Performance Management
Agency Administrator Manual

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Introduction

Per KRS 18A.110 and 101 KAR 2:190, the Personnel Cabinet, Department of Human Resources Administration (DHRA) is responsible for administering the statewide employee performance evaluation process that is supported by MyPURPOSE, the Commonwealth of Kentucky's talent management system, powered by Cornerstone OnDemand.

This manual contains information intended to educate agency Performance Management Administrators (PM Admins) about the performance evaluation process within MyPURPOSE/MyPERFORMANCE. The process is a web based self-service performance evaluation application for evaluators, next line supervisors, employees, and human resources professionals. It is a tool used for planning, collaborating, communicating, assessing and monitoring the evaluation process. The performance evaluation process within Kentucky State Government includes an Annual Performance Planning, Mid-Year Interim Review and Year-End Interim Review and Final Evaluation phase.

Please become familiar with the contents of this manual and keep it readily accessible. It will be helpful in answering questions and providing assistance while you monitor the performance management process for your agency. Keep in mind the information in this manual is an overview of the performance management process and situations that may occur when administering the process. The information will not be inclusive of every situation that may occur.

Other resources and information regarding the performance management process can be found on the Personnel Cabinet website. If you need additional assistance, submit a business request to the Personnel Cabinet Performance Management Administrators.

Performance Management Administrator Responsibilities

Each agency designates an individual(s) as its agency Performance Management Administrator(s), with responsibility of overseeing the performance management process within the agency. All Performance Management Administrators must complete Performance with a Purpose and Performance Management Administrator training. After completing the required training, the agency security contact will submit a business request to the Personnel Cabinet to assign the security role in MyPURPOSE to grant the contact access to reporting within the Performance Management module in MyPURPOSE.

Performance Management Administrators play an important role in ensuring the success of the performance process. A few key responsibilities are listed below:

- Monitors and ensures all supervisors complete the required "Performance with a Purpose" training and the online Guide to Performance Management tutorials provided by the Personnel Cabinet.
- Monitors and ensures all eligible employees have completed the required online Guide to Performance Management tutorial provided by the Personnel Cabinet.
- Ensures evaluators meet the 60-day requirement to complete final evaluations for employees.
- Distribute information to employees, evaluators and next line supervisors as requested by the Personnel Cabinet.
- Works with agency HR to ensure "Reports to Relationships" are correct within KHRIS.
- Monitor evaluator and next line supervisor vacancies.
- Ensures employees on leave are properly reported each performance phase.

- Submit extension request to the Personnel Cabinet Performance Administrators for evaluator who are unable to meet the compliance date within each phase.
- Monitor compliance on all tasks required by the performance evaluation process.
- Complete reports and assist in the auditing of evaluation documents.
- Counsel and advise evaluators, next line supervisors and employees as needed on issues and questions relating to the evaluation process.

Performance Management Process Overview

Employee Eligibility:

Per regulation, performance evaluations shall be completed for all full time classified employees who held status as of January 1 of the performance year, and have remained in continuous merit status throughout the entire performance year.

Within an organizational unit, all unclassified employees in federally funded time-limited (FFTL) or grant funded time-limited (GFTL) positions may participate in the evaluation process at the option of the appointing authority. These employees shall not be eligible for performance incentive awards nor do they have appeal rights to the Personnel Board.

Once a year, the Personnel Cabinet will send an email and form to agencies with information on how to opt in FFTL or GFTL positions for the next performance year. The Agency Performance Management Administrator will submit the required form for FFTL and/or GFTL employees, who the agency's appointing authority has approved to participate in the performance management process. The agency Performance Management Administrator will submit the form through a Business Request, by the designated date set by the Personnel Cabinet.

Components of Performance:

Performance management assesses employees' strengths and areas for improvement to develop employees within the organization. To do this, performance management focuses on two main measures of success, **"What"** gets accomplished and **"How"** it gets accomplished.

What employees accomplish is measured against specific **Goals** and **Tasks** outlined in the Annual Performance Plan. These include:

- Goals that are related to the Commonwealth's and the agency's mission, vision, and goals.
- Goals that are linked to specific job responsibilities outlined in the employee's Position Description.
- Special projects and activities assigned to the employee.
- Responsibilities specific to the Job Classification Specification.

How employees meet performance expectations is measured against **Competencies**. Competencies are the knowledge, skills, behaviors, attributes and other characteristics needed by employees to successfully achieve goals. These include the six (6) core competencies required of all eligible employees and three (3) additional leadership competencies for eligible managers and supervisors.

For more information, please reference the **Statewide Core Competency Definitions** listed on our website.

Performance Tasks

Personnel Cabinet Performance Management Administrators are responsible for initiating the performance review process by coordinating the launch of each phase within MyPURPOSE. After a phase is launched, tasks are available to evaluators, next line supervisors and employees for completion. The manager who the employee reports to in KHRIS will become the evaluator. To assist in auditing existing Reports-To relationships, the Management Analysis Report (ZOMR035) is available within KHRIS. Users with valid email addresses in KHRIS will receive an email when a step is assigned to them and when a required step becomes past due. Performance Management Administrators with the HR Generalist (HRG) role in KHRIS should use the Reports-To Relationship/Email Report (ZTMQ0002) to audit all position Reports-To relationships ***and*** work email addresses.

Each performance task will follow a step progression workflow, which is the sequence the task progresses through the system.

Task Due Date:

Each Performance phase has a task due date. The task due date is equal to the compliance date outline in regulation.

- Annual Performance Planning task due date = 01/31 of the current performance year
- Mid-Year Interim Review task due date = 07/31 of the current performance year
- Year-End Interim/Final Evaluation task due date = 01/31 of the following performance year

If the task due date is not met, the task will be considered out of compliance. As a Performance Management Administrator, you should run the Custom Step Status report to monitor compliance for your agency. Step by step instructions on how to run this report are located within the Reporting Manual located on our website.

Step Due Date:

Each step in a performance task has a due date. Required steps will not advance to the next step until completed. If a required step become past due it can still be accessed under, Past Due in a user's action items. Optional steps will advance automatically after the due date arrives, without any action.

For additional information, please see the task step progression details outline located on our website.

Vacancies

If the evaluator's position in KHRIS is vacant, MyPURPOSE will automatically assign the task to the next line supervisor and they will assume the role as the evaluator. The next line supervisor's manager will take the role as the next line supervisor.

If both the evaluator position and the next line supervisor position are vacant in KHRIS, when the steps reach the due date, the task will advance to the next step, in progression without any action. The Agency Performance Management Administrator should submit a Business Request to the Personnel Cabinet Performance Administrators for guidance.

To assist agencies in auditing vacancies, the Management Analysis report (ZOMR035) is available within KHRIS.

Reopen

Evaluators and next line supervisors have the ability to reopen step(s) during a performance phase to a previous step. The reopen button is located at the bottom of the Overview Section of each task. Evaluators cannot reopen a step to themselves; they may reopen to the employee or to the next line supervisor. Next line supervisors may reopen to either the employee or the evaluator.

A task may not be reopened twice, in other words if the next line supervisor reopens a step to the evaluator, the evaluator cannot reopen the step again.

When a step is reopened, the task is visible to the user it is assigned to in workflow AND the user it is reopened to. In other words, the task will show in both users action/request list.

When reopening a step, the evaluator or next line should not submit the task but simply exit the screen. Anytime a step is reopened, the users should communicate outside of the system. When reopened, tasks will not workflow back through any step that has been completed.

Co-Planner

The evaluator and/or next line supervisor has the ability to add a co-planner to an employee's evaluation task during any step. A co-planner allows for someone other than the current evaluator and/or next line supervisor to complete an employee's performance task. This feature should be used when a task needs to be assigned back to a prior supervisor for completion; when an evaluator does not meet the sixty (60) day requirement outlined in regulation; or if another evaluator has relevant feedback to weigh in on a task. This feature should NOT be used to have someone else complete performance reviews. When a co-planner is added, it is important to understand that the task is visible for both the user it is assigned to (evaluator and/or next line supervisor) and the co-planner. Communication is necessary so both individuals are not attempting to complete the same task for an employee.

Per 101 KAR2:190 the first line supervisor of an employee, when the evaluation is due shall be the evaluator. If the first line supervisor is not available or the position is vacant, the next-line supervisor is responsible for completing the performance phase.

Performance Phases

For step-by-step instruction on how an employee, evaluator and next line supervisor completes each performance phase in MyPURPOSE see the Guide to Performance Management user manual.

Annual Performance Planning:

The first phase in the employee evaluation process is the Annual Performance Planning. This is a collaborative process between the evaluator and employee. An employee's performance plan outlines competencies, goals, and tasks (performance expectations) that the employee will be evaluated on during the performance year. It describes performance expectations based on the employee's job class specification, position description and the agency's mission. The Annual Performance Plan should be tailored to fit the *employee*'s role and expectations.

Competencies:

The first section of the Annual Performance Plan is core competencies. All employees are required to be evaluated on the six (6) statewide core competencies that are automatically assigned to all eligible employees. There are three (3) additional leadership competencies assigned to eligible supervisors who have an employee reporting to them in KHRIS. Even though these are prepopulated, the evaluator has the ability to further define core competencies within the comments.

Please see the **Statewide Core Competency Definitions** for more information.

Goals and Tasks:

The second section of the Performance Plan is Goals. Goals are measurable outcomes or results. Evaluators are required to assign 3-5 goals with associated task to each employee. Goals should be written so that the individual can see how his or her goals are related to the agency's goals. *Goal expectations should be written and measured at the "satisfactory performance" level.*

The employee, evaluator, and the next line supervisor should be able to understand what is expected from the employee and how the employee's work will be evaluated. Goals should be consistent with job duties and responsibilities on the employee's Position Description. Each Goal must include at least one Task. Tasks include expectations that follow the SMART criteria (Specific, Measurable, Attainable, Relevant and Time-Bound).

Modifying the Plan during the Year:

Anytime a significant change occurs in an employee's job responsibilities and expectations, the evaluator should modify the Performance Plan. Modification of the performance plan may occur during the performance period if the changes are consistent with the duties reflected on an employee's position description. Modificatios to an employee's goals may be done from the My Goals page.

The evaluator should always notify the employee of changes to their Performance Plan. The employee should review the changes to their performance goals from the MyGoals page and comment to acknowledge review of the goals.

Changing Positions during the Year:

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 evaluator will do this by launching a new position performance planning task from the off-cycle processes in MyPerformance (see off cycles section below).

However, if an employee changes job or job titles **after** November 1st , the Year-End and Final Evaluation should be completed with the old goals and the new Annual Performance Plan should reflect the new title/goals.

Mid-Year and Year End Interim Reviews:

Performance management is not just a once-a-year evaluation and planning session. It is a year-round process in which the employee accomplishes what is outlined on their performance plan and the evaluator provides ongoing coaching and feedback throughout the year. It is always good practice for an evaluator to acknowledge when an employee is meeting the expectations. Encouragement of satisfactory and high performance can be very effective in keeping that performance consistent all year.

Interim reviews start with an employee Self-Review. This gives the employee the opportunity to make comments and attach documentation to their performance evaluation. All agencies should encourage employees to take advantage of the Self-Reviews.

During interim reviews, the evaluator is required to leave comments and provide documentation on all competencies and goals assigned to the employee. Comments should support the final rating assigned during the final evaluation.

The evaluator should highlight any instances or areas of exceptional performance or performance areas that need improvement. Some other topics and activities that may be appropriate for the discussion include:

- Reviewing the established performance expectations to ensure that they are accurate and up to date.
- Modifying performance expectations because of updated organizational goals.
- Identifying barriers that may be preventing the employee from meeting expectations.
- Developing specific actions to be taken so that the employee can meet or exceed expectations.

By the end of the review meeting, both evaluator and employee should have determined a course of action for ensuring improvement in any problem areas, and those plans should be documented.

Final Evaluation and Rating:

At the end of the performance year, the employee's performance is rated on competencies and goals outlined in the Performance Plan. The evaluator reviews what has been accomplished and how it has been accomplished by carefully reviewing interim comments and all the performance documentation that has accumulated throughout the performance year. The evaluator is required to assign one of the six (6) ratings to each competency and goal. These ratings have been adopted in order to help better distinguish levels of performance.

The overall rating is calculated on a 50-50 split. Competencies are equally weighted totaling 100%; this is done automatically in the system. Goals will be based on the assigned weights also equaling 100%. Each section is worth 50% therefor, the final overall rating is an average of the two sections. MyPURPOSE will automatically calculate the final rating once the year-end interim is completed and the evaluator assigns a rating to each competency and goal.

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.

For additional information please see the Rating Scale and the Final Core Competency Rating Criteria documents on our website.

Off Cycle Processes

Off Cycle processes include the New Position Performance Plan, Performance Improvement Plan (PIP) and Reconsideration Request.

New Position Performance Plan:

If an employee's position or job title changes during the review period, the evaluator must create a new Position Performance Plan no later than thirty (30) calendar days after the start date of the change. A New Position Plan should not be used if an Annual Performance Planning Task is missing after the January 1st launch. Please submit a Business Request to the Personnel Cabinet if a task is missing.

If an evaluator received an employee and a previous performance task was not completed by the previous evaluator, the performance review task will automatically be assigned to the new evaluator. The evaluator should take no action on the task. The previous manager **must** complete the task.

It is the responsibility of the Agency Performance Administrator and the evaluator to track and make sure compliance is met for those employees needing a new performance plan.

Agency Performance Administrators have access to run a custom report to track employees who received a New Position Performance Plan. Please reference the reporting manual for report instructions.

Guideline to completing a New Performance Plan

If an employee is received prior to June 1st, a New Position Performance Plan should be completed prior to completing the Mid-Year Interim Review.

If an employee is received after June 1st, the Mid-Year Interim Review should be completed with the previous goals and a New Positon Performance Plan created afterwards.

If an employee is received prior to November 1st, a New Position Performance Plan should be completed before completing the Year-End Interim Review/Final Evaluation.

If an employee is received after November 1st, the Year-End Interim Review/Final Evaluation should be completed based on the old goals and the New Annual Performance Plan should reflect the new title/goals.

Performance Improvement Plan (PIP):

A Performance Improvement Plan (PIP) is an optional process that can be used to help guide and document performance improvement. It is designed to facilate constructive discussion between the employee and the evaluator when it becomes necessary to help an employee improve performance. The evaluator is responsible for initating the Perfromance Improvement Plan within MyPURPOSE. Before initating, the evaluator should first consult with their agancy Human Resource Office for guidance and discuss with the employee. A system notification should not be the employee's fist notice of the Performance Improvement Plan. An evaluator can initate a Performance Improvement Plan at any time throughout the year. A Performance Improvement Plan is valid for sixty (60) days and may be initated multiple times throughtout the year by the evaluator, if needed.

Agency Performance Administrators will have access to run a custom report for those employees in their organizational units who received a PIP. Please see the Reporting Manual for instructions.

Reconsideration Process/Personnel Board Appeal:

Within five (5) working days of a performance evaluation discussion, an employee may request initial reconsideration of the annual evaluation by the evaluator. **If the employee declines to sign the Employee Acknowledgment step, the Final Evaluation will not be eligible for reconsideration.**

Within five (5) working days of the receipt of the request for reconsideration, the initial reconsideration shall be conducted by the evaluator and their recommendation submitted to the next line supervisor.

The next line supervisor shall review the request for reconsideration within ten (10) working days of receipt of the request for reconsideration. The next line supervisor shall inform both the employee and evaluator of the decision.

If changes need to be made, the evaluator will notify the Agency Performance Management Administrator and provide details about what corrections need to be made. The Agency Performance Management Administrator will submit a Business Request to the Personnel Cabinet for the task to be reopened.

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 section of the regulation.

Within sixty (60) calendar days after an employee has received the reconsideration decision, 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.

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 before appealing an evaluation to the Personnel Board.

Agency Performance Management Administrators will have access to run a custom report for employees who have launched a request for reconsideration. The report will also assist in monitoring the completion of each step in the process. Please see the Reporting Manual for instructions.

It will be the responsibility of the Agency Performance Management Administrator to submit a Business Request to the Personnel Cabinet for any step in the final evaluation task to be re-opened for a change.

Employees on leave during the performance year:

- Employees who have been on **military** leave for the *entire performance* year shall receive an annual performance evaluation rating consistent with what the employee would have attained with “reasonable certainty” had the employee remained in continuous status through the entire performance year. In most instances, this will be the rating from the previous performance year.
- Employees who have been on other types of leave for the *entire performance* year shall not receive an annual performance evaluation for that year. The agency shall place a memorandum in the employee’s personnel file and attach to the Year/End Interim Review/Final Evaluation task, explaining that the employee was on leave for the entire year and therefore, was not evaluated.

- Employees who have been on leave for *partia*l year for any reason shall receive an annual performance evaluation and should be evaluated based on expectations and performance during the time the employee worked.

For detailed information on employees on leave, please see the employee on leave guidance on our website.

Evaluator on Leave:

If an evaluator will be on leave for entire Annual Performance Planning phase, the evaluator has the ability to advance goals for current eligible employees prior to being on leave, through the MyGoals page. Once the Annual Performance Planning Phase is launched, the goals will automatically populate into the task. You, as the Agency Performance Management Administrator, would submit a Business Request to the Personnel Cabinet Performance Administrators to add the next line supervisor as the co-planner to complete the task. OR the manager can leave notes and prepare the next line supervisor to complete the Annual Plans as the co-planner. If the task cannot be completed within compliance, the Agency Performance Management Administrator should submit an extension request to the Personnel Cabinet.

Evaluators who will be on leave for the entire Mid-Year Interim Review phase can leave comments and attach any necessary documentation through the MyGoals page, as well pass along any notes on to the next line supervisor, regarding competencies for each employee prior to being on leave. Once the Mid-Year Interim Review is launched, the Agency Performance Management Administrator would submit a ticket to the Personnel Cabinet Performance Administrator to have the next-line set as the co-planner to complete the task. If the task cannot be completed within compliance, the Agency Performance Management Administrator should submit an extension request to the Personnel Cabinet.

Evaluators who will be on leave for the entire Year-End Interim Review/Final Evaluation phase can leave comments and attach any necessary documentation through the MyGoals page, as well pass along any notes on to the next line supervisor, regarding competencies for each employee prior to being on leave. Once the Year-End Interim Review/Final Evaluation is launched, the Agency Performance Management Administrator would submit a ticket to the Personnel Cabinet Performance Administrator to have the next-line supervisor added as the co-planner to complete the task. If the task cannot be completed within compliance, the Agency Performance Management Administrator should submit an extension request to the Personnel Cabinet.

Employee changes jobs after Nov 1 of the performance year

If an employee reports to a different supervisor after November 1 of the performance year, the final evaluation shall be completed by the former supervisor. A supervisor must supervise the employee for at least sixty (60) calendar days during the performance year to complete the evaluation.

In this situation, the current supervisor will assign the former supervisor as a co-planner. If the former supervisor is not known, the current evaluator should contact their Agency Performance Management Administrator for assistance. The former supervisor must be made aware of their responsibility to complete and submit the Year-End Interim Review/Final Evaluation task for the employee.

The former next-line supervisor will also be required to complete and submit the Next-Line Review step. The current next-line supervisor will assign the former next-line supervisor as a co-planner. If the former next-line supervisor is not known, the current next-line supervisor should contact their Agency Performance Management Administrator. The former next-line supervisor must be made aware of their responsibility to complete the Next-Line Review step.

If a current manager is changing jobs after November 1 and no longer managing their current employees, the next line supervisor who meets the sixty (60) day requirement, shall complete the Year-End Interim Review/Final Evaluation. However, we strongly encourage the manager to comment on all goals and attach any documentation through the MyGoals page prior to leaving.

Extension Requests

The Agency Performance Management Administrator will coordinate all requests for task extensions. Any request not submitted by the Agency Performance Administrator will not be processed. All requests for extension should be submitted no later than five (5) days prior to the task compliance date.
To request a task extension, submit the extension request form found on the Performance Management website and submit the form via a Business Request to the Personnel Cabinet. Once the request is reviewed, the Personnel Cabinet will respond through e-mail.

Compliance Monitoring - Reporting

Agency Performance Management Administrators are responsible for monitoring compliance and auditing throughout the year. The Personnel Cabinet will provide compliance guidance before the launch of each performance phase and periodically send out reports to assist. Agencies are responsible for following the guidance and reporting updates/feedback to the Personnel Cabinet while ensuring proper action is taken when necessary. Below lists several reports that will assist you in monitoring compliance and analyzing data related to goals, competencies and performance reviews.

Reports to Use:

- Custom Performance Review Step Status - locate a task in workflow and identify employees on leave to monitor the compliance date of each performance phase.
- Standard Performance Review Step Status- locate a task in workflow and to monitor the compliance date of each performance phase.
- Standard Performance Review - will aide in auditing comments left by the evaluator and employee within a performance review.
- Custom Year End Final Rating - will show employee final ratings to capture those employees who have received the lowest rating and will result in additional Personnel action.
- Custom Decline to Sign - will show you which employees have selected 'decline to sign' on their evaluation and will not be eligible for reconsideration
- Custom Goal Weight Summary - will show you the weight for each goal and will allow you to ensure all goals equal 100%.

Refer to your Performance Reporting Manual for additional report available to you and detailed instructions on running reports.

Submitting Business Requests

For support from the Personnel Cabinet Performance Management Administrators, please submit a Business Request. To do so:

1. Access MyPURPOSE
2. Hover over Need Assistance

3. Select Contact Us
4. Select the words “Click here”
5. You will access a screen asking for the following information; to be completed as indicated.
    a. Full Name
    b. Email
    c. Phone Number
    d. Area of concern- with a drop down arrow listing the areas of concern
        Select HR Performance Management
    e. Upload attachment- with a choice to enter the attachment name or browse to find your attachment
6. Select Submit once all information is completed as requested.

Once you submit the request, the website displays a screen notifying you that your submission was successful and provides the number assigned to the request, for tracking purposes. An email generates for confirmation of submission.

For more information regarding the employee performance management process or if you have other questions regarding the evaluation process, refer to our website at https://personnel.ky.gov/Pages/learning-PerfEval.aspx