



**STATE OF MONTANA
DEPARTMENT OF CORRECTIONS
POLICY DIRECTIVE**

Policy No. DOC 1.3.39	Subject: SUPERVISORY DOCUMENTATION
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 2
Section 3: Human Resources	Effective Date: May 1, 1998
Signature: /s/ Mike Batista, Director	Revised: 02/23/2015

I. POLICY

The Department of Corrections will ensure that Department supervisors maintain ongoing written documentation of employee performance to provide employees with feedback on performance and support corrective disciplinary action when necessary.

II. APPLICABILITY

All divisions, facilities, and programs Department-owned and contracted, as specified in contract.

III. DEFINITIONS

Supervisory Documentation – A written record of facts, incidents, or other materials that do not directly become part of the employee's personnel file.

IV. DEPARTMENT DIRECTIVES

A. General Requirements

1. Supervisors must establish and maintain a supervisory log for each employee they supervise to provide objective written information documenting the following:
 - a. positive and negative performance, behaviors, and conduct; and
 - b. informal disciplinary measures such as corrective counseling and oral warnings.
2. Supervisory logs are an important part of a progressive disciplinary process and content may be used for the following:
 - a. as a supplement to a supervisor's memory;
 - b. the basis for disciplinary actions or performance appraisals;
 - c. to support formal disciplinary action that may be taken at a later date, i.e., referenced in a disciplinary letter to demonstrate that the employee knew about the policy, rule, performance requirement, or standard of employment;
 - d. to provide references to prospective employers; and
 - e. to provide historical information to another supervisor within the Department when the employee changes positions.
3. Access to supervisory documentation is limited to the subject employee, supervisor, management officials in the employee's chain of command, and those involved in any disciplinary action review.

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4. An employee may review the contents of his or her personal supervisory documentation log with the supervisor that provided the written information, supervisors may not share information documented by another supervisor with an employee.
5. As part of an ongoing communication process, supervisors will discuss the contents of an employee's supervisory log with each employee on a periodic basis and will document the discussion.
6. Supervisory documentation is confidential and supervisors must keep documentation secured in a locked desk or cabinet or in a password-protected system.
7. Employees may submit a written response to an entry in the supervisor's log to be added to the documentation when either the employee or Human Resources staff confers with the supervisor who wrote the entry prior to submission.
8. Supervisors must be aware of labor contract provisions that may apply to supervisory documentation. Questions on contract provisions should be directed to the Office of Human Resources staff.

V. CLOSING

Provisions of this policy not required by statute will be followed unless the provisions conflict with negotiated labor contracts, which will take precedence to the extent applicable.

Questions concerning this policy should be directed to the Office of Human Resources.

VI. REFERENCES

- A. *Montana Operations Manual, Discipline Policy*
- B. [2.21.6505, et seq. Administrative Rules of the State of Montana](#)

VII. ATTACHMENTS

None