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Performance Management Process	ACA Standards: 2-CO-1C-01, 2-CO-1C-21, 5-ACI-1C-17, 4-ACRS-7B-06, 4-APPFS-3D-17, 4-APPFS-3D-18		
Steven Harpe, Director Oklahoma Department of Corrections	Signature on File		

Performance Management Process

The following procedure is established to ensure that the performance of each state employee is evaluated in accordance with the Performance Management Process (PMP) established under the provisions of 74 O.S. § 840-4.17. and Civil Service and Human Capital Modernization Rules 260:130-21-31 Written policy, procedure, and practice provide for an annual written performance review of each employee. The review is based on defined criteria, and the results are discussed with the employee. (2-CO-1C-01, 5-ACI-1C-17, 4-ACRS-7B-06, 4-APPFS-3D-17)

- I. Components of the PMP (5-ACI-1C-17, 4-ACRS-7B-06, 4-APPFS-3D-17)
 - A. The PMP process shall provide for the following:
 1. An objective evaluation by the immediate supervisor of the performance of the employee within the assigned duties of the job;
 2. The evaluation shall contain the date of review, and employee identification number;
 3. A mid-term interview with the immediate supervisor for the purpose of discussing the progress of the employee in meeting the performance criteria upon which the employee will be evaluated;
 4. A final interview with the employee by the immediate supervisor who will provide the employee with a copy of the performance evaluation; and

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5. The opportunity for the employee to submit written comments regarding the performance evaluation.

B. Evaluation Form

The basic document to be used in conducting performance evaluations is the "Performance Management Process (PMP)" form ([HCM-111](#)) prepared by the Human Capital Management (HCM) division of the Office of Management and Enterprise Services (OMES).

C. Minimum Requirement for Completing PMP

Each employee in trial status will be rated at least 30 days prior to the end of the trial period. After the end of the trial period, each employee will be evaluated at least annually. Evaluations will not extend beyond a 12-month period. (5-ACI-1C-17, 4-ACRS-7B-06, 4-APPFS-3D-17) Supervisors may perform as many additional evaluations as they deem necessary in order to effectively manage the performance of an employee.

The immediate supervisor shall hold a meeting with the employee at least three times during a 12-month evaluation period.

1. One meeting shall take place at the beginning of the evaluation period in order to communicate the criteria upon which the employee will be evaluated. A copy shall be provided to the employee.
2. One meeting shall take place during the rating period for the purpose of discussing the progress of the employee in meeting the criteria upon which the employee will be evaluated.
3. One meeting shall take place at the end of the review period to provide the final evaluation. A copy of the evaluation shall be provided to the employee, and the employee shall have the opportunity to provide written comments.

D. Use of PMPs in Employment Decisions

The agency may use employee evaluations of current or former state employees in decisions regarding promotions, appointments, demotions, performance pay increases, and discharges. (Civil Service Rule 260:130-21-31(d))

E. Responsibilities for the PMP

The employee, the employee's immediate supervisor and the reviewer share responsibility for ensuring that completed performance evaluations are an accurate and objective reflection of job performance. The facility/unit human resources management specialist (HRMS) is responsible for

maintaining PMP records.

1. The employee is responsible for:
 - a. Participating in discussions with the immediate supervisor, which will result in a clear understanding of all accountability and behavior expectations;
 - b. Taking responsibility for continuous performance improvement and development by requesting feedback and following-up on suggestions for improved performance and skill development;
 - c. Meeting the accountability criteria and behavior requirements listed; and
 - d. Preparing for and participating in the review meeting; keeping documentation of performance and accomplishments; and making suggestions for improvement.
2. The immediate supervisor is responsible for:
 - a. Meeting in person with the employee at least three times during a 12-month evaluation period.
 - (1) One meeting will take place at the beginning of the evaluation period in order to communicate the accountabilities criteria and behaviors upon which the employee will be evaluated. A copy will be provided to the employee.
 - (2) One meeting will take place during the rating period for the purpose of discussing the progress of the employee in meeting the accountabilities upon which the employee will be evaluated. This meeting is commonly referred to as the "mid-year review."
 - (3) One meeting will take place at the end of the review period to provide the final evaluation. A copy of the evaluation will be provided to the employee, and the employee will have the opportunity to provide written comments.
 - b. Ensuring that employees have a clear definition of job tasks, performance criteria, behaviors, and of expectations related to their work; and that assigned tasks are appropriate for the employee's classification;

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- c. Discussing the PMP and reaching agreement with the reviewer prior to meeting with the employee;
 - d. Providing ongoing communication and feedback regarding performance, and identifying ways in which the employee can develop and improve;
 - e. Providing the resources and information necessary for successful job performance and removing obstacles;
 - f. Meeting with employees to initiate, review progress and close out evaluations in a timely manner and in accordance with these procedures;
 - g. Documenting performance throughout the review period;
 - h. When applicable, giving appropriate consideration to evaluations when making personnel decisions; and
 - i. Providing the employee with the completed PMP following the close out of the evaluation.
3. The reviewer is responsible for:
- a. Reviewing the PMP form before and after supervisor/employee meetings to ensure that accountabilities, criteria and behaviors are appropriate, communicated clearly, and that ratings of employees by supervisors are consistent;
 - b. Ensuring that, when applicable, performance appraisals are given appropriate consideration in decisions regarding personnel actions; and
 - c. Ensuring that supervisors initiate and complete evaluations in accordance with established time frames.
4. The HRMS is responsible for:
- a. Monitoring the completion of PMPs to ensure compliance with all statutory and procedural requirements, to include:
 - (1) Ensuring the employee's evaluation period is no longer than 12 months;
 - (2) When an employee is assigned a new supervisor more than 90 days into the current PMP (other than the supervisory change which occurs when a correctional

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officer changes shift);

- (3) When an employee is at least 30 days prior to the end of the trial period; and
- (4) Records of PMPs will be maintained in the human resources management system (Workday).

II. Completing the PMP Form

A. Initiating the PMP/Planning Phase

1. The "Performance Management Process (PMP)" form ([HCM-111](#)) will be initiated by the immediate supervisor within 30 days after:
 - a. The date a new employee enters on duty;
 - b. An employee has a change in job family or supervisory status;
 - c. An employee is assigned a new supervisor more than 90 days into the current PMP (other than the supervisory change which occurs when a correctional officer changes shift); and
 - d. The close of any evaluation period including the annual evaluation period.
2. The immediate supervisor will meet with the employee in order to communicate the accountabilities and behaviors upon which the employee will be evaluated.
3. After receiving input from both the employee and the reviewer, the immediate supervisor will complete the following sections of the PMP:
 - a. Section A - Employee Information

This section will be completed in its entirety except for the "Reason for PMP" and the "End Date" which will be completed upon finalization of the PMP.
 - b. Section B - Accountabilities
 - (1) Job Tasks

The immediate supervisor, employee, and reviewer will come to agreement on five to eight tasks which accurately describe the employee's job and are consistent with the employee's job descriptor. If an

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agreement cannot be reached, the reviewer will determine the evaluated accountabilities.

(2) Performance Standards

Each task will be accompanied by a performance standard which specifies what constitutes good work and how the quality of work will be determined. Performance standards shall be specific, measurable, attainable, relevant, and time-based.

(3) Performance Management Accountability

All PMPs for supervisors will include a standard accountability for completing the PMP with all subordinates.

(4) Criticality of Accountability

All accountabilities will be designated as important or critical depending on the percentage of time needed to complete the task, the impact of the task on attaining agency goals or objectives, the impact of the work on others, the consequences of making errors, or any legal requirements attached to the task.

c. Section D - Behaviors

The immediate supervisor will explain the following behavioral factors and the rating scale entitled "Examples of Behaviors" ([Attachment A](#), attached) to be used to rate the employee:

- (1) Customer Service Orientation;
- (2) Teamwork;
- (3) Problem-Solving Initiative;
- (4) Leadership (if applicable); and
- (5) Observing Work Hours/Using Leave.

d. Section G - Record of Meetings/Discussions

The employee, immediate supervisor, and reviewer will sign and date the "Initial Planning" meeting. For open PMPs less than 90 days old which are being continued under the direction of a new supervisor, the new supervisor and

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employee will date in Section G, "Records of Meetings/Discussions," initial planning section, directly under the signatures of the previous supervisor and employee. The supervisor will retain the original form and provide a copy to the employee.

B. Mid-Year Review/Coaching Phase

1. The immediate supervisor will meet with the employee at least once during the review period being evaluated. (4-APPFS-3D-18) The meeting will be documented on the "Performance Management Process (PMP)" form ([HCM-111](#)). During this meeting, the employee and supervisor will:
 - a. Assess progress made toward performance objectives;
 - b. Identify barriers preventing the employee from accomplishing performance objectives;
 - c. Share feedback on progress relative to the performance objectives;
 - d. Identify changes in the work plan that may be required; and
 - e. Determine if any extra support is required from the immediate supervisor or others to assist the employee in achieving the performance objectives.
2. The employee, immediate supervisor, and reviewer will sign and date the "Mid-Year Review" area in Section G: Record of Meetings/Discussions. The supervisor will retain the original form and provide a copy to the employee.

C. Closing the PMP/Reviewing Phase

1. The "Performance Management Process (PMP)" form ([HCM-111](#)) will be finalized by the immediate supervisor:
 - a. At least 30 days prior to the expiration of the trial period for a state employee;
 - b. Within 30 days of the close of the annual evaluation period or a change in job duties for employees; and
 - c. Prior to the date, the immediate supervisor ends responsibilities for supervising an employee unless the current PMP has been opened for 90 days or less.

2. After the immediate supervisor and reviewer agree on the results and ratings, the supervisor will complete the sections of the PMP as indicated below and schedule a meeting with the employee to provide the final evaluation. If during the review meeting with the employee, the supervisor is persuaded to change the results or ratings, the meeting may be postponed for consultation with the reviewer. Changes agreed to will be noted and the meeting with the employee subsequently resumed.

a. Section A - Employee Information

The immediate supervisor will note the "Reason for the PMP" (annual, trial, change in supervisor, change in job duties) and the "end date."

b. Section B - Accountabilities

The immediate supervisor will select a rating consistent with the performance standards and actual performance that occurred during the review period. The results will be recorded for any rating other than "meets standards."

c. Section C - Overall Accountability Rating

The immediate supervisor will determine the overall accountability rating using the guidelines provided on the "Performance Management Process (PMP)" form ([HCM-111](#)).

d. Section D - Behaviors

(1) The immediate supervisor will select a rating consistent with the actual behaviors demonstrated during the review period. The supervisor may use "Examples of Behaviors" ([Attachment A](#), attached) as a guide for selecting the appropriate rating.

(2) If the employee is not assigned any job duties or responsibilities that have a leadership component or require any leadership skills for successful completion the leadership behavior will be marked "not applicable."

e. Section E - Overall Performance Rating

The immediate supervisor will select an overall performance rating in accordance with the guidelines provided on the "Performance Management Process (PMP)" form ([HCM-111](#)).

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f. Section F - Summary/Development Plan

Prior to meeting with the employee, the immediate supervisor will complete the "Performance Strengths" and "Performance Areas for Development" by describing the employee's demonstrated strengths and deficiencies. During the review meeting, the employee and supervisor will develop a plan to address any noted deficiencies and the supervisor will record the plan in the section entitled, "Development Plan." (4-APPFS-3D-17)

g. Section G - Record of Meetings/Discussion

Prior to the review meeting with the employee, the reviewer will sign and date the "Performance Management Process (PMP)" form ([HCM-111](#)). At the close of the review meeting, the immediate supervisor and employee will sign and date the "Performance Management Process (PMP)" form ([HCM-111](#)). (5-ACI-1C-17, 4-ACRS-7B-06, 4-APPFS-3D-17) If the employee refuses to sign the "Performance Management Process (PMP)" form ([HCM-111](#)), the immediate supervisor will document and date the employee's refusal to sign.

3. The employee will be provided a copy of the evaluation and provided the opportunity to provide written comments.

D. Closing the Evaluation Period for Employees on Extended Leave

1. Every effort will be made to ensure that a minimum of one PMP is completed (as defined by the end date) during every 12-month period following the close out of the last PMP. Employees will be evaluated for any consecutive period of more than 90 days.
 - a. Supervisors may meet with the employee for review and signature if the employee returns to work prior to the end of the original annual review period. In the event the employee is not expected to return (or the supervisor will no longer be available) within the annual review period, the PMP may be mailed to the employee for review and signature.
 - b. When employees are absent from work for more than nine months in the 12-month evaluation period, the immediate supervisor will complete a PMP for the review period that contains the rating "unable to rate." The supervisor's comments will indicate the inclusive dates of the employee's absence within the applicable 12-month period. The employee's signature will not be required on the PMP; however, a copy will be provided to the employee by mail or

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upon the employee's return to work.

- c. An employee will sign, date and return any PMP that is received by mail under the above-described circumstances. If the PMP has not been returned to the Oklahoma Department of Corrections (ODOC) within ten working days after the date mailed, ODOC will consider the employee refused to sign and the immediate supervisor will document and date the employee's refusal to sign.

E. Distribution

The immediate supervisor will provide one copy to the employee and the original to the HRMS. The HRMS will place the original in the employee's personnel file.

III. References

Policy Statement P-110100 entitled "Uniform Personnel Standards"

74 O.S. § 840-4.17

Civil Service and Human Capital Modernization Rules 260:130-21-31

IV. Action

The chief administrator of Human Resources is responsible for compliance with this procedure and for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This procedure is effective as indicated.

Replaced: OP-110225 entitled "Performance Management Process" dated January 27, 2021

Distribution: Policy and Operations Manual
Agency Website

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
HCM-111	“Performance Management Process (PMP)”	OMES

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	“Examples of Behaviors”	Attached