State of Iowa Department of Corrections

Policy and Procedures

Policy Number: AD-PR-10

Applicability: Institutions, CBC, Central Office,

IPI Policy Code: Public Access

Iowa Code Reference: 8A.413(16), 8E.207

Chapter 1: Administration & Management

Sub Chapter: Personnel

Related DOC Policies: NA

Administrative Code Reference: 11-62

Subject: Employee Performance Management

PREA Standards: 115.17, 115.217(f)

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1. PURPOSE

To describe the employee performance management system that shall be used throughout the Iowa Department of Corrections (IDOC), see **Administrative Code 11-62 and Iowa Code 8A.413(16), 8E.207**.

2. POLICY

The IDOC recognizes the value of its employees. An essential component of maximizing positive employee performance is ongoing feedback and communication between employees and their supervisors. It is the policy of the IDOC to provide an array of performance management options that reinforce positive performance and advances continuous improvement in performance.

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3. PROCEDURES

A. Employee Performance

1. Employee performance management is a collaborative effort and all employees shall be engaged in the process.

2. Employee performance shall be managed using a variety of tools designed to emphasize performance that contributes to the accomplishment of IDOC's mission and goals, and supports an employee's efforts to continuously improve their performance and be recognized for exceeding performance requirements.

3. Performance standards shall be based on clearly defined criteria related to job performance and shall reflect a direct relationship to the skills, knowledge, and abilities defined for the job in the position description questionnaire.

B. Performance Improvement

1. Supervisors shall communicate performance expectations to employees.

2. Supervisors and employees are encouraged to discuss an employee's job performance on a regular basis, so performance expectations can be met.

3. When performance expectations are not being met, a formal performance improvement plan will be implemented to improve the employee's job performance, which may include disciplinary action.

C. Employee Performance Appraisal

1. Employee performance appraisals are intended to be an objective assessment of an employee's job performance. Employees are encouraged to accept the employee performance process as a benefit to furthering the IDOC mission.

2. A performance evaluation shall be prepared for each employee at least annually using the *State of Iowa Individual Performance Plan and Evaluation Form (adapted for IDOC)*, **AD-PR-10 F-1**. Exceptions to this general rule are as follows:

    a. Newly hired employees in probationary status shall be evaluated every sixty (60) days for the first six (6) months of employment to determine if they should attain permanent status. Performance during pre-service training, new hire orientation and on-the-job training shall be considered for this evaluation.

    b. In the event that an employee changes supervisor after six (6) months into the evaluation period, the employee shall receive an evaluation from the original supervisor, or the past and present supervisor shall collaborate to draft the annual evaluation.

3. At the beginning of each employee's appraisal period, the supervisor discusses with the employee the individual performance strategies/ goals, action steps, performance criteria and timetables expected for the upcoming evaluation period as listed in Part 2 and both shall sign Part 1 of IDOC **AD-PR-10 F-1** *State of Iowa Individual Performance Plan and Evaluation*. Additionally, supervisors and employees are encouraged to identify development plans to foster continuous performance improvement.

4. All individual performance strategies identified for the specific position shall be addressed. If the specific post/position does not allow for certain strategies to be adequately evaluated (e.g., night shift tower officer may not interact with the incarcerated individual population), an indication of "not applicable" may be noted on the evaluation form and shall include justification as to the reasons the strategy was not applicable.

5. Supervisors who are not an employee's immediate supervisor shall forward any documentation of an employee's performance to the employee's immediate supervisor. The immediate supervisor shall review the documentation with the employee and determine any further action.

6. Employees' strengths shall be reinforced and employees shall be alerted to performance deficiencies.

7. The employee shall be given the opportunity to review the written evaluation and make comments, verbal or written, about any aspect of the evaluation. Written comments shall be combined with the performance evaluation that is retained in the personnel file. The supervisor may make changes as a result of the meeting.

8. The employee and supervisor shall sign and date the evaluation, and after review and, if appropriate, notations by the next level supervisor, a copy shall be forwarded to the Personnel Office for inclusion in the employee's personnel file.

D. Supervisor Responsibilities

1. Supervisors are responsible for communicating expectations and monitoring and evaluating employee performance and maintaining documentation including confidential supervisory notes.

2. Institutions/community-based corrections shall draft procedures that outline how supervisors maintain records of performance discussions with employees.

3. Supervisors respond to performance issues using means that are appropriate to specific circumstances.