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## State of Ohio Administrative Policy

### Performance Evaluation

No: Human Resources  
HR-38

Effective: May 3, 2013

Issued By:

  
Robert Blair, Director

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#### 1.0 Purpose

To establish uniform policies and procedures for how the statewide performance evaluation system will be used to evaluate classified exempt employees and to require agencies to set forth agency specific performance evaluation policies.

A glossary of terms can be found in each policy and is located in Appendix A – Definitions. The first occurrence of a defined term is in ***bold italics*** and linked to Appendix A. To go directly to a term's definition, click on the bold and italicized term. To return to the body of the policy, click on the defined term.

#### 2.0 Policy

In January 2013, the state transitioned from the Ohio Performance Review System (OPRS) paper evaluation forms to the electronic Human Capital Management module (HCM) ePerformance application (ePerformance). As a result of the transition, agencies will place classified exempt employees into an annual ***performance evaluation cycle***. Employee step dates shall not be affected by the transition into the ePerformance system or implementation of the annual performance evaluation cycle. While agencies will use ePerformance for bargaining unit employee performance evaluations, they must continue to follow the appropriate collective bargaining agreement provisions regarding timelines for conducting performance evaluations for bargaining unit employees.

- 2.1 **Employees in an Initial Probationary Period:** The annual performance evaluation cycle shall not apply to employees in an initial probationary period, as they must be evaluated twice before their initial probationary period is completed. Upon successful completion of the initial probationary period, agencies must synchronize employees' evaluation months to the agency's annual performance evaluation cycle.
- 2.2 **Synchronizing Employee's Evaluation Month and Annual Cycle:** An appointing authority may change a non-probationary employee's evaluation month so that the employee's evaluation will align with the agency's chosen performance evaluation cycle. To accomplish this, agencies may either shorten or lengthen the performance evaluation

cycle, but shall not shorten the employee's performance evaluation cycle to less than six (6) months or extend the cycle to more than seventeen (17) months, absent extenuating circumstances. See Attachment 1. If the need to move an employee's evaluation month arises, agencies should do so in a manner that causes the least amount of change in the duration of the cycle.

- 2.3 **Agency Responsibilities:** Agencies have several responsibilities during ePerformance implementation and will have ongoing responsibilities for administering the performance evaluation process. Each agency is responsible for ensuring that its performance evaluation process complies with state and federal laws.

Support resources are available in varying formats, such as: a list of competencies and descriptions, job aids, quick reference guides, training courses, etc. These resources can be located on the DAS, HRD-WfA website:

<http://das.ohio.gov/Divisions/HumanResources/WorkforceAdministration/PerformanceManagement/Eperftoolkit.aspx>

2.3.1 Agencies shall establish a policy for the implementation and administration of ePerformance within 60 days of the effective date of the Statewide Performance Evaluation Policy. Agency policies must include, at a minimum:

- When the agency's performance evaluation cycle(s) will begin<sup>1</sup>. Agencies must establish at least one annual performance evaluation cycle and may establish a second cycle at the appointing authority's discretion. Agencies with two performance evaluation cycles must notify employees in writing of the cycle to which they have been assigned.
- Whether the agency will use the **self-evaluation tool**. If an agency chooses to use the self-evaluation tool, the supervisor/manager should consider the information provided by the employee when completing the employee's performance evaluation and when conducting the performance review meeting with the employee.
- Whether the agency will use **third party nomination**.
- Criteria for the use of **performance improvement plan documents (PIP)**. Agencies may use a PIP to correct poor performance regardless of whether the PIP coincides with an annual or ad hoc performance evaluation. Employees who receive an overall rating below "Meets" on any performance evaluation shall be placed on a PIP.
- Criteria for step increase denial (see section 2.6).
- Whether the agency will use **career development plans**, and if so, the process for initiation and approval.

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<sup>1</sup> Permissible annual cycles have been identified by DAS as the start of each of the four (4) calendar year quarters (i.e., January, April, July, and October).

- Agency expectations for completing performance evaluations. This should include *rater* instructions as to:
  - i. Deadlines for meeting with employees to discuss the employees' evaluation.
  - ii. Types of materials that are appropriate for review, e.g., 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.
  - iii. Types of materials that are not appropriate for review, e.g. medical records or diagnoses.
  - iv. Guidelines for how to conduct a performance review meeting. Agencies should instruct raters to be cautious about making subjective judgments, and encourage them to base performance ratings on objective facts that can be documented and are consistent with disciplinary or other performance records.
  
- A process for raters to follow when an employee refuses to sign a performance evaluation. Supervisors must document the fact that the employee was afforded an opportunity to review the performance evaluation, but refused to acknowledge it. Documentation is critical because a refusal to sign the performance evaluation results in a waiver of the employee's right to appeal the performance evaluation rating.
  
- Whether the agency will use any agency level *competencies*. If so, the policy should include guidance for what competencies from the statewide catalogue should be applied in the performance evaluation process.
  
- Whether the agency will use any classification level competencies. If so, the policy should include guidance for what competencies from the statewide catalogue should be applied in the performance evaluation process.
  
- An outline of the agency-level performance evaluation appeal process. Each appointing authority shall establish procedures providing for the review or modification of a rating. At a minimum, the internal review procedure shall include a review by the employee's rater and/or human resources. Agencies shall review and update their agency appeal procedures as necessary.

2.3.2 Agencies are also required to:

- Ensure performance evaluations are completed in a timely fashion. Performance evaluations must be completed within a sixty (60) day

window, which opens 30 days before a cycle and concludes 30 days after the cycle begins. For example, if an agency chose a January cycle, the cycle begins January 1 and the permissible window for completing begins on December 3 and ends on January 31.

- Notify DAS, HRD-WfA which cycle(s) the agency chose to use so DAS can ensure that adequate support resources are available and that appropriate system programming measures are taken.
- Maintain a current OAKS e-Performance System Administrator Appointing Authority Designation Form on file with DAS, HRD-WfA (Attachment 2).
- Ensure that raters and employees receive adequate training on the performance review process.
- Establish and/or review existing "Reports To" structure in HCM to ensure it accurately reflects the supervisory structure of the agency. Agencies must also review the "Probation Date" field for employees who are currently in a probationary period to ensure they are accurate. Further, agencies must validate that all new-hire probation dates are calculated accurately.

2.4 **DAS Human Resources Division Responsibilities:** DAS is dedicated to ensuring that agencies have the necessary tools to use ePerformance and the performance evaluation process. DAS will offer training and various support resources for agencies. Training will be available from DAS, HRD in the following areas: Technical system training (e.g., how to navigate ePerformance from myOhio.gov and in HCM) and soft skill training (e.g., how to write goals, how to evaluate competencies, how to create PIPs and career development plans). These courses are available in a variety of formats including web-based learning, blended learning and instructor-led. Agency specific training can be developed to address an agency's specific needs.

Additionally, the functionality built into the ePerformance HCM application will include advisor tools, such as language checker, competency catalog, templates, etc.

2.5 **Public Records:** Agencies should be aware that information entered into the ePerformance application may be considered to be a public record, and should work with their agency legal counsel to resolve any issues related to public records law.

2.6 **Step Increase Denial:** An overall rating of Does Not Meet expectations will constitute an unsatisfactory rating. The supervisor shall place the employee on a Performance Improvement Plan (PIP). Further, if an underperforming employee's step date does not fall near the employee's annual performance cycle, an appointing authority may conduct an ad hoc performance evaluation outside the window for the employee's annual performance evaluation. An appointing authority may deny the next annual step increase for a classified exempt employee who receives an overall unsatisfactory rating

on an annual or ad hoc performance evaluation. For bargaining unit employees, please refer to the applicable collective bargaining agreement to determine how to deny a step increase.

Agencies must deny step increases in an equitable and non-discriminatory manner. DAS may audit agency use of step increase denials, regardless of whether the employee appeals the performance evaluation rating to DAS.

- 2.7 **Electronic Signature:** Performance evaluations will be authenticated with an electronic signature using the employee's OAKS employee ID. The employee's signature merely indicates an acknowledgement that the employee has reviewed a copy of the completed evaluation; it does not indicate agreement with its contents.

### 3.0 Authority

ORC 124.09, 124.15, 1306.01; OAC 123:1-29-01 to 123:1-29-03, 123:1-47-01(B), 123:3-1-01.

This policy supersedes any previously issued directive or policy and will remain effective until canceled or superseded.

### 4.0 Revision History

Date	Description of Change
05/03/2013	Original policy.
05/01/5014	Scheduled policy review.

### 5.0 Inquiries

Direct inquiries about this policy to:

Office of HRD/OCB Policy  
Human Resources Division  
Ohio Department of Administrative Services  
100 East Broad Street, 14th Floor  
Columbus, Ohio 43215-3414  
614.752.5393 | DASHRD.HRPolicy@das.state.oh.us

Or Office of Workforce Administration – ePerformance Unit  
Human Resources Division  
30 East Broad Street, 27th Floor  
Columbus, Ohio 43215  
Phone: 614.728.8973  
800.409.1205, option 6 or 614.728.8973 | ePerformance@das.state.oh.us

State of Ohio Administrative Policies may be found online at:  
[www.das.ohio.gov/forStateAgencies/Policies.aspx](http://www.das.ohio.gov/forStateAgencies/Policies.aspx)

## 6.0 Attachments

Attachment 1 – Transition Plan for Adjusting Employee Review Cycle to Agency Annual Cycle

Attachment 2 – OAKS e-Performance System Administrator Appointing Authority Designation Form

### Appendix A – Definitions

- a. Career Development Plan. A plan that sets future goals for progression in a chosen career. It may be created by an employee, the employee’s supervisor, or both.
- b. Competency. A measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics designed to reflect the behaviors in how an employee completes their goals (i.e., the combination of using knowledge, skills and abilities).
- c. Performance Improvement Plan (PIP). A formal, written document used by supervisors to identify employee performance and/or behavioral issues that need correction and to help the employee improve performance or modify behavior by providing a plan of action to guide the improvement and/or corrective action.
- d. Performance Evaluation Cycle. A periodic review and evaluation of an employee’s job performance using the annual evaluation tool in OAKS ePerformance, as supported and supplemented by ongoing documentation, continuous monitoring, coaching and providing feedback to the employee.
- e. Rater. A person assigned to evaluate an employee’s performance, generally, the employee’s immediate supervisor. In the ePerformance system, this person is referred to as the “Manager Rater” and in HCM he or she is an employee’s “Reports To” supervisor.
- f. Self-evaluation Tool. An ePerformance application tool that allows employees to rate himself or herself against the evaluation criteria set forth by his or her supervisor.
- g. Third-party Nomination. A multi-participant process that enables exempt individuals, other than the manager and employee, to provide direct feedback into an employee's performance or development document.

### Appendix B - Resources

Document Name
<i>DAS Review of Classified, Exempt Employee Performance Evaluations</i> , Human Resources Division, ePerformance Unit; Department of Administrative Services, 2013. <a href="http://das.ohio.gov/Divisions/HumanResources/WorkforceAdministration/PerformanceManagement/Eperftoolkit.aspx">http://das.ohio.gov/Divisions/HumanResources/WorkforceAdministration/PerformanceManagement/Eperftoolkit.aspx</a> .

**RECOMMENDED ANNUAL CYCLE TRANSITION PLAN:  
Agencies with 2 Performance Review Cycles**

**REVIEW MONTHS: JANUARY AND APRIL**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	January 2014	12
February	January 2014	11
March	April 2014	13
April	April 2014	12
May	April 2014	11
June	April 2014	10
July	April 2014	9
August	April 2014	8
September	April 2014	7
October	January 2015	15
November	January 2015	14
December	January 2015	13

**REVIEW MONTHS: APRIL AND JULY**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	April 2014	15
February	April 2014	14
March	April 2014	13
April	April 2014	12
May	April 2014	11
June	April 2014	10
July	July 2014	12
August	July 2014	11
September	July 2014	10
October	July 2014	9
November	July 2014	8
December	July 2014	7

**REVIEW MONTHS: JANUARY AND JULY**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	January 2014	12
February	January 2014	11
March	January 2014	10
April	January 2014	9
May	July 2014	14
June	July 2014	13
July	July 2014	12
August	July 2014	11
September	July 2014	10
October	July 2014	9
November	January 2015	14
December	January 2015	13

**REVIEW MONTHS: APRIL AND OCTOBER**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	April 2014	15
February	April 2014	14
March	April 2014	13
April	April 2014	12
May	April 2014	11
June	April 2014	10
July	April 2014	9
August	October 2014	14
September	October 2014	13
October	October 2014	12
November	October 2014	11
December	October 2014	10

**REVIEW MONTHS: JANUARY AND OCTOBER**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	January 2014	12
February	January 2014	11
March	January 2014	10
April	January 2014	9
May	January 2014	8
June	January 2014	7
July	October 2014	15
August	October 2014	14
September	October 2014	13
October	October 2014	12
November	October 2014	11
December	October 2014	10

**REVIEW MONTHS: JULY AND OCTOBER**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	October 2013	9
February	October 2013	8
March	October 2013	7
April	July 2014	15
May	July 2014	14
June	July 2014	13
July	July 2014	12
August	July 2014	11
September	July 2014	10
October	October 2014	12
November	October 2014	11
December	October 2014	10

**RECOMMENDED ANNUAL CYCLE TRANSITION PLAN:  
Agencies with 1 Performance Review Cycle**

**REVIEW MONTH: JANUARY**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	January 2014	12
February	January 2014	11
March	January 2014	10
April	January 2014	9
May	January 2014	8
June	January 2014	7
July	January 2014	6
August	January 2015	17
September	January 2015	16
October	January 2015	15
November	January 2015	14
December	January 2015	13

**REVIEW MONTH: JULY**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	July 2013	6
February	July 2014	17
March	July 2014	16
April	July 2014	15
May	July 2014	14
June	July 2014	13
July	July 2014	12
August	July 2014	11
September	July 2014	10
October	July 2014	9
November	July 2014	8
December	July 2014	7

**REVIEW MONTH: APRIL**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	April 2014	15
February	April 2014	14
March	April 2014	13
April	April 2014	12
May	April 2014	11
June	April 2014	10
July	April 2014	9
August	April 2014	8
September	April 2014	7
October	April 2014	6
November	April 2015	17
December	April 2015	16

**REVIEW MONTH: OCTOBER**

<b>Employee Review Month 2013</b>	<b>Next Review</b>	<b>Months Between Reviews</b>
January	October 2013	9
February	October 2013	8
March	October 2013	7
April	October 2013	6
May	October 2014	17
June	October 2014	16
July	October 2014	15
August	October 2014	14
September	October 2014	13
October	October 2014	12
November	October 2014	11
December	October 2014	10

**OAKS ePERFORMANCE SYSTEM ADMINISTRATOR  
APPOINTING AUTHORITY (AA) DESIGNATION FORM**

I, \_\_\_\_\_, of the \_\_\_\_\_,  
 designate and authorize the individual(s) listed below to serve as the ePerformance System Administrator for the performance management process workflow in the Ohio Administrative Knowledge System (OAKS). This/these designee(s) will act on my behalf to carry out the duties and functions of ePerformance, including ensuring performance evaluations are processed timely and accurately and are reviewed and final approved in accordance with OAC 123:1-29-01 Performance Evaluation.

<b>Name and Employee I.D. # of Employees Authorized to Act on Behalf of the AA as the ePerformance System Administrator</b> <i>(Provide each Employee's Name &amp; I.D. # below)</i>	<b>Signature of Employees Authorized to Act on Behalf of AA as the ePerformance System Administrator</b> <i>(Each employee signs the Appointing Authority Name below)</i>	<b>Employee's own Initials that will follow the AA signature</b>

It is hereby certified that the signatures appearing above were made in my presence.

\_\_\_\_\_  
*Signature of Appointing Authority*

\_\_\_\_\_  
*Date*