



**PROBATION AND PAROLE BUREAU
STANDARD OPERATING PROCEDURES**

Procedure No.: P&P 20-11	Subject: PERFORMANCE APPRAISALS
Reference: Local #4464; DOC 1.3.2; DOC 1.3.6; DOC 1.3.9; DOC 1.3.39; DOC 1.3.45 2-18-101, MCA; ARM 2.21.8010; M.O.M. 3-0115	Page 1 of 5
Effective Date: 06/01/00	Revision Dates: 12/10/01; 06/17/02; 03/14/03; 08/01/05; 06/12/06; 02/24/12; 04/11/13
Signature / Title: /s/ Ron Alsbury, Probation & Parole Bureau Chief	

I. BUREAU DIRECTIVE:

Probation & Parole Bureau management will conduct employee performance appraisals to inform employees of job expectations, duties and standards, and to evaluate and inform employees of their job performance.

II. DEFINITION:

Annual Appraisal – The work performance review and rating of a permanent employee following a one-year period.

Appraiser – An employee’s immediate supervisor or person with the responsibility for assigning, reviewing and evaluating the employee’s work.

Bureau – The Montana Probation & Parole Bureau.

Department – The Montana Department of Corrections.

Management – Adult Community Corrections Division employees with management or supervisory responsibilities and duties including, but not limited to, the Administrator, Bureau Chief, Regional Administrators and Probation & Parole Officer IIs.

Performance Appraisal Instrument – The spreadsheet documents containing the behavioral competencies and knowledge, skills and abilities used by the Bureau to review and rate an employee’s work.

Pre-Appraisal Interview – A discussion between an employee and his/her appraiser in which the employee is informed of the competencies, duties, responsibilities and standards of the work that will be reviewed and rated.

Probationary Appraisal – The work performance review and rating of an employee who has not completed a probationary period.

III. PROCEDURES:

The Bureau will use the attached *Performance Appraisal Instruments* approved by the Department’s Human Resources (HR) Bureau and attached to this procedure to complete all employee performance evaluations.

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A. Pre-Appraisal Interviews

1. A pre-appraisal interview will be conducted within the first 30 days of employment for employees new to state employment or employees with permanent status hired or assigned to a new position or any time the performance standards for their position are changed in any substantial manner.
2. The pre-appraisal interview will be scheduled in advance and be face-to-face.
3. The appraiser and employee will have a copy of the applicable *Performance Appraisal Instrument* which lists the behavioral competencies and knowledge, skills and abilities upon which the employee will be appraised.
4. The appraiser will review each duty and job expectation with the employee.
5. At the conclusion of the interview, the employee and appraiser will sign and date the *Performance Appraisal Instrument*. One copy is filed in the HR Bureau personnel file and one copy is provided to the employee.

B. Performance Appraisals

Performance appraisals will be conducted on all staff at six (6) months and prior to 12 months after the date of hire during their probationary period or position change and annually thereafter. After the probationary period, annual performance appraisals should be completed within 30 days of the 12-month anniversary date.

C. Change of Appraiser

Whenever an employee of the Bureau is assigned a new appraiser, the prior appraiser shall conduct a performance appraisal, forward supervisory notes to the new appraiser and debrief him/her on the performance status of the employee. The new appraiser shall conduct a pre-appraisal interview after the employee is reassigned.

D. Performance Appraisal Requirements

HR Bureau staff will give the appraiser and employee advanced notice of the pending appraisal prior to the end of the probationary, annual or other appraisal period. The appraiser is required to schedule the interview date and time with the employee within the time period.

Performance appraisals must be conducted in person. Appraisers are not permitted to give employees the *Performance Appraisal Instrument* for review, comment and signature without the personal interview. Performance appraisal interviews should be conducted in a place that is private and where minimal interruptions are anticipated.

E. Ratings

Appraisers will evaluate employee performance using the applicable appraisal instrument.

1. Appraiser observes, coaches and assesses performance. He/she provides timely feedback, guidance, encouragement, and support and conducts reviews with employee as needed. Appraisers may utilize *P&P 20-11(B) Coach Training Form* to document coaching sessions.

2. The appraiser will talk with both Department and non-Department employees throughout the assessment period who work with the employee relative to the employee's job performance. This may include colleagues, institutional contacts, prerelease contacts, judges, county attorneys, treatment providers, etc.
3. *Performance Appraisal Instruments*
 - a. Each *Instrument* provides rating scales for evaluating an employee in two (2) categories:
 - i. Behavioral Competencies, and
 - ii. Knowledge, Skills and Abilities (KSA).
 - b. Each Competency and KSA has associated behaviors listed, and appraiser enters an appropriate rating for each listed behavior. If N/A is used for any behavior, appraiser must adjust the number used under "Number of observed behaviors:".
 - c. Appraiser will provide comments in the area's Comment block to explain other than standard ratings given to a behavior and include specific examples of events or actions or work products that result in ratings below standard, acceptable, or average;
 - d. Appraiser may provide overall comments in General Comments block located at the end of the *Instrument*;
 - e. *Instrument* calculates a Rating Score for each Competency and KSA listed;
 - f. *Instrument* calculates a final Percentage for each category:
 - i. 0-39% = Unacceptable
 - ii. 40% = Needs Improvement
 - iii. 50% = Standard
 - iv. 70% = Above Standard
 - v. 90% = Outstanding
4. Appraiser will submit the *Instrument* to his/her supervisor for review prior to review with employee.
5. Problem areas and areas of strength are discussed with employee.
6. Problem areas may be addressed through the use of *P&P 20-11(A) Individual Performance Improvement Plan*.

F. Agency Review

Appraisers will review completed *Instruments* with his/her immediate supervisor prior to conducting the appraisal with the employee. The appraiser's immediate supervisor will also review any employee rebuttal to ensure compliance with this procedure.

After the performance appraisal has been conducted with the employee, the appraiser may not change the ratings unless the ratings are out of compliance with statutes, M.O.M. or Department policy. The appraiser may change the rating or comments based on a rebuttal if the employee is able to demonstrate to the appraiser's satisfaction that there is an error in the ratings.

If, upon completion of the employee's annual appraisal, he/she has met all requirements, the appraiser will complete *DOC 1.3.6 Attachment Career Increment Request* for placing the employee on the proper pay increment. Once completed, these forms are forwarded to the HR Bureau for processing.

Appraiser and employee talk about any new goals the employee may have for the next evaluation period.

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G. Employee Review

Employees are required to sign the *Performance Appraisal Instrument* indicating their review. If an employee refuses to sign, a supervisory witness (other than the appraiser) should sign and date the form. The employee will be provided a copy of the completed appraisal.

H. Rebuttal

If the employee disagrees with the performance appraisal, he/she has a right to submit, within ten (10) working days, a written rebuttal to be attached to the *Performance Appraisal Instrument*. The employee may elect to provide written comments, not as a rebuttal or formal appeal, but simply to further illuminate or clarify the record from his/her own perspective. These comments will be attached to the final documentation and become a permanent part of the record. There is no format or form for employee comments; plain paper may be used. No action other than reading and acknowledging the comments is required from the appraiser; however, it is possible that the employee may bring up information the appraiser has not adequately considered, and a revision to the report may be undertaken as a result. If a revision is deemed appropriate, a new *Performance Appraisal Instrument* will be completed, signed and dated. If the employee disagrees with the revision, he/she has a right to submit, within ten (10) working days, a written rebuttal to be attached to the document.

I. Grievance

Employees may not grieve the contents of a performance appraisal. He/She may grieve adverse employment actions (e.g. demotion, termination) taken as a result of the performance appraisal in accordance with *M.O.M. Grievance Policy, ARM 2.21.8010*, for non-union staff, or the applicable contractual grievance procedure for union members.

1. Under Department policy, the following procedural errors are subject to a grievance:
 - a. Failure to conduct a pre-appraisal interview to inform the employee of the duties and responsibilities to be assessed;
 - b. Failure to inform employee of changes made during the evaluation period;
 - c. Failure of the appraiser to make written comments explaining other than standard ratings, including specific examples of events or actions or work products that result in ratings below standard, acceptable, or average;
 - d. Failure of the appraiser to provide the employee with an opportunity to review ratings and supporting comments when completed;
 - e. Failure of the appraiser to advise the employee of the right to submit a written rebuttal to be attached to the *Performance Appraisal Instrument* (the notice of the right to file a rebuttal on the form is sufficient notice); and
 - f. Failure to give the employee a copy of the written *Performance Appraisal Instrument* and any reviewer's comments.
2. Employees who have not completed the probationary period may not grieve any aspect of the appraisal. Appraisers should remember that an employee new to state government who has never served a probationary period in a state job position can be dismissed during this probationary period. However, if the new employee has received permanent status in state government, the appraiser will use the disciplinary procedures outlined in *MOM Discipline Handling Policy, ARM 2.21.6505*, to address problems in performance, up to and including termination.

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J. Records

The original *Performance Appraisal Instrument* and any rebuttals are forwarded to the Bureau Chief for signature. The Bureau Chief will then forward all documents to the HR Bureau for placement in the employee’s personnel file. Performance appraisal information will be kept confidential by appraisers except where necessary:

1. In work-related discussions with superiors or peer supervisory staff;
2. In work-related discussions with prospective employers of the employee (when other than state agencies, this must be authorized by the employee); or
3. When the disclosure is required in administrative or court proceedings.

IV. CLOSING:

Questions concerning this procedure shall be directed to the Regional Administrator or designee.

Forms

P&P 20-11(A)	Individual Performance Improvement Plan
P&P 20-11(B)	Coach Training Form
P&P 20-11(C)	P&P Bureau Chief Performance Appraisal Instrument
P&P 20-11(D)	Bureau Programs Manager Performance Appraisal Instrument
P&P 20-11(E)	Regional Administrator Performance Appraisal Instrument
P&P 20-11(F)	Probation & Parole Officer II Performance Appraisal Instrument
P&P 20-11(G)	Probation & Parole Officer Performance Appraisal Instrument
P&P 20-11(H)	IPPO Performance Appraisal Instrument
P&P 20-11(I)	Probation Officer Technician Performance Appraisal Instrument
P&P 20-11(J)	RA Assistant Performance Appraisal Instrument
P&P 20-11(K)	Administrative Support Performance Appraisal Instrument
DOC 1.3.6 Attachment	Career Increment Request