

## ALC POSITION AUTHORIZATION ROSTER – VACANT POSITIONS

[illegible]



**Employee Performance Management System  
(EPMS)**

**Manager**

Rated Employee Identification			
<b>Employee's Name</b>	Bishop Woosley	<b>Evaluation Period</b>	6/1/14-5/31/15
<b>Title</b>	Director	<b>Department</b>	
<b>Supervisor's Name</b>	Lottery Commission		

PART I – Planning Stage Acknowledgement			
Name of Performance Evaluator		Title	
Signature of Evaluator		Date	
Name of HR Reviewer		Title	
Signature of HR Reviewer		Date	
Name of Reviewing Official		Title	
Signature of Reviewing Official		Date	
<b>Signature of Employee</b>		<b>Date</b>	

PART II – Evaluation Stage Acknowledgement			
Name of Performance Rater		Title	
Signature of Performance Rater		Date	
Name of HR Reviewer		Title	
Signature of HR Reviewer		Date	
Name of Reviewing Official		Title	
Signature of Reviewing Official		Date	

## Instructions

### The Planning Stage

**Performance Characteristics** - Performance characteristics are the behaviors and skills that an employee exhibits while carrying out the job functions and objectives. Employees are evaluated on how results are achieved in ten agency-wide performance characteristics. Each performance characteristic is defined by key actions, which target specific behaviors necessary for job success. Job functions, objectives, and performance characteristics are evaluated and weighted equally to ensure results are delivered in a manner consistent with ALC'S Values.

**Job Functions** - The supervisor, utilizing suggestions from the employee, shall select job duties from the employee's most recent position description and develop standard criteria for each duty. All management and supervisory employees are required to be reviewed on "promoting equal opportunity."

**Objectives** - This section allows the supervisor to include any additional special projects or program assignments that are not on the position description but that are assigned to the employee during the rating period. Objectives are optional, but if used, standard criteria are required for each objective.

The supervisor should meet with the employee to discuss the position description and how it relates to the job functions and objectives for the upcoming year. After this discussion, the supervisor shall complete the planning stage of the document. Prior to discussing the completed planning stage with the employee, the supervisor will present the final document to the reviewing officer for signature. The supervisor will then meet with the employee to review the final plans for the year and obtain the employee's signature. The completed planning document should be maintained by the agency to be used as the evaluation document at the end of the review period.

### The Evaluation Stage

The supervisor will complete the evaluation document based on the employee's performance for the entire year. Using the four levels of performance outlined below, performance job functions, performance objectives, and performance job characteristics shall be rated on how well the employee has met the standard criteria as outlined in the planning stage. **Performance characteristics will be weighted as fifty percent (50%) of the overall evaluation and job functions and objectives will be weighted as fifty percent (50%) of the overall evaluation based on the job functions, objectives, and performance characteristics which were communicated to the employee in the planning stage.**

Once the supervisor has completed the evaluation document, it will be presented to human resources and the reviewing officer for signatures. The supervisor will then schedule a meeting with the employee to discuss his/her performance and to obtain the employee's signature on the evaluation document. The evaluation must be completed prior to the review date to be timely.

### Four Levels of Performance

**Exceeds standards:** Performance consistently exceeds position requirements and management expectations. Resourcefulness and depth of knowledge are of the highest quality. Assignments are accomplished in an exceptional manner with minimal direction. Employee's contributions are clearly recognizable and are seen as a model of excellence for performance and behavior.

**Above Average:** On a regular basis, performance is characterized by high quality and quantity of work that exceeds most position requirements, key objectives, and management expectations. Employee demonstrates outstanding skills and abilities, and assignments are accomplished in a highly effective manner with limited guidance and direction.

**Satisfactory:** Performance meets all or most and may occasionally exceed work objectives and management expectations. Employee demonstrates good knowledge of job duties, and assignments are accomplished effectively with normal supervisory guidance.

**Unsatisfactory:** Performance does not consistently meet management expectations. Requires more than normal guidance and direction. Improvement and/or development are necessary if the rater elects to continue the incumbent's employment.

Taking into consideration job functions, objective results and performance characteristic demonstration, the individual's overall performance level is rated on a 4-level scale. This overall rating provides the employee with an assessment of how well performance expectations were met, and serves as the basis for development planning and the rewards an employee may receive.

## Performance Job Functions

Duty Area	1 – Finance, Budgeting, Audit, Procurement, and Fiscal Control				
Standard	<p>Overseeing the intake of millions of dollars and the output of most of those dollars to prize winners and to the state for scholarships.</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>Report current and past lottery revenues fully and completely to the ALC at least monthly, providing analysis of successes and/or failures from the previous month.</li> <li>Ensure the budget is followed with minimal need for revision.</li> <li>Provide regular updates to the Department of Higher Education related to the lottery's financial performance.</li> </ul>				
Please Check One	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

Duty Area	2 –Advertising and Marketing				
Standard	<p>Developing advertising and marketing strategies for lottery products.</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>Implement a successful and measurable Advertising and Marketing Campaign that draws new players to the Arkansas Scholarship Lottery.</li> <li>Provide the Advertising and Marketing Committee of the ALC (or, if they don't meet, the full ALC) with examples of successes and/or failures of the marketing campaign, including new commercials/collateral materials on a monthly basis.</li> <li>Successfully develop and execute advertising/marketing goals at university sporting events.</li> </ul>				
Please Check One	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

Duty Area	3 - Sales				
Standard	<p>Develop sales strategies for lottery products. Cultivating and maintaining relationships with Arkansas Lottery retailers.</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>Increase net proceeds for scholarships above those collected in the previous FY.</li> <li>Provided monthly report to ASL of new retailers and lost retailers, including net gains or losses in retailers and an explanation of either trend.</li> <li>Develop a business plan by Aug. 30 each year and provide regular updates as to its implementation.</li> </ul>				
Please Check One	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

Duty Area	4 –Security and Licensing				
Standard	<p>Overseeing procedures for requiring and receiving surety bonds from all retailers and vendors. Overseeing a thorough security operation to protect Arkansas citizens from lottery fraud and abuse. Conduct formal hearings in business disputes.</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>• Provide regular reports as to the accomplishments of Security Director, tactics utilized to identify and eliminate potential fraud and theft.</li> <li>• Provide risk analysis of ways the ASL is protecting itself from fraud and theft.</li> </ul>				
Please Check One	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

Duty Area	5 - Gaming				
Standard	<p>Overseeing the establishment and administration of all new gaming opportunities and the establishment and administration of all new contractual relationships between the lottery and vendors. Representing Arkansas with the North American Association of State and Provincial Lotteries and the Multi-State Lottery Association, as appropriate.</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>• Develop new gaming strategies for lottery products and report strategies regularly to ALC.</li> <li>• For each Continuing Education conference attended through the NAASPL or the MSLA, provide ALC and LOC with report of new “best practices” learned.</li> </ul>				
Please Check One	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

	6 –Human Resources				
Standard	<p>Hiring and supervising a large and multifaceted staff. Ensuring compliance with state and federal employment laws and regulations and lottery policies and procedures.</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>• Replace open direct-report positions within 60 days of previous employee leaving position.</li> <li>• Report all open positions to the ALC Personnel Committee monthly with a timeframe for filling the open positions.</li> </ul>				
Please Check One	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

	<b>7 –Public Affairs/Government Relations</b>				
<b>Standard</b>	<p>Directing external relations with important lottery stakeholders, especially the Arkansas General Assembly, local community leaders, and members of the media.</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>• Ensures prize winners are properly recognized in their local media.</li> <li>• Speaks to at least one civic club or public organization monthly in attempt to inform and educate the public about the ASL.</li> <li>• Provides report to local media about the impact of the ASL on their local students and college or university.</li> <li>• Build and maintain positive relationships with members of the Arkansas General Assembly.</li> </ul>				
<b>Please Check One</b>	<input type="checkbox"/> <div>4 Exceeds Standards</div>	<input type="checkbox"/> <div>3 Above Average</div>	<input type="checkbox"/> <div>2 Satisfactory</div>	<input type="checkbox"/> <div>1 Unsatisfactory</div>	Weight Factor: %

	<b>8 –Legal</b>				
<b>Standard</b>	<p>Providing strategic leadership related to legal matters affecting the Arkansas Scholarship Lottery</p> <p><u>GOALS:</u></p> <ul style="list-style-type: none"> <li>• Ensures the Arkansas Scholarship Lottery follows all state and local laws.</li> <li>• Provide ALC with updates of lawsuits and/or potential lawsuits against the ASL.</li> <li>• Closely monitors any Arkansas Freedom of Information Act request and provides best practices for ensuring the Act is followed.</li> </ul>				
<b>Please Check One</b>	<input type="checkbox"/> <div>4 Exceeds Standards</div>	<input type="checkbox"/> <div>3 Above Average</div>	<input type="checkbox"/> <div>2 Satisfactory</div>	<input type="checkbox"/> <div>1 Unsatisfactory</div>	Weight Factor: %

## EPMS Evaluation Computation

### Section 1 – Performance Job Functions

	Duty Area	Self Score	Commission score	
1	Finance, Budgeting, Audit, Procurement, and Fiscal Control			
2	Advertising, PR and Marketing			
3	Sales			
4	Security and Licensing			
5	Gaming			
6	Human Resources			
7	Public Affairs/Government Relations			
8	Legal			

Round final score using scale to the right.	<p>*Exceeds performance standards 3.5 → 4 = (4)</p> <p>Above average performance standards 2.5 → 3.4 = (3)</p> <p>Satisfactory performance standards 1.5 → 2.4 = (2)</p> <p>*Unsatisfactory performance standards 0.0 → 1.4 = (1)</p> <p><b>*Must provide justification for overall rating</b></p>
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Overall Rating				
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<b>Please Check One</b>	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory

Check the boxes below to indicate subject matter was covered.

- ☐ The performance evaluation has been conducted.  
☐ The ALC Code of Ethics policy and ALC's Mission, Vision and Values have been reviewed.

The employee's signature does not indicate that he or she agrees with the evaluation.

**Employee Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_



**Employee Performance Management System  
(EPMS)**

**Manager**

Rated Employee Identification			
<b>Employee's Name</b>	Matt Brown	<b>Evaluation Period</b>	7/1/13-5/31/14
<b>Title</b>	Internal Auditor	<b>Department</b>	Audit
<b>Supervisor's Name</b>	Lottery Commission		

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## Performance Job Functions

<b>Duty Area</b>	<b>1 – EXECUTIVE ADMINISTRATION OF THE INTERNAL AUDIT FUNCTION</b>				
<b>Standard</b>	<b>GOALS:</b> <ul style="list-style-type: none"> <li>Provides self-assessment of the Performance Year's Audit Activities by April 30 of each year (or in advance of the Commission's planned meeting to complete performance evaluation activities)</li> <li>Provides an annual report of the Internal Audit Activities</li> <li>Utilizes Internal Audit Resource Analysis (i.e. time utilization percentage analysis).</li> </ul>				
<b>Please Check One</b>	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

<b>Duty Area</b>	<b>2 - REVIEW</b>				
<b>Standard</b>	<b>GOALS:</b> <ul style="list-style-type: none"> <li>Objectively and independently review actions and internal controls, fulfilling goals established in the Audit Plan.</li> <li>Provides projected timelines for audits.</li> <li>Completes each audit in a timely manner.</li> </ul>				
<b>Please Check One</b>	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

<b>Duty Area</b>	<b>3 – ANNUAL DEVELOPMENT OF A THREE-YEAR AUDIT PLAN</b>				
<b>Standard</b>	<b>GOALS:</b> <ul style="list-style-type: none"> <li>Completes a comprehensive three-year Audit Plan covering the next or current fiscal year (depending on time of presentation) plus two additional years.</li> <li>Provides an annual presentation to the Audit and Legal Committee detailing actions taken by July 31 of each year.</li> <li>Provides monthly or periodic report that includes each project covered in the current fiscal year's audit plan, a status update of the project (as applicable), and remaining time estimated for project completion.</li> </ul>				
<b>Please Check One</b>	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

<b>Duty Area</b>	<b>4 – MAINTAINING PROFESSIONAL STANDARDS</b>				
<b>Standard</b>	<b>GOALS:</b> <ul style="list-style-type: none"> <li>Works cooperatively with, yet independently of, Legislative Auditors, ALC financial team, ALC gaming team, facilitates success of operation and objectives (scholarship funding), assists in achievement of goals set by Commission.</li> <li>Establishes and maintains effective working relationships with ALC management team.</li> <li>Provides the Commission with the satisfaction surveys from audits he performs as part of a mid-year self-assessment and final assessment preceding the annual evaluation.</li> </ul>				
<b>Please Check One</b>	<input type="checkbox"/> 4 Exceeds Standards	<input type="checkbox"/> 3 Above Average	<input type="checkbox"/> 2 Satisfactory	<input type="checkbox"/> 1 Unsatisfactory	Weight Factor: %

Duty Area	5 – SPECIAL PROJECTS/PERFORMANCE AUDIT				
Standard	GOALS: <ul style="list-style-type: none"> <li>• Provide strategic leadership, timelines, and execution of the Performance Audit approved by the ALC.</li> <li>• Offer suggestions of other proactive audits and/or special projects throughout the year as situations arise.</li> <li>• Completes each special project in a timely manner.</li> </ul>				
Please Check One	<input type="checkbox"/> <div>4 Exceeds Standards</div>	<input type="checkbox"/> <div>3 Above Average</div>	<input type="checkbox"/> <div>2 Satisfactory</div>	<input type="checkbox"/> <div>1 Unsatisfactory</div>	Weight Factor: %

Duty Area	6 – AUDIT REPORTING AND COMMUNICATION OF RESULTS				
Standard	<ul style="list-style-type: none"> <li>• Provides detailed, clear, and quality reports to the Commission regarding audit procedures performed and results of those procedures.</li> <li>• Keeps Commissioners and ALC management fully informed of all issues as they develop and all facts as they are found regarding all work performed by Internal Audit team.</li> <li>• Accurately communicates results and recommendations of audits, special investigations and special projects.</li> </ul>				
Please Check One	<input type="checkbox"/> <div>4 Exceeds Standards</div>	<input type="checkbox"/> <div>3 Above Average</div>	<input type="checkbox"/> <div>2 Satisfactory</div>	<input type="checkbox"/> <div>1 Unsatisfactory</div>	Weight Factor: %

## EPMS Evaluation Computation

### Section 1 – Performance Job Functions

	Duty Area	Weight	Self Score	Commission Score
1	EXECUTIVE ADMINISTRATION OF THE INTERNAL AUDIT FUNCTION	EQUAL		
2	REVIEW	EQUAL		
3	ANNUAL DEVELOPMENT OF A THREE-YEAR AUDIT PLAN	EQUAL		
4	MAINTAINING PROFESSIONAL STANDARDS	EQUAL		
5	SPECIAL PROJECTS/PERFORMANCE AUDIT	EQUAL		
6	AUDIT REPORTING AND COMMUNICATION OF RESULTS	EQUAL		

**NOTE: The Commission's Score is used to determine overall performance evaluation score.**

Round final score using scale to the right.	<p>*Exceeds performance standards 3.5 → 4 = (4)          Above average performance standards 2.5 → 3.4 = (3)          Satisfactory performance standards 1.5 → 2.4 = (2)          *Unsatisfactory performance standards 0.0 → 1.4 = (1)  <b>*Must provide justification for overall rating</b></p>
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- ☐ The performance evaluation has been conducted.  
☐ The ALC Code of Ethics policy and ALC's Mission, Vision and Values have been reviewed.

The employee's signature does not indicate that he or she agrees with the evaluation.

**Employee Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_