

EMPLOYEE EVALUATION HANDBOOK



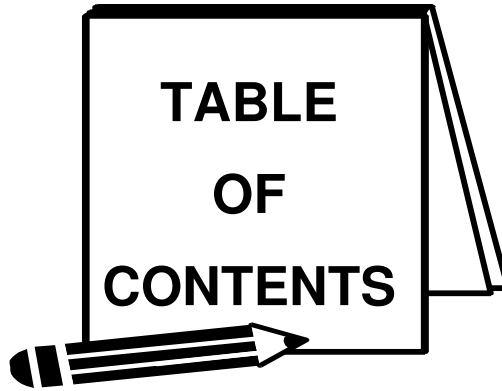
An Equal Opportunity Employer

**THE KENTUCKY EMPLOYEE
PERFORMANCE EVALUATION SYSTEM
HANDBOOK**

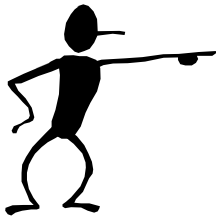


Personnel Cabinet
Governmental Services Center
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ATTENTION: State Employees

This handbook has been developed to provide you, the most valuable member of the state's work team, with information about the employee performance evaluation system effective January 2001.

The performance evaluation system was developed to improve communication about work between employee and supervisor. When used properly, the system will accomplish this goal. It is important for you to participate in your own career development and advancement. You can do this by willingly taking part in the evaluation process. Please complete the following activities:

- Meet with your supervisor at the start of each performance period to discuss your performance plan for the year. In this way, you may become more aware of job duties and expectations.
- Meet with your supervisor at both interim reviews required throughout the performance year to obtain coaching and feedback from your supervisor about your performance. These meetings will also provide you the opportunity to discuss any concerns or problems you may have.
- Meet with your supervisor at the end of the annual performance period to discuss your performance evaluation.

Employees who receive one of the two highest possible **overall** ratings shall receive a reward in the form of annual leave. Employees who receive the lowest possible **overall** rating shall be demoted or terminated. Employees who disagree with their evaluation may appeal.

On the following pages, you will find more specific details relating to the new employee evaluation system. Please read this information carefully to familiarize you with the new performance evaluation law, process, and procedures. If you need further assistance, you may contact your agency liaison (*see page 29*) or the Performance Management Branch in the Personnel Cabinet. **An employee acknowledgement form has been included as the last page of this handbook. This form must be completed, signed, and returned to your supervisor. Your supervisor must also sign the form and place it in your agency personnel file.** Thanks for your cooperation and assistance in helping to make the employee performance evaluation system a tool that benefits employees, supervisors and citizens of the Commonwealth of Kentucky.

EMPLOYEE EVALUATION SYSTEM



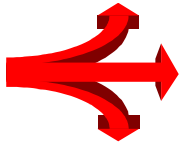
HOW THE SYSTEM WAS DEVELOPED

In February of 1997, the Personnel Cabinet and the Personnel Pilot Project Steering Committee worked together to determine the best employee performance evaluation practices for Kentucky State Government. The goal was to make recommendations to be considered in preparing legislation regarding a new evaluation system during the 1998 General Assembly. A performance review committee was established consisting of representatives from state agencies. The committee was charged with studying pilot evaluation systems, evaluation systems from other states and employee input. Collectively, the committee represented over 250 years of Personnel experience. The study consisted of 56 committee meeting hours and an undetermined number of hours of independent study by each committee member. Performance evaluation pilot projects from five cabinets were closely reviewed and discussed with agency pilot project coordinators. Additionally, eleven state systems were included in the study. Twenty percent of all active full-time and part-time employees were surveyed. Thirty-eight percent of the employees surveyed responded. The results of the survey reinforced the need to improve the evaluation system and identified areas needing improvement. As an overall result of the committee's study, recommendations were developed and employee evaluation legislation was proposed during the 1998 General Assembly. Unfortunately, the legislation did not pass in the session.

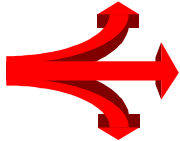
During the 2000 General Assembly, the Personnel Cabinet, realizing the pressing need to improve the state's evaluation system, again proposed legislation to repeal the old system and establish a new one that in statute maintained basic provisions and the flexibility to make needed improvements through administrative regulation. The proposed legislation included most of the recommendations made by the Performance Review Committee of 1997.

The General Assembly in the 2000 session enacted into law the current employee evaluation system. The Personnel Cabinet, utilizing input from state government agencies, formulated related administrative regulations to cover the details of the system. Today the Employee Performance Evaluation System, being an act of the 2000 Kentucky General Assembly, is more than a personnel policy your agency may choose to use; **it is the law**. You may read the law as enacted under KRS 18A.110, Section 1, Subsection 1(i) and 7(j) and 101 KAR 2:180.

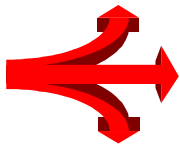
WHY DO PERFORMANCE EVALUATIONS?



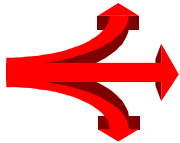
Performance evaluation is a universally recognized management tool.



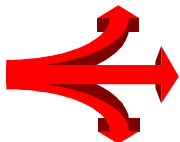
Performance evaluation improves communication with employees by involving them in the evaluation process.



Performance evaluation provides a written record to support personnel decisions such as salary advancements, promotions and demotions.



Performance evaluation provides a way for managers and supervisors to help **achieve** agency missions, goals and objectives.

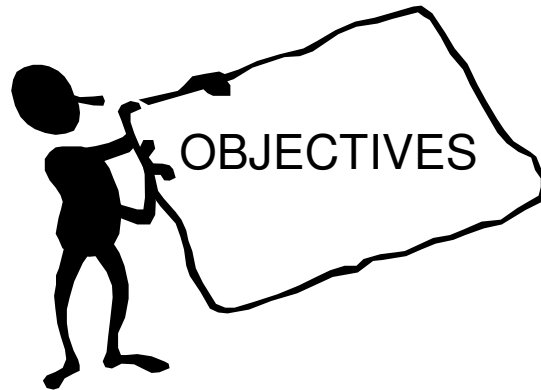


Performance evaluation helps employees know clearly **what their job duties are** and what their supervisors *expect* from them.



Performance evaluations let managers and supervisors see how **productive** their employees are in carrying out their job duties and **it is the law** (See *KRS 18A.110, Section 1, Subsection 1(i) and 7(j)*). Also, see *101 KAR 2:180*).

PERFORMANCE EVALUATION SYSTEM



In developing the performance evaluation system, thought was first given to what state government wanted from the system. Objectives were identified after a review of the old system and employee/supervisor input. The objectives provide a sense of direction or a road map for what needs to be accomplished and a feeling of satisfaction when they are achieved. Following is a list of objectives identified as important in the evaluation system for Kentucky State Government.

1. Fairness and acceptability to employees.

The basic structure of the system was developed by a group of employees. Employee awareness and buy-in to the evaluation process is viewed as critical to system success. All employees must receive information/orientation to the system.

2. Improved communication between supervisor and employee.

Performance planning between the supervisor and employee regarding job duties and performance expectations is required in the evaluation system. This planning will foster greater understanding of what is expected of employees in the performance of their jobs. Such understanding may help employees gauge their own work progress, develop self-confidence, and improve overall job performance.

3. Mandatory coaching and feedback by the supervisor prior to the annual evaluation.

Two interim reviews are required during the annual performance period. At each of these reviews, the supervisor must inform the employee of his/her work strengths and areas needing improvement. The interim review meetings provide the opportunity for employees to discuss problems and concerns prior to the annual evaluation.

4. Consistency and uniformity throughout state agencies.

All state agencies must use the same evaluation form. All employees are evaluated and rated on individual performance based upon job related factors.

5. Improved productivity, enhanced quality, continuous improvement and employee development.

When used properly, the system helps employees more clearly understand their job duties and expectations. A good understanding of the required performance along with effective coaching and feedback can translate into improved productivity, enhanced quality, continuous improvement and employee development.

6. Tangible reward to employees.

Annual leave shall be rewarded to employees who receive either of the two (2) highest overall ratings. This allows agencies/supervisors to reward job success above normal expectations and provides an incentive for weak performers to improve.

7. Required supervisor training on the performance evaluation system.

All supervisors must complete training on the evaluation system prior to completing evaluations on eligible employees. This will help to ensure that evaluations are completed properly and used in a positive rather than a negative manner.

8. Provides a permanent record of performance.

The annual evaluation form and supporting documentation shall be a permanent record of performance that shall be included in the employee's agency personnel file. This record shall be considered in determining salary advancements, promotions and disciplinary actions. Many agencies review evaluations to assist in making hiring decisions involving employees who want to transfer to their agency.



BENEFITS OF THE EVALUATION SYSTEM

***FOR THE SUPERVISOR, THIS SYSTEM WILL ACCOMPLISH
THE FOLLOWING:***

- ✓ **focus on the objectives of the unit**
- ✓ **define employee performance expectations**
- ✓ **counsel and advise the employee**
- ✓ **make objective personnel decisions**

THE SYSTEM WILL HELP EMPLOYEES:

- ✓ **understand the priorities and expectations of the supervisor**
- ✓ **participate in their own career advancement**
- ✓ **understand their work strengths and weaknesses**

**THE SYSTEM WILL BENEFIT THE COMMONWEALTH
THROUGH THE FOLLOWING:**

- ✓ **development of more highly motivated employees**
- ✓ **stimulation of enhanced productivity and service to the public**
- ✓ **maintenance of a more equitable personnel system**

KRS 18A. 110 AS RELATES TO THE EMPLOYEE PERFORMANCE EVALUATION SYSTEM



Necessity and Function: KRS 18A. 110 requires the Secretary of the Personnel Cabinet to promulgate comprehensive administrative regulations for classified service employees, to provide for uniform standards and methods of evaluating work performance of all employees, and for the use of such methods of evaluation in personnel actions involving discretionary salary advancements, promotions, disciplinary actions and for the development and operation of programs to improve work effectiveness of employees. The statute as relates to the Employee Performance Evaluation System reads as follows:

Section 1. Subsection (1)

(i) Employee evaluations.

Section 1. Subsection (7)

(j) For a uniform system of annual employee evaluation for classified employees, with status, that shall be considered in determining eligibility for discretionary salary advancements, promotions, and disciplinary actions. The administrative regulations shall:

- 1. Require the secretary to determine the appropriate number of job categories to be evaluated and a method for rating each category;**
- 2. Provide for periodic informal reviews during the evaluation period which shall be documented on the evaluation form and pertinent comments by either the employee or supervisor may be included;**
- 3. Establish a procedure for internal dispute resolution with respect to the final evaluation rating;**
- 4. Permit a classified employee, with status, who receives either of the two (2) lowest possible evaluation ratings to appeal to the Personnel Board for review after exhausting the internal dispute resolution procedure. The final evaluation shall not include supervisor comments on ratings other than the lowest two (2) ratings;**

5. ***Require that an employee who receives the highest possible rating shall receive the equivalent of two (2) workdays, not to exceed sixteen (16) hours, credited to his or her annual leave balance. An employee who receives the second highest possible rating shall receive the equivalent of one (1) workday, not to exceed eight (8) hours, credited to his or her annual leave balance; and***
6. ***Require that an employee who receives the lowest possible evaluation rating shall either be demoted to a position commensurate with the employee's skills and abilities or be terminated; and***

KRS 18A. 095 has been amended in regards to the employee performance evaluation system to read as follows:

Section 2. Subsection (16)

An evaluation may be appealed to the board if an employee has complied with the review procedure established in subsection (7)(j) of Section 1 of this Act.

**RELATED ADMINISTRATIVE REGULATIONS COVERING THE
DETAILS OF THE SYSTEM ARE CONTAINED IN 101 KAR 2:180. TO
REVIEW THESE REGULATIONS YOU MAY VISIT THE PERSONNEL
CABINET'S WEBSITE AT
<http://personnel.ky.gov/>**



OVERVIEW OF THE EVALUATION SYSTEM

Eligible Employees

Performance Evaluations shall be completed for all full time classified employees who:

- a) hold status as of January 1 of the performance year, and
- b) remain in continuous merit status throughout the performance year.

(Note: Employees who do not meet the eligibility requirements as stated above shall not be evaluated using this system.)

The Evaluator

The first line supervisor of an employee at the time the evaluation is due shall be the evaluator provided he/she has supervised the employee ninety (90) calendar days during the performance year.

If the first line supervisor does not qualify, the next line supervisor who meets the ninety (90) day requirements becomes the evaluator.

If an evaluator has supervised an employee for at least ninety (90) days within the evaluation year but then ceases to be the employee's supervisor before the annual evaluation occurs, he/she must forward the evaluation form and all documentation to the employee's new or next line supervisor.

If an employee transfers to a new job, his/her evaluator shall forward the evaluation form, including interim meeting documentation, to the employee's personnel file. This is necessary in order for the new evaluator to evaluate the employee on his/her performance for the entire performance year.

If an employee changes jobs and reports to a different supervisor after October 1 of the performance year, the annual evaluation shall be completed by the former supervisor and forwarded to the employee's personnel file.

◆ **Start of the Evaluation Period / Planning Meeting**

“The evaluator shall establish a performance plan for each eligible employee no later than thirty (30) calendar days after the start of the performance period.”

The evaluator completes the personnel data on the evaluation form;

The evaluator, with input from the employee, shall complete a performance plan for the employee which consist of job duties, expectations and assigned points within each performance category; the assigned points are used to weight the importance of each job duty and will be used when determining the total points received in each category.

The evaluator and employee review the expectations, identified for a “Good” job, developed by the agency and/or evaluator for each job duty on which the employee will be evaluated;

The next line supervisor reviews the performance plan to determine that job duties and expectations are reasonable, equitable considering duties of other employees in the same classification and consistent with the mission and goals of the department, division and section.

◆ **Interim Review Meetings**

Interim reviews between the evaluator and employee are required every four months during the performance year for all eligible employees.

The evaluator meets with the employee to discuss work progress to date. All categories of performance should be reviewed and discussed whether good, above or below expectations. Pertinent comments by the evaluator shall be included in the interim meeting documentation section of the form. (Employee comments may be attached.) In areas needing improvement, the evaluator should make suggestions for improvement and/or develop an employee improvement plan.

The evaluator and employee sign and date the appropriate spaces in the Interim Meeting Documentation section of the evaluation form. All signatures shall be in RED ink unless signed electronically.

Documentation of interim reviews should be used to help determine and support final ratings at the annual evaluation.

The first interim review meeting shall take place in **APRIL** and the second interim review meeting shall take place in **AUGUST** of the performance year. In cases where completing an interim review conflicts with an agency/unit's peak workload season, the agency may choose to conduct a review during a month other than April or August. The Personnel Cabinet will grant agency exceptions on a case by case basis.

◆ **Annual Performance Evaluation Meeting**

The evaluator determines the employee's performance rating for the full year within each category using the two interim reviews as supportive documentation to help determine the ratings;

The evaluator determines the employee's **overall** performance rating for the year. The **overall** performance rating is determined by the following calculations:

- A rating of 1-5, with 5 representing superior performance, is determined for each job duty within each performance category;
- Multiply the rating by the points assigned to each job duty to determine total points for each job duty;
- Add total points for each job duty to determine total points in each category;
- Add total points for each category to obtain a **final** performance score;
- The **final** performance score determines the **overall** performance rating as follows:

<i>Outstanding</i>	<i>450 to 500 points</i>
<i>Highly Effective</i>	<i>350 to 449 points</i>
<i>Good</i>	<i>250 to 349 points</i>
<i>Needs Improvement</i>	<i>150 to 249 points</i>
<i>Unacceptable</i>	<i>less than 150 points</i>

The evaluator discusses the annual performance evaluation with the employee.

The employee completes the employee response section;

If necessary, the evaluator and employee follow reconsideration procedures (Internal Appeal) as detailed in **101 KAR 2:180**.

The next line supervisor reviews the completed evaluation to assist in evaluating and managing the performance of the evaluator;

The evaluator completes the personnel data on a new performance evaluation form and reviews job duties, expectations and assigned points with the employee, making necessary revisions for the **next** annual evaluation period;

(Note: The evaluator may choose to conduct another meeting to prepare for the next evaluation period. This meeting should occur no later than thirty (30) days after the start of the performance period.)

The next line supervisor reviews the job duties, expectations and assigned points determined by the evaluator.

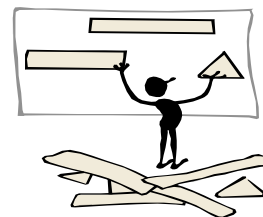
Completion of Annual Performance Evaluation

All evaluations must be completed within thirty (30) days after the end of the annual performance period (no later than January 30th). Once the annual performance evaluation is completed, the evaluator shall:

- Provide the employee with a copy of the completed evaluation form and copies of appropriate documentation.
- Retain a copy of the completed evaluation form and documentation.
- Submit the evaluation form to the agency's central personnel office to be filed in the employee's personnel file.

In the event that an eligible employee does not receive an annual evaluation by January 30th, the employee may submit a written request to the appointing authority for compliance with this regulation and/or appeal to the Personnel Board.

PERFORMANCE PLANNING JOB DUTIES / EXPECTATIONS



The annual performance evaluation of each employee shall be based on his/her job performance within four (4) performance categories. Performance shall be measured in the following categories:

1. Job Tasks
2. Adaptability/Initiative
3. Communication/Teamwork
4. Self-Management

The evaluator shall develop the performance plan for each category with input from the employee.

1. JOB TASKS

- (a) The Job Tasks category shall identify specific duties and expectations of that position. The employee's position description (PD) shall be reviewed to help determine job duties.
- (b) Both job duties and expectations shall be written by the employing agency and/or evaluator. Each job duty/expectation under this category shall be assigned points weighted as to importance by the evaluator. This category shall have a minimum of fifty (50) assigned points.
- (c) Supervision shall be listed under the Job Tasks category on all supervisors' performance evaluations and shall include expectations for following performance evaluation procedures.

An agency that utilizes employees within the same job classification, who are responsible for similar job duties/expectations within the same district, facility and/or office, may wish to develop a standardized description of both job duties and expectations for all employees within the class. Position Descriptions for all employees within the same classification should be reviewed to determine if a standardized job description would be most appropriate. This will assist the agency in developing job duties and expectations that are reasonable, equitable and consistent with the mission and goals of the department, division and section.

Please note: Agencies may choose to develop standardized requirements for the remaining three categories.

2. Adaptability/Initiative

- (a) The Adaptability/Initiative category shall identify requirements of the employing agency. This category may include, but is not limited to the following: showing initiative, ability to work under pressure, willingness to try new ways and suggest better ways to do business.
- (b) Each requirement /expectation under this category shall be written and assigned points weighted as to importance by the evaluator. A minimum of five (5) points shall be designated to this category.

3. Communication/Teamwork

- (a) The Communication/Teamwork category shall identify requirements of the employing agency. This category may include, but is not limited to the following: expresses ideas clearly, follows instructions or asks for clarification, shows respect and is courteous, shows concern for customers, cooperates with co-workers, as a team member works well with group and helps get the job done.
- (b) Each requirement/expectation under this category shall be written and assigned points weighted as to importance by evaluator. A minimum of five (5) points shall be designated to this category.

4. Self- Management

- (a) The Self-Management category shall identify requirements of the employing agency. This category relates to workplace standards that shall include attendance, punctuality, career development, responsibility and dependability.
- (b) Each requirement/expectation under this category shall be written and assigned points weighted as to importance by the evaluator. A minimum of five (5) points shall be designated to this category.

HOW TO COMPLETE THE PERFORMANCE EVALUATION FORM



The hard copy evaluation form is two pages front and back, which the evaluator shall use in completing the employee's performance evaluation. In completing the form, use a typewriter (with black ribbon) or print using a pen (with blue or black ink.) All signatures must be in RED ink unless signed electronically. (At this time State Government does not utilize electronic signatures in regards to the Employee Performance Evaluation System.)

When using the e-form or word versions of the form which complete the calculations, it will be necessary, after completion of the Performance Plan meeting to print out pages one and two of the evaluation form to obtain required signatures of employee, evaluator and next line supervisor. The evaluator shall retain these pages until the time of the annual performance evaluation. The third page will need to be printed out after the completion of each Interim Review meeting to obtain required signatures of the evaluator and employee. These versions of the evaluation form require that **all** calculations on page 2 be **transferred to the original evaluation form which contains the employee's and supervisor's signatures/dates**. All ratings and math calculations for each duty/responsibility must be placed in Section I of the evaluation form. The rating calculations on page 1 of the Performance Plan and the continuation page can be printed and submitted as the original as there are no original signatures required on this page.

STAGE I – JANUARY – PERFORMANCE PLAN MEETING

STEP 1.

At the beginning of the performance planning stage, list all Employee Data on page 1 of the evaluation form.

EMPLOYEE DATA

ON THE FORM

(Retrieve the basic information to answer 1-7 from the employee's P-1.)

- Employee Name: Use the name as listed in the official personnel files.
- Social Security Number.
- Classification: Use the official work title as assigned by the Personnel Cabinet. Abbreviate if necessary.
- Title Code: Use the official four digit title code as assigned by the Personnel Cabinet.
- Cabinet/Department/Division: Indicate the appropriate names. If General Government, indicate as such and the name of the department or division.
- Branch/Section/Unit: Indicate the appropriate names.
- Position Number: Use the 16-digit number assigned to the employee's position as designated by the Uniform Personnel and Payroll System (UPPS).

- Review Period: Indicate the year the performance period starts and ends for the employee. (Since all employees are evaluated for the same review period, the months are already indicated on the form.)
- Evaluator: Indicate the name of the first line supervisor completing the evaluation.
- Next line supervisor: Indicate the name of the next line supervisor who will be signing off on the performance plan and the annual evaluation meetings.
- Interim Meeting Schedule: 1st Interim Meeting –
Indicate date of first interim meeting after it is completed.
- 2nd Interim Meeting –
Indicate date of second interim meeting after it is completed.

(We recommend that these dates be placed on page one of the evaluation form after the interim review meetings are completed; however, if you wish to schedule the dates prior to having the meetings, you may place the scheduled dates in the area at the time of the Performance Plan meeting. If the meeting dates change, please correct dates on page one of the evaluation form at the time of the interim review meetings.)

STEP 2.

MISSION STATEMENT

ON THE FORM

Evaluator may wish to indicate the mission of the agency on page 1 of the form.

STEP 3.

PERFORMANCE PLANNING

The Performance Plan shall consist of job duties, expectations and assigned points within each performance category.

- The job duties and expectations on the evaluation form shall be completed at the beginning of the evaluation period. (by January 30 of the performance period)
- Each duty and expectation shall be completed in sufficient detail to convey to the employee the specific performance requirements of his/her job.
- When describing the employee's job duties and expectations, the employee's position description (PD) shall be used as a guide.
- The resulting job duties and expectations shall be used for evaluation purposes only.

ON THE FORM

List the job duties of the employee on pages 1 and 2 (Performance Planning Section) of the evaluation form.

- In the *JOB TASKS* category, start with the main job duty of the employee and end with the least. (This information can be determined by reviewing the Position Description already formulated. The duties may be copied directly from the PD unless the duties are

too generic. In that case, more specific duties must be included. Agencies may develop standardized descriptions of job duties and expectations for all employees within the same classification who are responsible for similar job duties /expectations. Please ask your agency evaluation liaison if any such standards have been determined within your agency that may be applicable for your employees. (Please refer to <http://personnel.ky.gov/info/empeval/liaison.htm> for a list of agency evaluation liaisons.)

- The evaluator and/or appointing authority of your agency will determine the job requirements for both the *ADAPTABILITY / INITIATIVE* and *COMMUNICATION / TEAMWORK* categories.
- Under the category of *SELF-MANAGEMENT*, the areas for which the employee is to be evaluated have already been determined and listed on the form.

List the expectations determined for carrying out the job duties on pages 1 and 2 (Performance Planning Section) of the evaluation form.

- The evaluator determines what the expected results of each duty shall be in order for the employee to do a “Good” job and list these results under the Expectations area of the evaluation form. The evaluator should write SMART expectations.
- If the employee supervises others, the evaluator shall indicate the expectation of following the proper evaluation procedures in the area indicated on the bottom portion of the first page of the evaluation form.

The evaluator shall determine and distribute a total of 100 points between the job duties in all four categories on pages 1 and 2 (Performance Planning Section) of the evaluation form.

- The evaluator has the flexibility to distribute these points among the hour categories provided that:
 1. A minimum of fifty (50) points be assigned to the Job Tasks category.
 2. A minimum of five (5) points be assigned to each of the other three (3) categories.

Note: The duties may be copied directly from the PD if they are specific enough; however, even though you may use the percentages included in the PD as a guide to determine assigned points, the numbers will change as the total points for all four categories must equal 100.

If necessary, the performance plan shall be revised at any point during the performance period provided that changes are:

- Included on the evaluation form.
- Consistent with the PD.
- Initialed and dated (in RED) by both the evaluator and employee.

If the evaluator and employee disagree regarding the contents of the performance plan, the next line supervisor shall resolve the dispute.

The evaluator, next line supervisor and the employee shall sign and date the form in the spaces indicated on page 2 (Performance Planning Section) of the evaluation form.

- Signatures of the evaluator and employee certify they have met and discussed the duties and expectations of the job for the performance period.

- If the employee refuses to sign page 2 (Performance Planning Section) of the evaluation form, the evaluator will certify in the area appropriated for the employee's signature that the employee refused to sign the form. The evaluator signs and dates the evaluation form.
- The next line supervisor shall sign and date this section of the form to certify that he/she has reviewed the job duties and expectations and find them to be reasonable, equitable and consistent with the mission and goals of the department, division and section.
- These signatures must be in RED ink unless signed electronically.

If using the on-line or Word version of the evaluation form, print out pages 1 and 2 (making sure the employee's name and SS# are on top of the page) of the form at the start of the performance period to obtain required signatures of the employee, evaluator and next line supervisor. All evaluators should have a separate file for each employee. These pages of the form can be kept in the employee's file until the end of the evaluation period. A copy of pages 1 and 2 including the performance plan meeting documentation shall be given to the employee.

STAGE 2 – APRIL – FIRST INTERIM REVIEWS

STAGE 3 – AUGUST – SECOND INTERIM REVIEW

The evaluator shall be required to perform two (2) interim reviews on an employee during a performance period.

- All interim reviews shall be scheduled during the months of April (1st Interim Review) and August (2nd Interim Review) of each performance year.
- Exceptions to this policy may be requested in writing by the agency and shall be subject to the approval of the Secretary of Personnel.
- The interim reviews shall be used to document performance that supports the annual performance rating.
- All categories shall be reviewed and discussed. Supervisor (evaluator) should make at least one comment for each performance category.
- All pertinent comments by evaluator regarding employee's work performance shall be documented in this area. (Employee comments may be attached.)
- A Performance Improvement Plan may be developed at any time during the performance period for performance that is below expectations. ***Please note: This is not a legal requirement of the evaluation system. This is only used as a supervisory management tool.***

STEP 1.

All pertinent comments by the evaluator regarding employee's work performance shall be documented on page 3 (Interim Review Section) of the evaluation form. (Employee comments may be attached.)

- All comments both good and bad concerning the employee's performance shall be listed for all performance categories.

- You may use a Performance Improvement Plan if the employee's work performance is as such that the evaluator feels a written improvement plan is necessary.

STEP 2.

Place the dates the Interim Reviews occurred on page 1 (Employee Data – Performance Planning Section) in the spaces indicated.

STEP 3.

The evaluator and employee shall sign and date page 3 (Interim Meeting Section) of the evaluation form certifying the review meetings occurred.

- These signatures must be in RED ink unless signed electronically.
- If the employee refuses to sign page 3 (Interim Meeting Section) of the evaluation form, the evaluator will certify in the area designed for the employee's signature that the employee refused to sign the form. The evaluator signs and dates the evaluation form.

If using the on-line or Word version of the evaluation form, print page 3 (making sure the employee's name and SS# are on top of page) after both the First and Second Interim Review meetings to obtain the required signatures of the evaluator and employee. Or, the evaluator may wish to print page 3 at the time of the First Interim Review meeting and complete by hand. The supervisor will then complete the Second Interim Review meeting documentation by hand on the bottom portion of page 3 at the completion of that meeting. This will allow all documentation and signatures to be on one page. These pages are kept in the employee's file, maintained by the evaluator, until the end of the performance evaluation. A copy of the Interim Review documentation is given to the employee at the completion of each meeting.

Even though the evaluation form does not allow for comments to be made regarding employee's work performance for the months of September-December, pertinent comments may be attached to the evaluation form regarding the employee's work performance for this period of time. If comments are attached they should be signed and dated in red ink by both employee and evaluator.

STAGE IV – JANUARY of the following performance period – ANNUAL PERFORMANCE EVALUATION

SPECIAL NOTE: If the evaluation is completed prior to the end of the performance period, it cannot be changed unless the employee requests reconsideration. For this reason, all supervisors are encouraged to complete annual evaluations during January following the performance period.

ON THE FORM

STEP 1.

The evaluator shall indicate in pages 1 and 2 (Performance Planning Section) of the evaluation form the appropriate numerical rating (1 – 5) determined for each job duty in each category.

- The evaluator must review documentation from both Interim Review meetings to determine final ratings.

- The evaluator shall indicate the determined rating, in this section, by placing an X under the appropriate numerical rating (1 – 5) determined for each job duty in each category.
- The evaluator shall multiply the points assigned to each job duty by the numerical rating to obtain the total points for each job duty.
- Place total points across from each duty/expectation.

STEP 2.

The total points for each job duty shall be added to obtain total points for each category.

- Place total points of all job duties at the bottom of each category on pages 1 and 2 (Performance Planning Section) of the evaluation form.

Steps 3 through 9 will be completed on Page 4 (Performance Evaluation Section) of the evaluation form. Place the employee's name and SS# on the top of page.

STEP 3.

Place total performance score for each category in Section III, Subsection A.

- Add total score for all categories and document total Performance Score in Section III, Subsection A.

STEP 4.

Check the appropriate box in Section III, Subsection B (Overall Performance Evaluation) to indicate the overall performance rating determined by the total performance score.

STEP 5. (Subsection C. Comments)

The evaluator shall only provide comments if the employee receives a less than “Good” overall rating.

- **No** comments are to be provided in this section of the evaluation form if the employee receives an overall rating of “Good” or above. (Any comments documented under these conditions **must** be removed from the evaluation form.)

STEP 6. (Subsection D. Employee Response)

If the employee agrees with the evaluation, he/she shall check the appropriate box and may provide comments in this section.

If the employee disagrees but accepts the evaluation, he/she shall check the appropriate box and shall note in this section the reason(s) for disagreement.

If the employee disagrees with any aspect of the evaluation and request reconsideration, he/she shall check in the appropriate box and state the disagreement in this section. The employee has five (5) working days from the date of the evaluation to request reconsideration. (Additional sheets may be attached if necessary.)

STEP 7.

The employee shall sign and date the evaluation form on page 4 in Section III, Subsection D. The signature must be in Red ink unless signed electronically.

- The employee's signature does not indicate agreement with the evaluation. However, if the employee fails to indicate their response to the annual evaluation and signs the form, it will be assumed that they agreed with the overall annual evaluation received.
- The response choices provided allow the employee to note he/she has reviewed the evaluation and either "Agrees", "Disagrees but Accepts" or "Disagrees and Request Reconsideration".
- If the employee **refuses to sign**, the evaluation will **not** be eligible for reconsideration.
- All signatures must be in Red ink unless signed electronically.

Signatures of both the evaluator and the next line supervisor shall be required on the final evaluation in Section III, Subsection D of the form.

- After the evaluator and employee have signed and dated the form, the next line supervisor shall sign and date the form certifying that he/she is aware of the evaluation and has reviewed it to assist in evaluating and managing the performance of the evaluator.
- Exception to this requirement may be requested by the appointing authority and shall be subject to the approval of the Secretary of Personnel.
- All signatures must be in Red ink unless signed electronically.

Special Note: Once the final evaluation has been signed by both the employee and the evaluator, the next line supervisor **cannot** change the rating unless the employee requests reconsideration of the next line supervisor.

STEP 8. (**Subsection E. Reconsideration**)

If the employee disagrees with any part of the evaluation:

- He/she shall check the appropriate box, in subsection D "Employee Response", to request initial reconsideration by the evaluator within five (5) working days from receiving the evaluation.
- After initial reconsideration, the evaluator shall check the appropriate box under "Results of Initial Reconsideration" in this section, to indicate "No Change on Evaluation" or "Change on Evaluation". The evaluator must respond to the initial reconsideration within five (5) working days from receiving the request from the employee.
- If a change is made on the evaluation, the changes shall be whited out, initialed and dated by both the evaluator and employee.
- The evaluator and employee shall sign the form in this section indicating that initial reconsideration has been completed.
- These signatures must be in RED ink unless signed electronically.

STEP 9.

If the employee disagrees with the initial reconsideration:

- He/she may request further reconsideration by the next line supervisor by checking the appropriate box in this subsection of the form. The employee must request reconsideration from the next line supervisor within five (5) working days from receiving the initial reconsideration.
- After further reconsideration, the next line supervisor shall indicate in the appropriate box, under “Results of Final Reconsideration” in this subsection of the form, “No change on Evaluation” or “Change on Evaluation”.
- The next line supervisor shall sign the evaluation form in the designated area in this subsection and provide both the evaluator and the employee with a written response describing the results of the final reconsideration within fifteen (15) workdays after receipt of the employee’s request.
- If a change is made on the evaluation, the changes shall be whited out, initialed and dated by both the evaluator and employee.
- These signatures must be in RED ink unless signed electronically.

STEP 10. (Subsection F. Results of Reconsideration)

If an employee has received a less than “Good” overall rating and has exhausted the internal appeal (reconsideration) process, an employee may appeal in writing to the Personnel Board within sixty (60) days of Final Reconsideration.

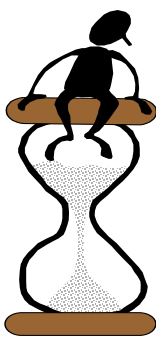
- Employees may request an appeal form from the Personnel Board.

FILING THE PERFORMANCE EVALUATION FORM

Once the annual performance evaluation is completed:

- The evaluator shall provide the employee with a copy of the completed evaluation form and copies of the appropriate documentation.
- The evaluator shall retain a copy on the completed evaluation form and documentation.
- The evaluation form will then be submitted to the agency’s central personnel office and filed in the employee’s personnel file.





RECONSIDERATION PROCESS/ PERSONNEL BOARD APPEAL

Employees may appeal any aspect of their evaluation through the internal reconsideration process. Employees may appeal **overall** ratings of “Needs Improvement” and/ or “Unacceptable” to the Personnel Board. An employee must follow and exhaust all the steps, in the internal reconsideration process outlined in this section, before appealing an evaluation to the Personnel Board.

Step 1. Initial Reconsideration

Within five (5) employee working days of a performance evaluation, an employee may request initial reconsideration of the performance evaluation by the evaluator. **The request is made by checking the third box in the employee response section of the form.** The evaluator shall respond in writing to the request for reconsideration within five (5) working days of receiving the request. The response is indicated on the form in Section III, Subsection E under Results of Initial Reconsideration. If the employee refuses to sign the form in the Employee Response section, the evaluation will not be eligible for reconsideration. The evaluator shall indicate in the Employee Response Section that the employee refused to sign the evaluation form. The evaluator will initial and date this section. All signatures must be in RED ink unless signed electronically.

Step 2. Reconsideration from Next Line Supervisor

Within five (5) employee working days after the initial reconsideration by the evaluator, an employee may submit a **written request** for further reconsideration of the evaluation to the next line supervisor. **This request is completed by checking the appropriate box in Section III, Subsection E under Results of Initial Reconsideration.** The next line supervisor shall either obtain statements from both the employee and the evaluator; or meet individually with the employee and the evaluator. The next line supervisor shall inform both the evaluator and employee in writing of the decision no later than fifteen (15) working days after receipt of the employee’s request. The next line supervisor must also check the appropriate box in Section III, Subsection E under Results of Final Reconsideration.

In the event that neither the evaluator nor the next line supervisor respond to the request for reconsideration in the designated time period, the employee may submit a written request to the appointing authority for compliance with this regulation.

RECONSIDERATION ENDS WITH THE APPOINTING AUTHORITY.

Step 3. Appeal to the Personnel Board

Within sixty (60) days after an employee has received the written decision from the next line supervisor, the employee may appeal to the Personnel Board. The employee may appeal to the Personnel Board **only a Final evaluation** which has an **overall** rating in either of the **two (2) lowest overall ratings** after **all steps** in the internal appeal (reconsideration) process have been exhausted.

If an employee receives an overall rating of unacceptable, the agency shall:

- 1) *Demote the employee to a position commensurate with his/her skills and abilities, or*
- 2) *Terminate the employee.*

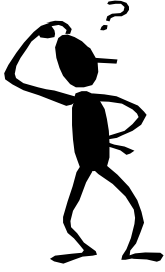
Filing the Evaluation Form

Once the annual performance evaluation is completed:

- The evaluator shall provide the employee with a copy of the completed evaluation form and copies of appropriate documentation.
- The evaluator shall retain a copy of the completed evaluation form and documentation.
- The evaluation form will then be submitted to the agency's central personnel office and filed in the employee's personnel file.

(NOTE: The evaluator shall place the completed and signed employee acknowledgement form in the employee's agency personnel file after the annual evaluation is completed. This form shall serve as documentation that the employee received orientation on the evaluation system.)





QUESTIONS AND ANSWERS RELATED TO THE EMPLOYEE PERFORMANCE EVALUATION SYSTEM



Q. Why have an employee performance evaluation system?

- A.
- 1) *To improve communication between employees and management.*
 - 2) *To improve productivity and the quality of service to the public.*
 - 3) *To clarify employees duties and responsibilities.*
 - 4) *To identify training needs.*

Q. Who will be eligible through this system?

- A. Performance Evaluations shall be completed for all full time classified employees with status at the beginning of the performance year who have remained in continuous merit status throughout the performance year.

Q. Will eligible employees receive additional money as a result of this system?

- A. *No money is tied to this evaluation system. Instead employees who receive either of the two (2) highest possible **overall** ratings in the system shall receive a reward in the form of annual leave. Such leave shall be credited to the employee's leave balance as follows:*

- 1) *An employee who receives a rating of "Outstanding" shall receive the equivalent of two (2) workdays, not to exceed sixteen (16) hours.*
- 2) *An employee who receives a rating of "Highly Effective" shall receive the equivalent of one (1) workday, not to exceed eight (8) hours.*

Q. Will employees on initial probation be evaluated through this system?

- A. *No, employees on initial probation are not eligible to be evaluated through this system.*

Q. Will an employee's performance evaluation be used in determining salary advancements, promotions and demotions?

- A. *Yes, an employee's performance evaluation will be one factor considered in determining eligibility for salary advancements, promotions and demotions.*

Q. Why is every employee being rated at the same time?

- A. 1) *To give supervisors the opportunity to evaluate all employees within a reasonably short period of time and learn of any consistent needs or problems throughout his or her area of responsibility.*
- 2) *With all employees being evaluated at the same time the supervisor should evaluate all employees more fairly and consistently.*

Q. What role will the Personnel Cabinet have in regard to the evaluation system?

- A. 1) *The Personnel Cabinet will monitor the operation of this program statewide.*
- 2) *It will have overall responsibility for the systems implementation and administration.*

Q. Will non-merit employees be evaluated?

- A. *No, non-merit employees are not eligible to be evaluated through this system.*

Q. Can a supervisor who is on probation evaluate employees?

- A. *Yes, if he/she has supervised the employee for at least 90 calendar days.*

Q. What happens to an employee who receives a rating of “Unacceptable”?

- A. *He/she must be demoted to a position commensurate with his/her skills and abilities or terminated.*

Note: “Disciplinary action may be taken at any time as provided for in 101 KAR 1:345.

Q. What happens when an employee refuses to sign his/her evaluation form after the evaluation?

- A. *The employee will not be allowed to appeal any disagreement with the evaluation. In this case, the evaluator should document in the employee response section of the evaluation form that the employee refused to sign. This should be indicated in the space for the employee’s signature and then initialed and dated by the evaluator. If possible a witness should be present.*

Q. May an employee request reconsideration on his/her evaluation based on a disagreement over a performance score in one category?

A. Yes, an employee may request reconsideration as he/she may appeal any part of his/her evaluation through this internal appeal.

Q. May an employee appeal to the Personnel Board his/her evaluation based on a disagreement over a performance score in one category?

*A. No, an employee may only appeal an evaluation to the Personnel Board when he/she receives either of the two lowest **overall** ratings. Such an appeal cannot be made to the board unless the employee first exhaust the internal reconsideration appeal.*

Q. During the reconsideration process, when the next line supervisor changes a rating in a particular job category, how is this indicated on the form?

A. The next line supervisor should mark out the first score and/or rating given and indicate the new one in the appropriate space. The next line supervisor must place his/her initials over any changes on the form.

Q. When the employee and evaluator agree on a rating and sign off on it, can any other line supervisor change a particular rating?

A. No.

Q. If an employee who works in a field office requests reconsideration of his/her evaluation, does the agency give him/her leave time to travel to Frankfort for the meeting with the evaluator.

A. Yes, an employee who has requested reconsideration should not be charged leave time in the event he/she has to travel to another location outside the local area to meet with the evaluator.

Q. Will employees on leave or who are on suspension be evaluated?

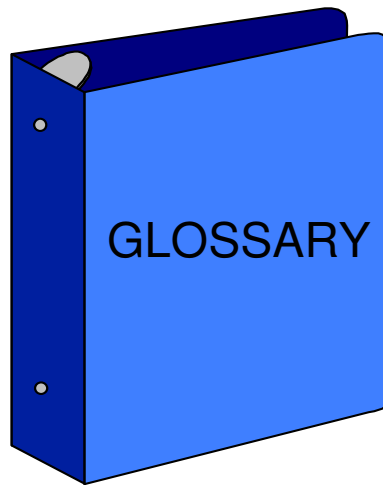
A. Eligible employees who have worked in the position for at least 90 calendar days during an evaluation period and are not on leave at evaluation time will be evaluated.

NOTE: IF YOU HAVE OTHER QUESTIONS REGARDING THE EVALUATION PROCESS, PLEASE CONTACT THE PERFORMANCE MANAGEMENT BRANCH AT (502) 564-3090.

AGENCY LIAISON LIST

(Revised 02-18-08)

ACCOUNTANCY, BOARD OF	Mr. Dick Carroll	502-595-3037
AGRICULTURE	Ms. Rita Beasley	502-564-6676
ALCOHOLIC BEVERAGE CONTROL	Ms. Karen Pulliam	502-564-2282
ARCHITECTS, BOARD OF	Ms. Deborah Tune	859-246-2069
ARTS COUNCIL	Ms. Maraskeshia Smith	502-564-4270
ATTORNEY GENERAL	Ms. Sandra Daniels / Ms. Carla Vinegar	502-696-5620
AUDITOR OF PUBLIC ACCOUNTS	Ms. Kellee Craig	502-573-0050
BARBERING, BOARD OF	Ms. Karen Greenwell	502-429-8841
CHARITABLE GAMING	Ms. Karen Pulliam	502-564-2282
CLAIMS & CRIME VICTIMS	Ms. Karen Pulliam	502-564-2282
COMMERCE	Ms. Freda Harris-Preston	502-564-8110
CORRECTIONS	Ms. Stephanie Appel	502-564-4795
COMMONWEALTH OFFICE OF TECHNOLOGY	Ms. Jackie Flynt / Ms. Deniese Pyles	502-564-8109
CRIMINAL JUSTICE TRAINING	Ms. Mary Pascal	859-622-5894
DEAF AND HARD OF HEARING COMMISSION	Ms. Rachel Morgan	502-573-2604
DENTISTRY, BOARD OF	Mr. Eric Clark / Ms. Diana Bailey	502-429-7280
ECONOMIC DEVELOPMENT	Ms. Stacey McClellan	502-564-4300
EDUCATION, DEPARTMENT OF	Ms. Rebecca Ogden	502-564-3716
ELECTIONS, BOARD OF	Mr. Jack O'Nan	502-564-3490
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FINANCIAL INSTITUTIONS	Ms. Karen Pulliam	502-564-2282
FISH AND WILDLIFE	Ms. Pat Barnard	502-564-7109
GOVERNOR'S OFF FOR ECONOMIC ANALYSIS	Ms. Martha Armstrong	502-564-3093
GOVERNOR'S OFF FOR LOCAL DEVELOPMENT	Ms. Joy Kiser	502-573-2382
GOVERNOR'S OFF FOR POLICY & MANAGEMENT	Ms. Janet Rivers	502-564-7300
GOVERNOR'S OFF FOR POLICY & RESEARCH	Ms. Martha Armstrong	502-564-3093
HAIRDRESSERS & COSMETOLOGISTS, BOARD OF	Ms. Wilma May	502-564-4262
HEALTH & FAMILY SERVICES	Ms. Terri Cook / Mr. Galen Linville	502-564-7770
HERITAGE COUNCIL	Ms. Becky Shipp	502-564-7005
HORSE PARK	Ms. Stephanie Gibson	859-259-4235
HOUSING, BUILDINGS AND CONSTRUCTION	Ms. Karen Pulliam	502-564-2282
HUMAN RIGHTS COMMISSION	Ms. Karen Crooks-Davis	502-595-4024
INSURANCE	Ms. Karen Pulliam	502-564-2282
JUSTICE AND PUBLIC SAFETY	Ms. Tina Thompson	502-564-7712
JUVENILE JUSTICE	Ms. Sharon Cook / Ms. Sherri Gillum	502-573-3747
KENTUCKY EDUCATIONAL TELEVISION	Ms. Mary Frances Cecil	859-258-7103
KENTUCKY RACING AUTHORITY	Ms. Karen Pulliam	502-564-2282
KY HIGHER EDUCATION ASSISTANCE AUTHORITY	Ms. Melanie West	502-696-7231
KY VEHICLE ENFORCEMENT	Ms. Stephanie Fink	502-564-3276
KOSH REVIEW COMMISSION	Ms. Patsy Quire	502-564-2282
LABOR	Ms. Patsy Quire	502-564-2282
LIBRARIES AND ARCHIVES	Ms. Lori Franklin	502-564-8300
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MILITARY AFFAIRS	Ms. Crystal Simpson	502-607-1541
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PARKS	Ms. Freda Harris-Preston	502-564-8110
PERSONNEL BOARD	Ms. Linda C. Morris	502-564-7830
PERSONNEL CABINET	Ms. Regina Gravitt	502-564-3090
PHARMACY, BOARD OF	Mr. Mike Burleson	859-246-2820



EVALUATOR	Generally, the first line supervisor who is responsible for evaluating an employee.
JOB DUTIES	A description of the performance requirements/duties of an employee. Such description must be consistent with the employee's position description (PD).
EXPECTATIONS	Specific performance requirements that must be developed for each job duty which identify the performance results necessary for a "Good" job.
PERFORMANCE CATEGORIES	The four areas in which each employee is evaluated. These include: <i>JOB TASKS</i> <i>ADAPTABILITY/INITIATIVE</i> <i>COMMUNICATION/TEAMWORK</i> <i>SELF MANAGEMENT</i>
OVERALL PERFORMANCE EVALUATION	The final rating given to the employee at the annual evaluation. This rating is determined by the total performance score.
RECONSIDERATION	The procedure outlined for an employee to appeal within the agency any disagreement with his/her evaluation.

**PERSONNEL CABINET
EMPLOYEE ORIENTATION ACKNOWLEDGEMENT FORM
NEW EMPLOYEE PERFORMANCE
EVALUATION SYSTEM**

I hereby certify that I have received orientation on the New Employee Performance Evaluation System in the form of the Employee Evaluation Handbook. I understand the following:

- 1) Performance evaluations shall be completed on all full time classified merit employees who:
 - A) hold status as of January 1 of the performance year, and
 - B) have remained in continuous merit status throughout the performance year.
(January 1 through December 31)
- 2) My evaluator (supervisor) shall establish a performance plan which consist of job duties, expectations and assigned points. The evaluator will meet with me to discuss the performance plan and the evaluation system within thirty (30) days of the start of the performance period.
- 3) Interim review between the evaluator and myself are required every four (4) months during the performance year.
- 4) My evaluator shall complete my annual performance evaluation within thirty (30) days after the end of the annual performance period.
- 5) Should I receive the highest possible **overall** rating of “Outstanding”, I shall receive the equivalent of two (2) workdays of annual leave, not to exceed sixteen (16) hours of annual leave.
- 6) Should I receive the second highest possible **overall** rating of “Highly Effective”, I shall receive the equivalent of one (1) workday of annual leave, not to exceed eight (8) hours of annual leave.
- 7) Should I receive an overall rating of “Unacceptable”, the agency shall:
 - A) Demote me to a position commensurate with my skills and abilities, or
 - B) Terminate my employment.
- 8) I may appeal any aspect of the evaluation through the internal reconsideration process.
- 9) I may **only** appeal **overall** ratings of “Needs Improvement” and/or “Unacceptable” to the Personnel Board.

I have read and understand the above. I understand my supervisor will maintain this form in my performance evaluation file until my annual performance evaluation. Upon completion of my annual performance evaluation, this form will be sent to the agency’s central personnel office to be filed in my personnel file.

Employee’s Signature: _____ Date: _____

Social Security Number: _____

Agency: _____ Department: _____

Evaluator’s Signature: _____ Date: _____
(Supervisor’s)