

Employee Performance Evaluation System

Evaluator Handbook (Revised 02/2012)



Personnel Cabinet
Division of Employee Management
Performance Management Program
State Office Building
501 High Street
Frankfort, Kentucky 40601
<http://personnel.ky.gov/persadmin/hradministrators/hradmin.htm>

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Introduction

This handbook contains information intended to educate state government evaluators (supervisors) about the employee performance evaluation system.

The employee performance management system within Kentucky State Government is a 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. Evaluators must plan for performance and provide ongoing coaching and feedback regarding employee performance and evidence concerning performance problems. Next line supervisors must review performance plans and annual evaluations to ensure the process is completed in a fair and equitable manner. Additionally, employees are provided the opportunity to understand the evaluation system, become involved in the overall process and request reconsideration to annual evaluations on which they disagree.

Evaluators should constantly monitor their efforts in using the performance evaluation system. In this way, the system may serve the purposes for which it was designed and assist the evaluator in making the evaluation process a positive and resourceful tool for employee development, motivation and performance improvement.

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, please contact your agency/cabinet employee performance evaluation system liaison or you may contact the Personnel Cabinet, Department of Human Resources Management, Division of Employee Management at (502) 564-6464.

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.

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 performance of meeting or exceeding job duties and expectations. This assessment results in a rating, which is justified by documentation provided in the interim reviews.

Kentucky Revised Statutes and Administrative Regulations

What's New in 2012?

- Supervisor evaluation training is required prior to completing performance plans, interim reviews and annual evaluations.
- Three interim reviews are required during the performance period
 - The first interim review must be conducted during May
 - The second interim review must be conducted during September
 - The third interim review must be conducted in January following the performance year
- Employees may attach pertinent comments to the interim review documentation within five (5) days of the interim meeting.
- An evaluator must supervise an employee for at least sixty (60) calendar days during the performance year to complete the annual evaluation.
- If an employee changes jobs or reports to a different supervisor after November 1 of the performance year, the annual evaluation must be completed by the former supervisor prior to the job change.
- The Annual Employee Performance Evaluation form (revised)

KENTUCKY REVISED STATUTES:

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. This administrative regulation implements such (duties) directives by establishing a uniform employee performance evaluation system. The statute as relates to the employee performance evaluation system reads as follows:

Subsection (7)(j) states that 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 (15), Rights of Executive Branch Employees, states, An evaluation may be appealed to the board if an employee has complied with the review procedure established in KRS 18A.110 (7)(j).

ADMINISTRATIVE REGULATIONS:

101 KAR 2:180, Employee Performance Evaluation System, 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 thirty (30) calendar days 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 thirty (30) calendar days 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.
- (10) Except as authorized by the appointing authority, an evaluator shall complete required performance planning, interim reviews, and annual evaluations for each eligible employee. If the appointing authority approves the exception, written justification for the decision shall be placed in the employee's personnel file.

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 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) Three (3) interim reviews 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) Except as requested by the appointing authority and authorized by the Secretary of Personnel, the evaluator shall schedule interim reviews to discuss performance January 1 through April 30, May 1 through August 31, and September 1 through December 31.
 - (e) Interim reviews shall be completed no later than thirty (30) calendar days after the end of each 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 thirty (30) calendar days 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.
 - (c) Exceptions to this requirement may be requested by the appointing authority and shall be subject to the approval of the Secretary of Personnel.

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 a performance evaluation, an employee may request initial reconsideration of the performance evaluation by the evaluator.
- (2) Within five (5) working days of the receipt of the request for reconsideration, the evaluator shall respond to the request in writing.
- (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. Incorporation By Reference.

- (1) The Annual Employee Performance Evaluation Form, November 2011, 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: Employees who do not meet the eligibility requirements as stated above shall not be evaluated using this system.

General Provisions of the Employee Performance Evaluation System

1. Employee orientation to the performance evaluation system must be completed prior to January 1 of the employee's initial performance evaluation period. The Employee Orientation Acknowledgement Form, signed by the employee shall serve as proof of orientation to the system.
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 within thirty (30) calendar days 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. Interim reviews between the evaluator and employee are required three (3) times during the performance year for all eligible employees and shall be conducted within thirty (30) calendar days after the end of the interim review period. The Personnel Cabinet may grant agency exceptions on a case-by-case basis.
Note: An evaluator is not required to supervise an employee for 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 must be included. Interim reviews shall be certified by employee and evaluator signatures on the official evaluation form.
 8. An evaluation must be completed within thirty (30) days 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.

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 performance expectations while on the following types of leave: FMLA (extended sick and/or maternity), sick, military, or jury leave. The employee should be evaluated on work performed based on standards established while he/she was in a work status.

Required Meetings in the Evaluation Process

Performance Planning Meeting

1. The evaluator shall conduct a performance planning meeting no later than thirty (30) calendar days after the start of the performance period (January 1).
Note: An evaluator is not required to supervise an employee sixty (60) days prior to developing a performance plan.

If an employee's position or job title changes during the performance year, the evaluator shall develop 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.

2. 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. 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 PD.

The evaluator shall determine and discuss with the employee the distribution and assignment of 100 total points between all duties. The points assigned are intended to weigh the importance of each 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: Adaptability/Initiative, Communication/Teamwork and Self-Management.
3. The evaluator and employee review the expectations necessary for a "Good" rating 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.
 4. 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 classification.

5. 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.
6. Modifications to the performance plan may occur at any time during the performance period if the changes are consistent with assigned duties and are also reflected on the employee's PD. Changes must be initialed and dated in **RED** ink by both the evaluator and employee.

Interim Review Meetings

1. Interim review meetings between the evaluator and employee are required every four months 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.
 - January 1 through April 30 – 1st interim period
 - May 1 through August 31 – 2nd interim period
 - September 1 through December 31 – 3rd interim period

Interim review meetings must be conducted no later than thirty (30) days after the end of each interim review period. The first interim review meeting shall take place in May, the second interim review meeting shall take place in September and the third interim review meeting shall take place in January following the performance year.

2. The evaluator meets with the employee to discuss work progress during the interim review period. All categories of performance should be reviewed and discussed whether good, above or below expectations. Relevant comments by the evaluator shall be included in the interim review meeting section of the form regarding all four categories. (Employee comments may be attached.) In areas needing improvement, the evaluator should make suggestions for improvement and/or develop a Performance Improvement Plan.
3. Interim reviews shall document performance to justify the annual performance rating.
4. 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

1. The evaluator determines the employee's rating of performance for the full year within each performance category of the evaluation form. The evaluator shall review the three (3) interim reviews as supportive documentation to determine the ratings for the performance year.
2. The evaluator assigns a rating of 1-5, with 5 representing the highest rating, to each duty within each performance category. The evaluator multiplies the rating by the points assigned to the duty to determine the total points for each duty. Total points for each duty shall be added to determine the total points in each category.
3. Total points for each category shall be added to obtain a total final performance score. The total for each category is transferred to the Final Performance Evaluation section. The categories are totaled to determine the overall performance rating. The evaluator checks the appropriate box for the Overall Performance Evaluation based on the total score.
4. The evaluator discusses the evaluation with the employee.
5. The employee completes the employee response on the form. If necessary, the employee and evaluator follow the reconsideration process as detailed in 101 KAR 2:180.
6. 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

STEP 1: January – Performance Planning

- The Performance Plan is completed no later than thirty (30) calendar days after the start of the performance period (January 30).
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.
- 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 agency evaluation liaison reports all monitoring information for performance planning to the Personnel Cabinet.

Note regarding transfers:

- ❑ If an eligible employee transfers within the agency or to another agency, all performance evaluation documentation must be forwarded to the appropriate personnel staff in the new agency. (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 new supervisor must develop a new performance plan for the employee and keep both the old and the new evaluation documentation in the employee's file 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.

STEP 2: May – First Interim Review Meeting

- ❑ First interim review meeting (January 1 through April 30) is conducted with the employee by May 30.

The interim meeting must be documented on the First Interim Meeting Documentation section of the evaluation form. Relevant comments by the evaluator must be included in the interim meeting section of the form regarding all four performance categories. The form must be signed in **RED** and dated by both the employee and the evaluator.

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.

- ❑ A Performance Improvement Plan may be developed to assist the employee in areas which need improvement.
- ❑ To be considered in the annual evaluation, the employee may attach comments within five (5) workdays of the interim review meeting.

- ❑ The agency evaluation liaison must report all monitoring information for the first interim review meeting to the Personnel Cabinet.

Note regarding transfers:

- ❑ If an eligible employee transfers within the agency or to another agency, all performance evaluation documentation must be forwarded to the appropriate personnel staff in the new agency.
- ❑ If an eligible employee transfers within the agency or to another agency on or prior to April 1 of the performance period, the new agency/supervisor must complete the first interim review on the employee.

- ❑ If an eligible employee transfers within the agency or to another agency after April 1 of the performance period, the agency/supervisor from which the employee is transferring must complete the first interim review prior to the employee's transfer.

Note: If no interim review documentation exists when the new agency reviews the transferred employee's performance evaluation file, the new supervisor (evaluator) will develop a new performance plan and note in the First Interim Review Meeting Documentation section that no interim review was completed by the previous agency.

STEP 3: September – Second Interim Review Meeting

- ❑ Second interim review (May 1 through August 31) is conducted with the employee by September 30.

The interim meeting must be documented on the Second Interim Meeting Documentation section of the evaluation form. Relevant comments by the evaluator shall be included in the interim meeting section of the form regarding all four performance categories. The form must be signed in **RED** and dated by both the employee and the evaluator.

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.

- ❑ A Performance Improvement Plan may be developed to assist the employee in areas which need improvement.
- ❑ To be considered in the annual evaluation, the employee may attach comments within five (5) workdays of the interim review meeting.
- ❑ The agency evaluation liaison must report all monitoring information for the second interim review meeting to the Personnel Cabinet.

Note regarding transfers:

- If an eligible employee transfers within the agency or to another agency, all performance evaluation documentation must be forwarded to the appropriate personnel staff in the new agency.
- If an eligible employee transfers within the agency or to another agency on or prior to August 1 of the performance period, the new agency/supervisor must complete the second interim review on the employee.
- If an eligible employee transfers within the agency or to another agency after August 1 of the performance period, the agency/supervisor from which the employee is transferring must complete the second interim review prior to the employee's transfer.

Note: If no interim review documentation exists when the new agency reviews the transferred employee's performance evaluation file, the new supervisor (evaluator) will develop a new performance plan and note in the Second Interim Review Meeting Documentation section that no interim review was completed by the previous agency.

STEP 4: January (following performance year) – Third Interim Review Meeting

- Third interim review (September 1 through December 31) is conducted with the employee by January 30 following the performance period.

The interim meeting must be documented on the Third Interim Meeting Documentation section of the evaluation form. Relevant comments by the evaluator shall be included in the interim meeting section of the form regarding all four performance categories. The form must be signed in **RED** and dated by both the employee and the evaluator.

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.

- A Performance Improvement Plan may be developed to assist the employee in areas which need improvement.
- To be considered in the annual evaluation, the employee may attach comments within five (5) workdays of the interim review meeting.
- The agency evaluation liaison must report all monitoring information for the third interim review meeting to the Personnel Cabinet.

Note regarding transfers:

- If an eligible employee transfers within the agency or to another agency, all performance evaluation documentation must be forwarded to the appropriate personnel staff in the new agency.

- ❑ If an eligible employee transfers within the agency or to another agency on or prior to November 1 of the performance period, the new agency/supervisor must complete the third interim review on the employee.
- ❑ If an employee changes jobs or reports to a different supervisor after November 1 of the performance year, the third interim review and annual evaluation shall be completed by the former supervisor prior to the job change.

STEP 5: January (following performance year) – Annual Performance Evaluation

- ❑ Year-end evaluation completed for the previous performance period (January 1 – December 31). The form must be signed in **RED** by the employee and evaluator. *Note:* An evaluator is required to complete supervisor evaluation training AND supervise the employee for sixty (60) days prior to conducting the annual evaluation.
- ❑ A Performance Improvement Plan for improving performance may be developed to assist the employee in areas which need improvement.
- ❑ After the annual performance evaluation is completed, compliance must be reported and all original evaluation documentation be forwarded to the agency evaluation liaison by January 30.
- ❑ Begin performance planning phase for new evaluation performance year (refer to Step 1 of this section).

Note regarding transfers:

- ❑ If an employee changes jobs or reports to a different supervisor after November 1 of the performance year, the third interim review and annual evaluation shall be completed by the former supervisor prior to the job change.

Completing the Performance Evaluation Form

The Annual Employee Performance Evaluation form is located in the Employee Performance Evaluation section of the Forms Library, on the Personnel Cabinet's website at: <http://personnel.ky.gov/formlby.htm>

Note: This is the official form that **MUST** be used to complete performance evaluations for eligible employees. This form is incorporated in regulation and cannot be altered.

PHASE I - Performance Planning

1. Complete the employee information section at the top of page 1.
2. Complete the **Duties** section for each category. *Note:* If necessary, the duties may be revised at any point during the performance year provided the changes

are consistent with the employee's PD. Changes to the plan must be initialed and dated (in **RED** ink) by both the evaluator and employee.

- a. Job Tasks – List the job duties of the position in the order of importance. This information can be determined by reviewing the employee's PD. *Note:* The job duty for an evaluator has been pre-printed on the form. Please disregard for employees who do not have a supervisory assignment.
 - b. Adaptability/Initiative – Duties are determined by the evaluator and/or appointing authority specific to the needs of the agency.
 - c. Communication/Teamwork – Duties are determined by the evaluator and/or appointing authority specific to the needs of the agency.
 - d. Self-Management – The duties are predetermined and listed on the form.
3. Complete the **Expectations** section for each category – The evaluator must define the expected results and/or competencies of each duty listed necessary to achieve a "Good" rating. (Please refer to page 28 for information on how to write SMART expectations.) *Note:* The expectation for Evaluation of Employee Performance has been predetermined and is printed on the form.
 4. Determine and complete the **Points** section for each category – A total of 100 points must be distributed between the duties listed in all four categories.
 - a. A minimum of fifty (50) points must be assigned to the Job Tasks category. *Note:* Percentages included on the employee's PD should serve as a guide when assigning points.
 - b. A minimum of five (5) points must be assigned to the Adaptability/Initiative category.
 - c. A minimum of five (5) points must be assigned to the Communication/Teamwork category.
 - d. A minimum of five (5) points must be assigned to the Self-Management category.
 - e. The remaining thirty-five (35) points may be assigned at the discretion of the evaluator and/or appointing authority.
 5. If the evaluator and employee disagree regarding the contents of the performance plan, the next line supervisor will resolve the dispute.
 6. The evaluator and employee must sign (in **RED** ink) and date the Performance Planning section of the evaluation form to certify they have met and discussed the duties and expectations of the job for the performance period.
 7. The next line supervisor shall sign (in **RED** ink) and date the Performance Planning section of the evaluation form to certify that he/she has reviewed the job duties and expectations and find them to be reasonable and appropriate based on the employee's classification.
 8. A copy of the performance plan shall be given to the employee.

9. The evaluator will maintain the original Performance Plan in the employee's file until the end of the evaluation period.

PHASE II – Interim Review Meetings

The evaluator is required to conduct three (3) interim review meetings during the performance year. These meetings are to provide and document feedback to the employee on their performance during the performance year. *Note:* Interim reviews are used to document performance that supports the annual performance rating.

- May – 1st interim review meeting for Jan 1 through Apr 30
- September – 2nd interim review meeting for May 1 through Aug 31
- January – 3rd interim review meeting for Sept 1 through Dec 31

1. Complete the employee name and personnel number on the appropriate interim review page (**1st, 2nd or 3rd Interim Review Meeting Documentation**) of the evaluation.
2. Complete the dates in the **Review Period** section.
3. Provide relevant comments, positive and/or negative, to document the employee's work performance in each performance category listed.

Note: The 3rd Interim Review Meeting Documentation allows the evaluator to provide comments necessary to support the annual performance evaluation rating or to indicate consistent work performance that will not affect the final rating.

4. The employee may attach pertinent comments relating to the interim review within five (5) working days of the interim review meeting for consideration in the year end evaluation.
5. The evaluator and employee must sign (in **RED** ink) and date the interim meeting section of the evaluation form to certify they have met and discussed the employee's work performance during the review period specified.
6. If the employee refuses to sign the interim meeting section of the evaluation form, the evaluator should then ask the next-line supervisor, a peer supervisor or other neutral person to witness and sign the form to certify the employee's refusal to sign.
7. A copy of the Interim Review Meeting Documentation shall be given to the employee.
8. The evaluator will maintain the original Interim Review Meeting Documentation in the employee's file until the end of the evaluation period.

PHASE III – Annual Performance Evaluation

1. The evaluator completes the following tasks on the Performance Planning section of the evaluation form:
 - a. Indicate the appropriate numerical rating (1-5) determined for each job duty in the **Ratings** section for each of the four categories. The evaluator shall review the documentation provided in the interim review meeting sections of the evaluation to determine each rating.
 - b. Multiply the points assigned to each job duty by the numerical rating to obtain the total points for each job duty. Enter the number in the **Total** column in line with the appropriate job duty.
 - c. Add the ratings in the Total column for each job duty to obtain the **Category Total** for each of the four categories.
2. The evaluator completes the following tasks on the Final Performance Evaluation section of the evaluation form:
 - a. Complete the employee name and personnel number.
 - b. Transfer the Category Total score for each of the four categories to section **A. Categories**.
 - c. Add the total for all four categories to obtain the final **Total** evaluation rating in section A. Categories.
 - d. Check the appropriate box in section **B. Overall Performance Evaluation** to indicate the overall performance rating determined by the total performance score.
3. The employee completes section **C. Employee Response**. The response options allow the employee to:
 - a. Agree with performance evaluation.

***Evaluator Note:** If the employee receives an overall performance rating of “Unacceptable” and checks the “Agree with performance evaluation” box, the evaluator should clearly inform the employee that pursuant to KAR 2:180, Section 8, an employee who receives an overall rating of unacceptable will be demoted or terminated and advise the employee of his/her option to request reconsideration.*
 - b. Disagree with performance evaluation, but accept.
 - c. Disagree with performance evaluation and request reconsideration.

Note: The employee has five (5) working days from the date of the evaluation to request reconsideration. The employee must sign the final performance evaluation to be eligible for reconsideration.
4. The evaluator and employee must sign (in **RED** ink) and date the evaluation form to certify they have met and discussed the employee’s final performance evaluation.

- The employee's signature does not indicate agreement with the evaluation. However, if the employee fails to indicate their response to the annual evaluation and signs the form, it will be assumed that the employee agreed with the overall annual performance evaluation received.
5. If the employee refuses to sign the evaluation form, the evaluator should then ask the next-line supervisor, a peer supervisor or other neutral person to witness and sign the form to certify the employee's refusal to sign. *Note:* The employee must sign the final performance evaluation to be eligible for reconsideration.
 6. The next line supervisor shall sign (in **RED** ink) and date the evaluation form to certify that he/she is aware of the evaluation and has reviewed it to assist in evaluating and managing the performance of the evaluator.
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.
 7. A copy of the Final Performance Evaluation shall be given to the employee.

Reconsideration

1. **Initial Reconsideration** – the employee may request initial reconsideration within five (5) working days from receiving the evaluation.
 - a. The evaluator must respond to the initial reconsideration within five (5) working days of the receipt of the request for reconsideration.
 - b. The evaluator completes reconsideration of performance ratings.
 - If changes are made to any ratings, the evaluator should "X" through the original rating, write in the new rating and initial the change. **DO NOT** white out or erase the original rating.
 - Recalculate the Totals for any category affected by the reconsideration and make the necessary adjustments to the Final Performance Evaluation section on the form. **DO NOT** white out or erase the original scores.
 - c. After initial reconsideration, the evaluator completes the appropriate box in section **D. Results of Initial Reconsideration** to indicate "No change on evaluation" or "Change on Evaluation."
 - d. The evaluator and employee sign (in **RED** ink) and date the form to indicate the initial reconsideration has been completed.
2. **Final Reconsideration** – If the employee does not agree with the initial reconsideration, the employee may request reconsideration by the next line supervisor within five (5) working days after initial reconsideration by checking the appropriate box in the initial reconsideration section of the form.

- a. The next line supervisor must respond to the final reconsideration within fifteen (15) working days after receipt of the employee's request.
- b. The next line supervisor must obtain written statements from or meet individually with both the employee and the evaluator.
- c. The next line supervisor completes reconsideration of performance ratings.
 - If changes are made to any ratings, the evaluator should "X" through the original rating, write in the new rating and initial the change. DO NOT white out or erase the original and/or reconsidered rating.
 - Recalculate the Totals for any category affected by the reconsideration and make the necessary adjustments to the Final Performance Evaluation section on the form. DO NOT white out or erase the original and/or reconsidered scores.
- d. The next line supervisor must sign (in RED ink), date and complete section **E. Results of Final Reconsideration** and provide both the employee and evaluator with a written response describing the results of the final reconsideration within fifteen (15) working days after receipt of the employee's request.

If an employee receives either a "Needs Improvement" or an "Unacceptable" rating and has exhausted the internal reconsideration process, the 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” 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.

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 in writing 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 after all steps in the internal 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 Chart

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, in writing, 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) days of request by employee.	Written response by next line supervisor to both parties. The next line 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.	Personnel Board Appeal Form.

Tips and Tools for the Evaluator

How to Write SMART Expectations

S PECIFIC

Expectations must be clear and specific. When expectations are specific, the employee knows exactly what is to be achieved or accomplished.

M EASURABLE

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.)

A TTAINABLE

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

R ELEVANT

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

T IME-BOUND

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

What the Employee Wants to Know

- 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?

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 that 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 and Feedback (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 objective.
- ❑ 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 (see pages 36-38).
- ❑ 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 from 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 the 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 that 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 a performance improvement plan (refer to page 34) 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 ____/____/____
FIRST INTERIM REVIEW: _____ SECOND INTERIM REVIEW: _____ THIRD 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: ____/____/____

This is to acknowledge that I have, on the date indicated below, discussed the areas of performance in which I need to improve and the corrective action to be taken 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; 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: _____ Date: ____/____/____
Employee Comments:

Supervisor's Signature: _____ Date: ____/____/____
Supervisor's Comments:

Next Line Supervisor's Signature: _____ Date: ____/____/____

How to Conduct a Performance Evaluation Session

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. The information you want to discuss with the employee about their job performance should be planned 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. Additionally, it is important that you hear what the employee thinks and feels. To do this, the evaluation session should be a two-way exchange of information between you and the employee. 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 interview session or act as if 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 interview session should never become an argument but should serve as an exchange of ideas and information. If the interview 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 one from 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

Common Rating Errors and Solutions

Leniency Error: Being "easy" on favored or problem employees or giving everyone a high rating, regardless of actual performance, 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 and compare it 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.

Severity 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.

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.

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.

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 and compare it 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, Action-Oriented, Realistic and Time-and Resource-Limited).

Recency Bias Error: The evaluator remembers best what has happened most recently and allows these recent recollections to unduly influence the ratings, rather than taking into account performance over the entire period.

Solution:

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

Similarity 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.

Negative Event Error: The evaluator allows a single negative event to influence the perception of the employee's performance, even long after the event has passed into history.

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.

Comparison Error: The evaluator rates the employee based on comparisons with other employees, past or present, rather than basing the evaluation on how the person performed compared to the expectations set in the performance plan.

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.

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

Solution:

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

Agency Evaluation Liaison Responsibilities

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

1. 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.
2. To coordinate all employee performance evaluation training within the agency.
 - a. Identification of all staff person(s) who train or assist in training of supervisors in the agency.
 - b. 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. Maintain a current listing of supervisors in the agency.
 - d. Monitor the supervisory staff changes and performance evaluation training conducted within the agency to insure the following:
 - all persons who supervise receive the required training.
 - all training be consistent with information explained in the Supervisor Evaluation Handbook and the Employee Evaluation Handbook.
3. To monitor supervisor compliance to all meetings required in the employee performance evaluation process.
4. To counsel and advise supervisors as needed on problems relating to the evaluation of employees.
5. To submit to the Personnel Cabinet the year-end rating information on all employees eligible for annual performance evaluations.
6. To maintain all employee evaluation documents in the agency's central personnel file.
7. 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.

A listing of Performance Evaluation Liaisons can be located at the following link:

<http://personnel.ky.gov/gsc/perfmgmt/>