

# Policy 6506

## From Human Resources

Revision as of 14:45, 14 February 2011 by Uballr1 (Talk | contribs)  
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### PERSONNEL POLICY

#### MANUAL

**MoDOT Personnel Policy Title:** Performance Evaluation

**Policy Number:** 1017      **Chapter Title:** Wage and Salary Administration

**Effective Date:** February 15, 2011

**Supersedes Policy Number:** 1017      **Dated:** April 1, 2010

**Approved By:** Micki Knudsen, Human Resources Director  
(Signature on file)

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## POLICY STATEMENT

It is the department's intent that all employees receive continuous, prompt communication and feedback on their performance, and that 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, mid-year performance rating, and the employee's progress toward the employee expectations contained in his/her performance plan. This meeting occurs between October 15 and November 30. The mid-year performance rating should apply to the employee's performance for the first half of the evaluation period.

**Step 3 – Final Performance Review:** A period when the supervisor determines a final 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 final 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. The final performance rating should apply to the employee's performance for the entire rating period.

**Second Level Review:** A review of the MAPS ratings by each supervisor's manager (second-level supervisor) prior to the employee meetings that occur in Step 2 and Step 3 of the MAPS process. The manager reviews the ratings for accuracy and fairness and documents the review.

**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:** The defined anchors used to describe competency, performance, and overall performance. These anchors are "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 (HR) 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**

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 of the following year. 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 re-employment 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 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, and specifically during the Second Level Review prior to Step 2 and Step 3 employee meetings. Supervisors who fail to plan and accurately evaluate employees in their area, or who fail to address subordinates' performance or conduct deficiencies, or 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. During Step 2 or Step 3, if an employee earns one competency rating of "Needs Improvement" and an overall MAPS rating of "Successful," the employee will be placed on a PIP. If an employee earns one competency rating of "Needs Improvement" and an overall MAPS rating of

“Needs Improvement,” the employee will be placed on probation. If an employee earns two competency ratings of “Needs Improvement,” his/her overall MAPS rating will be “Needs Improvement” and the employee will be placed on probation. If an employee earns one competency rating of “Unacceptable,” his/her overall MAPS rating will be “Needs Improvement” and the employee will be placed on probation. If an employee earns two competency ratings of “Unacceptable” or earns an overall MAPS rating of “Unacceptable,” the employee may be terminated.

If an employee has a previous disciplinary history or performance issues, different and/or more severe discipline may be taken than is outlined previously.

MAPS ratings cannot be grieved but may be disputed through a dispute resolution process outlined in paragraph 13 of this policy.

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 “Needs Improvement” 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 required 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 under the HR Forms tab on the MoDOT Intranet ([http://wwwi/intranet/hr/default\\_000.htm](http://wwwi/intranet/hr/default_000.htm)).

### Compliance and Quality Assurance Process

10. The local HR representative will determine compliance with the MAPS process after completion of Steps 2 and 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. Before a disciplinary action resulting from a MAPS rating may be issued, the local HR manager must review the supporting documentation prior to issuing the MAPS rating and any corresponding disciplinary action.

13. If an employee disagrees with his/her mid-year performance rating at Step 2, or final performance rating at Step 3, the following process may be followed:

Action 1: If an employee and his/her immediate supervisor cannot agree on the mid-year or final performance rating during the final performance review and the employee wishes to pursue the matter, the formal dispute resolution process begins. Within five working days of the review, the employee must 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.

Action 2: If the dispute is not resolved to the employee's satisfaction through Action 1, within five working days after receiving the reply, the employee may forward the dispute to his/her district engineer or division leader/state engineer. All disputes are resolved by the district engineer or division leader/state engineer or his/her designee. 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. The 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 during Action 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.

14. Disputes in Step 1 - Performance Planning 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

15. 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.

16. 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.

17. 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.

18. 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"

## **FORMS**

MAPS Forms (<http://wwwi/intranet/hr/MAPSForms.htm>)

MoDOT Accountability and Performance System (MAPS) Form  
(<http://wwwi/intranet/hr/maps/documents/MAPSform.pdf>)

Retrieved from "[http://hr.modot.mo.gov/index.php/Policy\\_6506](http://hr.modot.mo.gov/index.php/Policy_6506)"

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