



**Office of Human Resources  
Standard Operating Procedure  
HR SOP #701**

**Subject:** Performance Management

**Effective Date:** September 1, 2020

**Policy Statement:**

The Department of Natural Resources will administer a Performance Management Program that enables supervisors and employees to cooperatively develop clear performance goals and expectations as well as steps for meeting those goals and expectations. The program requires periodic performance coaching and evaluation of employee performance recognizing strengths and successes and identifying areas for performance improvement.

**Definitions:**

**Annual Performance Plan:** A document specifying the core/individual competencies, individual goals and job responsibilities that are required of an employee in order to satisfactorily perform the duties of the position. Annual plans reflect performance requirements for a period of July 1st – June 30th of the following calendar year.

**Coaching:** periodic meetings between the supervisor and employee to discuss how effectively the employee is performing and applying competencies to meet job responsibilities and/or goals.

**Competencies:** observable and measurable behaviors, knowledge, skills, abilities and other characteristics that are necessary to perform successfully in the position.

**Designated Review Officials (DRO):** Individual(s) designated as official(s) to consider employee requests for review of assigned responsibilities and/or expectations or performance evaluation ratings. DROs are designated by the Commissioner/designee (or the Director/designee, for employees of EPD) and shall not be the first or second level supervisor of the employee requesting review. The identity of the DRO shall be provided to each employee upon presentation of a disputed performance plan or annual performance evaluation with an overall summary rating of 1 – Unsatisfactory Performer. The identity of the DRO shall be provided by request for an overall summary rating of 2 – Successful Performer Minus or 3 – Successful Performer. It is the role of the DRO to review each request and supporting documentation and render a decision to either uphold or direct the responsible supervisor to revise the assignment or rating. The decision of the reviewing official is final.

**Goal:** A measurable result to be achieved.

Individual Development Plan (IDP): An action plan that identifies goals, projects, and activities which contribute to the employee's continual development in the organization. IDPs should be a collaborative effort between the supervisor and employee.

Job Responsibilities: Job tasks that are necessary for the successful performance.

Performance Evaluation: A process used to rate employee performance. This process is conducted at the end of the calendar year (mid-year evaluation) and at the end of the fiscal year (annual evaluation).

Performance Expectations: Competencies, goals, and responsibilities that drive individual performance.

Performance Period: Period established based on the State's fiscal year beginning July 1st and ending June 30th of the following calendar year.

Performance plan: is the document shared with and acknowledged by the employee upon which the employee will be evaluated.

### **Procedure:**

The performance management process requires a sequence of actions that supervisors take when interacting with employees about their performance. The process involves three primary components: Performance Planning; Coaching and Development; and Performance Evaluation.

### **Performance Planning:**

Supervisors must provide employees with a performance plan within **45 calendar** days of hire or the employee being placed in a new job. The performance plan must specify the core/individual competencies, individual goals and job responsibilities that are required for successful performance of the job. The employee and the supervisor must meet annually to discuss the establishment of the performance plan. The performance management program requires that employees actively participate in the performance planning process and work with their manager/supervisor to develop a performance plan. A performance plan may be modified at any time during a performance period and shall be modified when new or different responsibilities and/or expectations are added to a position. Supervisors are required to seek input from affected employees when performance standards and/or expectations are established or modified. Employees should be immediately notified of any substantive modifications to their performance plan. The written performance plan must be updated within **15 calendar** days of the modification.

### **Performance Plan Content Requirements:**

Each supervisor responsible for developing performance plans for employee(s) must place the following responsibility statement in Section 3 of the performance plan of their employees who are supervisors.

*Performance Management*

*Conducts performance management responsibilities for employees including performance Planning, Coaching, and Evaluation in accordance with SOP **HR701***

*Performance Management, agency performance memos and documents, and agency deadlines.*

Employees must also adhere to the basic Terms and Conditions of Employment. Therefore, during the planning phase of performance management, supervisors must customize the expectations column of the *Terms and Conditions of Employment* (Attachment 1) for each employee. This document should be presented to each employee during the planning meeting. The employee must sign the document and the supervisor must retain the signed copy in their local management file.

It is recommended that the plan contain an Individual Development Plan (IDP). See information regarding IDPs in the Coaching and Development section below.

#### Performance Plan Changes:

If an employee is promoted, demoted or otherwise is assigned to a completely new job assignment during a performance year, a new performance plan must be developed. Upon request, after a promotion, ~~demotion~~ or change in job duties, the Office of Human Resources (OHR) Performance Management Program Administrator will delete the performance plan from PeopleSoft. Supervisors will clone another plan or may modify the template plan created by the OHR Administrator and meet with the employee regarding the new core/individual competencies, individual goals and job responsibilities.

#### Request for Review of Plan:

If the supervisor and the employee cannot agree on the content of the performance plan, the supervisor's manager should be consulted to try to resolve the disagreement. If the employee and supervisor cannot agree after involvement by the manager, the employee should be informed that if he/she believes that the performance plan is unachievable, or non-job related, he/she may request a review by the Designated Review Official (DRO) for their division. Requests for review of the performance plan may be made by completing the *Request for Review of Performance Plan or Evaluation* (Attachment 2) and submitting it to the DRO. Requests for review must be post-marked or received by the DRO within five work days of receipt of the performance plan. DROs must evaluate the request within fifteen work days of receipt of the request and must uphold the content or direct the supervisor to revise the performance plan. Division management must notify the HR Director upon receiving a request for review of the performance plan and the name of the assigned DRO.

After making a final determination, the DRO must notify the employee of the decision and forward the *Request for Review of Performance Plan or Evaluation* (Attachment 2) and a copy of the letter or memo reflecting the DRO's decision to OHR for placement in the official personnel file. The decision of the Designated Review Official is final.

It is recommended that the employee sign the performance plan at the beginning of the performance period. The supervisor should retain the signed copy in their local management file.

#### Coaching and Development:

Supervisors should have periodic interactions, oral and written communications with employees during the performance period regarding the employee's performance. Supervisors should keep performance notes throughout the performance period. These notes document employee performance as well as discussions/communication with the employee regarding performance. Supervisors may keep performance notes in a manual or electronic management file. **Note:** PeopleSoft provides an electronic performance notes option.

It may be necessary during the performance period for supervisors to meet with employees to discuss performance deficiency issues. Managers should use the *Corrective Interview Form* (Attachment 3) as documentation of the discussion. Retain completed Corrective Interview Forms in the local management file.

The Individual Development Plan (IDP) section of the performance plan may be used for the employees' development by requiring training and skills development activities. The IDP may also be used to structure work and set extra work goals for employees that need performance improvement. While use of IDPs is encouraged for all employees, an IDP is required at the start of a performance year for employees who received an overall rating of 2 – Successful Performer Minus or 1 – Unsatisfactory Performer on the previous performance evaluation. IDPs established for employees with a rating of 1 or 2 must provide specific expectations and designate timeframes for improvement.

### **Performance Evaluation:**

At end of the fiscal year, the performance of all employees shall be documented, evaluated and rated using the TeamWorks Performance Management Module. Supervisors must conduct a fair, unbiased, and equitable performance evaluation for each employee. If the employee has been employed for less than five months the manager may choose between giving the employee a numerical evaluation rating or an evaluation rating of "Not Rated." A performance evaluation rating, reflective of the overall level of performance, supported by sufficient documentation in the management file, shall be assigned to each evaluation. The evaluation must be presented to the employee in a face-to-face evaluation meeting. Employees should sign the Annual performance evaluation. A copy of the signed Annual evaluation will be kept in the official personnel file in OHR.

### **Mid-Year Evaluation:**

The performance of all employees shall be evaluated and documented at the end of the calendar year. These Mid-year performance evaluations are to be completed using the *Mid-Year Performance Evaluation Form* (Attachment 4).

### **Job Changes:**

If an employee is promoted, demoted or otherwise is assigned to a ~~totally~~ new job assignment during a performance period, supervisors must develop a new performance plan within 45 days of the assignment to the new job. Employees must be evaluated on the core/individual competencies, individual goals and the job responsibilities contained in the most current and applicable performance plan. For example: If an employee is promoted in January, a new Annual Performance Plan is established and the employee should be evaluated in July using the new

performance plan. Managers may choose to consult a prior supervisor regarding the evaluation of their employee if the employee changed jobs during the performance period.

Leave issues:

Managers should evaluate employees who are on leave during the evaluation period. Upon the employee’s return from leave, the manager should meet with the employee to discuss the employee’s performance evaluation and ratings in order to close the performance year. Employees who are on leave for the entire performance period should not receive a performance review. Note: Employees on Military leave for the entire performance period are an exception and must receive a performance evaluation.

Employee performance will be rated according to the following scale:

Performance Ratings Sale	
5 - Exceptional Performer	Employee exceeded all performance expectations. Employee was an <b>exceptional contributor</b> to the success of his/her department and the State of Georgia. He/she demonstrated role model behaviors.
4 - Successful Performer Plus	Employee met all and exceeded most of the established performance expectations.
3 - Successful Performer	Employee met all performance expectations and may have exceeded some. Employee was a <b>solid contributor</b> to the success of his/her department and the State of Georgia.
2 - Successful Performer Minus	Employee met most but failed to meet some of the performance expectations. Employee <b>needs further improvement</b> in one or more areas of expected job results or behavioral competencies.
1 - Unsatisfactory Performer	Employee did not meet all or most of the established performance expectations. Employee <b>needs significant improvement in critical areas</b> of expected job results or behavioral competencies.
Not Rated	New hire or transfer within five months of the end of the performance period (Those with hire/rehire dates of Feb 1 <sup>st</sup> – June 30 <sup>th</sup> ).

Evaluation comments by the supervisor are mandatory for each section of the performance evaluation that is assigned a rating of 1 – Unsatisfactory Performer, 2 – Successful Performer Minus, or 5 – Exceptional Performer. Supervisors may opt for no comments in sections of the performance evaluation receiving a rating of 3, or 4. However, performance evaluations must include some written comments and supervisors are encouraged to provide comments in every section, if possible. Oral comments should be provided to the employee during the performance

evaluation meeting. Division Management/Division Human Resources Representatives are responsible for reviewing the evaluations that have been assigned a rounded score of 1 – Unsatisfactory Performer or 2 – Successful Performer Minus prior to the evaluation being shared with the employee. Manager notes and other supporting documentation must support the evaluation rating.

**Note: Supervisors who do not properly complete the planning, coaching and evaluation responsibilities for their subordinate employees may be rated as 1 - Unsatisfactory Performer for the applicable performance period.**

### Request for Review of Evaluations:

It is the responsibility of the Commissioner/designee or the Director/designee (for employees of the Environmental Protection Division) to designate an official(s) to consider employee requests for review of performance evaluation ratings. DROs shall not be the first or second level supervisor of the employee requesting review. The identity of the DRO shall be provided to each employee upon presentation of an overall summary rating of 1 – Unsatisfactory Performer for the Annual performance evaluation. The notice to the employee is to be provided using the *Performance Management Notice to Employees* (Attachment 5).

When an employee receives an overall summary rating of 1 - Unsatisfactory Performer, 2 – Successful Performer Minus or 3 – Successful Performer on their Annual performance evaluation, he/she may request a review of the Annual performance evaluation by the Designated Review Official for their division. Requests for review of the performance evaluation may be made by completing the *Request for Review of Performance Plan or Evaluation* (Attachment 2) and submitting it to the Designated Review Official. Requests for Review must be post-marked or received by the DRO within five work days of receipt of the performance evaluation. Designated Review Officials must evaluate the request within fifteen work days of receipt of the request and must uphold the evaluation or direct the supervisor to change the rating. Division management must notify the HR Director upon receiving a request for review of the performance evaluation and the name of the assigned DRO.

After making a final determination, the DRO must notify the employee of the decision and forward all paperwork to OHR for placement in the official personnel file. The decision of the Designated Review Official is final and cannot be appealed to the State Personnel Board. The decision is not eligible for the Employee Complaint Resolution Procedure.

### Recordkeeping:

Annual Performance evaluations must be dated and signed by the employee and supervisor. Hard copies of the signed Annual evaluation are to be forwarded to OHR via a process identified by the Division Director. Annual performance evaluations will be maintained in TeamWorks HCM. A copy of the signed annual evaluation will be kept in the official personnel file.

**Note:** Division managers must **not** forward signed copies of the Mid-Year Performance Evaluation Form to OHR. Supervisors should maintain signed copies of Mid-Year Performance Evaluations in the local management file. Copies of the Mid-Year Performance Evaluations are also to be

maintained in the Division Office in accordance with the State of Georgia retention schedule. Central office managers must forward a signed copy of the mid-year evaluation to OHR.

If an employee refuses to sign the performance evaluation, reasonable efforts should be made to resolve issues associated with the refusal to sign. However, if the employee continues to refuse to sign the evaluation, then the signature page of the evaluation where the employee should have signed must be marked with the inscription "employee refused to sign". A copy should be delivered to the employee, the supervisor should keep a copy in the local management file, and a copy of the evaluation should be forwarded to OHR via a process designated by the Division Director.

### Training:

Information about the performance management process and using the ePerformance system is located in the DNR Intranet Performance Management section at <http://dnrintranet.org/hr/performance-management>. Information provided includes Human Resources memos, letters, performance management process instructions and DOAS performance management training.

### **Attachments:**

Attachment 1 – *Terms and Conditions of Employment*

Attachment 2 – *Request for Review of Performance Plan or Evaluation*

Attachment 3 – *Corrective Interview Form*

Attachment 4 – *Mid-Year Performance Evaluation Form*

Attachment 5 – *Performance Management Notice to Employees*