

SUBJECT: Performance Management Planning
And Evaluations

EFFECTIVE
DATE: 04-04-11 (replaces 05-28-10)

APPROVED BY:

Executive Director

Reviewed: (no changes): _____

POLICY

It is the policy of McIntosh Trail CSB to ensure that all employees participate in the Performance Management Process. The Performance Management Process will accomplish the following:

- A. Establish two-way communication between supervisors and employees to determine job responsibilities, performance requirements, accomplishments, and deficiencies in meeting job requirements.
- B. Provide supervisors with objective, job-related information on which to base administrative decisions, e.g., salary increases, promotions, discipline, and the determination of the order of reduction in force.

GENERAL PROVISIONS

- A. Each classified, unclassified, and hourly staff person who is eligible to be considered for a salary increase will be provided with an individual written performance plan. This document will serve as the employee's job description. An employee on a temporary appointment, longer than 6 months, is required to have a performance plan. Performance plans for temporary employees are strictly for the purpose of evaluating performance, not granting a salary increase.
- B. If the evaluating supervisor position is vacant, a new supervisor has not been trained in the performance management process, or if a new supervisor has not had sufficient time to evaluate an employee's performance, the reviewing manager will be responsible and accountable for completing the performance plan and/or evaluation for an affected employee.
- C. An evaluating supervisor or reviewing manager who fails to carry out the responsibilities outlined in this policy and/or who does not meet the required performance management deadlines will be subject to disciplinary action.

PROCEDURE

PERFORMANCE PLAN PROCESS

A. General Guidelines

- 1. An employee will receive, from the evaluating supervisor, a performance plan within forty-five (45) calendar days of being placed in a new position (i.e., through appointment, transfer, promotion, demotion). The performance plan must specify the job and individual responsibilities, performance expectations, and terms and conditions of employment which the employee is expected to meet in order to have satisfactorily performed the duties of the position.

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PROCEDURE (Continued)

2. The evaluating supervisor must meet with each employee within forty-five (45) calendar days of a new performance review period to discuss and establish a performance plan for the upcoming evaluation period.
3. If a performance plan is not provided to the employee within forty-five (45) calendar days of the beginning of a new performance review period or being placed in a new position, the employee may file a complaint within fifteen (15) calendar days with the Personnel Manager. The Personnel Manager will initiate such measures as may be necessary to assure that the employee receives a performance plan within fifteen (15) calendar days of receiving an employee's complaint.

B. Performance Plan Procedures

1. The evaluating supervisor will use the Performance Management Form (PMF) when preparing the performance plan. (Attachment #1.)
2. The evaluating supervisor will ensure that responsibilities marked as "critical" are truly critical based on the following definition:

The responsibility is so important that failure to meet expectations for the responsibility will mean an overall rating of "Did Not Meet Expectations" for the Responsibilities section of the PMF (Section 5). Such a rating in turn means that the employee will not be eligible for a performance-based increase for the year.

3. The evaluating supervisor will designate at the beginning of the performance period how expectations will be weighted:
 - a. Expectations are either marked Critical or Not Critical using definition in B.2.
 - OR**
 - b. Use an odd number of responsibilities and standards or expectations. Using even numbered responsibilities can cause a "tie" between met and exceeds, for example. Using odd numbers will make it easier to determine true met or exceeds ratings.
4. The evaluating supervisor will conduct a meeting with the employee to discuss the completed performance plan for the upcoming performance review period. If a meeting is not held due to unusual or extenuating circumstances, such as an extended leave of absence or serious illness, the circumstances must be explained on the performance plan.

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5. The evaluating supervisor and the employee should attempt to arrive at an agreement on the employee's job and individual responsibilities and performance expectations. Minor modifications to the performance plan may be made.
6. Both the evaluating supervisor and the employee should sign Section 2, Performance Plan Signatures, and add any comments on the PMF (see Attachment #1) at the close of the performance plan meeting. If the employee does not sign the plan, the evaluating supervisor must note on the plan that the employee has discussed the plan and that the employee elected not to sign the form.
7. The evaluating supervisor must discuss the proposed performance plan with the reviewing manager and receive approval before the plan is final.
8. An employee's signature on the PMF indicates that a performance plan meeting was held. The employee's signature does not waive the right of the employee to request a review of any job and individual responsibilities and/or performance expectations on the PMF that the employee believes to be arbitrary, capricious, non job-related, or unrealistic.
9. If an employee expresses the belief that the plan is arbitrary, capricious, non job-related or unrealistic, and efforts to resolve the differences are not successful, the evaluating supervisor must inform the employee in writing of the employee's right to request a review and provide the name of the designated reviewing official. The evaluating supervisor should verify the appropriate designated reviewing official with the Personnel Manager prior to providing this information to the employee. (See Attachment #3.)
10. The designated review official panel will consist of members of the Leadership Team.
11. The supervisor will provide the employee with a copy of the performance plan after all signatures are affixed.

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C. Review of Performance Plan

1. If the employee believes that the performance plan is arbitrary, capricious, non job-related or unrealistic, the employee may, within five (5) work days of receipt of the plan submit a written request to the designated reviewing official. (The designated reviewing official cannot be the first or second level supervisor of the employee requesting a review.)
2. The designated reviewing official will review the performance plan and supporting documentation and may meet with the employee and/or evaluating supervisor involved, if deemed appropriate. The designated reviewing official will, within fifteen (15) work days of receipt of the employee's request, issue a written response to either uphold the performance plan or direct the evaluating supervisor to revise the plan.
3. The decision of the designated reviewing official shall be final. Issues concerning the performance management system are not grievable or appealable to the State Personnel Board.

D. Minor modifications to the performance plan may be made at any time during an evaluation review period. Modifications must be made to the plan when significant job and individual responsibilities and/or performance expectations are added or deleted from an employee's duties. Significant modifications may need further review and approval by the reviewing manager. The evaluating supervisor and employee must meet to discuss any modifications of the plan.

E. It is recommended that the evaluating supervisor meet with each employee at least quarterly during the performance review period to conduct an interim review of the employee's work performance and adherence to terms and conditions of employment.

MANAGEMENT REVIEW FORM (MRF)

A. A supervisor is required to complete a review on a classified employee serving a working test period. The review must be completed within ten (10) calendar days of the date the employee has completed one-half of the working test period (usually 6 months) or as near to such date as practicable. NOTE: Only classified employees will actually obtain permanent status. Unclassified employees will complete the same process but will not obtain permanent status.

B. The review is to be completed on the Management Review Form (MRF) in accordance with the instructions on the form. (See Attachment #2.)

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PROCEDURE (Continued)

- C. The intent of the work test management review is to provide the employee an assessment of the quantity and quality of the work performed and adherence to the terms and conditions of employment during the working test period. The evaluating supervisor should include recommendations, if any, for corrective action. The management review does not grant additional rights to a working test employee.
- D. The evaluating supervisor must meet with the employee to discuss the MRF and then sign the MRF at the close of the management review conference. If the employee does not sign the form, the evaluating supervisor should note on the MRF that the employee and supervisor have met to discuss the MRF and that the employee elected not to sign the form. The form is then submitted to the reviewing manager for signature.
- E. After all signatures have been affixed, the supervisor will provide a copy to the employee and retain a copy for their file. The original will be sent to the Human Resources Department.
- F. The MRF may be used, as determined appropriate, to provide a written record of performance review conferences including, but not limited to, the following:
 - 1. Granting permanent status to a classified employee;
 - 2. Providing an unclassified employee with a six month evaluation;
 - 3. Providing periodic performance feedback to an employee; and
 - 4. Evaluating an employee's progress on an attendance or work plan.
- G. A supervisor is not required to complete an MRF to record a performance review conference. Notations of such meetings should be made in the supervisor's file.
- H. The MRF cannot be used to document a salary increase decision on any salaried employee or hourly employee who has been employed longer than three months.

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PERFORMANCE EVALUATION RATING PROCESS

- A. Evaluating supervisors should complete the rating of performance evaluations on all employees eligible for consideration for a salary increase no later than specified deadline. This includes employees who are on paid leave and leave without pay, if they otherwise meet the requirements for consideration of a salary increase. Supervisors may begin evaluating employees as early as mid-June in order to allow sufficient time for processing.
- B. A performance evaluation is not required to be completed if an employee has been in the position for less than two (2) months due to transfer, promotion, or demotion, and the supervisor has not had sufficient time to evaluate an employee's performance. In this case, a salary increase can be recommended or not recommended without the completion of a performance evaluation. The supervisor will indicate the approval of a salary increase for these individuals with a Personnel Request Form and/or MRF.
- D. Under the new performance management process, salary increases cannot be delayed. If a salary increase is not granted, the employee cannot be considered for a salary increase until the next salary consideration date. If the employee is recommended for a salary increase while on leave without pay, the salary increase will be effective on the date the employee returns to pay status.
- E. The employee should contact the evaluating supervisor to determine the status of the evaluation if it has not been presented to the employee by the fifteenth (15th) of the month prior to the salary increase consideration date.
 - 1. If there is no resolution after five (5) calendar days, the employee should discuss the matter with the Personnel Manager.
 - 2. The Personnel Manager will contact the evaluating supervisor and/or the reviewing manager to advise that a performance evaluation must be completed for the employee or disciplinary action will be initiated against the evaluating supervisor and/or the reviewing manager.

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PERFORMANCE EVALUATION PROCEDURES:

- A. Performance evaluations must be completed by the evaluating supervisor using the individual employee's performance plan recorded on the PMF.
- B. The evaluating supervisor will rate the employee's performance on job and individual responsibilities, statewide responsibilities, and performance expectations according to the following scale:
 - Did Not Meet Expectations;
 - Met Expectations; or
 - Exceeded Expectations.
- C. The evaluating supervisor will rate the employee's adherence to the terms and conditions of employment according to the following scale:
 - Did Not Meet Expectations;
 - Needs Improvement; or
 - Met Expectations.
- D. The evaluating supervisor must provide specific written documentation to support all ratings on the PMF. A rating of "Exceeds" requires specific justification.
- E. Employees receiving a rating of Did Not Meet or Needs Improvement on any expectation must have some form of corrective action taken. Appropriate action includes, but is not limited to: adverse action, other disciplinary action, placement on a work plan or an attendance plan.
- F. A rating of "Met Expectations" in Section 5 on the PMF: "Overall Rating for Job & Individual Responsibilities" and a rating of "Needs Improvement" in the "Overall Rating for Terms & Conditions" are the minimum acceptable evaluation ratings that will enable an employee to be considered for a performance-based salary increase.
- G. The evaluating supervisor must meet with the employee to discuss the performance evaluation. If a meeting is not held due to unusual or extenuating circumstances, such as an extended leave of absence or serious illness, the circumstances must be explained on the PMF.
 - 1. The discussion should focus on the job and individual responsibilities, performance expectations, statewide responsibilities, and terms and conditions of employment, outlined in the PMF.
 - 2. Both the evaluating supervisor and the employee should sign Section 8, Performance Evaluation Signatures, at the close of the evaluation meeting. If the employee does not sign the PMF, the evaluating supervisor must note on the form that the employee has discussed the evaluation and that the employee elected not to sign the form.

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3. An employee's signature on the PMF indicates that a performance evaluation review meeting was held. The employee's signature does not waive the right of the employee to request a review of a rating of "Did Not Meet Expectations" in either the "Overall Rating for Job & Individual Responsibilities" section or in the "Overall Rating for Terms & Conditions" section of the PMF.
 4. The evaluating supervisor should inform the employee that the employee may add written comments on the PMF (see Attachment #1) and/or submit additional written comments to the evaluation within (5) work days after receipt of the performance evaluation.
 5. If an employee receives a rating of "Did Not Meet Expectations" on "Overall Rating for Job & Individual Responsibilities" or an "Overall Rating for Terms & Conditions" (see Section 5 on the PMF) and the employee believes that the rating is arbitrary, capricious, or not reflective of the employee's overall performance, the employee may submit a request for review.
 6. The evaluating supervisor should verify the appropriate designated reviewing official with the Personnel Manager and then provide the information to the employee in writing. (See Attachment #4.)
- H. The evaluating supervisor must discuss the proposed evaluation with the reviewing manager and receive approval before the rating is approved. Employees are to be made aware that rating is contingent upon approval.
- I. The evaluating supervisor will provide the employee with a copy of the performance evaluation after all signatures are affixed.

REVIEW OF PERFORMANCE EVALUATIONS

- A. An employee who receives at least a rating of "Met Expectations" in the "Overall Rating for Job & Individual Responsibilities" section and at least a rating of "Needs Improvement" in the "Overall Rating for Terms and Conditions" section of the PMF, cannot request a review of the performance evaluation.
- B. An employee who receives a rating of "Did Not Meet Expectations" in either the "Overall Rating for Job & Individual Responsibilities" section or the "Overall Rating for Terms and Conditions" section of the PMF may

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submit a written request for a review to the designated reviewing official within five (5) work days of receipt of the evaluation.

- C. The designated reviewing official cannot be the first or second level supervisor of the employee requesting a review.
- D. The designated reviewing official will review the performance evaluation and supporting documentation and may meet with the employee and/or the evaluating supervisor, if deemed appropriate. The designated reviewing official will, within fifteen (15) work days of receipt of the employee's request, issue a written response to either uphold the performance evaluation rating or direct the evaluating supervisor to revise the rating.
- E. The decision of the designated reviewing official shall be final. Issues concerning the performance management system are not grievable or appealable to the State Personnel Board.

PERFORMANCE MANAGEMENT SYSTEM EVALUATION

- A. The Leadership Team will conduct an annual review and evaluation of the agencies performance management system to assure, to the extent possible, the consistency of employee evaluations throughout the agency.
- B. The Personnel Manager will send all "exceeds" overall ratings (with documentation) to the Leadership Team for review.

Attachments:

- 1. Form MS10-60, State of Georgia Performance Management Form (PMF)
- 2. Form MS10-61, Management Review Form (MRF)
- 3. Sample Memorandum: Performance Plan Review
- 4. Sample Memorandum: Performance Evaluation Review

Reference: State Personnel Board Rules