STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

POLICY

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE 11/1/15
PAGE NUMBER 1 of 7
NUMBER DOC 850.110

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

SUMMARY OF REVISION/REVIEW:

I.D.1.d. and V.A. - Added clarifying language
II.A.3. - Adjusted that the performance period start date for WMS employees will be determined per the WMS Policies and Procedures Manual
Removed II.A.4. that the Appointing Authority may establish an alternate performance period start date
III.A.1. - Removed unnecessary language
V.A.2. & 4. and VI.B. - Adjusted language for clarification
Added V.D. that supervisors will check employee driver’s licenses and ensure review of employee emergency contact information as part of the performance evaluation process

APPROVED:

Signature on file

10/2/15

BERNARD WARNER, Secretary
Department of Corrections

Date Signed
STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

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REFERENCES:

DOC 100.100 is hereby incorporated into this policy; RCW 41.06.169; WAC 357-37; WAC 357-58; ACA 4-4059; ACA 4-4064; ACA 7B-06; DOC 230.500 Vehicle Use; DOC 810.020 Employee Contact Information; Collective Bargaining Agreements; Performance and Development Plan (PDP) Frequently Asked Questions; WMS Policies and Procedures Manual

POLICY:

I. The Department will establish 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. The purpose of the performance and development planning process is to:

   A. Explain the employee’s responsibility for successfully performing assigned job duties and responsibilities.

   B. Assess the efficiency and effectiveness of the employee’s contribution to fulfilling the objectives of the organization and of his/her position.

   C. Recognize an employee’s successful job performance and identify any necessary performance changes.

III. As a critical component of employees’ development in new positions, supervisors will initiate and complete the PDP process during probationary or trial service periods.

IV. For represented employees, collective bargaining agreements will prevail if this policy is determined to be in conflict.

DIRECTIVE:

I. General Considerations

   A. [4-4064] The PDP process will include candid, private, and ongoing discussions between supervisors and employees. Employees will have the opportunity to participate in formal, scheduled performance planning and feedback, as well as the opportunity to discuss their professional development. [7B-06]

   B. If the supervisor fails to comply with this policy, the employee may address the issue with his/her second line supervisor.

   C. While agreement and mutual understanding are always the goals of the PDP process, it is recognized that such agreement and mutual understanding are not always possible. In such cases, the evaluating supervisor will determine the final
PDP contents. The employee may note any comments in the Comments section. Employees may submit additional statements for inclusion in their personnel files at any time.

D. Performance feedback from coworkers and subordinates is useful in improving administrative and leadership effectiveness.

1. Those who are evaluating an employee who supervises others will provide the employee’s subordinates the opportunity to provide feedback on the employee’s performance as a supervisor.

   a. DOC 03-429 Supervisory Evaluation may be used for this purpose.
   
   b. Providing feedback is encouraged, but strictly voluntary.
   
   c. Employees may ask that their feedback only be shared anonymously with their supervisor.
   
   d. Feedback will not be attached to the PDP Evaluation form or retained past completion of the PDP process.

E. Supervisors and managers may use DOC 03-428 Performance and Development Plan (PDP) Checklist as a tool to track completion of the PDP process.

II. 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, WMS, or exempt appointment,
   
   2. Annually on a WGS employee’s anniversary date, and/or [4-4064] [7B-06]
   
   3. Per the WMS Policies and Procedures Manual for WMS employees. [4-4064] [7B-06]

B. Performance periods may not cover more than 12 months.

C. [4-4059] Performance periods for employees serving 12 month probationary/trial service or new WMS appointments 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.
III. Initiation

A. Supervisors will be responsible for:

1. Reviewing the current position description form with employees at the time of a new appointment and annually as part of the PDP process,

2. Completing the PDP Expectations form (i.e., DOC 03-432 Performance and Development Plan (PDP) Expectations for Non-Supervisors or DOC 03-431 Performance and Development Plan (PDP) Expectations for Supervisors and Managers) at the start of a new performance period,

3. Ensuring the employee receives a copy of the PDP Expectations form and routing the original to Human Resources within 60 days of the start of a new performance period,

4. Completing and documenting interim reviews, as needed, and

5. Transferring the supervisory file to the new supervisor upon an employee’s transfer or promotion to another position, when appropriate.

IV. Interim Reviews

A. Part 4 of DOC 03-430 Performance and Development Plan (PDP) Evaluation may be used throughout the performance period to document interim reviews (e.g., expectation changes, accomplishments, competency development, training attended).

   1. Updates may be handwritten and should be dated and initialed by both the supervisor and the employee.

V. Evaluation

A. The current supervisor will complete and submit DOC 03-430 Performance and Development Plan (PDP) Evaluation no more than 60 days following the end of the performance period.

   1. The supervisor will 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.
2. The supervisor will complete the PDP Evaluation even if:
   a. A PDP Expectations form was 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.

3. The due date for completing the PDP Evaluation may be extended due to the supervisor/employee’s extended absence during or at the end of the performance period.

4. If an employee changes supervisors 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 should address the following in the evaluation discussion and document on DOC 03-430 Performance and Development Plan (PDP) Evaluation:

1. Feedback on accomplishment of the Key Results Expected and demonstration of the Key Competencies Expected, as documented on the PDP Expectations form at the beginning of the performance period.

2. Any modifications that may have been made through interim reviews.

3. Feedback regarding the employee’s commitment to accident prevention and improving safety in the workplace.

4. Other relevant performance information.

C. 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.

D. As part of the performance evaluation process, the supervisor will:

1. Visually check that any employee who operates state vehicles has a valid driver's license in his/her possession per DOC 230.500 Vehicle Use.

2. Ensure that the employee reviews his/her emergency contact information and updates the information if necessary per DOC 810.020 Employee Contact Information.

E. DOC 03-430 Performance and Development Plan (PDP) Evaluation will be considered complete on the date the evaluating supervisor signs the form. [7B-06]

VI. PDP Review and Completion

A. Employees will sign and return DOC 03-430 Performance and Development Plan (PDP) Evaluation to the supervisor within 7 days of receipt. [7B-06]

B. The supervisor will immediately forward the form to his/her own supervisor, who will review and sign the form and return it to the employee's supervisor as soon as practical.

C. The employee’s supervisor will:

1. Ensure the employee receives a copy of the signed form and forward the original to the Human Resources Office, and

2. Set PDP Expectations for the next performance period using DOC 03-432 Performance and Development Plan (PDP) Expectations for Non-Supervisors or DOC 03-431 Performance and Development Plan (PDP) Expectations for Supervisors and Managers, as applicable.

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 03-428 Performance and Development Plan (PDP) Checklist
DOC 03-429 Supervisory Evaluation
DOC 03-430 Performance and Development Plan (PDP) Evaluation
DOC 03-431 Performance and Development Plan (PDP) Expectations for Supervisors and Managers
DOC 03-432 Performance and Development Plan (PDP) Expectations for Non-Supervisors