


<b>Approved by:</b> Juan Williams, Commissioner	<b>Policy Number:</b> 12-064 (Rev. 03/15/2023)
<b>Signature:</b> 	<b>Supersedes:</b> 11-014, 95-028, 91-022, 91-021, 88-022, 87-033, 87-032, 87-026, 87-025, 86-022, 85-036, 85-034, 84-030
<b>Application:</b> Executive Branch Agencies and Employees, Human Resource Officers	<b>Effective Date:</b> October 1, 2013
<b>Authority:</b> T.C.A. § 4-3-1703, T.C.A. § 8-30-104, T.C.A. § 8-30-313	<b>Rule:</b> Chapter 1120-05

## Performance Management Procedures and Processing

The Performance Management Program is a systematic process used to define the standards of performance, expected work outcomes, and competencies for all employees, provide ongoing performance feedback, offer the employee developmental opportunities, and document an objective and fact-based record of the employee's performance. The purpose of the performance management program is to facilitate the creation and nurturing of a performance-based culture where individual employee's performance is aligned with the agency and administration's objectives, and employees are appropriately rewarded for the results they achieve.

Each covered employee shall have an individual performance plan ("IPP") which details the defined performance standards, expected work outcomes and competency. The individual performance plan shall be: **Specific, Measurable, Achievable, Relevant** to the strategic objective of the employee's agency, and **Time sensitive ("SMART")**.

### Performance Management Procedural Steps

The following procedural steps list the requirements of the performance management program for each employee, each cycle:

- (1) **Individual Performance Plan.** An initial discussion between the rater and the employee which details the performance management process and establishes expected performance standards, work outcomes, and competency. The rater must create a new IPP and document the discussion of this plan with the employee at the beginning of each performance management cycle.
- (2) **Interim Reviews.** Required periodic discussions reviewing the employee's performance of stated expectations, work outcomes, competencies (providing constructive performance feedback/coaching) to determine ways in which the employee can enhance performance and, if appropriate, the consequences of "unacceptable" or "needs improvement" performance. These periodic reviews must be recorded in Edison or documented in writing if the employee does not have access to Edison.

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- (3) **Annual Review.** A documented annual review of the employee's performance which provides the employee with an opportunity to add their accomplishments. The annual review will provide the employee with a rating of performance for each work outcome, competency and for overall performance. Each rating must be justified by objective, fact-based statements by the supervisor.

Discussions regarding performance during any procedural step may not occur within thirty (30) days of another procedural step within the same review cycle. This allows the employee time to perform the stated expectations.

### **Performance Management Roles**

**“Rater” Role:** The rater is the person measuring an employee’s performance of the stated performance standards, work outcomes, and competency. Typically, the rater is the employee’s direct supervisor or manager. The rater creates the employee’s IPP, provides feedback, and conducts an annual review discussion with each employee, each review cycle.

**“Reviewer” Role:** The reviewer is the person responsible for ensuring that the performance management process is properly conducted. The reviewer’s input and approval are required at each of the procedural steps prior to a discussion with the employee.

Reviewers shall review each of the procedural steps to determine that:

- (1) IPPs are written at the “meets expectations” level of performance by stating performance standards and expected work outcomes that are specific, measurable, achievable, relevant to the strategic objective of the employee’s agency and time sensitive;
- (2) The review process has been completed as required, to include the initial performance planning discussion, a minimum of two (2) interim reviews, and an annual review of the employee's overall performance with assigned ratings and justifications objectively describing performance; and
- (3) Performance feedback is provided to employees during the interim reviews.

The reviewer is the final approver for annual reviews with ratings of “exceeds expectations,” “meets expectations,” and “needs improvement.”

**Appointing Authority Role:** The appointing authority or designee acting in this role must approve all annual reviews with ratings of “exceptional” or “unacceptable” prior to the discussion with the employee.

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### Periods of Review (Review Cycles)

The standard annual performance review cycle begins on each October 1st and ends September 30<sup>th</sup> of following calendar year. Raters will use this review cycle for all full-time employees, with the exception of those serving a probationary period (this includes employees in a Career Path pursuant to [DOHR Policy 12-023](#)).

The steps included in the review cycle are designed to be completed throughout a twelve (12) month period, with two (2) interim reviews, or as prescribed by the Commissioner. However due to probation periods ending within the standard review cycle, periods of extended leave, or alterations to the employee's performance plan, it may be necessary to have a reduced or short review cycle. A short cycle is defined as a period of at least 120 days but no more than 180 days from the date of the performance plan and includes at least one (1) interim review.

In these instances, the timeframe for completion of the IPP, at least one interim review, and the final review shall be at least one hundred and twenty (120) days from the date of the performance plan with no less than thirty (30) days between each step in the review cycle. This timeframe is designed to allow the employee an opportunity to understand and perform to the stated expectations, receive feedback, and improve performance, if necessary, prior to an annual review.

Employees who complete a probationary performance review period shall transition to the standard annual performance review cycle once the probationary period is complete, even if the transition occurs in the middle of the standard annual performance review cycle. For those employees who complete the probationary period and transition to the standard annual performance review cycle, a valid performance review cycle shall contain all procedural steps with no less than thirty (30) days between each step from the date of the discussion.

An employee who successfully completes a probationary performance review period between October 1<sup>st</sup> and February 28<sup>th</sup> of any year will begin a shortened review cycle that covers the time period from the end of the probationary due date through September 30<sup>th</sup> of that year with two (2) periodic discussions. This will allow the employee to transition to the standard twelve (12) month review cycle beginning October 1<sup>st</sup>.

An employee who completes probation between March 1<sup>st</sup> and May 31<sup>st</sup>, shall begin a shortened review cycle. All required procedural steps with at least one periodic discussion, should be completed by September 30<sup>th</sup>, ensuring there are at least 30 days between each step. An employee who completes probation after May 31<sup>st</sup> may start a new review cycle beginning on October 1<sup>st</sup> of the standard review cycle.

### Forms/Documents

For situations where an employee does not have access to Edison, a paper-based version of this form is available on [www.teamtn.gov](http://www.teamtn.gov). After all signatures are secured, the rater will route the paper version of the annual review to the agency performance management coordinator for entry into Edison. When using a paper-based version of any form, the rater must ensure that the reviewer approves the document prior to discussion with the employee. Paper documents must follow all procedural steps.

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*Tennessee Department of Human Resources*

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### **Records**

The annual performance review and any of the documented procedural steps, shall not be considered public records under Tenn. Code Ann. § 10-7-503, and not open for public inspection.

### **Request for Administrative Review**

An employee may request an administrative review of a completed annual review when the employee believes that one of the procedural steps has been violated. Ratings assigned by the supervisor do not constitute a procedural violation. An employee may file a written request for review along with any appropriate documentation to the agency appointing authority within fourteen (14) calendar days after the date of the annual review. The appointing authority shall respond in writing to the employee within fifteen (15) calendar days.

If the employee is not satisfied with the decision of the appointing authority, the employee may file a written request for administrative review along with any relevant documentation to the Commissioner of the Department of Human Resources ("DOHR") within fourteen (14) calendar days of the appointing authority's decision. The Commissioner will review all written material and shall respond to the employee in writing within fifteen (15) calendar days. The decision of the Commissioner is final and not subject to further review.

Questions regarding this policy may be directed to DOHR's Office of People, Performance and Culture.