

 <p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	Policy Number	Total Pages
	Date Filed	Effective Date
References/Authority KRS 18A.110; KRS 18A.095; KRS 18A.045; 101 KAR 2:180; ACA 2-CO-1C-21	3.15	7
	*	October 17, 2013
	Subject ANNUAL PERFORMANCE REVIEW OF EMPLOYEE	

I. DEFINITIONS

“Eligible Employee” refers to any permanent, full-time, merit employee of the Department of Corrections who held merit status on January 1 of the plan year and remained in continuous merit status from January 1 through December 31 of the plan year.

“Evaluator” refers to the first line supervisor who assigns the employees’ job duties, approves leave requests, and has successfully completed Performance Management Training.

“Next Line Supervisor” refers to the supervisor of the first line supervisor, as designated in the chain of command.

"Personnel Board" is defined in KRS 18A.045.

II. POLICY and PROCEDURES

The employee performance evaluation system is necessary to improve communication between employees and supervisors regarding job duties, expectations, and work performance; provide a written record to support personnel decisions; and help managers, supervisors, and employees achieve agency missions, goals, and objectives. There are five steps in the evaluation process: Performance Planning; First Interim Review; Second Interim Review; Third Interim Review; and Final Performance Evaluation.

A. Performance Plan

1. Evaluators shall meet with employee to develop a Performance Plan and plans shall be prepared:
 - No later than January 30 for all eligible employees;
 - Within 30 days of eligible employees’ change in position or job duties;
 - As soon as eligible employees on leave during the performance planning period return to work;

Policy Number	Effective Date	Page
	October 17, 2013	2

- All performance evaluation documentation shall be completed in blue or black ink.
2. Evaluators shall:
 - Complete the personnel data section with information from the employee's most current personnel action;
 - Add the mission statement for the work unit (optional);
 - Develop job duties consistent with the employees' position descriptions;
 - Develop expectations identifying how employees can do a good job (adequately meet expectations). Evaluators are encouraged to identify how employees can exceed and greatly exceed expectations. Expectations shall be measurable;
 - Weigh the importance of each job duty and distribute 100 total points as follows:
 - A minimum of 50 points to Job Tasks, Page 1;
 - For evaluators, points are assigned to duties related to evaluations of assigned staff;
 - A minimum of 15 points are assigned to categories on Page 2, with a minimum of 5 points each to the Adaptability/Initiative, Communication/ Teamwork, and Self-management categories.
 3. Next line supervisors shall
 - Review the completed performance plans and ensure that duties and expectations are both, reasonable and fair, as well as consistent with the mission and goals of the department;
 - Resolve any disagreements between evaluators and employees about performance plans.
 4. Evaluators, employees, and next line supervisors shall sign and date performance plans in red ink.
 5. Evaluators shall report compliance to their evaluation liaisons by the assigned deadline.
 6. Performance plans may be changed at any time during the evaluation period. Changes shall be:
 - Included on the evaluation form;
 - Consistent with the PD;
 - Initialed and dated by employees, evaluators and next line supervisors in red ink.

Policy Number	Effective Date	Page
	October 17, 2013	3

B. 1st Interim Review

1. Evaluators shall complete a 1st Interim Review on all eligible employees. The 1st Interim Review covers performance from January 1 through April 30, and shall be completed by May 30.
2. Documentation of 1st Interim Review shall be used to determine and support ratings of the Final Performance Evaluation.
3. Comments shall address all four performance categories, and whether employees are performing at, above, or below expectations.
4. Evaluators shall:
 - Discuss interim reviews with next line supervisors; then
 - Meet face to face with employees to discuss the interim reviews.
5. Evaluators and employees shall sign and date the interim reviews in red ink. (If the employee refuses to sign the 1st Interim Review document, then the Evaluator shall utilize the witness signature line appropriately.)
6. Evaluators shall report compliance to their evaluation liaisons by the assigned deadline.
7. For consideration in the annual year evaluation, the employee may attach pertinent comments relating to an interim review within five (5) working days of the interim review meeting.

C. 2nd Interim Review

1. Evaluators shall complete a 2nd Interim Review on all eligible employees. The 2nd Interim Review covers performance from May 1 through August 31, and shall be completed by September 30.
2. Documentation of 2nd Interim Review shall be used to determine and support ratings of the Final Performance Evaluation.
3. Comments shall address all four performance categories, and whether employees are performing at, above, or below expectations.
4. Evaluators shall:
 - Discuss interim reviews with next line supervisors; then
 - Meet face to face with employees to discuss the interim reviews.
5. Evaluators and employees shall sign and date the interim reviews in red ink. (If the employee refuses to sign the 2nd Interim Review document, then the Evaluator shall utilize the witness signature line appropriately.)
6. Evaluators shall report compliance to their evaluation liaisons by the assigned deadline.
7. For consideration in the annual year evaluation, the employee may attach pertinent comments relating to an interim review within five (5) working days of the interim review meeting.

D. 3rd Interim Review

Policy Number	Effective Date	Page
	October 17, 2013	4

1. Evaluators shall complete a 3rd Interim Review on all eligible employees. The 3rd Interim Review covers performance from September 1 through December 31, and shall be completed by January 30 of the following calendar year.
2. Documentation of 3rd Interim Review shall be used to determine and support ratings of the Final Performance Evaluation.
3. Necessary comments shall address all four performance categories, and whether employees are performing at, above, or below expectations.
4. Evaluators shall:
 - Discuss interim reviews with next line supervisors; then
 - Meet face to face with employees to discuss the interim reviews.
5. Evaluators and employees shall sign and date the interim reviews in red ink. (If the employee refuses to sign the 3rd Interim Review document, then the Evaluator shall utilize the witness signature line appropriately.)
6. Evaluators shall report compliance to their evaluation liaisons by the assigned deadline.
7. For consideration in the annual year evaluation, the employee may attach pertinent comments relating to an interim review within five (5) working days of the interim review meeting.

E. Performance Improvement Plan

1. Evaluators may choose to develop a Performance Improvement Plan if employees' performance is below expectations.
2. Performance Improvement Plans may be initiated at anytime during the plan year, but they are usually done as part of an interim review meeting.
3. Performance Improvement Plans become part of the evaluation documentation.

F. Final Performance Evaluation

1. Evaluators shall complete a Final Performance Evaluation for all eligible employees under their supervision. The Final Performance Evaluation covers performance from January 1 through December 31 of the plan year, and shall be completed by January 30 of the following calendar year.
2. Evaluators shall review the performance documentation on the three interim reviews. The performance reviews shall determine and support the final ratings.
3. Evaluators shall:
 - Assign a rating of 1-5 for each job duty. A "1" means employees failed to meet expectations. A "5" means employees greatly exceeded expectations.
 - Multiply each rating by the points assigned to the job duty and place the product in the "Total" column.

Policy Number	Effective Date	Page
	October 17, 2013	5

- Add totals for all duties in the category and place the sum in the “Category Totals” field and then copy the category totals to Section A of the Final Performance Evaluation.
 - Add total points for each category to calculate the final score and place the sum in the “Total” row.
 - Mark the appropriate Overall Performance Evaluation in Section B of the Final Performance Evaluation.
 - Discuss evaluations with next line supervisors, then
 - Meet face to face with employees to discuss the evaluations.
4. Employees shall complete the employee response in Section C of the Final Performance Evaluation and sign and date in red ink.
 5. Evaluators shall sign and date the Final Performance Evaluation in red ink.
 6. Next line supervisors shall sign and date the Final Performance Evaluation in red ink.
 7. Evaluators shall report compliance to their evaluation liaison by the assigned deadline.

G. Reconsideration Process

1. Employees who disagree with any part of the annual evaluation may request reconsideration
2. Initial Reconsideration:
 - Employees request initial reconsideration from their evaluators by checking the correct box in Section C. They shall make the request within five working days of receiving and signing the evaluation. Employees may supply documentation supporting their Initial Reconsideration request (optional).
 - Evaluators shall respond within five working days of receiving a request from employees.
 - After initial reconsideration, evaluators shall check the appropriate box under “Results of Initial Reconsideration” in Section D.
 - Evaluators and employees shall initial and date any changes made as a result of Initial Reconsideration in red ink.
 - Evaluators and employees shall sign and date Section D in red ink to show initial reconsideration is complete.
3. Final Reconsideration:

Policy Number	Effective Date	Page
	October 17, 2013	6

- Employees may request further reconsideration by next line supervisors by checking the correct box in Section D. They shall make the request within five working days of receiving the Results of Initial Reconsideration.
- Next line supervisors shall:
 - Meet individually with employees and evaluators or request a written statement from both;
 - Respond to both employees and evaluators in writing within 15 working days of receiving requests from employees;
 - Check the correct box under “Results of Final Reconsideration” in Section E, and sign and date in red ink after Final Reconsideration is complete
- Evaluators and employees shall initial and date any changes made as a result of Final Reconsideration in red ink.

H. Personnel Board Appeal

1. Employees may file a Personnel Board Appeal Form if they meet both of the following criteria:
 - Receive an Overall Performance Evaluation rating of Unacceptable or Needs Improvement;
 - Have exhausted the reconsideration process.
2. Employees shall file appeals within 60 calendar days of final reconsideration and send to:
Personnel Board
28 Fountain Place
Frankfort, KY 40601

I. Maintaining Performance Evaluation Documents

1. Evaluators shall provide employees with copies of the completed evaluation forms and any supporting documentation. They do so at each step of the evaluation process.
2. Evaluators shall maintain copies of all forms and documentation for their files.
3. Evaluators shall keep all original evaluation forms and supporting documents for the current plan year until the completion of the Final Performance Evaluation in January of the following calendar year. Once the evaluation process is complete, evaluators shall send all original documentation to the appropriate evaluation liaison for proper handling.

J. Reporting

Policy Number	Effective Date	Page
	October 17, 2013	7

1. The Personnel Cabinet requires the Department of Corrections Division of Personnel Services to report compliance at each phase of the evaluation process.
 - Evaluators shall report compliance of each phase of the evaluation process to their evaluation liaisons by the assigned deadline.
 - Evaluation Liaison shall, in turn, provide compliance data for assigned areas to the Department of Corrections Division of Personnel Services by the assigned deadline.

K. Evaluator Accountability

All evaluators are accountable for completing evaluations correctly. The Department of Corrections Division of Personnel Services shall notify department heads if evaluators do not comply with the procedure and regulation. These evaluators are subject to disciplinary action.