Policy 0517

From Human Resources

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PERSONNEL POLICY MANUAL
MoDOT Personnel Policy Title: Staffing of Department Vacancies **Policy Number**: 0517 **Chapter Title**: Employment **Effective Date**: March 1, 2011 **Supersedes Policy Number**: 0517 **Dated**: January 15, 2011
Approved By: Micki Knudsen, Human Resources Director (Signature on file)

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POLICY STATEMENT

All supervisors will follow a fair and consistent procedure for filling all vacancies. A formal interview process is required for all full-time, permanent part-time, seasonal, and cooperative education positions filled, unless otherwise provided in this policy. A formal interview process is not required

for filling temporary part-time positions, including retirees, summer, internship, or emergency positions. The department has a commitment to equal opportunity and affirmative action, and is dedicated to fairness in all personnel management transactions. (Refer to Personnel Policy 0505, "Equal Employment Opportunity.")

DEFINITIONS

Applicant: A person who has submitted an internal or external application for a posted job vacancy.

Candidate: An applicant who has been selected for an interview.

Qualified Department Employee: An active employee who meets or exceeds the minimum qualifications of the advertised position based on the employee's relevant education and experience.

PROCEDURES

1. Advertising Requirements:

   A. Vacancies may be advertised as outlined in the Title (TITL) query screen of the SAM II HR/Payroll System. Each human resources (HR) office is responsible for advertising vacancies within their area. The decision to advertise as stated below or to waive advertisement is at the discretion of the respective district engineer or division leader/state engineer and must be supported by appropriate documentation.

   B. District engineers and division leaders/state engineers are responsible for ensuring that efforts are made by their hiring supervisor and HR manager to obtain a quality applicant pool which includes consideration of the department's equal employment opportunity goals consistent with Personnel Policy 0505, "Equal Employment Opportunity."

   C. Vacancies advertised externally will be posted on the department's web site. When additional advertising is necessary, it should be discussed with the assigned HR representative. Significant external recruitment efforts should be made when external advertising is required.

   D. Prior to advertising a vacancy, the supervisor must obtain approval to staff a vacant position from the district engineer or division leader/state engineer or designee.

   E. Internal and external advertising will be publicized using the Job Opportunity Announcement (JOA).

   F. The JOA will generally be posted for 14 calendar days; however, exceptions can be made based on the needs of the position.

2. Applications:

A. Employees interested in being considered for an advertised vacancy must complete an Internal Opportunity Application by the closing date stipulated on the JOA.

B. All persons seeking employment or reemployment with the department must complete an application for employment. Applicants must be at least 18 years of age and a high school graduate or have a GED equivalent in order to be considered for a position with the department.

C. All applications for employment and internal opportunity applications must be received or postmarked on or before the closing date stipulated on the JOA.

D. The HR Division will evaluate and determine which applicants meet or exceed the minimum qualifications considering substitution of education or experience as detailed in Personnel Policy 0521, “Substitution of Education or Experience.”

1) The HR representative, in consultation with the hiring supervisor, has the final responsibility for determining whether or not an applicant meets minimum qualifications.

2) For all positions, documentation of whether or not an applicant meets minimum qualifications must be included in each job fill file.

3. Interview Process:

A. The HR representative will assist the hiring supervisor to complete the Form P-20, "Applicant Evaluation Worksheet" that indicates the criteria used to develop the interview questions. The document containing these criteria must be included in the job fill file.

B. The HR representative will assist the hiring supervisor to develop all interview questions.

1) The HR representative, prior to interviews, should review all interview questions.

2) Interview questions must be directly related to the job tasks, performance skills, and preferred employee qualities of the position being filled.

3) All standard questions must be asked of each candidate interviewed.

C. The selection of candidates to be interviewed will be based on the applicants’ education, experience, and preferred employee qualities relative to the position as provided in the job specification and Form P-20, "Applicant Evaluation Worksheet."

1) The HR representative will assist the hiring supervisor in reviewing Personnel Policy 0503, “Employment of Relatives,” to determine if there is a conflict.

2) For internal candidates, the current supervisor should be contacted to provide performance management information and obtain a hiring recommendation.

3) Interviews should be scheduled by the hiring supervisor or the HR representative at a time and place when all panel members can be present.

D. The interview questions form should contain the name of the person interviewed, the date and time of interview, and the name and job title of all panel members.

4. Panel Interviews:

A. Panel interviews are required for all vacancies unless waived by the district engineer or division leader/state engineer.

1) The size of, and specific members to serve on, each panel will be determined by the district engineer or division leader/state engineer or designee.

a. Diversity of the panel should be considered when selecting the composition of the panel.

b. For all supervisory and management level positions, a direct report to the vacant supervisory level position will be included on the panel.

(1) The hiring supervisor will determine which direct report will serve on the selection panel. This individual should be in good standing and should not have received any disciplinary actions of a written warning or higher within the past 12 months for either performance or conduct issues.

(2) The direct report who serves on the panel should not be an individual who has applied for the position.

(3) There may be instances when it is either not appropriate or a direct report of the supervisory position being filled is not available to serve on the panel.

(4) The role of the direct report is to provide his/her perspective and input to the hiring supervisor during the interview process. The hiring supervisor will take this information into consideration during the decision-making process; however, the final decision on who is hired resides with the hiring supervisor.

2) For management level positions (district/division management team positions and above) that have high customer and partner contact, the panel should also include a partner from an external organization or agency in addition to a direct report.

a. The hiring manager will determine the appropriate partner to serve on the panel. The hiring manager should consult with his/her local HR office to determine whether any conflict of interest exists with this partner's participation.

b. The role of the partner is to provide his/her perspective and input to the hiring manager during the interview process. The hiring manager will take the partner's viewpoints and perspectives into consideration during the decision-making process; however, the final decision will reside with the hiring manager.

3) For those management level positions which do not have high external partner or customer contact but do have high contact with department partners, the panel will include a direct report and an internal partner.

4) All panel members (except for direct reports and external customers) should have attended and completed behavioral interview training; however, at least one panel member must have completed this training.

5) Each panel member should attend all interviews and participate as instructed by the hiring supervisor. Each member is required to take notes on the answers given by each candidate. Immediately after the interview, the panel members will work together to complete one applicant evaluation form for each candidate interviewed using Form P-20, "Applicant Evaluation Worksheet."

5. Selection Process:

A. When all interviews are completed and the panel has completed the Form P-20, each panel member should review the application, his or her interview notes, the P-20, and any other relevant information that has been provided for each applicant in order to select his/her top candidates.

B. The panel members should then discuss all top candidates and attempt to reach a consensus on their choice. If there is no consensus, the final decision is up to the hiring supervisor. If there is no consensus, the hiring supervisor must discuss the hiring decision with his/her supervisor(s) to determine who will be offered the position.

C. Once a candidate has been selected, the supervisor should discuss his/her hiring decision with an HR representative. The decision should be based on the candidate's education, experience, and preferred employee qualities relative to the position as demonstrated by his/her job application, resume, answers to interview questions, and other information available for consideration. Documentation supporting the decision to select the specific candidate should be included in the job fill file.

D. An HR representative is responsible to ensure employment references are verified on all external candidates who are seriously being considered for the vacant position and who have completed and signed the authorization and consent to release portion of the application. Extreme care is required to honor the candidate's instructions regarding contact with his/her current employer. There are two forms used to perform reference checks: "Telephone Reference Form," and Form P-15, "Reference Questionnaire." For further guidelines, refer to the "Behavioral Interview Handbook."

E. When the applicant selected does not meet the minimum job requirements, a waiver from the district engineer or division leader/state engineer is necessary prior to making an offer. The district engineer or division leader/state engineer has the discretion to waive minimum job qualifications after consultation with the HR director or his/her designee. The hiring supervisor cannot make a conditional offer of employment until the waiver is reviewed and approved by the district engineer or division leader/state engineer.

When waiver of the minimum requirements as stated on the job specification requires approval from the HR director, a waiver request should be submitted to the HR director along with the documentation of the other candidates prior to final selection and an offer being made. (Refer to Personnel Policy 0522, “Waiver of Job Specification Minimum Requirements.”)

F. The supervisor should consult with the HR representative concerning promotions and/or position changes that result in an employee transferring from a non-physically demanding position to a physically demanding position (refer to Personnel Policy 0600, "Examinations and Physicals") or from a non-safety sensitive position to a safety sensitive position. (Refer to Personnel Policy 2508, "Drug Testing Program.")

G. In accordance with Section 226.080, RSMo, “preference shall be given, other conditions being equal, to employment of honorably discharged members of the armed services.”

6. Offers of Employment:

A. Before making a conditional offer of employment, hiring supervisors should consult with their HR representative to determine the appropriate salary offer. For all positions, documentation to support the applicant’s starting salary must be included in each job fill file. Salary relativity to other relevant current employees should be considered as well as the applicant's level of job related experience and additional relevant education beyond the minimum qualifications. (Refer to Personnel Policy 0521, “Substitution of Education or Experience.”)

An HR representative will review the candidate selected and provide a salary recommendation in accordance with Personnel Policy 1016, “Salary Increases;” Personnel Policy 1021, “Demotion;” and Personnel Policy 0522, “Waiver of Job Specification Minimum Requirements,” as applicable and consistent with how those policies have been applied in the past.

B. Once the salary has been determined and agreed upon by both the hiring supervisor and the HR representative, the supervisor should contact the selected candidate by phone.

1) For external hires, a conditional offer of employment should be made pending completion of a pre-employment, post-offer drug screening, as well as a physical examination (physically demanding jobs only), and a criminal background check. In addition to full-time and permanent part-time, the following positions are required to go through a pre-employment drug screening:

a. Temporary part-time
b. Seasonal
c. Summer employment
d. Internship
e. Emergency snow removal
f. Retirees
g. Rehires

All applicants will be required to complete and pass a criminal background check if there has been a break in service of one or more days and a pre-employment, post-offer drug screening if there has been a break in service over 30 days. (Refer to Personnel Policy 0600, "Examinations and Physicals;" Personnel Policy 2508, "Drug Testing Program;" and Personnel Policy 0519, "Background Checks.")

a. It should be made clear to the candidate that he/she should not give resignation notice to his/her current employer until results of the drug screening, physical, and criminal background check are received and a final offer is made.

b. The supervisor should not discuss a start date with the candidate at the time of the conditional offer.

2) For internal hires:

a. The hiring supervisor should notify the employee's current supervisor that an offer will be or has been made.

b. The hiring supervisor should consult with the HR representative to determine whether a drug test or physical is needed for the new position. If so, a conditional offer should be made.

C. When the conditional offer is accepted, the HR representative will contact the candidate and facilitate scheduling of a drug screening and a physical as soon as possible, and initiate the criminal background check. The HR representative will send a written conditional offer of employment to the selected candidate. This letter should contain all of the conditions of the offer and the salary offered.

D. Once the screening results are received and it is determined that a final offer will be made, the candidate will be contacted to confirm the offer and establish a start date.

E. After the final offer has been accepted, the HR representative, with input from the hiring supervisor, will generate the ESMT. (Refer to the Financial Policy and Procedure Manual.)

7. Miscellaneous Provisions:

A. The HR representative will ensure that the new hire completes the I-9, tax paperwork, and other applicable forms within three days of his/her start date.

B. The HR representative will ensure that written notification is sent to all external applicants not selected for an interview who applied for the advertised position. A copy of the written notification should be kept in the job fill file. It is strongly encouraged that internal applicants are contacted by phone.

C. The wage rate for temporary part-time employees and retirees should be based on education, experience, minimum job qualifications, and relative salary of other full or part-time employees.

D. Seasonal or other temporary employees should work in any position less than 1,040 hours in any 12-month period and must separate from the department for a minimum of one month (two pay periods) before being eligible for rehire into a seasonal or other temporary position. To utilize a seasonal or other temporary employee for 1,040 hours or more in a 12-month period, districts/divisions/offices must make a written request to the HR director for approval. Retroactive service credit toward retirement will not be granted for time worked in non-benefit eligible positions. For a list of benefit eligible employment categories, refer to the "Employment Types and Categories" reference sheet.

E. To comply with the Commercial Motor Vehicle Safety Act, supervisors must ensure that anyone who operates a commercial motor vehicle has a Commercial Driver's License (CDL). (Refer to Personnel Policy 0510, "Commercial Driver's License.")

8. Job Fill Files:

The following items need to be included in the job fill file retained in the local HR office prior to closing the file:

A. Job Opportunity Announcement
B. Advertising/recruiting efforts or waiver, if waived
C. All documentation forms (forms/spreadsheets/etc.)
D. Interview questions and notes from all panel members
E. Form P-20, Applicant Evaluation Worksheet
F. Copies of notifications to external applicants who applied for a specific position but were not interviewed, or a copy of the notification and list of the applicants receiving it
G. Staffing announcement
H. Hiring and salary justification for person selected
I. Conditional offer letters for all external hires with salary amount if no final offer letter *,**
J. Confirmation letters to all internal applicants and to external applicants, if used
K. Written authorization to fill position
L. Employment references for all internal applicants and all external applicants seriously considered
M. Indication that selected candidate met minimum qualifications for the job or a waiver of minimum qualifications
N. Notation of time, date, and person notifying each interviewed candidate they were not selected

CROSS REFERENCES

Personnel Policy 0503, “Employment of Relatives”

Personnel Policy 0505, "Equal Employment Opportunity"

Personnel Policy 0510, “Commercial Driver’s License”

Personnel Policy 0519, “Background Checks”

Personnel Policy 0521, "Substitution of Education or Experience"

Personnel Policy 0522, "Waiver of Job Specification Minimum Requirements"

Personnel Policy 0600, “Examinations and Physicals”

Personnel Policy 1016, "Salary Increases"

Personnel Policy 1021, "Demotion"

Personnel Policy 2508, "Drug Testing Program"

Financial Policy and Procedure Manual (http://financialpp.gh.modot.local/index.php/Main_Page)

Employment Types and Categories Reference Sheet (http://sharepoint/facilitation/HR/ED/Employment%20Sharepoint%20Site/Employment/EmploymentTypesandCategories.pdf)

Behavioral Interview Handbook

FORMS

Create/View Employee Profile (Employment Application) (https://www4.modot.mo.gov/HRIS/external/applicantHome.do)

Reference Questionnaire (http://sharepoint/facilitation/HR/_layouts/WordViewer.aspx?id=%2Ffacilitation%2FHR%2FForms%2FEmployment%2DHiring%2FReference%20Questionnaire%203%2E1%2E13%2Edocx&source=http%3A%2F%2Fsharepoint%2Ffacilitation%2FHR%2FForms%2FForms%2FAllItems%2Easpx%3FRootFolder%3D%252Ffacilitation%252FHR%252FForms%252FEmployment%252DHiring%26FolderCTID%3D0x0120003CED2AF8EBAAB144B36DEDE07DC45769%26View%3D%7BCE7E1E16%2DFCEF%2D4D38%2D9CD7%2D0B3379EAFB7A%7D)

Applicant Evaluation Worksheet (http://sharepoint/facilitation/HR/_layouts/WordViewer.aspx?id=%2Ffacilitation%2FHR%2FHR%20Forms%2FP%2D20%20Applicant%20Eval%20Worksheet%201%

2E2013%2Edoc&source=http%3A%2F%2Fsharepoint%2Ffacilitation%2FHR%2FHR%2520Forms%2FForms%2FAllItems%2Easpx)

New Hire Checklist (http://sharepoint/facilitation/HR/_layouts/WordViewer.aspx?id=/facilitation/HR/Forms/New%20Hire%20Checklist.docx&source=http%3a//sharepoint/facilitation/HR/Forms/Forms/AllItems.aspx?Paged%3DTRUE%26p_SortBehavior%3D0%26p_FileLeafRef%3DMT%2520fair%2520CD%252edocx%26p_ID%3D874%26PageFirstRow%3D31%26%26View%3D%7bCE7E1E16-FCEF-4D38-9CD7-0B3379EAFB7A%7d)

Separation Checklist (http://sharepoint/facilitation/HR/_layouts/WordViewer.aspx?id=/facilitation/HR/Forms/Separation%20Checklist.docx&source=http%3a//sharepoint/facilitation/HR/Forms/Forms/AllItems.aspx?Paged%3DTRUE%26p_SortBehavior%3D0%26p_FileLeafRef%3DMT%2520fair%2520CD%252edocx%26p_ID%3D874%26PageFirstRow%3D31%26%26View%3D%7bCE7E1E16-FCEF-4D38-9CD7-0B3379EAFB7A%7d)

Separation Supplement (http://sharepoint/facilitation/HR/_layouts/WordViewer.aspx?id=/facilitation/HR/Forms/Supplement%20to%20Separation%20Checklist.docx&source=http%3a//sharepoint/facilitation/HR/Forms/Forms/AllItems.aspx?Paged%3DTRUE%26p_SortBehavior%3D0%26p_FileLeafRef%3DMT%2520fair%2520CD%252edocx%26p_ID%3D874%26PageFirstRow%3D31%26%26View%3D%7bCE7E1E16-FCEF-4D38-9CD7-0B3379EAFB7A%7d)

NOTE: *The conditional offer letter may be placed in the personnel file if the selected person is hired. If the offer is withdrawn or the candidate withdraws, copies of all related correspondence should be in the job fill file.

NOTE: **A copy should also be sent to Central Office HR

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