



Arkansas Community Correction

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ADMINISTRATIVE DIRECTIVE: 18-30 Performance, Goals and Compensation System (PGCS)

TO: Arkansas Community Correction (ACC) Employees

FROM: Kevin Murphy, Director

SUPERSEDES: AD 18-18

APPROVED: _____ Signature on File _____

EFFECTIVE: October 15, 2018

- I. APPLICABILITY.** This policy applies to all Arkansas Community Correction (ACC) employees.
- II. POLICY.** It is Arkansas Community Correction policy to evaluate employee performance in accordance with state guidelines. The Performance, Goals, and Compensation System (PGCS) establishes statewide performance evaluation criteria and a rating scale to provide salary increases as determined by law and in accordance with funding as determined by the Chief Fiscal Officer of the State. All state agencies must adhere to expected performance rating distribution guidelines or provide sufficient justification for aggregate employee ratings that are lower or exceed the expected range, and ratings may need to be adjusted accordingly if they fall outside of the expected range. (4-ACRS-7B-06; 2-CO-1C-21; 4-APPFS-3D-17)

III. GUIDELINES.

- A. Rating Employees.** A rater must 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.
- B. Performance Compensation.**
1. Performance compensation is dependent upon meeting established criteria and the availability of funds.
 2. To be eligible for performance compensation the employee:
 - a. must have met or exceeded the annual American Correctional Association (ACA) training requirements AND
 - b. employees in a position designated to be a certified law enforcement officer must maintain all required training AND

- c. must NOT have received a written warning or greater disciplinary action during the rating period AND
 - d. supervisors must have met all deadlines pertaining to performance evaluation processing as set by Human Resources. If notification is received from OPM of a performance evaluation not submitted by the deadlines, the supervisor may be subject to disciplinary action as determined by the director.
3. Promotions/Voluntary Demotions/Transfers. Employees who transfer and employees who have been promoted or demoted are eligible for performance compensation if they meet the eligibility criteria.
 4. Extended Leave (Military Leave/Extended Military Leave/Catastrophic Leave/LWOP). Employees on any type of extended leave are eligible for performance compensation.

C. Performance Evaluation (PE) Forms. Raters must use the rating groups and measurements as determined by the ACC Human Resources Section.

1. Each rating group contains categories, which are referred to as “measurements.”
2. Human Resources will inform supervisors which rating groups are used for the following employee categories:
 - a. **Senior Management** which includes the ACC Director, Chief Deputy Director, Deputy Directors, General Counsel, Assistant Directors, and others as approved by the Director.
 - b. **Supervisory** which includes employees who supervise staff who are NOT listed as senior management. Supervisory employees must approve leave/time and conduct performance evaluations or be in a Sergeant classification and supervise employees.
 - c. **Non-Supervisory** which includes all staff not included in senior management or supervisory positions.

IV. PROCEDURES.

- A. Employee.** An employee may provide his/her supervisor with input regarding job duties performed, recognition, training and other accomplishments prior to the performance evaluation.

Employees are responsible for meeting training requirements during the training period described in the Employee Training policy. Employees may be allowed additional time to complete training equal to the amount of time off if they were off for Family Medical Leave, Catastrophic Leave, or Worker’s Compensation

B. Rater. Raters (supervisors) manage the performance evaluation process as follows:

1. At the beginning of the rating period, supervisors are encouraged to work with employees to create a development plan with goals and objectives. The development plan can be entered into EASE (Empowering Arkansas State Employees application).
2. During the rating period supervisors may enter notes and upload supporting documentation in EASE.
3. Interim Reports for Parole/Probation Services Staff. Six months after being hired into a Parole/Probation Services position, the supervisor must prepare and process a PE and submit it to HRS no later than seven (7) months after employment in the position. (4-APPFS-3D-18)
4. Background Checks. Supervisors must complete a background check on their employees each year in March. Only background checks that reveal new information need to be printed. These are to be reviewed by management to see if any action is required. A list of names will be provided by the HRS to managers. The manager is to return the list to the HRS indicating that an employee's background check was performed. This is to be forwarded to the Human Resources Administrator.
5. Raters must complete an evaluation for ALL employees, even those who have only been on the job for a few days. If an employee was in another state position earlier in the rating period, the rater should attempt to get input about the prior performance and use this in rating the employee. An evaluation must be done even though an employee is on leave without pay, FMLA, or military duty.
6. The rating scale is as follows:

Rating Description	Rating
Employee's performance is exceptional and serves as a model for other employees. The employee made a major positive impact on the agency.	5 Stars = Role Model
Employee's performance consistently surpasses established standards. The employee accomplished tasks and duties above requirements and made a positive impact on the agency.	4 Stars = Highly Effective
Employee's performance meets all requirements for the position in a competent and proficient manner. This represents the expected level of performance as established by the agency director or supervisor.	3 Stars = Solid Performer
Employee's performance periodically falls short of expectations.	2 Stars = Needs Development
Employee's performance is inadequate and employee has demonstrated an inability or unwillingness to improve or meet requirements.	1 Star = Unacceptable

7. Written justification to support the rating must be entered in EASE for each rating group assigned by Human Resources.

Employees who received a written disciplinary action during the rating period are ineligible to receive an overall rating of Highly Effective or Role Model.

If an employee does not meet his/her required training hours, supporting documentation must be uploaded in EASE.

8. Employees who receive an overall rating of Unacceptable must be placed on probationary status, and the rating supervisor must:
 - a. Inform the employee of the performance factors affecting the unacceptable performance and how his/her performance falls below that level.
 - b. A counseling statement will be issued that: (1) outlines specific performance expected, which will lead to improvement of overall performance; and, (2) cites a new evaluation period that represents the probationary status period of ninety (90) days.

A formal performance evaluation must be conducted at the end of the above imposed probationary period:

- a. If the employee has met the standards for a Needs Development or higher rating at the end of the probationary period, the employee will be removed from probationary status.
 - b. If the employee's performance has not reached a level of Needs Development, the employee will be terminated.
9. Raters at Community Correction Centers. Raters at Community Correction Centers must have employees complete the Qualification Inquiry form and provide it to the center's Human Resources personnel. (PREA 115.217 [P])
 10. Discuss the results of the evaluation with the employee after the Human Resources Administrator has authorized the release.

Important: Raters must **NOT** provide the employee with results of the evaluation until the Human Resources Administrator has authorized release of the evaluations, which may be up to two months after evaluations are entered in EASE.

11. During the evaluation discussion, have the Code of Ethics and Rules of Conduct policy available for the employee to review and have the employee sign the Code of Ethics and Rules of Conduct acknowledgment form.

C. Center Human Resources Personnel. The center's Human Resources personnel must scan in the completed Qualification Inquiry forms; ensure all center staff have completed the form; and forward the forms to the ACC Human Resources Section.

D. Reviewing Official. A supervisor of an immediate supervisor is a reviewing official. The responsibilities of the reviewing official are as follows:

1. ensure his/her supervisory staff understand and comply with this policy.
2. ensure ratings are entered on time, are fair and consistent, and include recorded performance results.
3. ensure employee comments concerning the evaluation are appropriately addressed, appeals are resolved, and documentation justifies the ratings.

E. Administering the Overall Performance Evaluation Process.

The HRA is responsible for managing, monitoring, evaluating, reporting, tracking ratings, and submitting reports of any unusual patterns to the appropriate Deputy Director.

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. An appealed PE is an issue between the employee and the rater and no representation for either party is allowed.
2. Process.
 - a. Employee. A non-probationary employee may initiate an appeal of his/her PE by completing and submitting an "Performance Evaluation Appeal" form to his/her supervisor within five (5) business days of receiving the performance rating.
 - b. The Immediate Supervisor Who Receives an Appeal. The immediate supervisor who receives an appeal has five (5) business days to make a decision on the appeal and may choose to meet with the employee in an effort to resolve the situation. The supervisor 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 was not reached and the matter will be forwarded to the reviewing official.

V. FORMS.

AD 18-30 Form 1 Performance Evaluation Appeal

Evaluation forms are in the Empowering Arkansas State Employees (EASE) computer system