Introduction and Navigation

- This course contains audio. To utilize the audio feature, please make sure your headset or speakers are turned on and working at this time.
- The buttons you need to navigate the course are located at the bottom of the screen.

Click Forward \( \text{播放} \) to proceed to the next slide.
Purpose

The purpose of this course is to provide supervisors with an overview of the performance management process and the basic skills needed to manage and evaluate performance within the merit system.

Objectives

- Define performance management
- Discuss the three phases of performance management:
  - Performance planning
  - Performance coaching and feedback
  - Performance evaluation and ratings
- Discuss the requirements of 101 KAR 2:180
- Identify additional performance management resources
Performance Management

Performance Management is a fundamental process used by supervisors to:

- Accomplish mission, goals, and work tasks
- Develop employees
- Promote and improve employee effectiveness
Importance of Performance Management

- Provides feedback to employees
- Encourages performance improvement
- Motivates exceptional performance
- Helps set and measure goals
- Identifies poor performers and exceptional performers
- Determines individual training and development needs
- Provides documentation for personnel decisions
- Helps determine promotions
- Improves overall organizational performance

Three Phases of Performance Management
1. Performance Planning
- Incorporates the organization’s mission and goals
- Identifies and documents the duties and behaviors employees are expected to perform and to what standard

2. Coaching and Feedback
- Links planning and performance evaluation
- Ongoing management by providing feedback on job performance and expectations
- Interactive process between supervisor and employee
- Documentation of performance progress
3. Performance Evaluation

- Tool to assess employee’s performance of job duties and expectations
- Assessment results in an overall score and rating
- Rating justified by documentation

Performance Management vs. Performance Evaluation:

- More than just an annual performance evaluation, performance management is the continuous process of setting objectives, assessing progress, and providing ongoing coaching and feedback.
- Performance evaluation is only one part of the overall performance management process and, on its own, does not necessarily result in better performance or productivity.
Overview

The performance evaluation system should:
- Create a mutual understanding between you and the employee about his or her job duties and responsibilities
- Establish performance objectives for the appraisal period
- Identify and resolve performance issues, as necessary
- Provide evaluators with information to aid in the assessment of an employee’s job performance
Evaluation System

The employee performance evaluation system allows employees to participate in their own career development and advancement by:

- Discussing job duties and expectations for the coming year
- Communicating throughout the performance year to discuss accomplishments and successes as well as concerns or problems
- Reviewing annual performance at the end of the annual performance period

Evaluation Process Flow


Positive
- Documentation
- Employee growth
- Development plans

Negative
- Documentation
- Corrective action
- Job duty change
The Commonwealth of Kentucky constitution gives the General Assembly the ability to pass laws, in the form of bills, which then become part of the Kentucky Revised Statutes (KRS). These statutes are broad in nature and in most cases give state agencies the authority to promulgate administrative regulations, which become part of the Kentucky Administrative Regulations (KARs). These regulations refer back to a statute, and give more clarity and direction.

The following slides detail the statutes and regulations related to the employee performance evaluation system.
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.

KRS 18A.110 – Statute

The statute as relates to the employee performance evaluation system reads as follows:

KRS 18A.110 (1)(i)

Employee evaluations.

KRS 18A.110 (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.

NOTE: Click the above link to access the complete statute KRS 18A.110.
101 KAR 2:180 – Regulation

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.

101 KAR 2:180, Section 1

101 KAR 2:180 - Regulation

- The annual performance period shall be one (1) calendar year beginning on January 1.
- All agencies shall use the Annual Employee Performance Evaluation form.

NOTE: Click the above links to access the complete regulation 101 KAR 2:180 and the Performance Evaluation form.
The Personnel Cabinet or agency personnel shall provide supervisor evaluation training on the performance evaluation system.

- The appointing authority shall require that supervisor evaluation training is completed prior to completing performance planning, interim reviews, and annual evaluations of employees.
- The Personnel Cabinet shall monitor and validate compliance with supervisor evaluation training requirements.
All evaluators must complete the classroom based training course "Performance Matters" offered by the Performance Management Program Consultants in the Personnel Cabinet or by approved agency personnel.

This course requirement MUST be fulfilled before evaluators can complete performance plans, interim reviews, or annual performance evaluations.

An employee shall complete orientation to the performance evaluation system prior to January 1 of the employee’s initial performance evaluation period.
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.

Example:

If an employee is on initial probation during a performance year, this employee would not be eligible to be evaluated through the evaluation program because the employee was not in continuous merit status for the entire performance year.

NOTE: Although an employee may not be eligible to be evaluated through the evaluation system, supervisors should still communicate with the employee regarding job tasks, performance expectations, and any concerns.
Phase 1: Performance Planning

Agency Mission (Goals)

Planning
January

Interim Review
July

Interim Review
January

Evaluation
January

Agency Results
Purpose of Performance Planning

- Define and agree upon the results the employee will be held accountable for achieving
- Define how the achievement of those results will be measured
- Specify job responsibilities and expectations in four categories:
  a) Job tasks
  b) Adaptability / Initiative
  c) Communication / Teamwork
  d) Self-Management

The evaluator shall establish a performance plan for each eligible employee no later than January 31 after the start of the performance period.
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 shall meet with the employee when completing the performance plan to discuss job duties and expectations.

101 KAR 2:180, Section 3

Performance Planning

The performance plan shall specify job responsibilities and expectations in the four (4) categories:

1. Job tasks
2. Adaptability / Initiative
3. Communication / Teamwork
4. Self-Management
Performance Expectations

- Evaluators should be as thorough and detailed as possible when writing performance expectations.
- Expectations should be “SMART”.

Writing Performance Expectations

- **S**: Specific
- **M**: Measurable
- **A**: Attainable
- **R**: Relevant
- **T**: Time-Bound
SPECIFIC
Expectations must be clear and specific. When expectations are specific, the employee knows exactly what is to be achieved or accomplished.

MEASURABLE
Indicates how you know if the expectation has been achieved (e.g., quality, quantity, cost, time, what will be different if achieved, conditions that will exist if achieved.)

ATTAINABLE
Expectations must be realistic and attainable by average employees. Expectations should be challenging but not out of reach of the employee or below standard performance.

RELEVANT
Expectations are related to the goals of the agency and contribute to the achievement of these goals.

TIME-BOUND
The amount of time and resources that are specific or limited (e.g., deadlines, when something is to be done, goals have starting points and ending points.)
Category 1

Job tasks

• The job tasks category shall identify specific duties and expectations of the position held by the employee.
• The employee’s job duties shall be consistent with the position description.
• Duties and expectations shall be in writing.
• The evaluator shall assign points to identified duties and expectations.

Definition:

What is a Position Description (PD)?

A position description is a statement of the major duties, responsibilities, supervisory relationships, organizational location, and any other aspects of a given position that may be necessary for proper classification.

NOTE: Evaluators should reference an employee’s PD when creating the performance plan to ensure consistency.
Supervisors have access to view and print employee’s position descriptions through KHRIS Manager Self-Service (MSS).

### Job Tasks

<table>
<thead>
<tr>
<th>DUTIES</th>
<th>PTS</th>
<th>EXPECTATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides Administrative Support</td>
<td>35</td>
<td>Provides Administrative support to the Division staff by routing incoming phone calls and requests for assistance within 24 hours of receipt. Assists with delivery of Division mail by 4 PM each day and in accordance with Interoffice policies and procedures. Delivers Division paychecks each pay date by 9 AM.</td>
</tr>
<tr>
<td>Assists with batching and scanning Division documents</td>
<td>25</td>
<td>Assists with batching and scanning backup documents for the Processing and Records Branch each day by 4:30 PM. Upon request batches and scans special documents for the Director’s Office by the given completion time/date.</td>
</tr>
</tbody>
</table>
Behavioral Expectations

Behavioral expectations are competencies the employee is expected to apply or the values the agency expects the employee to adhere to when performing job duties.

The following categories exemplify behavioral expectations:

- Adaptability / Initiative
- Communication / Teamwork
- Self-Management

Category 2

Adaptability/Initiative

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

<table>
<thead>
<tr>
<th>DUTIES</th>
<th>PTS</th>
<th>EXPECTATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demonstrating Initiative</td>
<td>3</td>
<td>Agrees to take responsibility for job duties and actions. Employee is knowledgeable about what is required and resources available to complete assigned job tasks. Demonstrates the ability to perform job tasks without constant supervision but seeks advice in unfamiliar situations. Accepts change and is willing to respond to new job tasks for the benefit of the agency.</td>
</tr>
<tr>
<td>Management of Job Related Requests/Demands</td>
<td>5</td>
<td>Demonstrates adaptability by managing work related tasks determined by the employee’s workflow, supervisor, agency or cabinet. Employee keeps documentation of job tasks and changes in priorities and makes available upon request by supervisor.</td>
</tr>
</tbody>
</table>

Category 3
Communication/Teamwork

- The communication/teamwork category shall identify requirements of the agency.
- The evaluator shall place each requirement under this category in writing and assign points weighted by importance.
Category 4

Self-Management

- 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.
**Self-Management**

<table>
<thead>
<tr>
<th>DUTIES</th>
<th>ECTS</th>
<th>EXPECTATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self Management (midterm's points, weighted by importance)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attendance</td>
<td>5</td>
<td>Sick, annual and comp leave are accrued and used according to regulation and agency policy. Annual and comp leave requests are submitted in writing to supervisor and approved in advance. Leave time is managed so that it does not harmfully affect work performance.</td>
</tr>
<tr>
<td>Punctuality</td>
<td>3</td>
<td>Employee arrives to and leaves their workstation when scheduled. Completes with time allowed for lunch and breaks.</td>
</tr>
<tr>
<td>Dependability/Responsibility</td>
<td>3</td>
<td>Abides by the due dates for assigned job tasks. Accepts responsibility for own actions and work output. Employee complies with federal, state and agency policies and procedures including those regarding safety, confidentiality, harassment, workplace violence and computer/internet use.</td>
</tr>
<tr>
<td>Career Development</td>
<td>2</td>
<td>Seeks and accepts career development opportunities. Completes a minimum of six (6) job related training or professional development hours per year.</td>
</tr>
</tbody>
</table>

- The evaluator shall place each requirement under this category in writing and assign points weighted by importance.
- The evaluator shall develop the performance plan after consultation with the employee.
- 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.
- 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.
Total points assigned for all four (4) categories shall equal 100 total points. The evaluator shall distribute points among the four (4) categories.

The job tasks category shall have a minimum of fifty (50) points designated; and

The other three (3) categories shall have a minimum of five (5) points designated to each category.
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.

- The employee shall be given written notice of changes to the performance plan.
- Changes to the performance plan shall be indicated on the evaluation form or on a supplemental sheet attached to the form.
- Changes to the performance plan shall be initialed and dated by the evaluator and the employee when changes become effective.
**Remember:**

- An evaluator is not required to supervise an employee sixty (60) days in order to develop a performance plan.
- An evaluator must complete the mandatory supervisor evaluation training before completing a performance plan.
- All signatures must be in **red** ink unless signed electronically.

**Tips:**

- Base duties and expectations on the employee’s Position Description
- Explain the tools you will use to document and measure performance
- Conduct the meeting in a comfortable environment and allow adequate time
- Explain how the employee can monitor his/her own performance
Phase 2: Performance Coaching and Feedback

- **Agency Mission (Goals)**
  - Planning: January
- **Interim Review**
  - July
- **Interim Review**
  - January
- **Evaluation**
  - January

**Agency Results**
Purpose of Performance Coaching and Feedback

- Create a continuous, two-way process between the employee and supervisor to:
  - Keep the employee's performance on track
  - Seek and give feedback
  - Help the employee be successful in the job
  - Make course corrections when performance is off track or priorities change

A mid-year and year-end interim review shall be required during the performance year

- The evaluator shall document the interim reviews.
- Interim reviews shall not contain a rating.
- The interim meeting section of the evaluation form shall contain comments by the evaluator for each category.
The employee and evaluator shall sign the performance evaluation form to certify that the interim reviews occurred.

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.
Except as requested by the appointing authority and authorized by the Secretary of Personnel, the evaluator shall schedule interim reviews to discuss performance for the following interim periods:

- January 1 through June 30
- July 1 through December 31
• Mid-year interim review shall be completed no later than July 31 and year-end interim review shall be completed no later than January 31.

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

The mid-year 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:

**Mid-year review:** July 31

**Year-end review:** January 31
Documentation

Documentation is used to prepare for the interim reviews and annual performance evaluation, as well as other HR decisions, if necessary.

Applicable documentation should:
- Record performance and conversations the same day it takes place
- Documentation of conversations should include the date, the evaluator’s name and title, and the employee’s name and title
- Not contain abbreviations, editorials, or characterizations
- State the action discussed with the employee

Examples:

Appropriate Documentation
- Work samples
- Letters of commendation
- Emails related to work projects and outcomes
- Certificates of completion
- Quantitative performance records
- Disciplinary notes or forms
- Factual details about work related situations and performance
Inappropriate Documentation

- Gossip
- Unsubstantiated comments from others
- Personal feelings or comments
- Accusations that have not been investigated
- Medical diagnosis or comments regarding medical conditions
- Reference to employee being on specified types of leave (i.e. military, maternity)

Examples:

- Evaluators should provide specific performance examples
- Comments such as “Bob is a great worker” or “Sally is an outstanding employee” do not provide enough detail
- Give examples to demonstrate “how” or “why” an employee “exceeds” or “fails to meet” an expectation

Interim review comments should document performance to justify the annual performance rating.
Documentation

- If an employee is suspended during an interim review period, the evaluator should document this in the interim comments.
- The following statement should be included:
  Notice: The employee was suspended during this interim review period. (See attached documents)

When Performance Does Not Meet Expectations

When an employee’s performance falls below expectations, the supervisor should document the performance deficiency and take action to ensure the issues are corrected.
Coaching Performance Issues

- **Clarify expectations** by speaking with the employee to determine the source of the issue. Ask clarifying questions to involve the employee in determining how to overcome the performance issue.
- **Remove barriers**, real or perceived, to promote success.
- **Create forward movement** to help the employee take action and achieve the desired results.

Performance Improvement Plan

A performance improvement plan (PIP) is designed to facilitate constructive discussion between the employee and the supervisor when it becomes necessary to help an employee improve performance.

- Identify work performance to be improved
- Clearly state the performance expectation
- Identify the support / resources you will provide
- Communicate your plan for providing feedback
- Specify possible consequences if performance standards are not met
Remember:

- Interim reviews must include work related comments regarding each performance category. Additional documentation may also be attached.

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

- An evaluator must complete the mandatory supervisor evaluation training before completing an interim review.

- Coaching and feedback should occur at any time during the performance year, not just at the scheduled interim review meetings.
Tips:

- Base comments on objective observations and documentation, not subjective judgments and feelings.
- Arrange adequate time for your comments as well as comments from the employee.
- Ask the employee what the evaluator can arrange in terms of training, equipment or assistance to help them improve their performance.
- Describe specific observations during feedback and show the documentation on which you are basing your comments.

Evaluation
Phase 3: Evaluation

Purpose of Evaluation

Provide a formal summary of the performance discussions that took place all year.
The first line supervisor of an employee at the time the evaluation is due shall be the evaluator.

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

The evaluator and the employee shall meet no later than January 31 after the performance period ends to discuss the performance ratings.

Eligible employees shall be evaluated in the four (4) categories.
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.

The final performance evaluation shall consist of a defined numerical rating. Point values for the overall performance rating shall be:

- Outstanding: 450 to 500 points;
- Highly effective: 350 to 449 points;
- Good: 250 to 349 points;
- Needs Improvement: 150 to 249 points;
- Unacceptable: less than 150 points.

**Rating**

- Multiply the points assigned to each job duty by the numerical rating to obtain the point total for each category.
- Add the total points in all four categories to obtain a final performance evaluation score.
### Form:

**Points X Rating = Total**

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Points</th>
<th>Rating</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides Administrative Support</td>
<td>35</td>
<td>4</td>
<td>140</td>
</tr>
<tr>
<td>Assists with batching and scanning Division documents</td>
<td>15</td>
<td>4</td>
<td>60</td>
</tr>
<tr>
<td>Maintains the Division supplies and materials</td>
<td>7</td>
<td>4</td>
<td>28</td>
</tr>
</tbody>
</table>

**Evaluation of Employee Performance**

Add category totals for the final total.
Category Totals form Overall Total/Score

Final score results in overall performance rating

Avoid Common Rating Errors

- **Leniency** - rating everyone positively
- **Severity** - avoiding highly positive ratings
- **Halo Effect** - one positive attribute causes the evaluator to rate other attributes more positively than deserved
- **Horns Effect** - one negative attribute causes the evaluator to rate other attributes more negatively than warranted
- **Central Tendency** - clumping all employees in the middle performance rating in an attempt to avoid extremes
Avoid Common Rating Errors

- **Recency Bias** - allowing recent recollections to influence ratings
- **Similarity** - sharing attributes with the employee leading to a favorable rating
- **Negative Event** - allowing a single negative event to influence the overall perception of performance
- **Comparison** - rating based on comparisons with other employees, rather than employee performance
- **Rank Order** - rating in rank order rather than on an individual basis

Signatures of the evaluator, employee, and next line supervisor shall be required on the final evaluation.

- The next line supervisor shall sign the evaluation after it is completed, signed, and dated by the evaluator and the employee.
Next line supervisor signatures must also be completed in accordance with the mandated compliance dates.

Next line supervisors may request to review final evaluations prior to the evaluation being presented to the employee to identify any issues or concerns.
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.

101 KAR 2:180, Section 5

Performance Incentives

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

- Two (2) workdays, not to exceed sixteen (16) hours, for an "Outstanding" rating; or
- One (1) workday, not to exceed eight (8) hours, for a "Highly Effective" rating.
Performance evaluations shall be in writing. The evaluator shall:

- Present and explain all documentation relevant to an employee’s performance evaluation;
- Discuss both the positive and negative aspects of performance with the employee at the annual evaluation;
- Elicit the employee’s opinions and concerns; and
- Discuss measures to improve or enhance performance with the employee.

**Year-End Evaluation Discussion**

- Put the employee at ease
- Remember that evaluation stirs up emotions
- Discuss the employee’s performance specific to expectations on the performance plan
- Use specific examples
- Discuss reasons for or barriers to success
- Discuss development plans or corrective actions
- Stay on track
- Summarize
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.

101 KAR 2:180, Section 5

(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.

101 KAR 2:180, Section 9
The exception decision shall be sent, in writing, to the appointing authority within ten (10) days of receiving the request for exception.

Remember:
- The evaluator must supervise the employee for sixty (60) days during the performance year to complete their annual performance evaluation.
- The evaluator shall review the interim reviews as supportive documentation to determine the ratings for the performance year.
- All signatures must be in red unless electronically signed.
- Evaluators MUST use the official form supplied by the Personnel Cabinet to complete evaluations for eligible employees. This form is incorporated in the regulation and cannot be altered.
Tips:

- Assign ratings based on objective observations and documentation
- Talk WITH the employee and not AT the employee
- Stay positive about the employee, but do not ignore performance difficulties
- Do not wait until the annual evaluation to discuss performance problems
- Schedule adequate time for the meeting to allow for your and the employee’s comments

Reconsideration and Appeal Process
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.

Within five (5) working days of the receipt of the request for reconsideration, the initial reconsideration shall be conducted by the evaluator.

Reconsideration Request Form:

- **Employee**: Jane Employee
  - **Supervisor**: John Supervisor
  - **Date**: 01/01/2016

**Final Performance Evaluation**

<table>
<thead>
<tr>
<th>Category</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adaptability/Initiative</td>
<td>10</td>
</tr>
<tr>
<td>Communication/Teamwork</td>
<td>40</td>
</tr>
<tr>
<td>Self Management</td>
<td>40</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>90</td>
</tr>
</tbody>
</table>

**Overall Performance Evaluation**

- Outstanding (40 and above)
- Highly Satisfactory (30 to 40)
- Satisfactory (20 to 29)
- Needs Improvement (10 to 19)
- Unsatisfactory (0 to 9)

**Employee Response**

- Agree with performance evaluation and request reconsideration
- Disagree with performance evaluation and request reconsideration

This is to certify that I have met with my evaluator to discuss my final performance evaluation.
If the employee refuses to sign the form in the employee response section, the evaluation shall 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 reconsideration of the evaluation by the next line supervisor.

If 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 response to the request for reconsideration and compliance with this administrative regulation.
The next line supervisor shall:

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

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**Results of Reconsideration Signature Page**

**D. RESULTS OF INITIAL RECONSIDERATION:** Unless completed under the EEO Investigative Data Report Act, within 30 calendar days after initial reconsideration, the employee and evaluator of the initial reconsideration decision inform the supervisor by any means the supervisor deems appropriate.

- [ ] No Change on Evaluation
- [ ] Change on Evaluation

**EVALUATOR SIGNATURE**

**DATE**

**EMPLOYEES SIGNATURE**

**DATE**

**F. RESULTS OF FINAL RECONSIDERATION:** Must be completed within 30 calendar days after the initial reconsideration decision. Unless completed under the EEO Investigative Data Report Act, within 30 calendar days after initial reconsideration, the employee and evaluator of the final reconsideration decision inform the supervisor by any means the supervisor deems appropriate.

- [ ] No Change on Evaluation
- [ ] Change on Evaluation

**EMPLOYEES SIGNATURE**

**DATE**
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.

**Evaluation Based Agency Action**

If an employee receives an overall rating of “Unacceptable”, the agency shall:

- Demote the employee to a position commensurate with the employee’s skills and abilities; or
- Terminate the employee.
Evaluator Responsibility

If an employee receives an overall performance rating of “Unacceptable” and checks the “Agree with performance evaluation” box in the Employee Response section, the evaluator should clearly inform the employee that he or she will be demoted or terminated and advise him or her of the right to request reconsideration.

Process Overview:

<table>
<thead>
<tr>
<th>Level</th>
<th>Action</th>
<th>Time Frame</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee</td>
<td>Requests initial reconsideration</td>
<td>Within 5 working days of initial eval</td>
<td>Select “Disagree with evaluation” check box</td>
</tr>
<tr>
<td>Evaluator</td>
<td>Responds to initial request</td>
<td>Within 5 working days of request receipt</td>
<td>Conducts initial reconsideration</td>
</tr>
<tr>
<td>If initial request for reconsideration is unresolved:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employee</td>
<td>Requests reconsideration from Next Line Supervisor</td>
<td>Within 5 working days of reconsideration rating</td>
<td>Select “Disagree with evaluation” check box</td>
</tr>
<tr>
<td>Next Line Supervisor</td>
<td>Responds to both Employee and Evaluator</td>
<td>Within 15 days of request receipt</td>
<td>Responds to both parties in writing</td>
</tr>
<tr>
<td>All steps exhausted &amp; has one of two lowest ratings:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employee</td>
<td>Appeals to Personnel Board</td>
<td>Within 60 calendar days</td>
<td>Personnel Board appeal form</td>
</tr>
</tbody>
</table>
Evaluation Liaison Responsibilities

Responsibilities
Each cabinet/agency in state government has an agency liaison for employee performance evaluation. Liaison responsibilities include the following:

• To distribute information to employees and evaluators as requested by the Personnel Cabinet.

• To coordinate all employee performance evaluation training within the agency.

• To monitor evaluator compliance in all meetings required by the employee performance evaluation process.
Responsibilities

• To counsel and advise evaluators as needed on issues relating to the evaluation of employees.
• To submit to the Personnel Cabinet the rating information on all employees eligible for annual performance evaluations.
• To maintain all employee evaluation documents in the agency’s central personnel file.
• 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.

Summary
Performance Management: The Evaluator’s Role

- Actively participate in the evaluation process. Performance management is a continuous, two-way process between the employee and the supervisor.
- Clearly document job performance, accomplishments, and successes and share with employee.
- Assess skills and performance gaps and provide feedback to employee.
- Provide training and development opportunities to the employee.

Performance Plan:

- A performance plan will be developed consisting of duties in the categories of Job Tasks, Adaptability/Initiative, Communication/Teamwork, and Self-Management.
- The job tasks on the performance plan should be consistent with the position description.
- Each job task should have expectations that are specific, measurable, attainable, relevant, and time-bound.
Interim Reviews:
- The evaluator is required to schedule interim reviews to discuss the following performance periods: January 1-June 30 and July 1-December 31.
- Interim review meetings are to be conducted no later than July 31 and January 31.
- Interim reviews should document performance that supports the annual performance rating.
- Interim reviews should document accomplishments and successes as well as areas of improvement.
- Interim review meetings should be interactive and involve discussion and feedback from both the evaluator and the employee.

Annual Performance Review:
- The evaluator is required to meet with eligible employees no later than January 31 after the end of the annual performance period to discuss performance ratings.
- Final annual performance rating should be supported with work performance examples and documentation.
- Examples of appropriate documentation may include emails related to work projects, letters of commendation, work samples, quantitative records, and certificates of completion.
- Unresolved disagreements on any aspect of the evaluation are required to be reviewed through the reconsideration process established in regulation.
If you have questions regarding the employee performance evaluation program, please contact your **agency evaluation liaison**.

**Resources:**

Personnel Cabinet Performance Management website:  
https://personnel.ky.gov/Pages/learning-PerfEval.aspx
  
Kentucky Law  
http://www.lrc.ky.gov/Law.htm

  
KRS 18A.110  
101 KAR 2:180

**NOTE:** Click the above links to access the agency liaison list and the Personnel Cabinet and Kentucky law websites.

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**Evaluator Acknowledgement Form**

Upon completion of this course, please print and sign the Acknowledgement Form and forward the completed form to your supervisor.

Click this link to access the form:  
[Acknowledgement Form](#)
End of Course

Congratulations!

You have completed the Performance Management – Supervisor Evaluation Training.

We hope you found the content informative and helpful.

Thank you for completing this course.

12/01/2016