

CHAPTER: 500

Personnel/Human Resources

DEPARTMENT ORDER:

**514 – Managing Accountability and
Performance (MAP)**

**OFFICE OF PRIMARY
RESPONSIBILITY:**

DIR

Arizona Department of Corrections

Department Order Manual

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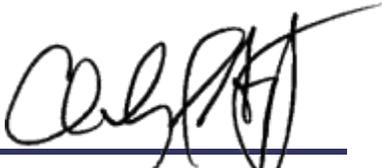
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PURPOSE

This Department Order establishes the Managing Accountability and Performance (MAP) as the Department's official employee performance appraisal system. The MAP process facilitates employee-supervisor dialog about performance requirements, expectations and results. The MAP system is established in accordance with applicable personnel rules and requires that managers and supervisors engage in the performance management process to ensure employees understand the tasks expected of them and that their performance is evaluated fairly and objectively.

For specific technical assistance on how to use the MAP automated on-line application, employees may call the Department of Administration (ADOA) Helpdesk at 602-542-4700 or refer to the ADOA MAP System Training Guides located at http://www.hr.state.az.us/MAP/MAP_System_Training_Guide.asp and the MAP Performance Guide at http://www.hr.state.az.us/MAP/PDF/MAP_Administrative_Manual.pdf. Some of the requirements in the MAP Administrative Manual do not apply to the Department of Corrections (Department) and in those instances the policy below shall be followed.

APPLICABILITY

This Department Order applies to all covered and uncovered Department employees. The State Personnel System Rules require managers and supervisors to engage in the performance management process for both covered and uncovered employees (Personnel Rules, R2-5A-701 and R2-5A-702). The ADOA has granted agency heads the ability to exempt political appointees from this requirement. Accordingly, the Director may opt to not use the MAP process for any or all political appointees in the agency.

PROCEDURES

- 1.0 **MAP SYSTEM OVERVIEW** – This Department Order outlines the employee performance appraisal process by which first line supervisors shall appraise employees and be appraised themselves.
 - 1.1 Employees shall be rated on competencies which are accompanied by standards. These standards exemplify behavior and are clearly communicated in the planning process. It is important when evaluating employees that the first line supervisor and employee understand that the first line supervisor does not give a particular rating; the employee earns the rating.
 - 1.2 MAP is primarily intended as a method of providing employee performance feedback. The first line supervisor gives the employee regular feedback on the quality of work being performed by documenting performance utilizing MAP Notes.
 - 1.3 MAP shall also be used to document substandard performance. The ratings and the accompanying documentation for a performance appraisal may be used to support discipline, certain personnel actions or termination of an employee for performance reasons.
 - 1.4 Performance documentation made in the MAP Notes may be used as support for nomination of an employee for awards or special recognition.
 - 1.5 Monitoring performance, providing feedback and coaching are critical components of the MAP system.

2.0 STATEWIDE COMPETENCIES

- 2.1 State employees are evaluated on mandatory Statewide Competencies. Established Statewide Competencies are part of the MAP system.
 - 2.1.1 The following Statewide Competencies are mandatory for all state employees:
 - 2.1.1.1 Customer Service
 - 2.1.1.2 Accountability
 - 2.1.1.3 Teamwork and Cooperation
 - 2.1.1.4 Leadership and Supervision (Supervisors only)
 - 2.1.2 The Department has three additional mandatory competencies for all staff, with a fourth mandatory competency applicable to Correctional Series staff. They are as follows:
 - 2.1.2.1 Correctional Safety and Security Functions (Correctional Series only)
 - 2.1.2.2 Technical/Functional Expertise
 - 2.1.2.3 Professional Ethics
 - 2.1.2.4 Communication
- 2.2 In order to utilize the competency rating system most effectively, each competency shall be reviewed standard by standard to determine which ratings best represents the employee's performance. Note: Competencies contain descriptions of behavior that are considered critical, but are not intended to be all inclusive.
- 2.3 Performance Period Results – The Results section of the appraisal covers two areas: the Results Orientation competency and the employee's specific performance requirements (Specific Measureable Attainable Acknowledged Realistic/Relevant Time Oriented – SMAART).
 - 2.3.1 The Results Orientation competency includes standards for:
 - 2.3.1.1 Goal Setting.
 - 2.3.1.2 Overcoming Obstacles.
 - 2.3.1.3 Solution Focus.
 - 2.3.1.4 Quality.
 - 2.3.1.5 Service and Productivity.
 - 2.3.1.6 Follow-through/Evaluation.
 - 2.3.2 At a minimum, each employee shall be given at least two SMAART Results (goals) for the appraisal period. SMAART Results shall be thorough, mandated tasks or assignments with specific timelines identified.

2.4 At the end of the employee’s appraisal cycle, accomplishments of the SMAART Results, Results Orientation Competencies and other performance requirements shall be evaluated.

2.5 Performance Ratings

2.5.1 The MAP system is a three point employee appraisal rating system with numerical scores that are as follows:

2.5.1.1 Needs Improvement

2.5.1.2 Meets Expectation

2.5.1.3 Exceeds Expectation

2.5.2 The first line supervisor shall document the employee’s key behavior and achievements in the MAP tool. At a minimum, comments about performance are required for any competency rating of “Needs Improvement” or “Exceeds Expectation.”

3.0 APPRAISAL TYPES

3.1 Annual Appraisals – Employees not on a Probationary or Transitional Cycle MAP shall be rated annually for the regular appraisal period. The annual appraisal rating period is March 1 through February 28. Regular annual employee appraisals shall be completed within 30 calendar days of the end of the annual appraisal period, unless alternative instructions are issued.

3.2 Transition Cycle Appraisals – Employees shall be rated outside of the annual appraisal period for the following:

3.2.1 An employee is a new hire.

3.2.2 The employee moves from one job classification to another as a result of a promotion, demotion, transfer or voluntary decrease.

3.2.3 If fewer than 90 calendar days remain in the annual appraisal cycle, the current annual appraisal is not closed out but extended by the transitional time period within the 90 calendar days, this time is added to the next appraisal cycle (the employee’s appraisal cycle skips the upcoming appraisal) and the employee is evaluated at the end of the following annual appraisal cycle. (This could mean the employee may have an appraisal period of up to 15 months.)

3.3 Probationary MAP Notes – The supervisor of a covered employee serving an original or promotional probationary period, shall reflect the status of the probationary employee in MAP Notes as one of the following:

3.3.1 Permanent status (covered employees only)

3.3.2 An extension of the probationary period (refer to “Extension of Original or Probationary Status” – covered employees only)

3.3.3 Demotion or separation, as appropriate for the type of probation (covered employees only)

3.4 Close Out Appraisal – If the employee is leaving a position to accept a position in a different job classification, a Transition Cycle MAP Close-Out shall be completed by the first line supervisor, up-line supervisor, and the employee.

3.4.1 Close out appraisals and/or MAP Note entries shall be completed at least five business days prior to the employee or first line supervisor's last workday.

3.4.2 If the employee is leaving a position, but remaining in the same job classification held prior to the departure with the same job duties, or if the first line supervisor will no longer supervise the employee, there shall not be a close out evaluation and the first line supervisor shall make a MAP Note entry with performance observations for the employee and next supervisor of the employee. The MAP will not be closed out.

3.5 Correctional Officers Training Academy (COTA) Appraisal – COTA Cadets shall receive the normal academic COTA evaluation on a pass/fail basis and shall not receive a MAP evaluation. Cadets shall not be rated under MAP until after the Cadet successfully graduates and is assigned to a complex.

3.6 There is no requirement to close out a MAP appraisal on an employee who is retiring, terminating or resigning from employment.

4.0 MAP APPRAISAL PROCESS – The MAP employee appraisal process consists of three phases. Each phase shall include a meeting/discussion between the first line supervisor and the employee. Discussions are based on monitoring of work products, observations and feedback, and shall occur on a regular basis providing the employee with knowledge of expectations and feedback on job performance. The process provides the first line supervisor with a tool for planning and documenting the employee's development, training and performance. Significant meetings/discussions between the first line supervisor and the employee for the purpose of discussing work performance shall be documented in the employee's MAP.

4.1 First Line Supervisor – The first line supervisor shall meet with the employee within the first 30 calendar days of the appraisal period to discuss the SMAART Results and other performance requirements and objectives. Upon the meeting with the employee, the first line supervisor shall ensure the mutually agreed upon SMAART Results are documented in the MAP.

4.1.1 The first line supervisor shall ensure:

4.1.1.1 The MAP Planner adequately reflects the required competencies and SMAART Results.

4.1.1.2 Procedures have been followed in accordance with this Department Order.

4.1.1.3 The annual MAP appraisals for subordinates were uploaded correctly with current appraisal periods identified.

- 4.1.1.4 Correctional Officer (CO) IIs and/or Community Corrections Officers (CCO), mandatory SMAART Results were automatically uploaded in the annual MAP correctly at the beginning of the new appraisal period along with current appraisal period dates properly identified. Supervisors shall be required to add the mandatory SMAART Results for CO IIs who have recently graduated from COTA.
- 4.2 Performance Planning Timeframes – The performance planning portion of the MAP process shall be completed within 30 calendar days of an employee's start date or the beginning of a new employee's appraisal period.
 - 4.2.1 During the planning process and throughout the appraisal period the first line supervisor shall complete and maintain the Development Actions in the MAP.
 - 4.2.2 During the Performance Planning stage, first line supervisors shall discuss the rating criteria in a face-to-face meeting with the employee. The employee shall:
 - 4.2.2.1 Be given a clear understanding of what each competency means.
 - 4.2.2.2 Understand and agree with the SMAART Results.
 - 4.2.2.3 Acknowledge the MAP Planner by accessing the MAP on-line. The employee is required to electronically accept the MAP Planner by clicking on the "YES" radio button in the "Performance Plan Acknowledge" field.
 - 4.2.2.3.1 Clicking the "YES" radio button creates an electronic acceptance of the presented Performance Plan.
 - 4.2.3 If an employee refuses to acknowledge the Performance Plan by clicking on the "YES" radio button, the employee is still responsible for completion of the objectives listed in the SMAART Results section of the Performance Plan.
 - 4.2.3.1 The disputed component shall remain binding until the appropriate level of management resolves the situation.
 - 4.2.3.2 A refusal to perform the duties of the position may constitute insubordination and may result in administrative sanctions and/or disciplinary action in accordance with Department Order #601, Administrative Investigations and Employee Discipline.
- 4.3 Monitoring, Feedback, Documentation and Ongoing Dialog – The first line supervisor shall monitor and provide frequent and timely feedback on an employee's performance throughout the appraisal period to ensure that the employee appraisal process meets an employee's need to hear about the relative strengths and weaknesses in his/her performance. Documentation shall be made at least quarterly and be sufficient to support ratings at the end of the appraisal period. The employee shall be made aware of performance issues before the final ratings are given.

4.3.1 Substandard Performance and/or Negative Behavior – The first line supervisor shall address the employee within 14 calendar days of the occurrence, and the substandard performance shall not be permitted to continue while waiting for an appraisal. In extenuating circumstances (i.e., employee on extended leave), the substandard performance shall be addressed with the employee immediately upon the employee's return from leave. Depending upon the nature of the deficiency, corrective actions which may be used individually or in combination, based on the situation and the first line supervisor's judgment include:

4.3.1.1 Meeting with the employee to discuss the issue, potential consequences, and methods of improvement and expectations for improvement.

4.3.1.2 Upon meeting with the employee determine whether or not a MAP Note is warranted.

4.3.1.3 If a MAP Note is supported, thorough documentation in the MAP Notes shall be done as quickly as possible within the 14 calendar day timeframe. A description of the specific area(s) needing improvement, action/steps to be taken to achieve performance expectations and the time frames in which the actions/steps are to occur shall also be documented.

4.3.1.4 Disciplinary action taken shall be in accordance with Department Order #601, Administrative Investigations and Employee Discipline. The first line supervisor shall immediately contact the Employee Relations Unit for guidance, if he/she believes the employee has engaged in misconduct.

5.0 ADMINISTERING APPRAISALS, EXTENSIONS OF PROBATIONARY STATUS, REVERSIONS AND DISMISSALS – Regular appraisals shall be administered as outlined in this Department Order.

5.1 Granting Permanent Status for an Employee on Original or Promotional Probation – First line supervisors shall:

5.1.1 Track probation dates for each covered employee under their direct supervision.

5.1.1.1 A covered employee receives permanent status by default on the day after the last day of the covered employee's probationary period if the first line supervisor has not completed a MAP Note entry.

5.1.1.2 A first line supervisor's failure to complete the probationary MAP Note timely, results in their inability to extend the covered employee's probation, demote the covered employee or dismiss the covered employee for failure to make probation.

5.1.1.3 Complete a MAP Note entry that encompasses work performance notations as they relate to assigned competencies, SMAART Results and specific performance. The first line supervisor shall also include notations on achievements accomplished during the performance appraisal rating period.

- 5.1.2 Within 15 calendar days before the end of probation, advise the covered employee that he/she is on track to successfully complete probation by the end of his/her probationary rating period by making the MAP Note public. The first line supervisor shall also advise the employee the appraisal is subject to change, if prior to the end of the rating period misconduct is discovered.
 - 5.1.2.1 The covered employee shall respond to the MAP Note by creating a public MAP Note of his/her own acknowledging the MAP Note was reviewed.
- 5.1.3 Upon receiving the covered employee's MAP Note response, print out the MAP Note along with the employee's MAP Note acknowledging the permanent status comments, and shall submit both to the appropriate Human Resource (HR) Liaison.
 - 5.1.3.1 The HR Liaison shall create the Human Resource Information Solution (HRIS) Input document granting permanent status and forward it to the Human Resources Operations (HRO) Unit for processing.
- 5.2 Extension of Original or Probationary Status – A covered employee's original probation may be extended by up to six additional months for employment-related reasons. If the covered employee is on leave without pay for more than 80 consecutive work hours, the covered employee's probation may exceed 18 months. Each extension shall be limited to 90 calendar days, unless a longer period is approved by the covered employee's Division/Assistant Director. Prior to notifying the covered employee of their extension of his/her probation, all probationary extensions shall be coordinated through the individuals/offices specified on the Signature Approval Matrix.
 - 5.2.1 Original and promotional probationary periods shall be extended when the covered employee's work performance is substandard or for the following other job-related reasons:
 - 5.2.1.1 The attainment of a job-related requirement and that there is reasonable expectation the requirement will be accomplished during the extended probationary period.
 - 5.2.1.2 The covered employee has had three or more supervisors during the reporting period and the majority of the rating period was not served satisfactorily.
 - 5.2.1.3 A covered probationary employee has been on a leave status for more than 80 consecutive work hours.
 - 5.2.1.4 A covered probationary employee is the principal of an investigation, whether or not the covered employee's job performance appears to be satisfactory.
 - 5.2.1.5 A covered probationary employee is on Temporary Assigned Duty for more than 90 days in the rating cycle and cannot be evaluated during that time due to unavailability.

5.2.2 Recommending an Extension – First line supervisors shall track their covered employees' probationary dates and shall ensure the MAP Notes are completed in sufficient time to obtain required approvals and to present the MAP Notes to the employee no earlier than 30 calendar days and no later than 15 calendar days prior to the end of the probationary period. Individuals in the line of approval are responsible for ensuring documents are reviewed, processed, and a decision made to approve/disapprove the extension prior to the supervisor presenting the MAP Notes to the covered employee within the specified time period. These individuals are identified in Department Order #504, Recruitment and Hiring.

5.2.2.1 First line supervisors shall submit a written recommendation, including the suggested length of the extension and sufficient documentation to support the need for it, to the HR Liaison, who shall then forward the recommendation and documentation expeditiously through the chain of command, along with the Signature Approval Matrix for approval. As indicated above, this approval shall be obtained before the required MAP is presented to the employee during the specified time frame prior to the end of the probationary period. All written recommendations are to be signed and dated.

5.2.2.1.1 Attach to the extension of probation recommendation, request a copy of all completed MAP Notes made public which document the substandard performance.

5.2.2.2 The covered employee's supervisor shall:

5.2.2.2.1 Complete a MAP Note entry that documents the substandard work performance as it relates to the assigned competencies and specific job tasks.

5.2.2.2.2 Specifically, include in the MAP Note that the covered employee's probation is being extended.

5.2.2.2.3 Include an affirmation that the covered employee is capable of demonstrating standard performance during the extended probationary period.

5.2.2.2.4 Include specific performance requirements (what the covered employee needs to do) that will be considered to determine the covered employee's status at the end of the probationary period.

5.2.2.2.5 Failure to follow these specific directives shall result in the covered employee achieving permanent status by default.

5.2.3 Review of Recommendations for Extension of Probation – The assigned approver shall:

5.2.3.1 Decide whether or not the above criteria justify an extension of probation and shall approve or deny the request to extend probation.

- 5.2.3.2 Forward all supporting documentation and a copy of the MAP Note with an endorsement to the HRO Unit Administrator for action.
- 5.2.4 Approved Extensions – If the extended probation is approved:
 - 5.2.4.1 The HRO Unit Administrator shall complete the required documentation and inform the approving authority, HR Liaison, and supervisor.
 - 5.2.4.2 The employee is responsible for completion of the objectives listed in the SMAART Results section of the performance plan. The covered employee's supervisor shall present the MAP Note extending the probation to the employee no earlier than 30 calendar days and no later than 15 calendar days prior to the end of the probationary period with the SMAART goals and objectives clearly defined. The covered employee shall be advised of the beginning and ending dates of the approved probationary status extension. The extension shall begin at the end of the original probationary period or at the end of the current extension period, which ever applies.
 - 5.2.4.3 The HRO Unit shall process the extension of probation.
- 5.2.5 Disapproved Extensions – If the recommendation to extend probation is disapproved:
 - 5.2.5.1 First line supervisors shall not make a MAP Note public with a covered employee on original probation if the extension is disapproved and the employee is to be dismissed. The first line supervisor shall contact the HR Liaison to prepare the appropriate dismissal documents.
 - 5.2.5.2 A covered employee on promotional probation whose extension is disapproved shall be handled according to the procedures outlined in this section.
 - 5.2.5.3 If directed to grant a covered employee permanent status, the rater shall change the MAP Note to reflect that permanent status will be granted at the end of the probationary period, as outlined in this section.
- 5.3 Dismissing or Reverting a Covered Probationary Employee – If a recommendation to revert a covered promotional probationary employee is anticipated and a vacant position in the former job classification is not available, the “no earlier than 30 calendar days or later than 15 calendar day time frame” shall apply to allow time to identify an appropriate position. If the reversion action cannot be completed prior to the covered employee's end of probation date, the first line supervisor shall take action to extend probation in accordance with guidance provided above. Dismissal and Reversion actions shall be coordinated with the Human Services Bureau (HSB) to ensure the personnel transaction is completed in accordance with Personnel Rules.

- 5.3.1 The first line supervisor shall:
 - 5.3.1.1 Submit a written recommendation to support dismissal or reversion to the HR Liaison, who shall expeditiously forward the recommendation and documentation, along with the Signature Approval Matrix. Approval shall be obtained before the required MAP Note is presented to the covered employee during the specified time frame prior to the end of the probationary period.
 - 5.3.1.2 Attach to the recommendation a copy of the completed MAP Note as outlined in this Department Order by the first line supervisor, but not yet presented to the covered employee.
 - 5.3.1.3 Include documentation that the first line supervisor had provided tools and direction for the covered employee to succeed.
 - 5.3.1.4 At the direction of the appropriate level of management and in consultation with the HR Liaison, prepare and deliver the applicable dismissal or reversion documents to the employee. MAP Notes and related documentation shall not be provided to covered employees dismissed from original probation.
 - 5.3.1.4.1 The HR Liaison shall prepare the personnel input document, attach the dismissal or reversion documents, and forward to the HRO Unit for processing.
 - 5.3.1.4.2 Failure to follow the above directives shall result in the inability to dismiss/revert a covered employee.
- 5.3.2 A dismissal or reversion action may be disapproved (See Signature Approval Matrix) and the first line supervisor may be directed to grant permanent status or extend the covered employee's probation.
 - 5.3.2.1 As a result, if permanent status is granted, the rater shall then change the MAP Note to reflect that permanent status shall be granted at the end of the probationary period, in accordance with this section.
 - 5.3.2.2 If probation is to be extended, the first line supervisor shall then change the MAP Note to reflect the probationary extension and complete it in accordance with this section.
- 5.4 Files – The HRO Unit and HR Liaisons shall place all documents pertaining to approved extensions, dismissals, or reversions into the covered employee's Official Personnel File located at Central Office and the Institution/Bureau Personnel File. If extensions, dismissals or reversions are not approved, they shall not be included in the covered employee's personnel file.

5.4.1 If an employee disagrees with the first line supervisor's ratings or comments, the employee shall first discuss the ratings and/or comments with the supervisor. The employee shall provide specific information about the competencies, performance measures, and standards the employee feels were not appropriately evaluated. If an agreement cannot be reached an employee who disagrees with the ratings or comments on a finalized performance appraisal may document his/her disagreement one of two ways:

5.4.1.1 If the employee did not complete a Self-Appraisal prior to being given the completed MAP Performance Appraisal by the first line supervisor, the employee may immediately write rebuttal comments under the appropriate competency documenting the disagreement.

5.4.1.2 The employee may submit written comments to the supervisor within 30 calendar days after the appraisal is finalized and must specifically request the comments be included in their personnel file. Written comments received after 30 calendar days shall require the employee's Warden or Bureau Administrator to approve inclusion into the personnel file.

5.4.2 The MAP process and the MAP rating scores are not grievable.

5.5 Upon completion of the MAP review, the first line supervisor shall make the MAP Note public. The employee shall accept the MAP Note by acknowledging receipt. The employee's acceptance of the MAP Note indicates only that the appraisal meeting has been held, and does not indicate their agreement or disagreement with the appraisal.

6.0 MAP DOCUMENT PROCESSING – The MAP file is electronic and shall be maintained as confidential.

6.1 The first line supervisor shall:

6.1.1 Ensure the employee is aware of how to access completed MAPs.

6.1.2 Forward a copy of the MAP Note to the HR Liaison only when granting permanent status or extending probation.

6.2 When granting permanent status or extending probation, the Institution HR Liaison shall:

6.2.1 Create an HRIS Input document to include a copy of the MAP Note and supporting documentation as an attachment, keeping a copy in the employee's Institution/Bureau/Personnel File.

6.2.2 Forward the HRIS Input document, MAP Note and supporting documentation to the HRO Unit for inclusion in the employee's Official Personnel File.

6.3 The HRO Unit shall:

6.3.1 Key the extension of probation or grant permanent status into the HRIS System according to established procedures.

6.3.2 Place a copy of the HRIS Input document, MAP Note and supporting documentation in the employee's Official Personnel File.

7.0 FIRST LINE AND SECOND LEVEL SUPERVISOR RESPONSIBILITIES – First line supervisors are responsible for administering all aspects of the MAP and shall process documents in accordance with the time frames and other requirements outlined in this Department Order. First line and second level supervisors shall be subject to the appropriate administrative sanctions, including disciplinary action and notations in their MAP, if applicable, for failure to administer evaluations as outlined in this Department Order.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms

FORMS LIST

514-17, Managing Accountability and Performance