Minnesota Department of Natural Resources

FY16-17 Shared Services
Service Level Agreement
between the

Operations Services Division and the
Commissioner of Natural Resources

Services Include: Communications and Outreach; Facilities; Fleet; Human Resources; Internal Audit, Management and Budget Services; Materials Management; Planning; and Safety

Services Provided to: Department of Natural Resources

Executed By:

Tom Landwehr /s/ 3/10/16
Laurie Martinson /s/ 3/9/16

Tom Landwehr
Commissioner of Natural Resources

Laurie Martinson
Operations Services Division Director

Fully executed copies of this agreement are kept on file with the Operation Services Division
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Service Level Agreement

This Service Level Agreement (SLA) covers the Commissioner of Natural Resources’ “commissioner” delegation of obligations for services provided by the Operation Services Division (OSD). It covers the service delivery for fiscal years 2016-17 and is consistent with Operational Order No. 122 – Shared Services Governance Framework (“Operational Order 122”).

Purpose

The purpose of this Service Level Agreement (SLA) is to describe the working relationship between those providing and those using the services as set forth in Operational Order 122. It outlines how products and services will be paid for and includes ways to measure service effectiveness. This SLA will:

- Outline services provided and describe working assumptions between OSD and its customers;
- Establish service level expectations;
- Describe the methods used to measure the quality of service provided;
- Define mutual requirements and expectations for services and overall performance;
- Strengthen communications between shared service providers and its customers.

DNR Mission

We will work with citizens to conserve and manage the state’s natural resources, to provide outdoor recreation opportunities, and to provide for commercial uses of natural resources in a way that creates a sustainable quality of life.

Conservation Agenda: DNR’s 10-Year Strategic Plan, 2015-2025

Goal 4: The DNR demonstrates operational excellence and continuous improvements in service to its citizens.

Terms of Agreement

This agreement commences on July 1, 2015 and expires June 30, 2017.

Core Hours of Operations

OSD’s reception areas are staffed between the core hours of 8:00 am to 4:30 pm, Monday-Friday, with the exception of approved holidays. Core working hours may be adjusted due to system/power outages, emergency situations, or disaster.

Costs

The commissioner maintains executive decision-making responsibilities for shared services. The Shared Services Governance Board (“Board”) sets services, funding levels and the allocation of costs. Services levels and costs are based on the services the divisions need to deliver natural resources results. Divisions determine the funding sources so that fund integrity is maintained.
For all areas of shared services, “extraordinary” costs are managed as exceptions. Assessments to the units that incur the extraordinary costs reflect all costs incurred to provide the service. At times, single events or unanticipated economic conditions may affect the OSD’s ability to provide needed services. The Board maintains a fund balance in the shared services account to assure that there is a sufficient fund balance to minimize the impact to these events.

Shared services provided to DNR under this SLA are paid for across all units on a fee for service basis and are administered through Service Level Agreements (SLAs). OSD will prepare semi-annual invoices for the divisions based on the rates set by the Board and approved by the commissioner. Fleet, facilities, equipment (radios and computers), and professional services are billed separately.

The total cost of shared services work performed under this agreement is described in Exhibit A and as incorporated into this SLA. This amount is based on the approved shared services rate model, Board recommended and commissioner approved initiatives, School Trust support, interagency services, credits, direct and necessary billings, and other such services.

Rates
Shared services costs are determined by a series of rates based on service use and cost drivers. Rates and costs, with the exception of professional services rates, are reviewed annually by the Board. Descriptions of each rate model are described in Exhibit A and incorporated into this SLA. The cost allocation and estimated costs for these services is incorporated into the DNR’s annual spending plan process and are posted in the DNR’s intranet.

- Facilities, fleet, radios and computing equipment fleet (CEF) rates are charged on a unique cost per unit or rate basis. These services are used or consumed on a regular basis.

- The shared services rate structure for safety, internal audit, human resources, planning, materials management, financial management, and communications is tied to the cost-drivers of budget and FTEs, which indicate overall volume of work, staffing support and operational complexity respectively. The variables show a high correlation to actual cost of service and are sensitive to changes in inputs managed by the divisions.

- Contract or project services are tied to specific division initiatives and are provided through supplemental SLAs between OSD and the requesting division. Contract services or project services costs are allocated on a time and materials basis.

- DNR’s professional services rates are applied when OSD professional staff performs work on specific division initiatives and requests.
Supplemental Work and Initiatives

The Board may recommend, and the commissioner may approve, additional funding for OSD to provide supplemental work on initiatives (new or expanded services that lie outside of the scope of the SLA). New initiatives trend toward projects of shorter duration, scoping projects, and discrete services which are supplemental to the SLA. This funding generally comes from the shared services corpus and may not result in a direct billing to the divisions during the SLA term. Exhibit C describes the nature of these services which are incorporated into this SLA for FY16-17.

Authorized Representatives

Operations Services Division (OSD) Authorized Representatives, or his/her successor(s), are:

• Barb Juelich, Chief Financial Officer
• Denise Legato, Human Resources Director
• Kent Lokkesmoe, Capital Investments Director
• Laurie Martinson, Operations Services Director
• Chris Niskanen, Communications Director
• Olin Phillips, Deputy Director
• Katie Shea, Internal Audit Manager

General questions about this SLA may be directed to Marcia Honold, Acting Assistant Operations Section Manager, OSD.

Obligations

Implementation Obligations

Through this SLA, the commissioner assigns responsibility to support OSD to provide services at a specific level. OSD has the authority to expend funds collected under this SLA. OSD agrees to provide the delegated service at that level and is obliged to develop the supporting management and service delivery systems. These include, but are not limited to effective communications, tracking performance against standards, and corrective action as appropriate.

Compliance

Through this SLA, the commissioner assigns division directors the duty to comply with the responsibilities detailed in the SLA. These responsibilities are designed to ensure efficient and effective provision of support services. They include, but are not limited to, responsibilities such as providing priorities, providing sufficient lead time, proper completion of request forms, and establishing reasonable deadlines.

Service Constraints

• Conformance Requirements – OSD policy changes and/or federal or state regulations may alter procedures and service delivery timeframes.
• Dependencies – Achievement of the service level commitment is dependent upon customer compliance with the policies and procedures of OSD.
• **Service Demands** – Changes in workload caused by natural disasters, or man-made acts such as power outages, system unavailability or system response time may result in temporary reduction of services or the types of services that are offered.

• **Staffing Constraints** – OSD will prioritize service delivery based on staffing capacity and availability in consultation with agency leadership.

### Periodic Reviews

The OSD Director and the Board will review of the performance of the SLA against agreed-upon service level expectations annually or more often if needed. The scope of the reviews may include a review of:

- Business needs
- Scope, quality and cost of shared services
- Cost control, both from the OSD and Board perspective
- Progress reports on SLA goals and services.

OSD evaluates customer satisfaction through surveys and may use the results as a basis for changes to this agreement.

### Service Provision

OSD currently provides services in the areas of assets, finance and planning, information and workforce services. A description of the service area, including programmatic goals, scope of services and service goals, customer requirements, key performance measures is included in Exhibit B and incorporated into this SLA. Services are described as follows:

- **Appendix A: Assets**
  - Services provided include the management of DNR’s capital assets including fleet and buildings; asset management; and procurement of equipment, goods and services’ needs.

- **Appendix B: Finance and Planning**
  - Services provided include budget and financial analysis; business operations; internal audit; and policy and planning services (including: management and planning services; data and performance management services; and policy and government relations services).

- **Appendix C: Information**
  - Services provided facilitate the strategic management and use of data and information, as well as develop technology solutions that increase agency communications and transparency. Services include strategic, effective, and efficient media relations, and public outreach and communication services to DNR divisions and to the offices of the commissioner.

- **Appendix D: Workforce**
  - Services provided are designed to hire the best staff; increase diversity; train and develop
our employees; and keep our employees safe.

**Service Level Agreement Maintenance**

This agreement will be reviewed on an ongoing basis and updated as needed. Service, rate, and cost revisions may become necessary due to changing service needs, modifications to existing services, addition of services, or significant variations from agreed upon service levels. Amendments to this SLA will be reviewed by the Board and approved in writing by the commissioner and OSD director.
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Exhibit A – Rates and Billing

Costs for services are charged through one of four established rate structures: Shared Services; Fleet; Facilities and Professional Services. Division billings for FY16 Shared Services, Fleet and Facilities are described in Exhibit C and are posted on the intranet. Professional Services are billed separately.

FY16 Shared Services Rates:
The FY16 Shared Services budget is $15.283 million, plus an estimated $465,000 in Direct and Necessary billings. It is a two-year biennial budget and is managed similar to other DNR divisions. During the second year of the biennium, allocations will be updated to reflect supplemental budget changes and to update FTEs. This represents 3.94% of the allocation model budget. This amount does not include other services which OSD bills separately to divisions or outside agencies. Unless amended by the Board, this percent will be used to establish future budgets for Shared Services.

Rate and Allocation Methodology

1. The shared services budget is calculated set at 3.94% of the agency’s budget (less excluded funds) plus the direct and necessary revenues from projects funded with the Outdoor Heritage and Environmental and Natural Resource Trust Funds. The budget is calculated for each year of the biennium and is adjusted for supplemental budget changes. This allows shared services to grow and contract with the agency’s overall budget.

2. Operations Services Division manages the shared services budget and has the authority to carry-forward unexpended funds from the first fiscal year into the second fiscal year of the biennium. At the end of the biennium, unexpended dollars revert to the shared services corpus unless otherwise directed by the Board and commissioner.

3. The shared service’s budget shall be allocated based on the following:
   a. 30% allocated based on FTEs per program area over total FTEs
   b. 70% allocation based on program area budget over total budget

4. The FTE count will be based on a 12 month count from March to March of the year prior to the budget year being allocated. Program budgets used for the allocation will be updated annually based on legislatively enacted biennial and supplemental budgets.

5. Allocations to divisions will be offset by the federal indirect costs revenue.

6. The Fish and Wildlife allocation is adjusted by $90,000 to include funding of OSD positions for that provide services for the Game and Fish Fund Report and the Budget Oversight Committee for the Game and Fish Fund.
7. The board may approve credits to the allocation that will be applied based on the board's recommended method (i.e., prior year's allocation).

8. The budget may be adjusted when additional services are added to the shared services portfolio or a different level of effort is requested. All adjustments must be approved by the commissioner based on recommendations from the Shared Services Governance Board. One-time adjustments and separation costs may be paid from the shared services corpus.

**Fleet Rates**

Fleet rates: all costs in this area are billed to customers based on their use of the equipment. Charges for the fleet and shops are based on a rate or rate formula. Rates are applied monthly on customer usage, a “pay-as-you-go” system. Rates are set annually by reviewing key assumptions relative to use and cost parameters.

**Fleet Rate Methodology**

Fleet Rate = Capital Cost + Fuel + Maintenance/Repair + Insurance/Tax/License + Administration – Salvage Value

**Radio Rate Methodology**

Radio Equipment Fleet Program rates are set by calculating replacement costs of individual pieces of equipment amortized over the expected 12 years lifespan of the item. The actual rate per radio charged to a Division on a quarterly basis is based on the radios acquisition cost amortized over its life-cycle and the radio fleet program administrative costs. This generalized radio rate includes equipment costs, the MNDOT purchase order to cover FCC costs (Approximately $250K - $300K per year), asset management, tower lease payments, and program administration costs.

Radio Rate = Capital Cost + Maintenance / Repair Cost + Administration

**Computer Equipment Fleet (CEF) Methodology**

The CEF rate estimates are based on the current replacement costs and schedule of desktop/laptop computers deployed within each division, field site network hardware, and core network hardware. Field site equipment replacement costs are allocated based on the “relative work site presence: index” defined in the MN.IT @DNR Customer Cost Allocation SLA. Core network equipment replacement costs are allocated based on a combination of the “network services” and “enterprise application support” indexes as defined in the MN.IT SLA.

**Facilities Rates**

**Maintenance Rate Methodology**

The Maintenance Services Fee (for existing buildings) is based on the amount and type of space occupied by each division.
1. Base formula for the Maintenance Fee charged to each Division is Maintenance Fee = Replacement Value per Square Foot \times Division Square Feet \times Maintenance Rate.

2. Replacement Value includes both the cost to replace a building using current dollars and an additional 20% of the replacement value increase for building that are historic.

3. The FY16 Maintenance Rate is $.0068 per square foot. The square foot is the sum of the amount of square feet in buildings occupied by a division. The amount of square feet occupied by a division in buildings shared with other division is the total amount of square feet assigned to a division. The square feet figures for space in shared offices are the same as used in the Indirect Cost Plan.

**Technical Assistance and Feasibility Rate Methodology**

This rate is based on a four year rolling average of use. It uses an allocation of 80% of the total based on the amounts billed for the previous fiscal year and 20% based on the total square feet occupied in both owned and leased buildings as the index.

The Technical Assistance and Feasibility base formula is:

\[
TA \& Feas_{Div} = \frac{Div \text{ 4 yr rolling avg use}}{DNR \text{ Tot 4 yr rolling avg use}} \cdot (.80(\$1.047M)) = 80\% FEAS \& TA
\]

\[
\text{Plus}
\]

\[
Div \% \text{ share of overall building square footage occupied by a division for all leased and owned spaces} \cdot (.20(\$1.047M)) - 20\% Feas \& TA
\]

i. Both are billed annually at the start of the fiscal year.

**Professional Services Rates**

OSD may charge an hourly rate for services requested that are above and beyond the capacity or typical scope of work at the discretion of the Authorized Representatives. The hourly rate for services is billed at the professional services rates approved by the DNR’s deputy commissioner and are posted on the DNR intranet.
Exhibit B – Description of Shared Services

Appendix A: Assets ………………………………………………………………………………….. Page 13
Services provided include the management of DNR’s capital assets, including fleet and buildings; asset management; and procurement of equipment, goods and services’ needs.

Appendix B: Finance and Planning ………………………………………………………… Page 19
Services provided include budget and financial analysis; business operations; internal audit; and policy and planning services (including: management and planning services; data and performance management services; and policy and government relations services).

Appendix C: Information …………………………………………………………………… Page 31
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Appendix D: Workforce ………………………………………………………………………Page 37
Services provided are designed to hire the best staff; increase diversity; train and develop our employees; and keep our employees safe.
Appendix A - Assets

This FY 2016-17 Service Level Agreement reflects OSD’s commitment to manage DNR’s assets including materials, fleet, buildings and infrastructure with a current replacement value of approximately $2.8 billion. The DNR’s asset program ensures that department goods and service needs are met during the lifecycle an asset.

We facilitate timely and effective services starting at procurement through to divestiture, thereby minimizing customer’s workload. We also ensure assets are safe, accessible, promote sustainability, and support the work of the DNR. DNR asset management services under this SLA will:

a. Acquire approximately $100 million worth of material assets each biennium.
b. Coordinate inventory, policy and reporting for all 20,000+ assets including oversight of computer equipment fleet and radios.
c. Provide construction, maintenance, renewal and replacement services as well as occupancy and leasing services for over 2,700 buildings.
d. Provide planning, management and operations for fleet equipment for approximately 5,000 items.
e. Establish policies and procedures for the acquisition, management, and distribution of all assets.

Service delivery is prioritized by the Governor’s Office, Commissioner’s Office, division directors and regional directors based on the OSD work plan, biennial budget, Conservation Agenda and other agency plans and priorities.

Scope of Services

I Core Services

Technical Assistance
1. Provide technical assistance, advice and guidance to all customers.

Procurement
1. Provide specification development and consultation
2. Provide strategic sourcing and vendor qualification
3. Facilitate contract administration

Materials Management
1. Materials Management
a. Develop policy and process for managing assets
b. Conduct annual inventory of asset assignments (location and condition)

2. Computer Equipment Fleet and Radios
   a. Oversee budget and spending plan
   b. Oversee MN.IT annual inventory of asset assignments (location and condition)

**Facilities: Buildings and Infrastructure**

1. Provide maintenance and operation
   a. Coordinate annual facilities maintenance budget and plan
   b. Provide planning, design, construction administration, and demolition services
   c. Assess maintenance needs, options, alternatives and cost estimating
   d. Coordinate service contracts (i.e., recycling, trash removal, elevator, security systems, mechanical, mowing, snow removal)
2. Provide occupancy, space planning and leasing services including DNR residences
3. Provide environmental assessment and remediation project management (i.e., energy audits, indoor air quality testing, hazardous material testing and abatement)
4. Perform accessibility and code reviews
5. Contract Administration
   a. Assist DNR units in drafting contracts by ensuring construction, biddable services and professional and technical contracts meet statutory and best business practice standards
6. Consult with division decision-makers regularly to understand on-going project priorities and obtain approval for individual projects

**Fleet**

1. Plan and manage Fleet
2. Administer Fleet equipment operations (i.e., fuel, insurance, maintenance/repair, operator training options, etc.)

**II Specialty Services**

**Procurement**

1. Provide operations purchasing (i.e., commodities, including assets and sensitive items)
2. Provide centralized bulk procurement processing including uniform, signage, special equipment and bulk commodity purchasing
3. Oversee warehouse operations
4. Coordinate IT procurement with MN.IT

**Materials Management**

1. Materials Inventory Management
a. Tracking, reporting and auditing  
b. Reuse, recycle and disposal of assets  

2. Computer Equipment Fleet and Radio Inventory Management  
a. Tracking, reporting and auditing  
b. Reuse, recycle and disposal of assets  

Facilities: Buildings and Infrastructure  
1. Respond to emergencies (i.e., system failures, storm damage, etc.)  

Fleet  
1. Coordinate commercial drivers’ licenses verification  
2. Respond to emergencies (i.e., fleet and equipment mobilization)  

III Leadership Services  

Procurement  
1. Develop, implement and administer procurement policies and procedures  
2. Develop training and operation guidance documents  
3. Support agency initiatives  
4. Represent DNR management on statewide initiatives  

Facilities: Buildings and Infrastructure  
1. Provide database management – maintain statewide Archibus database with building information and Project Web Access with active project information  
2. Assess proposed land acquisitions with existing buildings  
3. Conduct annual Report-to-Work Employee Location survey sent to all DNR supervisors  
4. Provide guidance to site coordinators  
5. Prepare governor’s bonding proposal for DNR’s Asset Preservation Capital Budget  
6. Manage the department’s bonding expenditures  
7. Facilitate the Facilities Committee  

Fleet  
1. Facilitate the Fleet Committee  

IV Fee-Based Services (supplemental to the SLA)  
Fee-based Services are services which are supplemental to the SLA but may be accessed through professional services.
Purchasing
1. Services purchased under a Service Level Agreement or Requisition for Services between OSD and regions/divisions.

Facilities: Buildings and Infrastructure
1. Requisition for professional services on DNR capital assets are submitted to MR for the following:
   a. Provide feasibility and technical services
   b. Provide design and construction administration requiring design by professionals licensed in the State of Minnesota
   c. Manage occupancy and space projects

Fleet
1. Respond to requisition for services/work orders
2. Provide up-fit and adapt equipment as necessary for unique program/division needs (boats, etc.)

V Customer Requirements
For OSD to successfully meet customer expectations, DNR managers are obligated to adhere to division and department policy, procedures and standards.

Procurement
1. Provide required documentation and detailed specifications.
2. Ensure approvals are in place and budgets support the intended acquisition.
3. Allow ample time to process requisition, revise or write specifications, advertise and make award(s). Time processing requirements are based on goods or services being requested (i.e., bidding of conferences may require up to six months for processing while simple commodities >$10K require a 14 day bid period).
4. Attend basic and refresher purchasing training.
5. Communicate procedures for acquiring goods and services.
6. Receive goods and services, properly handling packing slips, reviewing and recording serial numbers and affixing state property ID tags before approving payment.

Materials Management
1. Be accountable for assets and sensitive items assigned to a location.
2. Track temporary and permanent reassignments, and inform regional MR of changes as appropriate, including disposal.
Facilities: Buildings and Infrastructure

1. Identify and submit a list of division staff with the authority to make facility-related recommendations or decisions to OSD.
2. Provide clear project definitions; communicate goals and overall division priorities.
3. Assemble division project teams that will be creatively engaged from project initiation through close-out.
4. Provide timely responses to issues and requests for feedback.
5. Identify possible invasive species, natural, cultural, historical, archeological resources, issues and constraints.
6. Communicate natural resource objectives, code and department requirements, department strategies and values.
7. Practice responsible and safe building occupancy and operation (i.e. monitor conditions, report problems, seek professional assistance for repairs and renovations, provide custodial care, support the work of divisions.
8. Ensure building is used per the building occupancy codes.

Fleet

1. Ensure the disposal and disposition of assets as per policy
2. Ensure the Divisional Fleet Plan is reviewed and updated annually
3. Ensure operation of equipment consistent is within laws and policy

VI Key Performance Measures

OSD recognizes the need to provide efficient, high quality services aligned to achieve departmental priorities. Evaluation measures and metrics, stated below as Key Performance Indicators (KPIs), are designed to quantify outcomes to ensure a high level of performance. KPIs are one method by which we can measure and evaluate the effectiveness, quality and results of the section.

Procurement

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average # days from requisition to encumbrance</td>
<td>Timeliness and efficiency of procurement process</td>
</tr>
<tr>
<td>Number of P-card audits, 16As</td>
<td>Indicates level of understanding of P-card/purchasing program, need for training.</td>
</tr>
<tr>
<td>Number of POs by type, buyer, division, region</td>
<td>Represents performance and section workload.</td>
</tr>
<tr>
<td>Number of Purchasing Card Transactions</td>
<td>Represents performance and section workload.</td>
</tr>
<tr>
<td>Number of P/T Contracts</td>
<td>Represents performance and section workload.</td>
</tr>
<tr>
<td>Number of Commissioners Bids</td>
<td>Represents performance and section workload.</td>
</tr>
</tbody>
</table>
### Materials Management

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of missing inventory items as compared to previous years</td>
<td>Accurate accounting of assets.</td>
</tr>
<tr>
<td>Days to complete inventory as compared to previous years</td>
<td>Represents performance and section workload.</td>
</tr>
<tr>
<td>Audit inventory accuracy.</td>
<td>Verify asset inventory results.</td>
</tr>
<tr>
<td>100% reconciliation between DNR and MN.IT CEF and Radio Inventory</td>
<td>Accurate accounting of Computer Equipment Fleet and Radio funding.</td>
</tr>
</tbody>
</table>

### Facilities: Buildings and Infrastructure

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>20% of energy on new construction will come from renewable energy sources</td>
<td>Promotes environmentally responsible and sustainable energy sourcing</td>
</tr>
<tr>
<td>90% of Facilities Maintenance Account (FMA) funds allocated to project costs</td>
<td>Directs the use for Facilities Maintenance Account to project expenses</td>
</tr>
<tr>
<td>Decrease the number of buildings with a Facility Condition Assessment of Unacceptable or Poor (1 or 2) over time</td>
<td>It is important that the condition of DNR buildings is rated as Average condition or better. This measure is related to DNR image, safety and work environment.</td>
</tr>
</tbody>
</table>

### Fleet

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of miles driven compared to number of miles planned</td>
<td>For efficient utilization, analyze use while reducing cost and unneeded equipment</td>
</tr>
<tr>
<td>Cost of DNR fleet program compared to Runzheimer cost</td>
<td>Compare DNR with the industry standard every two years</td>
</tr>
<tr>
<td>Total gallons of fuel based on usage</td>
<td>Trend analysis for improvement</td>
</tr>
<tr>
<td>Number of miles per gallon for all fleet vehicles under 14,000 GVWR</td>
<td>Trending indicator of fuel efficiency and environmental initiative compliance</td>
</tr>
<tr>
<td>Average age and average mileage of fleet vehicles</td>
<td>A condition and utilization factor of DNR fleet</td>
</tr>
<tr>
<td>Insurance pool risk</td>
<td>The goal is to obtain the lowest fleet insurance rate available</td>
</tr>
</tbody>
</table>
Appendix B – Finance & Planning

This FY 2016-17 Service Level Agreement (SLA) reflects OSD’s commitment to provide financial and planning services to the DNR. OSD strategically manages the financial resources of the department, works to uphold compliance with state law, and leads DNR’s strategic planning, government relations, and data management services.

Services provided under this SLA include budget and financial analysis, business operations, internal audit, and policy and planning services (including: management and planning services, data and performance management services, and policy and government relations services).

DNR’s finance and planning services ensures that the agency’s operations are managed to meet the business needs of the department. Examples of services provided to the agency:

- Process 60,000 transactions annually
- Maintain SWIFT security, training and reports
- Coordinate grant policy for department
- Process approximately 800 construction and service contracts and 425 grant projects biennially
- Ensure fiscal integrity for DNR funding sources
- Provide risk assessment/internal audit services to the commissioner
- Help the Commissioner’s Office plan, budget, and implement agency priorities
- Coordinate and facilitate interdisciplinary policy and planning activities
- Develop and implement data governance practices department-wide

Service delivery is prioritized by the Governor’s Office, Commissioner’s Office, division directors and regional directors based on the OSD work plan, biennial budget, Conservation Agenda, and other agency plans and priorities.

Scope of Services

I Core Services

Business Operations

1. Accounts Payable Services
   a. Provide centralized accounts payable services for the DNR
   b. Monitor and prepare monthly project payment reports
   c. Process expenditure corrections greater than $25.00

2. Revenue Processing
   a. Deposit and record all receipts and receivables

3. Contract and Grant Administration
   a. Assist DNR units in drafting contracts
b. Ensure construction, biddable services, professional and technical contract, and grants meet statutory and best business practices standards

4. Financial System Services
   a. Enter correct financial information in SWIFT and SEMA4

**Budget and Grant Administration**

1. Coordinate annual spending plan process
2. Maintain master schedule of fund availability
3. Set up new appropriations
4. Load direct appropriations
5. Process internal carry forward requests
6. Set up and maintain revenue source codes
7. Process reprogramming letters

**Internal Audit**

1. Perform reviews on a regular, on-going basis according to a strategic plan
   a. Categorize department fiscal activity into an audit population by program, division, and/or function
   b. Develop an audit strategy and an annual audit plan
   c. Conduct financial reviews of selected financial transactions to determine compliance with state, federal, and department policies and procedures
2. Conduct exit conferences, and prepare quarterly, bi-annual and annual status reports
3. Follow-up on status of prior audit recommendations and perform mitigating control reviews.
   a. Prepare corrective action plans
   b. Provide periodic updates to senior leaders
   c. Assist and recommend strategies for making corrective improvements
4. Provide annual code of conduct training
5. Complete MMB internal control self-assessment

**II Specialty Services**

**Business Operations**

1. Financial Analysis, Monitoring and Reporting Services
   a. Analyze fiscal activities across all DNR programs
   b. Provide standard and customizes financial reports
   c. Conduct detailed analysis to allocate costs for annual spending plan development
2. Purchasing Card Administration and Management Services
   a. Issue, cancel, suspend and manage purchasing/travel cards
3. Financial System Services
   a. Provide and maintain secure access to SWIFT and WIRES
b. Maintain DNR accounting structure
c. Provide expertise regarding financial systems and interfaces

**Budget and Grant Administration**

1. Biennial, Supplemental and Capital Budgets
   a. Facilitate budget development process including budget narratives, appropriation article and leadership review and decision processes
   b. Enter all data into budget system
   c. Coordinate all fiscal notes
   d. Coordinate Legislative Advisory Commission (LAC) requests
   e. Coordinate budget messaging including creation of summary documents, charts, tables and committee presentations
   f. Maintain budget website

2. Financial Reporting
   a. Prepare fund statements for the November and February forecasts, governor’s budget, end of session, and fiscal close
   b. Prepare bond proceeds cash flow report
   c. Prepare biennial departmental earnings report
   d. Complete single audit report
   e. Certify annual spending plans
   f. Coordinate Consolidated Annual Financial Reports
   g. Prepare Game and Fish annual report and Natural Resources report

3. Financial Analysis and Monitoring
   a. Monitor accounts for emerging issues, statutory compliance, accuracy of receipts, and cash flow needs
   b. Manage funding models for the lifetime license account
   c. Monitor and update professional services revolving account, monthly bond fund status report, and ITC revenue accounts as needed
   d. Participate in federal and OLA audits as needed
   e. Develop, submit and negotiate federal indirect cost rate

4. Grant Administration
   a. Provide agency wide disaster coordination
   b. Provide information and guidance around state and federal fund processes including application and implementation of grants
   c. Maintain grants fund databases
   d. Monitor federal fund transactions and sub-recipient oversight

**Policy and Planning Services**

1. Continuous Improvement
   a. Manage DNR Suggestion Box, including regular quarterly reporting back to staff
   b. Provide leadership and support of division capstone continuous improvement projects.
   c. Provide consulting services for division continuous improvement efforts
d. Training on continuous improvement: Lean 101, problem solving methods, and process improvement measurement

e. Represent DNR on interagency continuous improvement efforts

f. Provide advice on applying the DNR Project Management Framework, and assist divisions in using the Department’s contract for project management training

g. Provide support and assistance to the Project Management Community of Practice to build knowledge and skills around project organization and management across the department

2. Social Science Research and Program Evaluation Support

a. Establish department-wide social science research policies to facilitate collaboration and consistent use of social science procedures

b. Provide consultation on quantitative and qualitative research design and methods to staff across the department, including: advice on survey questions, focus group development, and other information gathering mechanisms

c. Conduct high-priority and/or short-term surveys, focus groups, or interviews depending on project scope and current staff capacity. (See fee-based section for larger projects.)

d. Translate social science information and trends into a useful context for management, planning, marketing and outreach, or other related purposes. An example of this work would be conducting outreach across the department on demographic trends in Minnesota and their implications for DNR’s work

3. Data Governance

a. Lead the Data Governance Advisory Team and Data Practices Steering Committee to develop executive oversight of priority data and information management needs

b. Develop a Data Stewardship Community of Practice and provide Data Stewardship training

c. Conduct an agency-wide data inventory to inform prioritization of data governance and stewardship activities

d. Develop and begin implementing data governance policy and best management practices

e. Test and refine data governance policies and operations through pilot projects that explore how agency data can be leveraged and managed in new ways to add value to DNR’s work

4. Energy Sustainability

a. Provide department-wide leadership on sustainability and environmental performance within DNR operations

b. Support market development for sustainable bioenergy

c. Represent DNR on interagency climate and energy policy forums and programs

d. Support Minnesota Business First Stop efforts to relocate clean energy to Minnesota

5. Records Management

a. Administer DNR’s statewide records management program, including its policies and procedures, records retention schedules, records storage, security and retrieval

b. Evaluate the business needs for an Electronic Document Management System as an effective tool for efficient and effective records management
6. **Agricultural Policy and Partnerships**
   a. Manage, develop, promote, and communicate DNR policies and programs critical to addressing priority agricultural natural resource management issues
   b. Align DNR agricultural policy development and existing programs
   c. Work with agriculture community leaders, farmers, and public agencies to strengthen the agency’s conservation partnerships
   d. Track state and federal agricultural legislation and provide input on farm bill policies

7. **Tribal Coordination**
   a. Formulate, support, and enhance frameworks for managing consultation, coordination, and cooperation with Minnesota’s tribal nations
   b. Oversee tribal relations recordkeeping and document new partnership decisions and actions

8. **Water Resources Interdisciplinary Coordination** *(Explore with Commissioner’s Office, OSD leadership, and others.)*
   a. Initiate a process to provide a collaborative forum for discussing departmental water management issues
   b. Facilitate an interdisciplinary team to further define DNR’s role and responsibilities on intra- and inter-agency water issues
   c. Work may include coordinating and facilitating conversations with program leaders involved with the governor’s buffer initiative, groundwater management, One Watershed One Plan, among others

9. **Library Management**
   a. Complete the Library Services Project to provide direction for the physical space of the library and service improvements to support user needs
   b. Create and implement a plan for marketing library services and improving communications with library users
   c. Manage physical library collection as a quality asset for DNR staff and the public

### III Leadership Services

#### Management and Budget
1. Develop, implement and administer grant and financial policies and procedures
2. Develop training and operational guidance documents
3. Support agency initiatives requiring financial input, advice and consultation
4. Represent DNR management on statewide initiatives and committees, such as the Legislative-Citizen Commission on Minnesota Resources (LCCMR)

#### Internal Audit
1. Lead independent and objective assurance and consulting activities
   a. Evaluate internal controls, safeguarding of assets, compliance with department policy, and compliance with federal/state regulations
b. Assist divisions in preparing for an external or internal audit  
c. Provide risk-based approach of financial reviews designed to identify significant control deficiencies in the areas of financial, operating, compliance, and information technology

2. Develop and provide tools to directors, managers, and supervisors responsible for maintaining an effective internal control system

Policy and Planning Services

1. Strategic Planning and Facilitation
   a. Provide facilitation and coordination for priority senior management and operations managers to help them address complex natural resources issues that cross disciplinary boundaries  
   b. Provide facilitation services to support development and implementation of agency priorities, including interdisciplinary and interagency strategic planning  
   c. Provide participatory approaches to engage citizens, stakeholders, and partners toward common goals and decisions that are aligned with natural resource results. (See fee-based section for division-specific projects.)

2. Regional Planning and Coordination
   a. Provide planning assistance and implementation guidance in support of the regional director’s and the regional management team’s priorities (the principal clients)  
   b. Provide regional and statewide planning services to support interdisciplinary regional and departmental operations, ensuring that efforts are focused on high priority natural resource outcomes  
   c. Provide facilitation and support for regional strategic land asset management efforts and tribal relationships  
   d. Coordinate and integrate DNR planning efforts with local and regional government planning efforts  
   e. Ensure new or revised operational policies are clearly communicated to DNR staff in the region  
   f. Provide planning assistance for special outreach and public events

3. Policy Coordination and Management
   a. Provide integrated resource management leadership and policy support. A few examples of this work include: Strategic Land Asset Management Integration Team (SLAM), Senior Management Team (SMT), Operations Managers Team (Ops Managers), Statewide Interdisciplinary Review Service (SIRS), Game & Fish Fund Budgetary Oversight Committee, Climate and Renewable Energy Steering Team (CREST), and other priority work as required  
   b. Provide coordination and leadership in developing a legislative budget narrative that links department policies to priority strategies so that we are effective at the legislature  
   c. Develop and analyze policies that help support legislative initiatives and reporting.  
   d. Provide up-to-date internal policies, including Administrative, Operational, Commissioners, and division policies as well as Executive Orders  
   e. Communicate new and revised policies to DNR staff
f. Implement DNR’s commitment to science-based management practices by planning and hosting Science Chats on a quarterly basis

4. Legislative Services
   a. Support DNR leadership in the management and negotiation within the legislative session, ensuring effective coordination and communications so that agency objectives are met
   b. Support DNR leadership in budget and policy initiative development, decision-making, rule-making, and legislative communications
   c. Support and manage internal and external communications related to legislative activities, including products such as fact sheets, narratives, fiscal notes, bill tracking, and the legislative web page
   d. Convene and lead the legislative liaison meetings

5. Performance Management and Integration
   a. Develop a first “DNR Dashboard” as a tool to help DNR leaders track progress and make strategic course corrections in implementing DNR’s 10-year strategic plan
   b. Coordinate division level review and update of DNR’s 90+ program-level performance measures
   c. Lead the enhancement of DNR’s Outcomes Tracking System with a focus on improving agency performance on Strategic Conservation Agenda goals by enhancing data import/export tools, system interconnectivity, staff reporting tools, and public reporting websites

6. Shared Services
   a. Provide staff support to the Shared Services Governance Board and process
   b. Support the effective implementation of DNR’s shared services governance system

7. Conflict Management
   a. Consult on conflict management issues related to natural resource problems
   b. Refer staff to available conflict management resources, including the conflict management toolbox and mediation options

IV Fee-based Services (Supplemental to the SLA)

1. Provide rulemaking services - ensure rules are division-based
2. Provide division-based strategic planning
3. Ensure availability of project management training courses (contractor provided)
4. Provide continuous improvement specialty projects
   a. Provide project management services
   b. Provide project specific analytical services
5. Research Social science and program evaluation projects
   a. Ensure projects are division-based
   b. Ensure staff capacity and resources are properly allocated

V Customer Requirements

For OSD to successfully meet customer expectations, DNR managers are obligated to:
Finance

1. Establish and maintain an internal control structure sufficient to ensure compliance with state, federal, and departmental policies and procedures
2. Prepare and submit all required information in a timely and accurate manner
3. Familiarize staff with accounting and related fiscal procedures and policies
4. Ensure staff attends required financial trainings offered by OSD and MMB
5. Submit required information using the form and format provided by OSD
6. Seek advice on proper contract and grant management administration and best practices
7. Report theft, misuse, or abuse of state property or assets

Policy and Planning

1. Confirm customer’s desired outcome or purpose of request
2. Provide information needed to achieve policy, research and budget objectives in a timely fashion. This includes expectations and deadlines set by the Commissioner’s Office
3. Include customer in the project at the appropriate level
4. Inform customer that delivery of services is tied to the current capacity of the section
5. Follow the decision-making process to fill requests for assistance will be guided by agency priorities and significance, as determined by the Office of Policy and Planning Executive Steering Team. In general, priorities for service requests are in the following order:
   a. Commissioner’s Office and senior management sponsorship
   b. Interdisciplinary department priority
   c. Statewide, department priority
   d. High level of complexity or conflict
   e. Included in a departmental project portfolio or work plan

VI Key Performance Measures

OSD recognizes the need to provide efficient, high quality services aligned to achieve departmental priorities. Evaluation measures and metrics, stated below as Key Performance Indicators (KPIs), are designed to quantify outcomes to ensure a high level of performance. KPIs are one method by which we can measure and evaluate the effectiveness, quality and results of the section.
## Management & Budget

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Number of fiscal notes processed</td>
<td>These measures are a reflection of integrated budget services and also show levels of work load.</td>
</tr>
<tr>
<td>b) Number of cash flow, transfer, and reprogramming requests processed</td>
<td></td>
</tr>
<tr>
<td>Prompt payment percentage</td>
<td>Percent of prompt payments shows the accountability of the department’s assets and financial systems.</td>
</tr>
<tr>
<td>a) Number of expenditure corrections</td>
<td>These indicators represent customer performance and section workload.</td>
</tr>
<tr>
<td>b) Percent of revenue deposits that are in compliance with state law</td>
<td></td>
</tr>
<tr>
<td>Operational expenditures, revenue by fund, number of allotments, and Capital Bonding Expenditures</td>
<td>These fiscal indicators reflect the size and complexity of the DNR budget which has a direct relation to workload</td>
</tr>
<tr>
<td>Revenue transactions, payment transactions, and contracts</td>
<td>These indicators represent customer performance and section workloads</td>
</tr>
<tr>
<td>Spending plan information provided to MMB by July 1 each year</td>
<td>Spending plan information is critical for divisions to establish their operating budgets for the new fiscal year. Meeting the MMB deadline lines we internally met operating deadlines to implement the budget.</td>
</tr>
</tbody>
</table>
### Policy and Planning

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
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</tr>
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</table>
| a) Staff use of process improvement methods including:  
  • Number of people trained  
  • Process improvement projects completed  
  • Project outcomes | a) Continuous improvement is a priority for the department and Governor's Office and ensures that we do our work as efficiently and effectively as possible. Tracking process improvement methods demonstrates the Operations section's contribution to department priorities. |
| b) Number of staff receiving DNR data stewardship training | b) Developing a data stewardship community of practice was a major FY15 recommendation from DNR's Data Governance Advisory Team. Data Stewardship training will build a strong foundation for an effective community of practice to focus on the quality and effective use of DNR’s data. |
| Conduct customer surveys to assess OSD and section performance and proficiency at the following competencies:  
  • Customer satisfaction (targeting DNR leadership and other office clients)  
  • Meeting deadlines  
  • Effective communication  
  • Work products delivered | An assessment of performance will demonstrate the quality of the work provided by the section. Senior leadership is a key customer group the Operations Section will want to target for feedback. |
| Regular accomplishment reports of significant policy advancements that helped to meet department-wide priorities | The Operations Section provides services in a variety of contexts that vary in complexity, length, and staff demand, among others, that are not easily represented in finite numbers. Accomplishment reports of significant policy advancements will more accurately highlight this section's contribution to department objectives. |

*Example policy advancements include:*  
  • Implementation of buffer initiative  
  • Refinement of strategic land asset management acquisition and scattered lands processes
<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
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</tr>
</thead>
</table>
| Number of staff within the DNR taking advantage of policy and planning services per year  
  • Overall  
  • By region  
  • By division | Policy and Planning staff works with many different people across the DNR and state. It is useful to understand how many people we serve, and in what regions or divisions. This information will help us get a better sense of where we have highest demands and/or where services are underutilized. |
| Number of data system domains examined, defined and assessed for restructuring to meet data governance standards  
  *Examples of domains/subject areas:*  
  • Recreational customer data domain  
  • Native plant communities data subject area  
  • Forest stand exam layer subject area | DNR’s data is categorized into domains and subject areas. This method of organization helps us understand what data is most in need of governance and focus our efforts into priority areas. |
| Number of attendees at quarterly Science Chats | Science Chats are an important part of organizational learning. These one-hour sessions provide employees with an opportunity to learn about new management practices or concepts. Further, employees have a better understanding of the overall context in which they work, which fosters greater collaboration and connections. |
| Percentage of active programs and projects updated annually in the Outcomes Tracking System | Making updated data available to citizens is important to maintain transparency and accountability as a public agency. Updated program and project data is also critical to successful decision-making, planning, and management. |
### Internal Audit

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Customer satisfaction</strong> – measured by a post-engagement questionnaire/survey sent out by the audit manager after the final report has been completed for the project.</td>
<td>The client satisfaction survey is an element of DNR’s internal system of measures. The survey tells us how audit clients value the work we’ve done for them. They can give feedback on the quality of communication during the project, the readability of the report, and other factors that require a qualitative assessment.</td>
</tr>
<tr>
<td><strong>Performance against the plan</strong> – How many of the audits planned were performed? Of those not completed, why they were not done (workload, high number of requests, etc.)</td>
<td>To better understand the demand for internal auditing and prioritize work requested of the section.</td>
</tr>
<tr>
<td><strong>Corrective action status</strong> – What % of corrective actions recommended/planned have been implemented? For those not implemented, why has action not been taken?</td>
<td>To better understand if corrective actions recommended were successful or not and why. Further, to identify what may help clients overcome barriers to implementing corrective actions.</td>
</tr>
</tbody>
</table>
Appendix C - Information

This FY 2016-17 Service Level Agreement reflects the commitment of OSD’s Information program to facilitate the strategic management and use of data and information, as well as develop technology solutions that increase agency communications and transparency. Our information program also provides strategic, effective, and efficient media relations, and public outreach and communication services to DNR divisions and to the offices of the commissioner.

Service delivery is prioritized by the Governor’s Office, Commissioner’s Office, division directors and regional directors based on the OSD work plan, biennial budget, Conservation Agenda and other agency plans and priorities.

Scope of Services

I Core Services

Media Relations

1. Press Releases
   a. Produce, edit, vet, and distribute editorial, new releases and media advisories. News release liaison with commissioner’s and governor’s offices
2. Broadcast media
   a. Facilitate DNR broadcast media interviews
   b. Produce DNR radio news products
   c. Produce video, audio and photographic products for newsrooms, website, and social media sites
3. Media event planning and consulting
4. Crisis communications
5. Create talking points and communications planning services for agency priorities
6. Produce the DNR’s department-wide employee newsletter
7. Monitor, measure and respond to media coverage of DNR issues

Information Center

1. Serve as primary DNR resource contact for the public
   a. Respond to email, telephone and in-person requests for DNR information and inquiries
   b. Act as subject matter expert or referral source
   c. Provide and distribute DNR information
   d. Serve as Central Office lobby contacts – in-person assistance
II Specialty Services

Creative Services
1. Provide graphic and audio-visual products
   a. Meet internal and external communication goals according to an equitable ‘hours budget’ system of available work hours per division per fiscal year
   b. Provide design and publication layout services. Other audio-visual services include photography, video and DVD production, audio production, digital recording, and other production and editing functions
   c. Consult with clients on best practices to meet special communication needs; offer links to companies offering specialty services not provided by Creative Services

Volunteer and Other Special Programs
1. Manage DNR’s volunteer program for the department.
   a. Recruit, place and train volunteers
   b. Develop training policies and procedures
2. Market the department’s Boat & Water Safety program.
3. Collaborate with U of M Extension on the Minnesota Master Naturalist Program.

Regional Information Services
1. Lead and support communication and outreach needs of DNR regions, including events of regional or statewide significance.
   a. Create and sustain strong working relationships with local communities and local media
   b. Provide regional media relations services: News release writing and editing, media contacts and media event planning, media relations consulting, and development of talking points and communications plans
   c. Represent OSD’s communication and outreach interests as members of the regional management team

III Leadership Services

Administrative Services
1. Governor’s Office
   a. Act as agency communications liaison to the Governor’s Office and management of special projects as outlined in governor’s orders and recommendations.
2. Commissioner’s Office
   a. Provide communications leadership, support to Commissioner’s Office.
3. Division and regional directors
a. Provide communications leadership, support to division and regional directors, and consult, collaborate and produce products with divisions and regions.

4. Program consultation
   a. Provide communications leadership, strategic communication planning, crisis communications, consultation and direction to individual programs as needed.

Data Practices and Intellectual Property Services
1. Lead and manage DNR’s compliance with state data practices requirements
   a. Provide designee training, policy development, classification analysis, data sharing agreements
   b. Provide intellectual property related services including issuing authorization agreements, contract advice, and general consultation.
   c. Implement management response to data practices recommendations.

Plain Language
1. Lead and manage agency Plain Language program with divisions and governor’s office based on Governor’s Executive Order 14-07.
   a. Provide training and progress tracking
   b. Consult and assist with implementation
   c. Provide ongoing oversight

Electronic Information Accessibility (EIA)
1. Lead and manage EIA program with divisions and MN.IT to comply with Minnesota Statute 16E.03, Subd. 9, and Web Content Accessibility Guidelines 2.0 AA.
   a. Provide policy direction, training and progress tracking
   b. Provide oversight and coordination of division designees

Social Media
1. Lead program policy development, oversight and compliance of agency social media channels.
   a. Provide agency channel oversight (Twitter, Facebook, YouTube)
   b. Consult and coordinate with other programs

Web Governance
1. Lead program development, implement external website governance plans as outlined in the Citizen Engagement in Natural Resources legislative initiative.
   a. Organize and chair web governance committees
   b. Provide oversight and coordination of web content (need to verify with charter)
IV Fee-Based Services (Supplemental to the SLA)

Advertising
1. Special Media Events
   a. Coordinate the purchase and sales of DNR advertising
   b. Plan and execute special media events

Supplemental Creative Services
1. Provide graphic and audio-visual services including photography, video and DVD production for special projects, and for divisions that have exceeded their annual hours budget.

Editing/Special Project Coordination
1. Edit specialty document (e.g., books)
2. Create communications plans and management for specialty projects
3. Provide leadership communications for high-profile projects

Donor-Supported Services (Funded in Part by Contributions)

Minnesota Conservation Volunteer magazine
1. Publish official DNR magazine (99% supported by reader contributions)
   a. Write, edit stories, and manage freelance writers and photographers
   b. Work with division directors and Commissioner’s Office on story development that promotes strategic communications
   c. Distribute magazine to schools, libraries and other institutions

DNR Building at the Minnesota State Fair
1. Coordinate the departments’ annual presence at the Fair (15-20% supported by visitor contributions)
   a. Lead the work of the department-wide State Fair Steering Team and the development and installation of new exhibits
   b. Implement guidelines for a safe and successful Fair
   c. Coordinate the efforts of 9,000 DNR staff and 9,000 volunteers

V Customer Requirements
For OSD to successfully meet customer expectations for the Information program, DNR managers are obligated to:
Communications
1. Provide information, data for news release and media event planning and development
2. Assign information officers who support media relations

State Fair Exhibit
1. Assign committee members for exhibit development
2. Assign staff to run the event

Program Designees and Committee Membership
1. Assign designees for data practices program; include duties in job descriptions
2. Assign designees for Electronic Information Accessibility program, include duties in designee job descriptions
3. Assign membership to web governance and social media committees

VI Key Performance Measures
OSD recognizes the need to provide efficient, high quality services aligned to achieve departmental priorities. Evaluation measures and metrics, stated below as Key Performance Indicators (KPIs), are designed to quantify outcomes to ensure a high level of performance. KPIs are one method by which we can measure and evaluate the effectiveness, quality and results of the section.

Information Services

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Number of agency-wide data practices requests OSD has handled with existing staff.</td>
<td>This is a critical and increasingly important agency compliance function that is of great concern to our executive customers. The number of requests increases as public information data is more commonly used in media, legal, property, resource management and personnel issues and disputes.</td>
</tr>
<tr>
<td>Single chart showing: volume of media contact reports; number of media impressions; and the number of key media special events and projects.</td>
<td>Successful media outreach helps DNR achieve its mission to “…work with Minnesota citizens to conserve and manage the state’s natural resources.”</td>
</tr>
<tr>
<td>CSU total project hours and costs of production per division versus having the same product produced by outside vendors.</td>
<td>This metric provides a level of transparency to our divisional customers that demonstrates the unit’s commitment to low-cost, high-quality work produced in a timely manner.</td>
</tr>
<tr>
<td>Key Performance Indicator</td>
<td>Why is this important?</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Total number of staff “information contacts” – walk-ins, emails, calls handles with existing staff.</td>
<td>Information Center staff expertise and efficiency prevents divisional staff from having to answer tens of thousands of phone calls and emails a year.</td>
</tr>
<tr>
<td>Survey results</td>
<td>Commitment to executing one OCO-driven customer survey biennially, while participating in the biennial OSD-driven internal customer assessment surveys.</td>
</tr>
</tbody>
</table>
Appendix D – Workforce

This FY 2016-17 Service Level Agreement reflects OSD’s commitment to providing people and safety support services to the DNR. DNR spends $200 million annually on workforce costs, which includes the salaries and support for DNR’s 2,750 full time employees (FTEs) and their safety needs.

DNR’s workforce services are designed to hire the best staff, increase diversity, train and develop our employees, and keep our employees safe.

a. We train and prepare current and future agency leaders.
b. We facilitate agency hiring to attract and retain a highly qualified, diverse workforce.
c. We keep our workforce safe through accident prevention, safety training, claims management, and emergency management

Service delivery is prioritized by the Governor’s Office, Commissioner’s Office, division directors and regional directors based on the OSD work plan, biennial budget, Conservation Agenda, and other agency plans and priorities.

Scope of Services

I Core Services

Human Resources

1. Process bi-weekly payroll ensuring timeliness and accuracy as well as compliance with all legal/policy requirements.
2. Perform job analysis on proposed position descriptions to determine proper classification and to ensure consistency within the statewide classification system.
   a. Advise hiring supervisors on compensation determinations ensuring compliance with bargaining unit requirements, state and federal law, internal equity, and compliance with delegated authority from MMB.
   b. Provide off-payroll cycle insurance cost information to business offices accurately and on time monthly.
   c. Maintain and update employee and position records to ensure employees receive timely and accurate pay and benefits, and data reporting is reflective of the agency’s workforce.
   d. Maintain Human Resources records in compliance with agency and state retention schedules.
e. Serve as agency security administrator for access to statewide HR systems: Inform employees of their training requirements and expectations with system data and provide them the access level they need to perform their job duties.

f. Conduct annual audit of access to ensure compliance with statewide policy and procedures.

g. Review unemployment claim forms to ensure eligibility and to provide accurate and complete information for claims processing.

h. Coordinate unemployment appeal hearings on behalf of divisions. Prepare the case to be presented, organize and prepare witnesses, and present case information.

i. Data reporting/analysis: Provide standard data reports to managers and supervisors to assist them in monitoring their employee and position activity.

j. Conduct job analysis on proposed position descriptions to determine proper classification ensuring consistency with the statewide classification system and in compliance with delegated authority from MMB.

k. Conduct pre-hire review analysis of hiring recommendations to ensure hiring processes and decisions support the DNR’s commitment to hire affirmatively in a work environment void of discrimination.

l. Provide diversity quarterly reports of affirmative action hiring efforts and bi-annual separation data and successes to increase visibility of and accountability for the agency’s affirmative action efforts.

m. Administer the statewide learning management system (ELM) within the DNR to provide registration, training records management, and a framework for delivery of web-based training modules.

n. Coordinate employee appointment, compensation, benefits, and leave issues with workers’ compensation.

Loss Prevention

1. Workplace Hazards
   a. Assist with hazard recognition to identify potential workplace hazards.

2. Safety Analysis
   a. Evaluate job safety and define programmatic changes needed to control incidents and accidents in the workplace.

3. Training
   a. Address workplace safety concerns through pro-active prevention training and re-education efforts after accidents or incidents.

4. Security Analysis
   a. Evaluate causes for incidents and recommend preventive measures for the future.

Claims Management

1. Personal Injury
   a. Assist employees with requests for medical treatment, follow up and rehabilitation and return-to-work efforts.

2. Accident Investigations
a. Provide a process so that all accidents are investigated, reported and prevention strategies are developed and implemented.

3. Reporting
   a. Process claims, so that medical and legal obligations are met.

4. Financial
   a. Provide a funding process so that disciplines pay the appropriate costs of injuries.

5. Legal
   a. Assist attorneys and compensation specialists in preparation for hearings and claims settlements.

II Specialty Services

Human Resources
1. Advise hiring supervisors regarding minimum and preferred qualifications for job announcements to ensure consistency within the statewide system and to attract the most qualified candidate pool.
2. Develop job announcements and post on MMB’s website.
3. Create advertisements to post on other external websites, newspapers, etc.
4. Review qualifications of candidates who apply for positions and prepare final roster of candidates.
5. Advise hiring supervisors on development of job-related, appropriate interview questions and anchors.
6. Develop other hiring assessment tools.
7. Communicate benefit information and resources to assist employees in understanding their benefit rights, coverage levels, and responsibilities in maintaining their benefits.
8. Conduct New Employee Orientation sessions to provide basic information to new DNR employees in a consistent manner that prepares them with foundational information needed to function within the DNR.
9. Conduct New Supervisor Orientation sessions to provide basic information in a consistent manner that prepares new supervisors with foundational information needed to function within the DNR.
   a. Advise manager and supervisors on interpreting and applying labor contract/plan language.
   b. Provide leadership and staff support to agency-wide Labor-Management Committee. Provide advice to regions with regard to regional committees.
   c. Process union and plan grievances, prepare responses, negotiate settlements, prepare and represent management in arbitration proceedings.
   d. Conduct employee misconduct investigations.
   e. Respond to complaints filed by employees with EEOC and MDHR, represent management in proceedings.
   f. Analyze and respond to requests for reasonable accommodation under the Americans with Disabilities Act.
g. Analyze individual situations involving potential employee ethics and conflicts of interest issues, and provide written opinions regarding existing and potential conflicts.

h. Create special query data reports in a timely manner based on type of request.

i. Conduct investigations into allegations of discrimination or harassment under agency policy, federal and state laws.

j. Provide framework for training delivery in a variety of modes (instructor led, e-learning, and mentoring) on mandatory and elective training topics.

**Safety**

1. Emergency Planning
   a. Provide planning for all hazard events in coordination with federal, state and local emergency response programs.

2. Emergency Response
   a. Respond to emergency events, such as floods, severe weather, power plant radiological emergencies, as they arise and the agency’s role and obligations become clear.

   a. Provide a recovery plan based on the DNR business impact analysis.

4. Training
   a. Track compliance with training requirements for the National Incident Command System (NIMS) and other required state or local emergency response requirements.

5. After-action Review (AAR)
   a. Review and evaluate incident responses and make recommendations or needed changes to improve the emergency response program(s) after resolution of the emergency.

**III Leadership Services**

**Human Resources**

1. Provide advice and consultation to agency management on human resources aspects of business decisions.

2. Develop, implement and administer agency policies and procedures that carry out agency priorities.

3. Incorporate strategic planning for human resources into overall agency planning efforts.

4. Consult with management regarding organizational design or workforce planning.

5. Develop and create implementation strategies for the agency’s bi-annual Affirmative Action Plan.

6. Consult with management regarding organizational design or workforce planning.

7. Conduct classification studies for units/divisions involving large scale job audits and position analysis.

FY16-17 Shared Services SLA, Exhibit B, Appendix D – Page 40
a. Represent the DNR on statewide initiatives and committees.
b. Represent the interests of DNR management on all applicable statewide bargaining teams.
c. Represent the interests of DNR management in supplemental contract negotiations for all applicable contracts.
8. Provide guidance to supervisors and employees regarding interpretation, application, and compliance with the state Code of Ethics for Employees in the Executive Branch.
9. Provide support, consultation, and advice to internal management teams and projects, (i.e., Culture of Respect, Executive Learning & Development, Diversity and Inclusion).

Safety
1. Leadership
   a. Provide programmatic leadership to each division in risk management planning, loss prevention, claims management and emergency preparedness.
2. Strategic Planning, Goals and Measures
   a. Provide strategic planning for safety, loss prevention and emergency work planning.
3. Financial and Staff Management
   a. Provide budgeting, budgetary expense, fiscal controls and authorizations of authority to conduct business.
4. Policy, Procedures and Standards
   a. Provide clear policy for division management so the division’s goals, values and processes are met in safe, incident-free workplace environments.
5. Management Information
   a. Provide reporting and information from data systems used in delivering services to the program to inform it of trends, loss prevention, claims management and emergency preparedness needs.
6. Communications and Employee Involvement
   a. Provide timely information to decision-makers, regarding safety, incident prevention, claims management and emergency preparedness.
7. Accountability
   a. Provide a framework of accountability to help the division understand its obligations to make safety a priority and safe work behaviors the norm. Engage with and support DNR’s Executive Safety Team and appropriate agency leadership to ensure alignment with DNR’s goals and the governor’s MnSAFE initiative.

IV Fee-based Services (Supplemental to the SLA)

Human Resources
1. Design and deliver customized training for a unit/section/division.
2. Conduct large scale classification studies for units/divisions involving high volume or complex job audits and position analysis.
3. Design and deliver customized meeting facilitation/presentation for a unit/section/division.
4. Conduct group/team assessment/evaluation and develop action plan for implementation of recommendations.

V Customer Requirements
For OSD to successfully meet customer expectations, DNR managers and supervisors are obligated to:

Human Resources
1. Submit information and documentation in a timely, accurate, and complete manner.
2. Review distributed reports/notifications in a timely manner and take required action (i.e., progression due dates, performance review dates, probation end dates, seasonal layoff/recall)
3. Communicate desired outcome or purpose of request
4. Comply with all legal, policy, and labor contract requirements
5. Understand that service is guided by the following priorities:
   a. Commissioner’s Office and senior manager sponsorship
   b. Interdisciplinary department priority
   c. Statewide priority
   d. High level of complexity or conflict

Safety
1. Communicate safety values
2. Evaluate compliance by conducting three site inspections and one audit annually
3. Demonstrate commitment, model safe behaviors and support safety policy
4. Establish annual safety goals and report performance within divisions program
5. Ensure that all incidents are reported and investigated immediately
6. Provide guidance to ensure that all injured employees receive proper medical treatment
7. Require injured employees return to work as soon as medically able
8. Ensure appropriate emergency plans are prepared and kept current
9. Employees are trained annually on emergency and security plans
10. Provide resources as requested during an emergency
11. Ensure appropriate emergency plans are prepared and kept current
12. Ensure employees are trained annually on emergency and security plans
13. Provide resources as requested during an emergency

VI Key Performance Measures
OSD recognizes the need to provide efficient, high quality services aligned to achieve departmental priorities. Evaluation measures and metrics, stated below as Key Performance Indicators (KPIs), are designed to quantify outcomes to ensure a high level of performance. KPIs are one method by which we can measure and evaluate the effectiveness, quality and results of the section.
# Human Resources

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent satisfaction from new supervisor orientation.</td>
<td>A higher satisfaction rating as reflected by course evaluations from participants indicates that the training provided the information that new supervisors need to assist them in performing their supervisory responsibilities.</td>
</tr>
<tr>
<td>Percent of supervisors trained in new supervisor orientation.</td>
<td></td>
</tr>
<tr>
<td>Percent satisfaction from new employee orientation</td>
<td>A higher satisfaction rating as reflected by course evaluations from participants indicates that the training was well received and provided information that employees found helpful in orienting them to department policies and procedures.</td>
</tr>
<tr>
<td>Average time it takes HR staff to review resumes submitted by applicants to determine eligibility and minimal qualifications, including workload volume.</td>
<td>The indicator measures the turnaround time from the closing date of the posting to submission of a candidate list to the hiring supervisor, which is important to supervisors in filling their staffing needs. The goal is to keep the processing time to less than four business days.</td>
</tr>
<tr>
<td>Average time it takes HR staff to review resumes submitted by applicants to determine eligibility and minimal qualifications, including workload volume.</td>
<td>The indicator measures the turnaround time from the closing date of the posting to submission of a candidate list to the hiring supervisor, which is important to supervisors in filling their staffing needs. The goal is to keep the processing time to less than seven business days.</td>
</tr>
<tr>
<td>Average time it takes HR staff to review and analyze documentation submitted by supervisors to determine appropriate classification levels, including workload volume.</td>
<td>This indicator measures the turnaround time from submission of accurate and complete documentation by supervisors to determination by HR of the appropriate classification. The goal is to keep the processing time to approximately 30 business days.</td>
</tr>
</tbody>
</table>
# Safety

<table>
<thead>
<tr>
<th>Key Performance Indicator</th>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of recordable injuries per 100 employees</td>
<td>Comparison against industry standard</td>
</tr>
<tr>
<td>Workers compensations costs per work hour</td>
<td>Experience modifier for improvement</td>
</tr>
<tr>
<td>Percent of managers and supervisors trained</td>
<td>Educational awareness in safety leadership</td>
</tr>
<tr>
<td>Customer Survey Feedback</td>
<td>Provides customer assessment and feedback on Safety’s services and performance</td>
</tr>
</tbody>
</table>
Exhibit C – Approved Initiatives, Cost Allocations and Estimated Billings

I Approved Initiatives

The Shared Services Governance Board recommends, and the commissioner approves, new initiatives (changes in service levels and/or service provision) for inclusion in the FY16-17 Shared Services SLA. Approved initiatives added to the SLA base rate include the following:

- Continuous Improvement
- Culture of Respect
- Data Governance
- Human Resources
- Library and Records Management
- Safety
- Salary adjustment (1.8%)
- Shared services capacity (underfunded services)
- Volunteer Services

Supplemental services which paid from the shared services corpus or General Fund and are limited in scope and duration include:

- Electronic Information Accessibility
- Safety Training
- Web Modernization (Phase I)
- WIRES Upgrade

This listing does not include carry-forward funding from FY15 that was approved by the commissioner to complete projects or supplemental services provided under other agreements.

II. Cost Allocations and Estimated Billings

Rates and estimated billings for shared services, fleet, facilities, CEF, radios and professional services are approved by the commissioner and incorporated into the agency’s spending plan process. Copies of rate schedules, including estimated billings, are maintained on the DNR Intranet site at http://intranet.dnr.state.mn.us/omb/spending/index.html as well as kept on file with the Operations Services Division.