

**SOUTH CAROLINA
DEPARTMENT OF HEALTH AND HUMAN SERVICES**

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HR016.00 Employee Performance Management System Policy and Procedures

EFFECTIVE: December 6, 2011

APPLIES TO: All South Carolina Department of Health and Human Services (the Department) Workforce Members

POLICY

It is the policy of the Department of Health and Human Services (the Department) that managers provide meaningful, periodic, written evaluations of employees' work performance. The Employee Performance Management System (EPMS) policy establishes a method of identifying, documenting and managing employee performance. This policy is written in accordance with the South Carolina Code of Laws §8-11-230 (6) and the South Carolina Human Resources Regulation 19-715 which govern the establishment and administration of employee performance evaluation systems for employees in state government. The Employee Performance Management System Policy and Procedures (HR016.00) cancel and supersede the Department's Human Resources Policies and Procedures Employee Performance Management System (4.00) issued October 1999.

PURPOSE

The Employee Performance Management System (EPMS) process is utilized to identify employee performance expectations that align with and support the Department's mission, goals and objectives, and provide documented feedback to employees. Ongoing communication throughout the entire review period between the supervisor and the employee is essential to maintaining consistent performance standards through meaningful feedback. Formal evaluations must occur at least once a year. Effective with

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this policy implementation, the Department will observe a Universal Review Date of February 1st annually.

16.01 Implementation and Training

- A. As of the effective date of this policy, all employees, except for trial and probationary employees will receive a Short Year Review to move the employee's Established Review Date to the Universal Review Date on February 1, 2012. On February 1st, employees will receive a new Planning Document for the upcoming review period.
- B. Although not specifically mentioned in this policy, employees exempt from coverage under the State Employee Grievance Procedure Act, including Temporary Grant and [Executive Compensation](#) employees shall be given annual performance evaluations coincident with the Universal Review Date.
- C. Employees will receive introduction to the Employee Performance Management System through new employee orientation, general information sessions and communication from the Department's Office of Human Resources.

16.02 Components of Performance Management

- A. **Planning Document:** A documented discussion at the beginning of the review period between the supervisor and employee to identify performance expectations for the upcoming review period.
- B. **Coaching and Feedback:** The process of on-going or periodic communication between employees and managers to constructively address work performance adjustments and strategically coach to meet performance goals and expectations during the review period. Consistent communication and feedback helps managers identify where to improve employee performance, identify training needs, sustain motivation and set targets in line with organizational goals.
- C. **Evaluation Document:** The final documented review and appraisal of employee performance in relation to established performance expectations for the review period. Formal evaluations occur at least once a year.

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16.03 Planning Document

- A. Each employee will be administered a Planning Document at the beginning of each performance evaluation period. This form serves a dual purpose since it is a combined [Position Description Document and Planning Document](#).
- B. The Position Description should clearly define the overall job requirements and major objectives for the position. Job Function statements should account for time spent on job-related tasks and should equal 100%.
- C. The supervisor is the authorized representative charged with an assigned employee's supervision and performance management.
- D. The supervisor should utilize employee input to determine performance expectations for the Planning Document.
- E. The supervisor will discuss the Planning Document requirements with the reviewer prior to administering to the employee.
- F. The Planning Document should establish the employee's annual performance goals through the use of Job Functions and Objectives.
 - 1. **Job Functions** – Provide a description of the major components or duties of a job. Each Job Function comprises of a job duty and its Success Criteria. Job Functions must be weighted from 60% up to 100% of the overall performance rating.
 - a. The supervisory Job Function is mandatory for supervisors and must be weighted 10%. All supervisors will be rated on the Job Function: “Performs fundamental supervisory functions in accordance with Equal Employment Opportunity Commission (EEOC) standards.”
 - b. The supervisory Job Function will include the Success Criteria: “Demonstrates sound supervisory personnel actions through efforts to promote equal opportunity, including but not limited to, the timely and meaningful administration of Planning Documents, Constructive Feedback and Evaluation Documents for all assigned employees.”

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2. **Objectives** – Objectives are optional and should be included when the employee is assigned a special, non-recurring project or assignment that is not included in the position’s Job Functions. Objectives must be weighted from 0% up to 40% of the overall performance rating.
- G. Each Job Function and Objective must include Success Criteria. Success Criteria identifies the level of performance the supervisor expects an employee to attain in order to meet or exceed performance expectations. Performance goals should be linked to the mission and goals of the work unit and the Department.
- H. Behavioral characteristics may be incorporated into Success Criteria of Job Functions and Objectives.
- I. Performance expectations must be finalized, communicated with the employee and documented on the Planning Document.
- J. All Planning Documents should be submitted to the Department’s Office of Human Resources within one (1) month of the beginning of an employee’s review period. The beginning of a review period may include the date of hire, promotion, demotion or reclassification of an employee.
- K. The signed Planning Document form shall be used to complete the employee’s final evaluation and may be used during the on-going coaching and feedback sessions during the annual review period.

16.04 Levels of Performance

- A. There shall be three levels of performance to rate each Job Function and Objective to contribute to the overall performance rating. The three levels of performance are as follows:
 1. **EXCEPTIONAL** – Work that surpasses the Success Criteria of the Job Function or Objective.
 2. **SUCCESSFUL** – Work that meets the Success Criteria of the Job Function or Objective. Equivalent to the “meets” performance rating referenced in the State Employee Grievance Procedure Act.

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3. **UNSUCCESSFUL** – Work that fails to meet the Success Criteria of the Job Function or Objective.
- B. All Planning Documents must incorporate the weighted evaluation system. In order to reduce subjectivity in the evaluation, a numerical value will be assigned to each level of performance.

LEVELS OF PERFORMANCE		
PERFORMANCE LEVEL	POINT VALUES*	OVERALL RANGE FOR FINAL SCORE
Exceptional	3	2.5 to 3.0
Successful	2	1.5 to 2.49
Unsuccessful	1	1.49 & below

*Point Values must be expressed as whole numbers only.

- C. When completing an employee’s Planning Document, the supervisor will determine the importance and time required for each Job Function and Objective (if applicable) by assigning a percentage or weight to each.
- The percentage of importance for all Job Functions (60% to 100%) and Objectives (0% to 40% if applicable) must total 100%.
 - Each rating is multiplied by the percentage of importance assigned to the task.
 - All sums are added together and divided by 100 to reach a final numerical rating. The Department’s Office of Human Resources suggests that figures be rounded up (i.e. 2.45 rounds to 2.5).

EXAMPLE OF WEIGHTED SCORING				
Performance	Level of Performance	Point Value*	Weight	Rating
Job Function 1	Exceptional	3	30%	3 x .30 = .90
Job Function 2	Successful	2	20%	2 x .20 = .40
Job Function 3	Exceptional	3	20%	3 x .20 = .60
Job Function 4	Successful	2	10%	2 x .10 = .20
Objective 1	Successful	2	10%	2 x .10 = .20
Objective 2	Successful	2	5%	2 x .05 = .10
Objective 3	Successful	2	5%	2 x .05 = .10
TOTAL	Exceptional		100%	Overall 2.50

*Point Values must be expressed as whole numbers only.

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16.05 Ongoing Performance Management

- A. It is important that supervisors continually provide performance feedback to employees throughout the review period.
- B. The 360° Feedback Tool for managers is a mandatory supplement to the Department's evaluation process. This developmental tool will be utilized to give employees, peers and other managers an opportunity to provide constructive feedback for improved managerial performance and better accountability.
- C. The goal of this tool is for managers to utilize this feedback to gain a better understanding of their professional strengths and areas for improvement.
- D. All managers will receive feedback from the 360° tool during the evaluation period.
- E. Feedback forms will be completed online and will be anonymous. The questions will cover a broad range of leadership-based competencies which will be measured on a rating scale and provide supervisors with the opportunity to present constructive comments.
- F. The manager receiving feedback will also complete a self-assessment during the 360° feedback process.
- G. The 360° feedback tool is not to be used for retaliatory or punitive employment actions.
- H. The Work Development Plan form is an optional on-going communication tool to assist supervisors in providing more frequent reviews and consistent, meaningful feedback to probationary and covered FTE employees to advise them of how they are performing in their job.
- I. The Work Development Plan is a supplement to the Planning Document but must not be used in place of the Evaluation Document.

16.06 Evaluation Document

- A. All employees of the Department, except trial and probationary employees shall be given a performance review on or before the Department's Universal Review date February 1st of each calendar year.

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- B. All employees shall be given an annual Evaluation Document no more than ninety (90) calendar days prior to the employee's annual performance review date. The annual performance review date marks the beginning of a new performance period.
- C. If an employee does not receive an Evaluation Document prior to the annual performance review date, the employee shall receive a "Successful" rating by default.
- D. All performance evaluations shall be completed in writing by the supervisor who has direct experience and knowledge of the work being performed.
- E. The Evaluation Document will be reviewed by the next higher level supervisor (the reviewer), unless the supervisor is the Department Director. In instances where the reviewer is the Department Director, a designee may review and sign the final EPMS Evaluation document.
- F. In instances where the supervisor and employee cannot agree upon the contents of the Evaluation Document, the supervisor's decision shall be final.
- G. The final Evaluation Document must bear the signature of the supervisor, the reviewer and the employee. If any party refuses to sign the evaluation, a notation shall be made on the performance Evaluation Document and a witness shall sign to acknowledge that the party refused to sign the Evaluation Document.
- H. After all signatures are obtained on the final Evaluation Document, the signed document and a copy of the new Planning Document for the next review period must be submitted to the Department's Office of Human Resources.
- I. The original copy of the employee's performance Evaluation Document is considered official documentation of the EPMS and will be placed in the employee's official personnel file.
- J. Whenever an employee's job responsibilities change significantly, the Position Description & Planning Document form must be revised to reflect that change.

16.07 Establishing and Maintaining Review Dates

- A. An employee whose performance review date is advanced due to leave with or

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- without pay for more than 30 consecutive workdays in accordance with the State Human Resources Regulations may receive a Short-Year Planning Document and Review. This will be done to bring the employee back to the Universal Review Date of February 1st.
- B. An [Abbreviated Performance Review form](#) will be used to evaluate employee performance review periods that occur within three (3) months (November, December and January) of the Universal Review Date, and will be attached to the employee's most recent EPMS review document. If any Job Functions and/or Objectives have changed since the employee's most recent performance review, these changes must be indicated on the attachment to the Abbreviated Performance Review form and finalized with a complete Evaluation Document.
- C. A covered employee who is reassigned to a position in the same classification and agency or transfers to a position in the same classification from another agency within six months or less of his review date will have the performance review date advanced six months from the date of the transfer or reassignment.

16.08 Probationary Period

- A. Each new employee shall be rated prior to the completion of a twelve (12) month probationary period. The probationary performance review date marks the beginning of a new review period. At this time the employee will be given a Short-Year Planning Document and will receive a Short-Year Review by the next February 1st date and February 1st each year thereafter.
- B. If an employee does not receive a performance Evaluation Document prior to the probationary performance review date, the employee will receive a "Successful" rating by default and obtain covered status as a State employee and permanent status in the job classification. The probationary period may not be extended under any circumstances.
- C. A probationary employee who receives a promotion, demotion, reclassification, transfer or is reassigned to a position in a different classification is given a new

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original appointment and the probationary period begins again from the date of the action.

- D. If an employee is not performing satisfactorily during the probationary period, the employee must be terminated before becoming a covered employee. Until an employee has completed the probationary period, the employee has no grievance rights under the State Employee Grievance Procedure Act. A supervisor is not required to follow the "Substandard Performance Process" to terminate a probationary employee for poor performance.

16.09 Trial Period

- A. Each covered employee who has been demoted, promoted, reclassified, or reassigned to a position in a different class shall have a performance evaluation prior to the completion of a six (6) month trial period in the new position. The trial performance review date marks the beginning of a new performance period. At this time the employee will be given a Short-Year Planning Document and will receive a Short-Year Review by the next February 1st date, and their review date will be February 1st each year thereafter.
- B. If an employee does not receive a performance Evaluation Document prior to the six (6) month trial performance review date, the employee will receive a "Successful" rating by default and obtain permanent status in the new classification.
- C. Once an employee has completed a successful trial period and obtained permanent status in a classification, the employee retains permanent status in the classification throughout the employee's continuous service.
- D. The six (6) month trial period may be extended up to ninety (90) calendar days upon written notice to the employee and the Department's Office of Human Resources prior to the end of the six (6) month trial period. The employee's performance review date shall be advanced for the time period such extension is in effect. An [Extension of Trial Period](#) form should be used to document the extension.

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- E. The "Substandard Performance Process" is not required to demote or downward reclassify a trial employee to the same class or a classification having an equal or higher pay band than the classification from which promoted. If the demotion or reclassification occurs prior to the end of the trial or extended trial period, the employee in trial status may not grieve such demotion.
- F. The trial employee may not be terminated or demoted to a classification in a lower pay band than that from which promoted for performance reasons without following the "Substandard Performance Process".

16.10 Substandard Performance Process

- A. A supervisor will issue a [Warning Notice of Substandard Performance](#) prior to issuing an "Unsuccessful" rating to a covered employee. A covered employee is entitled to adequate notice of substandard performance and the opportunity to improve the substandard performance before receiving an "Unsuccessful" rating and being removed from the position.
- B. If during the review period an employee's overall performance is considered "Unsuccessful", the supervisor must provide the employee with a written Warning Notice of Substandard Performance (Warning Notice).
- C. The following Warning Notice procedures shall be followed:
 - 1. The supervisor shall provide the employee with a written official Warning Notice.
 - 2. The Warning Notice shall provide for an improvement period of no less than thirty (30) days and no more than one hundred twenty (120) days.
 - 3. The Warning Notice may be issued at any time during the review period. Ordinarily, the warning period may not extend beyond the employee's review date; however, if the Warning Notice is issued less than thirty (30) days before the employee's review date, the review date would advance one (1) day for each day the Warning Notice is in effect, up to ninety (90) days.

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4. Should the performance Evaluation Document date advance and the employee receives a "Successful" or above rating on all essential Job Functions or Objectives which significantly impact performance as noted in the Warning Notice, the employee may require a Short-Year Planning Document and Short-Year Review in order to bring the employee back to the Universal Review Date.
5. The supervisor and employee should participate in drafting a Work Improvement Plan. The Work Improvement Plan should include a list of ways to improve the deficiencies and other appropriate performance related recommendations. In those instances where the supervisor and employee cannot agree upon the content of the Work Improvement Plan, the supervisor's decision shall be final.
6. During the warning period, the employee and the supervisor will have regularly scheduled meetings during which they will discuss the employee's progress.
7. These meetings shall be documented in writing and copies shall be given to the employee and placed in the employee's official personnel file.
8. If the employee's performance is rated "Successful" or above on all essential Job Functions and Objectives which significantly impact performance as noted in the Warning Notice by the end of the warning period, the employee's employment in that position will continue.
9. If the employee is rated "Unsuccessful," on any essential job junction or objective which significantly impacts performance as noted in the Warning Notice by the end of the warning period, the employee shall be removed from the position immediately (i.e., terminated, reassigned, demoted).
10. The employee shall receive a written Evaluation Document prior to the end of the warning period or the employee will receive a "Successful" rating by default.

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11. If an employee has been issued two Warning Notices within a 365-day period and performance drops to a substandard level on any essential Job Function or Objective which significantly impacts performance for a third time within a 365 day period, the employee shall be removed from the position upon the third recurrence of such substandard performance and will be issued the "Unsuccessful" Evaluation Document. A Warning Notice is not required on the third occurrence.
- B. The preparation of the Warning Notice must comply with the following requirements:
1. Include all documentation to support a supervisor's request to initiate the substandard performance process for an employee and must be submitted to Human Resources in a complete and timely manner.
 2. Be prepared on the official Warning Notice of Substandard Performance form. A witness must verify that it has been administered if the employee refuses to sign. The witness should be in the employee's chain of command.
 3. The Warning Notice must list Job Functions and/or Objectives included on the employee's Planning Document that are considered "Unsuccessful", with an explanation of the deficiencies for each Job Function and/or Objective. It must also list ways of improving the noted deficiencies.
 4. The Warning Notice must include the time period for improvement and the consequences if no improvement is noted (i.e., terminated, demotion, reassignment).
 5. The Warning Notice must include a plan for regularly scheduled meetings to discuss employee progress during the warning period. A copy of the notice shall be given to the employee and placed in the employee's official personnel file.

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16.11 Definitions

- A. Covered Employee – An employee in an FTE position who has completed the probationary period and has a “Successful” or higher overall rating on the employee’s performance evaluation and who has grievance rights. This definition does not include employees in positions such as temporary, temporary grant or time-limited employees who do not have grievance rights.
- B. Universal Review Date – The date a new annual performance Evaluation Document period begins. February 1st will be the Universal Review Date for the Department, except for probationary and trial employees.
- C. On-going Feedback – Consistent and meaningful communication with employees to manage behavior and performance in order to assist them in meeting performance expectations and objectives.
- D. Planning Document – Completed on the PD/EPMS form, it is the documented discussion at the beginning of an employee’s review period which identifies and clarifies the performance expectations for the upcoming review period.
- E. Probationary Period – An initial working test period of 12 months of an employee in an FTE position with the State. An employee who receives an “Unsuccessful” performance evaluation during the probationary period must be terminated before becoming a covered employee.
- F. Reviewer – The individual who reviews written Evaluation Documents to ensure that they are objective, accurate and supported by facts. Typically the reviewer is the next level supervisor.
- G. Review Period – The period of time over which the performance of the employee is assessed in a performance Evaluation Document. That review period is typically one Universal Review Date to the next (February 1st through February 1st), except in cases of probationary and trial employees.
- H. Short-Year Planning Document – The PD/EPMS form that an employee receives at the beginning of any review period starting any date other than the Universal Review Date, identifying and clarifying performance expectations of the

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- upcoming review period, which will end on the Universal Review Date of February 1.
- I. Short-Year Review – The final performance Evaluation Document on the PD/EPMS form based on expectations laid out in the Short-Year Planning Document, to be completed on or before the Universal Review Date of February 1st.
 - J. Success Criteria – The set standards by which an employee’s performance will be evaluated, expressed as outcome-based, measurable goals or objectives.
 - K. Trial Period – The initial working test period of six months required of a covered employee upon movement to any classification in which the employee has not held permanent status.
 - L. Warning Notice – Prior to issuing an “Unsuccessful” rating to a covered employee, a supervisor must issue a Warning Notice of Substandard Performance.
 - M. Work Development Plan – An optional on-going communication tool to assist supervisors in providing more frequent reviews and consistent, meaningful feedback to probationary and covered FTE employees to advise them of how they are performing in their job.