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Performance Management Process	ACA Standards: 2-CO-1C-01, 2-CO-1C-21, 4-4064, 4-ACRS-7B-06, 4-APPFS-3D-17, 4-APPFS-3E-02		
Joe M. Allbaugh, Director Oklahoma Department of Corrections		Signature on File	

Performance Management Process

The following procedure is established to ensure that the performance of each regular classified and unclassified employee is evaluated in accordance with the Performance Management Process (PMP) established under the provisions of 74 O.S. § 840-4.17 and Merit Rule 260:25-17-31. (2-CO-1C-01, 4-4064, 4-ACRS-7B-06, 4-APPFS-3D-17)

I. Overview

A. Performance Management Process (2-CO-1C-21, 4-4064, 4-ACRS-7B-06, 4-APPFS-3D-17, 4-APPFS-3E-02)

1. Purpose

The purpose of the Performance Management Process (PMP) is to evaluate the performance of each classified and unclassified employee. The process must provide:

- a. An objective evaluation by the immediate supervisor of the performance of the employee within the assigned duties of the job; [Merit Rule 260:25-17-31(b)(1)]
- b. The identification by the immediate supervisor of the accountabilities and behaviors upon which the employee will be evaluated; [Merit Rule 260:25-17-31(b)(2)]
- c. A mid-term interview with the immediate supervisor for the

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purpose of discussing the progress of the employee in meeting the accountabilities and behaviors upon which the employee will be evaluated; [Merit Rule 260:25-17-31(b)(3)]

- d. The identification by the immediate supervisor of the performance strengths and areas for development; [Merit Rule 260:25-17-31(b)(4)]
- e. A final interview with the employee by the immediate supervisor who will provide the employee with a copy of the performance evaluation; [Merit Rule 260:25-17-31(b)(5)] and
- f. The opportunity for the employee to submit written comments regarding the performance evaluation. [Merit Rule 260:25-17-31(b)(6)]

2. Evaluation Form

The basic document to be used in conducting performance evaluations is the Performance Management Process (PMP) form (HCM-111) prescribed by the Human Capital Management (HCM) division of the Office of Management and Enterprise Services (OMES). [Merit Rule 260:25-17-31(g)]

3. Minimum Requirement for Completing PMP

Each employee will be rated at least 30 days prior to the end of the probationary period. After the end of the probationary period, each employee will be evaluated at least annually on a 12 month period. [Merit Rule 260:25-17-31(c)]

4. Merit Rule Requirement for the Use of PMPs

The agency must use employee evaluations of current or former state employees in decisions regarding promotions, appointments, demotions, performance pay increases, and discharges. [Merit Rule 260:25-17-31(e)]

B. Responsibilities for PMP

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

1. The employee is responsible for:
 - a. Participating in discussions with the supervisor which will result

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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 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. [Merit Rule 260:25-17-31(d)]
 - (1) One meeting will take place at the beginning of the evaluation period in order to communicate the accountabilities and behaviors upon which the employee will be evaluated. A copy will be provided to the employee. [Merit Rule 260:25-17-31(d)(1)]
 - (2) An additional 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. [Merit Rule 260:25-17-31 (d)(2)] This meeting is commonly referred to as the "mid-year review."
 - (3) A final 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. [Merit Rule 260:25-17-31(d)(3)]
- b. Ensuring that employees have a clear definition of job tasks, performance standards, behaviors, and of expectations related to their work; and that assigned tasks are appropriate for the employee's classification;
- c. Discussing the PMP and reaching agreement with the reviewer prior to meeting with the employee;

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- 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 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. Reviewing all completed PMPs to ensure compliance with all statutory and procedural requirements, to include an "end date" which falls either within the one year period following the "end date" of the last completed PMP; 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 officer changes shift); or is at least 30 days prior to the end of the probationary period;
 - b. Entering data for all completed PMPs into the PeopleSoft system; and

- c. Maintaining a copy of the PMP form in the employee's personnel file. [Merit Rule 260:25-17-31(f)]

II. Completing the PMP Form

A. Time Frames

1. Initiating the PMP

The "PMP" form ([HCM-111](#)) must 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. Mid-Year Review

- a. The supervisor will meet with the employee at least once during the review period being evaluated.
- b. The purpose of the meeting is to discuss the progress of the employee in meeting the accountabilities upon which the employee will be evaluated.

3. Closing Out the PMP

The PMP form must be finalized by the immediate supervisor:

- a. At least 30 days prior to the expiration of the probationary period for a classified employee;
- b. Within 30 days of the close of the annual evaluation period or a change in job duties for classified and unclassified employees;
- c. Prior to the date the supervisor ends responsibilities for supervising a classified or unclassified employee unless the current PMP has been opened for 90 days or less; and

- d. When a classified or unclassified employee terminates employment with the agency and closing out the PMP is appropriate.

B. Opening the Evaluation Period

The supervisor will meet with the employee in order to communicate the accountabilities and behaviors upon which the employee will be evaluated.

After receiving input from both the employee and the reviewer, the supervisor will complete the following sections of the PMP:

1. 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.

2. Section B - Accountabilities

a. Job Tasks

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

b. Performance Standards

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

c. Performance Management Accountability

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

d. 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.

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3. Section D - Behaviors

The 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:

- a. Customer Service Orientation;
- b. Teamwork;
- c. Problem-Solving Initiative;
- d. Leadership (if applicable); and
- e. Observing Work Hours/Using Leave.

4. Section G - Record of Meetings/Discussions

The employee, 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 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.

C. Mid-Year Review

The supervisor will meet with the employee 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.

D. Closing Out the Evaluation Period

After the 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.

1. Section A - Employee Information

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

2. Section B - Accountabilities

The 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.”

3. Section C - Overall Accountability Rating

The supervisor will determine the overall accountability rating using the guidelines provided on the PMP form.

4. Section D - Behaviors

a. The supervisor will select a rating consistent with the actual behaviors demonstrated during the review period. The supervisor may use [Attachment A](#) as a guide for selecting the appropriate rating.

b. 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.”

5. Section E - Overall Performance Rating

The supervisor will select an overall performance rating in accordance with the guidelines provided on the PMP form.

6. Section F - Summary/Development Plan

Prior to meeting with the employee, the 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.”

7. Section G - Record of Meetings/Discussion

Prior to the review meeting with the employee, the reviewer will sign and date the PMP form. At the close of the review meeting, the supervisor and employee will sign and date the PMP form.

8. The employee will be provided a copy of the evaluation and provided

the opportunity to provide written comments.

E. Closing Out the Evaluation Period for Employees on Extended Leave

1. Every effort must 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.
2. 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.
3. When employees are absent from work for more than nine months in the 12 month evaluation period, the supervisor must complete a PMP for the review period that contains the rating "unable to rate." The supervisor's comments must 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 upon the employee's return to work.
4. An employee must sign, date and return any PMP that is received by mail under the above-described circumstances.

F. Distribution

The supervisor must 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. Annual Report to HCM

On or before March 31 of each year, the director will report compliance with statute to the administrator of HCM on a form prescribed by HCM. The report will include information from the most recent calendar year. [Merit Rule 260:25-17-31(h) and 74 O.S. § 840-4.17(H)]

IV. References

Policy Statement No. P-110100 entitled "Uniform Personnel Standards"

74 O.S. § 840-4.17

Merit Rule 260:25-17-31(b)(1) through (6)

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Merit Rule 260:25-17-31(e)

Merit Rule 260:25-17-31(f)

V. Action

The division head is responsible for compliance with this procedure.

The chief administrator of Employee Services is responsible for the annual review and revisions.

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

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-110225 entitled "Performance Management Process" dated August 27, 2014

Distribution: Policy and Operations Manual
Agency Website

Referenced Forms

Title

Location

[HCM-111](#)

“Performance Management Process”

www.hcm.ok.gov

Attachments

Title

Location

[Attachment A](#)

“Examples of Behaviors”

Attached