

Employee Performance Evaluation System

Evaluator Handbook (January 2017)



Personnel Cabinet
Department of Human Resources Administration
Performance Management Program
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<https://personnel.ky.gov/Pages/learning-PerfEval.aspx>

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Introduction

This handbook contains information intended to educate state government evaluators (supervisors) about the employee performance evaluation system. The current system within Kentucky State Government is a performance management process that includes planning, coaching, feedback, documentation, and performance evaluation.

This process, when correctly followed, is a valuable resource for evaluators to set job performance priorities, direct performance towards measurable goals and expectations and reward employees for performance above expectations. The system strongly emphasizes performance planning and improved communication about job expectations at the start of the performance year. It also requires coaching and feedback by the evaluator at three required meetings during the performance year. The meetings are documented on the evaluation form and comments about performance are included. Next line supervisors review performance planning and annual evaluations of all employees under the evaluator (first-line supervisor) to ensure the process is completed in a fair and equitable manner. Employees can request reconsideration to evaluations on which they disagree.

Evaluators must constantly monitor their efforts in using the performance evaluation system. In this way, the system may serve the purposes for which it was designed. Additionally, employees must be given the opportunity to understand the evaluation system and to become involved in the overall process. They must be allowed to correct performance deficiencies before they become a part of the permanent record. Evaluators must share with employees their feedback regarding employee performance and evidence concerning performance problems. Feedback and coaching must take place at interim reviews, throughout the performance year and whenever a problem is identified, not just during the annual evaluation. Employees tend to resent the evaluator's failure to provide coaching and feedback prior to the annual evaluation. They see such practices as unfair. As a result, every evaluator must plan for performance reviews and provide ongoing coaching and feedback throughout the performance year.

Training on the state employee performance evaluation system has been designed to enhance understanding of the system, to emphasize the importance of using it as a management tool and to assist evaluators in developing the proper skills to use the system effectively.

The Performance Management Program is charged with administering the statewide employee performance evaluation system. We are located in the Personnel Cabinet's Department of Human Resources Administration. Please become familiar with the contents of this handbook and keep it readily

accessible. You may use it to answer questions and for assistance in completing performance evaluations. If you need additional assistance, you may contact your agency/cabinet employee performance evaluation system liaison or the Performance Management Program Consultants.

General Information

System Objectives

- Fairness and acceptability to employees.
- Improved communication between evaluator (supervisor) and employee about job requirements, performance expectations and training needs.
- Mandatory coaching and feedback prior to the evaluation to inform the employee of work strengths and areas needing improvement.
- Consistent and uniform evaluation of individual employee performance based on job related factors.
- Improved productivity, enhanced quality, continuous improvement and employee development.
- Tangible rewards to employees who perform above job expectations.
- Required employee orientation to the evaluation system.
- Required evaluator (supervisor) training on the proper use of the evaluation system.
- To provide a permanent record of performance in the employee's file that must be considered in determining salary advancements, promotions, demotions and disciplinary actions.

Basic Phases to Performance Management

Planning

Planning for performance that is necessary to achieve the organization's mission and goals involves two-way communication relating to job duties and performance expectations.

Ongoing Management – Coaching and Feedback

Providing feedback during the performance review period helps employees in meeting or exceeding job duties and expectations set during the planning stage. This is the link between planning and the performance evaluation.

Documentation of performance progress and results is an important responsibility for an evaluator. Interim reviews must include work related comments regarding each performance category in which the employee is evaluated. Additional documentation may also be attached to the evaluation.

Performance Evaluation

Assessing an employee's performance based upon their progress towards meeting or exceeding job duties and expectations. This assessment usually results in a rating.

Kentucky Revised Statutes and Administrative Regulations

KRS 18A.110 Personnel Secretary - Regulatory Authority

Section 1(i) The secretary shall promulgate comprehensive administrative regulations for the classified service governing employee evaluations.

Section (7)(j) The administrative regulations shall provide 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.
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 Rights of Executive Branch Employees

Section (15) An evaluation may be appealed to the board if an employee has complied with the review procedure established in KRS 18A.110 Section (7)(j).

101 KAR 2:180 Employee Performance Evaluation System

NECESSITY, FUNCTION and CONFORMITY: KRS 18A.110(1)(i) and (7)(j) requires the Secretary of the Personnel Cabinet to promulgate comprehensive administrative regulations for classified service employees to establish a uniform system of annual employee evaluations for classified employees. This administrative regulation establishes the uniform employee performance evaluation system.

Section 1. General Provisions

- (1) The annual performance period shall be one (1) calendar year beginning on January 1.
- (2) Except as provided in subsection (4)(d) of this section, performance evaluations shall be completed no later than January 31 after the end of the annual performance period.
- (3) All agencies shall use the Annual Employee Performance Evaluation form.
- (4) (a) Except as provided in paragraph (b) or (c) of this subsection, the first line supervisor of an employee at the time the evaluation is due shall be the evaluator.

(b) If the first line supervisor has not supervised the employee for at least sixty (60) calendar days during the performance year, the next line supervisor who meets the sixty (60) day requirement shall be the evaluator.

(c) If an employee changes jobs or reports to a different supervisor on or before November 1 of the performance year, the agency shall transfer all performance evaluation documentation for the performance year to the new evaluator for incorporation in the annual evaluation.

(d) If an employee changes jobs or reports to a different supervisor after November 1 of the performance year, the annual evaluation shall be completed by the former supervisor prior to the job change.
- (5) (a) Except as provided in paragraph (b) of this subsection, the evaluator shall establish a performance plan for each eligible employee no later than January 31 after the start of the performance period.

(b) If an employee's position or job title changes during the performance year, the evaluator shall establish a new performance plan no later than thirty (30) calendar days after the start of the position or job title change. The new performance plan shall become a part of the original performance year evaluation documentation.

- (6) The evaluator shall meet with the employee when completing the performance plan to discuss job duties and expectations.
- (7) Performance evaluations shall be in writing. The evaluator shall:
 - (a) Present and explain all documentation relevant to an employee's performance evaluation;
 - (b) Discuss both the positive and negative aspects of performance with the employee at the annual evaluation;
 - (c) Elicit the employee's opinions and concerns; and
 - (d) Discuss measures to improve or enhance performance with the employee.
- (8) The Personnel Cabinet or agency personnel shall provide supervisor evaluation training on the performance evaluation system.
 - (a) The appointing authority shall require that supervisor evaluation training is completed prior to completing performance planning, interim reviews, and annual evaluations of employees.
 - (b) The Personnel Cabinet shall monitor and validate compliance with supervisor evaluation training requirements.
- (9) An employee shall complete orientation to the performance evaluation system prior to January 1 of the employee's initial performance evaluation period.

Section 2. Employee Eligibility

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.

Section 3. Performance Planning

- (1) The performance plan shall specify job responsibilities and expectations in the four (4) categories established in this subsection.

- (a) **Job tasks.**

- 1. The job tasks category shall identify specific duties and expectations of the position held by the employee.
- 2. The employee's job duties shall be consistent with the position description.

3. Duties and expectations shall be in writing.
4. The evaluator shall assign points to identified duties and expectations.

(b) Adaptability/initiative.

1. The adaptability/initiative category shall identify job requirements of the agency.
2. The evaluator shall place each requirement under this category in writing and assign points weighted by importance.

(c) Communication/teamwork.

1. The communication/teamwork category shall identify requirements of the agency.
2. The evaluator shall place each requirement under this category in writing and assign points weighted by importance.

(d) Self-management.

1. The self-management category shall identify requirements of the agency relating to workplace standards that shall include:
 - a. Attendance;
 - b. Punctuality;
 - c. Career development;
 - d. Responsibility; and
 - e. Dependability.
2. The evaluator shall place each requirement under this category in writing and assign points weighted by importance.
3. The evaluator shall develop the performance plan after consultation with the employee.
 - a. The employee and evaluator shall certify in writing in the performance planning section of the evaluation form that the employee has met with the evaluator and is aware of the performance plan.
 - b. The next line supervisor shall certify that he or she has reviewed the duties and expectations of the employee and finds them to be reasonable and appropriate based upon the employee's job classification.

- (2) Total points assigned for all four (4) categories shall equal 100 total points. The evaluator shall distribute points among the four (4) categories as follows:
 - (a) The job tasks category shall have a minimum of fifty (50) points designated; and
 - (b) The other three (3) categories shall have a minimum of five (5) points designated to each category.
- (3) To obtain the point total for each category, points assigned to each job duty within each category shall be multiplied by the numerical rating provided by the evaluator, as described in Section 5(3) of this administrative regulation.
- (4) Total points in all four (4) categories shall be added to obtain a final performance evaluation score.

Section 4. Performance Coaching and Feedback

- (1) Modification of the performance plan may occur during the performance evaluation period if the changes are consistent with the duties reflected on an employee's position description.
 - (a) The employee shall be given written notice of changes to the performance plan.
 - (b) Changes to the performance plan shall be indicated on the evaluation form or on a supplemental sheet attached to the form.
 - (c) Changes to the performance plan shall be initialed and dated by the evaluator and the employee when changes become effective.
- (2) A mid-year interim review and year-end interim review shall be required during a performance year.
 - (a) The evaluator shall document the interim reviews.
 - 1. Interim reviews shall not contain a rating.
 - 2. The interim meeting section of the evaluation form shall contain comments by the evaluator for each category established in Section 3(1) of this administrative regulation.

- (b) The employee and evaluator shall sign the performance evaluation form to certify that the interim reviews occurred.
- (c) For consideration in the annual year evaluation, the employee may attach pertinent comments relating to the interim review within five (5) working days of the interim review meeting.
- (d) The evaluator shall schedule interim reviews to discuss performance January 1 through June 30 and July 1 through December 31.
- (e) The mid-year interim review shall be completed no later than July 31 after the end of the interim review period, and the year-end interim review shall be completed no later than January 31 after the end of the interim review period.
- (f) Interim reviews shall document performance to justify the annual performance rating.

Section 5. Performance Evaluations and Ratings

- (1) Except as provided in Section 1(4)(d) of this administrative regulation, the evaluator and the employee shall meet no later than January 31 after the performance period ends to discuss the performance ratings.
- (2) Eligible employees shall be evaluated in the four (4) categories described in Section 3 of this administrative regulation.
- (3) All job duties identified within the categories shall be rated on a scale of one (1) to five (5), with five (5) representing superior performance.
- (4) The final performance evaluation shall consist of a defined numerical rating. Point values for the overall performance rating are:
 - (a) Outstanding: 450 to 500 points;
 - (b) Highly effective: 350 to 449 points;
 - (c) Good: 250 to 349 points;
 - (d) Needs Improvement: 150 to 249 points;
 - (e) Unacceptable: less than 150 points.
- (5) Unresolved disagreements on ratings or any aspect of the performance evaluation shall be reviewed through the reconsideration process established in Section 7 of this administrative regulation.
- (6) Signatures of the evaluator, employee and next line supervisor shall be required on the final evaluation.

- (a) The next line supervisor shall sign the evaluation after it is completed, signed and dated by the evaluator and the employee.
- (b) For the purpose of evaluating or managing the performance of the evaluator, the next line supervisor's signature shall certify that he or she is aware of the evaluation and has reviewed it.

Section 6. Performance Incentives

Annual leave shall be awarded as a performance incentive at the following rates:

- (1) Two (2) workdays, not to exceed sixteen (16) hours, for an "Outstanding" rating; or
- (2) One (1) workday, not to exceed eight (8) hours, for a "Highly Effective" rating.

Section 7. Reconsideration and Appeal Process

- (1) Within five (5) working days of the year-end interim review and annual performance evaluation meeting, an employee may attach pertinent comments relating to the year-end interim review and may request initial reconsideration of the annual performance evaluation by the evaluator.
- (2) Within five (5) working days of the receipt of the request for reconsideration, the initial reconsideration shall be conducted by the evaluator.
- (3) If the employee refuses to sign the form in the employee response section, the evaluation shall not be eligible for reconsideration.
- (4) Within five (5) working days after the initial reconsideration by the evaluator, an employee may submit a written request for reconsideration of the evaluation by the next line supervisor. If neither the evaluator nor the next line supervisor responds to the request for reconsideration in the designated time period, the employee may submit a written request to the appointing authority for response to the request for reconsideration and compliance with this administrative regulation.
- (5) The next line supervisor shall:
 - (a) Obtain written statements from both the employee and the evaluator; or
 - (b) Meet individually with the employee and the evaluator.

- (6) The next line supervisor shall inform both the employee and evaluator in writing of the decision no later than fifteen (15) working days after receipt of the employee's request.
- (7) Within sixty (60) calendar days after an employee has received the written decision from the next line supervisor, the employee who has complied with this administrative regulation may appeal a final evaluation which has an overall rating in either of the two (2) lowest overall ratings to the Personnel Board.

Section 8. Evaluation -Based Agency Action.

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

- (1) Demote the employee to a position commensurate with the employee's skills and abilities; or
- (2) Terminate the employee.

Section 9.

- (1) Except as requested in writing by the appointing authority and authorized by the Secretary of Personnel, all agencies shall comply with the provisions of this administrative regulation. An evaluator shall complete required performance planning, interim reviews, and annual evaluations for each eligible employee. If the Secretary of Personnel approves an exception, written justification for the decision shall be placed in the employee's personnel file.
- (2) The exception decision shall be sent, in writing, to the appointing authority within ten (10) days of receiving the request for exception.

Section 10. Incorporation by Reference

- (1) The Annual Employee Performance Evaluation Form, January 2017, is incorporated by reference.
- (2) This material may be inspected, copied or obtained, subject to applicable copyright law, at the Personnel Cabinet, 501 High Street, Third Floor, Frankfort, Kentucky 40601, Monday through Friday, 8 a.m. to 4:30 p.m.

Overview of the Evaluation Process

Eligible Employees

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

- a) held status as of January 1 of the performance year, and
- b) have remained in continuous merit status throughout the performance year.

NOTE: Ineligible employees do not have the right of appeal and are not eligible for performance rewards. Therefore, employees who do not meet the eligibility requirements as stated above shall not be evaluated using this system.

Employee Leave As Relates To Performance Ratings

The following recommendations are offered to provide direction on how performance ratings and expectations relate to employee leave.

- If an eligible employee is on leave at evaluation time, he/she shall be evaluated upon return to work.
- An employee must **not** be held accountable for certain performance expectations while on the following types of leave: FMLA (extended sick and/or maternity), sick, military, voting or jury leave. The employee should be evaluated on work performed based on standards established while he/she was in a work status.

General Provisions of the Employee Performance Evaluation System

1. An employee shall complete orientation to the performance evaluation system prior to January 1 of the employee's initial performance evaluation period. An acknowledgement form signed by the employee after reviewing the employee performance evaluation orientation will be required.
2. Supervisor evaluation training on the evaluation system shall be completed by all supervisors prior to completing performance planning, interim reviews and annual evaluations of employees.

3. The EVALUATOR shall develop a performance plan for each eligible employee no later than January 31 after the start of the performance period.
NOTE: An evaluator is not required to supervise an employee sixty (60) days in order to develop a performance plan.
4. The EVALUATOR of each employee is the first line supervisor. For a supervisor to qualify as the EVALUATOR at the time of the evaluation, he/she must have supervised the employee for a minimum of sixty (60) calendar days during the performance year. If the first line supervisor does not qualify, the next line supervisor who meets the sixty (60) day requirement becomes the employee's evaluator.
5. There are situations in which the normal evaluation procedures might be altered due to special circumstances. These circumstances are as follows:
 - If an evaluator has supervised an employee for at least sixty (60) 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.
 - In cases where the 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 November 1 of the performance year, the annual evaluation shall be completed by the former supervisor prior to the job change and forwarded to the employee's personnel file.
6. A mid-year interim review and year-end interim review shall be required during the performance year for all eligible employees.
NOTE: An evaluator is not required to supervise an employee sixty (60) days in order to conduct an interim review.
7. All interim reviews shall be documented on the evaluation form and relevant comments for each performance category shall be included. Reviews shall be certified by employee and evaluator signatures on the official evaluation form.
8. An evaluation must be completed no later than January 31 after the end of the annual performance period.

9. Employee evaluations shall be considered in determining eligibility for discretionary salary advancements, promotions and disciplinary actions.
10. An employee, who receives the lowest possible evaluation rating (**Unacceptable**), shall either be demoted to a position commensurate with the employee's skills and abilities or be terminated.

Required Meetings in the Evaluation Process

Performance Planning Meeting

The evaluator completes the personal data on the evaluation form.

The evaluator shall conduct a performance planning meeting no later than January 31 after the start of the performance period (January 1).

NOTE: An evaluator is not required to supervise an employee sixty (60) days in order to develop a performance plan.

If an employee's position or job title changes during the performance year, the evaluator shall establish a new performance plan no later than thirty (30) calendar days after the start of the position or job title change. The new performance plan shall become a part of the original performance year evaluation documentation.

The evaluator completes the performance plan in the performance planning section of the evaluation form. This plan shall consist of job duties, expectations and assigned points in each performance category. The evaluator determines the job duties for the position in all categories and reviews them with the employee. Job duties shall be included in the Performance Planning section of the evaluation form. The evaluator should seek employee input when determining the job duties. The position description (PD) is not a substitution for this requirement; however, job duties shall be consistent and must be weighted consistently with the employee's position description (PD).

The evaluator shall determine and discuss with the employee the distribution and assignment of 100 total points between the job duties. The points assigned are intended to weigh the frequency of each job duty and shall be included in the Performance Planning section of the form. A total of 100 points shall be distributed between the four categories provided that:

A minimum of fifty (50) points be assigned to the Job Tasks category.

A minimum of five (5) points be assigned to each of the other three (3) categories.

The evaluator and employee review the expectations identified to “adequately meet” the job requirements developed by the evaluator for each job duty in which the employee will be evaluated. Expectations shall be included in the Performance Planning section of the evaluation form. The evaluator should seek employee input when developing expectations; however, the final decision shall be made by the evaluator and/or next line supervisor.

The next line supervisor reviews the job duties, expectations, and assigned points determined by the evaluator. The purpose of this review is to determine that job duties and expectations are reasonable and appropriate based upon the employee’s job classification.

Modifications to the performance plan may occur at any time during the performance period if the changes are consistent with duties reflected on an employee’s PD. Changes are included on the evaluation form or supplemental sheet attached to the form and are initialed and dated in **RED** ink by both evaluator and employee.

The evaluator, next line supervisor and employee sign and date the appropriate spaces in the Performance Planning section at the start of the performance period. All signatures shall be in **RED** ink unless signed electronically.

Interim Review Meetings

The evaluator shall schedule interim reviews to discuss performance January 1 through June 30 and July 1 through December 31.

The mid-year interim review meeting shall be completed no later than July 31 after the end of the interim review period, and the year-end interim review shall be completed no later than January 31 after the end of the interim review period.

NOTE: An evaluator is not required to supervise an employee sixty (60) days in order to conduct an interim review.

The evaluator meets with the employee to discuss performance during the interim period. All categories of performance should be reviewed and discussed whether adequately meeting, above or below expectations. Relevant comments by the evaluator shall be included in the interim meeting documentation section of the form regarding all four performance

categories. An employee may attach pertinent comments relating to the interim review with five working days of the interim review meeting. In areas needing improvement, the evaluator should make suggestions for improvement and/or develop a performance improvement plan.

Interim reviews shall document performance to justify the annual performance rating.

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.

Annual Performance Evaluation Meeting

The evaluator determines and indicates the employee's rating of performance for the full year within each performance category of the evaluation form. The evaluator shall review the interim reviews as supportive documentation to help determine the ratings for the performance year.

The evaluator assigns a rating of 1-5, with 5 representing the highest rating, to each job duty within each performance category. The evaluator multiplies the rating by the points assigned to each job duty to determine total points for each job duty. Total points for each job duty shall be added to determine total points in each category and included in the appropriate space on the form.

Total points for each category shall be added to obtain a final performance score and included in the appropriate space. The evaluator shall determine the overall performance rating based on the final performance score and indicate such rating by checking the appropriate box on the Final Performance Evaluation section of the form.

The evaluator discusses the evaluation with the employee as outlined in 101KAR 2:180 section 1(7) (a) thru (d).

The employee completes the employee response on the form. If necessary, the employee and evaluator follow reconsideration procedures as detailed in 101 KAR 2:180.

The evaluator and employee must sign and date the evaluation form after it is completed. The next line supervisor shall review and sign the evaluation after completed and signed by the evaluator and employee. The next line supervisor's signature certifies that he/she is aware of the

evaluation and has reviewed it to assist in evaluating and managing the performance of the evaluator. All signatures must be in **RED** ink unless signed electronically.

Step-By-Step Employee Performance Evaluation Activities Calendar

January – Year-End Interim, Annual Evaluation & Performance Planning

- ❑ Year-end interim review meeting completed for the previous performance period months (July 1 –December 31). **NOTE:** *Must be signed in **RED** by the employee and evaluator.*
- ❑ Year-end interim review conducted with the employee by **January 31 (following the performance year)**. **NOTE:** *The interim meeting must be documented on the Year-End Interim Meeting Documentation section of the form or corresponding action selected. Relevant comments by the evaluator shall be included on the form regarding all four performance categories. The form must be signed in **RED** and dated by both the employee and the evaluator.*
- ❑ Annual performance evaluation completed for the previous performance period (**January 1 – December 31**). **NOTE:** *Must be signed in **RED** by the employee, evaluator and next-line supervisor.*
- ❑ After the annual performance evaluation is completed, compliance must be reported to the agency evaluation liaison.
- ❑ Employee and supervisor develop the performance plan for the present performance period (**January 1 – December 31**). **NOTE:** *Must be signed in **RED** by the employee and the evaluator.*
- ❑ Next-line supervisor reviews and signs off in **RED** on the performance plan.
- ❑ The performance plan is completed no later than January 31 after the start of the performance period (**January 31**).
- ❑ The agency evaluation liaison must report all monitoring information for the year-end interim meeting, performance plan and the annual performance evaluation to the Personnel Cabinet.
NOTE: An evaluator is not required to supervise an employee sixty (60) days in order to develop a performance plan....but must have completed supervisor evaluation training prior to completing performance planning, interim reviews and annual evaluations of employees.

SPECIAL NOTE REGARDING TRANSFERS:

- ❑ If an employee changes jobs or reports to a different supervisor on or before **November 1** of the performance year, the agency shall transfer all performance evaluation documentation for the performance year to the

new evaluator for incorporation in the annual evaluation. The new evaluator will be responsible for completing the year-end interim review meeting and annual performance evaluation.

- If an employee changes jobs or reports to a different supervisor after **November 1** of the performance year, the year-end interim review and annual evaluation shall be completed by the former supervisor prior to the job change.
- The new supervisor must develop a new performance plan for the employee and keep both the old and the new evaluation documentation in their files until the annual evaluation.
- If an employee's position or job title changes during the performance year, the evaluator shall establish a new performance plan no later than thirty (30) calendar days after the start of the position or job title change. The new performance plan shall become a part of the original performance year evaluation documentation.

July – Mid-Year Interim Review

- Mid-year interim review conducted with the employee by **July 31**. **NOTE:** *The interim meeting must be documented on the Mid-Year Interim Meeting Documentation section of the form. Relevant comments by the evaluator shall be included on the form regarding all four performance categories. The form must be signed in **RED** and dated by both the employee and the evaluator.*
- A plan for improving performance may be developed to assist the employee in areas which need improvement.
- To be considered in the annual evaluation, the employee must attach comments within five (5) workdays of the interim review meeting.
- The agency evaluation liaison must report all monitoring information for the mid-year interim review meeting to the Personnel Cabinet.
- **NOTE: An evaluator is not required to supervise an employee sixty (60) days in order to conduct an interim review meeting....but must have completed supervisor evaluation training prior to completing performance planning, interim reviews and annual evaluations of employees.**

SPECIAL NOTE REGARDING TRANSFERS:

- If an eligible employee transfers within the agency or to another agency on or prior to **May 1** of the performance period, the new agency/supervisor must complete the mid-year interim review on the employee.
- If an eligible employee transfers within the agency or to another agency after **May 1** of the performance period, the agency/supervisor from which the employee is transferring must complete the mid-year interim review **PRIOR** to the employee's transfer.

The agency evaluation liaison must report all monitoring information for the performance plan, interim review meetings and the annual performance evaluation to the Personnel Cabinet.

Completing the Performance Evaluation Forms

Please click on the following link to find the Employee Performance Evaluation Forms:

<https://personnel.ky.gov/Pages/learning-PerfEval-EVAL.aspx>

Performance Planning

List the job duties of the employee on the 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. 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.
- The evaluator and/or appointing authority of your agency may 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 “adequately meet” job requirements and lists these results under the Expectations area of the evaluation form.
- If the employee supervises others, they will be assessed on “Evaluation of Employee Performance” the evaluator shall assess the employee on the expectation already established and indicated on the bottom portion of the first page of the evaluation form.

The evaluator shall determine and distribute a total of 100 points among 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 four 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: 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 may 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.

All evaluators are encouraged to have a separate file for each employee. These pages of the form should 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.

July – Mid-year Interim Review

January – Year-end Interim Review

The evaluator shall be required to perform a mid-year interim review and year-end interim review on an employee during a performance period.

- Interim reviews shall be scheduled during the months of July (mid-year interim review), and January (year-end interim review).
- 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 comments for each performance category.
- All comments by the evaluator regarding the employee's work performance shall be documented in this area. (Employee comments may be attached within five (5) workdays of the interim meeting.)
- A plan for improving performance may be developed at any time during the performance period for performance that is below expectations. (See Sample Performance Improvement Plan & Corrective Action Plan) **NOTE: This is not a legal requirement of the evaluation system. This is only used as a supervisory management tool.**

All comments by the evaluator regarding employee's work performance shall be documented on the Interim Review section of the evaluation form.

All comments concerning the employee's performance shall be listed for all performance categories.

- Evaluators may develop a plan for improvement if the employee's work performance is as such that the evaluator feels a written improvement plan is necessary.

The evaluator and employee shall sign and date the Interim Review 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 the interim meeting section of the evaluation form, the evaluator should ask the next-line supervisor, a peer supervisor or other neutral person to be a witness. The witness should be someone other than another employee. The evaluator will certify in the area designed for the employee's signature that the employee refused to sign the form. The witness and evaluator signs and dates the evaluation form.
- All evaluators are encouraged to have a separate file for each employee. These pages of the form should be kept in the employee's file until the end of the evaluation period.
- A copy of the interim review shall be given to the employee.

JANUARY of the Following Performance Period – ANNUAL PERFORMANCE EVALUATION

On The Form

The evaluator shall indicate in 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 interim review meetings in addition to any documentation provided by the employee, evaluator file notes etc. to determine final ratings.
- The evaluator shall indicate the determined rating 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.

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 Performance Planning section of the evaluation form.

The following will be completed on Performance Evaluation section of the evaluation form.

Place total performance score for each category in Section A.

- Add total score for all categories and document total performance score in Section A.

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

Employee Response

If the employee agrees with the evaluation, he/she shall check the appropriate box.

If the employee disagrees but accepts the evaluation, he/she shall check the appropriate box.

If the employee disagrees with any aspect of the evaluation and request reconsideration, he/she shall check in the appropriate box in this section. The employee has five (5) working days from the date of the evaluation to request reconsideration.

The employee shall sign and date the evaluation form Section C. 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 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. *The evaluator should remind the employee that refusal to sign the evaluation means it will not be eligible for reconsideration.*
- If the employee refuses to sign the annual evaluation form, the evaluator should ask the next-line supervisor, a peer supervisor or other neutral person to be a witness. The witness should be someone other than another employee. The evaluator will certify in the area designed for the employee's signature that the employee refused to sign the form. The witness and evaluator signs and dates the evaluations form.
- In the situation where the employee receives an overall rating of "Needs Improvement" or "Unacceptable". The evaluator should review with the employee the reconsideration process and what the regulation states

concerning the employee being demoted or terminated if receiving the overall lowest rating of "Unacceptable." (101 KAR 2:180, Section 7 & 8)

- 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 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.
- All signatures must be in **RED** ink unless signed electronically.

Note: Once the final evaluation has been signed by both the employee and the evaluator, the next line supervisor does not have the authority to change the rating unless the employee requests reconsideration of the next line supervisor.

Reconsideration

If the employee disagrees with any part of the evaluation:

- He/she shall check the appropriate box, in section C "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 indicated on the form, 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.

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 section of the form. The employee must submit a written request for 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 section 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 indicated on the form and initialed and dated by both the evaluator and employee.
- These signatures must be in **RED** ink unless signed electronically.

Results of Reconsideration

If an employee has received one of the lowest two overall ratings and has exhausted the internal appeal (reconsideration) process, an employee may appeal in writing to the Personnel Board within sixty (60) calendar days of final reconsideration.

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

Filing the Performance Evaluation Form

Once the annual performance evaluation is completed:

- The evaluator will provide the employee with a copy of the completed evaluation form and appropriate documentation.
- The evaluator will 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.

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 all the steps in the internal reconsideration process outlined in this section before appealing an evaluation to the Personnel Board. You may wish to refer to the flow chart on the next page.

Within five (5) working days of a performance evaluation, an employee may request initial reconsideration of the performance evaluation by the evaluator. The evaluator shall respond to the request for reconsideration within five (5) working days of receiving the request. **If the employee refuses to sign the form in the Employee Response Section, the evaluation will not be eligible for reconsideration.**

Within five (5) 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. In the event that neither the evaluator nor the next line supervisor responds 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.

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 employee and the evaluator in writing of the decision no later than fifteen (15) working days after receipt of the employee’s request.

Within sixty (60) calendar 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 and only 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.

Employee Evaluation Reconsideration Process

Level	Action	Time Frame For Request / Response	Required Means Of Request / Response
Employee	Requests initial reconsideration of rating from Evaluator.	Within five (5) working days of initial evaluation.	Employee checks box "Disagree with evaluation, request reconsideration."
Evaluator	Responds to initial reconsideration request.	Within five (5) working days of receipt of employee's request.	Evaluator agrees/disagrees, with requested changes on evaluation. Evaluator checks appropriate box
If initial request for reconsideration is unresolved, process is as follows:			
Employee	Requests reconsideration of rating from Next Line Supervisor (Reviewer).	Within five (5) working days of initial reconsideration of rating by Evaluator.	Employee checks box "Disagree with results of initial reconsideration and request reconsideration by Next Line Supervisor."
Next Line Supervisor/ Reviewer	Next Line Supervisor responds to both Employee and Evaluator.	Within fifteen (15) working days of request by Employee.	Formal written response by Next Line Supervisor to both parties. The Supervisor checks appropriate box.
Reconsideration process ends with the next line supervisor. If the employee has exhausted all steps in the internal appeal (reconsideration) process and has an overall rating in either of the two (2) lowest overall ratings, the process is as follows:			
Employee	Appeals to Personnel Board	Employee must file within sixty (60) calendar days after reconsideration by Next Line Supervisor.	Use of Personnel Board Appeal Form.

Tips and Tools for the Evaluator

Questions Most Employees Want Answered In Their Performance Evaluation

- ❑ How am I doing?
- ❑ What can I do to improve?
- ❑ Do I have a chance to advance?
- ❑ What will be expected of me before the next review?
- ❑ How will my work be evaluated during that time?
- ❑ What kind of help or attention can I expect from the evaluator?
- ❑ What changes are likely in our department or organization in the months ahead, and how will they affect me?

How to Conduct a Performance Evaluation Session

The Role of the Evaluator

The annual performance evaluation session should represent the evaluator's interest in the employee. It must be tailored to each individual employee and held in a private place. What you say and how you act must be determined by you, the evaluator. Regardless of how you conduct the evaluation there are always things you want to say to the employee and things you want the employee to tell you. The information you want to share with the employee about their job performance must be well thought out in advance. Therefore, it is important prior to the evaluation to refresh your memory of the employee's performance throughout the year by reviewing the interim meeting documentation and other information relevant to the employee's work. At the same time, it is important you hear what the employee thinks and feels. To do this, the evaluation session must become a two-way exchange of information between you and the employee. Such an exchange will require you lead the employee to become involved in the evaluation session. Following are some helpful tips to keep in mind each time you conduct the annual evaluation.

- ***Be Yourself***

Act as you ordinarily do. The employee may resent your acting differently for this session. Use a style that is most like you.

- ***Be Relaxed***

Assume a relaxed position; don't sit on the edge of your chair. Make the employee comfortable by being comfortable yourself.

- ***Speak Plainly and Simply***

Don't talk down to the employee. Don't use language that is over the employee's head. Always try to speak in a way that makes the employee comfortable.

- ***Be Open and Honest***

Don't be shy about what you want to tell the employee. Determine ahead of time what you want to say, and say it. Most employees are more likely to speak openly and honestly if you do.

- ***Take the Time You Need***

Don't rush the session or act like you are bored or impatient. Such behavior may prompt the employee to not participate or bring the session to a quick close.

- ***Control Your Feelings***

The evaluation session should never become an argument but should serve as an exchange of ideas and information. If the session is to serve as a positive communication experience, you cannot allow it to turn into an argument. When an employee becomes angry or upset and verbally lashes out, you must not do the same thing. A positive session will help to create mutual understanding and trust.

The ABC's of Conducting Effective Performance Evaluations

- Avoid common rating errors.
- Be open and honest.
- Be relaxed.
- Be yourself.
- Control your feelings.
- Differentiate between effort and performance.
- Distinguish employees from one another.
- Do **not** wait until the annual performance evaluation to discuss performance problems.
- Provide due process and develop an action plan.
- Review employee's complete work record.
- Review areas of performance.
- Seek input from others who utilize the employee's services.
- Speak plainly and simply.
- Take the time you need.

Effective Counseling Tips

Following are tips to help an evaluator prepare for and conduct effective employee counseling sessions:

- ✓ Before counseling, make sure you can state clearly what constitutes acceptable performance.
- ✓ Whenever possible, conduct the counseling session in a private place.
- ✓ Arrange adequate time for your comments as well as comments from the employee.
- ✓ Clearly state performance expectations and seek confirmation that the employee understands those expectations.
- ✓ Focus on good performance FIRST.
- ✓ Next, focus on the poor performance, not on personalities or other distractions.
- ✓ Always maintain a constructive tone, along with a calm and professional demeanor.
- ✓ Seek cooperation not confrontation, by focusing on how the employee's performance fits into the performance of the total organization.
- ✓ Remember that your goal is to improve the employee's performance – not to win an argument with the employee.
- ✓ Try to end the session on a positive note by emphasizing your mutual goal is improving the employee's performance.

Tips to Effective Planning, Coaching and Evaluating

Planning (The Performance Plan)

DO

- ❑ Base duties and expectations on the employee's position description.
- ❑ Make expectations SMART (Specific, Measurable, Attainable, Relevant and Time-Bound) so as to ease the coaching process and the process of evaluating the employee at the end of the year.
- ❑ For each duty, explain the level of achievement needed to "adequately meet" the job requirements.
- ❑ Explain what tools you are going to use to document and measure performance.
- ❑ Explain how the employee can monitor his/her own performance,
- ❑ Treat employees fairly (e.g., similar performance thresholds for all employees in your agency within the same job class).
- ❑ Discuss how coaching and the interim reviews will work.
- ❑ Conduct the meeting in a comfortable environment.
- ❑ Make sure you allow adequate time.

- ❑ Discuss how the employee's duties and expectations relate to the success of the organization.
- ❑ Establish a relationship of trust and teamwork.

DON'T

- ❑ Allow interruptions.
- ❑ Set the expectations without employee input.
- ❑ Create expectations that are unrealistic.
- ❑ Have vastly different performance thresholds for employees doing the same work.
- ❑ Leave the employee with only a vague idea of their duties and expectations and how their performance will be objectively measured.
- ❑ Make light of the employee or the performance management process. You will lose credibility.

Coaching (Interim Reviews)

DO

- ❑ Use coaching as a continuous, never-ending process.
- ❑ Use immediate feedback to recognize performance.
- ❑ Base comments on objective observations and documentation, not subjective judgments and intuitive feelings.
- ❑ Ask open-ended questions like "what problems are you running into," or "what barriers are you finding that I can help you with?"
- ❑ Use coaching for everyone, including your worst performers and your best.
- ❑ Listen carefully to the employee, including what you hear "between the lines."
- ❑ When giving feedback to the employee, be specific in describing your observations.
- ❑ Maintain a positive relationship.
- ❑ Ask what you can do to better meet their needs.
- ❑ Show the employee the documentation you have upon which you are basing your observations.
- ❑ Revise expectations, if necessary.

DON'T

- ❑ Offer comments that are general or subjective.
- ❑ Attack the employee by belittling him/her.
- ❑ Expect outstanding performance if your expectations aren't clear.
- ❑ Avoid employees you don't want to deal with.

- ❑ Intimidate or overwhelm the employee.

Evaluation (Annual Performance Evaluation)

DO

- ❑ Prepare for the meeting by reviewing documentation, job duties, etc.
- ❑ Evaluate the past, but also turn your attention to expectations for the future.
- ❑ Discuss development needs and future training or coaching that may be needed.
- ❑ Assign ratings based on objective criteria and documentation.
- ❑ Watch out for common rating errors
- ❑ Stay positive about the employee, but don't ignore performance difficulties.
- ❑ Ask what the employee would like to see from you in the future that might be different than the past.
- ❑ Keep your objectivity.
- ❑ Show the employee your documentation to support your ratings.
- ❑ Talk WITH the employee, not AT him/her.

DON'T

- ❑ Use the evaluation meeting to reprimand or discipline an employee.
- ❑ Be more lenient or harder on one employee than on another.
- ❑ Feel that you are responsible for an employee's ratings.
- ❑ Rush the meeting.
- ❑ Allow the meeting to be interrupted.

Interim Review Meeting Tips

Interim review meetings are planned times when coaching and feedback between employee and evaluator take place. Employees need to hear from their evaluator in regards to how they are doing on the job in all four performance categories. An interim review meeting provides the evaluator an opportunity to encourage and direct the employee.

NOTE: Coaching and feedback can occur at any time during the performance year.

Interim review meetings are:

- An opportunity for the evaluator and employee to make sure performance is on track with the required job duties and expectations.
- A chance to identify performance problems so they can be corrected as soon as possible.
- A time for the evaluator to praise the employee verbally or commend him/her in writing.
- A good time for the employee to point out accomplishments or problems that have been resolved and which otherwise might not have come to the evaluator's attention.

NOTE: An evaluator who knows about specific accomplishments and problems during the year will be better prepared to judge progress and evaluate performance at the end of the year. An employee who has participated in several coaching sessions should have no surprises at the year end evaluation.

Coaching allows for problems to be caught early and also provides the opportunity for the supervisor to collect information that will be helpful when completing the year end evaluation. Following are some ways of collecting information:

- Direct Observation - Observing the employee while he/she performs day-to-day work activities.
- Written Material - Any form of written material the employee creates, generates, or reviews, such as letters, reports or forms that are used as part of the job.
- Notes From Customers - Any notes a supervisor has kept that customers have written about the employee.
- Notes From The Employee - The employee should keep their evaluator informed of their progress and any problems they may be having on the job. These notes may help an evaluator remember a specific situation where job performance was excellent or unacceptable.
- Evaluator's Own Notes - If the evaluator notices an accomplishment or a problem, but doesn't have time for a brief coaching session, the evaluator may write a note and put it in a file to refer to later.

- Team Feedback - It is appropriate to include both team leader and peer feedback as one source of information to help an evaluator determine evaluation ratings. Of course, it is important the employee be informed at the planning meeting that the evaluator will consider feedback from other team members.

NOTE: Sometimes an evaluator may underestimate the importance of regularly talking to employees about their work. Employees need to know what they are doing right and of any areas in which they need to improve. They also need to know what they must do to improve their job performance.

Following are some things an evaluator might do during an interim review meeting:

- Review the duties and expectations included in the employee's performance plan and make any needed revisions.
- Share information that has been gathered regarding the employee's performance. The gap between actual and expected performance should be discussed.
- Ask the employee what the evaluator can arrange in terms of training, equipment or assistance to help them improve their performance.
- A schedule for following up on the employee's progress in the future may be decided.
- If the employee seems to be heading towards a rating of Unacceptable, the evaluator should develop an improvement plan to clearly identify the problems and actions necessary to improve within a certain time frame.
- Show support and express confidence in the employee's ability to improve performance.
- Acknowledge improvements and accomplishments. Praise gradual improvements.

PERFORMANCE IMPROVEMENT PLAN

EMPLOYEE NAME: _____ PERSONNEL #: _____
JOB TITLE: _____ POSITION #: _____
CABINET/DEPT. NAME: _____ DIV./BRANCH: _____
SUPERVISOR'S NAME: _____ REVIEW PERIOD: ____/____/____ to ____/____/____
MID-YEAT INTERIM REVIEW: _____ YEAR-END INTERIM REVIEW: _____ OTHER: _____

(PLEASE INDICATE FOR WHICH INTERIM REVIEW THIS PERFORMANCE PLAN WAS DEVELOPED)

This is to provide you with a formal Performance Improvement Plan in order to correct performance in areas that need improvement. To meet the expectations established for your position, you must improve in the specific area(s) noted below and continue successful performance in all other areas.

Performance Improvement Areas:
Specific areas which need improvement.

Performance Improvement Plan:
Corrective action to be taken and dates for conferences. (Additional sheets may be added if needed).

What resources or support, if any, will be provided to assist the employee in making the required improvement? (Additional sheets may be added if needed).

DATE OF NEXT CONFERENCE: ____/____/____

Performance Improvement Plan Outcome:
Specific results or outcome of performance plan; details on next steps.

This is to acknowledge that I have, on the date indicated below, discussed the areas of performance improvement and the corrective action as indicated by my supervisor. My supervisor has notified me that if my work performance does not improve, it may result in a low rating at the time of the annual performance evaluation.

In compliance with 101 KAR 2:180, "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."

My supervisor and I agree to work together to enable me to improve my performance to a successful level.

Employee's Signature: _____
Employee Comments:

Date: ____/____/____

Supervisor's Signature: _____
Supervisor's Comments.

Date: ____/____/____

Witness Signature: _____
(Witness signature required if employee refuses to sign)

Date: ____/____/____

Next Line Supervisor's Signature: _____

Date: ____/____/____

Common Rating Errors and Solutions

The Contrast Error: The tendency for a rater to evaluate an employee relative to other employees rather than on the extent to which the employee is fulfilling the job duties/expectations.

- Solutions:**
- Base your performance evaluation on specific, pre-determined job duties and expectations.
 - Do not rate employees in any particular order (i.e. do not rate the best or worst employee first).
 - Rate employees on the extent to which they fulfill the job duties and expectations. Compare scores after, rather than before, an evaluation.
 - Never use a normal or bell-shaped curve performing evaluations. This forces ratings to meet an artificial distribution.

The First-Impression Error: The tendency of a rater to make an initial favorable or unfavorable judgment about an employee that is not justified by the employee's subsequent job performance and/or behavior.

- Solutions:**
- Reserve all judgments about an employee until the end of the performance evaluation period.
 - Be a note taker rather than an evaluator during the performance period. Ideally, evaluators should record an employee's behavior that they observed which led to adequate or inadequate performance on job assignments. The evaluator should always inform the employee of inadequate performance and provide suggestions for performance improvement prior to the annual evaluation.

The "Similar-to-Me" Error: A tendency to judge more favorably employees who are similar rather than dissimilar to the evaluator in attitudes and background even if the latter are not job-related.

- Solutions:**
- Establish performance expectations on all job duties at the beginning of the performance period.
 - Make certain that all expectations on which employees are evaluated are job related.
 - Rate employees solely in relation to the job duties, not in terms of how similar they are to one's self.

The Leniency Error: Being "easy" on favored or problem employees or giving everyone a high rating, regardless of actual performance, in an attempt to avoid conflict or to make yourself look good.

- Solutions:**
- During the performance period, keep documentation on exactly what you observe in the employee's performance.
 - Compare what you record with the job duties and expectations required.
 - Rate the employee's performance of the job duties in relation to the performance expectations established for the position.

The Central Tendency Error: “Clumping” or clustering all employees in the middle performance rating in an attempt to avoid extremes. Usually caused by a desire to not call attention to yourself or by a misapplied sense of “democracy.”

Solutions: During the performance period, keep documentation on exactly what you observe of the employee’s performance.
Compare what you record with the job duties and expectations required.
Rate the employee’s performance of the job duties in relation to the performance expectations established for the position. Be sure expectations are SMART (Specific, Measurable, Attainable, Relevant and Time-Bound).

The “Halo” Effect Error: Letting one favored trait or work factor influence all other areas of performance, resulting in an unduly high overall performance rating.

Solutions: Rate the employee on performance that defines a given job duty or expectation.
Recognize that different performance expectations are not always related. An employee can perform one job duty well while performing poorly in another.

The “Horns” Effect Error: The “dark side” of the “Halo” Effect which allows one disfavored trait or work factor to overwhelm positive performance elements, resulting in an unfairly low overall performance rating.

Solutions: Rate the employee on performance that defines a given job duty or expectation.
Recognize that different performance expectations are not always related. An employee can perform one job duty poorly while performing well in another.

The Recency Error: Rating on the most recent performance rather than across the entire rating period.

Solution: Review performance expectations for the entire performance evaluation period, not the most recent event.

The Rank Order Error: Rating employees in rank order rather than on an individual basis.

Solution: Recognize employees perform at different levels. Build in equitable performance expectations that are generic to those employees within the same classification.

Agency Liaison Responsibilities

Each cabinet/agency in state government has an agency liaison for employee performance evaluation. Agency liaison responsibilities are as follows:

- I. To provide information to employees and supervisors relative to the employee performance evaluation system. This will include the following:
 - A. To distribute information to employees and supervisors as requested by the Personnel Cabinet.
 - B. To remind all supervisors of the performance plan, interim review meetings, and the annual evaluation prior to the date each should occur.
 - C. To distribute necessary employee performance evaluation materials.

- II. To coordinate all employee performance evaluation training within the agency. This will involve the following:
 - A. Identification of all staff person(s) who train or assist in training of supervisors in the agency.
 - B. To attend required training on employee performance evaluation given by the Personnel Cabinet. This training is also required for any persons who will assist in training.
 - C. To maintain a current listing of supervisors in the agency.
 - D. To monitor the supervisory staff changes and performance evaluation training conducted within the agency to insure the following:
 1. all persons who supervise receive the required training.
 2. all training be consistent with information explained in the Supervisor Evaluation Handbook/Training and the Employee Evaluation Handbook/Orientation Training.

- III. To monitor supervisor compliance to all meetings required in the employee performance evaluation process.

- IV. To counsel and advise supervisors as needed on problems relating to the evaluation of employees.

- V. To submit to the Personnel Cabinet the rating information on all employees eligible for annual performance evaluations.

- VI. To maintain all employee evaluation documents in the agency's central personnel file.

- VII. To complete reports and assist in the auditing of evaluation documents as requested by the Personnel Cabinet to be used in monitoring the performance evaluation system.

You will find a listing of Performance Evaluation Liaisons at the following link:
<https://personnel.ky.gov/Pages/learning-PerfEval-EVAL.aspx>

For more questions and answers regarding the employee performance evaluation system or if you have other questions regarding the evaluation process, refer to our web site at <https://personnel.ky.gov/Pages/learning-PerfEval.aspx> or contact the Performance Management Program Administrators at (502) 564-6811 or 6817.