Policy 6506

From Human Resources

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(diff) ←Older revision | Current revision (diff) | Newer revision→ (diff)

PERSONNEL POLICY MANUAL
MoDOT Personnel Policy Title: Performance Evaluation **Policy Number**: 1017 **Chapter Title**: Wage and Salary Administration **Effective Date**: October 1, 2007 **Supersedes Policy Number** 1017 **Dated** July 1, 2005
Approved By: Micki Knudsen, Human Resources Director (Signature on file)

Contents

- 1 POLICY STATEMENT
  - 1.1 DEFINITIONS
  - 1.2 PROVISIONS/REQUIREMENTS
- 2 CROSS REFERENCES
- 3 FORM

POLICY STATEMENT

It is the department's intent that all employees receive continuous, prompt communication and feedback on their performance, and supervisors evaluate and document performance in a fair and consistent manner.

DEFINITIONS

Step 1 - Performance Planning: a meeting between a supervisor and his/her employee to review the unit's annual work plan and to develop and/or review the employee expectations and competencies in his/her individual performance plan. This meeting occurs between April 1 and May 15.

Step 2 - Performance Progress Review: a mid-year meeting between a supervisor and his/her employee to discuss the employee's up-to-date performance and the employee's progress toward the employee expectations contained in his/her performance plan. This meeting occurs between October 15 and November 30.

Step 3 – Final Performance Review: a period when the supervisor determines a performance rating and end-of-year feedback for each of his/her employees. The supervisor meets with his/her employees individually to discuss each employee's performance against his/her individual performance plan and to notify the employee of his/her performance rating. This meeting will occur between April 1 and May 15 and can be combined with the next year's Step 1 – Performance Planning.

Performance Management Process: the total process of managing performance of salaried and permanent part-time employees through planning, continuous feedback, progress review, and formal evaluation.

Evaluation Period: the span of time, usually a 12-month period, covering one full cycle of the performance management process.

MoDOT Accountability and Performance System (MAPS) Form: a paper form used to document the performance management process from the Performance Planning phase through the Final Performance Review.

MAPS Rating Scale: defined anchors used to describe competency performance and overall performance. Comprised of; "Outstanding," "Highly Successful," "Successful," "Needs Improvement," and "Unacceptable."

Performance Improvement Plan (PIP): a written warning disciplinary action, created with the assistance of a district/Central Office human resources representative, used to address poor performance.

Performance Management File: a secure paper file, maintained by the employee's immediate supervisor, containing the original MAPS Form and the supervisor's documentation for all phases of the performance management process for each employee.

PROVISIONS/REQUIREMENTS

General Administration

1. The performance management process, as outlined below, is to be conducted for all salaried and permanent part-time employees, except for attorney and law clerk positions in the Chief Counsel's Office.

2. A "Summary Performance Rating for Wage/Seasonal Employees" Form should be completed and a performance meeting held with all seasonal and wage employees, excluding permanent part-time employees, at the conclusion of each work period (season).

3. The department's annual evaluation period for salaried and permanent part-time employees is April 1 through March 31. Employees receive their final performance rating between April 1 and May 15 and complete their performance plan for the next evaluation period at this time.

4. An initial probationary period of six months is required for all employees upon employment or reemployment on a salaried or permanent part-time basis, including those previously employed as seasonal/wage employees. A discussion should be held with an employee before the end of the sixth month of the new employee probationary period, at which time a determination will be made as to whether the employee should be retained by the department or be terminated. Personnel Policy 2600, "Performance/Conduct Intervention," should be reviewed for specific details on the termination process. Extensions of the six-month probationary period are rare and must be requested through the Human Resources (HR) Division.

5. Immediate supervisors are responsible for conducting the performance management process for all salaried and permanent part-time employees under their direct supervision. Lead workers may provide input on all areas of the process, but should not complete the MAPS Form or conduct any of the performance management meetings with employees. In the absence of the immediate supervisor, the second-level supervisor is responsible for completing an employee's performance management process.

6. Each district/division/office is responsible for ensuring the performance management process is conducted for all salaried and permanent part-time employees in their area within the timelines established by this policy. Supervisors will be evaluated continuously on the performance of their supervisory responsibilities, including demonstrated support for the department's commitment to the performance management process. Supervisors who fail to plan and accurately evaluate employees in their area, or who fail to maintain performance management documentation, within the established timelines, will be subject to disciplinary action and will not be eligible for a performance increase.

7. If an employee earns a Competency Rating of "Unacceptable" on any competency at Step 3, and/or a rating of "Needs Improvement" on his/her Overall MAPS Rating, the supervisor is to contact a local HR representative who will help develop a PIP for the employee or determine if further disciplinary actions are needed due to the low rating. Also, a PIP can be developed at any

time during the Evaluation Period, when an employee is performing at a level that is less than "Successful" overall or on any competency. An Overall MAPS rating of “Unacceptable” should not occur on the final rating without a prior PIP being in place; but if it does, the local HR representative will help determine if further disciplinary action is needed.

8. An employee's Overall MAPS rating on his/her final performance review is one consideration in determining salary change recommendations. Any employee who earns an Overall MAPS rating of either “Needs Improvement” or “Unacceptable” will not be eligible for a performance increase if one is provided effective during the next fiscal year. See Personnel Policy 1016, “Salary Increases,” regarding other salary changes that may be impacted when an employee’s Overall MAPS rating is below “Successful.”

9. The original copy of the MAPS Form or the "Summary Performance Rating for Wage/Seasonal Employees" is to be placed in the employee's performance management file and one copy is to be given to the employee. Copies may also be provided as indicated in paragraphs 10 and 11, "Compliance & Quality Assurance Process," below. Refer to Personnel Policy 0520, "Personnel Files and Employee Records," for details on the maintenance of and access to performance management files. A detailed explanation of each phase of the performance management process and procedures for how to complete the MAPS Form can be found in the MAPS Supervisors Guide in the Performance Management section of the MoDOT Intranet.

Compliance & Quality Assurance Process

10. The local HR representative will determine compliance with the MAPS process after completion of Step 3 and either produce a report indicating 100 percent compliance or a list of supervisors and employees who have not completed the MAPS process. The results will be reported to district engineers, division leaders/state engineers, and the HR director.

11. The local HR representative will conduct a random review of MAPS Forms to ensure employee expectations are job related and to ensure proper documentation supporting performance ratings. This review will be conducted throughout each evaluation period and the results will be reported to district engineers, division leaders/state engineers, and the HR director.

Dispute Resolution Process

12. If an employee disagrees with his/her final performance rating, the following steps may be followed:

Step 1: If an employee and his/her immediate supervisor cannot agree on the final performance rating during the Final Performance Review and the employee wishes to pursue the matter, the formal dispute resolution process begins. The employee must, within five working days of the review, present the dispute in writing to the second-level supervisor, with a copy to his/her immediate supervisor. Within five working days of receipt, the second-level supervisor must meet with the employee and the immediate supervisor either together or separately. Within five working days after the meeting, a written reply will be presented to the employee and the immediate supervisor by the second-level supervisor.

Step 2: If the dispute is not resolved to the employee's satisfaction at Step 1, the employee may, within five working days after receiving the reply, forward the dispute to his/her district engineer or division leader/state engineer. All disputes are resolved at the district engineer or division leader/state engineer level. If necessary, another meeting may be called by the district engineer or division leader/state engineer to obtain more information about the dispute. Within ten working days of receipt, the district engineer or division leader/state engineer or his/her designee will respond in writing to the employee. The decision rendered by the district engineer, division leader/state engineer, or his/her designee, is considered final and cannot be appealed or grieved. Director's management team members, district engineers, division leaders/state engineers, or any of their direct reports may not dispute their final performance ratings.

The employee will have the option of requesting another person of his/her choice (which could be a union representative for the certified bargaining unit) to be present at any meeting that occurs at Step 2. This individual will not be allowed to represent the employee, including providing legal counsel; however, he/she may ask brief clarifying questions as long as such participation is not disruptive to the process and does not hinder the department's dispute resolution process. If the individual's participation is not limited to what is outlined in this policy, the individual will be asked to leave and the meeting will proceed without that person.

13. Disputes in Step 1 - Performance Planning or Step 2 - Performance Progress Review are to be handled informally between the employee, his/her immediate supervisor, and the second-level supervisor. The second-level supervisor's decision is considered final and cannot be appealed or grieved.

Personnel Additions/Changes During Evaluation Period

14. When an employee is transferred or promoted to a different position:

a. The current supervisor must complete the MAPS Form - Step 3 for the prior position and distribute a copy of the MAPS Form to the receiving supervisor.

b. The receiving supervisor must complete the MAPS Form – Step 1 for the new employee within 30 days of the transfer or promotion and complete all subsequent steps for the new employee as outlined in this policy.

15. When an employee is newly hired into a position, the supervisor completes MAPS Form – Step 1 within 30 days of hire and completes all other steps of the MAPS process as outlined in this policy.

The six-month probationary period review is conducted as provided in paragraph 4 of this policy.

16. When a supervisor is transferred, promoted, or otherwise leaves his/her position, the supervisor must complete the MAPS Form - Step 3 for current employees and distribute copies as outlined in paragraph 9 prior to leaving.

17. There may be occasions when an employee will not be available to participate in the entire performance management process, due to a leave of absence, paid sick leave, or some other issue. The MAPS Form should still be completed for the employee as follows:

a. At Step 1, if an employee is on leave, the supervisor will complete page 1 of the MAPS Form indicating on the Employee Signature line the employee's leave status (e.g. military leave, worker's compensation leave, FMLA, etc.). The supervisor will sign and date page 1, and keep the MAPS Form in the employee's Performance Management File. When the employee returns to work, the supervisor will complete the MAPS Form - Step 1 within 30 days and all other steps of the MAPS process as outlined in this policy.

b. At Step 2, if an employee is on leave, the supervisor will write any applicable mid-year feedback on page 3 of the MAPS form. The supervisor will sign and date page 1, and indicate on the Employee Signature line the employee's leave status (e.g. military leave, worker's compensation leave, FMLA, etc.). The supervisor will keep the MAPS Form in the employee's Performance Management File. When the employee returns to work, the supervisor will complete the MAPS Form - Step 2 within 30 days and all other steps of the MAPS process as outlined in this policy.

c. At Step 3, if an employee is on leave, the supervisor will write any applicable year-end feedback on page 3 of the MAPS form. The supervisor will sign and date page 1, and indicate on the Employee Signature line the employee's leave status (e.g. military leave, worker's compensation leave, FMLA, etc.). The supervisor will keep the MAPS Form in the employee's Performance Management File. When the employee returns to work, the supervisor will complete the MAPS Form - Step 3 within 30 days. The supervisor will also complete Step 1 with the employee to address expectations for the next year, as outlined in this policy.

CROSS REFERENCES

Personnel Policy 0520, "Personnel Files and Employee Records"

Personnel Policy 1016, "Salary Increases"

Personnel Policy 2600, "Performance/Conduct Intervention"

FORM

The MAPS form can be accessed in the HR web site. Click on this link http://wwwi/intranet/hr/maps/MAPSForms.htm to view the form now.

Retrieved from "http://hr.modot.mo.gov/index.php/Policy_6506"