

# Georgia Department of Public Safety

## Policy Manual

SUBJECT <b>PERFORMANCE MANAGEMENT PROCESS</b>	POLICY NUMBER <b>5.15</b>
DISTRIBUTION <b>ALL MEMBERS</b>	REVISION DATE <b>10/17/2016</b>

### 5.15.1 Purpose

To provide a method for the periodic review of employee performance and the awarding of performance-based increases. The Georgia Performance Management Process is a systematic, integrated approach that aims to:

- A. Provide a tool that will enable the department to achieve its mission and strategic goals.
- B. Provide a unified approach to the periodic review and rating of the quality and quantity of work performed by employees.
- C. Recognize and reward high achievement through pay for performance.
- D. Promote effective dialog between supervisors and employees.
- E. Provide the opportunity for supervisors and employees to develop performance measures that can be used to objectively evaluate work performance.
- F. Assist the organization in developing or acquiring new knowledge, skills and abilities through the development of current staff, and
- G. Support management decisions used in the selection of teams, training, promotions, career development, discipline, and determining eligibility of employees to participate in alternative work opportunities.

### 5.15.2 Policy

All regular full-time and part-time employees of the department shall receive an evaluation of their performance at least annually. Employees shall also receive at least one less formal evaluation mid-way through the rating period, which shall provide an indication of their performance level. Employees on hourly positions, re-employed retired members or temporary members on positions not eligible for benefits are not required to have performance plans and are not eligible for performance based salary increases.

### 5.15.3 Definitions

- A. Agency Review Official – The individual identified to review performance plans, evaluations and supporting documentation and to render a decision related to a member's request for review of plans and evaluations.
- B. Competencies – Observable and measurable behaviors, knowledge, skills abilities, and other characteristics that are necessary to perform successfully in the position.

- C. Evaluation – The documentation of actual performance compared to goals, competencies and job responsibilities set out at the beginning of the rating period.
- D. Evaluating Supervisor – The direct supervisor of the member.
- E. Goal – A measurable outcome or result to be achieved as defined in a performance plan.
- F. Interim Review – The process for providing feedback related to performance other than at the end of the rating period.
- G. Management Review Form – The form generally used to record interim reviews.
- H. Performance Management Form– The form used to plan and document performance.
- I. Performance Plan – The document shared with and acknowledged by the employee that identifies the goals, competencies, job responsibilities, and/or expectations upon which an employee will be evaluated during the rating period.
- J. Reviewing Manager – The direct supervisor of the evaluator.

#### **5.15.4 General Provisions**

- A. The performance evaluation period begins on July 1 of each year and ends on June 30 of the following year.
- B. Evaluating Supervisors shall be trained in the performance management process prior to being assigned the requirement to evaluate employees.
- C. Reviewing Managers are to assume responsibility for developing performance plans and/or completing evaluations if:
  - 1. The Evaluating Supervisor is absent for an extended period of time;
  - 2. The Evaluating Supervisor's position is vacant;
  - 3. The new supervisor has not been hired long enough to fully evaluate the employees, or
  - 4. The new supervisor has not been trained in the performance management process.

#### **5.15.5 Rating Scale**

- A. Evaluating Supervisors are to evaluate employees' performance according to the following scale:
  - 1. 5 = Exceptional Performer: Employees met all and exceeded most of the established performance expectations; an exceptional contributor to the success of his/her department and the State of Georgia.
  - 2. 4 = Successful Performer – Plus: Employee met all and exceeded most of the established performance expectations.

3. 3 = Successful Performer: Employee met all and may have exceeded some of the established performance expectations; a solid contributor to the success of his/her department and the State of Georgia. Employee is performing at the expected level.
4. 2 = Successful Performer: Employee met most, but failed to meet some of the performance expectations.
5. 1 = Unsatisfactory Performer: Employee did not meet all or most of the established performance expectations. Needs significant improvement in critical areas of expected job results or behavioral competencies.

#### **5.15.6 Performance Based Salary Increases**

- A. Each year, subject to budgetary/economic conditions, a specific amount of funding may be allocated by legislation for performance based salary increases. Performance based salary increases, when approved by the Legislature, are effective on the date established in the approval. The Legislature determines the amount and type of increase that will be awarded in association with each level of the rating scale.
- B. The State Personnel Board releases guidelines that shall be followed by the agency to implement salary increases for each evaluation period.
- C. Employees who are newly hired to state government service after June 30 are not eligible to receive salary increases approved for the previous performance year, unless specifically approved by the Legislature.
- D. Special provisions regarding the calculation of performance based salary increases for members who transfer between State agencies during the period of July 1 through September 30 may be provided by the State Personnel Board guidelines for the awarding of increases for affected transferred employees.
- E. Employees not approved to receive performance based salary increases on the effective date designated by the Legislature are not eligible for the performance increase until the next performance evaluation period.
- F. Employees who are not in pay status on the effective date of the performance based increase, but are approved for performance based salary increases, shall receive such increases upon their return to pay status.
- G. If the total amount of increases based upon the rated performance of all employees exceeds the amount of budgeted funds for pay increases, the increase percentages may be reduced.
- H. The amount and type (increase to base pay, lump sum payment) of performance based increases for employees who are at or above the pay grade maximum salary for their jobs is determined by the Legislature.

#### **5.15.7 Performance Plans**

- A. Evaluating Supervisors are responsible for developing a performance management plan for each regular full-time and part-time employee.

- B. The performance plan is a joint effort of the supervisor and the employee. However, the supervisor is ultimately responsible for structuring the performance plan and ensuring it supports the mission, visions and goals of the agency.
- C. The plan shall specify the goals, competencies and job responsibilities that employees are expected to meet during the rating period. Expectations shall be written at the "3-Successful Performer" level.
- D. Evaluating Supervisors and/or Reviewing Managers are prohibited from changing the weights assigned to each section of the performance plan unless approved by the Director of Human Resources. The default weights are established as follows:
  - 1. Section One: Statewide Core Competencies 50%
  - 2. Section Two: Individual Goals and Competencies 50%
  - 3. Section Three: Individual Development Plan 0%
- E. Plans are to be available to employees within 45 days following the beginning of the performance evaluation period or placement of employees in new/different positions (e.g. appointments, transfers, promotions, demotions). If Evaluating Supervisors are unable to meet with employees during this time frame due to unusual or extenuating circumstances on the part of employees (e.g. employees are absent for an extended period of time), the circumstances shall be explained in the Performance Notes maintained by the supervisor. Performance plans of employees who are not available before the deadline for submission of the plans are to be presented and discussed with the employees upon their return to duty.
- F. Efforts shall be made between employees and Evaluating Supervisors to resolve disagreements on goals, competencies and job responsibilities established in performance plans.

### **5.15.8 Performance Plans - Process**

- A. Evaluating Supervisors must discuss proposed performance plans with their manager and receive approval before presenting a performance plan to an employee.
- B. When all items have been added to the performance plan, and the Reviewing Manager has approved the content, the Evaluating Supervisor should meet and discuss the approved and finalized performance plans with their employees to address any questions or concerns.
- C. Employees may be given a specified period of time, not to exceed five work days, to review their performance plans. At or before the end of the specified review period, the employee shall notify the evaluating supervisor of any concerns or issues.
- D. The Evaluating Supervisor and the Employee should sign the plan/form to document that the employee is aware of the current year's performance expectations (goals and competencies). Managers should save a copy for their records and forward the original to Human Resources for filing in the 201 file.

### **5.15.9 Modifying Performance Plans**

- A. 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.
- B. Evaluating Supervisors shall consult with the Reviewing Manager and obtain approval before making any modification to the performance plans.
- C. Employees should be immediately notified of any substantive modifications to their performance plans. Employees should review the modified plan and notify the evaluating supervisor of any concerns or issues.
- D. The Evaluating Supervisor and the Employee should sign the modified plan within 15 calendar days of modification to document that the employee is aware of the current year's performance expectations (goals and competencies). Managers should save a copy for their records and forward the original to Human Resources for filing in the 201 file.

#### **5.15.10 Performance Documentation**

- A. Supervisors shall document the performance of subordinates throughout the evaluation period using the DPS Employee Tracking System. Documentation is important as it helps to justify the ratings given in the performance evaluation.
- B. Employees may also utilize the the Employee Tracking System to maintain performance notes on their own performance.
- C. Both positive and negative performance, supported by factual information, shall be documented. The documentation shall clearly explain the circumstances being recorded.
- D. The documentation should reflect feedback provided to the employee.
- E. The documentation shall be retained in the Employee Tracking System or the Post/Region/Unit personnel file until completion of the evaluation and all reviews have been completed. Documentation related to an ongoing investigation may be required to be retained beyond this time.

#### **5.15.11 Interim Reviews**

- A. Evaluating Supervisors should meet with each employee on an ongoing basis to give performance feedback throughout the evaluation period.
- B. Evaluating Supervisors are required to meet with each employee mid-way through the performance evaluation period to conduct an interim review of the employee's work performance.
- C. For employees with satisfactory performance, Evaluating Supervisors should add a performance note in the Employee Tracking System or otherwise document that the meeting occurred.
- D. Mid-Point evaluations (and quarterly evaluations if utilized) MUST be documented using an updated Management Review Form (MRF) only in situations where the evaluating manager identifies a performance deficiency.

1. Evaluating Supervisors are to discuss the review with Reviewing Managers and receive approval prior to meeting with an employee or providing a copy to the employee.
2. The MRF should be submitted through the chain of command to the Human Resources Division for filing in the 201 file, and a copy shall be provided to the employee.

#### **5.15.12 Annual Performance Evaluations**

- A. Performance evaluations are to be conducted in a fair, unbiased, and equitable manner.
- B. Evaluating Supervisors shall be advised by the Human Resources Division of time frames for processing completed performance evaluations each year, and the identity of the Agency Review Official.
- C. Eligible employees hired between February 1 and June 30 of the current evaluation period should be evaluated, providing Evaluating Supervisors have had sufficient time to adequately evaluate the employee's performance. When there has been insufficient time to evaluate performance, Evaluating Supervisors are responsible for preparing a memo through the chain of command to Human Resources, including justification, to address whether or not the employee should be considered for a performance based increase without a performance evaluation.
- D. When employees have transferred to new positions during a performance evaluation period, Evaluating Supervisors as of June 30 are responsible for ensuring performance evaluations are completed and a salary increase eligibility recommendation is made. The former supervisor should provide input and Evaluating Supervisors should take into consideration performance feedback (interim reviews, discussions, etc.) provided by previous supervisors during the rating period.
- E. When completing evaluations for employees who have been promoted or demoted during the performance evaluation period, Evaluating Supervisors shall generally evaluate employees on their performance related to job expectations in the new (current) position. However, input should be provided by the previous supervisor for individuals who worked the majority of the time (more than seven months) in the former position. In some cases the time spent in the former position may necessitate completing the evaluation based on the performance in the former position. Evaluating and/or former supervisors should contact Human Resources for further assistance if needed.
- F. The Evaluating Supervisor for employees detached to other assignments during a performance evaluation period shall be determined as follows:
  1. The supervisor at the permanent assignment should be considered the Evaluating Supervisor for detachments that are less than six months of the performance period.
  2. The supervisor at the unit where the employee is detached should be considered the Evaluating Supervisor for detachments that are more than six months of the performance period

The non-evaluating supervisor shall provide feedback on performance to the Evaluating Supervisor for consideration in completing the performance plan.

- G. Troopers who have recently completed Trooper School shall have a part of their performance evaluation based on performance in school. Upon successful completion of school, newly sworn Troopers shall be considered as "3-Successful Performer" level performance for the period of time assigned to Trooper School. Performance recognition during this period shall be any awards obtained while in school. Evaluating Supervisors shall consider this information in determining the final rating for the evaluation period.
- H. Appropriate corrective action should be taken when employees receive an overall rating of "1-Unsatisfactory Performer" (a rating of 1.00 to 1.99) or "2-Successful Performer – Minus" (a rating of 2.00 to 2.99). Appropriate corrective action includes, but is not limited to, additional training, disciplinary action, or an adverse action. Evaluating Supervisors or other authorized officials shall contact the Human Resources Division for assistance in this area.

### 5.15.13 Evaluation Process

- A. The Evaluating Supervisor will complete his/her evaluation of the employee and submit the evaluation to the Reviewing Manager for approval. Comments should be written to support the ratings within Section 1 (Individual Core Competencies) and Section 2 (Individual Goals).
- B. The Reviewing Manager must either approve/sign or deny the evaluation. All required approvals, as noted below, must be obtained before the Evaluating Supervisor presents the evaluation to the employee. If the evaluation is denied, the Evaluating Supervisor is required to edit and resubmit the document for approval.

Level of Review/Approval	When needed:
Reviewing Manager	All evaluations
Division Director/Commander	Only needed for Overall Ratings above 4.0 or below 3.0
Human Resources Director, or designee	Only needed for Overall Ratings below 3.0

- 1. Reviewing Managers are responsible for reviewing performance evaluations prepared by Evaluating Supervisors to ensure consistency, accuracy and timeliness for all supervisors under their direction.
- 2. Divisions should have a process in place to review performance evaluations to ensure consistency, accuracy and timeliness throughout each Division or Office.
- C. When all required approvals have been received, the Evaluating Supervisor should meet with the employee to discuss the performance evaluation. The evaluation meeting shall include discussion of the employee's performance as it relates to the expectations established at the beginning of the rating period, achievements toward development goals, how ratings were determined, development and career goals for the next rating period, and an indication of when a new plan will be developed.
- D. The identity of the Agency Review Official shall be provided to each employee upon presentation of an evaluation with an overall rating of "1 – Unsatisfactory Performer."

- E. The employee should sign the performance evaluation to indicate that the evaluation, ratings and salary increase eligibility were discussed.
  - 1. The employee's signature does NOT necessarily indicate agreement with a review or evaluation and does NOT waive the right of the employee to request a review of a performance plan or an evaluation with an overall summary rating of "1-Unsatisfactory Performer" (rating of 1.00 to 1.99).
  - 2. Evaluating Supervisors who encounter an employee who refuses to sign the performance evaluation should contact Human Resources for guidance.
- F. Employees may write comments in the employee comment section of the performance evaluation, or submit a written response to the evaluation. The Evaluating Supervisor is responsible for ensuring the response is sent to the Human Resources Director for filing with the evaluation in the 201 file.
- G. The Evaluating Supervisor should make two copies of the signed evaluation (one for the supervisor and one for the employee) and send the original document to Human Resources for filing in the employee's 201 file.

#### **5.15.14 Performance Evaluations for Individuals on Leave of Absence**

- A. If the employee worked any portion of the rating period, Evaluating Supervisors should evaluate the performance of the individual while they were at work. Ratings other than "3-Successful Performer" (a rating of 3.00 to 3.99) must be closely considered by the supervisor and reviewed by those in the chain of command. When the employee returns to work the evaluation will be conducted and the associated (if any) increase in pay will be activated.
- B. Individuals on leave due to military leave of absence will be treated as if they are continuously employed.

#### **5.15.15 Request for Review of Plan or Evaluation**

- A. The Human Resources Director will be responsible for recommending to the Commissioner the Agency Review Official for approval. The Agency Review Official cannot be the first or second level supervisor of employees requesting reviews or involved with developing the employees' performance plan.
- B. Employees may request a review of their performance plan if they consider the expectations to be non-job-related or unachievable, and efforts to resolve the differences through their supervisor are not successful. A written request for review must be made within ten (10) work days of receipt of the plan to the Human Resources Director.
- C. Employees may request a review of their annual performance evaluation if the overall summary rating in "1 – Unsatisfactory Performer" (rating of 1.00 to 1.99) and they disagree with such rating. A written request for review must be made within five (5) work days of receipt of the evaluation to the Human Resources Director.
- D. Employees who receive at least an overall rating of "2-Successful Performer - Minus" (rating of 2.00 to 2.99) or higher on their performance Evaluation cannot request a review of their performance evaluations.



- E. The Agency Review Official shall review performance plans, evaluations, and supporting documentation, and render a decision to either uphold or direct the responsible supervisor to revise the performance plan or rating.
- F. The Agency Review Official shall issue their findings in writing to the employee, Evaluating Supervisor and Reviewing Manager within 15 workdays of receiving the request for review. A copy of the finding shall be submitted to the Director of Human Resources.
- G. If changes are to be made to the performance plan or rating, determinations shall be made on a case-by-case basis regarding the appropriate official to make the changes (i.e., the Evaluating Supervisor, Reviewing Manager) and the appropriate official(s) to approve the modified performance plan or evaluation.
- H. If changes are made to a performance plan or rating, the employee is to be given an opportunity to review the modified performance plan or evaluation.
- I. Decisions made by the Agency Review Official are final. Issues concerning the performance management process are not considered an eligible issue under the Employee Complaint Resolution Procedure or subject to appeal to the State Personnel Board.

#### **5.15.16 Evaluating Supervisor and Reviewing Officials Responsibilities**

- A. Evaluating Supervisors and reviewing officials shall be evaluated on their ability to:
  - 1. Clearly establish and communicate expectations and accountabilities;
  - 2. Monitor and evaluate performance;
  - 3. Provide effective feedback and coaching, and
  - 4. Develop plans and conduct evaluations in a timely manner.
- B. Evaluating Supervisors and Reviewing Managers who fail to carry out the responsibilities outlined in this policy and/or who do not meet the required performance management deadlines shall be subject to disciplinary action and a rating of "1-Unsatisfactory Performer" for the Talent Management core competency on their performance evaluation.