


Idaho Department of Correction 	Standard Operating Procedure	Title: Performance Management		Page: 1 of 7
		Control Number: 222.07.01.001	Version: 2.0	Adopted: 1-26-2009

**Sharla Means, Human Resource Manager, approved this document on
02/19/2015.**

Open to the public: **Yes**

SCOPE

This standard operating procedure applies to all IDOC employees.

Revision Summary
Revision date (02/19/2015) version 2.0 : <ul style="list-style-type: none"> • Moved permanent file management and retention to Employee Personnel Records SOP • Updated section 8, Employee Personnel Working File • Corrected/updated formatting throughout

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BOARD OF CORRECTION IDAPA RULE NUMBER

None

POLICY CONTROL NUMBER

Performance Management 222.

PURPOSE

The purpose of this standard operating procedure (SOP) is to establish guidelines, rules, and expectations for supervisors in managing employee performance. Managing employee performance includes the ongoing process of setting expectations, providing feedback, coaching, evaluating, and documenting performance, corrective and disciplinary actions, and any commendations received while employed with the Idaho Department of Correction (IDOC).

RESPONSIBILITY

Manager of Human Resource (HR)

The Manager of HR is responsible for:

- Developing the IDOC's performance management system and ensuring compliance with all state statutes, rules, and policies governing performance management activities;
- Training managers and supervisors in the IDOC's performance management system;
- Providing information to all employees regarding the performance management system; and
- Maintaining completed employee performance reviews and performance-related documents in the employee's employee personnel permanent file.

Managers

Managers are responsible for:

- Ensuring each of their supervisors are trained in the IDOC's performance management system;
- Ensuring each of their supervisors comply with the performance management process, applying effective techniques, and evaluating employees in a timely manner;
- Reviewing each *Employee Performance Review* prior to delivery and concurring with the final rating; and
- Holding supervisors accountable for accurate and timely performance feedback, annual employee performance reviews, and other aspects of performance management as outlined in this SOP.

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Supervisors

Supervisors are responsible for:

- Establishing employee job expectations and defining responsibilities;
- Providing support and opportunities for training and employee development;
- Keeping employee performance on target through feedback and coaching;
- Maintaining a schedule of when employee performance reviews need to be conducted for each of their employees;
- Documenting employee performance on an on-going basis throughout the year and evaluating the performance of each of their employees in a timely manner;
- Discussing the results of employee performance reviews with each of their employees on a timely basis as a means of providing feedback and guidance on past performance and future expectations; and
- Providing a signed copy of the *Employee Performance Review* to the employee.

GENERAL REQUIREMENTS

Performance management is an on-going process of workforce engagement. It includes setting and supporting performance expectations, defining responsibilities, keeping employee performance on target through coaching and feedback, establishing goals for development and potential career growth, reinforcing and redirecting workplace behaviors, and evaluating performance. When applied effectively, performance management strengthens the relationship between supervisors and employees as well as increases the overall effectiveness of the IDOC. Although equally valuable to both supervisors and employees, the primary responsibility for effective performance management falls on those in a supervisory role.

1. Training

Each IDOC supervisor must receive performance management training before conducting an employee's *Employee Performance Review*. Training will also be mandatory for supervisors when there are changes or updates to State statutes, rules, and policies governing performance management. Refresher training will be made available as needed. HR will be responsible for the performance management training.

2. Setting Expectations and Defining Employee Responsibilities

An employee must know what is expected of him and the purpose of his position. To accomplish this, the supervisor will meet with the employee at the time the employee is assigned to him and communicate clear expectations, define employee job responsibilities, and work with the employee to establish goals and objectives.

The supervisor will also periodically review the established goals and objectives with the employee and modify or create new ones as needed.

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3. Providing Employee Support

Supervisors will provide training, resources, equipment, encouragement, and developmental opportunities so employees can meet goals and objectives and achieve performance standards.

4. Providing Continuous Feedback and Coaching to Employees

Performance management requires an ongoing commitment to effective communication. Constructive, continuous feedback and coaching are key components toward effective communication. Feedback and coaching are vital to the overall success of the employee.

- **Continuous Feedback** often stems from a specific issue **or** behavior and is used to reinforce good performance **or** redirect poor performance.
- **Coaching** is a tool used to develop employees, enhance employee growth and performance, and promote individual responsibility and accountability.

Whether providing continuous feedback or coaching it is imperative that the communication be:

- Timely (as soon after the event as possible),
- Authentic (a sincere attempt to help but not control the employee), and
- Documented

Documentation regarding an employee's performance can come in many forms such as notes on observed performance or behavior, written copies of the employee's work, emails, performance feedback worksheets and any corrective and/or disciplinary action documents.

5. Performance Feedback Worksheet

Performance feedbacks worksheets are less formal reviews that are conducted more frequently than employee performance reviews. Performance feedbacks are intended to ensure regular contact between an employee and supervisor regarding the employee's performance and development. Performance feedback shall be recorded on the applicable Performance Feedback Worksheet. Performance feedback worksheets cover the same performance standards as performance reviews, but do not require additional management review above the rating supervisor and doesn't provide an overall rating.

Performance feedbacks shall be conducted on each classified employee:

- Quarterly during entrance, promotional, or voluntary probation. (**Note: The *Employee Performance Review* will stand in place of the fourth (4th) quarter or final *Performance Feedback Worksheet*.**);
- Semi-annually upon certification to permanent status in the current job class. (**Note: The *Employee Performance Review* will stand in place of the second (2nd) or final *Performance Feedback Worksheet*.**);
- Any time a supervisor feels it necessary to document performance; and
- Upon terminating employment with the IDOC. **Note:** When employment is terminated, a *Performance Feedback Worksheet* must be completed, but an *Employee Performance Review* will not be necessary.

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If the employee's last Employee Performance Review was less than 90 days prior to being transferred or assigned to another division, promoted, or demoted, the supervisor shall complete a Performance Feedback Worksheet in lieu of an Employee Performance Review.

The supervisor shall provide a signed copy of the employee's Performance Feedback Worksheet to the employee **and** maintain a copy for the employee's employee working file.

6. Employee Performance Reviews

Employee performance reviews are formal reviews detailing an employee's performance and development. Employee performance reviews cover a variety of performance standards, including both narrative **and** numerical rating sections.

Employee performance reviews shall be conducted on each classified employee:

- At the completion of entrance, promotional, or voluntary probation;
- Annually upon certification to permanent status;
- For an outgoing transfer, to another supervisor, promotion or demotion if their last performance review was more than 90 days prior to their transfer;
- Any time a supervisor feels it necessary to document performance.

Narrative Ratings

Each Employee Performance Review shall include, a narrative summarizing the employee's performance and an overall narrative for the period of time covered in the review cycle. The narrative will provide detailed information outlining the employee's strengths in meeting expectations as well as areas needing improvement. The language used in the narrative must support the level of performance rating.

Level of Performance Ratings

In addition to a narrative rating, each employee shall be given one (1) of the following performance ratings in each section of the Employee Performance Review:

- **EX** — Exemplary performance
- **SS**—Solid sustained performance
- **APS**—Achieves performance standards
- **DNA**—Does not achieve performance standards

Each level of performance rating will receive a point total, which will determine an overall performance rating for the review period.

Reviewing and Signing

Employee performance reviews require a second level review as well as a review by a manager, warden, or district manager. When the second level reviewer happens to be a manager, warden, or district manager their signature is sufficient.

The rater signs the review prior to presenting it to the employee. The employee will be the last person to sign the Employee Performance Review.

Supervisors are expected to discuss the Employee Performance Review with the employee, and the employee is expected to sign the review. The employee's signature does not indicate that the employee agrees with the *Employee Performance Review*, only that the employee received the review on the date indicated.

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If an employee refuses to sign the *Employee Performance Review*, the supervisor must obtain a witness to the employee's refusal to sign the review, note on the review that the employee refused to sign the review, and secure the witness' signature.

If the employee is unavailable to sign the *Employee Performance Review* (e.g., the employee is no longer employed with the IDOC, is not immediately available, etc.), the supervisor shall mail a copy of the review to the employee for signature. Alternatively, and if applicable, the supervisor may obtain the employee's signature upon the employee's return to work.

Once all parties have signed the *Employee Performance Review*, the supervisor shall provide a signed copy of the review to the employee **and** maintain a copy for the employee's employee working file.

The original *Employee Performance Review* shall be forwarded to HR for filing in the employee's employee personnel permanent file (see section 9).

The Employee Response

An employee shall be given an opportunity to respond to the *Employee Performance Review* in writing, either on the review itself **or** on a separate attachment to the review.

If the employee disputes any part of the *Employee Performance Review*, the supervisor shall ask the employee to sign the review (see the subsection above titled Reviewing and Signing) **and** indicate in the employee comments section that he intends to provide a written response. The employee must submit the written response to the supervisor within seven (7) days of signing the *Employee Performance Review*.

7. Performance Improvement Plans

Should an employee receive a level of performance rating of "DNA" in any section of the *Employee Performance Review* **or** as an overall rating, the employee's supervisor must prepare for the employee a *Performance Improvement Plan* (PIP) to address the non-performance issue.

The PIP must include:

- A detailed description of the non-performance issue,
- An explanation as to why the performance was unacceptable,
- A plan of action and timeframes for bringing the employee's performance up to an acceptable level,
- Information regarding how the matter will be considered resolved should the employee's performance improve, and
- The potential consequences should the employee's performance not improve.

8. Performance and Career Development Plans

Supervisors are encouraged to create a *Performance Development Plan* and/or a *Career Development Plan* for an employee at any time during the review cycle.

A *Performance Development Plan* is intended for employees who are already performing at an acceptable level of performance but wish to improve.

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A *Career Development Plan* is used in cases where an employee wishes to move up within a given career path **or** chain of command but currently lacks the skills or experience necessary for such advancement.

Both plans describe what areas an employee needs to work on in order to advance to the next level. The supervisor will outline an action plan and resources that will likely help an employee achieve his goals.

9. Employee Personnel Working Files

Supervisors will maintain a separate employee working file for each employee, which will be used to document the employee's performance. Employee working files shall be kept confidential and stored in a secure location at the assigned facility. This information is used to prepare the current performance evaluation. When an employee moves to a new facility, the employee's employee working file shall be sent immediately to the new work location. When an employee's employment is terminated then the working file is sent to HR for inclusion with the permanent file. See *Employee Personnel Records, 225.07.01.001*.

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