



Virginia Department of Corrections

Human Resources

Operating Procedure 145.2

Employee Performance Management

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REVIEW

The Content Owner will review this operating procedure annually and re-write it no later than three years after the effective date.

COMPLIANCE

This operating procedure applies to all units operated by the Virginia Department of Corrections (DOC). Practices and procedures must comply with applicable State and Federal laws and regulations, American Correctional Association (ACA) standards, Prison Rape Elimination Act (PREA) standards, and DOC directives and operating procedures.

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DEFINITIONS

Duties and Responsibilities - Job duties and responsibilities that are primary and essential to the type of work performed by an employee and normally remain relatively consistent during the performance cycle.

Counseling - A corrective discussion between a supervisor and an employee used to address first-time, minor, or marginal performance issues. Counseling may be provided informally through verbal guidance or formally through a documented memorandum. Counseling is intended to correct deficiencies at the earliest stage, support the employee's success, and may be documented in the supervisor's file, the performance management system, an interim evaluation, or a Performance Improvement Plan.

Employee Performance Profile (EPP) - The key portion of the evaluation instrument that identifies the job duties, special projects, and performance objectives to indicate required achievement levels during and at the end of the performance cycle.

Interim Performance Evaluation - A performance evaluation completed during the performance cycle to document and assess an employee's progress toward achieving desired performance expectations.

Performance Evaluation Cycle - The annual cycle during which employee performance is planned, observed, and formally evaluated, beginning January 1 and ending December 31.

Performance Demotion - a formal disciplinary action that may be taken when an employee receives an overall annual performance evaluation of "Unsuccessful" or fails to demonstrate improvement during an assigned Performance Improvement Plan. When a performance demotion occurs, the employee's salary must be reduced by a minimum of five percent (5%). As part of this action, an employee may be placed into a lower-level position within the same pay band or into a position in a lower pay band. See Operating Procedure 135.1, *Standards of Conduct*.

Performance Improvement Plan (PIP) - Performance Improvement Plan (PIP) completed by the employee's supervisor during the performance cycle to document substandard performance and the need to improve performance.

Performance Objectives - A performance objective is a specific result that contributes to the success of the unit or organization and that an employee is expected to accomplish or produce during the performance rating cycle. Note: Performance Objectives are related to the job duties, but they are not duplicative. Performance objectives describe major duties, assignments and objectives in terms of complexity, accountability and results, and should be specific, measurable, attainable and relevant.

Quasi Full-Time (Q-Status) - a salaried, covered employment classification for classified employees who work either 30 to 39.9 hours per week for 12 months, or 40 hours per week for 9, 10, or 11 consecutive months, totaling at least 1,560 hours per year. Q-Status employees are eligible for health and retirement benefits, grievance rights, and other protections under the Virginia Personnel Act. This status may be temporary or ongoing and is subject to change based on agency needs. Pay, leave, and other benefits are adjusted to reflect the reduced schedule.

Reviewer - The supervisor of an employee's immediate supervisor, or another person designated within the chain of command to review an employee's work description, performance plan, performance rating and who responds to appeals of performance ratings.



PURPOSE

This operating procedure establishes the framework for performance management within the Virginia Department of Corrections (DOC). It provides for the development, communication, and evaluation of employee position descriptions, performance plans, and performance objectives in accordance with the Department of Human Resource Management (DHRM) Policy 1.40, *Performance Management*.

PROCEDURE

- I. Employee Performance Management
 - A. Employee Performance Management is a continuous process designed to align employee performance with the mission and operational goals of the Department of Corrections (DOC) and the Commonwealth. It establishes clear expectations, provides ongoing feedback, and evaluates results in a fair and consistent manner. This process ensures accountability, supports employee growth, and maintains compliance with Department of Human Resource Management (DHRM) Policy 1.40, *Performance Management*. Employees are referred to DHRM policies for official guidance and details not covered in this operating procedure.
 - B. This operating procedure applies to all full-time, quasi full-time, and part-time classified employees of the Department of Corrections who have successfully completed their probationary period. While the process and tools described in this procedure may be used as a guide for managing the performance of wage (P-14) employees, such employees are not required to be formally evaluated in this manner.
 - C. The Department of Corrections is committed to a performance management process that promotes accountability, fairness, and transparency while supporting employee recognition and professional growth. The process emphasizes clear expectations, consistent feedback, and opportunities for development, reinforcing a culture of continuous improvement and excellence in public service.
 - D. Key Elements of Employee Performance Management
 1. Employee Performance Profile (EPP): The EPP is the foundation of the performance management process and serves as the formal record of an employee's position description, performance objectives, competencies, and development plan. The EPP and its components are accessed and maintained in PageUp Performance, the Commonwealth's performance management system of record.
 2. Shared Understanding of Duties and Objectives: Supervisors and employees must maintain a shared understanding of the employees' duties and performance expectations. Supervisors must establish clear, measurable, and attainable performance objectives that define successful accomplishment of those duties and ensure alignment with agency and Commonwealth goals. Supervisors must provide ongoing feedback that includes required recognition of exemplary performance and timely identification of areas requiring improvement.
 3. Position Descriptions: In collaboration with Human Resource Officers, supervisors must ensure position descriptions are accurate and updated annually within 30 calendar days of the performance cycle start date or an employment action (hire, rehire, transfer, promotion, or demotion). The Reviewer must approve updates before they are issued to the employee.
 4. Performance Objectives: Supervisors must establish three to five SMART objectives (Specific, Measurable, Achievable, Relevant, Time-Bound) for each employee. These objectives collectively account for eighty percent (80%) of the annual performance rating.
 5. Standard Competencies: All employees are evaluated on the statewide competencies of Problem Solving and Judgment, Citizen and Customer Interaction, Teamwork and Building Relationships, and Coaching and Communication. Competence collectively accounts for twenty percent (20%) of the annual performance rating.
 6. Developmental Plan: Supervisors and employees will set learning goals tied to the employee's role and career growth. For each goal, supervisors may outline required actions, ensure reasonable access



to resources, and review progress during performance discussions, documenting it in the EPP.

7. Ongoing Feedback: Supervisors are required to provide continuous observation, documentation, and feedback throughout the cycle. Feedback may be informal (verbal coaching) or formal (written documentation, interim evaluations, or *Performance Improvement Plans* (PIPs)).

E. Responsibilities

1. Employees must:

- a. review and acknowledge receipt of their EPP and performance evaluations when presented;
- b. complete annual self-evaluations within 14 calendar days of notice;
- c. fully participate in job-related training and professional development opportunities;
- d. devote full effort to assigned duties and responsibilities during work hours;
- e. perform all duties in a manner consistent with the highest standards of professionalism and public trust; and
- f. report circumstances or concerns that may affect satisfactory work performance to management.

2. Supervisors must:

- a. develop and maintain accurate EPPs for each employee, ensuring position descriptions highlight essential job duties and responsibilities, including special assignments as appropriate;
- b. establish and communicate annual performance objectives and competencies that are measurable and aligned with agency goals;
- c. provide ongoing feedback, coaching, and counseling; document performance in the performance management system; and address unsatisfactory performance progressively through verbal counseling, written counseling, or PIPs, as appropriate;
- d. conduct Interim Evaluations as needed and develop and implement PIPs for employees who do not meet established objectives or competencies;
- e. ensure annual performance evaluations are completed for employees at the conclusion of the performance cycle; and
- f. partner with Human Resources when making changes to position descriptions or addressing unsatisfactory performance.

3. Reviewers must:

- a. ensure subordinate supervisors administer the performance management process consistently and in accordance with established training;
- b. review and approve EPPs and performance evaluations prior to issuance to employees;
- c. respond to appeals within established policy timelines, ensure a fair and impartial review, and exercise authority to amend evaluations or related performance documents when supported by the evidence; and
- d. provide oversight to ensure alignment of position descriptions and objectives with agency strategic goals.

II. Performance Cycle

A. General Provisions

1. The Commonwealth's standard performance cycle is January 1 through December 31 of each year.
2. The performance cycle is continuous, consisting of distinct phases that establish expectations, provide feedback, and culminate in an annual performance evaluation.
3. At the conclusion of the evaluation phase, the cycle resumes with planning for the next year.

B. Performance Cycle Phases



1. Planning Phase
 - a. Supervisors must develop or update the employees' Position Description and EPPs within the performance management system.
 - i. The supervisor should consider input from non-probationary employees regarding updates to duties and responsibilities; however, final authority rests with management.
 - ii. If the duties and responsibilities have significantly changed for the position, the supervisor is required to consult with Human Resources.
 - b. The Reviewer must approve the Position Description and performance plan before they are issued to the employee.
2. Supervisors should meet with the employee to review and discuss performance objectives and developmental plans.
3. Observing, Documenting, and Communicating Phase (Ongoing Feedback)
 - a. Supervisors must observe and document employee performance results throughout the cycle, using the journaling feature in the performance management system.
 - b. Supervisors are required to coach, counsel, and provide ongoing feedback in the performance management system.
 - c. Supervisors may Complete and review Interim Evaluation(s) with the employee at any time during the cycle.
 - d. Unsatisfactory performance must be addressed promptly, which may include the use of a PIP in accordance with established procedures.
4. Self-Evaluation Phase
 - a. Employees are required to complete an annual self-evaluation within 14 calendar days of receipt. Self-evaluations must be completed prior to the supervisor's preparation of the annual evaluation.
5. Evaluating Performance Phase
 - a. Supervisors must identify and review all performance documentation to prepare the annual performance evaluation and determine the appropriate rating.
 - b. The supervisor must draft the performance evaluation and submit it to the Reviewer for approval.
 - i. Supervisors must review the employee's self-evaluation and consider the employee's comments and ratings; however, they are not required to adopt them.
 - c. Employees must be provided with access to review the evaluation prior to the performance evaluation meeting.
 - d. Supervisors must meet with employees to discuss the evaluation, review developmental needs, and consider the employee's perspective. Any appropriate changes must be reviewed by the Reviewer.
 - e. If the employee appeals the evaluation rating, the supervisor must meet with the Reviewer and the employee and revise the evaluation as necessary.
6. Schedule for Completing Evaluations
 - a. Annual evaluations for non-probationary employees must be completed by January 15 of each year.
 - b. Employees who are on extended leave will have their performance evaluations completed upon their return.

III. Performance Rating Structure

- A. Employees will be provided with one of five performance ratings on both Interim and Annual Performance Evaluations for each performance objective and competency, resulting in an overall rating of:
 1. Unsuccessful - the employee did not meet the expectations of the performance objective and competency;



2. Partially Successful - the employee occasionally met the expectations of the performance objective and competency but was not consistent and at times did not meet the expectations;
 3. Successful - the employee consistently met the expectations of the performance objective and competency;
 4. Highly Successful - the employee exceeded the expectations of the performance objective and competency some of the time; or
 5. Extraordinary - the employee consistently exceeded the expectations of the performance objective and competency.
- B. The employee's overall performance rating is determined based on a weighting of eighty percent (80%) for Performance Objectives and twenty percent (20%) for Competencies.

IV. Employee Performance Profiles (EPP)

A. The EPP is the foundation of the performance management process and consists of an employee's position description, performance objectives, standard competencies, and development plan.

1. The EPP provides the framework for measuring performance and ensures consistency, fairness, and alignment of individual contributions with agency and Commonwealth goals. The EPP serves to document a written performance review of all classified employees. (5-ACI-1C-17; 4-ACRS-7B-06; 4-APPFS-3D-17; 2-CO-1C-21; 1-CTA-1C-08)
2. Human Resource Officers are responsible for initiating the EPP in the performance management system for all employees in their assigned work units, including new hires, transfers, promotions, demotions, and at the beginning of each performance cycle. HR Officers will also provide guidance and resources to support supervisors and employees in the process.

B. Position Descriptions

1. Each EPP must contain a current and accurate position description that identifies the essential duties and responsibilities of the position and must reflect the appropriate classification criteria as approved by Human Resources. The annual review of position descriptions ensures that organizational objectives are being met. (2-CO-1C-08; 2-CI-6C-1)
2. Position descriptions may also include special projects or assignments, as applicable, and must ensure alignment with role classification and agency strategic goals.
3. The position description is not intended to fully describe the tools, resources or methods used to accomplish work. Workplace procedures may change without requiring revisions to individual position descriptions.
4. Supervisors may consider input from non-probationary employees when reviewing duties and responsibilities; however, final authority rests with management. All updates must be approved by the Reviewer prior to issuance to the employee.
5. Supervisors must review and discuss the position description with employees in a timely manner, including:
 - a. within 30 calendar days of a new hire, rehire, or transition into a new position; and
 - b. annually within 30 calendar days of the beginning of the performance cycle.
6. Changes to the position description during the performance cycle may include special assignments or modifications to special assignments. If, however, it is necessary to change one or more of the assigned job responsibilities, the reviewer must approve the change(s), and the employee must be informed of the changes.
 - a. Assignments performed for more than 30 workdays should be noted in the position description.
7. Supervisors must consult with their Human Resource Officer and the Compensation Unit at Headquarters when making significant changes to a Position Description. All changes to a position



description must follow the appropriate approval process to include the reviewer and appropriate Human Resources representative.

C. Performance Objectives

1. Performance Objectives establish expectations for a specific result that contributes to the success of the agency. Employees are expected to accomplish the assigned performance objectives during the performance cycle.
2. Supervisors must establish three to five annual performance objectives for each employee, written in a manner that is specific, measurable, achievable, relevant, and time-bound (SMART). Objectives should reflect the quality and/or quantity of work performed, the timeframe for completion, and the resources or procedures required.
3. Supervisors must assign weights to each performance objective, which collectively account for eighty percent (80%) of the employee's overall annual performance rating.
4. Objectives must be formally communicated to the employee during the planning phase and approved by the Reviewer prior to implementation.

D. Standard Competencies

1. All employees are evaluated on the Commonwealth's four standard competencies, which include Problem Solving and Judgment, Citizen and Customer Interaction, Teamwork and Building Relationships, and Coaching and Communication.
2. Each competency is weighed at five percent (5%) of the overall rating, collectively accounting for twenty percent (20%) of the employee's annual performance rating. Supervisors must evaluate both the outcomes achieved (what was done) and the way the work was performed (how it was done). Competency ratings must be documented in the annual performance evaluation and incorporated into the EPP.

E. Developmental Plan

1. The Developmental plan is designed to support employee growth, skill enhancement, and career development. It provides a framework for identifying individual learning goals and outlining the steps and resources needed to achieve them.
2. The supervisor and employee will identify specific learning goals aligned with the employee's current position, performance expectations, and career aspirations.
3. For each learning goal, the supervisor and employee will identify the actions necessary to accomplish the goal.
4. The supervisor will ensure reasonable access to identified resources, subject to agency policies and available funding.
5. Progress toward completion of learning steps will be reviewed during performance discussions and documented in the EPP as appropriate.

F. EPP for Employees Beginning New or Different Positions

1. Within 30 calendar days of an employee beginning a new or different position, supervisors must review and update the employee's position description, establish performance objectives, and develop a corresponding EPP in the performance management system.
 - a. Supervisors should create a development plan based on the employee's current knowledge, skills, and abilities, with the dual purpose of improving performance in the current position and preparing the employee for potential career advancement. (2-CO-1C-14)
2. Supervisors must submit the EPP to the Reviewer for approval prior to issuance. Following approval, the supervisor will meet with the employee to review and discuss the EPP, confirm mutual understanding of duties and expectations, and document acknowledgment in the performance



management system.

3. At the time of EPP acknowledgement, employees must complete the *Computer Application Access Checklist* (145_F7). Supervisors are responsible for reviewing and initialing the checklist, retaining a copy for their records, and forwarding the original to the appropriate Human Resources Officer.

G. EPP at the Beginning of Each Performance Cycle

1. Within 30 calendar days of the beginning of each performance cycle, supervisors must review and update position descriptions, performance objectives, and development plans for their employees.
2. Supervisors must submit updated EPPs to the Reviewer for approval prior to issuance. Following approval, the supervisor will meet with the employee to review and discuss the EPP, confirm mutual understanding of duties and expectations, and acknowledgment must be documented within the performance management system.
3. As part of the annual review process, supervisors must review, update as needed, and initial each employee's *Computer Application Access Checklist* (145_F7). Supervisors should retain a copy of the reviewed form and forward the original to the appropriate Human Resources Officer.

H. Changes to the EPP During the Performance Cycle

1. Changes to the EPP during the performance cycle are generally limited to additional special assignments or modifications to existing assignments. If it becomes necessary to change one or more performance objectives, supervisors must consult with the Human Resource Officer to update the EPP workflow status in the system. All changes must be approved by the Reviewer prior to issuance to the employee.
2. The EPP is not intended to fully describe the tools, resources, or methods used to accomplish work; these may change without requiring a plan revision. However, assignments performed for more than 30 workdays, such as those related to light duty status or acting assignments, must be documented in the EPP.

I. Feedback During the Performance Cycle

1. Performance Feedback

- a. Supervisors are responsible for observing, documenting, and providing employees with performance feedback throughout the performance cycle. Feedback ensures that employees understand their progress toward meeting performance objectives and competencies, reinforces positive performance, and addresses areas requiring improvement.
- b. Informal feedback may be provided verbally through verbal coaching or counseling between the supervisor and employee. Informal feedback is intended to guide, reinforce, or redirect performance on a real-time basis and does not require documentation in the performance management system.
- c. Documented formal feedback includes notes, memos, or interim evaluations recorded/linked to the EPP in the performance management system and available to the employee. Formal feedback must include sufficient narrative detail to clearly describe the performance deficiencies.
- d. Interim Evaluations and Journaling within the performance management electronic system are the mechanisms for maintaining documentation in the form of notes, memos, emails or journal entries.
 - i. Supervisors are expected to use the journaling feature in the performance management system to record observations, notes, and other documentation related to employee performance throughout the performance cycle.
- e. Interim Evaluations
 - i. Employees may receive interim evaluations at any point during the performance cycle and are encouraged to be completed mid-year.
 - ii. *Interim Employee Evaluation* 145_F3 is available for use as documentation but is not required.
 - iii. The reviewer's approval is optional on interim evaluations.

- f. While the performance management system is the official record, supervisors may also maintain notes in the employee's confidential employment-related fact file to support ongoing feedback and preparation of performance evaluations.

J. Identifying and Addressing Unsatisfactory Performance

1. General Provisions

- a. Supervisors are responsible for identifying and addressing unsatisfactory performance on any of the performance objectives or competencies established for the position. Performance concerns must be managed promptly and consistently to ensure accountability, fairness, and alignment with agency standards. See Operating Procedure 135.1, *Standards of Conduct* for additional information.

2. Counseling and Coaching

- a. First-time, minor, or marginal performance issues should be addressed through counseling or coaching. Such discussions must be documented and retained either in the supervisor's file or in the performance management system. Counseling and coaching are intended to correct deficiencies at the earliest stage and support the employee's success.

3. Performance Improvement Plans (PIP)

- a. More serious or repeated performance deficiencies may require the implementation of a PIP. Supervisors and managers should collaborate with Human Resources when developing and implementing a PIP. The PIP must clearly outline the performance deficiencies, establish expectations for improvement, and identify timelines and support resources.
- b. The PIP must:
 - i. identify the employees' job responsibilities that are not being met;
 - ii. establish a plan and timeline for improving performance of no less than 30 days and no more than 90 days;
 - iii. specify the consequences if performance expectations are not met during or at the conclusion of the PIP; and
 - iv. be presented to the employee in writing, with a copy retained in the performance management system.
- c. During the PIP, supervisors must schedule periodic meetings to coach, counsel, and provide feedback to the employee, and must document progress toward meeting objectives.
- d. Failure to demonstrate improvement during or prior to the conclusion of the PIP may result in disciplinary action in accordance with Operating Procedure 135.1, *Standards of Conduct*.

4. Standards of Conduct

- a. If an employee fails to demonstrate improvement while on a PIP, or if the severity of the performance issue has significant consequences to agency operations, other employees, or stakeholders, disciplinary action may also be warranted. In such cases, employees may be issued a Group Notice under Operating Procedure 135.1, *Standards of Conduct*. The level of the Group Notice must correspond to the severity or significance of the performance issue and its impact on agency operations, other employees, or stakeholders. Disciplinary actions may include Written Notices, Performance Demotion, Suspension, or Termination.

5. Effects of PIPs and Written Notices on Annual Performance Evaluations

- a. An employee cannot be rated "Unsuccessful" on the annual performance evaluation unless the employee has received either:
 - i. a PIP; or
 - ii. a Written Notice for any reason as defined in Operating Procedure 135.1, *Standards of Conduct* during the performance cycle.
- b. Receipt of a PIP or a Written Notice does not automatically require that an employee be rated

“Unsuccessful.” However, it permits such a rating if the employee’s overall performance supports an “Unsuccessful” rating.

- c. If a Written Notice or PIP is subsequently removed pursuant to the Grievance Procedure, the performance evaluation must be modified accordingly.

V. Personnel Changes During the Performance Cycle

A. Personnel changes during the performance cycle, whether involving supervisors or employees, must be managed in a way that ensures continuity, fairness, and accountability in the evaluation process. The performance management system should be updated promptly to reflect these changes, with comments and ratings documented to maintain a complete record of performance.

B. Changes to Supervisor

1. If a supervisor leaves their position during an employee’s performance cycle, the departing supervisor should enter comments and ratings for performance objectives and competencies in the employee’s performance review in the performance management system.
2. A newly assigned supervisor must review the existing performance objectives and, if necessary, make modifications. The new supervisor should consider the former supervisor’s input when assessing performance.
3. The new supervisor is ultimately responsible for completing the official performance evaluation. In some cases, the reviewer may help the supervisor complete the evaluation.
4. For employees reporting to multiple supervisors, only one supervisor will complete the evaluation, incorporating input from the other supervisor(s).

C. Employee Changes

1. If, after six (6) months into the performance cycle, an employee transfers, promotes, or demotes into a new position with a different supervisor, either within the DOC or between state agencies, the current supervisor should complete an interim evaluation prior to the employee’s departure.
 - a. For transfers to another agency, the interim performance evaluation will be completed and sent with the personnel file to the new agency for retention by the new supervisor.
 - b. For employee changes within DOC, interim performance evaluations should be uploaded into the electronic performance management system and attached to the employee’s EPP.

VI. Conducting Annual Performance Evaluations

A. General Provisions and Impact of Leave

1. To the extent possible, annual performance evaluations should reflect the employee’s performance results for the entire performance cycle.
 - a. Employees should have performance evaluations completed by January 15, but not before December 1st of each year.
 - b. Probationary employees hired after July 1 should be evaluated in accordance with Operating Procedure 145.1, *Probationary Period*, until further guidance is issued by DHRM.
2. The annual performance evaluation is based on defined criteria, reviewed and discussed with the employee. (4-APPFS-3D-18) This review includes an appraisal of the knowledge, skills, and abilities required for each employee's job assessment and identification of additional education or training that is needed.
3. The following types of leave must not be used to negatively impact an employee’s overall performance rating:
 - a. overtime;
 - b. compensatory;



- c. on-call;
- d. workers' compensation;
- e. military leave;
- f. Family and Medical Leave (FMLA);
- g. Short-term Disability; and
- h. Long-term Disability-Working status under the Virginia Sickness and Disability Program (VSDP).

B. Self-Evaluations

1. Each employee must complete a self-evaluation of their job performance for the performance cycle using the performance management system.
2. Employees must be provided up to fourteen (14) calendar days to complete the self-evaluation prior to the supervisor preparing the annual evaluation.
3. The self-evaluation must include ratings and comments for the employee's performance objectives and competencies.
4. Supervisors must review and should consider the employee's self-evaluation when completing the performance evaluation; however, they are not required to incorporate the employee's comments and ratings.

C. Supervisors Role and Gathering Information

1. Supervisors are responsible for preparing the annual performance evaluation by identifying and reviewing all potential sources of evaluation information, including observable employee behaviors and documented performance results.
2. In addition to the supervisor's observations, performance evaluation information may be obtained from other sources such as the employee, peers, customers, subordinates, other supervisors, and work products. If performance information is obtained from sources other than the immediate supervisor, the employee should be informed of the sources used.

D. Reviewers' Role

1. The Reviewer must review and approve the performance evaluation before it is presented to the employee.
2. If the Reviewer does not agree with the evaluation, they must discuss the disagreements with the supervisor.
3. The Reviewer has the authority to change the evaluation, including ratings, comments, and overall results, to ensure accuracy and fairness.
4. If the Reviewer is unable to review the evaluation, the next higher level of management may conduct the review.

E. Meeting with the Employee to Discuss Annual Evaluation

1. Employees must be provided with access to their completed performance evaluation through the performance management system prior to the evaluation meeting.
2. Supervisors and employees must meet either in person or virtually to review the annual evaluation, discuss the evaluation results, and identify developmental needs for the upcoming performance cycle.

VII. Required Compliance Documentation

1. At the time of the annual evaluations, each employee will be required to complete the *PREA Mandatory Sexual Misconduct Disclosure 145_F14* to document a response to the following questions: (§115.17[f], §115.217[f])
 - a. Have you ever engaged or attempted to engage in sexual abuse in an institutional setting; for



- example, prison, jail, juvenile facility?
 - b. Have you been convicted of engaging or attempting to engage in sexual activity in the community where there was use of force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?
 - c. Have you been civilly or administratively adjudicated for engaging in sexual activity in the community where there was use of force (as described above)?
2. The employee's signature on the *PREA Mandatory Sexual Misconduct Disclosure 145_F14* documents an acknowledgment of a continuing affirmative duty to disclose any such misconduct. (§115.17[f], §115.217[f])

VIII. Appeals Process

1. After the supervisor and employee meet to discuss the annual performance evaluation, if the employee disagrees with the evaluation and cannot resolve the disagreement with the supervisor, the employee may file a written appeal to the Reviewer.
2. Appeals are limited to annual performance evaluations; interim evaluations and other forms of performance feedback are not subject to the appeal process.
3. An appeal must be submitted in writing to the Reviewer within ten (10) workdays of the initial performance evaluation meeting.
4. The written appeal must identify the specific areas of disagreement and any supporting information the employee wishes to have considered.

B. Reviewer's Action on Appeals

- a. Upon receipt of an appeal, the Reviewer must discuss the appeal with the supervisor and employee.
- b. The Reviewer must provide the employee with a written response within five (5) workdays of receiving the appeal, indicating one of the following actions:
 - i. the Reviewer agrees with the evaluation as written;
 - ii. the supervisor will revise the evaluation;
 - iii. the supervisor will complete a new evaluation;
 - iv. the Reviewer will revise the evaluation; or
 - v. the Reviewer will complete a new evaluation.

IX. Retention of Performance Documentation

- A. Retention of performance management documents must comply with the Library of Virginia's Records Retention Schedule.
- B. Completed evaluation forms, including self-evaluations, interim evaluations, annual evaluations, and PIPs, are official personnel documents and must be retained in employees' official personnel files or the performance management electronic system.
 1. If a PIP is used to support the overall rating of "Unsuccessful", then the PIP becomes part of the official personnel file.
 2. Otherwise, the PIP is only maintained in the performance management electronic system.
- C. The *PREA Mandatory Sexual Misconduct Disclosure 145_F14* and *Computer Application Access Checklist (145_F7)* must be maintained in separate files within the local Human Resource Office.

REFERENCES

[DHRM Policy 1.40, Performance Planning and Evaluation](#)

Operating Procedure 135.1, *Standards of Conduct*

Operating Procedure 145.1, *Probationary Period*



ATTACHMENTS

Resource Guides available on iDOC – Recruitment Services

FORM CITATIONS

Interim Employee Evaluation 145_F3

Performance Improvement Plan (PIP) 145_F5

Computer Application Access Checklist 145_F7

PREA Mandatory Sexual Misconduct Disclosure 145_F14

