

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 500</p> <p>PERSONNEL/HUMAN RESOURCES</p>	<p>OPR: DIR SS</p>
	<p>DEPARTMENT ORDER: 514</p> <p><i>PERFORMANCE APPRAISAL FOR CORRECTIONAL EMPLOYEES (PACE)</i></p>	<p>SUPERSEDES: DO 514 (03/23/01)</p> <p>EFFECTIVE DATE: JUNE 18, 2008</p>

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PURPOSE

This Department Order establishes the Performance Appraisal for Correctional Employees (PACE) as the Department's official employee evaluation system. This system is established in accordance with applicable personnel rules and ensures that employees understand the tasks expected of them and that their performance is evaluated fairly and objectively.

APPLICABILITY

This Department Order applies to all covered Department employees. Uncovered employees are exempt from the requirement to receive PACE evaluations; however, the Director or designee may direct that a PACE evaluation be written for an uncovered employee.

PROCEDURES

514.01 SYSTEM OVERVIEW - This Department Order outlines the appraisal process by which supervisors will appraise employees and be appraised themselves.

- 1.1 Employees shall be rated against standards clearly communicated in the planning process. It is important, when evaluating employees that supervisors and employees understand that the rater does not give a particular rating; the employee earns the rating.
- 1.2 PACE is intended primarily as a method of providing employee performance feedback. The supervisor gives the employee feedback, through the performance documentation, on the quality of work being performed.
- 1.3 PACE shall also be used as a means of documentation for disciplinary actions related to employee performance. The ratings and the accompanying documentation for a performance appraisal may be used to support discipline or termination of an employee for performance reasons.
- 1.4 Performance documentation may be used as support for nomination of an employee for awards or special recognition.

514.02 PERFORMANCE FACTORS AND RATING

- 1.1 Employees are rated on performance factors relating to their work responsibilities. Established performance factors are part of the PACE system and are included on the Performance Factor Rating Sheets that identify the rating criteria for scores of 1, 2, 3, 4 and 5, and the performance dimensions to be rated. The established performance factors are:
 - 1.1.1 Performance Factor No. 1: Work Habits, Form 514-1.
 - 1.1.2 Performance Factor No. 2: Professionalism, Form 514-2.
 - 1.1.3 Performance Factor No.3: Supervision, Form 514-3 (applies only to supervisors).
 - 1.1.4 For most positions, the established performance factors may be sufficient for evaluations. Raters (Supervisors) may add a Performance Factor that is focused more on the employee's type of job classification and choose the appropriate third performance factor from the following:

- 1.1.4.1 Performance Factor 4: Correctional Security, Form 514-4.
 - 1.1.4.2 Performance Factor 5: Programs, Form 514-5.
 - 1.1.4.3 Performance Factor 6: Community Corrections, Form 514-6.
 - 1.1.4.4 Performance Factor 7: Administrative/Professional, Form 514-7.
 - 1.1.4.5 Performance Factor 8: Clerical/Office Support, Form 514-8.
 - 1.1.4.6 Performance Factor 9: Technical Support, Form 514-9.
 - 1.1.4.7 Performance Factor 10: Trades, Form 514-10.
 - 1.1.5 Upon approval by the reviewer, raters may modify existing or develop additional performance factors and dimensions for special work assignments or needs.
 - 1.1.6 The rating sheets are designed to accommodate changes in supervision which may occur during a rating period by allowing space for up to three appraisals. New forms are required when an employee's job classification changes.
- 1.2 Performance Ratings - The PACE system is a five point rating system as follows:
- 1.2.1 1 - Unacceptable.
 - 1.2.2 2 - Needs Improvement.
 - 1.2.3 3 - Meets Expectations.
 - 1.2.4 4 - Exceeds Expectations.
 - 1.2.5 5 - Exceptional.
 - 1.2.6 Absent documentation indicating either lower or higher performance levels, employees may assume they are meeting expectations.

514.03 APPRAISAL TYPES

- 1.1 Regular Appraisals - Employees shall be rated annually for the regular appraisal period. The annual rating period/cycle is July 1 through June 30. Regular annual appraisals shall be completed within 15 days of the end of the appraisal period unless alternative instructions are issued.
- 1.2 Special Appraisals - Employees shall be rated outside of the regular appraisal period for the following:
 - 1.2.1 Probationary - An appraisal prepared by the rater for employees that are on original or promotional probation. The rater shall recommend:
 - 1.2.1.1 Permanent status.
 - 1.2.1.2 Extension of the probationary period.
 - 1.2.1.3 Reversion or separation, as appropriate for the type of probation.

- 1.2.1.4 Once the employee completes the probationary period the employee is placed into the regular appraisal cycle.
- 1.2.2 Close Out Appraisal - An appraisal prepared by a rater when they will no longer rate an employee due to transfer, reassignment, promotion, demotion, separation, detail to special duty or other circumstances. Close out appraisals shall be completed prior to the departure of the rater or the employee.
- 1.2.3 COTA Appraisal - COTA is a pass/fail training situation and employees shall not be rated under PACE until after graduation. Employees who graduate will have met expectations and shall receive an overall PACE score of 3.0 for the time spent at COTA.
- 1.2.4 Merit Increase Appraisal - An alternative appraisal period that may be mandated due to special requirements for an approved merit increase program. Merit Increase Appraisal shall be completed as outlined in special instructions issued for the merit program.
- 1.2.5 60-day Evaluation - When a required appraisal is within 60 days of the completion of a prior appraisal, a rater may carry forward the ratings from the prior appraisal provided the employee's job duties have not changed significantly. This may not be done for back to back evaluations or when the employee has changed job classifications.
- 1.2.6 Expired, restricted or rescinded licenses, certifications and etc shall require a special appraisal.

514.04

APPRAISAL PROCESS - PACE consists of three phases and each phase shall include a meeting/discussion between the rater and the employee. The process is designed to provide the employee with knowledge of expectations and feedback on job performance. The process provides the supervisor with a tool for targeting, planning and documenting the employee's development, training and performance.

- 1.1 Reviewer - Prior to discussing planning or appraisal documents with the employee, the rater shall submit or discuss the documents with the reviewer who shall sign off as noted on PACE documents. The reviewer shall be the second-line supervisor unless otherwise designated at a higher level by management. The reviewer shall ensure that:
 - 1.1.1 Planning documents adequately reflect the duties performed and are the same for other employees performing the same type of duties.
 - 1.1.2 Scores are properly documented.
 - 1.1.3 Procedures have been followed in accordance with this Department Order.
- 1.2 Planning Process - The planning process begins with the rater selecting the appropriate performance factors for each employee. The planning documents are the Performance Factor Rating Sheets selected by the rater. The planning portion of the PACE process shall be completed within 30 calendar days of an employee's start date or the beginning of a new appraisal period.
 - 1.2.1 The rater shall identify the established Performance Dimensions that do not apply to the evaluation by marking N/A in the rating column next to the performance dimension on the Performance Factor Rating Sheet.

- 1.2.1.1 The planning documents are not complete until approved and signed by the reviewer, and signed or initialed by the employee.
- 1.2.1.2 During the planning process the rater may complete the Professional Development Plan, Form 514-15. This component is intended to assist the supervisor and employee to identify training and/or employee development needs. The information provided may be used as a basis to direct the employee to a variety of development resources.
- 1.2.2 The remaining Performance Dimensions shall apply and be used as a basis for evaluation.
- 1.2.3 The rater shall submit the documents to the reviewer for approval:
 - 1.2.3.1 If the reviewer does not approve the documents, the rater shall make the required changes and obtain reviewer approval prior to discussing them with the employee.
 - 1.2.3.2 The reviewer shall indicate approval by initialing each Performance Factor Rating Sheet in the signature area above the section labeled Performance Plan.
- 1.2.4 Once the reviewer has approved the planning documents the rater shall finalize the planning documents with the employee.
- 1.2.5 Raters shall discuss the rating criteria in a face-to-face meeting with the new employee-either new hire or new to the rater. The rater and employee shall review the specific rating criteria. The employee shall:
 - 1.2.5.1 Be given a clear understanding of what each level of performance means and how to exceed expectations.
 - 1.2.5.2 Sign or initial the Performance Factor Rating Sheets in the Performance Plan section to acknowledge reading and accepting the plan.
 - 1.2.5.3 A face-to-face meeting is not required for an employee who has been rated by the same rater in a preceding appraisal period.
 - 1.2.5.3.1 The employee's signature on the planning documents indicates that the employee has read the plan and accepts it.
 - 1.2.5.3.2 If the employee requests a planning meeting, the rater shall hold a planning meeting with the employee.
- 1.2.6 If an employee refuses to sign the planning documents, the employee is still responsible for performing tasks identified on the Performance Factor Rating Sheets.
 - 1.2.6.1 The disputed component shall remain binding until the appropriate level of management resolves the situation.

1.2.6.2 A refusal to perform the duties of the position may constitute insubordination and may result in administrative sanctions and/or disciplinary action in accordance with Department Order #601, Administrative Investigations and Employee Discipline.

1.3 Appraisal - The rater shall monitor an employee's performance throughout the appraisal period to ensure that the employee appraisal process meets an employee's need to hear about the relative strengths and weaknesses in their performance. Documentation shall be sufficient to support ratings at the end of the appraisal period. The employee shall be made aware of performance issues before the final ratings are given and shall initial PACE entries within seven work days.

1.3.1 Sub-standard Performance and/or Negative Behavior - Shall be addressed with the employee by the rater in a timely manner and shall not be permitted to continue while waiting for a regular appraisal/evaluation. Depending upon the nature of the deficiency, corrective actions which may be used individually or in combination, based on the situation and the rater's judgment include:

1.3.1.1 Meeting with the employee to discuss the issue, potential consequences, methods of improvement and expectations for improvement.

1.3.1.2 Documentation on the Performance Factor Rating Sheet to include notifying the employee that documentation is being made. Employees shall be provided an opportunity to initial each entry. This action shall be noted on the rating sheet should the employee refuse to initial.

1.3.1.3 Preparation of a Notice of Necessity to Improve, Form 514-14, if applicable. A description of the specific area(s) that need improvement, actions/steps to be taken to achieve performance expectations and time frames in which the actions/steps are to occur, shall be documented.

1.3.1.4 Disciplinary action taken shall be in accordance with Department Order #601, Administrative Investigations and Employee Discipline.

1.4 Mid-Cycle Discussion - The mid-cycle discussion shall be held at the mid point of any rating period. It shall be held in December for the regular rating period, the third month of a six-month probationary period or the sixth month of a one-year probationary period.

1.4.1 The rater shall meet with the employee to discuss their performance to date. This meeting is intended to provide the employee feedback on their performance, discussion of any entries on the rating sheet and current scores. Scores shall not be recorded on the factor sheets and a score form shall not be completed. The employee shall:

1.4.1.1 Initial and date any entry on the factor rating sheet in the Mid Cycle Discussion section of the Performance Factor Rating Sheet.

1.4.1.2 If the employee refuses to initial an entry, the rater shall note the refusal and the date in the appropriate section of the rating sheet.

514.05 ADMINISTERING APPRAISALS, EXTENSIONS OF PROBATIONARY STATUS, REVERSIONS AND DISMISSALS - Regular appraisals shall be administered as outlined in sections 514.01 and 514.04 of this Department Order.

1.1 Granting permanent status for an employee on original or promotional probation – Raters shall:

1.1.1 Track probation dates for each employee and prepare the probationary appraisal prior to the end of the probationary period.

1.1.1.1 An employee receives permanent status by default on the day after the last day of the employee's probationary period if the rater has not completed an evaluation as directed above.

1.1.1.2 A rater's failure to complete the probationary appraisal timely results in their inability to extend the employee's probation, dismiss the employee for failure to make probation or revert the employee.

1.1.1.3 Employees who are required to complete a certification or obtain a license as a condition of their position shall have their probation period extended for six months to one year to complete this requirement. Employees who fail to obtain the necessary certification or license or whose license or certification expires, is restricted or rescinded shall be terminated or returned to the last permanently held position.

1.1.2 Complete the Performance Factor Rating Sheets assigning whole number scores to applicable individual performance dimensions and determine the overall score for each factor, rounded to two decimals.

1.1.3 Complete the Performance Appraisal Score Form to determine the total average rating for the rating period. This rating shall be rounded to two decimals.

1.1.4 Check the "Grant Permanent Status" block on the front of the Performance Appraisal Score Form, indicating the employee has successfully completed the probationary period and is being recommended for permanent status.

1.1.5 Present the completed appraisal (signed by the rater and reviewer) to the employee no earlier than 30 days and no later than 15 days prior to the end of the probationary period.

1.1.6 Advise the employee that the appraisal is a recommendation to grant permanent status at the end of the probationary period and that the recommendation can be changed prior to that time based upon misconduct.

1.2 Extension of Original or Probationary Status - Original probation may be extended by up to six months for employment-related reasons and may exceed one-year in the aggregate (total). The six-month promotional probationary period may be extended up to a total of one year for employment-related reasons. Each extension shall be limited to 90 days, unless a longer period is approved by the employee's Division Director. Prior to notifying the employee, extensions shall be coordinated through the individuals/offices specified in Department Order 504, Attachment C, Signature Matrix. Supervisors who are extending employees who were out on military leave should coordinate with their Personnel Liaison.

- 1.2.1 Original and Promotional Probationary periods shall be extended when the employee's work performance is substandard, or for the following other job-related reasons:
 - 1.2.1.1 The attainment of a license, registration or certification is a job-requirement for the position, and there is reasonable expectation that the requirement will be accomplished during the extended probationary period.
 - 1.2.1.2 The employee has had three or more supervisors during the reporting period and the majority of the rating period was not served satisfactorily.
 - 1.2.1.3 A probationary employee has been on a leave status for more than 80 consecutive work hours.
 - 1.2.1.4 A probationary employee is the principal of an investigation, whether or not the employee's job performance appears to be satisfactory.
 - 1.2.1.5 Original and Promotional Probationary periods may be extended for any absence of 80 consecutive hours or more during the probationary period.
- 1.2.2 Recommending an Extension - Supervisors shall track the dates and prepare PACE documents in sufficient time to obtain required approvals and to present the PACE to the employee no earlier than 30 days and no later than 15 days prior to the end of the probationary period. Individuals in the line of approval are responsible for ensuring that documents are reviewed, processed, and a decision made to approve/disapprove the extension prior to the supervisor presenting the completed PACE (signed by the rater and reviewer) to the employee within the specified time period. These individuals are identified in Department Order 504, Attachment C, Signature Matrix.
 - 1.2.2.1 PACE raters shall submit a written recommendation, including the suggested length of the extension and sufficient documentation to support the need for it, to the Human Resources (HR) Liaison, who shall then forward the recommendation and documentation expeditiously through the chain of command as outlined in Department Order 504, Attachment C, Signature Approval Matrix for approval. As indicated above, this approval shall be obtained before the required PACE is presented to the employee during the specified time frame prior to the end of the probationary period.
 - 1.2.2.2 Attach to the recommendation a copy of the performance appraisal that has been completed in accordance with this Department Order and signed by the rater and reviewer but not yet presented to the employee, if the reason for the extension is for substandard performance. The employee's supervisor shall:
 - 1.2.2.2.1 Complete the Performance Factor Rating Sheets assigning whole number scores to applicable individual performance dimensions and determine the overall score for each factor, rounded to two decimals.

- 1.2.2.2.2 Complete the Performance Appraisal Score Form to determine the total average rating for the rating period. This rating shall be rounded to two decimals.
 - 1.2.2.2.3 Check the "Extend Probation" recommendation block on the front of the Performance Appraisal Score Form.
 - 1.2.2.2.4 Include an affirmation that the employee is capable of demonstrating standard performance during the extended probationary period.
 - 1.2.2.2.5 Include specific performance requirements (what the employee needs to do) that will be considered to determine the employee's status at the end of the probationary period.
 - 1.2.2.2.6 Failure to follow the above directives shall result in the employee being granted permanent status by default.
- 1.2.3 Review of Recommendations for Extension of Probation – The approver, as identified in Department Order 504, Attachment C, Signature Approval Matrix shall:
- 1.2.3.1 Decide whether or not to approve the recommendation.
 - 1.2.3.2 Forward all documentation, with an endorsement, to the Human Resources Operations (HRO) Unit Administrator for action.
- 1.2.4 Approved Extensions - If the extended probation is approved:
- 1.2.4.1 The HRO Unit Administrator shall complete the required documentation, and inform the approving authority, HR Liaison, and supervisor.
 - 1.2.4.2 The employee's supervisor shall present the PACE to the employee no earlier than 30 days and no later than 15 days prior to the end of the probationary period with the written performance expectations that will be evaluated to determine the employee's status at the end of the probationary period. The employee will be advised of the beginning and ending dates of the extension. The extension shall begin at the end of the original probationary period or at the end of the current extension period, which ever applies.
 - 1.2.4.3 The HRO Unit shall enter the information into the appropriate personnel/payroll system.
- 1.2.5 Disapproved Extensions - If the recommendation to extend probation is disapproved:
- 1.2.5.1 If dismissal or reversion is recommended, the rater shall change the PACE to reflect "Dismiss" if on original probation or "Revert" if on promotional probation and advise the employee that permanent status shall not be granted.

- 1.2.5.1.1 Raters shall not provide an employee on original probation with PACE documents if the extension is disapproved and the employee is to be dismissed. The rater shall contact the HR personnel liaison to prepare the appropriate dismissal documents.
 - 1.2.5.1.2 An employee on promotional probation whose extension is disapproved shall be handled as outlined in 1.3, Dismissing or Reverting a Probationary Employee.
 - 1.2.5.2 If directed to grant permanent status, the rater shall change the PACE to reflect that permanent status will be granted at the end of the probationary period, as outlined in section 1.1, Granting Permanent Status For An Employee On Original Or Promotional Probation.
- 1.3 Dismissing or Reverting a Probationary Employee. If a recommendation to revert a probationary employee is anticipated and a vacant position in the former job classification is not available, the "no earlier than 30 days or later than 15 day time frame" shall apply to allow time to identify an appropriate position and/or conduct a reduction in force. If the reversion action cannot be completed prior to the employee's end of probation date, the rater shall take action to extend probation in accordance with guidance provided above. Dismissal and Reversion actions shall be coordinated with the Human Services Bureau (HSB) to ensure that the personnel transaction is completed in accordance with Personnel Rules. The rater shall:
 - 1.3.1 Submit a written recommendation to support dismissal or reversion to the HR Liaison, who shall expeditiously forward the recommendation and documentation as outlined in Department Order 504, Attachment C, signature Approval Matrix. Approval shall be obtained before the required PACE is presented to the employee during the specified time frame prior to the end of the probationary period.
 - 1.3.2 Attach to the recommendation a copy of the performance appraisal that has been completed as outlined in this Department Order and signed by the rater and reviewer but not yet presented to the employee. The employee's supervisor shall:
 - 1.3.2.1 Complete the Performance Factor Rating Sheets assigning whole number scores to applicable individual performance dimensions and determine the overall score for each factor, rounded to two decimals.
 - 1.3.2.2 Complete the Performance Appraisal Score Form to determine the total average rating for the rating period. This rating shall be rounded to two decimals.
 - 1.3.2.3 Check the "Dismiss or Revert" recommendation block on the front of the Performance Appraisal Score Form.
 - 1.3.2.4 Include documentation that the supervisor had provided tools and direction for the employee to succeed.

- 1.3.2.5 At the direction of the appropriate level of management and in consultation with the HR Liaison, prepare and deliver the applicable dismissal or reversion documents to the employee. PACE documents will not be provided to employees dismissed from original probation.
- 1.3.2.6 The HR Liaison shall prepare the personnel input document, attach the dismissal or reversion documents, and forward to the HRO Unit for processing.
- 1.3.2.7 Failure to follow the above directives shall result in the inability to dismiss/revert an employee.
- 1.3.3 A dismissal or reversion action may be disapproved (See Department Order 504, Attachment C, Signature Approval Matrix) and the rater may be directed to grant permanent status or extend the employee's probation.
 - 1.3.3.1 If permanent status is granted, the rater shall then change the PACE to reflect that permanent status will be granted at the end of the probationary period, in accordance with section 1.1, Granting Permanent Status For An Employee On Original Or Promotional Probation.
 - 1.3.3.2 If probation is to be extended, the rater shall then change the PACE to reflect the extension and complete it in accordance with section 1.2, Extension of Original or Probationary Status.
- 1.4 Files - The HRO Unit and HR Liaisons shall place all documents pertaining to approved extensions, dismissals, or reversions into the employee's Central Office Personnel File and the Institution/Bureau Personnel File. If extensions, dismissals or reversions are not approved, they shall not be included in the employee's personnel file.
- 1.5 60-day Evaluation - The rater shall:
 - 1.5.1 Complete all sections of the Performance Appraisal Score Form including the ratings from the prior evaluation.
 - 1.5.2 Write "60-day evaluation" in the Appraisal Type section of the form.
 - 1.5.3 Forward the packet to the reviewer for approval prior to meeting or discussing the appraisal with the employee.
 - 1.5.3.1 The reviewer may sign off on the PACE documents and shall discuss any required changes with the rater.
 - 1.5.3.2 The rater shall make changes as designated by the reviewer.
 - 1.5.4 After receipt of approval from the reviewer, meet with the employee to discuss the appraisal.
- 1.6 After review of the PACE documents, the employee may write rebuttal comments on the Performance Factor Rating Sheets in the Employee Comments section concerning PACE notations/ratings and, if more room is required, add an attachment.

- 1.7 The employee and rater shall sign the Performance Appraisal Score Form and initial the Performance Factor Rating Sheets. The employee's signature or initials indicate only that the appraisal meeting has been held, and does not indicate their agreement or disagreement with the appraisal.
- 1.8 If the employee does not agree with the appraisal, see section 514.07, Grievance Procedure.
 - 1.8.1 Raters shall not submit PACE documents for final processing until the grievance is resolved.
 - 1.8.2 Revisions to PACE documents made as a result of the grievance process shall not indicate that a grievance was filed. If necessary, a new factor sheet and score form shall be completed.
 - 1.8.3 Grievance documents shall not be filed in the employee's personnel file or institution file.
- 1.9 If the employee agrees with the evaluation, or upon completion of the grievance process, the PACE forms shall be forwarded for processing as outlined in section 514.07.

514.06 DOCUMENT DISTRIBUTION AND PROCESSING - The PACE file shall be maintained as confidential and be accessible to the employee by appointment, with the rater present.

- 1.1 The rater shall:
 - 1.1.1 Provide the employee a copy of the Performance Factor Sheets and Performance Appraisal Score Form and retain copies in the PACE file.
 - 1.1.2 Forward the original and one copy of the Performance Appraisal Score Form and Performance Factor Sheets to the Personnel Liaison.
 - 1.1.2.1 For Special Appraisals, only the Performance Appraisal Score Form is submitted. The Performance Factor Rating Sheets may be retained and used up to three times.
- 1.2 The Institution Personnel Liaison shall:
 - 1.2.1 Place a copy of the PACE documents in the employee's institution personnel file.
 - 1.2.2 Forward the original documents to the HRO Unit for inclusion in the employee's official personnel file.
- 1.3 The HR Liaison shall forward the original documents to the HRO Unit.
- 1.4 The HRO Unit shall:
 - 1.4.1 Enter the appraisal scores into the HRIS system according to established procedures.
 - 1.4.2 Place a copy of the PACE documents in the employee's official personnel file.

514.07 GRIEVANCE PROCEDURE - Any employee who receives a PACE, with the exception of uncovered employees, as defined in Department Order #504, Recruitment and Hiring, may use this grievance procedure to address an overall performance evaluation score, overall performance factor scores or specific performance dimension scores.

1.1 Restrictions - This grievance procedure shall not apply to:

1.1.1 Written PACE notations. Employees may address written notations in accordance with section 514.05, 1.6.

1.1.2 Receipt of a performance decrease.

1.1.3 Non-receipt of a performance increase or a special performance award.

1.1.4 The amount of any increase or decrease.

1.1.5 The use of any job-related supplemental rating factors to determine the receipt of, or the amount of an increase, decrease or special performance award.

1.1.6 The issuance of a Notice of Necessity to Improve, Form 514-14.

1.1.7 An extension of probation.

1.2 Grievant's Representative - An employee filing a grievance may select a representative at any level in the grievance process after the Informal Resolution discussion with the immediate supervisor.

1.2.1 Review authorities shall not meet with the representative without the grievant being present.

1.2.2 An employee who serves as a representative shall use annual or compensatory leave for the time required to represent the grievant.

1.2.2.1 Review authorities may meet with the grievant if the presence of the representative is waived by the grievant.

1.3 Informal Resolution

1.3.1 When an employee disagrees with a PACE rating score, the employee shall meet with the rater within ten work days of the employee's receipt of the evaluation.

1.3.2 The employee and rater shall discuss the employee's specific concerns and attempt to reach an agreement.

1.3.2.1 Whenever possible, raters shall coordinate administering PACE evaluations to ensure their availability during the succeeding ten work days.

1.3.2.2 If the rater is unavailable for a reason determined to be justified by the reviewer, then the reviewer shall meet with the employee and attempt to reach an agreement.

1.3.2.3 If face-to-face meetings are not possible, the informal resolution attempt and PACE Grievance Committee interview can be done telephonically.

- 1.3.3 When an agreement cannot be reached through the informal attempt, the employee may attempt to resolve the disagreement through the formal PACE grievance process. The employee may grieve only the rating score(s).
 - 1.3.3.1 Staff desiring to utilize the formal PACE grievance process shall complete the informal attempt, and submit the PACE grievance to the Step I Review Authority within ten work days of the employee's receipt of the evaluation.
- 1.3.4 To grieve an overall performance evaluation score, an overall performance factor rating score(s) or a specific performance dimension rating score(s) the employee, within ten work days of receipt of the PACE shall:
 - 1.3.4.1 Obtain the rater's signature on the PACE Grievance, Form 514-16 documenting an agreement was attempted but not reached.
 - 1.3.4.2 Obtain a PACE Grievance Control Number from the Employee Grievance Coordinator.
 - 1.3.4.2.1 Prior to issuing a PACE Grievance Control Number, the Employee Grievance Coordinator shall verify that only scores are being grieved, time frames have been met and that the informal attempt to resolve the disagreement was made.
 - 1.3.4.2.2 The grievance control number shall be issued only to the grievant.
 - 1.3.4.3 Submit a PACE grievance package to the Step I Review Authority after the Informal Resolution discussion between the grieving employee and the rater, yet within 10 work days of the receipt of the PACE. The PACE Grievance package shall include but not be limited to:
 - 1.3.4.3.1 A completed PACE Grievance Form that specifies the reason(s) for disagreeing with the results of the employee's discussion with the rater. The form shall be signed by the employee and the rater.
 - 1.3.4.3.2 A copy of the applicable Performance Score Rating Form, Performance Factor Rating Sheets and related documents contained in the PACE file.
 - 1.3.4.3.3 A written description of the exact issues, supporting details and the suggested corrective action.
- 1.3.5 A grievant shall be granted a maximum of four hours of on-duty time for the initial preparation of a formal PACE grievance. Prior approval from management for the use of such time is required. The authorizing manager may designate the work location for the preparation time.
- 1.3.6 Failure by management to provide the employee copies of PACE documents shall constitute grounds for an extension.

1.4 Step I Review

1.4.1 Within ten work days of receipt of the grievance package, the Step I review authority shall convene a PACE Evaluation Grievance Committee and respond to the employee. When the Step I Authority is the supervisor, the Deputy Director, the appropriate, Division Director or the Director's designee shall convene the Committee.

1.4.1.1 The PACE Evaluation Grievance Committee shall consist of a supervisor and two peers of the same, or within one pay grade, of the grievant. Committee members shall not be from the same unit or bureau as the employee and the employee's supervisor.

1.4.2 The PACE Evaluation Grievance Committee shall:

1.4.2.1 Review the grievance package.

1.4.2.2 Interview the grievant and the rater. The grievant may bring a representative to the meeting.

1.4.2.3 If necessary, request and review related documentation and may interview additional persons, provided the Committee obtains prior approval from the authority who convened the Committee.

1.4.2.4 Determine, based on the documentation reviewed and the interviews conducted, whether or not the disputed rating(s) reflect the employee's performance during the evaluation period.

1.4.2.5 Meet with and submit its written recommendation(s) to the authority who convened the Committee. The Committee shall only recommend whether or not a disputed score(s) should be changed. The Committee shall justify its recommendations.

1.4.3 The Step I Review Authority shall provide a written response to the employee within ten work days of receipt of the employee's request for a Step I review.

1.4.4 If the employee disagrees with the Step I Review Authority decision, the employee may request a Step II review.

1.4.4.1 To do so, the employee shall submit the grievance package to the Step II authority (i.e., the Director) within five work days of receipt of the Step I decision.

1.4.4.2 The employee shall specify, on the grievance form, the reason(s) why the Step I response is unsatisfactory.

1.5 Step II Review - The Director shall:

1.5.1 Review the grievance package.

1.5.2 Issue a final written response to the grievant, with a copy to the Step I Review Authority, within ten work days of receipt of the grievance package.

1.5.3 Be the final step for all PACE grievances.

- 1.6 Changes - Any changes made to the performance evaluation during the grievance process shall be documented by the review authority making the change. Any revisions to PACE documents required as the result of the grievance process shall be made to ensure that the documents give no indication that a grievance has been filed. This may require documents to be redone and re-signed. The documents must be signed by the rater, the reviewer and the employee.
- 1.7 Withdrawal of a Grievance - An employee may withdraw their grievance at any point during the grievance process.
 - 1.7.1 The employee shall complete the "Request To Withdraw Grievance" section of the PACE Grievance form and submit the form through the appropriate review authority to the Employee Grievance Coordinator.
 - 1.7.2 Failure to submit a grievance package for formal review within the specified time frames at any level of the grievance process shall constitute a voluntary withdrawal and no further action shall be taken on the grievance.
 - 1.7.3 The grievance of an employee who terminates employment with the state shall be considered "withdrawn."
 - 1.7.4 An employee of the Department, who transfers, accepts or promotes to a position in another state agency, who has an active grievance and/or receives a PACE close out after reporting to another state agency, shall have the right to continue/utilize the Department's PACE grievance process.
 - 1.7.4.1 All time frames and grievance process procedures in accordance with this Department Order shall apply to individuals continuing/utilizing the grievance process as outlined in section 514.07, 1.7.4.
- 1.8 Established time frames may be extended at any step, in accordance with Department Order #517, Employee Grievances.
- 1.9 Prohibitions - No person shall directly or indirectly use or threaten to use any official authority or influence to discourage the use of the PACE Grievance Procedure.

514.08 SUPERVISOR RESPONSIBILITIES - Raters and Reviewers are responsible for administering all aspects of the PACE and shall process documents in accordance with the time frames and other requirements outlined in this Department Order. Raters and Reviewers shall be subject to the appropriate administrative sanctions including disciplinary action and notations in their PACE, if applicable, for failure to administer evaluations as outlined in this Department Order.

DEFINITIONS

APPRAISAL - The process of evaluating an employee's performance. The appraisal process is also known as an evaluation.

APPRAISAL PERIOD - The period of time over which an employee's performance is evaluated and which may represent the probationary period, the period ending as a result of a change in circumstances, or the entire appraisal year.

EMPLOYEE COMMENTS - Information that the employee has attached to or written on the Performance Factor Rating Sheet in response to the rater's comments or rating of the employee's performance. The employee's comments become part of the official record in the employee's personnel file.

MID-CYCLE DISCUSSION - A mandatory informational discussion of performance held during the mid-point month of an employee's rating period, which includes telling an employee what the individual performance standard scores are.

NOTICE OF NECESSITY TO IMPROVE - A tool used to assist the employee and rater when performance falls below "meets expectations" which identifies the problem and outlines a plan of action and time frames for improvement.

PERFORMANCE DIMENSION - A group of tasks, within a performance factor, typically performed by a particular type of position that have been identified as the basis (or potential basis) for performance appraisal within the PACE system.

PERFORMANCE FACTOR - A significant or critical job task for which the employee is accountable and which has been selected as a basis for performance appraisal.

PRE-ESTABLISHED PERFORMANCE PLANNING AND APPRAISAL DOCUMENTS - Lists, or Factor Rating Sheets, that already list typical elements of a particular type or classification of job. The rater customizes the list by selecting only those elements that apply and/or by adding elements to the list or to a Performance Factor Addendum. The pre-established lists include:

- Professionalism
- Supervision
- Correctional Security
- Programs
- Community Corrections
- Administrative/Professional
- Clerical/Office Support
- Technical Support
- Trades

PROFESSIONAL DEVELOPMENT PLAN - A tool to assist the supervisor and the employee to target specific activities that may help the employee develop in the current job or in the direction of a next logical step in the career ladder. The Professional Development Plan identifies the developmental activities (such as college courses or special assignments) that assist in conveying the knowledge or skills.

RATER - The person responsible for evaluating the employee's performance and assigning a numerical rating for that performance. This person is typically the supervisor, but in the event the supervisor is not available to complete the appraisal (due to injury, illness, etc.), the second line supervisor/reviewer shall complete the appraisal.

RATING CRITERIA - The descriptions of indicators by which the employee's performance is measured.

RATING LEVELS - The levels of rating that may be applied given the rating scale used. The PACE system uses the five levels of Unacceptable, Needs Improvement, Meets Expectations, Exceeds Expectations, and Exceptional.

REGULAR APPRAISAL PERIOD - July 1 through the following June 30. The appraisal period may also be known as the regular cycle.

REVIEWER - The person who reviews the rater's appraisal of an employee to ensure that the rater has complied with procedures and has included all appropriate documentation, and that ratings are being applied equitably between employees.

SIGNATURE APPROVAL MATRIX - The document that specifies approval authority for processing various personnel actions, including PACE documents, original and promotional probations, voluntary grade decreases, requests to fill, etc. This document can be found at Attachment C, Department Order 504, Recruitment and Hiring.

SPECIAL APPRAISAL PERIOD - An appraisal required when more than two months have passed since the last appraisal, and an assignment change, transfer, demotion, reversion, special duty or separation from the agency has occurred. If a memo has been used in lieu of a close out, the next appraisal shall include all documentation and shall not be a memo.

SUPERVISOR'S COMMENTS - The supervisor's documented notes regarding employee performance attached to or written on the back of the Factor Rating Sheet.

{Original Signature on File}

Dora Schriro
Director

FORMS LIST

- 514-0, Rater/Employee Comments - Supplement
- 514-1, Factor Rating Sheet (Performance Factor No. 1 - Work Habits)
- 514-2, Factor Rating Sheet (Performance Factor No. 2 - Professionalism)
- 514-3, Factor Rating Sheet (Performance Factor No. 3 - Supervision)
- 514-4, Factor Rating Sheet (Performance Factor No. 4 - Correctional Security)
- 514-5, Factor Rating Sheet (Performance Factor No. 5 - Programs)
- 514-6, Factor Rating Sheet (Performance Factor No. 6 - Community Corrections)
- 514-7, Factor Rating Sheet (Performance Factor No. 7 - Administrative/Professional)
- 514-8, Factor Rating Sheet (Performance Factor No. 8 - Clerical/Office Support)
- 514-9, Factor Rating Sheet (Performance Factor No. 9 - Technical Support)
- 514-10, Factor Rating Sheet (Performance Factor No. 10 - Trades)
- 514-11, Factor Rating Sheet - Supplement
- 514-12, Performance Appraisal Score Form
- 514-14, Notice of Necessity to Improve
- 514-15, Professional Development Plan
- 514-16, PACE Grievance