



"Service with Excellence
& Integrity"

Arkansas Department of Community Correction

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ADMINISTRATIVE DIRECTIVE: 09-06 EMPLOYEE PERFORMANCE EVALUATION

TO: DEPARTMENT OF COMMUNITY CORRECTION (DCC) EMPLOYEES

FROM: G. DAVID GUNTARP, DIRECTOR

SUPERSEDES: AD 07-09

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APPROVED: Signature on File

EFFECTIVE: July 1, 2009

- I. APPLICABILITY.** This policy applies to Department of Community Correction (DCC) employees.
- II. POLICY.** It is DCC policy to administer an employee performance evaluation (PE) system which measures performance and encourages communication between raters and the employees they supervise. The employee PE system will operate within legal parameters and guidelines published by the Office of Personnel Management (OPM). Nothing contained in DCC policies, handbooks, applications, or other documents, or the granting of any interview or the placement in a probationary status or any other administrative act creates, constitutes, or implies a contract between an individual and DCC for either employment or the provision of benefits. The DCC does not guarantee continued employment for any specific period of time and employment can be terminated with or without cause, and with or without notice, at any time, at the option of either the DCC or the employee pursuant to the at-will employment doctrine. (4-ACRS-7B-06 and 3-3061; 2-CO-1C-21)
- III. DEFINITIONS.**
 - A. Exceeds Standards.** Performance consistently exceeds position requirements and management expectations. Resourcefulness and depth of knowledge are of the highest quality. Assignments are accomplished in an exceptional manner with minimal direction and are characterized by outstanding achievements seldom accomplished with the agency.

- B. Executive Staff.** The DCC Director, Chief Deputy Director, Deputy Director Parole/Probation Services, Deputy Director Residential Services, and Deputy Director Administrative Services.
- C. Functional Job Description and Tasks.** A description of the specific responsibilities, duties, and significant tasks assigned to an employee.
- D. Highly Satisfactory.** On a regular basis, performance is characterized by high quality and quantity of work that exceeds most position requirements, key objectives, and management expectations. Employee demonstrates outstanding skills and abilities, and assignments are accomplished in a highly effective manner with limited guidance and direction.
- E. Merit Increase.** A pay increase based solely upon employee job performance.
- F. Needs Improvement.** Performance does not consistently meet management expectations; employee requires more than normal guidance and direction; and/or improvement and/or development are necessary if the rater elects to continue employment with the incumbent.
- G. Performance Evaluation.** A formal assessment of an employee's job performance.
- H. Performance Factors.** Elements on which the employee will be rated.
- I. Rater.** The supervisor responsible for developing performance plans and functional job descriptions/tasks, and evaluating employee job performance.
- J. Rating Period.** The period subject to work performance review.
- K. Reviewing Official.** The rater's supervisor or a higher level supervisor designated to review performance evaluation plans and ratings.
- L. Satisfactory.** Performance meets all or most and may occasionally exceed work objectives and management expectations. Employee demonstrates good knowledge of job duties and assignments are accomplished effectively with normal supervisory guidance.
- M. Senior Management.** Assistant Director of Parole/Probation Services, Assistant Director Treatment Services (P/P & Residential), Center Supervisors, Information Systems Administrator, Comptroller, Attorney Specialist, Planning Management Services Administrator, and Human Resources Administrator.
- N. Unsatisfactory.** Performance does not consistently meet management expectations; employee requires more than normal guidance and direction. Improvement and/or development are necessary if the rater elects to continue employment with the incumbent.

IV. GUIDELINES.

- A. Job tasks, Duties and Responsibilities.** OPM develops generic specifications for each job classification which include general examples of duties that might be performed. Supervisors (raters) develop functional job descriptions with tasks to communicate the specific DCC functional activities. The functional job description and tasks (primary tasks, duties and responsibilities) and performance factors are meant to guide the employees during the rating period and are not intended to address every minute of the workday. Employees are responsible for contacting their supervisors for clarification when needed. Assigned functional job tasks, duties and responsibilities may not be contested or refused.
- B. Rating Employees.** A rater must have the ability to determine the quality and quantity of employee work; complete the PE training conducted or approved by the OPM within 6 months of assuming supervisory duties; be familiar with the duties and responsibilities to be performed by the employees to be evaluated; and be in a position to periodically observe, review and document employee job performance. An annual PE must be completed on each employee supervised. Throughout the evaluation period, the rater should monitor performance and provide appropriate feedback to the employee. It is important that employees have the opportunity to provide input into the performance review process. Prior to the end of the rating period and before the performance review is conducted, the employee may provide performance input which will be considered by the rater along with employee achievements. PE ratings require prior approval and sign-off of the reviewing official before discussion with the employee. Afterwards, the rater must discuss the approved PE with the employee, secure the employee's signature, and forward all original documents to the HRS.
- C. Performance and Merit Levels.** Performance levels are used to indicate an employee's achievement on each performance factor. The five performance levels are Exceeds Standards, Highly Satisfactory, Satisfactory, Needs Improvement, and Unsatisfactory. Performance levels and factors are described in detail on the performance evaluation form. An employee shall be eligible for a merit increase as determined by the Chief Fiscal Officer of the State. Merit increases are dependent upon meeting established criteria and the availability of funds.
- D. Unsatisfactory Performance.** A performance evaluation reflects the employee's performance for the preceding year and once submitted and approved, results and scores cannot be revised. If an evaluation indicates an "Unsatisfactory" or "Needs Improvement" in one or more categorical rating areas or an employee has an overall rating performance factor of "Unsatisfactory" or "Needs Improvement", a supervisor may take disciplinary action up to and including termination and/or place an employee on probation. Appropriate documentation should support this assessment.

During a probationary period, supervisors should counsel employees and may impose or extend the employee's probation for up to 90 calendar days for less than satisfactory

job performance. Executive staff may approve one additional 90 day period of probation for employees showing marked improvement but who are still not performing satisfactorily. A supervisor does not have to wait until the probationary period has been completed to end employment.

E. Merit Increase

1. Eligibility Requirements. The employee must have completed at least 6 months in a regular salaried classified or unclassified position and has not been laterally transferred (from outside DCC), promoted, involuntary/voluntarily demoted or rehired within the last six months; OR is on extended leave (such as military or extended military, catastrophic leave or leave without pay); AND met the annual training requirements; AND has not been disciplined for a violation of the Code (excluding verbal warnings), AND has an overall PE score equivalent of “satisfactory” or above, with no “unsatisfactory” or “needs improvement” categories checked. Additionally, if the rater is a supervisor, he/she must have timely submitted all required PE reviews to HRS on the employees he/she supervises.
2. Increase Eligibility Dates and Performance Cycles. While most increase eligibility dates fall on October 1, with the performance cycle running from October 1 through September 30, others are as calculated based on the latest hire date, as provided by the DCC HR Administrator following hire. PE documents must be completed and submitted to HRS 30 days prior to the merit increase eligibility date to allow for appeal, if necessary. The rating period is six to eleven months, beginning on the employee’s increase eligibility date.
3. Untimely PE Reports. The HR Administrator will ensure that all PEs are date stamped when received in HR, reviewed for timeliness, and if untimely, indicate the same on the PE Transmittal document and forward instructions to the appropriate party. Raters who fail to complete a timely evaluation of an employee (including extension due to appeal) shall forfeit the next opportunity for a merit increase.
4. Payments. Merit increase payments are made contingent upon availability of funds and satisfaction of the merit increase requirements. Payment will be added to the employee’s base salary for the purposes of retirement. Increases for classified employees will be added to the salary rate if it does not result in the employee’s salary exceeding pay level IV of the grade. Unclassified employees and classified employees whose merit increases would result in exceeding pay level IV will receive a lump sum payment effective on the date established by the Office of Personnel Management.

V. PROCEDURES.

- A. Employee.** An employee should maintain records of job duties performed, recognition, training, and other accomplishments, and provide desired input using Form 2, “Employee Performance Evaluation Input” to the supervisor at least 45 days prior to the end of the rating period.
- B. Rater.** Raters (supervisors) manage the performance evaluation process as follows:
1. Functional Job Description and Tasks. Supervisors must develop and review the Functional Job Description and Tasks annually (revising as appropriate) for each subordinate, using Form 1, “Functional Job Description and Tasks”. Supervisors should consider employee questions, concerns or recommendations regarding the job description; however, the supervisor has the final authority to prescribe job duties and tasks. Employee and supervisor signatures are affixed to indicate understanding. The supervisor must provide a signed copy to the employee at the beginning of each rating period if changes are made.
 2. PE Forms. Supervisors must ensure employees have or have access to a copy of the appropriate “Performance Evaluation” form and the Functional Job Description at the beginning of the rating period. The forms attached to this policy will be used for documenting DCC employee performance as follows: Form 3 EXE Executive staff; Form 3 SRM Senior Management; and Form 3 EMP all other DCC employees.
 3. During Rating Period. Supervisors must monitor employee performance. If the rater determines an employee’s performance has fallen below satisfactory in one or more factors, he or she should counsel the employee and, if warranted, place him/her on performance probation and document the action. The rater must provide constructive feedback and encourage the employee to perform his/her best. When substantial changes in the job occur, the supervisor must promptly update the Functional Job Description/Tasks and provide a signed copy to the employee.
 4. End of Rating Period. The rater must perform the following:
 - a. Schedule the review and, obtain and consider any employee performance input provided in the Employee PE Input (Form 2).
 - b. Accurately rate the employee’s performance on the Performance Evaluation form, considering any employee’s performance input, contents of the supervisor’s file, and knowledge of the employee’s performance. Scores above or below satisfactory must be justified in writing.
 - c. Prior to any performance review with the employee, forward the completed Performance Evaluation with the Employee PE Input, if submitted, to the reviewing official for comment and signature.

- d. Make appropriate adjustments based on reviewing official comments.
 - e. Review the Performance Evaluation with the employee and obtain his/her signature and any comments. Also have the employee re-sign the agency Code of Ethics and Rules of Conduct Acknowledgement form.
 - f. Forward the Functional Job Description and Tasks (if revised), PE and Employee Self-Evaluation to HRS within the required timeframe, using the "Performance Evaluation Transmittal Letter."
5. Processing Delays. As soon as a supervisor realizes that an appeal will delay submission beyond the employee's increase eligibility date, he/she must notify the HRS Administrator.

C. Reviewing Official. The responsibilities of the reviewing official are as follows:

1. Ensure duty areas and tasks are clearly expressed, aligned with the job classification, and lead to established goals, objectives, mission, expected practices and outcomes.
2. Ensure ratings are timely, fair, and consistent with recorded performance results. Employee comments concerning the evaluation are appropriately addressed, appeals are resolved, and documentation justifies ratings.
3. Ensure employee concerns are appropriately addressed and any necessary appeals process is observed and resolved.

D. Administering the Overall Performance Evaluation Process.

1. The HRS Administrator is responsible for managing, monitoring, evaluating, reporting, tracking ratings and submitting reports of any unusual pattern to the reviewing official and the Chief Deputy Director. The Chief Deputy Director will report general and unresolved issues to the appropriate Deputy Director with a copy to the Director, and ensure the preparation and submission of OPM reports, maintenance of appropriate files, and provision of technical assistance to supervisors. The HRS Administrator will also report tardy submission of PE's to the employee's reviewing official and the Chief Deputy Director. The HRS Administrator is responsible for submitting evaluation scores to OPM in accordance with OPM standards.
2. DCC performance evaluation activity is subject to reporting by OPM to the Legislative Council when a supervisor fails to prepare and submit an employee evaluation at least once in a twelve (12) month period for each employee he/she supervises. Also, DCC raters and the Director are subject to appear before the Arkansas Legislative Council to explain questionable ratings identified by the OPM.

3. Once a PE report (signed by the rater, reviewing official, and employee) is forwarded to HRS, it cannot be changed, except as the result of the appeals process, and within the timeframes reflected in this policy.

E. Interim Reports. A PE may be completed if the employee or supervisor is terminating employment or changing duties and the employee has worked in a job position 90 calendar days or more under the same supervisor. The PE is completed and processed in the same manner as an end of period report and must be clearly marked “Interim Report.” The start and end dates of the abbreviated rating period should also be indicated. Supervisors must consider interim reports as supplementary information when writing the end of period PE. These performance reports may be obtained from HRS.

F. Appeal

1. General Information. Unless alleging unlawful discrimination, performance evaluations may not be appealed through the Employee Grievance Procedures. However, PEs for non-probationary employees may be appealed through the provisions of this policy. The Equal Employment Opportunity (EEO)/Grievance Officer will coordinate the PE appeal process and provide guidance when necessary. The Director or Reviewing Official may intervene at any step in the process to resolve the appeal. Once a written appeal is submitted, it cannot be amended. An appealed PE is an issue between the employee and the rater and no representation for either party is allowed. The appellant, rater or reviewing official may submit relevant information at any step of the appeal process. Relevancy of information requested or submitted will be determined by the EEO/Grievance Officer. An appeal may be terminated at any stage when an agreement between the parties is reached.
2. Process.
 - a. **Employee.** A non-probationary employee may initiate an appeal of his/her PE by completing and submitting an “Appeal of Performance Evaluation” to the DCC EEO/Grievance Officer within five (5) working days of receiving the rater’s performance rating. The EEO/Grievance Officer will provide a copy of the appeal to the supervisor and reviewing official.
 - b. **Reviewing Official.** The reviewing official has ten (10) working days to make a decision on the appeal and may choose to meet with the employee and/or rater in an effort to resolve the situation. The reviewing official will complete the appropriate block of the appeal form indicating one of the following decisions:
 - (1) Consensus was reached between the rater and employee and a revised or replacement evaluation or other solution satisfactory to both parties will be taken; OR,

(2) An agreement cannot be reached and a Director's decision is requested to resolve the matter.

c. EEO/Grievance Officer. Upon receiving an appeal packet, the EEO/Grievance Officer will take one of the following actions:

(1) Close the appeal action if the reviewing official or rater successfully resolved the appeal, or

(2) Schedule a meeting with the employee, rater and reviewing official and gain consensus, or

(3) Convene an appeals committee hearing following the time lines in the Administrative Directive on Employee Grievance procedures, and/or

(4) Make an appropriate recommendation to the Director, Chief Deputy Director or Deputy Directors, as appropriate, to resolve the situation.

G. Appeals Committee. The EEO/Grievance Officer may activate an appeal committee when the supervisory chain is unable to resolve an appeal, as appropriate. The appeal committee consists of 3 members selected by the EEO/Grievance Officer from the pool of employees designated for this purpose and the EEO/Grievance Officer who serves as a non-voting chairperson. Meetings should not exceed one (1) hour with the time divided equitably between the employee and the rater/reviewing official. A summary of the committee recommendation will be forwarded to the Director or appropriate Deputy Director for approval or modification as considered appropriate. A decision of the Director or appropriate Deputy Director will be given to the EEO Grievance Officer within 15 working days. The decision is final and binding on all parties. The EEO/Grievance Officer will notify the reviewing official, rater, and employee of the decision. The EEO/Grievance Officer will maintain completed paperwork as appropriate.

VI. ATTACHMENTS.

AD 09-06 Form 1	Functional Job Description and Tasks
AD 09-06 Form 2	Employee Performance Evaluation Input
AD 09-06 Form 3 EMP	Employee Performance Evaluation
AD 09-06 Form 3 EXE	Executive Staff – Employee Performance Evaluation
AD 09-06 Form 3 SRM	Senior Management – Employee Performance Evaluation
AD 09-06 Form 4	Appeal of Performance Evaluation
AD 09-06 Form 5	Performance Evaluation Transmittal
AD 09-Attachment A	Reporting Performance Evaluation Scores to the Office of Personnel Management (For Human Resources Use Only)

Arkansas Department of Community Correction
EMPLOYEE PERFORMANCE EVALUATION INPUT

Employee's Name _____ Personnel No. _____ Position No. _____

Job Title _____ Rating Period from: _____ To: _____

Instructions. Provide comments and justifications, as appropriate, below each item, including any specific character traits demonstrated in your day-to-day work performance. Submit this form before the scheduled employee PE review date.

PROFESSIONALISM [*Demeanor and behavior within and external to the agency; enthusiasm and cooperation; adheres to policies and procedures; gives credit where credit is due; places importance on others' opinions and job related interests; get the cooperation of employees and associates, etc*]

Comments: {Type here; row will expand for more text }

QUALITY OF WORK [*Degree of correctness of work you performed; accuracy & skill regardless of work quantity; neatness & thoroughness in completing assignments; usability & dependability of results; professional/technical competence.*]

Comments: {Type here; row will expand for more text }

QUANTITY OF WORK [*Amount of acceptable work you produced during work period; circumstance under which work is performed; amount of work produced relative to employee's skill; achievements/usable results from personal efforts.*]

Comments: {Type here; row will expand for more text }

JOB KNOWLEDGE [*Has information/understanding/familiarity concerning work duties to the level of satisfactory or above job performance; practical & theoretical knowledge gained through work experience, education & training; understands job relevance to other DCC jobs; has comprehensive knowledge required for job; familiar with other DCC programs & requirements.*]

Comments: {Type here; row will expand for more text }

SELF-IMPROVEMENT [*The self generated effort expended for overall improvement.]*

Comments: {Type here; row will expand for more text }

ACCEPTABILITY [*Ability to get along with others; maintain respect and confidence of others in work environment.*]

Comments: {Type here; row will expand for more text }

PUBLIC RELATIONS [*The manner in which you deal with the public through telephone conversation, correspondence or face-to-face contact.*]

Comments: {Type here; row will expand for more text }

EMPLOYEE RELATIONS [*The degree to which an employee gets along with other employees on the job; inspires others to greater determination and unity of purpose; places importance on the opinions and interests of others; cooperates with employees and associates to achieve the goals of a team; constructively contributes to work activity appreciated by others.*]

Comments: {Type here; row will expand for more text }

DECISION MAKING [*Willingness and ability to arrive at a conclusion or a course of action, explain, and understand the ramifications of the decision; decisive; recognizes key factors and finalizes difficult decisions.*]

Comments: {Type here; row will expand for more text }

ORGANIZING ABILITY [*Structures work to allow accomplishments of the job responsibility in an orderly and efficient manner.*]

Comments: {Type here; row will expand for more text }

RESPONSIBILITY [*Knowing and doing what is expected of you; willingness to assume and conscientiously discharge the obligation of the assigned duties and responsibilities; the degree to which employee reports for and remains at work as required.*]

Comments: {Type here; row will expand for more text }

LEADERSHIP (Complete only if the employee periodically/regularly supervises employees) [*Inspires others to greater determination and unity of purpose; gains consensus for positive changes or recommendations; encourages subordinates & other co-workers to resolve issues within their control; gives credit where it is due; consistently represents the agency philosophy; speaks out to correct inappropriate action.*]

Comments: {Type here; row will expand for more text }

SUPERVISION (Complete only if the employee periodically/regularly supervises employees). [Assign tasks, fairly evaluates job performance; manages people, provides clear instruction and guidance, effectively communicates with staff, follows policy, trains staff, etc..]

Comments: {Type here; row will expand for more text }

Employee Name	Date	Title
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Arkansas Department of Community Correction
EMPLOYEE PERFORMANCE EVALUATION

Annual Report

Interim Report

Employee's Name _____ Personnel No. _____ Position No. _____
(Last, First, MI)

Job Title _____ Increase Eligibility Date: _____

Rating Period from: _____ To: _____

Location: _____

FLSA Status: Non-Exempt Exempt Supervises staff

Rater's Name _____ Title: _____ Phone: _____

The purpose of the a performance evaluation is to provide a means to objectively assess and improve overall employee job performance by offering constructive advice on strengths and areas that are in need of improvement. If this is an interim report, in the top margin clearly mark "interim report" and indicate the reporting time frame. The supervisor must evaluate the employee's performance, considering any employee input provided, obtaining the reviewing official's approval, discussing the report with the employee, obtaining the employee's signature, and providing a copy to the employee. Note: Consider specific aspects of the Character First program, which should be exhibited with a position and how well that employee demonstrates that characteristic. The employee's signature indicates awareness and receipt of the performance evaluation, and the understanding that the report will become a part of the employee's permanent personnel record. If the employee refuses to sign the report, it will be so stated under employee comments and a superior must sign that the employee refused to sign the form. Following evaluations, the supervisor must discuss the criteria for the upcoming rating period and have the employee acknowledge receipt of the functional job description (with any appropriate changes) for the new rating period. Supervisors must timely submit the completed PE packet (PE and associated documents) to HRS. Attach additional sheets of documentation if needed. **Any rating below or above satisfactory must be justified in writing.**

DEFINITIONS OF PERFORMANCE LEVELS

Exceeds Standards = 5 points – The employee's performance is clearly superior in meeting requirements of the job leaving little, if anything, to be desired. The employee has excellent work habits and follows through. Depth of knowledge of all processes related to the job is unexcelled. Very little, if any, direction is required. The employee consistently demonstrates exceptional level of performance. The employee's own high standards have either increased the effectiveness of the unit or set the example for others to follow. This rating characterizes an excellent employee who consistently does far more than what is expected or required.

Highly Satisfactory = 4 points – The employee's performance regularly meets and often exceeds the requirements of the job. The employee demonstrates a desire and ability to exceed an acceptable or satisfactory level of performance and has a thorough understanding of all processes related to the job. This rating characterizes the employee as doing more than what is expected or more than what the job requires.

Satisfactory = 3 points – The employee's job performance is at a satisfactory level. Performance is reasonably adequate and the employee regularly meets work requirements. The employee demonstrates willingness and ability to meet an acceptable level of performance and understands processes and the importance of each process related to the job. This rating characterizes the employee as doing the job in a fully satisfactory manner.

Needs Improvement = 2 points – The employee's performance sometimes fails to meet job standards. The employee is inconsistent in attending to details and has little understanding of the processes involved in the job. The employee has demonstrated some willingness and ability to improve performance through additional education and training. This rating indicates performance that is less than satisfactory and requires corrective action to improve performance.

Unsatisfactory = 1 point – The employee's performance clearly and consistently fails to meet the requirements of the job. The employee shows either unwillingness or an inability to improve. This rating indicates inadequate and unacceptable performance. Continued employment is in doubt.

**Arkansas Department of Community Correction
EMPLOYEE PERFORMANCE EVALUATION**

Annual Report

Interim Report

Employee's Name _____ Personnel No. _____ Position No. _____
(Last, First, MI)

Job Title _____ Increase Eligibility Date: _____

Rating Period from: _____ To: _____

PERFORMANCE FACTORS

PROFESSIONALISM – The overall demeanor and exhibited behavior of the employee both within and external to the agency.

Consider: Enthusiasm, demeanor, cooperation, behavior; adherence to agency policies and procedures; degree of employee's interest in the job and assigned duties; efforts to improve performance; positive, inquiring, progressive, cynical; respect for opinions and viewpoints of others; acceptance of guidelines and instructions; discernment; discretion, avoiding words and actions that could bring undesirable consequences; best efforts on a task; character; honor, respect for authority and other in leadership; self-control, rejects wrong desires; appearance; inspires others to greater determination and unity of purpose; gives credit where credit is due; gains cooperation of employees and associates on team projects; and makes positive contributions to the team effort.

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

QUALITY OF WORK – The degree of correctness of work performed.

Consider: Accuracy and skill regardless of quantity of work; neatness and thoroughness in completing work requirements; usability and dependability of results; professionalism and/or technical competence. Demonstrates Dependability, fulfilling their assigned tasks and obligations even if it means unexpected sacrifice; Diligence, investing time and energy to complete each assigned task correctly; Thoroughness, knowing what factors diminish the effectiveness of their work or words if neglected; Initiative, recognize and do what needs to be done before they are asked to do it; or Responsibility, knowing and doing what is expected.

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

QUANTITY OF WORK – The amount of acceptable work produced during a work period.

Consider: Circumstances under which work is performed. Amount of work produced relative to employee's skill; amount of work done; achievements resulting from personal effort and usable results. Does employee accept and perform their duties without others having to assume them? Demonstrate Creativity, approaching a need, task or idea from a new perspective; Flexible, willing to change plans or ideas according to the supervisor direction; Orderly, arranges work activities to achieve greater efficiency; or Resourceful, finds practical uses for that which others would overlook or discard.

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

JOB KNOWLEDGE – Information concerning work duties which an individual should know for a satisfactory job performance.

Consider: How well the employee knows the elements of the job? Level of practical knowledge gained through work experience; level of theoretical knowledge gained through education and training; does employee understand how the job relates to other DCC jobs and departments? Current and comprehensive knowledge of the subject matter required in present position? Familiarity with inter-related programs and requirements?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

SELF-IMPROVEMENT – The self generated effort the employee is willing to expend for overall improvement.

Consider: Efforts to expand understanding and knowledge beyond the current level and/or maintain professional competence in the employee's field. Employee efforts to broaden knowledge of the job, the department, and how it relates to the overall operation? Participation in in-house and external education and training programs above the required agency minimum?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

Arkansas Department of Community Correction
EMPLOYEE PERFORMANCE EVALUATION

Annual Report

Interim Report

Employee's Name (Last, First, MI) _____ Personnel No. _____ Position No. _____
Job Title _____ Increase Eligibility Date: _____
Rating Period from: _____ To: _____

ACCEPTABILITY – Ability to get along with others; work in a cooperative and professional manner and to maintain respect and confidence.

Consider: Employee has his/her associates' confidence and respect? Employees success in moving first impression to increasing respect in successive contacts? Is employee too blunt in expressing ideas? Do others feel at ease discussing matters with the employee? Is employee insincere, aloof, and not always straight forward? Does employee have the respect of those in lower than, equal to, and above his/her own position? Is employee inclined to be egotistical, domineering, and vindictive? Employee demonstrates Discretion, avoiding words and actions that could bring undesirable consequences, tolerance and sensitivity?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

PUBLIC RELATIONS – The manner in which the employee deals with the public through telephone conversation, correspondence or face-to-face contact.

Consider: Honesty, tact, helpfulness and courtesy; how the employee presents himself/herself; ability to handle difficult situations. Does the employee present a good image? Is the employee discrete, hospitable and sincere?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

EMPLOYEE RELATIONS – The degree to which an employee gets along with other employees on the job.

Consider: Ability to get along with co-workers; employee's effect on the morale of other employees; ability and willingness to cooperate and be helpful to co-workers; ability to work with others under stressful work situations. How does the employee inspire others to greater determination and unity of purpose? Does the employee give credit to others where credit is due and leave others with the feeling that their opinions, interests and cooperation are important? Does the employee get the cooperation of employees and associates on team projects and does the employee make positive contributions to the team effort?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

DECISION MAKING – Willingness and ability to arrive at a conclusion or a course of action, be able to explain that decision, and understand the ramifications of that decision. Decisive, recognizes key factors and finalize difficult decisions.

Consider: Does employee appear to be hesitant and reluctant about making a decision even though all the facts on which to act are present? Are decisions based on prejudices and personal feelings? After making a sound decision, does employee defend or revise the decision because others oppose it? If new facts are presented, is employee sufficiently open minded to give serious consideration to them even though it means changing a decision? Is the employee cautious and flexible, willing to change plans or ideas according to the supervisor's direction?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

ORGANIZING ABILITY – Ability to structure the work activity to allow accomplishments of the employee's job responsibility in an orderly and efficient manner.

Consider: Has employee divided the work into different tasks that make up the total responsibility? Does employee concentrate on one or two parts of the job responsibility with little accomplished on the rest of the job? Does employee show willingness to delegate responsibility and authority? Does the employee's work environment appropriately reflect a structured environment focused on professionalism and efficiency? Is the employee attentive and orderly?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

Arkansas Department of Community Correction
EMPLOYEE PERFORMANCE EVALUATION

Annual Report

Interim Report

Employee's Name _____ Personnel No. _____ Position No. _____
(Last, First, MI)

Job Title _____ Increase Eligibility Date: _____

Rating Period from: _____ To: _____

RESPONSIBILITY AND ATTENDANCE – Knowing and doing what is expected of them; the willingness to assume and conscientiously discharge the obligation of the duties and responsibilities assigned to the position. The degree to which the employee reports for and remains at work as required.

Consider: Does the employee follow through on assignments? If something goes wrong, does employee accept responsibility or pass the buck and give excuses? Does the employee seek or avoid added responsibilities? Is the employee alert, cautious, dependable and truthful?

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

LEADERSHIP – (Complete only if employee supervises other employees) Inspiring others to greater determination and unity of purpose.

Consider: Is employee successful in guiding, directing and encouraging subordinates in performing at their best? Does employee encourage subordinates to figure things out for themselves and to take action? Does employee give credit to others where credit is due? Does employee leave others with the feeling that their opinions, interests and cooperation are important? Does employee get the cooperation of employees and associates? Is employee considerate of others, benevolent, grateful, respectful of those in leadership, persuasive or displays wisdom.

Comments: {Type here; row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

SUPERVISION – (Complete only if employee supervises other employees). How well do you assign tasks, manage people, provide clear instruction and guidance, communicate with staff, follow policy, train staff, etc.?)

Consider: Motivation of staff, delegation, organization, staffing, directing, and controlling turnover rate, managing staff complaints or unrest, exit interview comments. Preparation of staff for upward mobility.

Comments: {Type here, row will expand for more text}

Unsatisfactory Needs Improvement Satisfactory Highly Satisfactory Exceeds Standards

PERFORMANCE EVALUATION OVERALL SCORES

Employee's Name _____ **Personnel No.** _____ **Position No.** _____
Job Title _____ **Increase Eligibility Date:** _____
Rating Period from: _____ **To:** _____

Instructions: Use the workspace below to record and calculate the overall score. Non-exempt, non-supervisory employees are rated on performance factors 1 through 13. Supervisory employees are rated on performance factors 1 through 14. Add the column totals to get the overall column total, divide it by the number of performance factors that are rated. 13 or 14) to get the rating score. Reminder Obtain reviewing official signature before providing results to the employee.

	Unsatisfactory 1 point	Needs Improvement 2 points	Satisfactory 3 points	Highly Satisfactory 4 points	Exceeds Standards 5 points
1. Professionalism					
2. Quality of Work					
3. Quantity of Work					
4. Job Knowledge					
5. Self-Improvement					
6. Acceptability					
7. Public Relations					
8. Employee Relations					
9. Decision Making					
10. Organizing Ability					
11. Responsibility and Attendance					
12. Leadership					
13. Supervision					
Column Totals					

Columns Totaled = _____ Exempt/nonexempt non supervisor divide by 11 = _____ OR _____
 Exempt/nonexempt supervisor divide by 13 = _____ Your overall Rating is _____

- Instructions: Based on the numeric value of the calculated "Overall Score Rating," check the appropriate box.**
- 1 through 2.5 Unsatisfactory Must be accompanied by corrective or other personnel action
 - 2.6 through 2.9 Needs Improvement Must be accompanied by corrective and personnel action plan for obtaining satisfactory or better performance rating.
 - 3.0 through 3.7 Satisfactory
 - 3.8 through 4.4 Highly Satisfactory
 - 4.5 through 5.0 Exceeds Standards

"Unsatisfactory" or "Improvement needed" rating on a performance factor disqualifies an employee for a merit increase.

Met/Exceeded	Noncompliant	CRITERIA
<input type="checkbox"/>	<input type="checkbox"/>	Annual Training requirements – Hours acquired
<input type="checkbox"/>	<input type="checkbox"/>	Compliance with Code of Ethics and Rules of Conduct
<input type="checkbox"/>	<input type="checkbox"/>	Satisfactory or above on all performance factor(s)
<input type="checkbox"/> ELIGIBLE FOR MERIT INCREASE		<input type="checkbox"/> INELIGIBLE FOR MERIT INCREASE

SUPERVISOR COMMENTS, {Type here; row will expand for more text }

Supervisor Signature: _____	Employee # _____	Date _____
Reviewing Official Signature: _____	Employee # _____	Date _____
Employee Signature: _____	Employee # _____	Date _____

ARKANSAS DEPARTMENT OF COMMUNITY CORRECTION
Executive Staff - Employee Performance Evaluation
PART I – RATED EMPLOYEE IDENTIFICATION

Name (Last, First, MI)	Personnel No.	Class Code
Job Title	Position No.	Division

PART II – RATER IDENTIFICATION

Name (Last, First, MI)	Phone No.	Job Title
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PART III – CORE PERFORMANCE FACTORS

1. **Job Knowledge** – Thoroughly understands Governor’s/Director’s goals and objectives for agency, communicates overall objectives effectively to subordinate management and ensures program/project completeness and integrity.

Comments:

Unsatisfactory
 Needs Improvement
 Satisfactory
 Highly Satisfactory
 Exceeds Standard

2. **Accountability** – Takes ultimate responsibility for developing, administering, & maintaining agency programs, policies, and procedures. Develops and appropriately uses DCC resources to effectively & efficiently serve Arkansans.

Comments:

Unsatisfactory
 Needs Improvement
 Satisfactory
 Highly Satisfactory
 Exceeds Standard

3. **Leadership** – Effectively manages/maximizes subordinates’ talents by ensuring adequate training & encouraging trust & cooperation within the work environment. Develops/maintains professional working relationships with legislative and executive personnel.

Comments:

Unsatisfactory
 Needs Improvement
 Satisfactory
 Highly Satisfactory
 Exceeds Standard

4. **Decision Making Skills** – Identifies & understands broad issues, problems, & opportunities, compares information from different sources to draw conclusions, and determines appropriate course of action.

Comments:

Unsatisfactory
 Needs Improvement
 Satisfactory
 Highly Satisfactory
 Exceeds Standard

5. **Code of Conduct** – Demonstrates honesty, respect for others, and trustworthiness, and adheres to confidentiality policies.

Comments:

Unsatisfactory
 Needs Improvement
 Satisfactory
 Highly Satisfactory
 Exceeds Standard

PART IV – OVERALL RATING - _____ divided by 5 = _____

1-2.5 Unsatisfactory
 2.6-2.9 Needs Improvement
 3.0-3.7 Satisfactory
 3.8-4.4 Highly Satisfactory
 4.5-5.0 Exceeds

Met Trng. Required
 Complied w/Code of Ethics/Rules of Conduct
 Satisfactory+ on all factors above
 Processed PEs timely

Eligible for Merit Increase at _____%
 Not Eligible for Merit Increase This Rating Period

SIGNATURES

Rating Period Beginning Date	Rating Period Ending Date		
Signature below concurs that this evaluation was conducted, not agreement with the evaluation. Attach performance concerns on a separate sheet.			
Employee’s Signature	Date	Rater’s Signature	Date

Arkansas Department of Community Correction, Central Office
Attn: EEO/Grievance Officer
105 West Capitol Avenue; Little Rock, AR 72201-5731

To:

From: _____ (Employee's Name)

Re: **Appeal of Performance Evaluation** Date: _____

Instructions. This form is to be completed by an employee when filing an appeal of his/her Performance Evaluation. This form **must be filled in completely and submitted with appropriate attachments described below to the EEO/Grievance Officer within 5 working days** after the employee receives his/her performance rating. Identify the reason(s) for the appeal in clear, unambiguous terms and include the specific change requested and the justification/explanation for the requested change.

Employee's Name: _____ Position Number: _____
Job Title: _____ Phone Number: _____

Rater's Name: _____
Job Title: _____ Phone Number: _____

Reviewer's Name: _____
Job Title: _____ Phone Number: _____

The following are attached:

- Copy of the completed Performance Evaluation Form with all attachments.
- Copy of the completed Employee Performance Input Form with all attachments.
- Other documentation as appropriate.

Employee Appeal:

Date Forwarded by Employee to EEO/Grievance Officer: _____

Date Received by EEO/Grievance Officer: _____

Date Forwarded to Reviewing Official: _____

Date Received by Reviewing Official: _____

Reviewing Official Comments/Actions (within 10 working days of receipt):

Attach additional supporting documentation.

Matter is resolved (if resolved, sign below).

Matter is not resolved.

Employee Signature: _____

Date: _____

Rater Signature: _____

Date: _____

Reviewing Official Signature: _____

Date: _____

Date forwarded to EEO/Grievance Officer: _____

Date Received by EEO/Grievance Officer: _____

Date EEO/Grievance Officer completed _____

Appeals Committee Review (if this alternative is chosen): _____

Date EEO/Grievance Officer completed a meeting with employee,
reviewing official and employee (if this alternative is chosen): _____

Date EEO/Grievance Officer makes recommendation to the Director (if
this alternative is used): _____

EEO/Grievance Officer's discussion and/or recommendation:

No change is recommended, or

The following change must be made:

Director's Signature

Date Director forwards to EEO/Grievance Officer: _____

Date Received by EEO/Grievance Officer: _____

Date EEO/Grievance Officer notifies all concerned
of Director's decision: _____

If no changes are made, EEO/Grievance Officer must make appropriate notifications and close the file.
If changes are made, EEO/Grievance Officer must send this to the Human Resources Section along
with a copy of the revised performance evaluation; make appropriate notifications and close the file.

Arkansas Department of Community Corrections
PERFORMANCE EVALUATION TRANSMITTAL

Supervisors complete this form to forward employee PEs (including input) to HRS.

TO: DCC Human Resources Section: 105 West Capital Avenue, 2nd Floor, Little Rock, AR 72201-5731

RE: Performance Evaluation

FROM: _____

DATE: _____

Employee's Name: _____ Personnel No: _____ Position No: _____

Position Title: _____ Rating Period : _____ To: _____

Location: _____ Increase Eligibility Date: _____

Rater's Name: _____ Title: _____ Phone: _____

OVERALL EMPLOYEE EVALUATION SCORE

- 1 through 2.5 Unsatisfactory
- 2.6 through 2.9 Improvement Needed
- 3.0 through 3.7 Satisfactory
- 3.8 through 4.4 Highly Satisfactory
- 4.5 through 5.0 Exceeds Standards

HUMAN RESOURCES ONLY

- Employee did not qualify for a merit increase – Corrective Action Imposed
- Employee is a supervisor who was timely untimely in submitting employee PEs.

Supervisor's Signature

Date

Reviewing Official's Signature

Date

ATTACHMENT A

REPORTING PERFORMANCE EVALUATION SCORES
TO THE OFFICE OF PERSONNEL MANAGEMENT
(For Human Resources Use Only)

1.0 through 2.9 – Unsatisfactory

3.0 through 3.7 – Satisfactory

3.8 through 4.4 – Above Average

4.5 through 5.0 – Exceeds Standards