Staffing for Success:

Establishing Core Competencies and Training Supports for Corrections and Community Supervision Staff

December 2020

Historically, the missions of corrections and community supervision agencies (including probation and parole) have focused on containment and control to protect public and institutional safety. Today, rehabilitation and reentry support are core responsibilities of these agencies. This shift, informed by research on what works to reduce recidivism, is important but also means a new set of considerations for staff recruitment, retention, and development.

Carrying out needed recidivism-reduction strategies requires staff and leadership to have strong competencies in correctional and supervision practices and the appropriate skills to respond to the broad range of needs that may impact the likelihood that a person will reoffend. **This resource features an adaptation of a comprehensive matrix developed by the Iowa Department of Corrections (IDOC) to outline core competencies for positions at each level—from front-line officers to executive leaders.** For all staff directly involved in the supervision of people in prisons or in the community (i.e., excluding staff in areas such as health care, research, and non-executive administration), IDOC developed this competency matrix and related training and reference materials to clearly articulate what is necessary to effectively carry out each role. In addition to competencies, the matrix also includes traits that pertain to how staff present themselves to other staff and to clients as a model for good behavior. The matrix is used as a guide for hiring, performance evaluation and coaching, and career advancement. It is also incorporated into job descriptions so people applying for these positions know what is expected of them at the outset and into performance plans thereafter (see examples in Appendix A and B).

About the Resource

IDOC developed this matrix over a three-year period as part of its Second Chance Act Statewide Adult Recidivism Reduction grant from the U.S. Department of Justice's Bureau of Justice Assistance. To determine the competencies and traits needed, IDOC conducted a thorough review of evidence-based practices (EBPs) to reduce recidivism and convened a workgroup of representatives from their prisons, community corrections agencies, and IDOC front-line staff and supervisors.

Because IDOC recognized that people may not have all of the following skills and competencies to start, they offer training and coaching in all areas to support staff and help them meet expectations. For each staff person, IDOC offers training relevant to their position level; and whenever possible, IDOC also trains staff in the competencies that pertain to the next level above their positions to prepare them for advancement.
To use this resource, agencies should further adapt the matrix based on their own policies, resources, and priorities.

IDOC developed four competency levels of their matrix to reflect the command of particular skills and traits needed to effectively perform in each staff position:

1 **Basic** – Competencies expected of staff at each level, beginning with entry-level officer positions and up to executive staff, in which staff have a general understanding of key principles and practices but may have limited applied experience.

2 **Intermediate** – Staff have solid understanding of key principles with the ability to apply them to a range of moderately complex situations.

3 **Advanced** – Staff display a broad and deep understanding of key principles and have a strong ability to apply and articulate the knowledge regularly, independently, and in complex, varied situations; they can also serve as a model to other staff in these competencies.

4 **Managerial/Supervisory** – Staff consistently display their command of organizational and staff development; note that frontline supervisors and executive staff have additional expectations due to their roles in establishing and maintaining organizational culture and goals.

Additionally, for all staff levels, IDOC created guidelines on the traits considered in the initial screening process for new hires and, later, the processes for evaluating staff performance and candidacy for promotion. These guidelines informed the development of other tools, such as standard questions and checklists, to support managers in hiring and evaluating staff (see example in Appendix C).

An important feature of the matrix is the information it provides on the different types of training available to staff for each competency—such as the core correctional practices training offered by the University of Cincinnati's Corrections Institute or IDOC's own training on emotional intelligence—and on the formats IDOC uses to implement each training, such as through e-learning or on-the-job training. Also included are notes on the source materials that IDOC drew from when selecting which competencies they wanted to prioritize, so that staff may better understand the concepts and seek additional information. These topics and source materials include, but are not limited to:

- Risk, need, and responsivity (RNR) principles: A set of research-based principles to determine how to allocate resources, deliver services, and provide people in prison and on community supervision with the specific supports and services that will have the greatest impact on recidivism and public safety.[1]
- Core correctional practices (CCPs): An approach staff can use with clients to increase prosocial behavior and reduce recidivism. Practices include relationship building; effective uses of reinforcement, disapproval, and authority; prosocial modeling; cognitive restructuring; and support with social skills and problem solving.
- Supervision strategies: Case management activities that include responding to violations, motivational interviewing, structured office appointments, community-based referrals, and collateral contacts (i.e., interactions with treatment providers, family members, employers, and other third parties to check in on a person's status).
- Reentry strategies: Activities to help people begin planning for their return to the community, including transition and reentry planning, using home placement questionnaires, and helping people enroll in benefits and making necessary medical and mental health appointments.
- Other EBPs and best practices, based on guidance from the National Institute of Corrections.
- Organizational management, based on resources from the Harvard Business Review.

The key below indicates how roles at IDOC correspond to the position levels used in the matrix and displays more information about the training and reference materials available to staff.

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1 James Bonta and D.A. Andrews, *Risk-Need-Responsivity Model for Offender Assessment and Rehabilitation* (Ottawa: Public Safety Canada, 2007).

KEY

IDOC Position Levels

Level 1   Corrections officer, residential officer

Level 2   Probation officer I

Level 3   Corrections counselor, probation/parole officer II

Level 4   Probation/parole officer III

Level 5   All frontline supervisors

Level 6   All executive staff

Source Materials

RNR   Risk-Need-Responsivity model

CCP   Core correctional practices

S   Supervision strategies

R   Reentry strategies

NIC   National Institute of Corrections

HBR   Harvard Business Review

ACJI   Alliance for Community and Justice

RS   Ralph Serin

EQS   EQ Smarts

EQI   Emotional Quotient Inventory 2.0

TI   Talent Insights

IDOC   IDOC-developed curriculum

Types of Training and Platforms

CCP   University of Cincinnati CCP training course

CM   IDOC case management training for community supervision officers

DRAOR   Dynamic Risk Assessment for Offender Reentry

IRR-IVVI   IDOC risk-screen tool training

MI   Motivational interviewing

PS   IDOC pre-service training for new employees

FS   IDOC frontline supervisor training

LA   IDOC leadership academy

IS   IDOC implementation science training

EI   IDOC emotional intelligence training

EL   E-learning

OJT   On-the-job training

TOT   Training of trainers

OF   Outside facilitator

Core Competencies Matrix
Job Competencies: Basic

Areas of Knowledge	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Factors that contribute to adult criminal behaviors	X	X	X	X	X	X	EL	RNR
Cognitive-behavioral and social-learning theories	X	X	X	X	X	X	EL	RNR, CCP
Risk, need, and responsivity (RNR) principles	X	X	X	X	X	X	EL	RNR, R
Core correctional practices (CCPs)	X	X	X	X	X	X	EL	CCP, R
Effective responses to non-compliant behavior and types of incentives	X	X	X	X	X	X	EL	RNR
Basis and concept of risk and needs assessment tools	X	X	X	X	X	X	EL, IRR-IVVI	RNR
Evidence-based practices (EBPs) and translation into everyday practices	X	X	X	X	X	X	EL	RNR, CCP
Importance of prosocial networks	X	X	X	X	X	X	EL, DRAOR	CCP, RS
Protective factors and how they support risk reduction	X	X	X	X	X	X	EL, CM, DRAOR	RNR, RS
Available resources in the community	X	X	X	X	X	X	EL, OJT	R
Different components of the criminal justice system (i.e., courts, law enforcement, pretrial, community corrections, institutions)	X	X	X	X	X	X	EL	R
Mission of Iowa Department of Corrections	X	X	X	X	X	X	EL	IDOC
Timing and sequencing of a reentry process		X	X	X	X	X	EL, OJT	R
Diverse strategies for criminal justice populations (e.g., motivational interviewing, groups, relapse prevention)		X	X	X	X	X	PS, CCP	RNR
Service barriers for people returning from incarceration to the community		X	X	X	X	X	EL	R
Mental health and substance abuse issues		X	X	X	X	X	EL	RNR

Skills and Abilities	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Ask questions, listen, and engage people who may be resistant	X	X	X	X	X	X	EL, CCP	CCP
Follow established process/ procedures for reentry planning	X	X	X	X	X	X	EL, OJT	R
Support clients and probation or parole officers, or counselors, in meeting case plans and establish goals	X	X	X	X	X	X	EL, CM	RNR, IDOC
Recognize and understand cultural and socioeconomic differences and other forms of diversity	X	X	X	X	X	X	EL	RNR, S
Identify and engage clients in prosocial supports/networks	X	X	X	X	X	X	EL, CM, DRAOR	RNR, RS, IDOC
Use motivational interviewing and other skills that influence behavior change	X	X	X	X	X	X	EL, MI	RNR, CCP
Use basic behavioral techniques (e.g., reinforcement, modeling, anti-social discouragement, sanctions)	X	X	X	X	X	X	EL, CCP	CCP, RNR
Facilitate cognitive behavioral therapy (CBT) groups		X	X	X	X	X	EL, OJT	RNR, CCP
Interview clients, gather information, and provide feedback		X	X	X	X	X	EL, CCP, OJT	CCP
Administer risk and needs assessment tools		X	X	X	X	X	EL, OJT, IRR-IVVI	RNR, IDOC

Job Competencies: Intermediate

Areas of Knowledge	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Timing and sequencing of reentry process and how to apply knowledge in case plans and supervision strategies			X	X	X	X	OJT, CM	R, IDOC
Components of criminal justice system and how they interact with corrections			X	X	X	X	EL	R
Cognitive-behavioral practices and interventions			X	X	X	X	DRAOR, CCP	RNR, CCP, RS
Referrals and appropriate placement				X	X	X	OJT	R

Skills and Abilities	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Develop a quality reentry plan			X	X	X	X	DRAOR, CM	R, IDOC
Demonstrate and reinforce prosocial attitudes and behaviors in varied situations			X	X	X	X	CCP, DRAOR	CCP, RS
Apply cognitive-behavioral and social learning theories to practice in case plans and supervision strategies			X	X	X	X	DRAOR, CCP, CM	RNR, CCP
Apply RNR principles into case plans and supervision practices			X	X	X	X	DRAOR, IRR-IVVI, CM	RNR, R, RS, IDOC
Apply CCPs into everyday practices			X	X	X	X	CCP	CCP, R
Use graduated sanction and incentive matrices appropriately			X	X	X	X	DRAOR, CM	RNR, RS
Identify and support protective factors			X	X	X	X	DRAOR	RS
Match treatment modalities with client needs and provide appropriate referrals as needed			X	X	X	X	DRAOR, CM	R, RNR
Coordinate between institutions and community-based partners and providers			X	X	X	X	OJT	R
Communicate information to a variety of audiences in a clear and concise manner, verbally and in writing			X	X	X	X	OF, OJT	IDOC
Evaluate information to make decisions with clients in varied, complex situations			X	X	X	X	OF, CM	IDOC
Draw on client's strengths in complex situations			X	X	X	X	MI, CM, DRAOR	CCP, RS, IDOC
Develop and implement the timing and sequencing of reentry activities				X	X	X	CM	R

Job Competencies: Advanced

Areas of Knowledge	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Collaboration and engagement in community boards and workgroups with community-based service providers				X	X	X	OJT	R
Translation of the research identifying what strategies work most effectively with different types of clients and needs (e.g., special needs, disabilities)				X	X	X	CM	RNR, IDOC

Skills and Abilities	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Apply cognitive-behavioral and social learning theories in diverse and complex situations				X	X	X	CM, DRAOR	RNR, CCP, RS, IDOC
Apply RNR principles in diverse and complex situations				X	X	X	CM, DRAOR	RNR, CCP, IDOC
Apply CCPs in diverse and complex situations				X	X	X	CCP, CM	RNR, CCP, IDOC
Share knowledge of RNR principles, EBPs, and CCPs with other staff				X	X	X	FS	RNR, CCP, R IDOC
Work around service barriers				X	X	X	CM	R, IDOC
Match treatment modalities with client needs in varied and complex situations				X	X	X	CM	RNR, IDOC
Develop partnerships with community-based agencies to expand community resources available to clients				X	X	X	OJT	R, CCP
Mentor other staff on how to exhibit and perform different knowledge and skills				X	X	X	FS	IDOC, HBR
Understand, implement, and articulate the timing and sequencing of the reentry process to various audiences				X	X	X	OJT, CM	R, IDOC
Perform quality assurance on RNR principles, EBPs, and CCPs				X	X	X	IS, OJT	RNR, R, ACJI, IDOC

Skills and Abilities (continued)	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Perform and model RNR principles, EBPs, and CCPs in diverse and complex situations				X	X	X	CM, FS	CCP, R, IDOC
Use behavioral techniques (reinforcement, modeling, antisocial discouragement) for other staff in varied and complex situations				X	X	X	FS, CM	CCP, S, IDOC

Job Competencies: Managerial/Supervisory

Areas of Knowledge	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Professional ethics and loyalty					X	X	TOT, LA	HBR, IDOC
Roles and responsibilities of IDOC administrative and management staff					X	X	TOT, LA	IDOC
Different ways to build teams, empower employees, and lead change					X	X	TOT, LA, FS	IDOC
Evidence-based resources and tools to support staff practices					X	X	TOT	RNR, CCP
Coaching and mentoring strategies					X	X	FS, TOT	IDOC
Essential principles of implementation science					X	X	EL, IS	ACJI
Leadership theories and strategies (e.g., situational, transactional, adaptive, laissez-faire, autocratic, participative, visionary)						X	LA, FS, TOT	HBR
Emotional intelligence and application to diverse situations with staff						X	EI, TOT	EQS, EQI, TI
Empathy and recognition of different behavioral styles						X	TOT	EQS, EQI, TI
Technological advances in corrections, including trends, benefits, and pitfalls						X	OJT	IDOC
Clear vision of agency's mission and goals and how they relate to current and future practices						X	FS, LA, TOT	IDOC

Areas of Knowledge (continued)	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Current status of the IDOC system (agency and its institutions, units, and divisions) and its strengths, gaps, and needs						X	LA, TOT	IDOC
IDOC budget process						X	LA, TOT	IDOC
Different types of organization culture and how to assess culture						X	LA, TOT, IS	IDOC, ACJI
Relevant public policies and external stakeholders						X	LA, TOT	IDOC
Awareness of interests and expectations of stakeholders outside corrections						X	LA, TOT	IDOC
Federal, state, and local legislative processes						X	LA, TOT	IDOC
Leadership development planning, training, and strategy						X	LA, TOT	IDOC
Succession planning						X	LA, TOT	IDOC
Differences between leaders and managers and formal versus informal leadership						X	FS, TOT	IDOC
Various self-assessments to analyze strengths and improve performance (e.g., Emotional Intelligence, Myers-Briggs, 360, CliftonStrengths)						X	LA, TOT, EI	EQI, TI, IDOC

Skills and Abilities	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Effectively delegate tasks and manage time					X	X	FS, TOT	HBR
Train others on how the criminal justice system works					X	X	TOT, EL	NIC
Review staff communication to ensure clear and concise information is provided to a variety of audiences					X	X	TOT, OJT	IDOC
Strategize with administration and staff on how to reduce service barriers for clients					X	X	TOT, OJT	IDOC

Skills and Abilities (continued)	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Motivate different types of staff and clients					X	X	TOT, LA	CCP, NIC
Effectively motivate, coach, mentor, and contribute to professional development of direct reports					X	X	TOT, LA, FS	NIC, IDOC, RNR, CCP
Develop and lead a diverse workforce					X	X	TOT, LA	IDOC
Establish expectations for staff to use best practices and ensure program fidelity; and hold staff and service providers accountable					X	X	TOT, FS	RNR, CCP, IDOC
Deliver presentations or facilitate meetings to promote a greater understanding of RNR principles, CCPs, and EBPs					X	X	TOT, LA	RNR, CCP, IDOC
Work with staff to create professional development opportunities to expand knowledge in EBPs					X	X	TOT, FS	RNR, CCP, IDOC
Conduct quality assurance around EBPs and responsivity and hold others accountable for results					X	X	TOT, IS	RNR, CCP, ACJI
Reward and recognize others (both formally and informally) for accomplishments					X	X	TOT, FS	IDOC
Give effective feedback and employ different problem-solving techniques					X	X	TOT, FS	IDOC
Resolve conflicts and issues among staff and clients					X	X	TOT, LA	NIC, IDOC
Develop and monitor process measures					X	X	TOT, OJT	NIC, IDOC,
Effectively manage organizational change					X	X	TOT, LA, IS	NIC, IDOC, ACJI
Manage change and progress to meet EBP goals					X	X	TOT, IS	RNR, CCP, ACJI
Use research and information to guide decision making and improve performance					X	X	TOT, IS, OJT	RNR, CCP, ACJI

Skills and Abilities (continued)	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Training/ Platforms	Source Material
Demonstrate to and coach staff on active listening skills, empathic communication, and emotional intelligence					X	X	TOT, FS, EI	IDOC, EQS, EQI, TI
Maintain awareness of and mitigate unconscious bias with staff					X	X	TOT	IDOC
Increase self-awareness and be able to adjust behaviors and communication with other staff and clients if needed					X	X	TOT, EI	EQS, EQI, TI
Develop protocols for addressing and resolving conflicts and common challenges						X	TOT, LA, IS	NIC, IDOC, ACJI
Apply implementation science principles and tools to agency-specific implementation challenges						X	TOT, IS	ACJI
Recognize and navigate political environment/factors affecting the correctional system						X	LA, TOT	IDOC
Conduct quality assurance and continuous quality improvement on internal operations						X	IS	ACJI
Promote staff competencies by effectively communicating expectations and developing necessary policies and training						X	LA, FS, TOT	IDOC
Build a strong organizational culture that supports the agency's goals						X	LA, IS	IDOC, ACJI
Communicate with and respond to inquiries from internal and external sources and convey the agency's vision and values in every way possible						X	LA, TOT	IDOC
Continuously enhance personal abilities and effectiveness and ways to build value						X	LA, FS, TOT	IDOC
Think outside the box and establish an environment that values learning and new ideas from staff and clients						X	LA	IDOC, HBR
Foster a sense of connection and belonging						X	LA, FS, TOT	HBR

Guidelines for Hiring, Promotion, and Evaluation

Traits	Hiring	Promotion	Evaluation	Source Material
Empathic	X	X	X	CCP
Genuine	X	X	X	CCP
Open, direct, and honest	X	X	X	CCP
Respectful toward others	X	X	X	CCP
Attentive and good listener	X	X	X	
Open-minded	X	X	X	
Enthusiastic toward responsibilities	X	X	X	
Confident	X	X	X	
Patient and understanding	X	X	X	
Collaborative	X	X	X	
Resilient and focused in the face of obstacles		X	X	
Solution-focused and problem-solving		X	X	CCP
Avid learner		X	X	CCP
Reliable and consistent		X	X	
Receptive to feedback		X	X	
Goal-oriented		X	X	CCP
Adaptable		X	X	
Positive attitude		X	X	CCP
Analytical thinker		X	X	
Creative with new ideas and processes		X	X	
Adapts communication to situation or audience		X	X	
Proactive about improving own outcomes and processes		X	X	
Responds well to difficult situations and ambiguity		X	X	

Areas of Performance: All Staff	Hiring	Promotion	Evaluation
Quality of work			X
Quantity of work			X
Understanding of required duties, policies, and procedures			X
Ability to multi-task and appropriately move cases			X
Initiative and ability to work without specific direction			X
Time management			X
Adherence to policy and procedure			X
Conflict management			X
Cultural competence			X
Change facilitation			X
Influence			X

Areas of Performance: Supervisors Only	Hiring	Promotion	Evaluation
Leadership and ability to influence and motivate			X
Management of projects, committees, and workgroups			X
Management of team/direct reports			X
Task management			X
Change management			X
Communication			X
Trust building			X
Feedback from supervisor through direct observation			X
Feedback from other staff and partners through surveys			X

Appendix A: IDOC Job Description

Iowa Department of Administrative Services – Human Resources Enterprise
Job Classification Description

Correctional Officer

Definition

Maintains safety and security within an Iowa Department of Corrections correctional facility; supports department mission, vision, and values with integrity and commitment while preparing incarcerated individuals for successful community reentry; develops quality relationships and serves as a change agent when working with incarcerated individuals; performs related work as required.

> *The work examples and competencies listed below are for illustrative purposes only and not intended to be the primary basis for position classification decisions.*

Work Examples

As part of a multi-disciplinary team, observes incarcerated individual behavior/interaction with staff, other incarcerated individuals, and visitors; communicates and documents observations to ensure effective security and consistent application of incarcerated individual change principles.

Continuously interacts with incarcerated individuals, utilizing behavioral techniques to assist in the development of problem-solving skills, facilitating behavior change, role-playing, effective disapproval, providing positive reinforcement when appropriate, and instituting corrective measures through the effective use of disapproval.

Patrols facilities and makes security checks; conducts rounds and incarcerated individual counts; inspects all areas of the institution and grounds for safety/security deficiencies. Conducts searches of incarcerated individuals, vehicles, packages, equipment, incarcerated individuals' cells and property for contraband items.

With a balanced approach, instructs incarcerated individuals in rules, policy, procedure, expectations, and assists incarcerated individuals in the development of attitudes and skills necessary for successful adaptation to life within an institution and a pro-social lifestyle.

Escorts incarcerated individuals, visitors, and staff inside/outside of the institution and verifies possession of appropriate passes or legal documents.

Interacts with the general public, visitors, and victims in person or via phone. Provides information, security, and assistance.

Role models pro-social behaviors that convey dignity and respect for others and acknowledge that incarcerated individuals can change their lives by development of skills and the adoption of pro-social attitudes and behaviors.

Maintains logs, prepares reports, and enters information into the DOC electronic record system.

Supervises incarcerated individual work assignments and evaluates work performance.

Operates electronic doors, telephone systems, two-way radios, intercom, alarm systems, closed circuit TV systems, personal data assistants, computer terminals, and weapons/incarcerated individual control devices.

Attends training and professional development classes.

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Competencies Required

Knowledge:

- Public Safety and Security – Relevant equipment, policies, procedures, and strategies to promote effective local, state, or national security operations for the protection of people, data, property, and institutions.

- Law and Government – Laws, legal codes, court procedures, precedents, government regulations, executive orders, agency rules, and the democratic political process.

- English Language – The structure and content of the English language, including the meaning and spelling of words, rules of composition, and grammar.

- Clerical Procedures – Word processing, managing files and records, designing forms, and other office procedures and terminology.

- Psychology – Human behavior and performance; individual differences in ability, personality, and interests; learning and motivation; psychological research methods; and the assessment and treatment of behavioral and affective disorders.

Abilities:

- Law and Government – Understand and adhere to applicable laws, legal codes, administrative rules, and regulations.

- Oral Comprehension – Listen to and understand information and ideas presented through spoken words and sentences.

- Oral Expression – Communicate information and ideas in speaking so others will understand.

- Speech Clarity – Speak clearly so others can understand.

- Speech Recognition – Identify and understand the speech of another person.

- Problem Sensitivity – Tell when something is wrong or is likely to go wrong. It does not involve solving the problem, only recognizing there is a problem.

- Deductive Reasoning – Apply general rules to specific problems to produce answers that make sense.

- Inductive Reasoning – Combine pieces of information to form general rules or conclusions (includes finding a relationship among seemingly unrelated events).

- Flexibility of Closure – Identify or detect a known pattern (a figure, object, word, or sound) that is hidden in other distracting material.

- Near Vision – See details at close range (within a few feet of the observer).

- Far Vision – See details at a distance.

Skills:

- Social Perceptiveness – Awareness of others' reactions and understanding why they react as they do.

- Active Listening – Giving full attention to what other people are saying, taking time to understand the points being made, asking questions as appropriate, and not interrupting at inappropriate times.

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- Monitoring – Monitoring/Assessing performance of yourself, other individuals, or organizations to make improvements or take corrective action.

- Coordination – Adjusting actions in relation to others' actions.

- Judgment and Decision Making – Considering the relative costs and benefits of potential actions to choose the most appropriate one.

- Critical Thinking – Using logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions or approaches to problems.

- Complex Problem Solving – Identifying complex problems and reviewing related information to develop and evaluate options and implement solutions.

- Speaking – Talking to others to convey information effectively.

- Reading Comprehension – Understanding written sentences and paragraphs in work related documents.

Minimum Qualification Requirements

Graduation from high school, GED, or equivalency.

Notes

All applicants must be able to successfully pass the following:

- Psychological tests
- A background investigation check.
- A post-offer health screen administered by an institutional physician.
- A urinalysis screen for drugs.
- All new employee training during the probationary period, including local orientation, new employee orientation, and emergency preparedness training.

Designated positions in this job class require applicants to obtain a Commercial Driver's License and endorsements within a period of time as determined by the appointing authority at the time of hire.

Effective date: 01/19 SA

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Appendix B: Performance Evaluation

State of Iowa Individual Performance Plan and Evaluation – Alignment with the Agency Performance Plan

STRATEGIES FOR THIS RATING PERIOD

EXPECTATIONS AND EVALUATION

Individual Performance Strategy (Goal)	Action Steps	Performance Criteria	Timetable
1. Safety and Security Operations/ Positively Impact Safe & Orderly Environment	Ensure the following security and safety-related operations are conducted in a safe, secure, competent and timely manner: • Security Controls/Control Center • Facility/Unit Patrol • Security Services • Perimeter Patrol • Transportation/Escort Services • Report Writing and Documentation	✓ Demonstrates knowledge of and compliance with all security policies and procedures. ✓ Counts of the incarcerated individual population are accurate and in accordance with policy and procedure. ✓ Is thoroughly familiar with all assigned equipment and operational systems and uses them in accordance with procedure. ✓ Items of contraband are seized and processed in accordance with procedure. Handles the property of incarcerated individuals with care and respect. ✓ Is knowledgeable of institutional emergency policy and procedures and implements those procedures when necessary. ✓ Ensures that sanitation standards are met. ✓ Maintains logs and other paper and electronic documents in accordance with procedures.	Annual

RESULTS:

☐ Exceeds Expectations ☐ Meets Expectations ☐ Does Not Meet Expectations

Individual Performance Strategy (Goal)	Action Steps	Performance Criteria	Timetable
2. Core Correctional Practices/ Interpersonal Interactions	1. Obtain proficiency in Basic Knowledge of Risk, Needs, and Responsivity, Core Correctional Practices, and Reentry (RNR; CCP; R)	Newly developing in this area; has a general understanding of key principles but limited or no applied experience with this competency. ✓ Knowledge of factors that contribute to adult criminal behaviors (RNR) ✓ Knowledge of theories including cognitive-behavior and social learning theories (RNR/CCP) ✓ Knowledge of risk-need-responsivity principles (RNR/R) ✓ Knowledge effective responses to non-compliant behavior and incentives (RNR) ✓ Basic understanding risk/need tools (RNR) ✓ Knowledge of evidence-based practices and translation into everyday practices (RNR/R) ✓ Knowledge of cognitive behavioral practices and interventions (RNR/CCP) ✓ Knowledge of importance of pro-social networks (CCP) ✓ Knowledge of protective factors and how they support risk reduction ✓ Broker/Systems-access to information/and resources and knowledge of available resources in the community (R)	By end of SRR Training Cycle Phase 1/ Annual

RESULTS:

☐ Exceeds Expectations ☐ Meets Expectations ☐ Does Not Meet Expectations

Individual Performance Strategy (Goal)	Action Steps	Performance Criteria	Timetable
	2. Obtain proficiency in the utilization of Basic Skills: Risk, Needs, and Responsivity, Core Correctional Practices, and Reentry (RNR; CCP; R)	Newly developing in this area; has a general understanding of key principles but limited or no applied experience with this competency. Is capable of demonstrating the basic ability and using this competency with coaching and support, in simple situations. ✓ Basic ability to ask questions, listen, respond and engage individuals who may be resistant (CCP) ✓ Ability to follow established process/procedures for reentry planning (R) ✓ Facilitates further understanding and supports the principles of CBT in daily interactions with incarcerated individuals (RNR/CCP) ✓ Ability to support PPO or counselor and incarcerated individual in meeting case plan and establish goals (RNR) ✓ Ability to recognize and understand cultural, socioeconomic, gender- responsivity, trauma-informed and other diversities (RNR) ✓ Ability to identify and engage incarcerated individual in pro-social supports/networks (RNR) ✓ Ability to utilize motivational interviewing techniques and trained in skills that influence behavior change (RNR/CCP) ✓ Ability to use basic behavioral techniques (reinforcement, modeling, anti-social discouragement, sanctions) (CCP) ✓ Ability to interview, gather information, and provide feedback (CCP)	By end of SRR Training Cycle Phase 1 / Annual

RESULTS:

☐ Exceeds Expectations   ☐ Meets Expectations   ☐ Does Not Meet Expectations

Individual Performance Strategy (Goal)	Action Steps	Performance Criteria	Timetable
3. Incarcerated Individual Supervision	1. Interacts with others in a professional manner 2. Consistently demonstrates and reinforces appropriate alternatives to pro-criminal thinking, feeling, and acting (e.g., role playing, rehearsals, modeling, and feedback)	✓ Maintains healthy professional boundaries and develops effective and positive professional relationship with incarcerated individuals ✓ Facilitates incarcerated individual understanding of institutional rules and handles violations in a timely manner and at the lowest reasonable level of intervention ✓ Is proactive in responding to unusual behavior or changes in incarcerated individual attitude so that problems can be dealt with before they escalate ✓ Works to resolve conflict in a tactful, considerate, and respectful manner using such situations as a learning opportunity for incarcerated individuals ✓ Evaluates requests made by incarcerated individuals in accordance with policy, procedure, and practice ✓ Utilizes appropriate methods of motivating the incarcerated individual and reinforcing positive behavior ✓ Has a working knowledge of gender-responsivity and trauma-informed principles and interacts with incarcerated individuals accordingly	Annual

RESULTS:

☐ Exceeds Expectations   ☐ Meets Expectations   ☐ Does Not Meet Expectations

Individual Performance Strategy (Goal)	Action Steps	Performance Criteria	Timetable
3. Incarcerated Individual Supervision	1. Interacts with others in a professional manner 2. Consistently demonstrates and reinforces appropriate alternatives to pro-criminal thinking, feeling, and acting (e.g., role playing, rehearsals, modeling, and feedback)	✓ Maintains healthy professional boundaries and develops effective and positive professional relationship with incarcerated individuals ✓ Facilitates incarcerated individual understanding of institutional rules and handles violations in a timely manner and at the lowest reasonable level of intervention ✓ Is proactive in responding to unusual behavior or changes in incarcerated individual attitude so that problems can be dealt with before they escalate ✓ Works to resolve conflict in a tactful, considerate, and respectful manner using such situations as a learning opportunity for incarcerated individuals ✓ Evaluates requests made by incarcerated individuals in accordance with policy, procedure, and practice ✓ Utilizes appropriate methods of motivating the incarcerated individual and reinforcing positive behavior ✓ Has a working knowledge of gender-responsivity and trauma-informed principles and interacts with incarcerated individuals accordingly	Annual

RESULTS:

☐ **Exceeds Expectations**   ☐ **Meets Expectations**   ☐ **Does Not Meet Expectations**

Individual Performance Strategy (Goal)	Action Steps	Performance Criteria	Results Benchmark
4. Professional Characteristics	1. Behaviors support the IDOC Mission 2. Identifies and resolves problems effectively 3. Demonstrates effective and appropriate decision making	✓ Punctual for all work assignments ✓ Works collaboratively with team members ✓ Works collaboratively with incarcerated individuals ✓ Consults with supervisory staff as appropriate ✓ Displays a positive attitude ✓ Displays professional integrity ✓ Displays initiative in learning new skills and new assignments. ✓ Verbal and written communication is clear and concise and contains sufficient detail ✓ Makes appropriate suggestions to improve operational practices ✓ Demonstrates the ability to hold incarcerated individuals accountable with an appropriate level of flexibility, understanding, and compassion ✓ Demonstrates the ability to obtain cooperation from incarcerated individuals without reliance on external compliance measures ✓ Follows policy, procedure, and approved practice ✓ Uses existing policy, procedure, and approved practice as a guide for appropriate decision making for situations that require flexibility	Annual

RESULTS:

☐ **Exceeds Expectations**   ☐ **Meets Expectations**   ☐ **Does Not Meet Expectations**

State of Iowa Individual Performance Plan and Evaluation – Achievements, Strengths, and Overall Rating

Supervisor's Comments:	Employee's Comments:
Achievements and Strengths:	My noteworthy achievements:
Additional comments:	Additional comments:
Development Plans:	Support I need to improve my performance:

Exceeds Expectations:	The employee consistently performs well beyond expectations (strategies/goals, action steps, performance criteria, and timetables) and does outstanding work.
Meets Expectations:	Performance consistently fulfills the job requirements and expectations (strategies/goals, action steps, performance criteria, and timetables). The employee is doing the job expected for employees in this classification.
Does Not Meet Expectations:	Performance does not consistently meet expectations (strategies/goals, action steps, performance criteria, and timetables).

Overall Rating: ☐ **Exceeds Expectations**   ☐ **Meets Expectations**   ☐ **Does Not Meet Expectations**

I have received a copy of this performance evaluation and it has been discussed with me. I understand that my signature does not necessarily indicate agreement.

Employee Signature: _____   Date: _____

Supervisor Signature: _____   Date: _____

Next Higher Level Management Signature: _____   Date: _____

Recommended Actions: Salary Increase ☐ Yes ☐ No

☐ Permanent Status ☐ Other (specify): _____

Appendix C: Promotion Checklist for Correctional Officers

Promotion Checklist – Correctional Officer Level

BASIC: SKILLS, KNOWLEDGE, ABILITIES	Score
Accepts feedback from staff and supervisors appropriately and incorporates feedback into practice	
Is punctual, reliable, and shows up for scheduled shifts	
Performs tasks with high degree of accountability and quality	
Individual has a strong work ethic	
'Exceeds performance' on most recent performance evaluation	
Individual has excellent attention to detail	
Individual has desire to learn and improve	
Individual develops good interpersonal relationships with offenders	
Individual works well in a team	
Individual understands and demonstrates a "balanced approach"	
Individual demonstrates knowledge in factors that contribute to adult criminal behaviors	
Basic knowledge of cognitive behavioral practices and interventions	
Basic knowledge of protective factors and how they support risk reduction	
Basic understanding of reentry and their role in the reentry process	
Ability to follow established process/procedures	
Ability to recognize and understand cultural, socioeconomic, and other diversity	
Basic ability to ask questions, listen, respond and engage individuals who may be resistant	
Ability to use basic behavioral techniques (reinforcement, modeling, effective disapproval, appropriate use of authority, problem solving)	
Role models pro-social behaviors for clients	

Staffing for Success: Establishing Core Competencies and Training Supports for Corrections and Community Supervision Staff

BASIC: SKILLS, KNOWLEDGE, ABILITIES	Score
Positively reinforces good behavior and uses effective disapproval for negative behavior	
Individual recognizes risky thinking/behavior or rule violations and alternatives are developed	
Builds rapport with clients and is engaging	
Avoids power struggles with clients	
Individual is engaged in active listening practices	
Demonstrates appropriate use of authority	
Interacts with clients and staff in a respectful manner	
Ability to interview, gather information, and provide feedback	
Individual demonstrates basic knowledge in RNR	
Individual understands and demonstrates Core Correctional Practices	
Individual has effective responses to non-compliant behavior	
Total Score	

1=Very weak evidence knowledge/skill is present; 2=Weak evidence knowledge/skill is present; 3=Average evidence knowledge/skill is present; 4=Strong evidence knowledge/skill is present; 5=Very strong evidence knowledge/skill is present.