
 <p>State of Connecticut Department of Correction</p> <p><b>ADMINISTRATIVE DIRECTIVE</b></p>	Directive Number 2.5	Effective Date 09/30/15	Page 1 of 4
	Supersedes Performance Appraisals, dated 8/1/2005		
Approved By:   Commissioner Scott Semple	Title  Performance Appraisals		

1. Policy. The Department of Correction shall evaluate employees based on established performance standards utilizing the appropriate performance appraisal forms.
2. Authority and Reference.
  - A. Connecticut General Statutes, Sections 5-234, 5-237 and 18-81.
  - B. Regulations of Connecticut State Agencies, Section 5-237-1.
  - C. Collective Bargaining Agreements:
    1. New England Health Care Employees Union, District 1199 (P-1) Bargaining Unit, July 2009, Articles 32 and 38.
    2. American Federation of State, County and Municipal Employees (P-2) Bargaining Unit, July 2009, Articles 9 and 11.
    3. Connecticut State Employees Association (P-3B) Bargaining Unit, July 2011, Articles 12 and 16.
    4. Connecticut State Employees Association (P-4) Bargaining Unit, July 2009, Articles 9 and 14.
    5. Administrative and Residual Employees Union (P-5) Bargaining Unit, July 2007, Articles 10 and 15.
    6. Connecticut Employees Union Independent (NP-2) Bargaining Unit, July 2008, Articles 9 and 16.
    7. American Federation of State, County and Municipal Employees (NP-3) Bargaining Unit, July 2009, Articles 10 and 15.
    8. American Federation of State, County and Municipal Employees (NP-4) Bargaining Unit, July 2011, Articles 9, 34 and Appendix A.
    9. New England Health Care Employees Union, District 1199 (NP-6) Bargaining Unit, July 2009, Articles 32 and 38.
    10. Connecticut State Employees Association (NP-8) Bargaining Unit, December 2013, Articles 10 and 17.
  - D. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1C-01 and 2-CO-1C-21.
  - E. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4048 and 4-4064.
  - F. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF-7E-01.
  - G. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standards 3-3047 and 3-3061.

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- H. American Correctional Association, Standards for Correctional Training Academies, First Edition, May 1993, Standards 1-CTA-1C-01 and 1-CTA-1C-08.
  - I. Administrative Directives 2.1, Equal Employment Opportunity and Affirmative Action and 2.6, Employee Discipline.
3. Definitions. For the purposes stated herein, the following definitions apply:
- A. Bargaining Unit Employee. An employee covered under a collective bargaining unit designated by the State Board of Labor Relations.
  - B. Performance Appraisal. The systematic review of the employee's job performance based on objective performance standards, relative to the duties and responsibilities of the employee's position.
  - C. Performance Appraisal Rating System (PARS). (1) A pre-established list of performance traits, standard duty functions and specific, previously identified, and agreed upon, duties of a supervisor assigned to the managerial pay plan; and/or (2) specific and agreed upon objectives established, for a managerial employee, which serves as a basis for evaluating the manager's accomplishments and performance relative to objectives.
  - D. Working Test Period. A trial period deemed an extension of the examination process in which an employee's job performance and conduct are periodically evaluated to determine whether permanent appointment to the position is merited.
4. Appraisal Requirements. The job performance of each employee shall be evaluated periodically by a supervisor familiar with the employee's work. A bargaining unit employee's performance appraisal shall be conducted in accordance with the appropriate collective bargaining unit agreement. A managerial or confidential employee shall be evaluated utilizing the appropriate forms and process. A performance appraisal may be the basis of an employee's annual increment. An unsatisfactory rating may preclude an annual increase and two (2) consecutive unsatisfactory ratings shall be the basis for termination in accordance with Administrative Directive 2.6, Employee Discipline.
- Quarterly PARS reviews shall provide an opportunity for periodic assessment of performance, identification of any obstacles, determine appropriate corrective action and, if necessary, revise objectives. A copy of each approved appraisal shall be given to the employee and placed in the employee's personnel file. Comments, to include constructive suggestions for improvement, shall be consistent with the rating.
5. Performance Appraisal Frequency. Performance appraisals shall be completed and filed on the appropriate forms based on the schedule for each of the following:
- A. Each Correction Officer trainee shall receive monthly performance appraisals during the working test period.
  - B. Each initial or new promotional working test period employee, other than Correction Officer trainee, shall receive a performance appraisal at approximately three (3) month intervals

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and at least one (1) month prior to the end of the working test period.

- C. Each permanent employee shall be evaluated at least three (3) months prior to the employee's annual increase date.
  - D. Each PARS employee shall receive quarterly progress reviews.
  - E. A Unit Administrator may direct the completion of an unscheduled performance appraisal when the employee's performance shows a marked improvement or deterioration.
6. Performance Evaluation Factors. The job performance of each employee shall be evaluated on the basis of the employee's work as it relates to the duties and responsibilities of the position. Factors to be considered in the performance appraisal shall be delineated on the appropriate State specified form. The supervisor shall establish a complete and defensible record to substantiate ratings in each of the job factors. Factor ratings shall be based on objective criteria and careful observation of the employee's performance.
  7. Written Records and Notes. Supervisors shall keep notes and maintain administrative records regarding job performance to document informal personnel actions and support subsequent formal performance appraisals.
  8. Supervisor/Employee Review. The supervisor and employee shall meet to discuss the appraisal, assess the employee's strengths and weaknesses in a constructive manner, and set goals and objectives for the next appraisal period. The appraisal presented to the employee shall have been reviewed and signed by the appropriate supervisors. The employee shall be given the opportunity to examine the written appraisal and have the option to comment, in writing, regarding its content. No comments shall be added to a performance appraisal after it has been signed by the employee unless the modified appraisal has been reviewed with and initialed by the employee prior to its placement in the employee's personnel file. An employee's signature and/or initials on the rating form shall serve as confirmation that the employee has seen the rating. Such acknowledgement does not indicate agreement with the rating. When an employee is rated less than good in any category, the rating supervisor shall state, in detail, the reasons for such appraisal and offer suggestions for improvement. When, in the judgment of the rating supervisor, the overall performance of a permanent employee has been unsatisfactory, the report shall be approved by the Unit Administrator, with notice to, and the review of, the appropriate Human Resources staff member prior to review and final signature by the employee, supervisor and Unit Administrator.
  9. Review by Unit Administrator. Each performance appraisal shall be reviewed and signed by the Unit Administrator or appointing authority prior to issuance to the employee.
  10. Job Performance Supervision. Supervisors shall discuss an employee's job performance with the employee on an informal basis in private whenever the need to do so arises.
  11. Grievance and Arbitration. Disputes over "unsatisfactory", and in some instances "less than good" overall performance evaluations for

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bargaining unit employees, may be subject to the grievance and arbitration procedure.

Any disagreement with an evaluation based on a presumption of discrimination may be grieved in accordance with Administrative Directive 2.1, Equal Employment Opportunity and Affirmative Action.

12. Exceptions. Any exception to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.