

 <p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	Policy Number	Total Pages
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KRS 18A.110; KRS 18A.095; KRS 18A.045; 101 KAR 2:180; 101 KAR 2:190; ACA 2-CO- 1C-21	ANNUAL PERFORMANCE REVIEW OF EMPLOYEE	
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I. DEFINITIONS

“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 three steps in the evaluation process: Annual Performance Planning; Mid-Year Interim; Year End Interim Review; and Final Evaluation.

A. Annual Performance Plan

An employee’s performance plan details the goals, competencies, and tasks (performance expectations) upon which the employee will be evaluated during the review period. It describes performance expectations in a particular position and should be tailored to fit the employee in the position. The performance plan is derived from several sources:

1. Competencies that are needed by the employee to successfully achieve objectives.

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2. Projects and other activities for the position.
3. Responsibilities critical for success in the job or position.
4. Performance plan should be consistent with the employee's position description (PD).

The My Purpose performance plan has two sections that cumulatively address what gets accomplished, how it gets accomplished, and the developmental goals for the employee. These two sections are:

1. Core Competencies
2. Goals and Tasks

Step Progression:

Task assigned 1/1 of each year and due 1/31.

1. Evaluator Review – This is a required step completed within 10 days of the evaluator receiving the task. The step will not progress until it is completed.
2. Self-Review – This is an optional step completed within 5 days of the employee receiving the task. If the employee does not complete the task within 5 days, the task will workflow back to the evaluator.
3. Evaluator Goal Review and Confirmation – This is a required step completed within 3 days of the evaluator receiving the task. The step will not progress until the task is completed.
4. Next Line Supervisor Review – This is a required step completed within 5 days of the next line evaluator receiving the task. The step will not progress until the task is completed.
5. Evaluator Discussion and Acknowledgment – This is a required step completed within 5 days of the evaluator receiving the task. This step will not progress until the task is completed. During this step, the evaluator should conduct the required meeting with the employee to discuss performance.
6. Employee Acknowledgment – This is a required step completed within 3 days of the employee receiving the task. The Annual Performance Planning task will not be complete until this step is completed.

B. Mid-Year Interim Review

The evaluator will be able to provide coaching and feedback to the employee to ensure expectations are being met during the review period.

Step Progression:

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Task assigned 7/1 of each year and due 7/31.

1. Self-Review – This is an optional step completed within 5 days of the employee receiving the task. If the employee does not complete the task within 5 days, the task will workflow back to the evaluator.
2. Evaluator Review – This is a required step completed within 10 days of the evaluator receiving the task. The step will not progress until it is completed.
3. Next Line Supervisor Review – This is an optional step completed within 5 days of the next line receiving the task. If the next line supervisor does not complete the task within 5 days the task will workflow back to the evaluator.
4. Evaluator Discussion and Acknowledgment – This is a required step completed within 5 days of the evaluator receiving the task. This step will not progress until the task is completed. During this step, the evaluator should conduct the required meeting with the employee to discuss performance.
5. Employee Acknowledgment – This is a required step completed within 5 days of the employee receiving the task. The Mid-Year Interim task will not be complete until this step is completed.

C. Year-End Interim/Final Evaluation

The evaluator will be able to provide coaching and feedback to the employee to ensure expectations are being met during the review period. The final evaluation will also be completed at the end of each year to rate the employees performance on core/leadership competencies, goals and tasks. Performance expectations will be evaluated using six ratings.

1. Exceptional Performance
2. Distinguished Performance
3. Valued Performance
4. Satisfactory Performance
5. Needs Improvement Performance
6. Unacceptable Performance

Step Progression:

Task assigned 1/1 of the following year and due 1/31.

1. Self-Review-Employee – This is an optional step completed within 5 days of the employee receiving the task. If the employee does not complete the task within 5 days the task will workflow back to the evaluator.

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2. Evaluator Review – This is a required step completed within 5 days of the evaluator receiving the task. The step will not progress until it is completed.
3. Evaluator Discussion and Acknowledgment – This is a required step completed within 4 days of the evaluator receiving the task. This step will not progress until the task is completed.
4. Employee Acknowledgment – This is a required step completed within 2 days of the employee receiving the task. The Year-End Interim task will not be complete until this step is completed.
5. Evaluator Rating – This is a required step completed within 3 days of the evaluator receiving the task. The step will not progress until it is completed.
6. Next Line Supervisor Review – This is a required step completed within 5 days of the next line receiving the task. The step will not progress until the task is completed.
7. Evaluator Discussion and Acknowledgment – This is a required step completed within 5 days of the evaluator receiving the task. This step will not progress until the task is completed. During this step, the evaluator should conduct the required meeting with the employee to discuss performance.
8. Employee Acknowledgment – This is a required step completed within 2 days of the employee receiving the task. The Final Evaluation task will not be complete until this step is completed.

D. 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.

E. Reconsideration Process

Employees who disagree with any part of the Year-End Evaluation may request reconsideration.

1. Employees are responsible for launching the reconsideration task from My Purpose>MyEvaluation>Launch Review within five (5) working days of the Annual Performance Evaluation meeting
2. Evaluators shall respond to the request within five (5) working days of receiving a request from employees.

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3. The next line supervisor shall review the request for reconsideration within ten (10) working days of receipt of the request for reconsideration.
4. The next line supervisor shall inform both the employee and evaluator of the decision.
5. 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.

F. Personnel Board Appeal

1. Employees may file a Personnel Board Appeal Form if they meet both of the following criteria:
 - a. Receive an Overall Performance Evaluation rating of Needs Improvement Performance or Unacceptable Performance.
 - b. 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

G. Maintaining Performance Evaluation Documents

All performance evaluation documentation will be accessible within My Purpose to both employees and evaluators.

H. Reporting

The Personnel Cabinet requires the Department of Corrections Division of Personnel Services to report compliance at each phase of the evaluation process.

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

I. Evaluator Accountability

All evaluators are accountable for completing evaluations correctly. The Department of Corrections Division of Personnel Services shall notify department

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heads if evaluators do not comply with the procedure and regulation. These evaluators are subject to disciplinary action.