

GEORGIA PERFORMANCE MANAGEMENT PROCESS GUIDE

Paper Based Process for Managers/Employees without Computer Access

This guide contains step-by-step instructions for managers and employees without computer access to conduct a manual Georgia Performance Management Process.

GEORGIA PERFORMANCE MANAGEMENT PROCESS OVERVIEW

The evaluation of employee performance is documented through the use of a performance management plan. All employees should receive a performance management plan from their manager at the beginning of the performance plan year or within 45 days of hire, transfer, promotion or demotion. Performance management is not just a once-a-year evaluation and planning session. It is a year-around process in which the employee executes on the performance plan and the manager provides ongoing coaching and development. The end of year performance evaluation documentation is the culmination of performance planning, coaching, recognition and interim evaluation sessions held between the employee and supervisory throughout the year.

Managers are to provide final documentation of employee performance evaluations at the end of each performance year by entering performance comments and ratings, based upon available performance data, during the time of review for the annual performance evaluation period. Also part of the employee evaluation documentation process is the annual review meeting conducted by managers. During the annual review meeting, managers provide feedback and discuss ratings regarding the employee's performance for the completed annual performance year. Once this meeting has been conducted, the completed annual performance evaluation becomes part of the employee's documented work history.

To complete the paper based process for the Georgia Performance Management Process, follow the step-by-step instructions as provided below.

PHASE 1: PERFORMANCE PLANNING

Performance management begins with the planning phase. During the planning phase, the manager and the employee work together to develop a performance plan for the new performance year. The performance plan includes performance expectations, which are core competencies, goals and/or job responsibilities. These performance expectations determine **WHAT** is to be accomplished, **HOW** it is to be accomplished, **HOW** and **WHEN** progress is to be measured and the **TIMEFRAME** in which the expectation is to be accomplished. Also, an **Individual Development Plan (IDP)** for the employee is included to help the employee be more successful in their current job or to prepare them for future roles.

Planning Performance

1. On the performance management form, the manager will complete the employee information (name, job title, manager, department name and review period dates) and indicate the performance period (i.e., mid-year or annual).
2. The manager will meet with the employee to discuss the five required Statewide Core Competencies. The manager and the employee will work together to determine what additional competencies will be added (if any), and what goals and job responsibilities apply to the employee. They will also discuss the employee's IDP. *Refer to the 'Competencies' section for additional information.*
3. Under direction from the organization's Human Resources (HR) Department or Agency leadership, the manager will explain the weighting of the sections used in the performance evaluation process.
4. The manager should discuss the 5-point rating scale (shown below) and set performance expectations at the *Successful Performer* level. *Refer to the '5-point Rating Scale' section for additional information.*

Rating	Description
Exceptional Performer (5)	Employee exceeded all performance expectations. Employee was an exceptional contributor to the success of his/her department and the State of Georgia. He/she demonstrated role model behaviors.
Successful Performer – Plus (4)	Employee met all and exceeded most (more than 50%) of the established performance expectations.
Successful Performer (3)	Employee met all performance expectations and may have exceeded some (less than 50%). Employee was a solid contributor to the success of his/her department and the State of Georgia.
Successful Performer – Minus (2)	Employee met most (more than 50%), but failed to meet some (less than 50%) performance expectations. Employee needs to further improve in one or more areas of expected job results or behavioral competencies.
Unsatisfactory Performer (1)	Employee did not meet all or most (more than 50%) of the established performance expectations. Employee needs significant improvement in critical areas of expected job results or behavioral competencies.
<i>Not Rated (N)</i>	<i>New hire or transfer within five months of end of performance period.</i>

5. The manager and the employee will create the employee's IDP. The IDP should consist of activities, projects, classes or seminars that contribute to the development of the employee. Employee input and ideas are crucial in the creation of the IDP. The IDP is not rated, but encouraged for successful employee development.
6. Once the performance plan is complete, the manager will submit the performance plan to his or her manager for review and approval before a final meeting is held with the employee to obtain the employee's signature.

Note: These steps may be modified based upon the Agency's internal performance management policy.

PHASE 2: COACHING & DEVELOPMENT

Coaching and development involves consistent, two-way communication between manager, employee and supervisor. Performance management is an ongoing process. Throughout the performance period, the manager must observe and document employee performance results and behaviors. In addition, the manager needs to provide feedback to the employee, both good and corrective, when appropriate. The manager needs to coach the employee and also remember to provide developmental opportunities for the employee. The manager and employee are both encouraged to keep a performance diary of activities and accomplishments during the performance period.

PHASE 3: PERFORMANCE EVALUATION

The manager will receive a notice from the HR Department when it is time to begin the mid-year or annual review process.

The manager evaluates the employee at the end of the performance period. The performance diary that the manager kept during the year is a useful source of information. It helps the manager remember what happened six months ago in addition to what has happened in the last couple of months. The manager will determine individual ratings for each of the performance expectations that are in the plan: core competencies, goals, and/or job responsibilities. The manager should also review the employee's self-evaluation (described below), as this is another source of information. The employee's input is an effective platform for comparing what the manager has observed and documented was accomplished with the employee's insight.

Performance Evaluation Process Steps

1. The employee completes a self-evaluation.

Employees are strongly encouraged to rate their own performance using a self-evaluation. To do this, the manager will give the employee a paper copy of their performance plan. The employee will use the same 5-point rating scale (shown below) as the manager to evaluate his or her performance.

Rating	Description
Exceptional Performer (5)	Employee exceeded all performance expectations. Employee was an exceptional contributor to the success of his/her department and the State of Georgia. He/she demonstrated role model behaviors.
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Successful Performer (3)	Employee met all performance expectations and may have exceeded some (less than 50%). Employee was a solid contributor to the success of his/her department and the State of Georgia.

Successful Performer - Minus (2)	Employee met most (more than 50%), but failed to meet some (less than 50%) performance expectations. Employee needs to further improve in one or more areas of expected job results or behavioral competencies.
Unsatisfactory Performer (1)	Employee did not meet all or most (more than 50%) of the established performance expectations. Employee needs significant improvement in critical areas of expected job results or behavioral competencies.
<i>Not Rated (N)</i>	<i>New hire or transfer within five months of end of performance period.</i>

The employee should refer to his or her performance diary to help with the evaluation process. The employee will give their completed self-evaluation to their manager and keep a copy for him- or herself. The supervisor and employee may want to meet to discuss accomplishments prior to completing the performance evaluation. *Employee should refer to the '5-point Rating Scale' section for guidance.*

2. The manager completes the performance evaluation.

On the performance management form, each section is completed by the manager as follows:

- **SECTION 1 - Statewide Core Competencies.** Manager enters comments that apply to the overall performance of the employee for the review period, and enters a rating for each individual competency.
- **SECTION 2 - Individual Goals/Competencies.** The manager describes accomplishments and/or improvements needed to improve job performance, and enters a rating for each item in the section.
- Section 3 - Job Responsibilities, manager enters comments regarding the employee's success in completing responsibilities specific to the position and addresses areas for improvements, and enters a rating for each job responsibility.
- Section 4 - Individual Development Plan (IDP), the manager indicates progress the employee has made on activities in the IDP. The IDP is not rated.
- Manager calculates ratings for sections 1 – 3 which will produce an average score for each section. The IDP (Section 4) will not be rated. *Refer to the 'Calculating Ratings' section for additional information.*
- The manager then calculates the employee's overall performance evaluation rating based on the average section scores and the weights for each section. *Refer to the 'Calculating Ratings' section for additional information.*

3. The manager submits the performance evaluation to his/her manager for approval.

4. The manager's manager either approves the document or requires changes and returns it to the manager to make changes.

5. Once the manager's manager approves the evaluation; it is submitted to HR for approval. HR will either approve the performance evaluation or indicate required changes. Changes are made and returned to HR for approval.

6. The manager MUST have HR's approval before conducting the evaluation meeting.

7. The manager conducts the formal performance evaluation meeting.

Once HR approves the evaluation, the manager meets with employee to discuss the employee's performance for the review period as follows:

- Section 1 - Statewide Core Competencies, Section 2 - Individual Goals and Competencies and Section 3 - Job Responsibilities
 - Manager describes the accomplishments or needed improvements of job performance.
- Section 4 - Individual Development Plan (IDP)
 - Manager describes the activities the employee accomplished that contributed to their professional development.

8. The manager obtains employee signature, as required to complete the performance evaluation process. The employee’s signature is not intended to signify that he or she approves of the review, but to signify that a performance review was held.

9. The Manager signs the employee’s performance evaluation and submits it to his/her manager for approval and signature. The manager makes two copies of the signed employee performance evaluation received from their manager; the original is forwarded to the HR Department, one copy is given to the employee and the other copy is kept by the manager.

Note: These steps may be modified based upon the Agency’s internal performance management policy.



Competencies

The table below lists the competencies to be used in performance management process. A competency is the knowledge, skill or ability that contributes to a successful job performance.

There are 18 competencies in all: 5 statewide core competencies which are required for all state employees, 2 leadership competencies which are required for all people managers and other leaders and 11 additional behavioral competencies which can be used as applicable for any state employee.

Statewide Competencies <i>Section I</i>	
Core Competencies <i>(all employees)</i>	Leadership Competencies <i>(people managers & other leaders)</i>
<ul style="list-style-type: none"> ▪ Customer Service ▪ Teamwork and Cooperation ▪ Results Orientation ▪ Accountability ▪ Judgment and Decision Making 	<ul style="list-style-type: none"> ▪ Talent Management ▪ Transformers of Government
Additional Behavioral Competencies <i>Section II</i>	
<ul style="list-style-type: none"> ▪ Communication ▪ Conflict Management ▪ Creativity & Innovation ▪ Cultural Awareness ▪ Flexibility ▪ Initiative ▪ Negotiation and Influence 	<ul style="list-style-type: none"> ▪ Professional Development ▪ Project Management ▪ Teaching Others ▪ Team Leadership ▪ Talent Management ▪ Transformers of Government <p>*HIPAA</p>

*In some jobs, employees may work with personal health information of customers or other employees. For these jobs, the Health Insurance Portability and Accountability Act (HIPAA) may be used in Section 2 to rate employee performance.



5-point Rating Scale

The following table lists the levels of the 5-point rating scale that are to be used to determine employee performance during the evaluation phase of the review period.

While the rating scale is not used until there is a formal review, the employee needs to know up front what his/her performance expectations are in order to be a successful performer as well as to strive to be an exceptional performer.

Rating	Description
Exceptional Performer (5)	Employee exceeded all performance expectations. Employee was an exceptional contributor to the success of his/her department and the State of Georgia. He/she demonstrated role model behaviors.
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<i>Not Rated (N)</i>	<i>New hire or transfer within five months of end of performance period.</i>



How to Write a SMART Goal

Here is an example of how to write a **SMART** goal for an employee.

Scenario: John is a state employee working in the position of Mechanic. In this position, John is responsible for performing engine tune-ups on state-owned vehicles.

Before writing the goal, the **WHAT, HOW, WHEN** and **TIMEFRAME** of the goal must be established as follows:

- WHAT is to be accomplished: Perform on average, 12 engine tune-ups per month
- HOW it is to be accomplished: Follow steps in Technical Manual 001, Engine Tune-ups
- HOW and WHEN progress is to be measured: Quarterly review of vehicle maintenance log
- TIMEFRAME that the WHAT is to be accomplished: Review of progress on 9/30/09

Next, the WHAT, HOW, WHEN and TIMEFRAME are put together. Now a **SMART** goal can be written.

Goal: John will perform 12 engine tune-ups per month on state-owned vehicles following the steps in Technical Manual 001, Engine Tune-ups. John’s progress will be reviewed toward this goal by reviewing the vehicle maintenance log on a quarterly basis, placing a particular emphasis on the review period on 9/30/09.

To determine if the goal is **SMART**, answer these questions:

- Is the goal **Specific**?
 - Yes, it answers WHAT is to be accomplished (on average, perform 12 engine tune-ups per month on state-owned vehicles).
- Is the goal **Measurable**?
 - Yes, it answers HOW and WHEN progress is to be measured (quarterly review of vehicle maintenance log).
- Is the goal **Achievable**?
 - Yes, it answers HOW it is to be accomplished (following the steps in the Technical Manual 001, Engine Tune-ups).
- Is the goal **Relevant**?
 - Yes, it answers the WHAT is to be performed in the position of Mechanic (perform engine tune-ups on state-owned vehicles).
- Is the goal **Time-bound**?
 - Yes, it answers the specific TIMEFRAME for achieving this goal (Review of progress on 9/30/09).



Calculating Ratings

Here is an example of how an employee’s overall rating is calculated manually using the default weights (i.e., 25%, 50% and 25%) for Sections 1 – 3.

Section 1 - Statewide Core Competencies

Employee has been rated as follows on the five mandatory Statewide Core Competencies:

- | | |
|------------------------------|------------------------------------|
| 4 - Customer Service | |
| 2 - Teamwork and Corporation | |
| 3 - Results Orientation | 15 / 5 = 3 or Successful Performer |
| 3 - Accountability | |

$$\begin{array}{r} + 3 - \text{Judgment and Decision Making} \\ 15 \end{array}$$

Step 1 – Add all of the Statewide Core Competencies ratings ($4 + 2 + 3 + 3 + 3 = 15$) and then divide the total (15) by the number of statewide core competencies (5)

Calculation: $15 / 5 = 3$ (Section rating of 3 = Successful Performer)

Step 2 – Multiply the section rating (3) by the default section weight (25%)

Calculation: $3 \times .25 = .75$ (Weighted score for the section is .75)

The weighted score for the section will be used to calculate the employee’s overall ratings.

Section 2 - Individual Goals

Employee has been rated as follows on three Individual Goals/Competencies:

$$\begin{array}{r} 5 - \text{Individual Goal 1} \\ 3 - \text{Individual Goal 2} \\ + 4 - \text{Individual Goal 3} \\ \hline 12 \end{array} \qquad 12 / 3 = 4 \text{ or Successful Performer Plus}$$

Step 1 – Add all of the Individual Goals/Competencies ratings ($5 + 3 + 4 = 12$) and then divide the total (12) by the number of individual goals and competencies (3)

Calculation: $12 / 3 = 4$ (Section rating of 4 = Successful Performer - Plus)

Step 2 – Multiply the section rating (3) by the default section weight (50%)

Calculation: $4 \times .50 = 2$ (The weighted score for the section is 2)

The weighted score for the section will be used to calculate the employee’s overall ratings.

Section 3 – Job Responsibilities

Employee has been rated the following on two Job Responsibilities:

$$\begin{array}{r} 3 - \text{Job Responsibility 1} \\ + 3 - \text{Job Responsibility 2} \\ \hline 6 \end{array} \qquad 6 / 2 = 3 \text{ or Successful Performer}$$

Step 1 – Add all of the Job Responsibilities ratings ($3 + 3 = 6$) and then divide the total (6) by the number of job responsibilities (2)

Calculation: $6 / 2 = 3$ (Section rating of 3 = Successful Performer)

Step 2 – Multiply the section rating (3) by the default section weight (25%)

Calculation: $3 \times .25 = .75$ (The weighted score for the section is .75)

