



The ADOA Personnel Coordinator (PC) Guide

Arizona Department of Administration
Human Resources Division
100 N. 15th Avenue
Phoenix, AZ 85007
www.hr.az.gov

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ADOA Personnel Coordinator Guide

Introduction

The ADOA Personnel Coordinator Guide is designed to provide all division Personnel Coordinators (PC) with summary information and processes for the most common personnel-related activities for the Department of Administration (ADOA) and for State employment.

The Arizona Revised Statutes (A.R.S.), the Arizona State System Personnel Rules (Personnel Rules), and various ADOA internal operating policies and procedures will provide definitive information. Any discrepancy between this guide and the Personnel Rules will always be resolved by reference to the Personnel Rules.

State of Arizona employees are granted certain rights and responsibilities under the *Personnel Rules*. However, NO EMPLOYEE ACQUIRES EMPLOYEE RIGHTS IN EXCESS OF, OR IN ADDITION TO THOSE AUTHORIZED UNDER THE ARIZONA STATE PERSONNEL SYSTEM RULES OR ARIZONA REVISED STATUTES.

Many of the terms used in this guide are defined in the “Definitions” Section of the Personnel Rules. PC’s should refer to these definitions to ensure an accurate understanding of the statements in the text. The Personnel Rules and all ADOA policies outlined in this guide may be found on the ADOA Intranet under Policies.

This manual will be updated as current state or federal rules, regulations, laws, statutes or ADOA internal policies and procedures significantly change. All users should reference this manual online to ensure they are using the most up to date version.

This guide *is not intended to be, and should not be construed as a contract, expressed or implied, of employment* with ADOA or the State of Arizona.

The Human Resources Division (HRD) hopes that you find this guide helpful.

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CHAPTER 1 – General Information

This chapter will provide general information that will be required throughout other processes or actions outlined in this manual. If an item is not covered in this manual, contact the ADOA Chief Human Resources Officer (CHRO) for information or direction.

Director's Approval / Signature

The Director's approval / signature is required for the following actions:

- Mission Critical
- All Personnel Action Forms except:
 - Funding Changes
 - Supervisory Changes
- Establishing a new ADOA position through Class / Comp



ADOA Process – Requesting the Director's Approval / Signature:

- ➔ Division designee will gather all required forms for approval / signature being requested
 - See ADOA Document Checklist below for the most common HR actions
- ➔ Complete the [Summary of Document Requiring Director's Signature](#) with a detailed explanation
 - Form is located in the ADOA Intranet under Logo/Brand/Guidelines/Templates
- ➔ Hand deliver documents to the Director's Office
 - Director's Office staff will log request and prepare it for signature

ADOA DOCUMENT CHECKLIST	
ACTION	REQUIRED FORMS
New Hire / Re-Hire Promotion (Internal / Interagency)	<input type="checkbox"/> PAF <input type="checkbox"/> Justification to Fill Form <input type="checkbox"/> Application for Employment <input type="checkbox"/> Resume <input type="checkbox"/> Verification of Employment <input type="checkbox"/> Reference Checks <input type="checkbox"/> Education / Certificate Verification <input type="checkbox"/> Grade 25+ requires Governor Approval
Lateral Transfer (Internal / Interagency Transfer)	<input type="checkbox"/> PAF <input type="checkbox"/> Justification to Fill Form <input type="checkbox"/> Application for Employment <input type="checkbox"/> Resume <input type="checkbox"/> Salary Approval – regardless of the increase amount <input type="checkbox"/> Verification of Employment <input type="checkbox"/> Reference Checks <input type="checkbox"/> Education / Certificate Verification <input type="checkbox"/> Grade 25+ requires Governor Approval
Special Assignment	<input type="checkbox"/> PAF – also approved / signed by HRD AD or designee ✓ Special assignment is to be used only to fill position while employee is on approved leave or during recruitment process ✓ Special Assignment is not to exceed 6 months in duration <input type="checkbox"/> Salary Approval
Demotion (Voluntary / Involuntary)	<input type="checkbox"/> PAF – with a minimum of 2.5% salary decrease <input type="checkbox"/> Salary Approval – if requesting exception to decrease
Job Allocation	<input type="checkbox"/> PAF – for salary increase ✓ Higher Grade – Min pay increase up to 2.5% - no approval required ✓ Lower Grade – no pay decrease if salary within range <input type="checkbox"/> Salary Approval – for increases over 2.5%

Hiring Freeze (FY 2015 and until further notice)

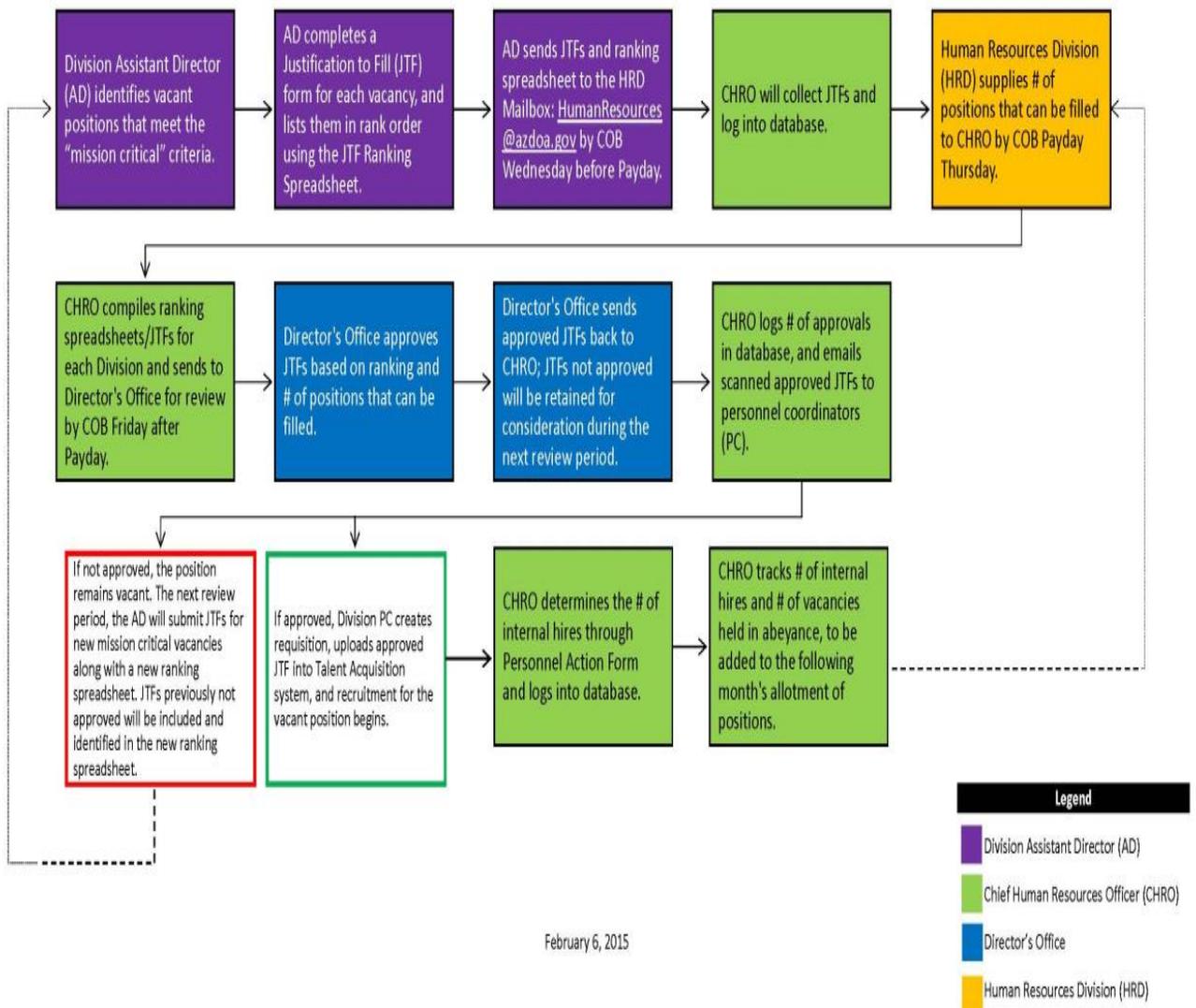
All ADOA positions are subject to the hiring freeze and considered mission critical. Before a position can be recruited for or filled, the Director or Deputy Director must review and approve all Justifications to Fill.

Required forms:

- Justification to Fill Form – located on Intranet
- Ranking Spreadsheet – contact the ADOA CHRO



ADOA Process – Mission Critical / Justification to Fill Position:



ADOA Equipment Access

Many technological resources are available to ADOA employees to assist them in accomplishing their job duties. As such, the PC should be prepared and have computer and phone access already set-up before the new employee's first day of work. Conversely, when an employee leaves ADOA, disabling access is important for security purposes.



ADOA Process – Requesting / Disabling Access:

- ➔ Go to www.aset.az.gov
- ➔ Click on “Service Desk” & scroll to the bottom (**Forms**)
- ➔ Click on “Account & Access Request Form”
- ➔ Have the following information handy:
 - Location / Cubicle number
 - Jack number / location
 - Index number
 - Employee information
- ➔ Complete interactive form thoroughly and as soon as possible to avoid any delays
- ➔ Type of requests:

Systems and Service: *
<input type="checkbox"/> None
<input type="checkbox"/> Desktop
<input type="checkbox"/> Monitor
<input type="checkbox"/> Dual Monitors
<input type="checkbox"/> Laptop
<input type="checkbox"/> Desk Phone
<input type="checkbox"/> Cell Phone
<input type="checkbox"/> Mobile Device Setup
<input type="checkbox"/> Voice Mail Reset

Software *
<input type="checkbox"/> None
<input type="checkbox"/> Microsoft Project – \$19.45/mo
<input type="checkbox"/> Microsoft Visio – \$10.10/mo
<input type="checkbox"/> Adobe Acrobat Standard
<input type="checkbox"/> Adobe Acrobat Professional
<input type="checkbox"/> Other

- ➔ For telephone access expect a call from the AZNET team as they will always call to obtain information about the phones
- ➔ Provide any special instructions in the boxes for notes
- ➔ Click on “Submit” and the request will be routed to all involved parties

For comprehensive and detailed instructions, go to www.aset.az.gov “Service Desk”.

Employee Access Badges

The PC must be granted permission to be an authorized signer to order badges for new or existing State employees. Forms can only be obtained through the ADOA Badging Office.



ADOA Process – ADOA Badging Forms:

- ➔ Contact the ADOA Badging Office at ADBADGE@azdoa.gov and request the State Badge Authorized Signer Form
- ➔ Complete the form and request the Director's or designee's approval / signature
- ➔ Return the signed form to the ADOA badging office via email
- ➔ Request the State Access or ID Request Form from the badging office and maintain a copy for future use

Records Retention

Pursuant to ARS §41-151.12, all documents/records must be maintained for a minimum amount of time as set forth by retention schedules. Keeping records for a time period shorter than their approved retention period is illegal.

Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. Public records, including electronic records not listed in retention schedules are not authorized to be destroyed.

To access retention schedules and for comprehensive and detailed instructions, go to <http://www.azlibrary.gov/arm/retention-schedules>.

CHAPTER 2 – Filling a Position

When filling a position, there are a variety of methods that can be used and/or are required to be followed pursuant to Personnel Rules and applicable Statutes. When division management advises the PC that a position needs to be filled, knowing and understanding what category of employment a position falls within or what type of recruitment is required is key to ensuring that the best candidate for the position is selected during the hiring process.

Categories of Employment

Political Appointment Positions

Political Appointments (PA) are positions that report directly to one of the following:

- Director
- Deputy Director
- Assistant Director

PA positions are at-will appointments and are:

- Not required to go through the open competition
- Not required to obtain ADOA approval for disciplinary actions up to and including dismissal
HRD recommends consulting with the ADOA CHRO prior to taking any disciplinary action
- Must be tracked through Talent Acquisition (TA)

Uncovered Positions

Uncovered positions are at-will employment and are required to:

- Have ADOA review the following actions prior to them being administered:
 - Suspension greater than 80 hours
 - Involuntary Demotion
 - Dismissal
- Go through competitive recruitment process, unless otherwise determined by the Director.

Covered Positions

Covered positions/employees within ADOA are:

- Positions that were filled prior to September 29, 2012
- Employees have not had a break in service after September 29, 2012
- Employees maintain their rights of appeal to the Personnel Board

Once a covered position is vacated, it is converted to an uncovered position. To convert a position, send an email to HRD Operations listing:

- Position number
- Current covered job code
- Proposed uncovered job code

Types of Staffing / Recruitment

Direct Hire

When Division Management determines that competitive recruitment is not the best option to fill a position, approval to bypass this requirement must be obtained from the ADOA Director.



ADOA Process – Posting a position for Recruitment:

The following forms/items must be submitted to the Director:

- Memo outlining why a direct hire is the best option
- [Personnel Action Form](#) (PAF)
- [Candidate's Application for Employment](#)
- Candidate's Resume

Competitive Recruitment

All uncovered positions must be posted on the State's centralized job board (www.azstatejobs.gov) for competitive recruitment, unless they are classified as a PA or approved for direct hire.

Candidates considered/selected must:

- Meet the minimum required KSA's for the position
- Must have applied or been dis-positioned (manually added) to the recruitment

Temporary Appointment

A temporary appointment may be:

- Full-time, intermittent, seasonal, or on an as needed basis
- Not exceed 1,500 hours worked in any agency in each calendar year
- Be open to competition, or processed as a direct hire

The PC is responsible for:

- Tracking hours worked to not exceed 1500 hours
- Tracking hours worked to determine Arizona State Retirement System (ASRS) 20/20 eligibility

Special Assignment

A special assignment is used to temporarily assign a current employee to the duties and responsibilities of another position within ADOA:

- During the recruitment process
- If the current incumbent is absent from work under the provisions of the Family Medical Leave Act (FMLA) or military leave

Special assignments are:

- Subject to Director or designee approval
- Cannot exceed six months, unless extended by the Director
- Supplemental pay is applied in accordance with the compensation guidelines



ADOA Process – Special Assignment:

1. The PC completes:
 - [PAF](#) and obtains the Division AD's Signature.
 - [Salary Change Request Form](#) – if supplemental pay is requested
 - Submits forms for approval to humanresources@azdoa.gov at least 5 business days prior to the start of the assignment
2. The Director or designee will approve/deny the request within:
 - 5 business days if it is in line with the compensation guidelines
 - 10 business days if it exceeds the compensation guidelines
3. Once approved, the PC/supervisor will provide written notification to the employee using the Special Assignment [template letter](#).
4. The [PAF](#) is distributed as follows:
 - Original to HRD Operations
 - Copy to budget's office Administrative Services Officer (ASO)
 - Copy to Payroll Manager (if supplemental compensation is approved)
5. When assignment ends:
 - PC completes [PAF](#)
 - Obtains Division AD signature
 - Submits [PAF](#) to the Director's office for signature

For comprehensive and detailed instructions, refer to the [Special Assignment Policy ASPS/HRD-PA3.05](#).

Outside Temporary Services

Outside temporary services can supply a variety of office support and services. Only contracts that are pre-established through the ADOA State Procurement Office (SPO) may be used to obtain temporary services.

The process for temporary services may differ by division. Once a need is initiated by management, typical requirements to consider are:

- Will a Purchase Order (PO) need to be submitted to secure funding?
 - PO's are routed for approval to the section manager, AD and Finance
 - Cost, duration and vendor information may be required
- What will be the nature of support or service?
 - Pursuant to [Executive Order 2014-03](#):
 - ✓ Positions that will have access to ADOA administered databases containing sensitive/confidential financial, personal or personnel information will require a criminal background check
 - See *Criminal Background Verifications* – Chapter 4
- Will interviews be conducted and who will conduct interviews?

Initiating the Recruitment

Talent Acquisition (TA)

TA is the State's administrative tool used to post positions to the State's centralized job board (www.azstatejobs.gov). All ADOA positions filled whether through competition, direct hire or political appointment must be tracked through TA.

For comprehensive and detailed instructions on creating a requisition, refer to the [ADOA TA HR Liaison Guide](#).



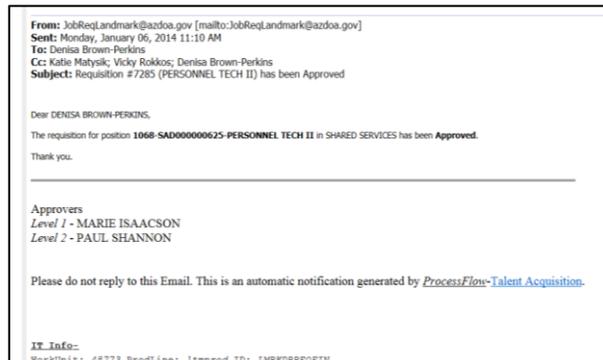
ADOA Process – Posting a Position for Competitive Recruitment:

- Obtain approval to fill position as Mission Critical
- Ensure up-to-date Position Description (PD) exists
- Initiate the requisition through TA and:
 - Attach the [Requisition Information and Approval Form](#)
 - Attach the approved [Justification to Fill During Hiring Freeze Form](#)
 - The job posting should not substantially differ from Position Description (PD)
- Route position for approval
 - Save requisition as “draft” prior to routing for approval
 - Add each approvers Employee Identification Number (EIN)
 - ✓ 1st Approver – Hiring Manager
 - ✓ 2nd Approver – Upline Manager / Division AD
 - ✓ 3rd Approver – Financial Services AD
- Email notification (see sample email below) to approve requisition will be sent to each approver in sequential order

Sample Email:

→ As each approver accepts recruitment, an email will be sent to next approver in line for action.

→ PC, hiring manager and recruiter will be copied on all emails to notify them of the stage of recruitment.



Requisition Information and Approval Form

The Requisition Information and Approval Form is vital to the recruitment process and is:

- Obtained through your assigned ADOA HRD Personnel Analyst (recruiter)
- To be completed and attached to the requisition in TA
- Provide the recruiter with additional information such as:
 - The job title and announcement
 - Request for external job boards posting (i.e. Jobing.com etc.)
 - Frequency of resume review
 - Use of screening questions, etc.

Position Description

The PD is the basis for all job-related and personnel-related actions. It is important that PD's are up-to-date and accurate. A PD sets forth the requirements of the position in terms of the:

- Essential responsibilities and functions of the job
- Minimum knowledge, skills and abilities (KSA's) required to perform the job
- Authority level
- Required licenses/certifications
- Selective Preferences

The ADOA HRD Classification & Compensation (Class/Comp) Unit is responsible for:

- Designating the position's:
 - Job classification
 - Grade
 - Position status (PA, Uncovered, Covered)
 - Fair Labor Standards Act (FLSA) – Is the position eligible for overtime?
- Maintaining the official PD for each position throughout the State.

Prior to posting a position for competitive recruitment, the PC should:

- Submit a PD (if required) through Class/Comp for approval as one of the following actions:
 - **Update** – Updating the PD that does not significantly change the job duties / responsibilities of the position
 - **Position Establishment** – Creating a new position to fulfill the needs of the division
 - **Reallocation** – updating the PD that significantly changes the job duties / responsibilities of the position and requires the position to be upgraded or downgraded as determined by Class/Comp
 - This action does not require a recruitment as there is an incumbent in the position



ADOA Process – Position Description Submission:

The following forms/items are required PD submission:

- Request a copy of the existing PD from the ADOA CHRO, if applicable
- If position exists, provide a copy of the existing PD to the hiring authority for review and update as needed
- If creating a new position, provide the relevant job specification to the hiring authority
- [Classification Action Request \(CAR\) Form](#)
 - For Update or Reallocation – AD signature approval required
 - For Position Establishment – Director signature approval required
- [Position Description \(PD\) Form](#)
- Division Organizational Chart highlighting position(s)
 - For Update or Reallocation – provide a before and after organizational chart
 - For Position Establishment – provide the current organizational chart

For comprehensive and detailed instructions and required forms, refer to Classification and Compensation on the HRD Professional website www.hr.az.gov.

CHAPTER 3 – Interviewing

A successful recruitment and selection process begins with a plan. Ensuring that the hiring manager is prepared and informed for the interview process is the key to success. PC's should ensure that the following information and documents are provided to all hiring managers each time recruitment is initiated.

The PC's Role in the Interview Process

When the Recruitment is Initiated

Processes for interviewing may vary by division. Outlined below are general interview preparation responsibilities of the PC when the recruitment is initiated:

- Providing the hiring managers with current PD for review
- Assist hiring manager with establishing or updating the PD as needed
- Assists with interview questions for job applicability/legality
 - HRD recommends reviewing questions with ADOA CHRO
- Ensuring hiring manager receives resumes of qualified applicants through TA
- Assist with scheduling the interviews
- Assist with interview panel selection

Prior to the interview, the interview panel should be provided with:

- The job description
- Resumes of selected candidates to be interviewed
- Interview questions
- Table of legal/illegal questions

The Interview Panel & Selection

The role of selecting an interview panel may fall to the PC or the hiring manager. In both instances, the PC/hiring manager should ensure that:

- The panel consists of at least 2 – 3 individuals
- Is representative of the diversity of the division
- Selected members are well matched for the interview
- Members are present / identical for each interview
- Ensure they are provided with the job description, interview questions, resumes and legal/illegal table of questions

Interview Questions

Interview questions should be job related and legal. Hiring managers need to be aware of Equal Employment Opportunity (EEO) laws and regulations that prohibit discrimination against applicants on the basis of:

- | | |
|-----------------------------|-----------------------------|
| • Age (40 or older) | • Sex (including pregnancy) |
| • Race/Color | • National Origin |
| • Gender | • Disability |
| • Religion | • Genetic Information |
| • Marital & Parental Status | • Criminal Record |

EEO CHART – Sample Illegal and Legal Interview Questions

TOPIC / CATEGORY	PROHIBITED (ILLEGAL) QUESTIONS	PERMITTED (LEGAL) QUESTIONS
Age	<ul style="list-style-type: none"> • How old are you? • What year were you born? • When did you graduate from high school? 	<ul style="list-style-type: none"> • Are you over the minimum age for the hours or working conditions? (Before hiring)
Citizenship	<ul style="list-style-type: none"> • Are you a citizen of the U.S.? • Are your parents or spouse citizens of the U.S.? • On what dates did you, your parents or your spouse acquire U.S. Citizenship? • Are you, your parents or your spouse naturalized or native-born U.S. citizens? 	<ul style="list-style-type: none"> • If you are not a U.S. citizen, do you have the legal right to remain permanently in the U.S.? • What is your visa status (if no to the previous question)? • Are you able to provide proof of employment eligibility upon hire?
Criminal Record	<ul style="list-style-type: none"> • Have you ever been arrested? • Have you ever spent a night in jail? 	<ul style="list-style-type: none"> • Have you ever been convicted of a misdemeanor or felony?
Disability	<ul style="list-style-type: none"> • Do you have any disabilities? • What's your medical history? • How does your condition affect your abilities? 	<ul style="list-style-type: none"> • Can you perform the specific duties of the job?
Gender	<ul style="list-style-type: none"> • Do you wish to be addressed as Mr., Mrs., Miss or Ms.? • What are your plans to have children in the future? 	<ul style="list-style-type: none"> • None
Marital Status & Parental Status	<ul style="list-style-type: none"> • Any questions concerning spouse, or spouse's employment, salary, arrangements or dependents. • What kind of child care arrangements have you made? • How will your spouse feel about the amount of time you will be traveling if you get this job? • Are you married, divorced, separated, engaged, widowed, etc.? • Is this your maiden or married name? • What is the name of your relative/spouse/children? • Do you live with your parents? • How many kids do you have? • Do you plan to have children? • How old are your children? • Are you pregnant? 	<ul style="list-style-type: none"> • Can you work overtime? • Is there any reason you can't start at 7:30 a.m.? • Can you meet the specified work schedule? • Do you have activities or commitments that may prevent you from meeting attendance requirements?
National Origin	<ul style="list-style-type: none"> • What is your nationality? • Where were you born? • Where are your parents from? • What's your heritage? • What is your mother tongue? • How did you acquire the ability to speak, read or write a foreign language? • How did you acquire familiarity with a foreign country? • What language is spoken in your home? 	<ul style="list-style-type: none"> • What languages do you speak, read or write fluently?
Race	<ul style="list-style-type: none"> • What race are you? • Are you a member of a minority group? 	<ul style="list-style-type: none"> • None
Religion	<ul style="list-style-type: none"> • What is your religious affiliation? • Which religious holidays will you be taking off from work? • Do you attend church regularly? 	<ul style="list-style-type: none"> • Can you work on Saturdays and/or Sundays?

After the Interview

When all interviews have been conducted and a selection has been made, or if the recruitment has been terminated, the PC should gather all pertinent documents and maintain them in a centralized area in the recruitment file.

Documents may include but are not limited to:

- Applications for employment
- Candidate resumes
- Interview questions
- Candidates' responses to questions from each interviewer on the panel
- Writing samples (if applicable)
- Verifications of employment
- Reference checks
- Etc.

Maintaining recruitment files in a centralized location enables easy access should an audit be conducted on recruitment practices. This will also help ensure that files are disposed of in accordance with applicable retention schedules.

Follow-Up with the Candidates Interviewed

Following-up to let candidates know whether or not they were selected for the position is one more way of extending a professional courtesy and gives the interview process closure.

Sample letter:

Dear CANDIDATE NAME:

Thank you for your recent interest in the POSITION TITLE, at the Arizona Department of Administration, DIVISION.

We were fortunate to have the opportunity to consider many qualified candidates. While your credentials were deemed to be impressive, we have selected another candidate for the position.

We appreciate your interest in employment with the Arizona Department of Administration. We encourage you to continue to watch our website (www.azstatejobs.gov) for other opportunities for which you may be qualified.

Thank you again and I wish you success in your future endeavors.

Respectfully,

NAME

TITLE

CHAPTER 4 – Pre-Employment Requirements

Pursuant to ARS §41-746, State agencies “shall make documented good faith efforts to contact current and previous employers of a candidate to obtain information and recommendations that may be relevant to the candidate’s fitness for employment.”

Pre-Employment Verifications

Prior to conducting any pre-employment verification and employment offer, the PC / hiring manager shall ensure that:

- The candidate has completed the [State Personnel System Application Form](#) and checked “Yes” on the application for the question, “If presently employed, may we contact ... “
 - If the candidate refuses to provide consent to contact current employer, contact the ADOA CHRO for direction
- “Only if required for the position,” signifies that the approved PD lists any verification item as a requirement of the position.
- Pre-employment inquiries about a candidate’s disability are prohibited.
 - Questions should be limited to the ones provided on the [Pre-Employment Reference and Background Verification Form](#).

If verifications are not or cannot be completed prior to offering the candidate the position, the job offer shall be made contingent on successful completion of applicable verifications. Contact the ADOA CHRO for more information.

Types of Verifications

Previous employment verification

For the candidate’s work history verification:

- For employment of 5 or more years, one employer verification is sufficient
- For employment less than 5 years, verifications of current and previous employers for the past 5 years is required

Verification of candidate’s State personnel file

- For candidates that are currently or were previously employed (within 5 years) with another State Personnel System Agency
 - Ensure that candidate’s MAP is requested to be reviewed at time of personnel file review as MAPs are maintained electronically

Post-secondary education/degrees

- Only if required for the position
- The verification of educational completion is verified through transcripts or copies of diplomas.

Certificates, Licensures and/or Registrations

- Only if required for the position
- Includes verification of any professional disciplinary actions or censures

Criminal Background Verification

A.R.S. §§41-710 & 41-1750, and [Executive Order 2014-03](#) provide ADOA authorization to conduct criminal background verifications and credit checks.

- An employee may **only** be fingerprinted or have a credit check performed if it is required for the position and after a contingent offer is made
- Criminal background checks and Credit Checks are coordinated through HRD
- Criminal background verifications are conducted only if the position requires network or global access to ADOA administered databases containing sensitive, confidential financial, personal or personnel information
 - Criminal background verifications are conducted by submitting fingerprints through the DPS and the FBI
- Credit checks will be conducted for certain identified positions within ADOA.
 - Credit checks are conducted through an authorized credit reporting agency

Contact ADOA CHRO for more information. For comprehensive and detailed instructions refer to (Policy being drafted).



ADOA Process – Criminal Background Verification:

- PC will set appointment with HRD Operations for fingerprinting on or before the employee's first day of employment
- HRD Operations will:
 - Fingerprint the employee/contractor/temp in-house
 - Request from the PC which accounting INDEX to use PC
 - Request a companion transfer from GSD for payment
 - ✓ Risk Management processes their own payments
- Once payment is received, fingerprint cards and payment will be forwarded to DPS for processing
- Fingerprint results will be mailed to HRD Operations who will notify PC:
 - Prints are cleared - access to databases is granted
 - Prints have a HIT – access to databases is on hold
 - ✓ HRD will:
 - Request a brief description of job duties and if driving will be required for State business from the PC
 - Verify that disclosure of offense(s) was made on:
 - State Application for Employment
 - Background Verification Release Form
 - Forward information to HRD Employment Manager who will confer with in-house counsel and make a determination for employment

Other required verifications

- Only if required for the position and after contingent offer is made
- Medical/physical exam
- Driver's License

For comprehensive and detailed instructions, refer to [Pre-Employment Reference and Background Check Policy ASPS/HRD-PA3.03](#).



ADOA Process – Hiring the Candidate:

The PC will:

1. Submit the following forms for Director approval:
 - [PAF](#) – signed by Division AD
 - Candidate's [Application for Employment](#)
 - Candidate's Resume
 - Memo from the Division AD outlining hiring over mid-point as outline in the compensation strategies – if applicable
2. If position is a Grade 25 or higher or for IT positions only must be the agency's CIO or classified as an Assistant Director
3. Draft the [Job Offer Letter](#) and have division authority (as established within each division) sign letter
4. Contact the candidate to:
 - Obtain SSN to generate an EIN as a pending hire through TA
 - Advise new hire of OnBoard Arizona and that they will receive email for electronic onboarding
5. Prepare for the candidate's 1st day – also refer to Chapter 1
 - Set appointment with HRD Operations to:
 - i. Process employee's employment verification (I-9)
 - ii. Conduct fingerprinting – if required
 - Generate employee email address – auto-generated by the pending hire process
 - Obtain computer access
 - Set up telephone number and access

➤➤ Appointment Approval for a Deputy Director or Assistant Director

Prior to making a job offer to any candidate for a Deputy Director or Assistant Director position, approval from the Governor's office must be obtained.



ADOA Process – Deputy Director or Assistant Director Approval:

The following documentation must be drafted and completed for submission to humanresources@azdoa.gov:

- Letter addressed to the ADOA Director with the following information:
 - Candidate's Name
 - Position Title / Number / Grade
 - Proposed Salary
 - Proposed effective date
 - Summary of the candidates qualifications for job duties
- Candidate's Resume
- Education & Employment References Verification Form (can be obtained through humanresources@azdoa.gov)

Communication regarding approval of the appointment will be communicated from the humanresources@azdoa.gov email to the PC. From date of submission, the average review period may take approximately two (2) weeks.

Recruitment File

Retention

Once the interviews have concluded and the recruitment is finalized by either candidate selection or closing the recruitment without a selection, the PC is responsible for maintaining the “Recruitment File” which will contain:

- Any approvals for recruitment as required
- Interview questions and answers for each candidate interviewed
- Pre-employment verification documents
- Direct hire justification and approval as applicable

Files are to be maintained pursuant to and in accordance with established State retention schedules. Schedules may be found on the Arizona State Library and Archive website, http://www.azlibrary.gov/records/schedules_and_manuals.aspx.

CHAPTER 5 – The New ADOA Employee

The information and steps outlined in this chapter are designed to ensure that all newly hired ADOA employees transition smoothly into our ADOA culture and/or State Employment. The following information sets forth the minimum requirements and procedures required for all new ADOA employees, whether newly employed into State Government or transferring from other Personnel System State Agencies.

>> Prior to the Employee's First Day

Receiving the Employee Identification Number (EIN)

The PC will contact the HRD recruiter to advise that the position has been filled and provide the following information:

- Candidate's name
- SSN
- Start date

The recruiter will use the information to disposition the candidate as hired and begin the pending hire process:

- An EIN will be generated
- An email will be sent to the HRD recruiter
- The HRD recruiter will forward email to the PC

Sample Email:

From: FutureHireNotification@azdoa.gov [mailto:FutureHireNotification@azdoa.gov]
Sent: Saturday, March 15, 2014 9:15 AM
To: HREMP
Cc: Kimberly Adams
Subject: Future Hire EIN 155958 NGUYEN HUYNH is waiting to be hired

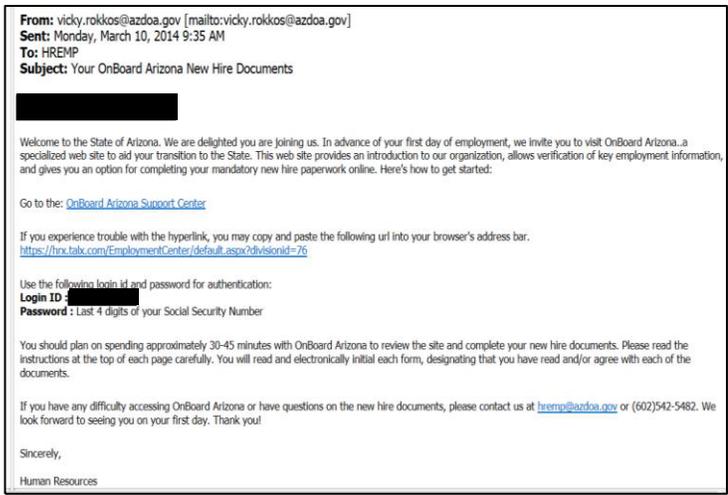
The following candidate has been successfully added as a future hire:

Future Hire Details	
Description	Value
LTM Requisition Number	6489 - INFO TECH SPCT 4
Name	[REDACTED]
Home Phone	[REDACTED]
EIN	[REDACTED]
Process Level	ADISD - AD-INFORMATION SERVICES DIV
Position	[REDACTED]
Future Hire Date	03/27/2014
Job Title	INFO TECH SPCT 4
Job Code	AUN01064

OnBoard Arizona – Electronic Onboarding

- All **newly hired** employees will be required to complete “new hire forms” electronically through OnBoard Arizona.
 - The PC or supervisor is responsible for notifying the new employee that they will receive an email to complete onboarding electronically
 - They should look in their spam folder if the email is not received
- Employees **transferring** from other State Personnel System Agencies will have their OnBoard Arizona file transferred to ADOA.
- Once the PC communicates with the recruiter that a hire has been made, the employee will be sent an email to their home email asking them to complete the process prior to their first day of hire.

Sample Email:



Accessing OnBoard Arizona

An email is sent to HRIS-Security@azdoa.gov requesting access.

The PC should periodically monitor the compliance center and follow up with the new hire if little to no action is taken to complete electronic onboarding. If on the employee's first day the process is not completed, the PC is responsible for having them complete it prior to their meeting with HRD Operations. Entering the employee into the HRIS database cannot occur until this process is complete.

<https://hrx.talx.com/HRX/webmanager/RSALogin.aspx>.

The Employee's First Day of Work

Meeting with HRD Operations

- Meets with all new ADOA hires every Monday (or as needed) at 10:00 A.M. in Suite 261
- PC should contact HRD Operations prior to the employee's first day of employment to confirm the appointment

Prior to the employee's meeting with HR, HRD Operations will:

- Verify that the employee has completed the required OnBoard Arizona process
- Contact the PC to advise them if it has not been completed
- PC will then contact the employee and request completion prior to the meeting

HRD Operations will complete actions/cover the following topics:

- I-9 verification of employment process
- ASRS participation as a condition of employment
- Benefit information, eligibility, and enrollment deadline
- Deferred Compensation and contact information
- Transit Pass & Rideshare Brochure
- Risk Management FAQs
- Employee Assistance Program
- YES

What a New Employee Should Know

Required Training

- **Newly hired** State employees will automatically be enrolled in all required training courses and be automatically tracked for completion.
- Employees **transferring** from other State agencies, or **promoting** to supervisory positions will require manual enrollment and tracking for completion.

All ADOA employees are required to complete the following training:

COURSE NUMBER	COURSE NAME	COURSE TYPE	EXCEPTION
ADORI100	WELCOME TO STATE GOVERNMENT	CBT	Over 1 year of State Employment
LAW1000	STANDRDS OF CONDUCT FOR STATE EMPLOYEES	CBT	Previous Version Completed
LAW1006	PREVENTING INAPPROPRIATE BEHAVIOR IN THE WORKPLACE	CBT	Previous Version Completed
SPSOR1100	SPS EMPLOYEE HANDBOOK	CBT	N/A
AD101003	ADOA NEW EMPLOYEE ORIENTATION	Classroom	N/A
ADCSA0003	ACCEPTABLE USE OF ADOA RESOURCES	CBT	Completed Upon Hire & Annually
HRIS0061	ETE FOR EMPLOYEES	CBT	N/A
MAP101	MAP101 - INTRODUCTION TO MAP	CBT	N/A
MAPYES200	MAP FOR EMPLOYEES	CBT	N/A

Supervisors are required to complete/have completed the following additional training:

COURSE NUMBER	COURSE NAME	COURSE TYPE
SUPERVISOR ACADEMY (Completion denoted by course number SUPERVACAD)		
LAW1002	FAIR EMPLOYMENT PRACTICES	CBT
LAW1003	FAMILY AND MEDICAL LEAVE ACT	CBT
LAW1004	FAIR LABOR STANDARDS ACT	CBT
LAW1007	AMERICANS WITH DISABILITIES	CBT
MGT1000	INTRODUCTION TO SUPERVISION	CBT
MGT1001	FILLING VACANCIES	CBT
MGT1002	INTERVIEWING AND SELECTION	CBT
MGT1003	ON-BOARDING NEW EMPLOYEES	CBT
MGT1004	MANAGING PERFORMANCE	CBT
MGT1005	DAY-TO-DAY SUPERVISION	CBT
MGT1006	CORRECTIVE AND DISCIPLINARY AC	CBT
MGT1007	OFF-BOARDING EMPLOYEES	CBT
MAP FOR SUPERVISORS		
LDR3000	SUPERVISOR TECHNICAL TRAINING	Classroom
LDR3001	SUPERVISOR TECHNICAL EXAM	CBT
MAP	MAP training for supervisors	CBT
MAP2	MAP FOR SUPERVISORS M2	Classroom
MAP3	MAP for Supervisors M3	Classroom
MAPAPPRA	Leading a MAP Appraisal Meeting	Classroom
MAPCONVERS	PERFORMANCE CONVERSATIONS	Classroom
MAPEMPPART	MAP Employee Participation	Classroom
MAPPERFDOC	PERFORMANCE DOCUMENTATION	Classroom
MAPRATING	Writing About and Rating Employees	Classroom
OTHER		
HRIS0062	ETE FOR MANAGERS / PROXIES	CBT

Determining Driver Requirements

Driving on State business may include but is not limited to attending off-site training, visiting with customers off-site, transporting goods/mail to other locations, etc.

To ensure that employees identified as authorized drivers maintain a valid driver's license and reduce the liability to the State:

- The employee's driving record will be monitored through the Arizona State Employee Driver Record Application (ASEDRA).
 - [A.A.C. R2-10-207.12](#): an authorized driver is "an employee who operates a state vehicle; or an employee who operates a leased, rented or personal vehicle where the state provides 100% of that vehicle lease, rental or operational costs."
- The PD must list driving as a requirement of the position

Employees identified as authorized drivers must complete the:

- [Authorized Driver Information Form](#)
- State Employee Driving Training (CBT Course# RM29)

The PC will then forward the [Authorized Driver Information Form](#) to the HRD Operations to enter the information in HRIS / ASEDRA for monitoring.

Outside (Secondary) Employment

All employees are required to disclose to their supervisor any employment outside of their current ADOA position to determine possible:

- Conflict of interest
- Adverse impact on performance

Outside employment may include but is not limited to:

- Private sector
- Another State agency / within the same State agency
- Self-Employment / Contract Work
- Holding any elected or appointed public office
- Holding a position in a political party or organization



ADOA Process – Secondary Employment:

- ➔ HRD Operations will contact PC if employee has selected outside employment on the disclosure form
- ➔ Employee has notified supervisor of outside employments
- ➔ Employee will be required to complete the [Outside Employment Form](#)
- ➔ Supervisor will review and approve or deny request
- ➔ Form will be sent to HRD Operations to be filed in the employee's personnel file

CHAPTER 6 – Salary Administration

Salary Administration refers to all components of the ADOA administered State Personnel System's:

- Job Classification
- Salary Schedules & Pay Ranges
- Supplemental Pay

These components are developed and designed to ensure equitable and fair compensation to all employees through a formal, managed and reliable process.

Job Classification

Refers to positions grouped together based on similarities of duties, responsibilities, required qualifications and other job related characteristics.

All positions are administered through Classification & Compensation who establishes each position's job code, job code title, grade, and FLSA status.

- **Job Code** identifies the general employee group into which the classification is assigned.
 - The first three letters identifies the position's category type:
 - AUN – uncovered
 - ACV – covered
 - The following five numbers identifies the job classification.
- **Title** is the positions official name that also identifies what class series it falls within. All positions may be given or referred to with a "working title" that differs from the official title.
- **Grade** is a numeric identifier associated with specific pay ranges.
- **FLSA** identifies if a position is eligible for overtime (non-exempt) or not eligible for overtime (exempt). See Chapter 9.

For a comprehensive and detailed list of all job classifications refer to [Job Titles with Pay Ranges](#).

Salary Schedule & Pay Ranges

The **salary schedule** identifies the class series a job classification falls within, while the **pay range** within each salary schedule identifies the minimum, midpoint and maximum base rate of pay. Unless it is in accordance with State Personnel Rules, maximum base rates of pay may not be exceeded.

For the list of all salary schedules and pay rangers refer to [Printable Salary Schedules](#).

Supplemental Pay & Base Pay Changes

Supplemental Pay refers to:

- Pay in addition to base pay
 - Processed as a stipend through payroll
 - Maximum pay range may be exceeded
 - Includes:
 - Shift differential
 - For employees on a shift other than day shift
 - Authorized by the director
 - Based on an annual survey of the market place
 - Variable incentives
 - Special assignments
 - Conditional pay supplement
- } *See Compensation Strategies Table below*

COMPENSATION STRATEGIES TABLE		
Category	Authority	ADOA Process
Merit Increase <ul style="list-style-type: none"> • Statewide 	<ul style="list-style-type: none"> • Legislative/Governor’s Office approval required • Available to uncovered and covered employees 	<ul style="list-style-type: none"> • HRIS will administer the Mass Base Pay salary increase statewide through HRIS
ADOA HR Division Toolbox <ul style="list-style-type: none"> • Criteria Based Adjustment • Special Market Adjustment • Conditional Pay Supplement • Referral Incentive • Hiring Incentive 	<ul style="list-style-type: none"> • Requires HRD Approval 	<ul style="list-style-type: none"> • ADOA will establish these strategies and work with each division as needed to execute
Agency Toolbox – Individual Actions <ul style="list-style-type: none"> • Counter Offer • In-Grade Adjustment 	<ul style="list-style-type: none"> • Requires HRD approval • Available to uncovered employees only • Base Pay Change 	<ul style="list-style-type: none"> • Submission of the Salary Request Change Form and other applicable supporting documentation required
Agency Toolbox – Variable Incentives <ul style="list-style-type: none"> • Spot Incentive • Goal-Based Incentive • Merit-Based Incentive • Meritorious Service Leave • Conditional Retention Pay Incentive 	<ul style="list-style-type: none"> • ADOA Compensation Plan • Available to uncovered employees only 	<ul style="list-style-type: none"> • Established guidelines as outlined in the ADOA Compensation Plan approved each fiscal year
Changes in Assignment / Special Assignment <ul style="list-style-type: none"> • New Hire • Promotion • Lateral Transfer • Demotion • Reallocation • Special Assignment (SA) 	<ul style="list-style-type: none"> • Requires Director signature / approval on PAF • Requires HRD Approval for all actions other than new hire and promotions • Available to uncovered employees only • All actions except for SA will have a base pay change 	<ul style="list-style-type: none"> • Submission of the Salary Request Change Form and other applicable supporting documentation required for all actions other than new hire and promotion

For comprehensive and detailed instructions refer to the State Personnel System [Compensation Guidelines](#).

CHAPTER 7 – Federal Employment Laws

ADOA management will not tolerate any form of discrimination, harassment and retaliation. As a general rule, if age, gender, sexual preference or any other protected category outlined below has no relevance to job duties and performance, then discussion of such topic(s) is inappropriate.

If an employee alleges unlawful discrimination, workplace harassment or retaliation, they should be referred to and provided with the complaint policy. **HRD strongly recommends consulting with the ADOA CHRO as soon as the PC or management is made aware of such allegations.**

For comprehensive and detailed instructions refer to the [Employee Complaint Process](#).

Prohibited Acts

The three categories of prohibited acts as outlined below protect applicants and employees in various employment actions such as, but not limited to:

- Hiring
- Promotion
- Discharge
- Job Training
- Fringe Benefits
- Pay
- Terms, conditions and privileges of employment

For comprehensive and detailed information on prohibited acts of discrimination, go to http://www.hr.state.az.us/PolicyLegislativeAffairs/PLA_Fed_EmploymentLaws.asp

Fair Employment Practices / Discrimination

- **Age Discrimination in Employment Act (ADEA)**
Prohibits discrimination on the basis of age – 40+
- **Americans with Disabilities Act (ADA)**
Prohibits discrimination on the basis of disability and requires the employer to engage in the interactive process and provide a reasonable accommodation (does not impose undue hardship) to assist employee with their essential job functions



ADOA Process – ADA and the Interactive Process:

- Manager contacts PC who contacts the ADOA CHRO – meet to discuss
- Division AD is informed of matter and kept apprised throughout process
- Manager to begin good faith interactive process with employee
 - Identify barriers to job performance
 - Communicate with employee – do not impose accommodation
 - Document the discussions
- Manager to provide ADOA CHRO with accommodation(s) discussed for evaluation with the division’s needs as established by the Manager
- ADOA CHRO to make recommendation to Division AD
- Accommodation is:
 - Approved – Manager communicated decision with the employee and the implementation of the accommodation begins
 - Denied – Manager to communicate decision with employee, discuss expectations for job performance and/or continue the interactive process if appropriate

- **Civil Rights Act of 1964 (Title VII)**
Prohibits discrimination on the basis of race, color, religion, sex, or national origin
- **Civil Rights Act of 1991**
Defines the provisions of disparate impact actions; employment practices that negatively impact protected classes
- **Genetic Information Nondiscrimination Act (GINA)**
Protects applicants and employees from discrimination by prohibiting employers from requesting and acquiring information that may reveal genetic information
- **Immigration Reform and Control Act (IRCA)**
Prohibits discrimination against job applicants and establishes penalties for hiring illegal aliens
- **Pregnancy Discrimination Act**
Prohibits sex discrimination on the basis of pregnancy
- **Rehabilitation Act of 1973**
Prohibits an organization that is a recipient of federal funds from discrimination in employment on the basis of disability
✓ See *ADA* above for ADOA Process
- **Uniformed Services Employment and Reemployment Rights Act (USERRA)**
Requires employers to provide leave for military service for up to five years whether the military service is voluntary or involuntary. Employment actions may not be as a result of the employee exercising their right to take military leave



ADOA Process – Requesting Military Leave:

- Employee will notify Manager of military leave
- Employee will provide Manager with a copy of their official orders
- Applicability of leave (time for travel to and from base and duration of leave) will be administered as outlined in the orders
- PC will generate [PAF](#) to place employee in a Military Leave Status
 - Copy of [PAF](#) will be forwarded to payroll to establish military leave bucket if this is the first request
 - Employees have 240 hours of military leave to use over two years
 - ✓ Every Federal fiscal year leave will roll back to replenish bucket with leave used the previous Federal fiscal year
- Military leave may be paid or unpaid
 - The employee is to designate if and when applicable accrued leave plans (excludes sick leave) or military leave are to be used

Wage and Salary Administration

- **Equal Pay Act**
Requires that employers pay men and women the same wages for the same work
- **Fair Labor Standards Act (FLSA)**
Establishes:
 - Federal minimum wage
 - Regulates employee overtime status
 - Regulates child labor
 - Overtime payment requirements
 - Record keeping requirements
 - Other administrative issues.

Employee Benefits and Workplace Safety

- **Consolidated Omnibus Budget Reconciliation Act (COBRA)**
Administered by ADOA Benefits, provides employees and their dependents who lose health benefit coverage the ability to choose continuation of said benefits by paying the employee, employer premium plus a small surcharge



ADOA Process – COBRA:

- PC will generate [PAF](#) to process separation of employment
- HRD Operations will change the employee's status in HRIS to a pending final pay status; T1, R1, U1
 - This action will notify ADOA Benefits to stop health benefits at the end of the pay period and generate the required COBRA notification
 - ✓ Notification will be mailed to the employee's address of record in HRIS
 - ✓ Employee will be responsible to accept COBRA within the established deadline
- **Family and Medical Leave Act (FMLA)**
When an employee is absent from work for more than 3 consecutive days or on an intermittent basis, the employee may be eligible for FMLA.
 - See *FMLA* in Chapter 9 for ADOA Process
- **Health Insurance Portability and Accountability Act (HIPAA)**
Provides protections for coverage under group health plans that:
 - Limit exclusions for preexisting conditions
 - Prohibit discrimination against employees and dependents based on their health status
 - Allows a special opportunity to enroll in a new plan for individuals in certain circumstances
- **Occupational Safety and Health Act (OSHA)**
Requires employers to promote safe and healthy work conditions as prescribed by law



ADOA Process – Reporting a Work Related Injury:

- Employee to report work injury / illness to supervisor
- Supervisor is to complete the [Supervisor's Report of Injury / Illness](#) (SRI) and forward it to their PC
- PC is to maintain a copy for their records and forward the SRI to:
 - ADOA Risk Management – FAX: 602.542.4507
 - ADOA HRD OSHA Coordinator – FAX: 602.542.1980
 - ✓ The OSHA Coordinator, also the FMLA Coordinator, will also initiate the FMLA process as applicable
- Employee is to call 602.542.WORK or 1.800.837.8583 within 48 hours to report the injury / illness to Risk Management
- If employee seeks medical care they are to advise treating physician that it is a work related injury / illness

For comprehensive and detailed instructions on reporting a work related injury go to <https://staterisk.az.gov/workers-compensation/employees>

CHAPTER 8 – Performance Management

To ensure a complete understanding of their work assignment and expected results, annual performance appraisals, referred to as MAP (Managing Accountability & Performance), will be received by all ADOA employees with the exception of the:

- Director
- Deputy Director
- Assistant Directors

PC's Role in the MAP Process

ADOA performance appraisals are administered annually; April 1 through March 31.

The PC must track and ensure that all eligible employees within their division receive a performance planner and appraisal within these specified timeframes:

- Performance Planner → Administered within 30 days from hire date or transfer into the new position
- Annual Appraisal → Completed by April 30 each year
- Close-Out Appraisal → Completed within 30 days of the employee transferring either to a new position within the agency or transferring to another agency

NOTE: An employee who has a change in supervision but no change in job duties or responsibilities does not require a close-out appraisal.

NOTE: An employee who changes positions and has less than 90 days remaining until the end of the annual appraisal will skip the annual appraisal cycle and use the previous close-out appraisal rate as the annual appraisal rate.



ADOA Process – The MAP Process

1. Manager creates a performance planner
2. Manager sends performance planner to employee for acknowledgment
3. Employee acknowledges planner and manager notified via email
4. Employee completes self-appraisal and submits to manager
 - Once it is sent to manager it is in finalized status and can no longer be modified
5. Manager completes MAP and sends it to upline for approval
6. Upline:
 - Approves – MAP is returned to manager to administer to employee
 - Declines – MAP is returned to manager for revision – see step 5
7. Manager finalizes and administers MAP to employee
8. Employee acknowledges receipt of MAP
9. MAP becomes historical and cannot be modified

If the employee transfers within ADOA or from another agency:

- The gaining PC must communicate with the employee's former PC / agency HR to ensure that their appraisal is completed timely.

If the employee is transferring out of ADOA to another agency:

- The former PC must communicate with the former employee's manager to ensure timely completion of their appraisal

NOTE: If the appraisal is not received and reviewed by the employee then it must not be attached to the employee's MAP record or placed in their personnel file; i.e. separated employee.

Employee Option – Rating Disagreement

- Submit written comments to the supervisor for inclusion in the employee's official personnel file
- Comments must be submitted within 30 calendar days after the appraisal is finalized
- Employee must explicitly request that the comments be included in the employee's official personnel file
- The PC will then forward the employees comments along with a copy of the finalized MAP to HRD to be placed in the employee's official personnel file

Attaching a Signed MAP by Proxy

In some instances, the appraisal goes through the process and cannot be reverted back to the employee for acknowledgment. In these cases, the PC will ensure that the consolidated appraisal is printed and signed by the employee, manager and upline manager then scanned and attached to the MAP record. The MAP record is then finalized and becomes historical.

For comprehensive and detailed instructions on MAP, refer to http://www.hr.az.gov/MAP/MAP_PerformanceManagement.asp.

CHAPTER 9 – Leave Administration

The information outlined in this chapter is designed to:

- Provide PC’s with an overview of the various types of leave and their applicability
- Ensure consistency in practice and application of leave throughout each division and/or ADOA.

As the Division Employee Time Entry (ETE) Proxy, PC’s are responsible for ensuring that all their division’s ETE are entered for each pay period in accordance with ADOA practice and each employee’s Fair Labor Standard Act (FLSA) classification, exempt vs. non-exempt.

FLSA Classifications

Exempt Employees

- Not eligible for overtime
- Do not charge their leave plans for partial day absences
- Charge their leave plans for full day absences

Non-Exempt Employees

- Are eligible to receive overtime once they have worked 40 hours within a week
- Must charge their appropriate leave plan for any partial or full day absence

EXAMPLE:

- An employee’s normal work schedule is Monday – Friday 8:00 AM – 5:00 PM
- Employee leaves at 3:00 PM for a doctor’s appointment
- ETE is coded as follows:

FLSA	PAY CODE	HOURS
Exempt	100	8
Non-Exempt	100	6
	310	2

For a list of all pay codes, see [HRIS Pay Code Listing](#).

Types of Leave

Except in an emergency, employees are required to request and obtain approval for leave prior to taking any type of leave.

PC’s must be familiar with division practices to ensure that requests for leave are administered consistently throughout the division and/or ADOA.

Annual Leave

- Includes all periods of approved absence with pay, which are not chargeable to another category of leave
- All employees, with the exception of temporary employees, are eligible to accrue annual leave
- May be approved at management’s discretion
- Paid out in full upon an employee’s separation from employment
- Accrued bi-weekly
 - Proportional to the employee’s established FTE
 - Depending on their employment category

EMPLOYMENT CATEGORY	COVERED	UNCOVERED (Employment after 9/29/12)	POLITICAL APPOINTMENTS & UNCOVERED (Employment prior to 9/29/12)
Years of Service and Accrual Rates (based on 1.0 FTE)	<ul style="list-style-type: none"> ▪ < 3 yrs = 3.70 ▪ 3 yrs but < 7 yrs = 4.62 ▪ 7 yrs but < 15 yrs = 5.54 ▪ ≥ 15 yrs = 6.47 	<ul style="list-style-type: none"> ▪ < 3 yrs = 4.00 ▪ 3 yrs but < 9 yrs = 5.54 ▪ ≥ 9 yrs = 6.47 	6.47
Carryover Limits	240	320	320

Sick Leave

Each supervisor may have specific absence-reporting procedures. Employees must ensure that they are following established reporting standards. Supervisors should immediately notify PC’s of any known absence and ensure that appropriate action is taken as applicable, i.e. initiate the FMLA process, etc.

Sick leave can be for any approved period of paid absence for:

- Illness or injury
- Pregnancy, childbirth, miscarriage or abortion
- Doctor’s visits
- Doctor’s visits for the employee’s spouse, dependent child or parent
 - Sick leave for this purpose cannot exceed 40 hours per calendar year
 - Also referred to as Family Sick Leave

All employees, except temporary employees:

- Accrue sick leave bi-weekly and proportional to the employee’s established FTE.
 - accrued at a rate of 3.7 hours bi-weekly based on a 1.0 FTE
- Accumulates without limit
- Forfeits upon separation from State employment.
 - If separation is for the purpose of retirement, the employee may be eligible to participate in the [Retiree Accumulated Sick Leave](#) (RASL) program.
 - RASL forms are to be completed by the employee and submitted to ADOA Payroll who will complete the employer portion of the application and forward the entire application to GAO

For comprehensive and detailed instructions refer to <https://gao.az.gov/payroll/rasl>.

Family Medical Leave Act (FMLA)

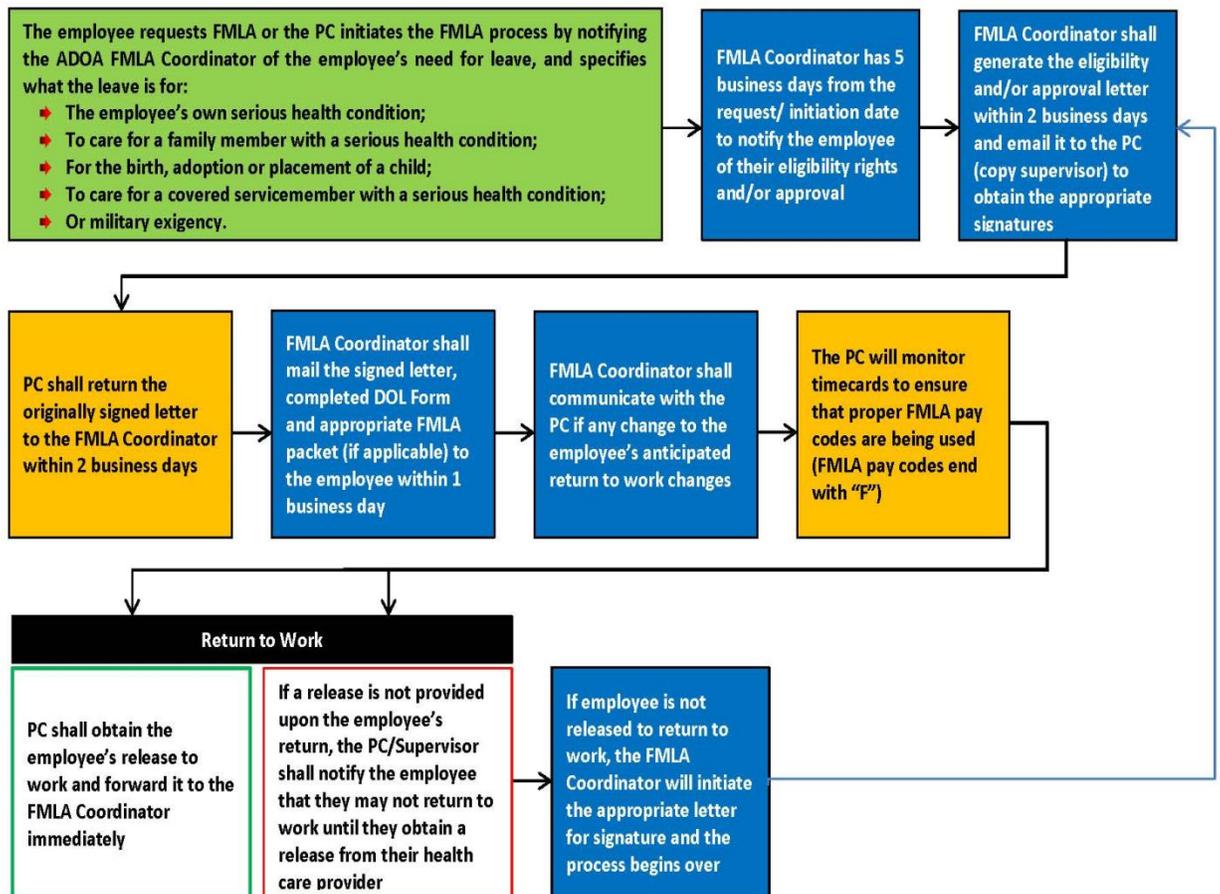
When an employee is unable to work due to illness or injury, or to care for an immediate family member due to illness or injury, FMLA may be granted to eligible employees for up to 12 workweeks per 12-month period. Eligibility to participate and be approved for FMLA is based on FMLA regulations as set forth by the [Department of Labor](#) (DOL), [Personnel Rules](#) and established [policy](#) criteria.

While on FMLA:

- Employees are required to use their leave balances as applicable and as outlined in the Personnel Rules and ADOA FMLA Policy.
- ADOA practice permits employees to use a minimum of 20 hours of paid leave per week until they run out of leave for the duration of their FMLA
 - This practice is offered to employees to:
 - ✓ Obtain a pay check every pay period
 - ✓ Pay for their portion of their benefits
 - ✓ Not to reduce their hours in order to maintain and build leave balance in excess of their FMLA leave



ADOA Process – FMLA:



Donation of Annual Leave

Annual leave may only be donated to fellow ADOA co-workers or to another State employee who is an immediate family member. Eligibility to participate and be approved for donated leave is based on [State Personnel Rules](#) and established [policy](#) criteria.

An ADOA employee may apply for Donated Leave when:

- They are unable to work for a minimum of 3 consecutive weeks due to:
 - A seriously incapacitating and extended illness or injury
 - A seriously incapacitating and extended disability that is caused by pregnancy or childbirth
 - The need to care for an immediate family member's seriously incapacitating and extended illness or injury, or an immediate family member's seriously incapacitating and extended disability that is caused by pregnancy or childbirth
- They have exhausted all available paid leave
- If donated leave to care for a family member is being requested, the employee is required to first exhaust 40 hours of family sick leave, if available, before donated leave may be used.
 - If the employee's sick leave balance is in excess of 40 hours, ADOA Payroll must manually enter the employee's time card



ADOA Process – Request for Donated Leave:

- Employee must complete the [ADOA Request for Donated Leave Form](#) which is provided to the employee with the FMLA packet.
- Form is forwarded to the ADOA FMLA coordinator
- Participation eligibility is determined by the ADOA FMLA Coordinator based on established policy criteria and Personnel Rules
- An employee does not need to be approved for FMLA in order to qualify and be approved for Donated Leave
- The dollar value of donated leave is adjusted proportionately in relation to the salary of the contributing employee and the salary of the receiving employee
- All unused donated leave is returned to the contributors on a pro-rata basis as determined by ADOA Payroll
- If the employee returns prior to the minimum 3 weeks required absence, the employee is responsible for reimbursing all donated leave used.
 - Reimbursed hours will be returned to the donating employee by ADOA Payroll

Living Donor Leave

Employees must submit a written verification that they will serve as a donor and be absent and paid for:

- 40 working hours as a bone marrow donor
- 240 hours as an organ donor
- Pay code 355 is to be used once the donor has been determined to be a match
- As living donor leave is protected under State statute, FMLA would be used only at the employee's request

Administrative Leave

An employee may be placed on administrative leave during:

- A state of emergency, as defined in the Personnel Rules;
- An investigation of alleged wrongdoing by the employee;
- A disciplinary or dismissal process.

Consult with the ADOA CHRO, State Personnel Rules and Chapter 10 for specific information.

Bereavement Leave

Bereavement leave may be used for the death or funeral of a:

- | | | | |
|-----------------|--------------------|------------------|-------------------|
| • Spouse | • Natural Parent | • Grandparent | • Sister-In-Law |
| • Natural Child | • Stepparent | • Grandchild | • Mother-In-Law |
| • Adopted Child | • Adoptive Parent | • Brother | • Father-In-Law |
| • Foster Child | • Who functioned | • Sister | • Son-In Law |
| • Stepchild | “In Loco Parentis” | • Brother-In-Law | • Daughter-In-Law |

Use of approved paid bereavement leave:

- Up to 24 hours if the employee remains in state
- Up to 40 hours if the employee travels out of State for the funeral
- Part-time employees may be eligible to be absent with pay for a proportional amount of bereavement leave at the next lower rate
- An employee who works less than ¼ time is not eligible for bereavement leave

Civic Duty Leave

This category can only be used when an employee:

- Serves as a juror
- Complies with a subpoena
- Voting
- Performs official duties as a member of a governmental board, commission or similarly constituted governmental body.

Civic duty leave may not be approved if the employee is subpoenaed regarding their commercial business or personal matters.

Employees are required to report to work whenever their presence is not required for the civic duty unless the distance to work precludes timely reporting to the civic duty (1 hour of full work time).

Employees who receive payments from the courts may cash their check and must submit the stub to the PC. Except for mileage allowances, juror or witness fees must be reimbursed to the agency.

State Holidays

- Permanent and temporary status employees are eligible to receive pay for 10 holidays each calendar year
- Holiday pay is paid proportionately to the employees established FTE
- To be paid the employee must be:
 - Regularly scheduled to work on the holiday
 - Be in an approved pay status the day before and after the holiday

A holiday that falls on a Sunday is observed the following Monday and a holiday that falls on a Saturday is observed the preceding Friday.

For a list of all holidays go to: http://www.hr.az.gov/additionalpages/ad_state_holidays.asp.

Annual Leave Carryover Limit - Request to Exceed Limit

Annual carryover limits are based on calendar year balances and employees may request approval to exceed the carryover limit.

Each year during the month of October, the Director will send notification reminding ADOA AD's that employees should be managing their annual leave balances and advise that exceptions to annual leave carryover may be requested by the designated deadline.



ADOA Process – Annual Leave Carry-Over Limits:

- ➔ ADOA CHRO will notify PC's of employees who are at risk of losing excess annual leave and provide them with the Annual Leave Carryover Request Application Form
- ➔ PC will contact eligible employees and provide them the form
- ➔ The form will be completed by the employee and forwarded to their immediate supervisor, unit manager and Division AD for approval
- ➔ If approved, it will be forwarded to the Director for approval
- ➔ ADOA Payroll will add hours back to the employees annual leave bucket after the first pay period of the calendar year

Annual Leave Payouts for Non-Separating Employees

Employees may receive payment for all or a portion of their annual leave. The request for payment may be management or employee initiated. The policy and request form can be found on the ADOA Intranet under Policies.

For comprehensive and detailed instructions refer to http://www.hr.state.az.us/PolicyLegislativeAffairs/PLA_ADOA_Policies.asp.



ADOA Process – Annual Leave Payouts for Non-Separating Employees:

Employee initiated:

- ➔ Employee completes Request for Payment of Annual Leave Form
- ➔ Form is submitted to immediate supervisor for approval or denial of request
- ➔ Supervisor forwards the request to the division AD
- ➔ If AD approves the request, the form is forwarded to the ADOA Director's Office
 - ADOA Budget Manager determines if sufficient funding is available and forwards request to Deputy Director
- ➔ Deputy Director approves and forwards request to Director for approval
- ➔ Director approves or denies request
- ➔ If approved, the form is forwarded to ADOA Payroll for processing
- ➔ ADOA Payroll retains the original requests, and copies are distributed to the employee, the employee's supervisor, and the division AD

Management initiated:

- ➔ Manager:
 - Considers all similarly situated employees in the manager's section/unit
 - Completes a Request for Payment of Annual Leave form for each employee including:
 - ✓ Number of hours of annual leave to be paid for each employee
 - ✓ Justification statements and supporting documentation
 - ✓ Calculation of the estimated cost (gross) of the payment for each employee
 - If payment will decrease annual leave balance to below 240/320 hours the employee's written concurrence is required
- ➔ Manager forwards the request to the division AD
- ➔ Division AD approves and forwards the request to the ADOA Director's Office
 - ADOA Budget Manager determines if sufficient funding is available and forwards to Deputy Director
- ➔ Deputy Director approves and forwards request to Director for approval
- ➔ Director reviews the request and indicates approval or denial
- ➔ If approved, the Director's office forwards the request to ADOA Payroll for processing
 - ADOA Payroll retains the original documentation and provides written notice to the employee, with copies to the manager who initiated the request and Division AD
- ➔ If, at any level, the employee's request is denied, the request shall be returned to the manager with a statement explaining the reason(s) for the denial.

CHAPTER 10 – Disciplinary Actions

When deemed appropriate, an employee must be addressed for behavior and performance deficiencies. The goal of any disciplinary action is to lead to improved employee behavior and/or performance. **HRD strongly recommends consulting with the ADOA CHRO prior to taking any disciplinary action.**

- Covered employees must be disciplined for cause pursuant to ARS §41-773 and be informed of their grievance or appeal rights
 - Policy: ADOA/HRD PB4.01
- Uncovered employees do not have grievance or appeal rights.

The best interests of the employee, the agency, the unit, and the State must be kept in mind when making disciplinary decisions.

Progressive Discipline

To determine which level of discipline is appropriate, each case must be evaluated on its own merit and reviewed by appropriate management levels for concurrence. The act or continued acts will determine the discipline to be administered.

Informal Disciplinary Actions

Type of Discipline	Template Letter(s) Location
Verbal Counseling	N/A – supervisor to maintain notes
Employee Counseling Session Form	Ballyhoo Docs
Memo of Concern	ADOA HR Professional – Forms and Templates AG Agency Handbook

* Copy to be kept in the supervisor file – Original given to employee

Formal Disciplinary Actions

Type of Discipline	Template Letter(s) Location
Letter of Reprimand	ADOA HR Professional – Forms and Templates AG Agency Handbook Policy: ASPS/HRD-PA8.01
Suspension	
Demotion	
Dismissal	

* Copy to be filed in the employee’s Personnel File – Original given to employee

Required Components for Formal Discipline

- Employee’s position duties and responsibilities
- Clear and specific description of misconduct – include date, time and location as applicable
- Clear description of correct conduct – how/what employee should have done
- Description of supervisors expectation for future behavior / performance
- Notice that further misconduct will lead to harsher discipline
- Notice of employee grievance or appeal rights to the State Personnel Board
 - Covered employees have rights
 - Uncovered employees have no rights

CHAPTER 11 – Other PC Responsibilities

The PC is responsible for generating actions and actively maintaining the actions in order to ensure the proper execution of various interdependent functions.

Supervisor Codes

It is extremely important that supervisor codes and links are kept up-to-date and accurate in HRIS as they:

- Ensure supervisory access to employees for:
 - ETE Approval
 - MAP Administration Process
- Identify if an employee is in a supervisory position

Every position must report to someone (Direct Supervisor) however every position is not a supervisor (Supervisor Link).

Direct Supervisor

- Identifies positions (employee) that report to a supervisory position (manager)
- Direct Supervisor codes are linked to positions and not employees
- Every position requires a Direct Supervisor code

Supervisor Link

- Identifies positions with supervisory responsibilities
- Supervisor Links are linked to positions and not employees

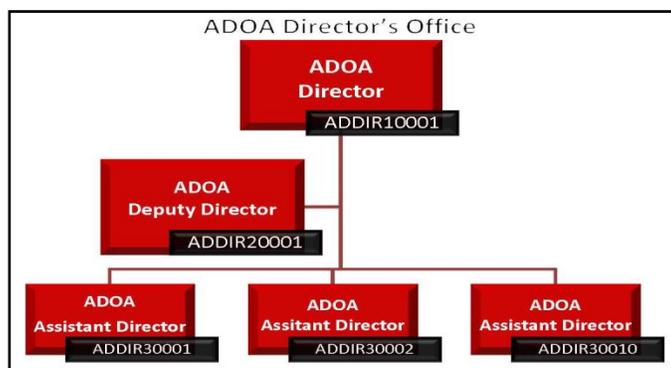
Indirect Supervisor Codes

Some ADOA divisions have employees that are assigned in other agencies. These ADOA employees have direct reports that are employees of the agency and not ADOA. The Indirect Supervisor code enables appraisals to go to the Agency upline supervisor and not the ADOA employee's upline supervisor.

Supervisor Code / Link Formats

Codes follow this simple format: **XXXXXYZZZ**

- **XXXXX** represents the five character agency process level
- **YY** represents the two digit management level
- **ZZZ** represents a three character unique identifier





ADOA Process – Changing or Establishing a Supervisor Code/Link:

- ➔ Email HRD Operations with:
 - The request to either change or establish a supervisor code
 - Provide the division’s organizational chart to determine management level and unique identifier
 - Provide EIN’s of all direct reports
- ➔ Once supervisor code / link is established, HRD Operations will email PC with the code / link

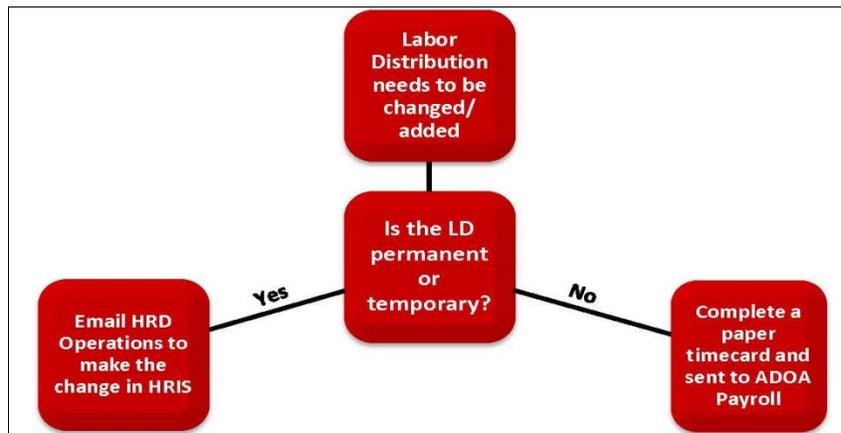
➤ Labor Distribution

Every Position in the HRIS has an associated Labor Distribution (LD), which determines how payroll expenditures will post to the Arizona Financial Information System (AFIS). If there is ever a doubt about what LD should be used, contact budget’s office ASO.

Each fiscal year end, the General Accounting Office (GAO) will update the sub-account on all active positions. If there is an error, LD on positions will not be updated and the PC will be contacted to make the correction.



ADOA Process – Changing/Adding a Position’s LD



➤ Deceased Employee Reference Guide

In the event of an employee’s death the PC needs to be aware of immediate actions that need to happen and be ready to provide guidance to their division management.

The [Deceased Employee Guide](#) was developed to serve as a resource that outlines the actions that need to be taken when an active employee passes away. The guide covers:

- Information for Agency Management, Human Resources and Payroll Roles and Responsibilities of Agency Staff
- Important Information and Resources for Human Resources and Payroll Staff Communications (conversation tips, sample condolence letters, agency notifications and sample letter from agency human resources to survivor)
- Agency Payroll Guidelines
- Resources for Employees (Booklet: [Being Prepared](#))

Separation of a State Employee

An employee may separate from State Employment for any number of reasons:

- Voluntary Separation – Resignation / Interagency Transfer
- Involuntary Separation - Dismissal
- Death
- Permanent incapacity
- Retirement

An employee separation, whether voluntary or involuntary, requires discretion, empathy, planning and structure. Employee separation is the process of ensuring that an employee who quits the company is exited in an organized manner.

Separation Checklist

Whenever possible, using a separation checklist can provide assistance to PC's and supervisors to ensure that all areas of importance are covered with the employee and/or all State property is returned.

**Arizona Department of Administration
Employee Separation Checklist**

Separation Date: _____

- Submitted a written letter of resignation
- Forwarding address and phone number changed through Y.E.S.
- Changed telephone voice message; forwarded to appropriate staff
- Email reply posted advising of separation
- Computer workstation cleaned; personal files/folders deleted, project files moved to shared drive or forwarded to supervisor
- Ensured all State property has been returned including, but not limited to:
 - Laptop, projector, cell phone, pager, any other electronics
 - Office equipment, manuals, documentation, etc.
 - ID badge, parking permit, etc
 - All keys and locks
 - Uniforms
 - Bus Card
 - Other _____
- All personal belongings have been removed
- If I have a sick leave balance of 500 hours or more, contact ADOA/GAO at (602) 542-6222 or access Arizona Retiree Accumulated Sick Leave Program (RASL) information through Y.E.S.
- W-2 can be obtained through YES for 5 years after separation
- Y.E.S can continue to be accessed with current EIN and password
- Final paycheck and any subsequent mailing will be mailed to address of record in HRIS. Address changes can be made by the employee at anytime through Y.E.S.

I certify that all State property has been returned. Further, I certify that I am under no financial obligation to the State (e.g. signing bonus, tuition requirements, etc.), nor have I committed the State to future financial obligations (subscriptions, memberships, etc.)

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

*For a copy of the Employee Separations Checklist contact the ADOA CHRO.

HR Notification of Employee Separation

The PC is responsible for notifying HRD Operations of the employee separation.



ADOA Process – Separating an Employee

- PC will complete the [PAF](#)
- Prepare the [PAF](#) and supporting documentation for Director's signature
- Forward the signed [PAF](#) and resignation/retirement letter (as applicable) to HRD Operations
- HRD Operations will place the employee in a "Pending Final Pay" status; T1, R1, U1; thus:
 - Terminating benefits on the last day of the pay period
 - Notify ADOA Benefits to generate the required COBRA notification
 - Notify ASET to disable computer/email access
 - Generate the Exit Interview instructions to be mailed to the former employee's address of record

Final Timecard / Leave Pay-out

The PC is responsible for ensuring that payroll is aware of the employee separation to ensure that final pay for hours worked and any annual leave and/or compensatory leave is paid-out. A copy of the separation [PAF](#) and final timecard must be forwarded to payroll on or before the employee's last day.

For dismissed employees, federal law requires payment of final wages be made within 10 calendar days. Proper notification to payroll will ensure compliance with the law.