



Operating Procedure

Effective Date January 1, 2017	Number 145.2
Amended	Operating Level Department
Supersedes Operating Procedure 101.1/145.2 (8/1/13)	
Authority COV §2.2-2900 et seq., §53.1-10	
Subject EMPLOYEE PERFORMANCE MANAGEMENT	
ACA/PREA Standards 4-4048, 4-4064; 4-ACRS-7B-06; 4-ACRS-7E-07, APPFS-3D-17; 4-APPFS-3D-18, 2-CO-1C-01, 2-, 2-CO-1C-08, 2-CO-1C-14, 2-CO-1C-21; 1-CTA-1C-01, 1-CTA-1C-08; §115.17, §115.217	
Incarcerated Offender Access Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Public Access Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Attachments Yes <input checked="" type="checkbox"/> #1 No <input type="checkbox"/>
Office of Primary Responsibility Human Resources Director	

I. PURPOSE

This operating procedure provides for annual performance planning and evaluation for all Department of Corrections employees.

II. COMPLIANCE

This operating procedure applies to all units operated by the Department of Corrections (DOC). Practices and procedures shall comply with applicable State and Federal laws and regulations, Board of Corrections policies and regulations, ACA standards, PREA standards, and DOC directives and operating procedures.

III. DEFINITIONS

Below Contributor Rating - Results or work that fails to meet performance measures; to receive this rating, an employee must have received at least one documented *Notice of Improvement Needed/Substandard Performance* within the performance cycle.

Contributor Rating - Results or work that is characterized by meeting job functions and fully meeting performance measures

Core Responsibilities - Job responsibilities that are primary and essential to the type of work performed by an employee and normally remain relatively consistent during the performance cycle

Counseling - An informal (verbal) or formal (written) communication which conveys that an employee's conduct or performance was improper and must be corrected. Formal counseling discussions must be documented in a written memorandum. Counseling that is related to work performance may be included in an interim performance evaluation or a [Notice of Improvement Needed/ Substandard Performance](#) 145_F5

Exceeds Contributor Rating - Results or work that consistently exceeds expectations and performance measures; this rating, which is unique to DOC, level falls above "Contributor" and below "Extraordinary Contributor." Employees should be informed that all "Contributor" and "Exceeds Contributor" ratings will be entered into the Personnel Management Information System (PMIS) as "Contributor" in order to comply with the three ratings allowed by DHRM policy.

Extraordinary Contributor Rating - Results or work that are characterized by exemplary accomplishments throughout the rating period; performance that is considerably and consistently well above performance measures; an employee must have received at least one documented *Acknowledgement of Extraordinary Contribution* within the performance cycle.

Interim Employee Evaluation - A performance evaluation completed during the performance cycle to document and assess an employee's progress toward achieving the performance plan

Performance Evaluation Cycle - The annual cycle during which an employee's supervisor documents performance, usually beginning October 25th of each year

Performance Measures - Qualitative and/or quantitative standards or measures against which each core responsibility, special assignment, and agency/ departmental objective is assessed; performance measures describe major duties, assignments and objectives in terms of complexity, accountability, and results, and

should be specific, measurable, attainable and relevant. These measures are referred to on the *Employee Work Profile* as *Measures for Core Responsibilities*, *Measures for Special Assignments*, and *Measures for Agency/Departmental Objectives*.

Performance Plan - The key component of the evaluation instrument that identifies the core responsibilities, special projects, and performance measures to indicate required achievement levels during and at the end of the performance cycle

Reviewer - The supervisor of an employee's immediate supervisor, or another person designated to review an employee's work description, performance plan, performance rating, and who responds to appeals of performance ratings

IV. PROCEDURE

A. Employee Performance Management

1. This operating procedure serves as a guide to implement the Department of Human Resource Management (DHRM) Policy 1.40, *Performance Planning and Evaluation*, in Department of Corrections units. Employees are referred to DHRM policies for official guidance and details not covered in this operating procedure.
2. Employee performance management forms the core of employee-management relations.
 - a. The employee and their supervisor must clearly understand the employee's duties and establish clear, measurable, and attainable objectives to determine when those duties are accomplished.
 - b. It is essential for the supervisor to provide ongoing feedback to the employee recognizing both exemplary accomplishments and where improvement may be needed.
3. The [Employee Work Profile \(EWP\)](#) 145_F2 serves to document a written performance review of all employees, which is conducted at least annually, based on defined criteria, reviewed and discussed with the employee, and the review is signed by the employee and the evaluator. (4-4064; 4-ACRS-7B-06; 4-APPFS-3D-18, 2-CO-1C-01, 2-CO-1C-21; 1-CTA-1C-08) This review includes an appraisal of the knowledge, skills, and abilities that are required for each employee's job assessment, and identification of additional education or training that is needed. (4-APPFS-3D-17))
4. Part II of each employee's EWP contains written job descriptions and job qualifications. (2-CO-1C-01) Annual review of the core responsibilities ensures that organizational objectives are being met. (2-CO-1C-08)
5. This written performance review provides for the retention of all personnel on the basis of merit and specified qualifications.
6. Each Employee's EWP must contain a *Physical Demands Worksheet* 145_F10

B. Performance Planning

1. Supervisors will develop a performance plan for each employee by completing Part II - *Work Description & Performance Plan*, of the [Employee Work Profile \(EWP\)](#) 145_F2 (see Attachment 1, *Instructions for Completing Employee Work Profile*). Human Resources has developed standardized performance plans for certain positions which should be used when applicable.
2. Part III - *Employee Development Plan*, should be developed based on the employee's current knowledge, skills, and abilities with the objective of improving performance in the current position and preparing the employee for career advancement. (2-CO-1C-14)
3. The supervisor shall sign in Part IV, *Review of Work Description/Performance Plan* and submit the performance plan to the reviewer.
4. Reviewers should ensure that performance plans are appropriate before signing.
5. Following the reviewer's approval, the supervisor will discuss performance plans with the employee and present the plans for their signature.
 - a. Generally, discussions should be held within 30 days of the beginning of the performance cycle.

- b. With an employee who is beginning a new or different position, a discussion should be held within 30 days of the employee's begin date to include the performance plan and complete the [Computer Application Access Checklist](#) 145_F7.
 - c. At the time of the annual review supervisors should also review, update as needed, and initial the employee's [Computer Application Access Checklist](#) 145_F7.
 - d. Supervisors should retain a copy of the reviewed form and forward the original to the appropriate Human Resources Officer.
6. Changes to the Performance Plan during the Performance Cycle
- a. Changes to the performance plan during the performance cycle generally would be used for additional special assignments or modifications to special assignments.
 - i. If it is necessary to change one or more of the core responsibilities, the reviewer must approve the change(s).
 - ii. The performance plan is not intended to fully describe the tools or methods used to accomplish work; these may change without requiring a plan revision.
 - iii. If core responsibilities include project-based assignments, supervisors may develop a core responsibility statement indicating the general nature of the projects, and a measure noting that the project is completed in accordance with the objectives, standards, and timelines established and communicated at the time of assignment.
 - b. All changes to the performance plan should be noted on the EWP and initialed and dated by the supervisor, reviewer, and employee. If it is necessary to add additional pages, each page should be initialed and dated by the supervisor, reviewer, and employee and the page(s) attached to the original EWP.
 - c. Changes that should be noted on the EWP include assignments performed for more than 30 workdays while on light duty status or in an acting status.

C. Documentation during the Performance Cycle

- 1. Supervisors should document employees' performance and provide feedback to them periodically throughout the performance cycle. Documentation may be in the form of notes, memos, etc., and must be retained in supervisors' confidential files, rather than in employees' official personnel files.
- 2. Feedback provided during the cycle may be informal or formal.
 - a. Informal feedback is encouraged, but there may be times when formal feedback is more appropriate.
 - b. Formal feedback should be documented through memos or interim evaluations.
 - c. Employees should receive copies of formal feedback documentation.
- 3. At least one interim evaluation should be completed and documented on each employee during the performance year.
 - a. [Interim Employee Evaluation](#) 145_F3 is available for use as documentation but is not required.
 - b. Interim employee evaluations are not considered "official" documents and are retained in the supervisor's confidential file for use in constructing the annual performance evaluation.
- 4. A supervisor should document incidents of extraordinary performance on the [Acknowledgement of Extraordinary Contribution](#) 145_F4.
 - a. The *Acknowledgement* must be signed by the supervisor and reviewer, given to the employee, and a copy retained in the supervisor's confidential file until the annual performance evaluation is completed.
 - b. In order for an employee to receive an overall *Extraordinary Contributor* rating on the annual performance evaluation, the employee must receive at least one *Acknowledgement of Extraordinary Contribution* and perform consistently well above the core responsibilities and measures throughout the performance cycle.

- c. Extraordinary contribution(s) should be documented on the *Acknowledgement* and discussed as close to the time of occurrence as possible.
 - d. If the employee receives an overall annual evaluation of *Extraordinary Contributor*, the *Acknowledgement* must be attached to the annual evaluation form to support the rating.
 - e. The receipt of one or more *Acknowledgement of Extraordinary Contribution* does not automatically entitle an employee to an overall annual rating of *Extraordinary Contributor*.
5. Supervisors should immediately identify poor, substandard, or unacceptable performance. Supervisors normally should address first-time minor or marginal performance issues through performance counseling and coaching.
- a. An employee may receive a [Notice of Improvement Needed/ Substandard Performance](#) 145_F5 at any time during the performance cycle if the employee exhibits substandard performance on any core responsibility, special assignment, agency or unit objective, or core value, or core competency.
 - b. Reviewers must approve and sign such *Notices*.
 - c. The *Notice of Improvement Needed/Substandard Performance* must include an improvement plan, which should have an improvement period of no less than 30 days or more than 180 days.
 - i. The improvement plan shall be developed by the supervisor and the employee.
 - ii. If agreement cannot be reached, the supervisor may establish the improvement plan.
 - iii. The plan should be included on the *Notice* or attached to it.
 - iv. Employees should be given a copy of the *Notice* and plan.
 - v. When the annual evaluation is completed, the *Notice* and plan must be attached to the Evaluation Form if the overall evaluation reflects a rating of *Below Contributor*.
 - d. An employee cannot be rated *Below Contributor* on the annual evaluation unless he/she has received:
 - i. At least one *Notice of Improvement Needed/Substandard Performance* OR
 - ii. A *Written Notice* for any reason as defined in Operating Procedure 135.1, *Standards of Conduct*.
 - e. Receipt of a *Notice of Improvement Needed/Substandard Performance* or a *Written Notice* does not require that an employee be rated *Below Contributor*.

D. Personnel Changes

1. If the employee's supervisor leaves the position during an employee's performance cycle, the departing supervisor should complete an interim evaluation of the employee's performance.
2. If, after six months into the performance cycle, an employee transfers, is promoted or demoted into a new position with a different supervisor, within the DOC or between state agencies, an interim evaluation should be completed.
 - a. The interim evaluation should be completed by the supervisor prior to the employee's departure.
 - b. For transfers to another agency, the interim performance evaluation will be completed and sent with the personnel file to the new agency for retention by the new supervisor.

E. Conducting Performance Evaluations (4-4048; 4-ACRS-7E-07; 1-CTA-1C-01)

1. To the extent possible, performance evaluations should reflect performance levels for the entire performance cycle.
 - a. Employees should have performance evaluations completed by October 24, but not before August 10.
 - b. Probationary employees hired after July 24 should be evaluated in accordance with Operating Procedure 145.1, *Probationary Period*.
2. Each employee shall be required to complete Section I of [Employee Self-Assessment](#) 145_F6 to document a response to the following questions: (§115.17[f], §115.217[f])

- a. Have you ever engaged or attempted to engage in sexual abuse in an institutional setting; for example, prison, jail, juvenile facility?
 - b. Have you been convicted of engaging or attempting to engage in sexual activity in the community where there was use of force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?
 - c. Have you been civilly or administratively adjudicated for engaging in sexual activity in the community where there was use of force (as described above)?
 - d. The employee's signature documents that the employee has been reminded that there is a continuing affirmative duty to disclose any such misconduct. (§115.17[f], §115.217[f])
3. Section II of [Employee Self-Assessment](#) 145_F6 provides each employee an opportunity to provide the supervisor with a self-assessment of his or her job performance for the rating period. Section II is optional for the employee.
- a. The employee should be asked to provide a self-evaluation at least two weeks prior to the evaluation meeting.
 - b. A supervisor must review and consider the self-assessment when completing each employee's performance evaluation.
4. An employee's immediate supervisor must complete Part VI - *Performance Evaluation*, Part VII - *Employee Development Results*, and Part VIII - *Overall Results Assessment and Rating Earned* of the [Employee Work Profile \(EWP\)](#) 145_F2 (see Attachment 1, *Instructions for Completing Employee Work Profile*).
5. The reviewer must review the performance plan and performance evaluation sections of the EWP before they are presented to the employee.
- a. If the reviewer does not agree with the evaluation, the reviewer should discuss the disagreements with the supervisor.
 - b. The reviewer has the authority to change the employee's evaluation.
6. Following the reviewer's approval, the supervisor will discuss performance evaluation with the employee and present the EWP for their signature.
7. An employee who receives a rating of "Below Contributor" must be re-evaluated and have a performance re-evaluation plan developed, as outlined below:
- a. Within 10 workdays of the evaluation meeting during which the employee received the annual rating, the employee's supervisor must develop a performance re-evaluation plan that sets forth performance measures for the following three months, and have it approved by the reviewer.
 - b. The employee must be re-evaluated within approximately two weeks prior to the end of the three-month period. If an employee is absent for more than 14 consecutive days during the three-month re-evaluation period, the period will be extended by the total number of days of absence, including the first 14 days.
 - c. If the employee receives a re-evaluation rating of "Below Contributor," the supervisor shall demote, reassign, or terminate the employee by the end of the three-month re-evaluation period.
8. An employee may appeal an evaluation rating by submitting a written appeal to the reviewer within 10 workdays of the performance meeting.
9. Completed *Employee Work Profile* and *Employee Self-Assessment* forms are official personnel documents and must be retained in employees' official personnel files when completed.

V. REFERENCES

DHRM Policy 1.40, *Performance Planning and Evaluation*

Operating Procedure 135.1, *Standards of Conduct*

Operating Procedure 145.1, *Probationary Period*

VI. FORM CITATIONS

[Employee Work Profile \(EWP\)](#) 145_F2

[Interim Employee Evaluation](#) 145_F3

[Acknowledgement of Extraordinary Contribution](#) 145_F4

[Notice of Improvement Needed/ Substandard Performance](#) 145_F5

[Employee Self-Assessment](#) 145_F6

[Computer Application Access Checklist](#) 145_F7

[Physical Demands Worksheet](#) 145_F10

VII. REVIEW DATE

The office of primary responsibility shall review this operating procedure annually and re-write it no later than three years from the effective date.

The office of primary responsibility reviewed this operating procedure in January 2018 and necessary changes are being drafted.

Signature Copy on File

12/7/16

N. H. Scott, Deputy Director of Administration

Date