



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE
10/1/21

PAGE NUMBER
1 of 7

NUMBER
DOC 850.110

POLICY

TITLE
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
- Reviewed: 7/23/12
- Revised: 11/1/15
- Revised: 10/1/21

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
Department of Corrections

8/27/21
Date Signed

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY DEPARTMENT WIDE		
	REVISION DATE 10/1/21	PAGE NUMBER 2 of 7	NUMBER DOC 850.110
	TITLE PERFORMANCE AND DEVELOPMENT PLANS		

REFERENCES:

DOC 100.100 is hereby incorporated into this policy; [RCW 41.06.169](#); [WAC 357-19](#); [WAC 357-37](#); [WAC 357-58](#); DOC 230.500 Vehicle Use; DOC 810.020 Employee Contact Information; [Collective Bargaining Agreements](#); [Department Mission and Vision](#); 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:



POLICY

TITLE
PERFORMANCE AND DEVELOPMENT PLANS

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.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	<p>APPLICABILITY DEPARTMENT WIDE</p>		
	<p>REVISION DATE 10/1/21</p>	<p>PAGE NUMBER 4 of 7</p>	<p>NUMBER DOC 850.110</p>
	<p>TITLE PERFORMANCE AND DEVELOPMENT PLANS</p>		

- 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.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY DEPARTMENT WIDE		
	REVISION DATE 10/1/21	PAGE NUMBER 5 of 7	NUMBER DOC 850.110
	TITLE PERFORMANCE AND DEVELOPMENT PLANS		

3. 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 self-evaluation 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 non-permanent or acting appointment in the supervisor's unit at the end of the performance period.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY DEPARTMENT WIDE		
	REVISION DATE 10/1/21	PAGE NUMBER 6 of 7	NUMBER DOC 850.110
	TITLE PERFORMANCE AND DEVELOPMENT PLANS		

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.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY DEPARTMENT WIDE		
	REVISION DATE 10/1/21	PAGE NUMBER 7 of 7	NUMBER DOC 850.110
	TITLE PERFORMANCE AND DEVELOPMENT PLANS		

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