



## Arkansas Department of Community Correction

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### **ADMINISTRATIVE DIRECTIVE: 13-02    EMPLOYEE PERFORMANCE EVALUATION**

**TO:    DEPARTMENT OF COMMUNITY CORRECTION (DCC) EMPLOYEES**

**FROM:    SHEILA SHARP, DIRECTOR**

**SUPERSEDES: AD 11-11**

**PAGE 1**

**APPROVED:    Signature on file**

**EFFECTIVE: October 1, 2013**

**I. APPLICABILITY.** This policy applies to Department of Community Correction all (DCC) employees.

**II. POLICY.** It is DCC policy to administer an employee performance evaluation (PE) system that allows for annual review of employee job 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 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; 2-CO-1C-21; 4-APPFS-3D-17)

### **III. DEFINITIONS.**

- A. Executive.** The DCC Director, Chief Deputy Director, Deputy Director Parole/Probation Services, Deputy Director Residential Services, and Deputy Director Administrative Services.
- B. Merit Pay.** Payment made for satisfactory or better job performance.
- C. Rater.** The supervisor responsible for evaluating employee job performance.
- D. Reviewing Official.** The rater's supervisor or a higher-level supervisor designated to review performance evaluation plans and ratings.

**E. Senior Management.** Assistant Director of Parole/Probation Services, Assistant Director Treatment Services (P/P & Residential), Center Supervisors, Information Systems Administrator, Comptroller, Attorney Specialist, DCC Planning and Management Services Administrator, DCC Project & Enterprise Program Management Administrator, Training Administrator, and Human Resources Administrator (HRA).

#### **IV. GUIDELINES.**

**A. Job Tasks, Duties, and Responsibilities.** The Department of Finance and Administration (DFA), 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.

**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. 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 regarding the performance review process. 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 Human Resource Section (HRS).

**C. Performance Levels and Performance Factors.** Performance levels are used to indicate an employee's achievement on each performance factor. The four performance levels are Exceeds Standards, Above Average, Satisfactory, and Unsatisfactory. Performance levels and performance factors are described in detail on the performance evaluation form. During the rating period, supervisors should counsel employees, encourage, and assist them in increasing their performance level. Unsatisfactory performance on any factor or level may result in disciplinary action.

## **D. Merit Pay**

Merit pay is dependent upon meeting established criteria and the availability of funds.

1. Eligibility Requirements. To be eligible for merit pay the employee
  - a. must have completed at least 12 months of continuous employment, full or part-time, in a regular salaried classified or unclassified position with the State AND
  - b. must have met or exceeded the annual American Correctional Association (ACA) training requirements AND
  - c. must NOT have received a written warning or greater disciplinary action during the 12 month rating period AND
  - d. must have obtained a score of "satisfactory" or above in each performance factor AND
  - e. Supervisors additionally must have submitted all PE reviews to HRS on the employees he/she supervises at least 30 days prior to the employee's merit eligibility date or within an extended time approved pursuant to this policy.
2. Promotions/Demotions/Transfers. Employees who transfer and employees who have been promoted or demoted are eligible for merit pay if they meet the eligibility criteria.
3. Extended Leave (Military Leave/Extended Military Leave/Catastrophic Leave/LWOP). Employees on any type of extended leave who miss their eligibility date will be eligible for a merit payment upon their return.
4. Payment Time Table
  - a. Merit pay for eligible classified employees in the Career Service Pay Plan ("C" Grades) are paid in a lump sum at the end of the fiscal year.
  - b. Merit pay for eligible classified and unclassified employees in the Professional and Executive Pay Plan ("N" Grades and "U" Classes) receive merit pay in a lump sum payment during the last pay period of the fiscal year. The merit pay will not be considered as exceeding the line item maximum for the position.
  - c. Merit payments are considered as salary for the purpose of retirement eligibility.

(Revised 11/10/2013)

## **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, "Performance Evaluation Input" to the supervisor prior to the review.

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

1. **Functional Job Description and Tasks.** Supervisors must ensure each subordinate has a current Functional Job Description and Tasks; use Form 1 for this purpose. Supervisors must review this annually and update it when there are significant changes. If a significant revision is made a revised copy must be promptly forwarded to the employee. When making revisions, supervisors should consider employee questions, concerns or recommendations regarding the job description; however, the supervisor has the final authority to define and assign job duties and tasks. Employee and supervisor signatures are affixed to indicate understanding.
2. **PE Forms.** The forms attached to this policy will be used for documenting DCC employee performance as follows: Form 4 for Executive staff; Form 5 for Senior Management; and Form 3 for all other DCC employees.
3. **Interim Reports.**
  - a. **General.**

The interim PE is an abbreviated review completed and processed in the same manner as an annual report but with a shorter review period. Supervisors must consider interim reports as supplementary information when writing an annual PE.
  - b. **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 7 months after employment in the position. This does not apply to promotions from PPO I to PPO II to Agent. (4- APPFS-3D-18)
4. **Annual Performance Rating Period.** An employee's annual rating period begins on his/her merit eligibility date and ends 12 months later. The performance report must be received by the HRS 30 days before the merit eligibility date. Supervisors must ensure employees have or have access to a copy of the appropriate "PE" form and the Functional Job Description at the beginning of the rating period.
5. **Training Requirements.** Employees are responsible for meeting training requirements during the training period described in the Employee Training policy.
6. **Deadline for Submitting Annual PEs.** Supervisors must ensure completed annual performance evaluations are received by the Central Office, HRS no later than 30 days before the employee's merit eligibility date; the appeal process describes an exception.

7. Conclusion of the Rating Period. The rater must perform the following:
  - a. For Residential Services staff, obtain a signed copy of the Residential Services Qualification Inquiry form and include it with the Performance Evaluation. (PREA 115.217 [P])
  - b. Prepare an annual PE for all employees. If there is any question about the need for a PE, contact the HRA for guidance. Accurately rate the employee's performance on the PE form considering any employee performance input, contents of the supervisor's file, and the rater's assessment of how well the employee performed the job. All scores above or below satisfactory must be justified in writing. Compare the employee's knowledge, skills, and abilities to job requirements and identify needs for additional education or training.
  - c. Prior to any performance review with the employee, forward the completed PE with the employee PE input, if submitted, to the reviewing official for comment and signature. Make appropriate adjustments based on reviewing official comments.
  - d. Review the PE with the employee and obtain his/her signature and any comments.
  - e. Forward the Functional Job Description and Tasks (only if revised), and PE to HRS within the required timeframe, using Form 7, "Performance Evaluation Transmittal Letter."
8. Revising a Completed PE. If a supervisor or reviewing official determines there is reasonable cause to revise a PE that has been submitted to HRS, the revised PE must be provided to the HRS before the rated employee's merit eligibility date.

### **C. Processing Delays and Untimely PE Reports**

1. As soon as a supervisor realizes that a PE appeal will delay submission beyond the date due, he/she must notify the HRA.
2. The HRA must ensure compliance with the following requirements:
  - a. PE timeliness and notification to the Director of tardy submissions; and
  - b. Forfeiture of merit pay for raters who fail to complete a timely evaluation of an employee (including extension due to appeal).
3. If a rater has extenuating circumstances for a tardy submission, he/she may choose to submit a request through the supervision chain to the Director to waive the forfeiture of merit pay. If a waiver is allowed, the Director will notify the HRA.

**D. 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, resolved, and the appeals process is used properly.

**E. Administering the Overall Performance Evaluation Process.**

1. The HRA is responsible for managing, monitoring, evaluating, reporting, tracking ratings, and submitting reports of any unusual patterns to the Chief Deputy Director. The Chief Deputy Director will report general and unresolved issues to the appropriate Deputy Director and notify the Director, as appropriate, ensuring the preparation and submission of OPM reports, maintenance of appropriate files, and provision of technical assistance to supervisors.
2. DCC PE 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.

**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 business 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 business 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.
- d. 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 business 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.

## **G. Verification**

The Center Supervisor at each center must ensure a signed copy of the Residential Services Qualification Inquiry form is included with each performance evaluation.

## **VI. ATTACHMENTS.**

AD 13-02 Form 1 Functional Job Description and Tasks  
AD 13-02 Form 2 Performance Evaluation Input  
AD 13-02 Form 3 Performance Evaluation  
AD 13-02 Form 4 Performance Evaluation – Executive  
AD 13-02 Form 5 Performance Evaluation – Senior Management  
AD 13-02 Form 6 Performance Evaluation Appeal  
AD 13-02 Form 7 Performance Evaluation Transmittal  
AD 13-02 Form 8 Promotion Recommendation



**Arkansas Department of Community Correction**  
**FUNCTIONAL JOB DESCRIPTION & TASKS**

If minor changes are required during the year, your supervisor will write-in changes, initial and obtain your initials. If a significant revision is made, a revised copy **MUST** be promptly forwarded to the HRS and the employee.

**Employee's Name:** \_\_\_\_\_ **Personnel No.** \_\_\_\_\_ **Position No.** \_\_\_\_\_

**Job Title** \_\_\_\_\_

**Rating Period From:** \_\_\_\_\_ **To:** \_\_\_\_\_

**Location:** \_\_\_\_\_

**FLSA:**    ☐ **Non-Exempt**                      ☐ **Exempt**                      ☐ **Check if employee supervises staff**

**Rater's Name** \_\_\_\_\_ **Rater's Personnel #:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

The following signature blocks are completed at the beginning of the rating period:

_____ Supervisor's Signature	_____ Date	_____ Reviewing Official's Signature	_____ Date
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_____ Employee's Signature *	_____ Date
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\* By my signature, I certify that I have a current copy of my Functional Job Description and Tasks and a copy of or access to the Performance Evaluation document and understand the factors and performance levels on which I will be evaluated.

{ Type here; row will expand for more text }

**Arkansas Department of Community Correction**  
**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; gets 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}

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Employee Name

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Date

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Title

☐ Annual Report

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

☐ Interim Report

Employee's Name  
(Last, First, MI)

Personnel No.

Position No.

Job Title

Merit Eligibility Date:

Rating Period from:

To:

Location:

FLSA Status:

☐

Non-Exempt

☐

Exempt

☐

Supervises staff

Rater's Name

Title:

Phone:

The purpose of the 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, and to include education and training needed to achieve the necessary knowledge, skills, and abilities. 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, obtain the reviewing official's approval, discuss the report with the employee, obtain the employee's signature, and provide 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

**Exceeds Standards = 4 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.

**Above Average = 3 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 = 2 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.

**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.

☐ Annual Report

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

☐ Interim Report

Employee's Name  
(Last, First, MI)

Personnel No.

Position No.

Job Title

Merit 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☐ Satisfactory☐ Above Average☐ 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☐ Satisfactory☐ Above Average☐ 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☐ Satisfactory☐ Above Average☐ 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☐ Satisfactory☐ Above Average☐ 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☐ Satisfactory☐ Above Average☐ Exceeds Standards

☐ Annual Report

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

☐ Interim Report

Employee's Name  
(Last, First, MI)

Personnel No.

Position No.

Job Title

Merit 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? Employee's 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    ☐ Satisfactory    ☐ Above Average    ☐ 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    ☐ Satisfactory    ☐ Above Average    ☐ 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    ☐ Satisfactory    ☐ Above Average    ☐ 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    ☐ Satisfactory    ☐ Above Average    ☐ 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    ☐ Satisfactory    ☐ Above Average    ☐ Exceeds Standards

☐ Annual Report**Arkansas Department of Community Correction  
PERFORMANCE EVALUATION**☐ Interim ReportEmployee's Name  
(Last, First, MI)

Personnel No.

Position No.

Job Title

Merit 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☐ Satisfactory☐ Above Average☐ 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☐ Satisfactory☐ Above Average☐ Exceeds Standards

**SUPERVISION – (Complete only if employee supervises other employees).** How well does the employee 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☐ Satisfactory☐ Above Average☐ Exceeds Standards**PERFORMANCE EVALUATION SCORING**

**Instructions:** Use the workspace below to record and calculate the overall score. Non-exempt, non-supervisory employees are rated on performance factors 1 through 11. Supervisory employees are rated on performance factors 1 through 13. Add the column totals to get the overall total, divide it by the number of performance factors that are rated. (11 or 13) to get the rating score.

Reminder, obtain reviewing official signature before providing results to the employee.

	Unsatisfactory 1 point	Satisfactory 2 points	Above Average 3 points	Exceeds Standards 4 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					

☐ Annual Report**Arkansas Department of Community Correction  
PERFORMANCE EVALUATION**☐ Interim ReportEmployee's Name  
(Last, First, MI)

Personnel No.

Position No.

Job Title

Merit Eligibility Date:

Rating Period from:

To:

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.**

- ☐ 0 through 1.59 Unsatisfactory Must be accompanied by corrective or other personnel action  
☐ 1.60 through 2.59 Satisfactory  
☐ 2.60 through 3.59 Above Average  
☐ 3.60 through 4.00 Exceeds Standards

Any "Unsatisfactory" rating on any performance factor disqualifies an employee for merit pay.

**YES****NO****CRITERIA**

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Rated Satisfactory or above on all performance factors   |
| <input type="checkbox"/> | <input type="checkbox"/> | Completed at least 12 months of continuous employment, full or part-time, in a regular salaried classified or unclassified position with the State |
| <input type="checkbox"/> | <input type="checkbox"/> | Met or exceeded annual American Correctional Association (ACA) training requirements   |
| <input type="checkbox"/> | <input type="checkbox"/> | Did NOT receive a written warning or greater disciplinary action during the rating period  |
| <input type="checkbox"/> | <input type="checkbox"/> | Was timely in submitting all PE reviews  |

☐ ELIGIBLE FOR MERIT PAY ☐ INELIGIBLE FOR MERIT PAY**SUPERVISOR COMMENTS, {Type here; row will expand for more text}**

My (employee) signature below acknowledges this evaluation was conducted, not necessarily agreement, that I reviewed the Code of Ethics and Rules of Conduct policy, and I authorize the Department of Community Correction to obtain my Traffic Violation Report from the Office of Driver Services as permitted by Arkansas law. This record will include material normally excluded by Arkansas Code §12-50-802.

Supervisor Signature:

Employee #

Date

Reviewing Official Signature:

Employee #

Date

Employee Signature:

Employee #

Date



**Arkansas Department of Community Correction**  
**PERFORMANCE EVALUATION – EXECUTIVE**  
**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
------------------------	-----------	-----------

**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      ☐ Satisfactory      ☐ Above Average      ☐ 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      ☐ Satisfactory      ☐ Above Average      ☐ 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      ☐ Satisfactory      ☐ Above Average      ☐ 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      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

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

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

**PART IV – OVERALL RATING - \_\_\_\_ divided by 5 = \_\_\_\_**

**Instructions:** Award points to each of the above core performance factors as follows: 1 point for unsatisfactory, 2 points for Satisfactory, 3 points for Above Average, 4 points for Exceeds Standards. Add the points then divide by 5 to get the overall rating. Check the corresponding box below.

☐ 0.00 – 1.59 Unsatisfactory      ☐ 1.60 – 2.59 Satisfactory      ☐ 2.60 – 3.59 Above Average      ☐ 3.60 – 4.00 Exceeds Standards

An “Unsatisfactory” rating on any performance factor disqualifies an employee for merit pay.

<u><b>YES</b></u>	<u><b>NO</b></u>	<u><b>CRITERIA</b></u>
<input type="checkbox"/>	<input type="checkbox"/>	Rated satisfactory or above on all performance factors
<input type="checkbox"/>	<input type="checkbox"/>	Completed at least 12 months of continuous employment, full or part-time, in a regular salaried classified or unclassified position with the State
<input type="checkbox"/>	<input type="checkbox"/>	Met or exceeded annual American Correctional Association (ACA) training requirements
<input type="checkbox"/>	<input type="checkbox"/>	Did NOT receive a written warning or greater disciplinary action during the 12 month rating period

☐ Eligible for Merit Pay      ☐ Not Eligible for Merit Pay This Rating Period

## SIGNATURES

Rating Period Beginning Date

Rating Period Ending Date

My (employee) signature below acknowledges this evaluation was conducted, not necessarily agreement, that I reviewed the Code of Ethics and Rules of Conduct policy, and I authorize the Department of Community Correction to obtain my Traffic Violation Report from the Office of Driver Services as permitted by Arkansas law. This record will include material normally excluded by Arkansas Code §12-50-802.

Employee's Signature

Date

Rater's Signature

Date

Reviewing Official's Signature

Date

**Arkansas Department of Community Correction**  
**PERFORMANCE EVALUATION – SENIOR MANAGEMENT**

**PART I – RATED EMPLOYEE**

Name (Last, First, MI)	Personnel No.	Class Code
Job Title	Position No.	Rating Period From      Rating Period To

**PART II – RATER IDENTIFICATION**

Name (Last, First, MI)	Phone No.	Job Title
------------------------	-----------	-----------

**PART III – CORE PERFORMANCE FACTORS**

1. **Job Knowledge** – Demonstrates thorough knowledge of DCC missions/programs/goals/objectives, effectively communicates program-specific information to subordinate staff.

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

2. **Accountability** – Develops, administers, and maintains budgets, programs, policies, and procedures.

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

3. **Leadership** – Clearly sets/communicates work goals/expectations, ensures staff is properly trained, and delegates specific duties/responsibilities to subordinate staff. Guides staff in accomplishing work objectives. Develops and maintains appropriate professional working relationships.

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

4. **Decision Making Skills** – Researches, identifies, resolves issues/potential problems; delegates authority to maximize organizational effectiveness.

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

5. **Teamwork** – Exhibits cooperative/collaborative behavior with peers/subordinates/superiors to create/maintain a positive, open work environment.

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

6. **Adaptability** – Develops/implements new approaches/solutions/processes to better serve Arkansas citizens; exhibits proactive management style.

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

7. **Quality of Work** – Consistently provides superiors with professional, complete, and correct reports, proposals, and organizational plans.

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

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

**Comments:**

☐ Unsatisfactory      ☐ Satisfactory      ☐ Above Average      ☐ Exceeds Standard

**PART IV – OVERALL RATING = \_\_\_\_ Divided by 8 = \_\_\_\_**

**Instructions:** Award points to each of the above core performance factors as follows: 1 point for unsatisfactory, 2 points for Satisfactory, 3 points for Above Average, 4 points for Exceeds Standards. Add the points then divide by 8 to get the overall rating. Check the corresponding box below.

☐ 0.00 – 1.59 Unsatisfactory    ☐ 1.60 – 2.59 Satisfactory    ☐ 2.60 – 3.59 Above Average    ☐ 3.60 – 4.00 Exceeds  
“Unsatisfactory” rating on any performance factor disqualifies an employee for merit pay.

**YES**

☐  
☐

**NO**

☐  
☐

**CRITERIA**

Rated satisfactory or above on all performance factors

Completed at least 12 months of continuous employment, full or part-time, in a regular salaried classified or unclassified position with the State

**Arkansas Department of Community Correction**  
**PERFORMANCE EVALUATION – SENIOR MANAGEMENT**

**PART I – RATED EMPLOYEE**

Name <i>(Last, First, MI)</i>	Personnel No.	Class Code
-------------------------------	---------------	------------

	Job Title	Position No.	Rating Period From	Rating Period To
<input type="checkbox"/>	<input type="checkbox"/>		Met or exceeded annual American Correctional Association (ACA) training requirements	
<input type="checkbox"/>	<input type="checkbox"/>		Did NOT receive a written warning or greater disciplinary action during the 12 month rating period	
<input type="checkbox"/>	<input type="checkbox"/>		Was timely in submitting all PE reviews	

☐ Eligible for Merit Pay

☐ Not Eligible for Merit Pay This Rating Period

My (employee) signature below acknowledges this evaluation was conducted, not necessarily agreement, that I reviewed the Code of Ethics and Rules of Conduct policy, and I authorize the Department of Community Correction to obtain my Traffic Violation Report from the Office of Driver Services as permitted by Arkansas law. This record will include material normally excluded by Arkansas Code §12-50-802.

_____ Employee's Signature	_____ Date	_____ Rater's Signature	_____ Date
_____ Reviewing Official's Signature	_____ Date		

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

From: \_\_\_\_\_ (Employee's Name)

Re: **Performance Evaluation Appeal** 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 business 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
- ☐ Copy of the Functional Job Description and Tasks pertaining to the performance period
- ☐ Other related 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 Correction**  
**PERFORMANCE EVALUATION TRANSMITTAL**

**TO:** DCC Human Resources Section: 105 West Capitol Avenue, 2<sup>nd</sup> Floor, Little Rock, AR 72201-5731  
**RE:** Performance Evaluation  
**FROM:** \_\_\_\_\_  
**DATE:** \_\_\_\_\_

**Instructions.** Supervisors complete this form to forward employee PEs (including input) to HRS. For Residential Services staff, include a completed “Residential Services Qualification Inquiry” form.

Employee’s Name: \_\_\_\_\_ Personnel No: \_\_\_\_\_ Position No: \_\_\_\_\_  
Position Title: \_\_\_\_\_ Rating Period : \_\_\_\_\_ To: \_\_\_\_\_  
Location: \_\_\_\_\_ Merit Eligibility Date: \_\_\_\_\_  
Rater’s Name: \_\_\_\_\_ Title: \_\_\_\_\_ Phone: \_\_\_\_\_

**OVERALL EMPLOYEE EVALUATION SCORE**

- ☐ 0.00 – 1.59 Unsatisfactory (Must be accompanied by corrective or other personnel action)  
☐ 1.60 – 2.59 Satisfactory  
☐ 2.60 – 3.59 Above Average  
☐ 3.60 – 4.00 Exceeds Standards
- ☐ Eligible for Merit Pay    ☐ Not Eligible for Merit Pay This Rating Period

**HUMAN RESOURCES ONLY**

- ☐ Employee is a supervisor who was ☐ timely ☐ untimely in submitting employee PEs.  
If overall score is “unsatisfactory,” documentation is included for corrective or other personnel action

\_\_\_\_\_  
Supervisor’s Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Reviewing Official’s Signature

\_\_\_\_\_  
Date

**Arkansas Department of Community Correction**  
**PROMOTION RECOMMENDATION**

**Instructions.** Typically, promotion eligible positions include Parole/Probation Officer I to II to Agent. For these promotions comply with the promotion guidance in the Parole/Probation Services manual and use the "Parole/Probation Promotion Summary Form" instead of this one.

**TO:** DCC Human Resources Section: 105 West Capitol Avenue, Little Rock, AR 72201-5731

**RE:** Promotion Recommendation

**FROM:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

Employee's Name: \_\_\_\_\_ Personnel No: \_\_\_\_\_ Position No: \_\_\_\_\_

Position Title: \_\_\_\_\_

Location: \_\_\_\_\_ Merit Eligibility Date: \_\_\_\_\_

FSLA: ☐ Exempt ☐ Non-Exempt ☐ Check box if employee supervises staff

Rater's Name: \_\_\_\_\_ Title: \_\_\_\_\_ Phone: \_\_\_\_\_

**SUPERVISOR'S RECOMMENDATION**

I recommend ☐ Promotion to the next level Grade: \_\_\_\_\_

☐ This employee is in a promotion-eligible position and

☐ meets or exceeds eligibility criteria and

☐ IS recommended or ☐ is NOT recommended for promotion

\_\_\_\_\_  
Supervisor's Signature                      Position Title                      Date

**REVIEWING OFFICIAL'S COMMENTS AND DECISION**

Comments: \_\_\_\_\_

☐ Promotion Approved

☐ Promotion Denied

\_\_\_\_\_  
Reviewing Official's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
(Optional Reviewer's Comments)

\_\_\_\_\_  
(Optional Additional Reviewer)

\_\_\_\_\_  
Date

\_\_\_\_\_  
(Optional Reviewer's Comments)

\_\_\_\_\_  
(Optional Additional Reviewer)

\_\_\_\_\_  
Date

**Attachments:** \_\_\_\_\_