I. POLICY

This Performance Evaluation Policy will ensure consistent application of the established guidelines and procedures of the ePerformance system and performance management process. Employee step dates shall not be affected by the implementation of the annual performance evaluation cycle. The Office of Employee Services (OES) has established the following procedures to facilitate the process and ensure that employees are evaluated on a fair and objective basis.

II. PROCEDURES

1.0 REVIEW PROCESS

1.1 Types of Evaluations

1.1.1 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).

1.1.2 Final-Probationary: completed no later than the ending date of an employee's probationary period.

1.1.3 Annual: completed on an annual basis in accordance with the review process.

1.1.4 Ad-hoc: completed upon obtaining prior approval from the Office of Employee Services.

1.2 Review Deadline

1.2.1 Annual Performance Evaluations: All non-probationary DAS employees shall have an annual performance evaluation cycle that begins on July 1 and ends the following June 30, notwithstanding all employees within the Administrative Services Division, Office of Finance which shall have an annual performance evaluation cycle that begins August 1 and ends the following July 31.
1.2.2 Probationary Performance Evaluations: 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 performance evaluation cycle listed in paragraph 1.2.1. The internal deadline date assigned for mid-probationary or trial period evaluations is no later than ten (10) working days after the ending date. The internal deadline date assigned for final probationary or trial period evaluations is no later than ten (10) working days prior to the probationary period ending date.

2.0 DEVELOPMENT OF PERFORMANCE CRITERIA

2.1 Establishing Performance Criteria

2.1.1 The supervisor (rater) shall schedule a performance expectations conference with the employee prior to the start of the performance evaluation cycle. During this meeting, the supervisor and employee will discuss and develop the performance criteria (competencies and goals) by which the employee will be evaluated over the review cycle. Following the meeting, the supervisor (rater) will develop and set the performance expectations by which the employee will be evaluated.

2.1.1.1 There is one (1) statewide competency – “Customer Focus” – built into ePerformance. Each DAS employee must be rated on the Customer Focus competency.

2.1.1.2 There is one (1) agency level competency – “Interpersonal Relationships” – built into ePerformance. Each DAS employee must be rated on the Interpersonal Relationships competency.

2.1.1.3 Each employee will be evaluated on a minimum of three (3) classification competencies. The supervisor (rater) and employee may agree to utilize the specific classification competencies that have been pre-selected in the system, or can choose to utilize other competencies that appear within the system.

2.1.1.4 Each employee is required to have at least one (1) goal/performance expectation entered into the system. These goals/performance expectations should only reflect the most critical aspects of job performance. Limiting goals and performance expectations to five (5) or fewer would likely work for many jobs.

2.1.2 The position description is reviewed and updated with any changes for the next rating period.
2.2 Setting / Communicating Performance Criteria

2.2.1 Following the performance expectations conference between the supervisor (rater) and employee, the supervisor (rater) shall communicate their expectations and goals to their employees and enter the criteria into the ePerformance system prior to the start of the performance evaluation cycle.

2.2.2 The supervisor (rater) should explain to the employee how the expectations and goals relate to the agency/division/office purpose.

2.2.3 The supervisor (rater) should explain and provide in writing what specific actions and behaviors will be required for the employees to receive a “Meets Expectations” and “Exceeds Expectations” within their performance expectations (e.g., goals and competencies).

2.2.4 Anytime the performance expectations (e.g., goals and competencies) change, the supervisor (rater) should discuss those changes with the employee as soon as possible and provide those changes in writing.

3.0 OBSERVING AND PROVIDING FEEDBACK ABOUT JOB PERFORMANCE

3.1 Observing Job Performance

3.1.1 Supervisors (raters) are expected to observe and record employee job performance on a consistent and frequent basis.

3.1.2 When observing employee job performance, the supervisor (rater) should be doing the following:

3.1.2.1 Look and listen for specific actions and words that demonstrate something about an employee’s performance.

3.1.2.2 Observe as many details as possible.

3.1.2.3 Collect information from multiple sources if possible (e.g., direct observation, reports from coworkers or customers, inspection of work products).

3.1.2.4 Avoid comparing the employee’s past job performance when observing current performance.

3.1.2.5 Avoid allowing the situation or setting to influence your observations.

3.1.2.6 Avoid evaluating the performance while you are observing it.

3.1.3 It is important to make many observations of job performance over a long period of time. To assist in the observation process, the supervisor (rater) should consider keeping a performance log for each employee. These logs
should include descriptions of employees’ actions and words, not evaluations of their performance. This will assist in recalling the employees actual behaviors when the supervisor (rater) is ready to evaluate the employees overall performance.

3.2 Providing Feedback

3.2.1 Supervisor’s (raters) are expected to provide regular feedback so the employee can adjust their performance to meet the documented performance criteria.

3.2.2 All feedback provided should:

3.2.2.1 Be timely. Provide feedback as close to when observed as possible.

3.2.2.2 Be specific. Detailed examples are more likely to be accepted by employees.

3.2.2.3 Be a regular occurrence. Supervisors aren’t required to hold a formal meeting to provide performance feedback, but should provide some form of feedback at least a few times a month.

3.2.2.4 Ensure the focus is on aspects of job performance that are in the employee’s control to change.

3.2.2.5 Recognize and respect individual employee preferences in receiving feedback (e.g., face-to-face or written; group setting or privately).

3.2.2.6 Remember to provide feedback about an employee’s strengths. Feedback about strengths may improve performance more than feedback about weaknesses.

4.0 COMPLETION OF THE EMPLOYEE PERFORMANCE EVALUATION

4.1 The supervisor (rater) shall schedule a performance review conference with the employee no less than thirty (30) to sixty (60) days prior to each employee’s evaluation due date to discuss the employee’s evaluation.

4.1.1 At this meeting, the rater and employee will discuss, at a minimum, the criteria that will be used to rate the employee. This information should be a review of the information that was agreed upon during the performance expectations conference (at this point in the process, the supervisor should not present an employee with a completed evaluation form for signature). Employee performance expectations (including applicable goals and competencies) for the current rating period are discussed.

4.1.2 The employee has the opportunity to discuss the evaluation, work expectations and concerns.
4.1.3 Employees who are on extended 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 (6) months) or lengthened (not more than seventeen (17) months). Upon the return of the employee, the supervisor should finish out the previously created annual evaluation noting within the evaluation any change in the review period time.

4.1.4 Types of materials that are appropriate for review include but are not limited to: position description, 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. Both the supervisor (rater) and employee are encouraged to bring this information to the performance review conference.

4.1.5 Types of materials that are not appropriate for review include but are not limited to: medical records or diagnoses.

4.1.6 The ePerformance self-evaluation tool allows employees to rate himself or herself against the evaluation criteria set forth by his or her supervisor, and may be utilized at the supervisor’s discretion. If the supervisor encourages and/or requires the use of the tool for one employee, s/he should encourage and/or require the use by all employees.

4.1.7 The ePerformance third party nomination tool enables exempt individuals, other than the manager and employee, to provide direct feedback into an employee’s performance or development document, and may be utilized at the supervisor’s discretion. If the supervisor encourages and/or requires the use of the tool for one employee, s/he should encourage and/or require the use by all employees.

4.1.8 Agency-level and classification-level competencies are identified in Appendices 1 and 2. The agency competencies, as well as the relevant classification competencies should be utilized during the review process.

4.1.9 The ePerformance career development plans may be created by an employee, the employee’s supervisor, or both. If the career development plan is being created and initiated by the supervisor, s/he should offer to create a career development plan for all employees. Please contact an OES ePerformance System Administrator for guidance.

4.2 The rater compiles all information gathered from the performance review conference and completes and submits the evaluation for approval no later than thirty (30) days prior to the review deadline (see Section II, 1.2).

4.3 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.”

4.4 Next, a second-level supervisor (reviewer) reviews and approves the evaluation.

4.5 The ePerformance HR Administrator reviews and approves the evaluation.

4.5.1 The evaluation is reviewed for compliance with established guidelines and for completeness.

4.5.1.1 If the evaluation is incomplete (e.g., missing ratings or comments), it will be denied.

4.5.1.2 Corrected evaluations must be resubmitted for approval.

4.6 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.

4.6.1 The employee has three working days to review and sign the evaluation. In ePerformance, the employee signs the evaluation electronically.

4.6.2 The employee signature serves as acknowledgment of its receipt and does not represent agreement with the evaluation.

4.6.3 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.

4.6.4 The printed evaluation should be forwarded to the Central Office of Employee Services for inclusion in the employee’s personnel file.

4.6.5 NOTE: The employee should always be the last person to sign a completed evaluation.

4.7 The evaluation is completed in the ePerformance system.

4.7.1 The evaluation (including any attachments) is maintained in the ePerformance system.

4.7.2 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.

4.8 Denial of Step Advancement

4.8.1 In the event a non-probationary employee is not meeting performance standards during 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 sixty (60) day period immediately preceding the employee’s next step increase. The supervisor (rater) will work with the Office of Employee Services prior to initiating an “ad-hoc” evaluation.

4.8.2 An employee who receives an overall rating of “Does Not Meet” may be denied step advancement. It is mandatory for the supervisor (rater) to provide a detailed justification to support the overall rating in the comments section provided on the evaluation form.

4.8.3 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 OES ePerformance HR Administrator.

4.8.4 Once a step has been denied, the employee's step entry date will be adjusted to reflect one year forward from the current step date. The employee will not be eligible for step advancement until the next annual rating period.

4.8.5 If the employee’s performance evaluation is not completed on time (at least thirty (30) days prior to the employee’s step date), the employee shall not be denied a step increase.

4.9 Request for an Extension of a Promotional Probationary Period

4.9.1 Promotional probationary periods may be extended.

4.9.2 The appropriate documentation and rationale should be submitted to the DAS Human Resources Administrator, no later than ten (10) working days prior to the requested implementation.

4.9.3 The mid-evaluation must be completed and submitted prior to the approval of the request for an extension.

4.9.4 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.

5.0 PERFORMANCE IMPROVEMENT PLAN (PIP)

5.1 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.

5.2 The PIP shall be used to identify a performance/behavioral issue(s) and improve employee performance/behavior. The supervisor (rater) may contact the Office of Employee Services for assistance with creation of the PIP.

5.3 The supervisor (rater) initiates a PIP in the ePerformance system.
5.3.1 Define the performance/behavioral issue.

5.3.2 Identify the duties or areas where improvements are needed.

5.3.3 Establish the priorities of the duties or areas.

5.3.4 Determine if additional resources are needed (e.g., training).

5.3.5 Identify the standards upon which performance/behavior will be measured.

5.3.6 Establish short-range and long-range goals and timetables.

5.4 The supervisor (rater) submits the PIP through the approval process.

6.0 APPEAL PROCESS

6.1 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 evaluation for acknowledgement within the ePerformance System. 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 consultant, 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.

6.2 Bargaining unit employees may appeal a step denial in accordance with the applicable collective bargaining agreement.

6.3 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 a 2nd appeal request with the Administrator in the Office of Employee Services.

6.3.1 The appeal request will consist of a written explanation and/or supporting documentation as to why the employee perceives the evaluation to be inaccurate.

6.3.2 Ratings of “Meets” and “Exceeds” in all categories cannot be appealed to the Office of Employee Services.

6.4 Upon receipt of the appeal request, the Administrator in the Office of Employee Services will schedule a conference.

6.4.1 The conference will be scheduled within seven (7) working days of receipt of the appeal request.
6.4.2 The conference will generally include an Office of Employee Services designee, the employee, the supervisor (rater) and, if necessary, the reviewer.

6.4.3 The issues in the appeal request will be discussed.

6.4.4 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.

6.4.5 The supervisor (rater) will have seven (7) calendar days to submit either a modified or new evaluation to the Office of Employee Services designee, when applicable.

7.0 DISAGREEMENT WITH APPEAL DECISION

7.1 A bargaining unit employee cannot grieve either the management or agency designee's written decision, unless a step increase is denied.

7.2 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 Talent Management, ePerformance Unit.

7.2.1 The DAS Director’s designee must receive the request for review within fifteen days of the response issued by the Office of Employee Services.

7.2.2 Any decisions made in this review will be final.

8.0 COMPLETION OF “AD-HOC” PERFORMANCE EVALUATIONS

8.1 An “Ad-hoc” performance evaluation is used by management to evaluate the performance of an employee outside of the normal rating period (e.g., mid-probationary, final probationary or annual).

8.2 “Ad-hoc” performance evaluations may be performed only with the pre-approval from the Office of Employee Services, with the exception of employees returning from leave.
## III. REVISION HISTORY

<table>
<thead>
<tr>
<th>Date</th>
<th>Description of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>5/01/2001</td>
<td>Original Policy Release</td>
</tr>
<tr>
<td>4/18/2004</td>
<td>Procedure update</td>
</tr>
<tr>
<td>1/06/2008</td>
<td>New appointing authority</td>
</tr>
<tr>
<td>8/15/2008</td>
<td>Establish exempt uniform performance evaluation cycle, annual due dates revised</td>
</tr>
<tr>
<td>9/30/2009</td>
<td>Move bargaining unit employees to the annual performance review cycle; establish due dates</td>
</tr>
<tr>
<td>1/3/2018</td>
<td>Procedure updates; annual performance review cycle periods updated.</td>
</tr>
</tbody>
</table>