DEPARTMENT OF CORRECTIONS

Policy Number:	**103.018**
Title:	**Performance Management System**
Effective Date:	**1/7/20**

PURPOSE: To maintain a clear understanding between supervisor and employee of the employee's job duties, responsibilities, accountabilities, and authorities, and to provide a formal evaluation process to determine how well the employee meets the standards of performance for the employee's assigned position.

APPLICABILITY: Department-wide

DEFINITIONS:

Credentials – licensures, certifications, or registrations that are required to perform a position or assigned job task.

Performance management system – a system that ensures a continuous process of reviewing, analyzing, and communicating employee performance

Performance review – a periodic assessment of an employee's performance and discussion of that assessment with the employee. A formal, written performance rating is assigned during the review. The purpose of the formal performance review is to accurately reflect the employee's fulfillment of the responsibilities and duties as outlined in the employee's position description. Informal reviews may be conducted with an employee.

Position description – a formal, written description of the duties and responsibilities of a position. If a position has specific physical requirements as determined by a physical demands analysis, the responsibilities/tasks that demand those requirements must be documented in the position description.

PROCEDURES:

A. Position description

1. Supervisors must establish a position description for every department position.

2. When practical, the employee has the opportunity to review the content of the position description and provide input before it is finalized. The final decision regarding the content of the position description rests with the supervisor.

3. The supervisor reviews the position description at least once a year and revises it if necessary. The position description must be revised and re-signed at least every three years.

4. Supervisors must ensure that each newly appointed employee is given an accurate and up-to-date position description within ten working days of appointment or promotion. Position descriptions are to be signed by both the employee and supervisor and forwarded to human resources (HR) for inclusion in the employee's department personnel file.

5. If an employee refuses to sign the employee's position description, the supervisor must note "employee refused to sign" on the employee signature line. The supervisor must inform the employee that the employee is still required to fulfil all the duties and responsibilities in the employee's position description.

B. HR keeps a record of required performance review due dates and the date of the most recent position description for each employee.

C. The supervisor must prepare the written performance review and discuss it with, and obtain the signature of, their supervisor/manager prior to discussing it with the employee.

D. The supervisor must reflect the status of the employee's credentials in the employee's annual performance review (see Policy 103.040, "Employee Credentials Requirements").

E. For all employees working in a juvenile facility who provide, supervise, or directly administer program services, the supervisor must also prepare an Employee Development Plan within 90 days of initial hire of an employee and annually after that.

F. Performance management

1. Probationary employees are formally evaluated and provided feedback on their performance during the probationary period as required by their collective bargaining agreements (CBAs) or plans.

2. Non-probationary employees are formally evaluated and provided feedback on their performance at least once per year, on or near their scheduled performance review dates. Additional formal reviews may be conducted whenever any significant change in performance occurs.

3. Performance reviews must take into consideration responsibilities, tasks, and performance indicators listed in the position description as well as required knowledge, skills, abilities, problem solving, and freedom to act.

4. Employees may receive letters of commendation, recognition, or appreciation during the year. The employee's actions that resulted in the commendation, recommendation, or appreciation must be documented in the review. A copy must be kept in the supervisory file and discarded according to the retention schedule for supervisory files.

5. Informal reviews, coaching, supervisory conferences, and letters of expectation/performance improvement plans may be given in the review year when needed. The employee's actions/behaviors that resulted in these corrective actions must be documented in the performance review. Documentation of the above-noted performance management sessions as well as the performance review session, including date and time of session, must be kept in the supervisory file and discarded according to the retention schedule for supervisory files.

6. Employees may receive disciplinary action as defined in CBAs and plans in their review year. The employee's actions/behaviors that resulted in the discipline must be documented in the performance review. The type/level of disciplinary action issued is not referenced in the employee's performance review. Employees who receive discipline at the suspension

level or higher must receive an overall performance rating of either marginal or unsatisfactory in their performance reviews.

7. Employees given an overall performance rating of either marginal or unsatisfactory in their performance review are not eligible to receive a progression or performance-based salary increase. The supervisor giving such a performance rating must notify HR and the employee of this decision in writing and prior to the effective date of the progression/performance-based increase. A minimum notice of two weeks prior to the effective date is recommended.

8. Employees given an overall performance rating of either marginal or unsatisfactory must be placed on a performance improvement plan (PIP)/letter of expectation or be given quarterly performance reviews in an effort to assist the employee in obtaining satisfactory performance. If the employee's performance continues to be below satisfactory, progressive discipline up to and including termination may result.

9. At the time an employee obtains satisfactory performance and this is documented in a performance review, the supervisor must provide to the employee and HR the review and written notification to process the delayed progression or performance-based increase.

10. If an employee refuses to sign their performance review, the supervisor must note "employee refused to sign" on the employee signature line. The supervisor must inform the employee the review ratings will remain and the appeal process is available to the employee.

G. Performance reviews may be appealed in writing to the applicable appointing authority within 30 days of the date of the rating. The appointing authority's decision is final.

H. Employees in some units/divisions may complete self-reviews. For employees in such units/divisions, the supervisor must ensure the self-review is PREA-compliant and completed by employees.

I. A copy of the finalized written performance review and employee development plan, if applicable, must be discussed with the employee, presented to the employee for signature, and sent to HR for retention in the department personnel file.

INTERNAL CONTROLS:

A. A copy of the position description and written performance reviews are retained in the employee's personnel file. If applicable, employee development plans are also retained in the employee's personnel file.

ACA STANDARDS: 4-4064, 1-ABC-1C-17, 4-APPFS-3A-11, 4-APPFS-3D-17, 4-APPFS-3D-18, 4-APPFS-3E-02, 2-CO-1C-21, 4-JCF-6C-11

REFERENCES: Minn. Stat. § 43A.20
Minnesota Management and Budget Administrative Procedure 20
Minn. Rules Chapter 2960 (personnel policies are located at 2960.0100, 2960.0150, 2960.0240, 2960.0560)
Bargaining Agreements and Plans

REPLACES: Policy 103.018, "Performance Management System,"7/1/19.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: None

APPROVALS:
Deputy Commissioner, Community Services
Deputy Commissioner, Facility Services
Assistant Commissioner, Operations Support
Assistant Commissioner, Facility Services