turnover is higher. Griping about unfair practices wastes valuable time. More grievances get filed, all having negative impact on the quantity of work performed.

Motivation

Effective managers motivate others, encouraging them to maximize their potential and productivity. How do you motivate employees? Studies also show that employee motivation does not come from improving work conditions, raising pay, or shuffling tasks. While each may create short-term positive results, the only proven way to motivate others is to:

- Give them challenging work where they can assume responsibility.
- Provide feedback on their performance.
- Develop programs and training that address and are responsive to their needs.

This is not to say that compensation alone is not important. It is, especially for attracting and retaining employees. But its motivational value as a way to promote long-term productivity is limited. Abraham Maslow first defined the hierarchy of human needs as follows:

Self-Actualization

Personal growth needs (autonomy and risk taking)

Esteem

Ego needs (ambition and desire to excel, displays of competence, involvement, professional awards, and recognition)

Belongingness

Social needs (interpersonal relations, acceptance by others, perception of being valuable and valued)

Safety

Security needs (orderliness, protective rules, risk avoidance, job security)

Basic Physiological Needs

(food, clothing, shelter, income)

As needs on lower levels are met, higher needs emerge. While employers must meet basic and safety needs, once dealt with in equitable ways, managers must meet higher-level needs to motivate those whose work they supervise.

Case Study – A Sense of Belonging

In the mid-1920s, Elton Mayo carried out research at the Hawthorne Works of the Western Electric Company in Chicago, Illinois. He and his team designed a program to examine the effects of lighting on productivity. They discovered that increased illumination led to increased productivity, but productivity also increased with decreased illumination as well as when it returned to original levels. They tried other experiments, such as differently painted walls and the like. No matter what the experts did, productivity increased. Finally, they returned every-thing to the way it had been prior to the program, and productivity increased still more. The cause of these increases became known as the "Hawthorne Effect."

It was not the physical environment but the employees themselves who caused the

changes. Because of the attention they received during the program, employees perceived themselves as important to the company and their managers. Their feelings of belonging, of contributing, of being cared about, resulted in increased productivity. These studies, which continued for more than a decade, signaled the beginnings of our understanding of the importance of human relations. The findings by Mayo at the Hawthorne Works encouraged managers across the country to pay more attention to their employees, to involve them more, and to secure their positive cooperation – and increase productivity.

Horizontal Job Loading

Some time ago, researchers developed and tested a technique called "horizontal job loading." It consisted of challenging the employee by increasing productivity standards, by adding clerical tasks, by rotating work assignments, or by removing some aspects of the job so that the employee could assume other duties. It failed for numerous reasons we won't go into here. However, out of this a new and more promising technique emerged – "vertical integration."

While not all jobs can be enriched in this way, where feasible, vertical integration provides motivation and improved productivity. Creative managers have and will continue to find ways to add to the list.

Vertical Integration Techniques and Motivators Involved

Removing some controls while stressing accountability
- Responsibility and personal achievement

Increasing the accountability of individuals for their own work
- Responsibility and recognition

Giving a person a complete, natural unit of work (all elements of task from initiation to completion, if feasible)
- Responsibility, achievement, and recognition

Granting additional authority to employees in their activities (greater job freedom)
- Responsibility, achievement, and recognition

Making periodic reports available to employees
- Internal recognition

Introducing new and more difficult tasks not previously handled
- Growth and learning

Assigning individuals specific/specialized tasks, enabling them to become experts
- Responsibility, growth, recognition, and advancement

Allowing employees to attend training workshops and conferences
- Growth, learning, and recognition

Involving employees in problem solving and organizational planning
- Responsibility, growth, and belongingness

Delegate management tasks (preparation and presentation of reports)
- Growth, responsibility, and recognition

Establish an employee of the month or other award/incentive program
- Recognition

Schedule regular staff meetings and/or "Quality Circles" recognition
  - Responsibility, belongingness, and recognition

Effective managers use "vertical integration" techniques to motivate employees and to create a team atmosphere that increases productivity and commitment to the organization.

Productivity

Effective managers realize that productivity is the measure of their success. It is unfortunate that low productivity is often viewed as an employee problem: "If only people would work harder around here." An old article in the Harvard Business Review entitled "The Awkward Truth About Productivity" paraphrased the cartoon character Pogo's famous line in a subtitle which read, "At last managers are admitting, 'We have met the enemy, and they are us.'" What then is productivity? How is it defined in non-profit, service-oriented organizations?

The traditional measure of productivity in manufacturing industries was:
Productivity = Output ÷ Input

For service industries, this has been refined as follows:
Productivity = Output ÷ Input
= Results Achieved ÷ Resources Used
= Effectiveness ÷ Efficiency

Six Barriers to Productivity

The greatest barriers to productivity in non-profit, service-oriented organizations are failure to:
  - Adequately control costs
  - Adequately coordinate people and tasks
  - Adequately motivate personnel
  - Properly use staff as a source of ideas
  - Effectively introduce new technologies
  - Adequately measure productivity

Controlling costs is usually viewed as a budgetary problem, but it is more frequently a problem of understanding the true components of cost. For example, high turnover is seldom viewed in terms of cost, but it is very expensive when you factor in the expenses related to loss of organizational knowledge when experienced staff leave, job coverage, advertising, interviewing, hiring, training, supervising the new employee (without any assurance that this person will perform any better than the former employee), and increasing unemployment compensation payments.

Coordinating people and tasks is primarily a planning function, but it is also affected by other factors such as overly rigid job descriptions, no spirit of cooperation, inadequate staff development, and lack of teamwork.

Using staff as a source of new ideas simply involves tapping the potential of all employees. While this clearly serves a motivational function, it also provides access to the good and often unspoken ideas. Who knows better how to improve a particular area or task than those involved with it daily.

Introducing new technology is critical since it can often decrease time and personnel needed to complete tasks. Technology almost always involves significant initial costs, yet a cost-benefit analysis will show the payback period, subsequent savings, and improved effectiveness in providing quality care for

the animals. Multi-cage vehicles, computers, kennel modifications, high-pressure steam-cleaning equipment, and specialized telephone equipment are just some examples.

Measuring productivity requires managers to adequately conduct cost-benefit analyses and/or conduct needs assessments, perform feasibility studies, and engage in action planning.

Involvement

Available data on management style, motivation, and productivity leads inexorably to a conclusion, already reached by most successful managers, that active involvement of employees is essential to the success of organizations. Trust is the most important element of this people-focused strategy of involvement. Here's how just a few big-name managers explain it:

"Respect for the individual." – Thomas Watson, Jr. chairman and CEO of IBM during its most dramatic period of growth

"People rarely succeed at anything unless they enjoy it." – Jim Daniell, president of RMI (U.S. Steel)

"The key is to get out and listen to what associates [employees] have to say." – Sam Walton, founder of Wal-Mart

"Every worker is a source of ideas, not just a pair of hands." – Mark Shepherd, chairman of Texas Instruments

"Substituting rules for judgment starts a self-defeating cycle, since judgment can only be developed by using it." – Dee Hock, executive vice president of the VISA Corporation

"I know from experience the impact of treating sailors like the grown men they were." – Admiral Elmo Zumwalt, former chief of naval operations and member of the Joint Chiefs of Staff

"The key ingredient is productivity through people." – Rene McPherson, president of the Dana Corporation

The evidence is clear. Studies have repeatedly shown that 95 percent of employees respond positively in situations where management trusts and communicates with them. A people-focused management style must reflect a deep and genuinely held belief that people are the most important asset, and this belief must be communicated clearly and frequently. Involving employees in decisions that directly affect their day-to-day performance and the introduction of "Quality of Worklife" programs are ways that many organizations have increased productivity. The bottom line is a high level of trust, cooperation, teamwork, and productivity. Effective managers recognize that improved productivity is primarily their "problem" and their responsibility.

Management Books

These three books best discuss the approaches suggested in this guide: *Theory Z* (first published in 1981), *In Search of Excellence* (first published in 1988 and reprinted in 2004), and *The One Minute Manager* (first published in 1982).

Participation

Effective managers have a long-term strategy for their leadership behavior. They work toward greater employee participation and involvement to raise the level of employee motivation, increase

readiness of employees to accept change, improve the quality of management decisions, encourage teamwork, further individual and group development, and increase productivity. Be aware, however, that engaging in participative activities requires more of every individual, manager or employee alike. Workers are not asked to carry heavier loads, speed up, or exert themselves more in a physical sense. Increased productivity comes from improved coordination rather than increased physical effort. This is what Dr. William Demming, the American who fathered Japan's industrial success after World War II, calls "working smarter, not harder." Nonetheless, these improvements only come if managers and employees willingly engage in analyses, planning, and decision making. This does require more mental and psychological energy from managers and workers alike. But those who expend the effort find it more than worthwhile in both individual and organizational terms. A 1985 article in the Harvard Business Review, entitled "From Control to Commitment in the Workplace," provides an excellent blueprint for achieving these benefits.

Case Study #2
The General Motors plant in Brookhaven, Mississippi, illustrates the "Quality of Worklife" theory in practice. GM has had a long history of humane and innovative management. Alfred P. Sloan left behind a legacy of cooperation, promotion from within, and openness among managers. More recently, through serious efforts to promote employee participation at the plant level, the company has realized spectacular increases in productivity.

The assembly plant in Brookhaven was one of the lowest in the corporation in terms of productivity. A task force of workers and managers was formed to review the situation and explore alternatives (including patterns of organization and styles of management). As a result of a report issued, the company formed teams as the primary plant group – each having responsibility for the activities related to its function. GM formed Quality Control Circles, where managers and workers regularly discussed ways to improve operations.

A few years later, the Brookhaven plant was tops in the corporation in both quality and productivity. Workers report that as a result of the changes their confidence and competence increased.

Management reports the following characteristics of the experience:

Trust in relationships: Without trust any human relationship will inevitably degenerate into conflict. With trust, anything is possible.

Involvement: Decisions are made at the lowest possible level, where the facts are. What people help create, they support.

Higher expectations: A leader once said, "Set high goals for they have the magic to stir men's blood." Pride is the product of accomplishing challenging objectives.

As a direct result of this effort, the following occurred at Brookhaven:
- Excellent quality with the lowest cost of quality per budget labor dollar in the division
- Delivery reliability of 99 percent with no chargeable premium transportation
- A safety record that is the best in the corporation

- Overtime controlled to less than 2 percent for both hourly and salaried employees
- Casual absenteeism of 2.8 percent
- Significant operating savings vs. budget
- Routed labor improvements vs. budget of 19 percent
- $1,800,000 in completed cost improvement projects, and 96 percent and higher labor efficiency in four years

At the end of 10 years, GM had similar projects under way at all plants across the country, all undertaken with UAW support.

Components of a Successful Personnel Program

1. Steps in the employee selection process:
A. Personnel planning
B. Knowing the law
C. Compensation packages
D. Preparing job descriptions linked to training plans and evaluation instruments. Progressive job descriptions focus on organiza-tional values and strategies as well as the tasks to be performed.
E. Strategically advertising the position to ensure a broad applicant pool
F. Resumes, reviewing applications and selecting candidates for interviews
G. Interviewing candidates. Determining what you want to learn through the interview process. Formulation and use of specific behavioral questions. What questions you can ask and what questions you cannot legally ask.
H. Selecting the new employee
I. Negotiating and extending an appropriate offer

2. Steps in the employee training process:
A. Orientation – introducing the employee to the organization and vice versa
B. Training – establishing and carrying out a training program that is linked to the job description and evaluation of employee performance
C. Human Resource Development – continuing education opportunities
D. Employee Handbooks

3. Steps in the employee evaluation process:
A. Providing continual, constructive feedback
B. Conducting periodic evaluations of performance
C. Follow-up to upgrade employee skills in areas where employee performance was below expectations
D. Progressive discipline

4. Steps in the employee dismissal process:
A. Accepting termination as a signal to management to do a better job assessing fit for the position and the organization, to use that information to hire the right person, train the person adequately, provide appropriate supervision or feedback, and effectively motivate the employee
B. Knowing the law
C. Conduct careful investigations when appropriate
D. Create factual documentation
E. Review previous terminations to make sure the termination is

legitimate and consistent with company policy and past practices

F. Terminating the employee

Again, the best personnel policies and procedures are:

- **Understandable.** That means they are clearly written, rational, and unambiguous so that managers and employees alike can read and easily interpret what is being conveyed.
- **Fair.** All employees are subject to the same standards, and those standards are both legal and perceived by employees as reasonable, and are consistently applied to all employees.
- **Integrated.** All parts of personnel policies fit together within the organization and are harmonious.

The Employee Selection & Personnel Planning Process

Just as planning public relations campaigns and fundraising activities is an ongoing managerial responsibility, so too should personnel planning be an integral component of our work. Only through planning can we prevent "crisis" hiring and provide adequately for future organizational staffing needs. There are several steps in personnel planning:

- Have detailed, organizational long- and short-term plans for hiring, training, and handling employee disputes; know where you are going and how you're going to get there.
- Have a sense of the personnel required to meet needs and reach goals; how many, what skills, etc.
- Conduct an assessment of current staff; review prior performance,

personal aspirations, training, and potential.

- Project the number of new hires.
- Promote from within, whenever feasible, reduce hostility, and promote productivity. How? Remember that time and money spent on advertising and such to hire and train new people? Those are all non-productive uses of resources.

The following 20-item checklist has been prepared to help in the personnel planning process:

1. Do you clearly state your organizational goals?
2. Do you plan ahead and forecast personnel needs in terms of achieving organizational goals?
3. Do you decide on the number of people needed in each work group to achieve goals?
4. Do you use several sources for attracting job applicants?
5. Do you have job descriptions and an application form?
6. Do you generally hire new people in a hurry when the workload increases?
7. Do you have an organizational chart that shows how your agency is set up?
8. Do you check to see if you already have people to do new jobs by evaluating the quality of current work and potential for advancement?
9. Before you hire a new employee, do you have a precise idea about the qualities needed?
10. Do you forecast both your short-term (6 months to 1 year) and long-term (3- to 5-year) needs?

11. Does your organization have more (or fewer) employees than are actually needed?
12. Do you involve new employees in training activities?
13. Do you have a fair and competitive compensation program?
14. Do you have regularly scheduled performance evaluations?
15. Are employee complaints and grievances dealt with?
16. Are you familiar with the state and federal laws, EEOC guidelines and regulations?
17. Do you maintain personnel records?
18. Has a system been set up to handle personnel issues and needs in your agency?
19. Is your personnel program geared to keep up with your growth plans?
20. Do employees know how to do more than just their own job?

As a manager of a nonprofit organization, you must also consider the following aspects of personnel planning:

- Should we have an affirmative action policy, a plan to seek out and hire qualified members of groups often discriminated against? If you are a governmental agency or have government grants or contracts you may be required to have such a policy.
- Should we have a personnel manual? Personnel manuals can be useful if they are not too long and detailed. The courts view these as "ad hoc" contracts and an increasing number of organizations are finding that this is one area where less is more.
- Should we have a formal, written "grievance" procedure? Such a procedure is a must for all larger

agencies and especially those with unions. Even smaller organizations should spell out a way for legitimate grievances to be addressed by employees and their managers, short of EEOC hearings or court appearances.

Hiring and the Law

The laws relative to hiring and firing employees are evolving and changing constantly. It is not the purpose of this section to relay the law as it relates to animal welfare organizations. Specific legal guidelines are available from a number of government agencies, including the U.S. Department of Labor, www.dol.gov. At the very least you should go to the EEOC website at http://eeoc.gov and review the document on Uniform Guidelines on Employee Selection Procedures. The basic federal legislation governing employee interviewing, selection, and termination is the 1964 Civil Rights Act, Title VII, and the amendments 1968, 1972, 1977, 1979 and 1991 (especially sections 703 and 704 which address issues of discrimination). Under this act, it is unlawful to discriminate in employment policies or practices against any individual for reasons of race, color, religion, gender, or national origin.

The Age Discrimination in Employment Act of 1967 extends this protection to include age discrimination; the Rehabilitation Act of 1973 protects the handicapped; and Executive Orders 11478 and 11246 provide protection for those over 40, prohibit employment discrimination, and require affirmative action to ensure equal employment opportunity.

Other federal legislation affecting employer/employee relations that you

should be aware of are: the Fair Labor Standards Act, the National Labor Relations Act, the Occupational Safety and Health Act (OSHA), and the Federal Unemployment Tax Act. In addition, all of the states have passed legislation relating to discrimination in employment, and many of these state laws are more stringent than the corresponding federal statutes. California and Massachusetts are just two states taking the lead in areas of "employee rights." You must be aware of the laws of your state and municipality and abide by them.

In summary, these are the basic legal issues you should be aware of:

Employment at Will

Employment-at-will states are those where employers legally have the right to hire, fire, demote, and promote whomever they choose for any reason unless there is a law or contract to the contrary, and employees have the right to quit a job at any time. The common-tort law exceptions include:

- Public policy exception
- Implied-contract exception
- Just-cause exception (covenant of good faith and fair dealing)

Under the public-policy exception to employment at will, an employee is wrongfully discharged when the termination is against an explicit, well-established public policy of the state. For example, in most states, an employer cannot terminate an employee for filing a workers compensation claim after being injured on the job or for refusing to break the law at the request of the employer, which is protected under The Protected Disclosures Act, Act 26 of 2000 ("the Act"), aptly dubbed the Whistle Blowers Act.

Another major exception to the employment-at-will exception is applied when an implied contract is formed between an employer and employee, even though no express, written instrument regarding the employment relationship exists.

Rather than narrowly prohibiting terminations based on public policy or an implied contract, this exception, at its broadest, reads a covenant of good faith and fair dealing into every employment relationship. It has been interpreted to mean either that the employer personnel decisions are subject to a "just cause" standard or that terminations made in bad faith or motivated by malice are prohibited.

Increasingly the courts are replacing "employment at will" with the concept of employer responsibility and the right of the employee to be protected from "wrongful discharge."

Sexual Harassment

Title VII of the Civil Rights Act of 1964 and its subsequent amendments require that employers furnish a workplace that is free from sexual harassment. There are two forms of sexual harassment: quid pro quo and hostile work environment. Quid pro quo is a legal term which means in Latin "this for that." Quid pro quo harassment occurs when a supervisor or manager asks for sexual favors in return for a favorable employment action. "Sexual favors" is a broad term that covers actions ranging from unwanted touching to more explicit requests. A hostile work environment has been defined by the EEOC as one in which an individual is subjected to unwelcome verbal, visual, or physical conduct "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." Unlike the quid pro quo form of harassment, a hostile work environment can be created by coworkers, suppliers, customers, or other visitors to the workplace.

Courts have held employers responsible for the harassing actions of their employees, whether or not the employer was aware of the harassment. The EEOC has developed guidelines to assist employers in developing policies that clearly express the employer's prohibition against harassment. These guidelines can be found at http://www.eeoc.gov/types/sexual_harassment.html

Employers are encouraged to develop anti-harassment policies, along with complaint procedures for those who feel they have been harassed. The policy should clearly explain unacceptable conduct and reassure employees who complain that they will be protected against retaliation. The complaint process should describe multiple avenues for reporting harassment and provide assurances of confidentiality to the extent it is possible. Investigations of allegations should be prompt and impartial and, should the investigation find that harassment did indeed occur, the policy should provide for immediate correction action.

Marital Status

The courts will not allow employers to use this as grounds for dismissal. The law holds that husbands and wives can work for the same company, even for competitors. However, no employee should have a spouse as a direct

supervisor. While this latter item is not against the law, it most always leads to personnel problems down the road and is not recommended.

Written Policies

You will be expected to have them in any court or EEOC proceedings, and it is expected they will conform to the law. You will be held to the policies as well as the employee. These should be published and available to employees. Unpublished policies may not be accepted in court if the employee can claim, "I didn't know." Also, practice must conform to policy.

Employee Eligibility Verification

Effective May 21, 1987, for all employees hired after November 6, 1986, you are required by the provisions of the Immigration Reform and Control Act of 1986, to verify the employment eligibility of each person you employ. You are required to have a signed Form I-9 for each person on your payroll. This form must have the employee's signature indicating he or she is eligible to be employed and your signature indicating you have verified his/her identity and eligibility by reviewing acceptable documents (such as, U.S. passport or certified birth certificate and state-issued drivers license). Make note of the documents reviewed on the form and retain the Form I-9 with your personnel records, but separately from the employee's personnel file. Make a note that the I-9 has been updated; you should be using the form dated 5/31/05.

Family and Medical Leave Act of 1993

In 1993, President Clinton signed the FMLA, which was created to assist employees in balancing the needs of their families with the demands of their jobs. In

creating the FMLA, Congress intended that employees not have to choose between keeping their jobs and attending to their own illness or seriously ill family members or for the birth of a child. The FMLA provides three benefits for eligible employees of covered organizations:

1. 12 weeks of unpaid leave within a 12-month period
2. Continuation of health benefits
3. Reinstatement to the same or equivalent position at the end of the leave

FMLA applies to all public agencies and schools, regardless of their size and to private employers with 50 or more employees working within a 75-mile radius. The law provides detailed descriptions on how employers determine if these requirements apply to them. Please go to www.dol.gov for more information regarding specific reasons for FMLA, types of FMLA leave and tracking.

COBRA

Under the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1986, all companies with 20 or more full-time employees that offer group health and dental benefits to their employees are required to provide continuing coverage for up to 18 months to employees who quit or are terminated. The employee is required to reimburse you for coverage at the group rate, plus you may charge an administrative fee not to exceed 2 percent.

Others covered under this act include: family members, divorced family members, widows and families of deceased employees, and certain others. You should check with your insurance carrier to determine the applicability of COBRA to your organization. Your state may have continuation-of-insurance regulations that are more generous than the federal COBRA, in which case you must offer the state's version. Check with your state's Department of Labor for more information.

Americans with Disabilities Act

Effective July 26, 1992, employers with more than 15 employees are required by The Americans with Disabilities Act (ADA) of 1990 to eliminate employment discrimination against person with disabilities. Any qualified person must be considered employable and reasonable accommodations are expected to allow those with physical or mental disabilities to perform satisfactorily in the workplace. This includes reasonable physical modifications to the workplace. Specifically employers are prohibited from denying employment to an otherwise qualified person with a disability, to use qualification standards or tests that discriminate against the disabled, refusing to make reasonable physical changes to the workplace to accommodate persons with disabilities, denying equal benefits to those with disabilities, or continue practices that have the effect of discrimination based on disability. Every employer will be required to post the provisions of this act in the manner proscribed in section 711 of The Civil Rights Act of 1964. Enforcement shall include the powers, remedies, and procedures set forth in The Civil Rights Act of 1964.

Compensation

Congress and the courts have gone to great lengths to ensure all employees receive protection in this area. There are few, if any, employees not covered under the Minimum Wage Act or under state variants, if they impose a higher return. All organizations meeting either the

"commerce test," sale or purchase of items involving interstate commerce, or the "sales business test," budget in excess of $250,000 annually, must pay all employees at least the current minimum wage.

There are few, if any, employees not covered under the Social Security Act (FICA) and the Federal Unemployment Tax Act (FUTA). The Equal Pay Act of 1963 provides that all employees receive equal pay for equal work. The Fair Labor Standards Act requires that overtime pay must be paid to all non-exempt employees at 1.5 times their hourly rate – that is the law. You may not give non-exempt employees compensatory time off in lieu of overtime pay unless:

- Both the employer and employee agree;
- Compensatory time is at the rate of 1.5 hours for every hour of overtime worked; and
- Compensatory time must be taken in the same or the next pay period, and factors including the cost of living and time on the job must be taken into account.

In addition, the law addresses what questions you can and cannot ask in interviews, and other employment matters. You should consult and work with labor attorneys in your state and area to ensure that your organization is in compliance with all relevant laws related to employment policies and practices.

Effective managers understand that recruitment and retention of the best employees require that the organization's pay and benefits package be competitive, fair, and equitable.
It must be competitive, similar to other businesses in the geographic area served

by the agency, and in the range available to the labor pool from which employees are drawn. There are several groups in all parts of the country that provide comparative data. The Society of Animal Welfare Administrators (SAWA) publishes an annual wage and salary survey available to their members, contact them for a copy on animal care and control agencies at 303-337-6419. Other groups can be accessed through your local Chamber of Commerce.

It must be fair, reflecting the comparative worth of each position in the organization. Many agencies rate jobs using criteria such as the training required, stress, complexity of duties, skill level, and responsibility. They, then, create pay scales based on these ratings.

It must be equitable; all persons performing the same or similar work must be paid using the same scale regardless of race or gender.

It must be legal, conforming to all applicable federal, state, and municipal laws.

Pay increases should be given in a fair and consistent manner. This prevents the possibility of staff morale problems. Increases may be based on a variety of goals and objectives and job performance as documented by consistent performance reviews.

Benefits should be equally well thought out and reflective of what is available in other area organizations. These include but are not limited to:

- Medical/Prescription drug coverage
- Dental insurance
- Vision insurance

- Tuition reimbursement
- Leaves of absence/FMLA leave
- Short- and Long-term disability insurance
- Life/AD&D insurance
- Paid holidays
- Personal time off (PTO) which covers vacation and sick time
- Transportation benefits
- Voluntary options for employees such as prepaid legal and ID theft protection; supplemental life insurance, pet insurance, cancer coverage, long-term care insurance, etc.
- Tax sheltered annuity programs (available to employees of non-profit organizations through section 403(b) of the IRS code of 1954 as amended)

Many organizations are moving from fixed plans to "cafeteria plans" where an amount is budgeted for each employee's benefits and the employee then decides what he or she requires. This is especially beneficial to two-worker households, as it does away with duplicate coverage and allows individuals to tailor a program that reflects their needs. A Flex Plan or Section 125 flexible spending account (FSA) is a benefit provided by employers that lets employees set aside a certain amount of their paycheck into an account before paying income taxes. Then, during the year, the employees can be directly reimbursed from their accounts for qualified healthcare and dependent care expenses. Advantages are that the employees increase their take-home pay due to pre-tax savings, and the employer can save up to roughly 8 percent of all employee contributions.

Programs like those mentioned above and an Employee Assistance Program (EAP),

which is described later, are most effective in attracting qualified applicants and in reducing employee turnover.

Many organizations are setting up and administering EAPs to help employees with health issues, behavioral issues (such as substance abuse), relationship issues, financial and legal issues, and stress management. The aim is to improve employee productivity and morale by helping troubled employees get professional help.

Job Descriptions

A job description summarizes the most important features of a job, including a description of the work that details the required tasks, knowledge, skills, abilities, responsibilities, and reporting structure.

The physical requirements of the job must also be reflected for ADA considerations. Examples of physical requirements may include lifting, standing or sitting for extended periods of time, unusual physical requirements or temperature extremes, etc.

Every organization should have job descriptions for every position, including the executive director. Poorly prepared job descriptions provide little information to new employees or guidance to long- term employees. They often indicate lack of managerial responsibility concerning the position and, in cases of termination, place the organization at a disadvantage in EEOC, ADA, or court proceedings. A well-thought-out job description can provide the following:

⇒ Written definitions of new and long-term employees' jobs;
⇒ Standard formats that allow for consistent application;

⇒ Job definitions for performance planning, transfer, promotion, staff planning, career, and disability accommodation purposes;

⇒ A guide to the planning and execution of training activities;

⇒ A basis for ensuring accurate employee performance evaluations;

⇒ A way to promote employee accountability;

⇒ A means for organizations to move swiftly to increase or replace staff due to increased business or turnover; and

⇒ Evidence in EEOC or court proceedings of the organization's commitment to provide employees with the information they need to satisfactorily perform their jobs.

A well-prepared job description can also serve as a tool by which the unqualified either screen themselves out or can be excluded from further consideration in the screening process once their resume and application is received and reviewed. There are eight components of a good job description:

- Summary – a four- or five-sentence overview that summarizes the overall purpose and objectives of the job. This section also covers the primary responsibilities of the job, the results the worker is expected to accomplish, and the degree of freedom to act (for example, independently or under direct supervision).

- Essential Functions – the tasks, duties, and responsibilities of the job. The list often includes statements explaining why the function is required. This is useful for evaluating ADA compliance.

- Nonessential Functions – desirable, but not necessary, aspects of the job.

- Knowledge, Skills, and Abilities Required – the *specific* competencies required for job performance. For example, the description might specify "how to use Excel" rather than "computer spreadsheet knowledge." For compliance purposes, it is important to focus on *minimum* requirements so as not to impose unnecessary requirements that may have an adverse impact on protected classes.

- Supervisory Responsibilities – the scope of the person's authority, including a list of jobs that report to the incumbent.

- Working Conditions – the environment in which the job is performed, especially any unpleasant (or dangerous) conditions.

- Minimum Qualifications – minimum knowledge, skills, and abilities required to enter the job.

- Success Factors – personal characteristics that contribute to an individual's ability to perform the job well.

One additional item worth mentioning concerns organizational values. Identifying and articulating cultural values is difficult for most managers, probably because much is implicit rather than explicit within the organization. What then are examples of values relevant to animal care and control that should appear on job descriptions? Before listing some, here are a couple notes of caution: Not all are relevant to all jobs, and be sure to use positive tone and phrasing to reflect deeply held attitudes. For a kennel attendant, "Works collaboratively with others to achieve a clean and sanitary environment for the animals we serve," is

very different than saying, "Keeps kennels clean."

"Treats animals humanely, with love and concern both on and off the job." For all employees, this is very different than saying, "Is kind to animals."

"Provides accurate information and friendly service to the public." For lost and found, adoption front desk, and kennel personnel, this is very different than saying, "Deals well with the public."

"Performs other duties as required to ensure a positive public image and to improve the functioning of this organization and to make it the world's best humane society or animal control agency." Again, for all employees, this is very different than saying, "Performs other duties as assigned by supervisor." "Regularly participates in meetings with other members of the staff and shares ideas and suggestions designed to improve working conditions and the organization." If we as managers genuinely view our employees as the valuable resources they are, then this phrase or one similar to it should be a part of every job description you create for your organization.

Typical positions within a humane society may include:
- Executive Director
- Shelter Manager
- Development Director
- Kennel Supervisor
- PR/Education Coordinator
- Field Supervisor
- Volunteer Coordinator
- Animal Control Officer(s)
- Animal Health Technician
- Cruelty Investigator
- Adoption Counselor

The job description for each position in each organization should be tailored to the unique needs of that organization. These are usually expressed in the parts of standard job descriptions listed below:
- **Job title:** Notes the name of position.
- **Status/classification:** Whether exempt or non-exempt.
- **Department:** Name of the department where the position resides.
- **Reports To:** Name of the position the incumbent reports to.
- **Broad function or purpose/Position summary:** Outlines overview of the job and why the job exists.
- **Essential skills and experience:** Lists tasks and responsibilities (broken out by "essential" skills to comply with the Americans with Disabilities Act). Knowledge, skills, and abilities (KSAs) are listed here which are essential for the incumbent to be successful in the job.
- **Non-essential skills and experience:** desirable, but not necessary, aspects of the job, such as education, related experience.
- **Authority:** Notes to whom employee reports and also who reports to employee is applicable.
- **Salary:** Lists a beginning salary or salary range for the position.
- **Physical demands and work environment:** Notes unusual or hazardous aspects of job
- **Other:** Any other important item(s) which is important to note.

Sample Job Description

Job Title: Kennel Supervisor

Status/classification: Exempt

Department: Shelter Operations

Reports to: Executive Director

Broad Function/Purpose: The kennel supervisor is responsible for the cost-effective, sanitary, and humane operation of the kennel facilities; the health and welfare of animals in our care; the euthanizing of animals as required; and the selection, training, supervision, and deployment of kennel staff.

Essential skills and experience:
1. Works collaboratively with kennel attendants and other shelter personnel to achieve a clean and sanitary environment for the animals we serve.
2. Treats animals humanely, with love and concern both on and off the job, and transmits these values to others.
3. Hires, trains, evaluates, and deploys kennel attendants so as to provide for their growth and to maximize their potential for the good of the shelter.
4. Provides accurate information and friendly service to the public and ensures that others working in the kennel area do also.
5. Regularly conducts and participates in meetings with other members of the staff and shares ideas and suggestions designed to improve working conditions and the organization.
6. Consistently strives to keep abreast of animal welfare issues, and new techniques, procedures, and equipment in the field.
7. Assumes responsibility for the humane care and treatment of animals, monitors the shelter for signs of disease, and reports problems to appropriate personnel.

8. Selects animals for euthanasia and participates in the euthanizing of animals.
9. Maintains records as required and reviews the work of others on a regular basis to ensure that accurate and timely information is available.
10. Is aware of the dynamics of the change process and works to ensure that all kennel activities are reviewed and modified in an effective and efficient manner.
11. Maintains a high level of communication with kennel attendants and all other shelter, personnel.
12. Performs other duties as required to ensure a positive public image and to improve the functioning of this organization and to make it the world's best shelter.

Knowledge, Skills & Abilities:
- At least a high school graduate with advanced study in animal care preferred, but not required.
- Excellent communications and public relations skills.
- Three years prior experience with animals in a shelter setting.
- High tolerance for ambiguity.

Qualifications:
- At least a high school graduate with advanced study in animal care preferred, but not required.
- Excellent communications and public relations skills.
- Three years prior experience with animals in a shelter setting.
- Prior kennel staff management experience is essential.
- High tolerance for ambiguity.

Authority: The Kennel Supervisor reports to the Executive Director and has direct oversight of an Animal Control

Supervisor, Office Supervisor, Volunteer Coordinator, and Education/PR Coordinator. This is considered to be a senior-level position.

Salary: Negotiable, depending upon prior experience and should fit into the current pay range for that position.

Physical demands and work environment: Work is performed in an outdoor animal shelter, garage, field, warehouse, and shared office settings. Shifts are 8-10 hours spent standing, sitting, bending, walking, speaking, and handling potentially dangerous animals. Exposure to constant loud noise, cleaning agents, heavy machinery, surgical tools and instruments, animal medications and vaccines, and possibly ill or injured, stray, owned, and dangerous animals. Job requires frequently lifting of up to 50 pounds with or without assistance.

Other: Valid drivers license required. Supervision of all shifts on an as-required basis, willingness to attend training programs to upgrade skill level.

Advertising the Position, Applications, and Interviews

As employers, we have four main sources of information about prospective employees: the cover letter and resume, the application form, the interview, and references or recommendations. By far the most important of these is the interview and, unfortunately, many job applicants come to the interview better prepared than the employer!

There are several issues managers should address prior to beginning the employment process or interviewing applicants.

- Does this position address long- and short-term strategic staffing needs?
- Is there a current and detailed job description for the position?
- Has a set of uniform interview questions been developed to ask all job applicants?
- Have criteria for comparing and evaluating applicants been prepared?
- Does the application form provide you with adequate information and conform to EEOC guidelines?
- Are you familiar with federal and state legislation and EEOC guidelines relative to interviewing?
- Has the position been advertised in appropriate places to ensure the broadest possible applicant pool?
- Is there an established procedure for people to obtain and submit their resume or application?

Only when you can answer "yes" to each of these questions are you ready to begin the interview process.

Advertising current job openings is essential to attract the broadest possible applicant pool. In addition to internal posting, employment websites or job boards, and local newspapers, you should consider non-traditional avenues, such as minority publications. However, advertising widely is not, in and of itself, enough to ensure a large pool of applicants; you must also look inward. What is our reputation in the community? Do we have progressive employment policies? Do we value long-term employment? Do we have a fair and competitive compensation program? All of these will affect whether or not people will want to apply for jobs in your organization.

Resumes and applications are critical recruitment tools, and it is important that they provide you with sufficient information to make informed decisions on whom to interview. It is also important that the application form conform to legal requirements. At the end of this section is American Humane's application form that conforms to current laws, provides good information and has a pleasing format.

Those applicants whose qualifications are not appropriate for the position for which they are applying should be kept on file for at least two years. Applications or resumes received when no current opening exists do not need to be retained. But be consistent here; either make it a practice to retain them, or not retain them. Retaining them might provide a source of applicants for other positions which may become open during the year.

Selecting applicants to be interviewed is frequently a difficult process. How can you be sure you are talking to the best people from the applicant pool?

Create a set of qualifications that you feel are most important and then scan the resumes or applications for those qualifications to help you pare down possible candidates. Create a set of important questions, called structured interview questions, and then use these questions for all candidates interviewed. This will provide you with an "apples to apples" comparison regarding qualifications for the job.

In general, structured interview questions are preferable to unstructured ones. While structured interviews may reduce spontaneity, they ensure that similar information will be gathered from all

candidates. This makes it possible to compare qualifications and reduce equity concerns.

Form and use hiring committees. All larger organizations (35 or more employees) should consider groups of managers and workers (two to four people) to review applications and interview applicants. This process is effective because it provides for broader and divergent perspectives, and it is always viewed positively in EEOC proceedings.

The interview is the key to the employee selection process. Studies have consistently shown that interviewers talk 85 percent of the time in interviews. When this occurs, the applicant leaves knowing a lot about you and the organization, but you come away knowing very little about the applicant.

Maximize the interview by:
- Selecting a clean, quiet, and comfortable spot for the interview. A conference table with chairs is usually more conducive to dialogue than an office with the interviewer sitting behind a desk
- Putting the applicant at ease while retaining control of the interview. Make sure the applicant understands the culture, mission, and goals of your organization.
- Knowing what you can and cannot ask. In general, you will be on safe ground if all questions are directly job related. Remember that you cannot ask questions regarding race, religion, sex, marital status, height or weight, arrest record, former names, previous addresses, whether the applicant has children or has adequate childcare

arrangements, anything related to transportation arrangements, birthplace, citizenship, national origin, organizational affiliations, relatives, bank or credit rating, or disabilities (unless directly related to the job at hand). You may ask questions about work experiences, education, conviction record, and personal values and characteristics (such as, feelings about animals, performance under pressure, and attitudes about co-workers).

- Having a set of previously prepared questions that you will ask all those being interviewed as a way of generating comparative data upon which you will base your decision. You may wish to jot down responses to these questions for later analysis and comparison.

- Asking open-ended questions. Examples of questions that do not lend themselves to one word responses are: "What do you feel are important considerations in the care and handling of animals?" instead of, "Do you like animals?" And, "Give me examples of things you enjoyed and things you found frustrating in your former job," instead of, "Did you get along well with others at your previous job?"

- Asking behavioral questions that require the applicant to tell you about their prior experiences. Examples of behavioral questions are: "Tell me about animals you have owned and what you liked best about having a pet," and "Tell me about prior work experiences you have had that have prepared you for this position."

- Being aware that how you phrase and ask questions often determines the response. Applicants want the

job and will often tailor responses to what they think you want to hear. The way you phrase and ask questions often makes the difference between what is and is not legal. For example, a permissible question regarding disability would be, "This job requires a lot of mobility, bending, and lifting heavy objects, would that be a problem for you?"

- Being an active listener and following up on questions as appropriate. It is the quality, not quantity, of questions asked and responded to that matter. Look for potential signs that the person has growth potential and will be able to contribute to the goals of the organization.

- Giving the applicant a chance to talk and ask you questions.

At the end of the interview thank the applicant and inform him/her of your timetable to reach a decision. It is always good to contact all persons interviewed to tell them of your final decision – one way or the other.

Four questions frequently asked and that relate to the issue of interviewing are:

1. Should I check references? Of course, but don't expect too much. Recent court decisions have made former employers wary and many will only confirm dates of employment without providing any substantive data.

2. Should I use trick or disqualifying questions or attempt to create stress in the interview?
No. Interviewing for a job upon which one's livelihood depends is stressful enough. Any trick or disqualifying

questions say more about you (and not in a positive way) than they do about the applicant who is trying to respond honestly to what he or she perceives to be your honestly asked questions

3. Should I ask hypothetical questions?
No, because they tell you nothing about behavior and assume knowledge that the applicant may not reasonably be expected to have. Ask questions that give you insight into how the person has acted in the past as this is more relevant than them telling you about how they might act or, more likely, how they think you would like them to act in the future.

4. Should I require applicants to take a lie detector or medical exam prior to making an offer? No! The use of polygraph tests in the employment process is limited by the Employee Polygraph Protection Act (EPPA) of 1988. The EPPA prohibits private employers from using polygraph tests in making employment decisions except under very limited conditions.

Medical examinations may only be required after a job offer has been extended to the candidate. As with all other assessment tools, medical examinations are allowable if their purpose is both job related and required of all candidates. These exams are used to ensure that the employee will be fully capable of performing the requirements of the job, and in some cases, may be part of an employer's health and safety program.

After all of this, you are ready to select the applicant you feel is best suited to the job and your organization. This is, of course, a very important decision. Remember that employees are your contact with the public and are your most important public

relations tool. What are some of the factors you should consider?
• Intelligence
• Background
• Related experience
• Values
• Potential
• Qualifications
• Personality and attitude (fit with the organization)

These are not in any particular order of priority because they will change from position to position, but all are important considerations.

The Employee Training Process

Hiring a new employee is a very important step in what should be a three-part process: employee selection, employee training, and employee evaluation. In all too many organizations, training involves little more than introducing the new employees to their co-workers and telling them to observe and do what others are doing. While this may work in some instances, it does not adequately prepare the employee to maximize their contributions to the organization. It belittles the importance of the job or management's commitment to ensuring that the job is done well.

Orientation
The orientation process is the new employee's introduction to the organization. It is, along with the interview, the time when the employee's all important first impressions of the organization and the people he or she will be working with are formed. All too many of us waste this opportunity by not preparing adequately, by not sharing with the new employee our vision and goals for

the organization, and by not using this time to show off the best of what we are and can be. It is our only opportunity to introduce the new employee to the job and to help him or her understand from our perspective.

The surest way to gain the confidence and loyalty of a new employee is to show every consideration and help him or her get off to a good start. Although many routine tasks at an animal welfare agency can be performed by unskilled workers, the organization itself is a very complex and specialized operation. A new employee is likely to have little background experience that has prepared him or her for even simple routines. It is important that the employee be provided with very clear and explicit information about what is expected, about what the job involves, and where it fits into the total operation.

At the very least, the orientation should include the following, in addition to those items already noted:

- **Physical orientation:** a tour of the organization and its facilities
- **Historical orientation:** the history, activities, and goals of the organization
- **Humane orientation:** the basic attitudes and values about animals that permeate the organization
- **Personnel orientation:** introductions to all others in the agency, or in the case of a very large organization, the people in the department
- **Policy orientation:** provide a copy of the Employee Handbook and go over the most important aspects of the job and any necessary related new hire paperwork, such as emergency contact information, the W-4 and I-9

- **Safety orientation:** procedures in place and how to treat injuries which might occur on the job
- **Training orientation:** what training is required and how much time it might be expected to take

Training

In the best run organizations, a training program for each position is thought through at the time the job description is being prepared. It consists of the following elements:

- A training activity for each "specific duty" listed in the job description
- A time frame for the completion of training, which usually corresponds to the probation period (frequently six months)
- The identity of the person responsible for each component of the training program (for example, the kennel, field, or office supervisor)
- A place for both the trainer and the new employee to sign off when each component of the training program is complete
- Periodic review by management during and at the conclusion of the training process
- A notation on the employee's permanent record of training completed

The training program usually involves each of the following methodologies:

- **On-the-job training:** Use employees who not only do the job well but who have been prepared for their training role. Pick individuals who reflect the values of and express positive attitudes about the organization.

- **Role play:** This can be a useful teaching tool in the areas of dealing effectively with the public and in reducing the stress that frequently accompanies confrontations.
- **Readings/media:** Offer books, articles, employee manuals, videotapes, and such that convey information and or skills needed for the current job, and also for advancement within the organization.
- **Workshops:** Plan activities within or outside the organization, such as euthanasia training, small animal care, horse abuse school, management/leadership workshops, and American Humane's annual conference.
- **Special activities:** Assign a project that is job related, such as designing a unit for a humane education program for use with elementary school children.

Training includes, but is not limited to, the following:
- Review all items included in the initial orientation program
- Agency policies and procedures
- Specifics of the job for which the person was hired
- Dealing effectively with the public
- Applicable federal, state, and municipal laws
- Recordkeeping, as required for this position
- Animal care and sanitation
- Safety and first aid
- Vehicle operation and maintenance

The persons selected to train new employees should be chosen carefully because their bad as well as good knowledge, skills, and attitudes will be transmitted. Choose people you feel represent the best of what your organization is and can be. People chosen for the trainer role should be those employees in whom you have the greatest confidence.

This type of training program ensures the following:
- That each employee receives the information and support required to ensure that they understand and can do their job.
- That each employee knows you want them to succeed on the job as evidenced by the training you have provided.
- That the manager has baseline data for performance reviews. (No longer can an employee say, "I didn't know I was supposed to do that," or "Nobody showed me how to do that.")
- That you have documentation for use in future employee evaluations or EEOC proceedings.

Human Resource Development

Perhaps the most frequently overlooked aspect of the management role is the ongoing development of both managers and staff. Leonard Nadler, professor of adult education and human resources at George Washington University, uses the term "human resource development" to signify the range of development activities in which managers and organizations should be involved on a continuing basis. There are three components to a comprehensive human resource development program:

Training and Development: Orientation to the organization, mastery of technical skills directly related to the job, continuing skill practice and reinforcement of

learning, and opportunities for growth in both the technical and human skill areas (current job).

Career Development: Supplementary in-service programs, course work at local schools, attendance at conferences, participation in seminars, involvement in workshops related to personal and job growth goals (future jobs).

Organizational Development: Involvement in activities designed to prepare the individual for more responsibility in an ever-changing organizational environment. Effective managers assume the responsibility of assuring the availability of human resource development opportunities for all employees including themselves. They make sure the activities are well planned and carried out, that the appropriate employees are involved, and that the skills and knowledge attained are used for the benefit of the organization.

NOTE: Of necessity, training programs for supervisory and management personnel, like the one shown below, are more individualized and involve more reading and reporting than those more task-oriented training programs designed for kennel, office, or field workers. Typically those jobs have strong on-the-job training components.

Sample Training Worksheet

Job Title: Kennel Supervisor
Employee: (NAME)
Supervisor: (NAME)
Training Period: 6 months probation
Training Activities:

1. Develops detailed work plans with suggestions for improvements.
2. Engages in activities to increase humane awareness of employees.
3. Visits area shelters to learn how they handle these tasks and reviews and updates employee manuals.
4. Conducts communications skills training program for staff.
5. Presents meeting plans and invites supervisor to attend staff meetings.
6. Attends workshops, subscribes to journals, and joins a national organization.
7. Attends a workshop on disease recognition and shares information with staff.
8. Establishes euthanasia criteria to share with supervisor and, if approved, implements with staff.
9. Sets up and maintains reports and forms as required.
10. Reads periodicals and other publications and shares information with co-workers.
11. Works to keep others informed verbally and in writing and reviews with supervisor.
12. Maintains listing of other tasks performed on a weekly basis and reviews with supervisor.

Employee Handbooks

The question of whether to have an employee handbook is a difficult one. On the one hand, it is important to have policies and procedures in a print format, so they can be read and reviewed by management and employees. Materials that state the organization's "thou shalts" and "thou shalt nots" are expected at grievance or EEOC proceedings, along with reasonable proof that employees had access to them.

On the other hand, employees recoil at the sight of three-inch-thick binders jam-packed with double-sided sheets that they are expected to know by heart. Instead of Ten Commandments, most

managers seem to feel 10,000 are better. Some manuals are so large and expensive to produce they are not given to each employee but are loaned out. In addition, there is the number of senior-level staff person hours that go into development of these materials to consider – time that might better be spent addressing animal welfare issues. Upon becoming chairman of the Dana Corporation, a Fortune 500 company, Rene McPherson disposed of 22.5 inches of printout that represented that organization's employee manual. He replaced it with a simple one-page statement of company values and policies. Couldn't and shouldn't we do the same? At least one humane society in southern California has. And, it works. Midway between the large three-ring binders and the one-page manual is the employee manual prepared and used by the Women's SPCA in Philadelphia, Pennsylvania – one of the nation's oldest humane societies. It consists of a 9- x 6.5-inch binder with a one-inch spine and contains 26 pages. Few of those pages exceed 120 words. The main issues/topics addressed in this excellent manual are:

Preface
1. Title page
2. Important notice disclaimer
3. Table of contents
4. Welcome
5. Code of Professional Conduct
6. EOE and EEO Policy Statements
7. Unlawful harassment policy and complaint procedure

Hiring Practices
1. Employment of relatives
2. Re-employment
3. Vacant positions
4. Transfers/Promotions
5. Employee referral program

Employment Status
1. Regular full-time employees
2. Regular part-time employees
3. Exempt employees
4. Non-exempt employees
5. Temporary employees

Employee Benefits
1. Eligibility
2. Health plan
3. Life and disability insurance
4. Holidays
5. Personal days
6. Sick time
7. Vacations and leaves of absence
8. Jury duty
9. Bereavement leave
10. Military leave
11. FMLA leave if applicable
12. Employee discount
13. Retirement plan
14. Workers' compensation

Compensation
1. Confidentiality of wages and appraisals
2. Performance feedback

Work Time and Pay
1. Hours of work
2. Lunch and rest breaks
3. Work week
4. Overtime pay
5. Paydays
6. Payroll deductions
7. Direct deposit of pay

Work Guidelines
1. Attendance and punctuality
2. Anti-violence/inspections
3. Solicitations
4. Health and safety
5. Conflict of interest
6. Severe weather policy
7. Internet, e-mail and electronic communications
8. Confidentiality policy

General Information
1. Vehicle policy

Disciplinary Policy
1. Problem-solving procedure
2. Termination

Consider the following:
Written policies and procedures are a double-edged sword. Courts have found them as binding on management as on employees. They can be viewed as ad hoc contracts. This is not an argument against handbooks, but does imply that they should pertain to the really important issues and that these should be presented in a clear and concise manner and applied in a consistent manner.

For example, the company's written policy outlines a three-step disciplinary action process, but if you give one employee a four-step process, the courts will most likely determine that your company had a four-step policy. So be careful to be consistent in the application of your policies and procedures.

Many employees are not college graduates and therefore, not accomplished readers. In a recent case, the EEOC held that it was not reasonable to expect a high school dropout to read, know, and act in accordance with the contents of a 400-page manual.

All employees should be asked to sign an Employee Handbook acknowledgement of receipt which will become a part of their personnel file. This signed document indicates that the employee was provided with, and has read, the handbook. In addition to policies and procedures, the following are an example of some "thou shalts" and "thou shalt nots" and what might be included:

- Cruelty to animals on or off the job will be grounds for dismissal.
- Friendly and courteous service will be provided by each person in the shelter and in the field.
- Tardiness and unauthorized or excessive absences increase the workloads of others and will not be tolerated.

After being hired, each employee should receive a copy of the Employee Handbook to keep. Its contents, along with the tasks/values listed in the job description, provide valid criteria for assessing employee performance.

Other information frequently found in employee handbooks might be better in less formidable, smaller, and easier to handle leaflet form. These might include field procedures, adoption policies, summaries of humane legislation, and animal handling tips. These can be distributed to employees needing them during the orientation or training period.

The Employee Evaluation Process

Continuing supervision of employees is an ongoing and essential component of the management function. In addition to formal performance reviews, regular feedback should provided to all employees on a continual basis.

Feedback

Every employee wants and deserves feedback. We all want to know if we are meeting the expectations of those who oversee our work. We all want to know that our good work is appreciated and we even want to know when our work does not meet established standards. Despite this very natural desire for feedback and

the anxiety/stress generated when we do not receive it, as managers we do not always provide it to those whose work we oversee. Most of us tend to be more conscientious about providing feedback on poor performance than we are about praising good performance. This fact is one of the central points addressed in the book *The One Minute Manager*. Some of the key points made in that publication are:

- People who feel good about themselves produce good results. Feedback, especially positive feedback, makes us feel good because it shows that our supervisors are aware of and care about the job we are doing
- Help people reach their full potential; catch them doing something right. Let employees know on a regular basis what they are doing that really helps the organization.
- Everyone is a potential winner, but some people are disguised as losers. Don't let appearances fool you. By letting employees know the good and not-so-good things they are doing, we help them to focus on those things that will reduce negative and maximize positive feedback.

The book suggests a one-minute format for providing praise and giving reprimands.

Positive Feedback (praise):
1. Let employees know you are going to give performance feedback.
2. Praise them as soon as possible after they do something right. Tell them what they did right. Be specific.

3. Tell them how you feel about their performance and how it helps the organization.
4. Stop for a moment of silence to let them "feel" how you feel.
5. Encourage them to do more of the same.

Negative Feedback (reprimand):
Let employees know you are going to give performance feedback.
First half:
a) Reprimand as soon as possible after the problem.
b) Tell them what they did wrong. Be specific.
c) Tell them how you feel about their poor performance.
d) Stop for a moment of uncomfortable silence to let them "feel" how you feel.

Second half:
a) Remind them how much you value them.
b) Reaffirm that you think well of them but not of their performance in this situation.
c) Realize that when the reprimand is over, it's over.

Many managers do not feel comfortable providing feedback, but once we acknowledge its importance, it becomes something we must and should do for the good of the organization. Make it a point to provide feedback on a regular basis to each person you supervise. Catch them doing something right at least twice each week. You, they, and the organization will benefit.

Performance Review
As stated earlier, employee evaluation should be an ongoing process within the organization. However, regularly scheduled performance reviews (employee

evaluations) are an important "tool" for assuring goals and work standards are being met, for providing a forum for the discussion of issues of concern to both manager and employee, and for distributing rewards (recognition/merit increases) to deserving employees.

The evaluation instrument used should be directly linked to the job description of the individual and the training the individual has received. I strongly recommend a three-point evaluation scale that does not use judgmental terminology to describe the categories. The best I have found is that developed by The Santa Cruz SPCA in Santa Cruz, California. The categories/ratings they developed are:

- Exceeds expectations
- Meets expectations
- Needs improvement

The more categories, the more arbitrary, less understandable, and less equitable the instrument becomes.

The 12 components of a successful employee performance appraisal process are:

1. Hold reviews on a regular schedule (three months, six months, and annually thereafter).
2. Prepare in advance by giving the person you are evaluating sufficient notice, usually one week, and a copy of the forms which will be discussed.
3. Working independently during that week, each of you should complete the review forms. Then, when you come together for the review, you will be prepared to compare your evaluations. Comments should be objective rather than subjective with specific work-related examples for both positive and negative feedback.

4. When you come together for the review, begin by asking the employee what aspects of the job are the most important (responsibilities, tasks, qualities you look for in your subordinates). Your purpose here is to see if you are both on the same track – do you agree on the mission, goals, values, and priorities of the organization? It is important that you be synchronized in your thinking on these matters before commencing the review.
5. Share with the employee why you are taking the time to examine perform-ance and the kinds of outcomes that should result.
6. Begin by selecting an area where you gave the employee a very high rating. Discuss your evaluation in objective terms, giving the reasons why you rated them as you did. Then ask the employee to share their rating on the same item. If there are differences, discuss and resolve them. Conclude the discussion by asking, "What can each of us be doing in the next several months to take advantage of this strength and use it to fullest advantage, both for you and the organization?"
7. Next, ask the employee, "In what area did you give yourself the highest rating?" (or next highest, if you both agree on the previous item.) This time let the employee evaluate themselves. Then compare your rating and proceed as in #6.
8. If you and the employee disagree on any rating, try to reach agreement before continuing. If your rating was lower, listen carefully to their reasons and be prepared to adjust your own rating upward if appropriate. This is a good time to "give a little" as a

demonstration of your willingness to listen to the employee and to show you value their self-evaluation input.

9. Now ask the employee to select an area where they gave themselves the lowest rating. Listen while they explain their reasons prior to giving your rating, and compare areas of agreement and disagreement. Discuss what performance or behavioral changes will need to occur in order for the employee to receive a higher rating at the next review (or by whatever date you set as appropriate). Conclude by asking, "What can each of us be doing in the months ahead to improve your performance in this area?"

10. Continue the review in this manner, asking the employee to give their self-evaluation and then comparing your own rating. It may not be possible to reach agreement in all areas. In this case, you may concede to the employee on those items you do not feel strongly about or are not as familiar with as you would like to be. On the other areas of disagreement, you can then ask the employee to concede or defer to your evaluation.

11. Emphasize that the major reason for the review is not to arrive at numbers but to identify ways you both can work to further the employee's growth and development. Be sure to accept part of this responsibility yourself, and come to an agreement on an action plan in which you each play a part.

12. Examine the job description and make any changes needed to bring the description of responsibilities and duties up to date. If this is a major task, invite the employee to draft suggested changes during the week either preceding or following the review.

End the review on a constructive note, reiterating the positive areas of performance and setting specific dates for any follow-up activities that have been agreed on (such as training, and assignment of additional responsibilities). A survey, conducted by *Training* magazine of more than 500 organizations in both the public and private sectors, where employee self-evaluation was used, generated the following data:

Employee self evaluation:
Higher than supervisor: 19 percent
Lower than supervisor: 51 percent
Same as supervisor: 30 percent

Follow-up

After the performance review, it is important that the manager and employee agree on steps to be taken in a defined period to achieve improvement. At a minimum, those areas rated "needs improvement" should be addressed. For example, a manager needing to improve his or her involvement/employee relations skills might be told to attend a specialized training workshop within 60 days. The supervisor would then follow up on both attendance and implementation of new ideas learned.

The Employee Dismissal Process

The Law

The Civil Rights Act of 1964 and 1991, Equal Pay Act of 1963, Equal Employment Opportunity Act of 1972, Age Discrimination in Employment Act of 1967, Older Worker Benefit Protection Act of 1990, Americans with Disabilities Act of 1990, Pregnancy Discrimination Act of 1978, Family and Medical Leave Act of 1993, Uniformed Services

Employment and Reemployment Rights Act of 1994, and National Labor Relations Act all address the issue of fair dismissal. The EEOC is given broad powers in the enforcement of the provisions of these various laws and orders.

Termination

Firing is all too often a result of management's failure to select the right person for the job, to provide adequate training, and/or to provide feedback or adequate supervision. It is the employee who must pay for these management failures.

To avoid problems:
- Make sure all managerial personnel and employees are aware of the procedures for terminations.
- Provide each employee with a written job description.
- Develop and implement adequate training programs.
- Evaluate employees on a regular basis and maintain written records of each evaluation.
- Make sure all company policies and procedures are enforced uniformly and fairly.
- Communicate problems as they occur; don't wait until things are intolerable and then blow up.
- Document, document, document.
- Have in place and follow the steps of progressive discipline as outlined in your Employee Handbook.
- Don't malign the employee who is being terminated; deal strictly with observable and verifiable facts.

Some legally acceptable reasons for dismissal include:
- Incompetence, inability to do the job

- Not following company rules
- Neglect of duty
- Laziness
- Violence against co-workers
- Intoxication
- Reduction in force
- Insubordination
- Elimination of position
- Excessive tardiness or absenteeism

Strategies for Dismissal

Follow the steps of progressive discipline outlined earlier.
- Consult others; check out your perceptions with other managers.
- Make sure there are no other alternatives available.
- Do not prolong the termination process; be humane.
- Address the employee:
  - In neutral, private surroundings where you feel comfortable
  - With all the facts available
  - Directly, clearly, and honestly
  - Taking responsibility for the decision
  - Without apologizing or giving false hope; do *not* let this meeting turn into a debate
  - Possibly with a witness present
  - Keeping a record of what is said
- Inform other employees
- Maintain friendship

This is a part of the manager's job that none of us enjoy, but effective managers handle involuntary terminations expeditiously, professionally, and humanely.

Personnel Management

Our role as managers is to design, implement, and secure board support for progressive personnel policies; to develop procedures that will increase productivity; and to administer programs in a way that retains and motivates employees.

The Leader/Manager

In animal welfare work, there exists a real need for management-worker understanding and cooperation. Executives should strive to be leaders and managers, rather than "bosses." The leader continually thinks of ways to improve the work and working conditions of his or her people, with the end goal of increased efficiency always in mind.

Anyone who supervises the work of others should aspire to be a leader/manager rather than a boss. This implies a democratic work relationship rather than the autocratic, authoritarian relationship derived from the "boss" concept. It means workers can look to their supervisor as a person they respect, who will keep them informed, and will listen to their suggestions as well as their concerns. He or she will develop inspiration and enthusiasm for the work rather than simply direct that it be done.

The concepts of leadership and teamwork are based on principles of information, understanding, consultation, and participation. Together this is called communication. Management must be "communication conscious" at all times and in everything it does.

Management should consider the advisability of communicating every decision and plan. Communication is a constant part of all management planning. It must include a continuing reverse flow of ideas and suggestions from the work group to management.

Internal communication should be a primary concern of management. Its objective pattern is downward, upward, and across the organization. Internal communication is essential for good interpersonal relations. Informal contacts with workers, associates, and superiors during the work day may take place wherever one meets with another member of the agency.

The give and take of living, in which one converses, passes information, and listens to others, involves one situation after another. All are examples of oral communication/interpersonal relations. In such situations, one builds a reputation as a leader/manager and as an understanding and cooperative person – or as a blunt, impersonal, and dogmatic boss.

The good manager is seldom, if ever, surprised. He or she inspires confidence and communication. He or she recognizes potential problems before they become actual problems.

Managers are genuinely concerned for their people. An agency should periodically review its personnel policies. For example, does the agency provide adequate benefits? An agency cannot be in favor of social welfare in the community and, at the same time, deny sick leave benefits, dismiss employees without just cause, or practice unjustified wage discrimination.

The competent executive instills confidence in the "chain of command." He or she will allow and encourage problem solving at the lowest levels possible. A good executive does not "surprise" his or

her people. Continual change leaves employees in a state of turmoil and interrupts their work habits and efficiency. Quick and major changes in policy, without explanation, are also disruptive.

No good executive is continually behind his or her desk. They periodically visit their staff in their working environment, where they are most comfortable. On those visits, the manager should encourage feedback. He or she can gain opportunities to learn what is right and wrong with the equipment, facility, and people.

The good executive provides incentive programs. All people desire favorable recognition whether a certificate, plaque, pay raise, or promotion. A pat on the back and an occasional thank you are also powerful "free" motivators. Effective management includes written procedures, policies, and job descriptions. Written procedures and the like should explain everything expected of workers without ambiguity and should be readily accessible.

Last but not least, a good executive trains himself/herself in listening. He/she not only listens to the words but asks "why" they are being said. Often the words are only a partial representation of a need. By carefully listening, the competent executive is able to determine the full meaning. There is also an inspirational aspect to management. The following quote from The Wall Street Journal focuses on issues of leadership, and the fact that the best run organizations are led, not managed.

"People don't want to be managed. They want to be led." Whoever heard of a world manager? A world leader, yes. An educational leader, a political leader, a religious leader, a scout leader, a community leader, a labor leader, a business leader, they lead…they don't manage. The carrot always wins over the stick. Ask your horse. You can lead your horse to water but you can't manage him to drink. If you want to manage somebody, manage yourself. Do that well and you're ready to stop managing and to start leading.

In his seminal work, *Leadership*, the historian James Mac Gregor Burns described the various types and styles of leadership and the "transforming" qualities possessed by the most effective leaders. He described the ability of a leader to transform his/her environment, to shape values, to transmit a vision, to raise horizons, and to lift himself/herself and others above the everyday minutiae of the job. What are the key elements of leadership that he and other researchers have identified?

First, leaders have integrity. Leaders are honest with themselves and others. They are someone that others can believe, and believe in.

Second, leaders listen to others and are aware of their goals, their aspirations – the contributions they have made and can make.

Third, leaders have a vision – not just of the way things are, but the way they should be. A leader has a clear sense of organizational mission.

Fourth, leaders are able to communicate their vision to others in a way that not only helps them understand what is wanted, but makes them want the same thing – makes them want to help the leader realize what becomes their shared vision.

Fifth, leaders are focused, consistent, and persistent. By every word and action they demonstrate their commitment to the vision, and they convey that commitment to everyone they encounter

Sixth, leaders motivate others by actively involving them in the realization of the vision – helping them to realize their full potential for the good of the organization, and providing them feedback along the way.

Finally, leaders are emotionally mature. In the book *Leaders,* by Warren Bennis, this is described as follows: "Leaders seem to retain many of the childlike traits: enthusiasm for people, spontaneity, imagination, and an unlimited capacity to learn." He identifies the following characteristics of emotional maturity:

- The ability to accept people as they are, not as you would like them to be
- The capacity to approach relationships in terms of the present rather than the past
- The ability to treat those close (both family and co-workers) with the same courteous attention extended to strangers
- The ability to trust others, even if the risk seems great
- The ability to do without the constant approval and recognition of others, especially in work situations

This emotional maturity and positive self-regard, in Bennis' words, "develops an atmosphere of excellence, of greatness."

These themes resound over and over again in books as diverse as the biographies of John F. Kennedy, Robert Moses, Eleanor

and Franklin Roosevelt, and Lee Iacocca. In each we find that the characteristics of leadership can be learned and applied by others for the good of their organizations. It is worth remembering the words of Sophocles in the ancient Greek play Antigone: "But hard it is to learn the mind of any mortal, or the heart – till he be tried in chief authority. Power shows the man."

The sixth-century Chinese leader and philosopher Lao-Tse said: "A leader is best when people barely know he exists, not so good when people obey and acclaim him. Worse when they despise him. Fail to honor people, they fail to honor you. But of a good leader, who talks little, when his work is done, his aim fulfilled, they will say, 'We did this ourselves.'"

The world in general, and the humane movement in particular, is in need of highly competent leaders, people of vision and integrity who will help us all rise above our day-to-day efforts, to a new level of awareness and activity.

Conclusion

The introduction to this guide provides a definition of personnel policy and outlines the premises upon which progressive personnel policy is based. The dual goals of a motivated staff and a productive organization are best met when policies and procedures reflect management's deep and sincerely held beliefs that employees are an organization's most important resource and that they are the key to productivity. What are some of the characteristics of an organization having these values?

Teamwork: Employees and managers work together to generate and achieve shared goals.

Collaboration: Employee input is solicited, and as appropriate, utilized in decisions affecting their work and the workplace.

Trust: Managers and employees deal openly and honestly with one another.

Involvement: Employees and managers meet regularly to share ideas on how to improve the organization.

Communication: Managers and employees share information, and there are multiple and open lines to encourage such sharing.

The ideas and procedures presented here are designed to facilitate employee motivation and promote organizational productivity. By integrating job descriptions, training, performance reviews, and follow-up we are:

- Informing employees up front what our expectations are;
- Providing them with the training to perform well;
- Giving and soliciting feedback on how they are doing; and
- Mutually determining ways they can improve if their performance needs improvement.

This represents a truly fair and equitable way of hiring, training, and evaluating personnel. Together with regular staff meetings, improved communication, and the use of vertical job loading, this approach can make for a radically different and improved workplace. It signals an organization where "humane" signifies a total approach rather than just referring to our treatment of the animals in our care.

Helpful Websites

These websites are useful places to find information for solving Human Resources issues:

www.mapfornonprofits.com
www.hrtools.com
www.shrm.org
www.bls.gov
www.eeoc.gov
www.osha.gov
www.janwvu.edu
www.hhs.gov
www.uscis.gov
www.benefitslink.com

www.msec.org
www.hr-guide.com
www.workforceonline.com
www.hrprosgateway.com/www/index2.cfm

For help with employee handbooks/manuals:

www.ceoexpress.com
www.fedsstats.gov
www.50states.com
www.policiesnow.com

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O'Connell, Brian, *The Board Member's Book*, New York: The Foundation Center, 1985.

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Application for Employment

An Equal Opportunity Employer

We do not discriminate on the basis of race, color, religion, national origin, sex, age, disability, or any other status protected by law or regulation. It is our intention that all qualified applicants be given equal opportunity and that selection decisions be based on job-related factors.

Answer each question fully and accurately. No action can be taken on this application until you have answered all questions. Use blank paper if you do not have enough room on this application. **PLEASE PRINT**, except for signature on back of application. In reading and answering the following questions, be aware that none of the questions are intended to imply illegal preferences or discrimination based upon non-job-related information.

Job Applied For: _____ Today's Date: _____

Are you seeking: ☐ FULL-TIME ☐ PART-TIME ☐ TEMPORARY EMPLOYMENT

When could you start work? _____

NAME: Last: _____ First: _____ Middle: _____

MAIDEN NAME (If applicable) _____ Phone: _____

Present Street Address: _____

City: _____ State: _____ Zip Code: _____

Are you 18 years of age or older? ☐ YES ☐ NO (If you are hired, you may be required to submit proof of age.)

Social Security Number (optional): _____

If hired, can you furnish proof you are eligible to work in the U.S.? ☐ YES ☐ NO

Have you ever applied here before? ☐ YES ☐ NO   If yes, when? _____

Were you ever employed here?   ☐ YES ☐ NO   If yes, when? _____

Have you ever been convicted of any law violation? (Include any plea of "guilty" or "no contest." Exclude minor traffic violations.)   ☐ YES ☐ NO

If yes, give details: _____
(A conviction will not necessarily disqualify an applicant for employment.)

If employed, do you expect to be engaged in any additional business or employment outside of your job?
☐ YES ☐ NO   If yes, please explain: _____

Education	Number of Years Completed	Diploma/ Degree Certificate
List name and address of Schools: High School or GED:_____		
College or University: _____ Subjects Studied: _____ _____ _____		
Vocational or Technical: _____ Subjects Studied: _____ _____ _____		

Special Skills

What skills or additional training do you have that are related to the job for which you are applying?

_____

_____

_____

What machines or equipment can you operate that are related to the job for which you are applying?

_____

Do you have a valid driver's license? ☐ YES ☐ NO

Driver's License Number: _____ Class of License: _____ State License In: _____

Have you had your driver's license suspended or revoked in the last 3 years? ☐ YES ☐ NO

If yes, give details: _____

List professional, trade, business, or civic activities and offices held. (Exclude labor organizations and memberships which reveal race, color, religion, national origin, sex, age, disability, or other protected status.)

_____

_____

_____

Application for Employment   **American Humane Association**

Work History

List names of employers in consecutive order with present or last employer listed first. Account for all periods of time including military service and any periods of unemployment. If self-employed, give firm name and supply business references.

Note: A job offer may be contingent upon acceptable references from current and former employers.

Name of Employer: _____ Supervisor:_____

Address: _____ Employed: _____

City, State, Zip: _____ From:(mo/yr)_____/ _____To:(mo/yr)_____/ __

Telephone:_____ Pay: Start $_____ Final $_____

Title:_____ Reason For Leaving: _____

Duties:_____

_____

Name of Employer: _____ Supervisor:_____

Address: _____ Employed: _____

City, State, Zip: _____ From:(mo/yr)_____/ _____To:(mo/yr)_____/ __

Telephone:_____ Pay: Start $_____ Final $_____

Title:_____ Reason For Leaving: _____

Duties: _____

_____

Name of Employer: _____ Supervisor:_____

Address: _____ Employed: _____

City, State, Zip: _____ From:(mo/yr)_____/ _____To:(mo/yr)_____/ __

Telephone:_____ Pay: Start $_____ Final $_____

Title:_____ Reason For Leaving: _____

Duties:_____

_____

Name of Employer:_____Supervisor:

Address: _____ Employed: _____

City, State, Zip: _____ From:(mo/yr)_____/ _____To:(mo/yr)_____/ __

Telephone:_____ Pay: Start $_____ Final $_____

Title:_____ Reason For Leaving: _____

Duties:_____

_____

References

Have you worked or attended school under any other names? ☐ YES ☐ NO

If yes, give names:

Are you presently employed? ☐ YES ☐ NO

If yes, whom do you suggest we contact? _____

Have you ever been fired from a job or asked to resign? ☐ YES ☐ NO

If yes, please explain: _____

Give three references, not relatives or former employers:

NAME ADDRESS PHONE

_____

_____

_____

AFFIDAVIT, CONSENT, AND RELEASE

PLEASE READ EACH STATEMENT CAREFULLY BEFORE SIGNING.

I certify that all information provided in this employment application is true and complete. I understand that any false information or omission may disqualify me from further consideration for employment and may result in my dismissal if discovered at a later date.

I authorize the investigation of any or all statements contained in this application. I also authorize, whether listed or not, any person, school, current employer, past employers, and organizations to provide relevant information and opinions that may be useful in making a hiring decision. I release such persons and organizations from any legal liability in making such statements.

I understand I may be required to successfully pass a drug screening examination. I hereby consent to a pre- and/or post-employment drug screen as a condition of employment, if required. I understand that if I am extended an offer of employment it may be conditioned upon my successfully passing a complete pre-employment physical examination. I consent to the release of any or all medical information as may be deemed necessary to judge my capability to do the work for which I am applying.

I understand that this application, verbal statements by management, or subsequent employment does not create an express or implied contract of employment nor guarantee employment for any definite period of time. Only the president of the organization has the authority to enter into an agreement of employment for any specified period, and such agreement must be in writing, signed by the president and the employee. If employed, I understand that I have been hired at the will of the employer and my employment may be terminated at any time, with or without reason and with or without notice.

I have read, understood, and by my signature consent to these statements.

_____   _____
Signature of Employee   Date

INSTRUCTIONS
PLEASE READ ALL INSTRUCTIONS CAREFULLY BEFORE COMPLETING THIS FORM.

Anti-Discrimination Notice. It is illegal to discriminate against any individual (other than an alien not authorized to work in the U.S.) in hiring, discharging, or recruiting or referring for a fee because of that individual's national origin or citizenship status. It is illegal to discriminate against work eligible individuals. Employers **CANNOT** specify which document(s) they will accept from an employee. The refusal to hire an individual because of a future expiration date may also constitute illegal discrimination.

Section 1- Employee.
All employees, citizens and noncitizens, hired after November 6, 1986, must complete Section 1 of this form at the time of hire, which is the actual beginning of employment. **The employer is responsible for ensuring that Section 1 is timely and properly completed.**

Preparer/Translator Certification. The Preparer/Translator Certification must be completed if Section 1 is prepared by a person other than the employee. A preparer/translator may be used only when the employee is unable to complete Section 1 on his/her own. However, the employee must still sign Section 1 personally.

Section 2 - Employer.
For the purpose of completing this form, the term "employer" includes those recruiters and referrers for a fee who are agricultural associations, agricultural employers or farm labor contractors.

Employers must complete Section 2 by examining evidence of identity and employment eligibility within three (3) business days of the date employment begins. If employees are authorized to work, but are unable to present the required document(s) within three business days, they must present a receipt for the application of the document(s) within three business days and the actual document(s) within ninety (90) days. However, if employers hire individuals for a duration of less than three business days, Section 2 must be completed at the time employment begins. **Employers must record: 1)** document title; **2)** issuing authority; **3)** document number, **4)** expiration date, if any; and **5)** the date employment begins. Employers must sign and date the certification. Employees must present original documents. Employers may, but are not required to, photocopy the document(s) presented. These photocopies may only be used for the verification process and must be retained with the I-9. **However, employers are still responsible for completing the I-9.**

Section 3 - Updating and Reverification.
Employers must complete Section 3 when updating and/or reverifying the I-9. Employers must reverify employment eligibility of their employees on or before the expiration date recorded in Section 1. Employers **CANNOT** specify which document(s) they will accept from an employee.

- If an employee's name has changed at the time this form is being updated/reverified, complete Block A.

- If an employee is rehired within three (3) years of the date this form was originally completed and the employee is still eligible to be employed on the same basis as previously indicated on this form (updating), complete Block B and the signature block.

- If an employee is rehired within three (3) years of the date this form was originally completed and the employee's work authorization has expired **or** if a current employee's work authorization is about to expire (reverification), complete Block B and:

- examine any document that reflects that the employee is authorized to work in the U.S. (see List A **or** C),

- record the document title, document number and expiration date (if any) in Block C, and

- complete the signature block.

Photocopying and Retaining Form I-9. A blank I-9 may be reproduced, provided both sides are copied. The Instructions must be available to all employees completing this form. Employers must retain completed I-9s for three (3) years after the date of hire or one (1) year after the date employment ends, whichever is later.

For more detailed information, you may refer to the Department of Homeland Security (DHS) Handbook for Employers, (Form M-274). You may obtain the handbook at your local U.S. Citizenship and Immigration Services (USCIS) office.

Privacy Act Notice. The authority for collecting this information is the Immigration Reform and Control Act of 1986, Pub. L. 99-603 (8 USC 1324a).

This information is for employers to verify the eligibility of individuals for employment to preclude the unlawful hiring, or recruiting or referring for a fee, of aliens who are not authorized to work in the United States.

This information will be used by employers as a record of their basis for determining eligibility of an employee to work in the United States. The form will be kept by the employer and made available for inspection by officials of the U.S. Immigration and Customs Enforcement, Department of Labor and Office of Special Counsel for Immigration Related Unfair Employment Practices.

Submission of the information required in this form is voluntary. However, an individual may not begin employment unless this form is completed, since employers are subject to civil or criminal penalties if they do not comply with the Immigration Reform and Control Act of 1986.

Reporting Burden. We try to create forms and instructions that are accurate, can be easily understood and which impose the least possible burden on you to provide us with information. Often this is difficult because some immigration laws are very complex. Accordingly, the reporting burden for this collection of information is computed as follows: **1)** learning about this form, 5 minutes; **2)** completing the form, 5 minutes; and **3)** assembling and filing (recordkeeping) the form, 5 minutes, for an average of 15 minutes per response. If you have comments regarding the accuracy of this burden estimate, or suggestions for making this form simpler, you can write to U.S. Citizenship and Immigration Services, Regulatory Management Division, 111 Massachuetts Avenue, N.W., Washington, DC 20529. OMB No. 1615-0047.

NOTE: This is the 1991 edition of the Form I-9 that has been rebranded with a current printing date to reflect the recent transition from the INS to DHS and its components.

Please read instructions carefully before completing this form. The instructions must be available during completion of this form. ANTI-DISCRIMINATION NOTICE: It is illegal to discriminate against work eligible individuals. Employers CANNOT specify which document(s) they will accept from an employee. The refusal to hire an individual because of a future expiration date may also constitute illegal discrimination.

Section 1. Employee Information and Verification. To be completed and signed by employee at the time employment begins.

Print Name: Last	First	Middle Initial	Maiden Name

Address (Street Name and Number)	Apt. #	Date of Birth (month/day/year)

City	State	Zip Code	Social Security #

I am aware that federal law provides for imprisonment and/or fines for false statements or use of false documents in connection with the completion of this form.

I attest, under penalty of perjury, that I am (check one of the following):

☐ A citizen or national of the United States
☐ A Lawful Permanent Resident (Alien #) A _____
☐ An alien authorized to work until ___/___/___
(Alien # or Admission #) _____

Employee's Signature	Date (month/day/year)

Preparer and/or Translator Certification. *(To be completed and signed if Section 1 is prepared by a person other than the employee.) I attest, under penalty of perjury, that I have assisted in the completion of this form and that to the best of my knowledge the information is true and correct.*

Preparer's/Translator's Signature	Print Name

Address (Street Name and Number, City, State, Zip Code)	Date (month/day/year)

Section 2. Employer Review and Verification. To be completed and signed by employer. Examine one document from List A OR examine one document from List B and one from List C, as listed on the reverse of this form, and record the title, number and expiration date, if any, of the document(s).

List A	**OR**	**List B**	**AND**	**List C**

Document title: _____   _____   _____
Issuing authority: _____   _____   _____
Document #: _____   _____   _____
Expiration Date (if any): ___/___/___   ___/___   ___/___
Document #: _____
Expiration Date (if any): ___/___/___

CERTIFICATION - I attest, under penalty of perjury, that I have examined the document(s) presented by the above-named employee, that the above-listed document(s) appear to be genuine and to relate to the employee named, that the employee began employment on (month/day/year) ___/___/___ **and that to the best of my knowledge the employee is eligible to work in the United States. (State employment agencies may omit the date the employee began employment.)**

Signature of Employer or Authorized Representative	Print Name	Title

Business or Organization Name	Address (Street Name and Number, City, State, Zip Code)	Date (month/day/year)

Section 3. Updating and Reverification. To be completed and signed by employer.

A. New Name (if applicable)	B. Date of rehire (month/day/year) (if applicable)

C. If employee's previous grant of work authorization has expired, provide the information below for the document that establishes current employment eligibility.

Document Title: _____   Document #: _____   Expiration Date (if any): ___/___/___

I attest, under penalty of perjury, that to the best of my knowledge, this employee is eligible to work in the United States, and if the employee presented document(s), the document(s) I have examined appear to be genuine and to relate to the individual.

Signature of Employer or Authorized Representative	Date (month/day/year)

NOTE: This is the 1991 edition of the Form I-9 that has been rebranded with a current printing date to reflect the recent transition from the INS to DHS and its components.

Form I-9 (Rev. 05/31/05)Y Page 2

LISTS OF ACCEPTABLE DOCUMENTS

LIST A		LIST B		LIST C
Documents that Establish Both Identity and Employment Eligibility	**OR**	**Documents that Establish Identity**	**AND**	**Documents that Establish Employment Eligibility**

LIST A

Documents that Establish Both Identity and Employment Eligibility

1. U.S. Passport (unexpired or expired)

2. Certificate of U.S. Citizenship *(Form N-560 or N-561)*

3. Certificate of Naturalization *(Form N-550 or N-570)*

4. Unexpired foreign passport, with *I-551 stamp or* attached *Form I-94* indicating unexpired employment authorization

5. Permanent Resident Card or Alien Registration Receipt Card with photograph *(Form I-151 or I-551)*

6. Unexpired Temporary Resident Card *(Form I-688)*

7. Unexpired Employment Authorization Card *(Form I-688A)*

8. Unexpired Reentry Permit *(Form I-327)*

9. Unexpired Refugee Travel Document *(Form I-571)*

10. Unexpired Employment Authorization Document issued by DHS that contains a photograph *(Form I-688B)*

OR

LIST B

Documents that Establish Identity

1. Driver's license or ID card issued by a state or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address

2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address

3. School ID card with a photograph

4. Voter's registration card

5. U.S. Military card or draft record

6. Military dependent's ID card

7. U.S. Coast Guard Merchant Mariner Card

8. Native American tribal document

9. Driver's license issued by a Canadian government authority

For persons under age 18 who are unable to present a document listed above:

10. School record or report card

11. Clinic, doctor or hospital record

12. Day-care or nursery school record

AND

LIST C

Documents that Establish Employment Eligibility

1. U.S. social security card issued by the Social Security Administration *(other than a card stating it is not valid for employment)*

2. Certification of Birth Abroad issued by the Department of State *(Form FS-545 or Form DS-1350)*

3. Original or certified copy of a birth certificate issued by a state, county, municipal authority or outlying possession of the United States bearing an official seal

4. Native American tribal document

5. U.S. Citizen ID Card *(Form I-197)*

6. ID Card for use of Resident Citizen in the United States *(Form I-179)*

7. Unexpired employment authorization document issued by DHS *(other than those listed under List A)*

Illustrations of many of these documents appear in Part 8 of the Handbook for Employers (M-274)

SAMPLE EVALUATION SHEET

NAME: _____

JOB TITLE: _____

SUPERVISOR: _____

Review Schedule:
    ❏ 1 month   ❏ 3 month   ❏ 6 month   ❏ Annual

Date of last review: _____ Date of this review: _____

	Exceeds Expectations	Meets Expectations	Needs Improvement
List tasks/values listed in job description:			
1. _____	❏	❏	❏
2. _____	❏	❏	❏
3. _____	❏	❏	❏
4. _____	❏	❏	❏
5. _____	❏	❏	❏
6. _____	❏	❏	❏
7. _____	❏	❏	❏
8. _____	❏	❏	❏
9. _____	❏	❏	❏
10. _____	❏	❏	❏
11. _____	❏	❏	❏
12. _____	❏	❏	❏
Factors/comments drawn from the Employee Handbook (attendance, tardiness, etc.)			
13. _____	❏	❏	❏