

# APPLICABILITY DEPARTMENT WIDE

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NUMBER **DOC 850.110** 

TITLE

## **POLICY**

## PERFORMANCE AND DEVELOPMENT PLANS

#### **REVIEW/REVISION HISTORY:**

Effective: 7/1/83 DOC 851.010

Revised: 10/1/85 Revised: 7/1/86 Revised: 12/1/89 Revised: 9/1/97

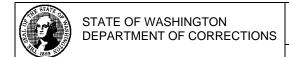
Revised: 5/8/01 DOC 850.110

Revised: 8/25/08 Revised: 7/22/10 Revised: 7/23/12 Revised: 11/1/15 Revised: 10/1/21

**Department of Corrections** 

## **SUMMARY OF REVISION/REVIEW:**

Major changes to include the use of a new form for PDPs and reorganization of information. Read carefully!		
APPROVED:		
Signature on file		
CHERYL STRANGE, Secretary	8/27/21 Date Signed	
CHERTE STRANGE, Secretary	Date Signed	



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#### **REFERENCES:**

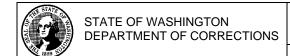
DOC 100.100 is hereby incorporated into this policy; <u>RCW 41.06.169</u>; <u>WAC 357-19</u>; <u>WAC 357-37</u>; <u>WAC 357-58</u>; DOC 230.500 Vehicle Use; DOC 810.020 Employee Contact Information; <u>Collective Bargaining Agreements</u>; <u>Department Mission and Vision</u>; Performance and Development Plan (PDP) Frequently Asked Questions; WMS Policies and Procedures Manual

#### **POLICY:**

- I. The Department has established procedures to provide direction to supervisors and employees in completing Performance and Development Plans (PDPs) for Washington General Service (WGS) and Washington Management Service (WMS) employees.
- II. For represented employees, collective bargaining agreements will prevail if this policy is determined to be in conflict.

#### **DIRECTIVE:**

- I. Responsibilities
  - A. Supervisors will use DOC 03-430 Performance and Development Plan Expectations and Evaluation to conduct performance and development planning to:
    - 1. Explain the employee's responsibility for successfully performing technical skills of the position, meeting identified measures, and exhibiting core values in alignment with the Department's Mission and Vision.
    - 2. Assess the efficiency and effectiveness of the employee's contribution to fulfilling the objectives of the Department and of the employee's position.
    - 3. Recognize an employee's successful job performance and identify any necessary performance changes.
    - 4. Start and complete the PDP process during probationary or trial service periods and for transition/interim reviews.
  - B. Supervisors may refer to and use the following tools maintained on the Supervisor Support page on the Department's website:
    - 1. Supervisory Evaluation Job Aid
    - 2. Performance and Development Plan (PDP) Checklist
  - C. Supervisors will maintain a supervisory file for each employee they supervise and:



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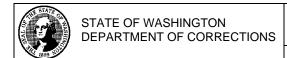
- 1. Transfer the supervisory file to the new supervisor upon an employee's transfer or promotion to another position, when appropriate.
- 2. Destroy the supervisory file upon the employee's separation from the Department, unless the file is needed (e.g., litigation, grievance).
- D. If the supervisor fails to comply with this policy, the employee may address the issue with the employee's second line supervisor.

## II. General Requirements

- A. The PDP process will include candid, private, and ongoing discussions between supervisors and employees.
  - 1. If mutual agreement and understanding cannot be reached between the supervisor and employee, the supervisor will determine the final contents of the PDP and the employee may:
    - a. Note any comments in the Acknowledgement section, and/or
    - b. Submit additional statements for inclusion in the employee's personnel file.
- B. Employees will have the opportunity to participate in formal, scheduled performance planning and feedback, as well as the opportunity to discuss their professional development.

#### III. Performance Periods

- A. Performance periods (i.e., periods of work for which performance expectations are set and subsequent evaluations are completed) will start:
  - 1. At the beginning of an employee's probationary, trial service, transition review, WMS, or exempt appointment,
  - 2. Annually on a WGS employee's anniversary date, and/or
  - 3. Per the WMS Policies and Procedures Manual for WMS employees maintained on the Supervisor Support page on the Department's website.
- B. Performance periods should only cover a 12 month period unless extended per:
  - 1. WMS Policies and Procedures Manual for WMS employees.
  - 2. WAC 357-19 for non-represented employees, or
  - 3. The applicable collective bargaining agreement for represented employees.



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- C. Performance periods for employees serving 12 month probationary/trial service or WMS review typically cover the first 6 months of the appointment.

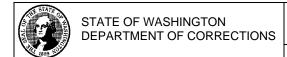
  Performance periods for all other employees in probationary and trial service appointments typically cover the first 4 months of the appointment.
- IV. Beginning the Performance Period
  - A. Supervisors will:
    - 1. Review the current position description with the employee at the time of a new appointment and annually as part of the PDP process.
    - 2. Complete the following sections of DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation:
      - a. Technical Skills Expectations
      - b. Measures
      - c. Training and Development Needs/Opportunities
    - 3. Ensure the employee receives a copy of the form and send an electronic copy to Human Resources within 60 days of the start of a new performance period.

#### V. Interim Reviews

- A. Supervisors will complete and document interim reviews in the Measures section of DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation throughout the performance period to show progress of identified measures.
  - 1. Updates should be dated and initialed by both the supervisor and the employee.

## VI. Evaluation

- A. The current supervisor will use the DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation, started at the beginning of the performance period and used for interim reviews, to conduct an evaluation.
  - 1. The form must be completed and submitted no more than 60 days following the end of the performance period.
  - 2. The due date for completing the form may be extended due to the supervisor/employee's extended absence during or at the end of the performance period.



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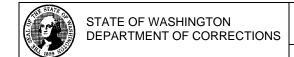
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 If an employee's supervisor changes after the end of a performance period, but before the evaluation could be completed, the former supervisor will complete the evaluation, if available.

## B. The supervisor will:

- 1. Provide the employee's subordinates the opportunity to provide feedback on the employee's performance as a supervisor, if applicable.
  - a. Providing feedback is encouraged, but strictly voluntary.
  - b. Employees may ask that their feedback only be shared anonymously with their supervisor.
  - c. Feedback will not be attached to the PDP Expectations and Evaluation form or retained past completion of the PDP process.
- 2. Schedule a feedback conference with the employee to allow sufficient time to complete the form.
  - a. Before the meeting, the supervisor will advise the employee whether feedback is being solicited from others.
  - b. The supervisor should encourage the employee to complete a selfevaluation in preparation for the meeting.
- 3. Complete DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation even if:
  - a. PDP expectations, measures, and training were not completed at the beginning of the performance period.
  - b. The employee has been in the unit only a short time during the performance period or spends a large portion of time working for another unit.
    - 1) The supervisor will request input from the former supervisor or other functional supervisor and will share the information received with the employee.
  - c. The employee has permanent civil service status and is in a nonpermanent or acting appointment in the supervisor's unit at the end of the performance period.



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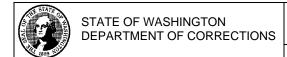
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- 4. Visually check that the employee has a valid driver's license when the employee is assigned to a position that requires driving a state-owned vehicle per DOC 230.500 Vehicle Use.
- 5. Remind employees to review their emergency contact information and update the information, if necessary, per DOC 810.020 Employee Contact Information.
- C. The supervisor should address the following in the evaluation discussion and document on DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation:
  - 1. Feedback on accomplishment of the following sections shared at the beginning of the performance period:
    - a. Technical Skills Expectations
    - b. Measures
    - c. Expectations of the Department's Core Values
  - 2. Any modifications that may have been made through interim reviews.
  - 3. Other relevant performance information.
- D. Those who supervise others will receive feedback regarding:
  - 1. Performance as a supervisor, including:
    - a. Feedback received from their subordinates, and
    - b. Timely completion of the PDP process with their employees.
  - 2. Their efforts to increase the recruitment and retention of a diverse, qualified, and competent workforce, including how effectively they carried out their responsibilities for non-discrimination, prevention of sexual harassment, and other related policies and practices.

## VII. PDP Review and Completion

- A. Employees will sign and return DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation to the supervisor within 7 days of receipt.
- B. DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation will be considered complete on the date the evaluating supervisor signs the form.



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- 1. Supervisors will immediately forward the form to their own supervisor, who will review and sign the form and return it as soon as practical.
- 2. The employee's supervisor will:
  - a. Ensure the employee receives a copy of the signed form and forward an electronic copy to the Human Resources Office.
    - 1) Place the original form in the employee's supervisory file and remove and destroy previous review period documents.
  - b. Start the new performance period using a blank DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation.

#### **DEFINITIONS:**

The following words/terms are important to this policy and are defined in the glossary section of the Policy Manual: Washington General Service (WGS), Washington Management Service (WMS). Other words/terms appearing in this policy may also be defined in the glossary.

#### **ATTACHMENTS:**

None

### **DOC FORMS:**

DOC 03-430 Performance and Development Plan (PDP) Expectations and Evaluation