

<b>GEORGIA DEPARTMENT OF CORRECTIONS</b> <b>Standard Operating Procedures</b>		
<b>Policy Name:</b> Performance Management		
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**I. Introduction and Summary:**

The Georgia Department of Corrections (GDC) will administer an electronic Performance Management Program (ePerformance) that provides supervisors and employees with the opportunity to do the following: discuss performance expectations, identify and correct areas for improvement, encourage and recognize strengths, and discuss positive, purposeful approaches for meeting goals. The performance management process is a cooperative effort between employees and supervisors. However, individual goals, competencies, or responsibilities included in the performance document and the final determination of performance evaluation ratings will be at the discretion of the Appointing Authority (AA).

**II. Authority:**

A. O.C.G. A.: § 45-20-21;

B. State Personnel Board Rules: 478-1-.12, 478-1-.14;

C. GDC Board Rule: 125-2-1-.08; and

D. ACA Standards: 2-CO-1C-08, 2-CO-1C-13, 2-CO-1C-21, 1-CTA-1C-08, and 4-4064.

**III. Definitions:**

A. **Appointing Authority** - Individual specifically designated by the Commissioner to make decisions that directly affect the status of persons employed by the agency.

B. **Mid-Year Review** - Is a review of an employee's progress from July 1<sup>st</sup> through December 31<sup>st</sup> of the Performance Period. One mid-year review must be completed for each employee during each performance period.

C. **Performance Period** - Timeframe established based on the State's fiscal year beginning July 1<sup>st</sup> and ending June 30<sup>th</sup> of the following calendar year.

D. **Performance Plan** - Specifies the responsibilities and expectations which an employee is expected to meet in order to be considered to have satisfactorily performed the duties of the position.

E. **Overall Rating** - Refers to the summary rating for Statewide Core, Individual Goals, and Job Responsibilities or the summary rating for Terms and Conditions of Employment.

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F. **Reviewing Officials** - Agency representatives designated by the Department to consider employees' requests for review of assigned responsibilities or expectations or on overall "Did Not Meet" performance rating. Such official(s) will not be the first or second level supervisor of any employee requesting review.

**IV. Statement of Policy and Applicable Procedures:**

ePerformance is accessed through PeopleSoft, Employee Self-Service, and Performance Management. Once the performance plan is available on ePerformance, the employee can view, comment, and make changes to the plan. If the employee does not have access to a computer, the employee can sit with their supervisor at the supervisor's computer and make changes together. The employee can also work from a printed/hard copy of the performance document.

A. **Establishing Performance Plans:**

1. Within 45 days of being placed in a new position, a supervisor must present the employee with a Performance Management Plan. The plan must specify the responsibilities and expectations for which the employee is expected to meet in order to be considered to have satisfactorily performed during the rating period.
2. If a performance plan is not provided in a timely manner, the affected employee may file a complaint with their local Human Resources (HR) Department, who will initiate necessary measures to assure that the employee is provided a performance plan.
3. At the beginning of each performance period thereafter, the employee and the employee's supervisor must meet to discuss and establish the performance plan to be followed for the subsequent performance period.
4. Supervisors should seek input from incumbents of the positions when performance standards or expectations are established or modified.
5. A performance plan may be modified at any time during a performance rating period as changes occur. A performance plan must be modified when new or substantially different responsibilities or expectations are assigned to a position.
6. When an employee's performance plan is changed or modified, the employee should be notified within fifteen (15) calendar days of the modifications.

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B. Performance Plan Process:

1. If the supervisor and the employee have disagreements about the performance plan, the employee and the supervisor should try to resolve the concerns through discussion during the performance planning meeting, or if necessary, in follow-up meetings.
2. If the supervisor and the employee cannot reach agreement on their own, both parties should meet with the supervisor's manager to try to resolve the disagreement.
3. If steps one (1) and two (2) of this process are unsuccessful, a formal review process is available to the employee through the designated departmental reviewing official.
4. The identity of the applicable designated departmental reviewing official must be provided to each employee after presentation of a performance plan.
5. Any employee who believes the responsibilities or expectations specified on the employee's performance plan to be arbitrary, capricious, or non-job related may request a review by the designated departmental reviewing official. Attachment 2, Request for Review of Performance Plan or Performance Evaluation must be postmarked or received by the designated departmental reviewing official within **five (5) work days** of the receipt of the performance plan.
6. The designated departmental reviewing official shall not be the employee's first or second level supervisor.
7. The designated departmental reviewing official must, within **fifteen (15) work days** of receipt, review each request and supporting documentation, and may, at the discretion of the designated department reviewing official, meet with the employee and/or supervisor to secure additional information.
8. After considering a request for review of the assignment of responsibilities or expectations, the designated departmental reviewing official must either uphold the assignment or direct the responsible supervisor to revise the assignment or expectations.
9. After making a final determination, the designated departmental reviewing official must notify the employee requesting review via Attachment 3, Reviewing Official

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Response Form, of the decision. The designated departmental reviewing official must forward all paperwork to the employee’s local HR office.

10. The local HR office shall place the originals of all paperwork in the employee’s local HR file and send a copy of all paperwork to Corrections Human Resource Management (CHRM) for placement in the employee’s official HR file.
11. The decision of the designated department reviewing official will be **final** and will not be grievable or appealable to the State Personnel Board.

**C. Rating Scale:**

Evaluating supervisors are to utilize the five (5) point rating scale to rate employee’s performance on Statewide Core Competencies, Goals and/or Responsibilities according to the Department of Administrative Services/Human Resources Administration (DOAS/HRA). A rating, reflective of the overall level of performance, must be assigned using the following scale:

Exceptional Performer	5
Successful Performer – Plus	4
Successful Performer	3
Successful Performer – Minus	2
Unsatisfactory Performer	1
Not Rated	N/A

**D. 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 review must offer sufficient feedback to employees to reinforce successful performance and redirect less than successful performance.

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3. A separate file must be kept for each employee because employee's must have access to their personal productivity file upon request. No employee is allowed to see another employee's file.
4. A supervisor can keep performance notes for each employee in ePerformance. The employee does not have access to the manger's performance notes. Likewise, an employee can keep performance notes throughout the year to document his or her accomplishments and activities. The supervisor does not have access to the employee's performance notes.

**E. Mid-Year Reviews:**

1. Supervisors must meet with each subordinate employee to discuss the employee's performance at least once during each performance period. As part of the review and coaching process, supervisors should discuss the employee's goals, responsibilities and standards, and give feedback on whether the employee is performing satisfactorily to ensure that the goals of the Department are met.
2. When an employee has been supervised by more than one supervisor during the performance period (resulting from promotion/demotion, change in supervisor, or transfer), all supervisors, ideally, should provide oral and/or written feedback to the supervisor who is conducting the mid-year review.
3. The mid-year review requires the acknowledgement of the employee, supervisor, and reviewing manager. If the employee refuses to acknowledge the completed mid-year review, the supervisor shall annotate in the managers' comment section "Employee Refused to Acknowledge." Acknowledgement indicates the rating of his/her performance and any other work behaviors contained in this mid-year review have been discussed with the employee.
4. If maintained, supervisors are responsible for presenting the collection of performance diary entries and other performance documentation for subordinate employees, upon request from superiors or from designated departmental performance review officials, when issues of responsibilities and expectations arise.

**F. Annual Performance Evaluation:**

1. Each employee in the Department will receive one annual review evaluation at the end of the performance period. When an employee experiences a promotion, demotion, or

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job change during the performance period (prior to June 30th), the employee must be evaluated from the most current and applicable Performance Plan detailing the current job assignment.

2. When an employee has been under the supervision of more than one supervisor during the performance period (resulting from a promotion, demotion, change in supervision, or transfer), all supervisors, ideally, should provide feedback to the supervisor who is conducting the annual review.
3. The evaluation must be presented to and discussed with the employee. The employee must be provided the opportunity for written comments or rebuttal to the evaluation in the space provided on the form.
4. The annual review requires the acknowledgement of the employee, supervisor, and reviewing manager. If the employee refuses to acknowledge the completed annual review, the supervisor shall annotate in the managers' comment section "Employee Refused to Acknowledge." Acknowledgement indicates the ratings of his/her performance and any other work behaviors contained in this annual review have been discussed with the employee.
5. Supervisors must complete annual reviews for employees on Leave Without Pay and Military Leave Without Pay. The supervisor may acknowledge (over-ride) the process due to the employee absence. Documentation of reason should be noted in the Overall Summary section of the plan. These annual reviews, once approved by managers, will be reviewed with the employee, upon their return to work.
6. If an employee receives an overall rating of "1 Unsatisfactory Performer," this employee is **ineligible** for a performance-based salary increase. The supervisor must have sufficient documentation in the subordinate employee's management file supporting the overall recommendation of "1 Unsatisfactory Performer."
7. Similarly, if an employee receives an overall rating of "5 Exceptional Performer," the supervisor must have sufficient documentation in the subordinate employee's management file supporting the overall recommendation of "5 Exceptional Performer."
8. If an employee receives an overall summary rating of "1 Unsatisfactory Performer" or "2 Successful Performer-Minus" (for unsatisfactory performance only) the identity of

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the designated departmental reviewing official must be provided, upon presentation of the summary rating using Attachment 1, Notice to Employee Form. The employee may, in writing, within **five (5) work days** of receipt of the evaluation, request a review by the designated Department official by utilizing Attachment 2, Request for Review of Performance Plan or Performance Evaluation Form.

**G. Performance Evaluation Review Process:**

1. Only employees receiving an overall rating of “1 Unsatisfactory Performer” or “2 Successful Performer-Minus,” will be eligible to request a review.
2. The designated reviewing official shall not be the employee’s first or second level supervisor.
3. The designated reviewing official must, within **fifteen (15) work days** of receipt, review each request and supporting documentation, and may, in the discretion of the designated departmental reviewing official, meet with the employee and/or supervisor to secure additional information.
4. After considering a request for review of an overall rating, the designated departmental reviewing official will uphold the rating or direct the responsible supervisor to revise the rating.
5. After making a final determination, the designated departmental reviewing official, must notify the employee of the decision by using Attachment 3, Reviewing Official Response Form. The designated departmental reviewing official then must submit all original paperwork to the employee's local HR Department.
6. If the designated departmental reviewing official recommends a change to an overall rating, the evaluating supervisor will be notified to adjust the change.
7. The decision of the designated departmental reviewing official will be final and is not grievable or appealable to the State Personnel Board.

**H. Individual Development Plan:**

1. Developmental Plans may be used to inspire motivated employees to develop further through training, skills development, or job enlargement. Developmental Plans may

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also be used to structure work and set extra work goals for employees needing improvements in performance.

2. An employee may be given a Developmental Plan when necessary at any point in the designated performance period.
3. A Developmental Plan is mandatory at the start of the new performance year when an employee has received an overall rating of "1 Unsatisfactory Performer" for the preceding performance period.

I. **Senior Executive Pay Plan:**

Employees designated by the Commissioner as being on the Senior Executive Pay Plan will not have their performance managed under this SOP.

V. **Attachments:**

Attachment 1, Notice to Employee;  
 Attachment 2, Request for Review of Performance Plan or Performance Evaluation; and  
 Attachment 3, Reviewing Official Response Form.

VI. **Record Retention of Forms Relevant to this Policy:**

Upon completion Attachments 1, 2, and 3 shall be retained permanently (with the ANNUAL REVIEW) in the employees local and official personnel file.