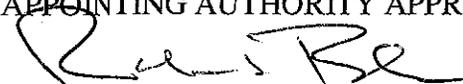




## PERFORMANCE EVALUATION POLICY

POLICY NUMBER: 300-08	EFFECTIVE DATE: 7/14/2013	APPOINTING AUTHORITY APPROVAL: 
REPLACES POLICY DATED: 9/30/2009	AUTHORITY: OAC 123:1-29; OCSEA Collective Bargaining Agreement Article 22; SEIU/District 1199 Collective Bargaining Agreement Section 43.16	

### I. POLICY

This Performance Evaluation Policy will ensure consistent application of the established guidelines and procedures of the ePerformance system. The Office of Employee Services has established the following procedures to facilitate the process and ensure that employees are evaluated on a fair and objective basis.

### II. PROCEDURES

#### A. REVIEW PROCESS

1. All non-probationary employees shall be evaluated during the 60-day period immediately preceding the review deadline, in order to facilitate timely submission.
2. All employees (bargaining unit and exempt) will be evaluated based on an annual performance management cycle.
3. The annual performance evaluation cycle shall not apply to employees in either an initial or promotional probationary period or trial period. Upon successful completion of the probationary or trial period, the employee's evaluation will be aligned with the annual evaluation cycle. In order to accomplish this, an employee's evaluation cycle may be shortened (not less than six months) or lengthened (not more than seventeen months).
4. Types of Evaluations
  - a. Mid-Probationary: completed at the mid-point of a probationary period (e.g., 60 days for a 120-day probationary period of a permanent employee).
  - b. Final-Probationary: completed no later than the ending date of an employee's probationary period.
  - c. Annual: completed on an annual basis in accordance with the review process.
  - d. Ad-hoc: completed upon obtaining prior approval from the Office of Employee Services.
5. Review Deadline
  - a. The following schedule will be adopted for all bargaining unit, exempt classified, and unclassified employees:

**Evaluation Type**

**Review Deadline**

Director's Senior Team and Division Senior Managers	September 30
Managers, Supervisors, Non-supervisory Exempt, and Bargaining Unit Employees	December 31

- b. The **internal** deadline date assigned for mid-probationary evaluations is ten (10) working days after the mid-probationary date. The **internal** deadline date assigned for final probationary evaluations is ten (10) working days prior to the probationary period ending date.

**B. COMPLETION OF THE EMPLOYEE PERFORMANCE EVALUATION**

1. The supervisor (rater) schedules a performance review conference with the employee.
  - a. Employee performance for the rating period and work expectations (including applicable goals) for the current rating period are discussed.
  - b. The position description is reviewed and the supervisor explains to the employee what will be discussed on the evaluation.
  - c. The employee has the opportunity to discuss the evaluation, work expectations and concerns. (At this point in the process, the supervisor should not present an employee with a completed evaluation form for signature).
  - d. Employees who are on leave during the annual performance management cycle will be evaluated upon return to the workplace. In consideration of the length of the leave, an employee's evaluation cycle may be shortened (not less than six months) or lengthened (not more than seventeen months). An "Ad-hoc" evaluation should be completed with the applicable review period. In this instance, pre-approval by the DAS Human Resources Administrator is not required.
  - e. Types of materials that are appropriate for review include: position descriptions, last performance review form, work product files, written observations of job performance, significant job-related incidents, job-related observations of individuals who work closely with the employee, goals, objectives or unplanned tasks or accomplishments, certificates, awards, and thank you notes.
  - f. Types of materials that are not appropriate for review include: medical records or diagnoses.
  - g. The ePerformance self-evaluation tool and third party nomination will not be utilized during the review process.
  - h. Agency-level and classification-level competencies will not be utilized during the initial evaluation cycle. Managers will be advised upon implementation.
  - i. The use of ePerformance career development plans will not be utilized during the initial evaluation cycle. If career development plans are implemented, managers will be advised of the process for initiation and approval.
2. The rater completes and submits the evaluation for approval no later than thirty (30) days prior to the review deadline (see Section II, A5).

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3. An overall rating of "Meets Expectations" or above should be supported by relevant ratings and comments within the evaluation. A Performance Improvement Plan (PIP) is required when an employee receives an overall rating of anything below "Meets Expectations."
4. Next, a second-level supervisor (reviewer) reviews and approves the evaluation.
5. The ePerformance HR Administrator reviews and approves the evaluation.
  - a. The evaluation is reviewed for compliance with established guidelines and for completeness.
    - If the evaluation is incomplete (e.g., missing ratings or comments), it will be denied.
    - Corrected evaluations must be resubmitted for approval.
6. The evaluation is ready for the employee's signature. The supervisor (rater) makes the completed evaluation available for review by the employee at least three days prior to the review deadline.
  - a. The employee has three working days to review and sign the evaluation. In ePerformance, the employee signs the evaluation electronically.
  - b. The employee signature serves as acknowledgment of its receipt and does not represent agreement with the evaluation.
  - c. If an employee refuses to sign the evaluation, the supervisor (rater) should print out a hard copy of the evaluation and have another manager sign as a witness to the employee's refusal to sign. Refusal to sign the performance evaluation waives an employee's right to an appeal.
  - d. The printed evaluation should be forwarded to the Central Office of Employee Services for inclusion in the employee's personnel file.
  - e. **NOTE:** The employee should always be the last person to sign a completed evaluation.
7. The evaluation is completed in the ePerformance system.
  - a. The evaluation (including any attachments) is maintained in the ePerformance system.
  - b. An evaluation will be considered complete when all appropriate signatures have been obtained and the status shows "completed" in the Document Details section of the ePerformance system.
8. Denial of Step Advancement
  - a. In the event a non-probationary employee is not meeting performance standards at the time of the annual evaluation cycle and it is anticipated that a step increase should be withheld, an "ad-hoc" evaluation should be completed for that employee within the 60-day period immediately preceding the employee's next step increase. The manager will work with the Office of Employee Services prior to initiating an "ad-hoc" evaluation.
  - b. An employee who receives an overall rating of "Does Not Meet" shall be denied step advancement. It is mandatory for the rater to provide a brief justification to support the overall rating in the comments section provided on the evaluation form.

- c. The evaluation must be completed and submitted for approval at least thirty (30) days prior to the employee's step date. All step denials will be processed directly on the employee's payroll record by the ePerformance HR Administrator.
- d. Once a step has been denied, the employee's step entry date will be adjusted. The employee will not be eligible for step advancement until the next annual rating period.
- e. If the employee's performance evaluation is not completed on time, the employee shall not be denied a step increase.

9. Request for a Probationary Extension

- a. The appropriate documentation and rationale should be submitted to the Human Resources Administrator, no later than ten (10) working days prior to the requested implementation.
- b. The mid-evaluation must be completed and submitted prior to the approval of the request for an extension.
- c. The timeframe for the extension will be consistent with either Section 123:1-19-02 (E) of the Ohio Administrative Code (e.g., 60 days), or the appropriate contract, whichever is applicable.

C. PERFORMANCE IMPROVEMENT PLAN (PIP)

1. A Performance Improvement Plan (PIP) must be completed when an employee receives an overall rating of anything below "Meets Expectations" on an annual or ad-hoc evaluation.
2. The PIP shall be used to identify a performance issue(s) and improve employee performance. The manager will contact the Office of Employee Services for assistance with creation of the PIP.
3. The supervisor (rater) initiates a PIP in the ePerformance system.
  - a. Define the problem.
  - b. Identify the duties or areas where improvements are needed.
  - c. Establish the priorities of the duties.
  - d. Identify the standards upon which performance will be measured.
  - e. Establish short-range and long-range goals and timetables.
4. The supervisor (rater) submits the PIP through the approval process.

D. APPEAL PROCESS

1. A non-probationary employee, who is unsatisfied with his/her evaluation, may file an appeal request with the management designee within seven (7) calendar days after the employee received the completed form for signature. A conference shall be scheduled within seven (7) working days and a written response submitted within seven (7) working days after the conference. The management designee, who is the division human resources coordinator, will follow the provisions as set forth in the applicable collective bargaining agreement and/or established procedures. **NOTE:** Failure to sign the completed evaluation form waives the employee's right to an appeal.
2. Bargaining unit employees may appeal a step denial in accordance with the applicable collective bargaining agreement.

3. An employee, who receives one or more "Does Not Meet" ratings on an evaluation and is unsatisfied with the decision of the management designee, may file an appeal request with the Office of Employee Services.
  - a. The appeal request will consist of a written explanation and/or supporting documentation as to why the employee perceives the evaluation to be inaccurate.
  - b. Ratings of "Meets" and "Exceeds" in all categories cannot be appealed to the Office of Employee Services.
4. Upon receipt of the appeal request, the Office of Employee Services designee will schedule a conference.
  - a. The conference will be scheduled within seven (7) working days of receipt of the appeal request.
  - b. The conference will generally include an Office of Employee Services designee, the employee, the manager/rater and, if necessary, the reviewer.
  - c. The issues in the appeal request will be discussed.
  - d. A written response will be issued within fourteen (14) calendar days after the appeal is requested. The Office of Employee Services designee may decide one of the following: 1) evaluation stands as written; 2) evaluation is to be modified; or 3) a new evaluation is to be completed.
  - e. The supervisor will have seven (7) calendar days to submit either a modified or new evaluation to the Office of Employee Services designee, when applicable.

#### E. DISAGREEMENT WITH APPEAL DECISION

1. A **bargaining unit** employee cannot grieve either the management or agency designee's written decision, unless a step increase is denied.
2. If an **exempt** employee receives an overall evaluation summary rating of "Does Not Meet," which results in a step denial, an appeal may be made to the Director of the Department of Administrative Services for a performance evaluation review, in accordance with OAC 123:1-29-03. The DAS Director's designee, in this instance, is the Human Resources Division, Office of Workforce Administration, ePerformance Unit.
  - a. The DAS Director's designee must receive the request for review within fifteen days of the response issued by the Office of Employee Services.
  - b. Any decisions made in this review will be final.

#### F. COMPLETION OF "AD-HOC" PERFORMANCE EVALUATIONS

1. An "Ad-hoc" performance evaluation is used by management to evaluate the performance of an employee outside of the regular rating period (e.g., mid-probationary, final probationary or annual).
2. "Ad-hoc" performance evaluations may be performed only with the pre-approval of the DAS Human Resources Administrator, with the exception of employees returning from leave.

III. REVISION HISTORY

Date	Description of Change
5/01/2001	Original Policy Release
4/18/2004	Procedure update
1/06/2008	New appointing authority
8/15/2008	Establish exempt uniform performance evaluation cycle, annual due dates revised
9/30/2009	Move bargaining unit employees to the annual performance review cycle; establish due dates