



# RULES OF THE STATE PERSONNEL BOARD

## 478-1-.14 Performance Management

### (1) Introduction:

The state has implemented a performance management program through which agencies set work expectations, conduct interim performance reviews, and annually evaluate and rate the work performed by employees. Performance management can serve as an effective retention tool, and the State's performance management program provides supervisors and employees with the opportunity to align work with agency goals and plans, discuss performance expectations, identify and correct areas for improvement, encourage and recognize strengths, and discuss positive, purposeful approaches for meeting goals. Performance discussions should ideally occur throughout the year, but must occur in conjunction with each of the following: performance planning, mid-year or other interim review, and end-of-year performance evaluation.

### (2) Applicability:

This Rule is applicable to all full-time and part-time regular employees in Executive Branch Agencies except the Board of Regents of the University System of Georgia. Agencies have the discretion to include their hourly and temporary employees in their performance management program.

### (3) Definitions:

For the purposes of this Rule, the following terms and definitions apply in addition to those in Rule 478-1-.02 (Terms and Definitions):

- (a) "Coaching" refers to 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.
- (b) "Competencies" mean observable and measurable behaviors, knowledge, skills, abilities, and other characteristics that are necessary to perform successfully in the position.
- (c) "Goal" means a measurable outcome or result to be achieved as defined in a performance plan.
- (d) "Individual Development Plan" or "IDP" means an action plan that identifies goals, projects, and/or activities which contribute to the employee's continual development in the organization. IDP's should be a collaborative effort between the supervisor and employee.

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- (e) “Job Responsibilities” include job tasks that are necessary for successful performance in the position.
- (f) “Performance Plan” is the document shared with and acknowledged by the employee that identifies the competencies, goals, job responsibilities, and/or expectations upon which an employee will be evaluated. The performance plan should also include unrated employee development activities in an Individual Development Plan.

## **(4) Performance Management Process:**

The performance management process involves four components: performance planning, performance coaching, performance evaluation, and performance recognition.

### (a) Performance Planning:

1. The performance management program requires that supervisors develop a performance plan for each employee upon the employee’s hire into a new job and then annually thereafter. The performance plan identifies performance standards and expectations on which the employee will be evaluated. Supervisors are to present performance plans to their employees within 45 calendar days of an employee being placed in a new job and annually within 45 calendar days of the start of a new performance period.
2. Performance planning is intended to be a collaborative effort between the supervisor and employee. The agency head, or designee, however, has sole discretion to make the final determination of individual competencies, goals, job responsibilities, and expectations to be included in the performance plan.
3. 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. Employees should be immediately notified of any substantive modifications to their performance plan and must be notified within 15 calendar days of the modification.
4. All agencies are encouraged to include Individual Development Plans (IDP’s) in their employees’ performance plans. The focus of the IDP may be development in the current role, the building of new skill sets or knowledge, and/or preparation for a future role.

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## (b) Performance Coaching:

1. The performance management program requires that supervisors monitor their employees' performance and provide coaching throughout the performance period.
2. At least once during the performance period, supervisors are to conduct an interim review of each of their employee's performance. Interim reviews need not be as formal as annual performance evaluations but have the option of including detailed assessments and ratings. At a minimum, interim reviews must offer sufficient feedback to employees to reinforce successful performance and redirect less than successful performance.

## (c) Performance Evaluation:

1. At the conclusion of each annual performance period, supervisors are responsible for documenting, evaluating, and rating the performance of each employee. Supervisors are to assign a summary rating, reflective of the overall level of performance, to each evaluation in compliance with the rating scale currently supported by the State.
2. Performance evaluations are to be conducted in a fair, unbiased, and equitable manner.
3. Employees are encouraged to actively participate in the evaluation process. The agency head, or designee, however, has sole discretion to make the final determination on employees' overall summary performance ratings.

## (d) Performance Recognition:

1. Performance recognition may be monetary or non-monetary and includes any activity designed to acknowledge individual or collective performance results.
2. When monetary performance rewards based on employee overall summary ratings are appropriated statewide, such rewards are implemented as approved by the State Personnel Board.

## **(5) Review of Performance Plans or Evaluations:**

- (a) Employees may request a review of their performance plan if they consider the expectations to be non-job-related or unachievable.

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- (b) Employees may request a review of their annual performance evaluation if the overall summary rating is “Unsatisfactory Performer,” or its equivalent, and they disagree with such rating.
- (c) Each agency shall designate at least one official to serve as an “Agency Review Official” to review performance plans, evaluations, and supporting documentation, and to render a decision to either uphold or direct the responsible supervisor to revise the performance plan or rating.
- (d) The agency may define procedures and timeframes for requesting reviews and require such to be followed as a condition of granting a review.
- (e) The Agency Review Official reviewing a particular plan or evaluation cannot be the first or second level supervisor of the employee requesting the review.
- (f) Agencies are responsible for ensuring their employees are aware of how to request a review of a performance plan or evaluation and any timeframe for doing so.
- (g) The identity of the Agency Review Official shall be provided to each employee upon presentation of an overall summary rating of “Unsatisfactory Performer,” or its equivalent.

## **(6) Recordkeeping:**

- (a) Performance evaluations must be dated and acknowledged by the employee and supervisor. Electronic acknowledgement meets these criteria. Once the employee has acknowledged the document, no changes can be made or comments added to the performance evaluation without the employee’s knowledge.
- (b) Agencies must determine an alternate method of documenting that the evaluation has been discussed with the employee when the employee refuses to acknowledge the performance evaluation.
- (c) Completed performance evaluations are maintained in the Human Resources Information System (HRIS) or as otherwise designated by the agency in accordance with the State’s official retention schedule.
- (d) Overall summary evaluation ratings are to be entered into the HRIS, as communicated to agencies.

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## **(7) Performance Management Program Evaluation:**

The DOAS Commissioner, or designee, shall conduct an annual review and evaluation of the statewide application of the performance management program. Such review and evaluation shall be undertaken with the goal of assuring, to the extent possible, consistency of employee evaluation throughout the State.

## **(8) Coordination with Other Personnel Policies:**

- (a) Overall summary performance ratings are considered when implementing performance based salary increases and Reductions in Force, as appropriate within these Rules.
- (b) Typically, employment actions resulting from an employee's performance, such as promotions or demotions, should be consistent with the most recent annual overall summary performance rating. Significant accomplishments or deficiencies occurring after the most recent annual evaluation could support an exception.

### **Authority:**

O.C.G.A. Secs. 45-20-3, 45-20-3.1, 45-20-4 (duties and functions of the State Personnel Board and Department of Administrative Services related to the Rules of the State Personnel Board), O.C.G.A. Secs. 45-20-1 and 45-20-21 (establishment of performance management program).