

STATE BOARD OF PSYCHOLOGY OF OHIO

POLICY AND PROCEDURE MANUAL

SECTION 10: ADMINISTRATIVE POLICIES AND PROCEDURES

POLICY 10.18: EMPLOYEE ePERFORMANCE EVALUATIONS

PRIOR DATE EFFECTIVE: NONE

EFFECTIVE: 3/20/2014

REVIEWED AND APPROVED:



President

5/1/14
Date



Executive Director

3/20/14
Date

References: DAS Policy HR-38; OCSEA Article 22; approval email from DAS dated 3/20/14

Policy

In early 2013 the State of Ohio transitioned from the Ohio Performance Management System (OPRS) paper evaluation forms to the web-based electronic Human Capital Management (HCM) ePerformance application. The ePerformance system is a statewide tool that is used to create and manage performance evaluations (Annual, Probationary, and Ad Hoc), Performance Improvement Plans, and Career Development Plans. The purpose of performance evaluations is to work toward achieving the Board's mission, goals, and objectives. This policy establishes a procedure for how the Board's managers and supervisor will utilize ePerformance to regularly evaluate employee performance.

Exempt Employees: As part of the transition to ePerformance, the Board will place classified exempt employees into an annual performance evaluation cycle that begins in October of each year.

Bargaining Unit Employees: The Board will continue to follow the respective collective bargaining agreement provisions regarding timelines for conducting probationary and annual performance evaluations for bargaining unit employees. Annual evaluation review periods will continue to be based upon the employee's step entry date (e.g. completion of probationary period; reclassification; etc.)

Definitions

Career Development Plan (CDP) is 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.

Competency is a measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics designed to reflect the behaviors in how an employee completes his or her goals (i.e.: the combination of using knowledge, skills, and abilities).

ePerformance is the electronic Human Capital Management (HCM) module for employee performance evaluations.

Performance Evaluation Cycle is a period of review and evaluation of an employee's job performance using the annual evaluation tool in Ohio Administrative Knowledge System (OAKS) ePerformance, as supported and supplemented by ongoing documentation, continuous monitoring, coaching, and providing feedback to the employee.

Performance Improvement Plan (PIP) is 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.

Self-evaluation Tool is an ePerformance application tool that allows employees to rate themselves against the evaluation criteria set forth by their supervisors.

Third-party Nomination is 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.

Employees in an Initial Probationary Period

Exempt and bargaining unit employees serving a probationary period must receive a minimum of two probationary evaluations – a mid-probationary evaluation and a final probationary evaluation. The mid-probationary evaluation is given to the employee midway through their probationary period and the final probationary evaluation is given to the employee at the end of their probationary period. The mid and final evaluations are due no later than 30 days after the mid and final probationary period unless the employee will not be retained in the position for which the employee is serving a probationary period. Should the employee not be retained in their position, the evaluation shall be issued prior to the last day of the employee's probationary period. Supervisors will consult with the Human Resource staff immediately if the employee will not be retained in the position.

Extending a Probationary Period

Exempt and bargaining unit employees may have an extended probationary period if it is determined that the employee requires additional training or to allow additional time for review of the employee's performance. The employee must agree to the extension, and in situations affecting a bargaining unit employee, the union must also consent to the extension of the probationary period.

An employee who is on approved disability leave or any other approved leaves of fourteen (14) consecutive days or longer, except for approved periods of vacation, shall have the length of the probationary period extended by the same amount of time the employee was on leave (e.g. childbirth/adoption). As a result, the employee will not receive a step increase until the requisite period of time is spent serving the probationary period and a satisfactory rating is achieved. A manager/supervisor will notify the Human Resource staff who will properly advise the employee of the extension.

Transitioning from Probation to Annual Review Periods for Exempt Employees

The Board will transition exempt employees who successfully complete the required probationary period to the Board's assigned review period/cycle, which begins in October each year. The Board will shorten the annual performance evaluation review period to no less than 6 months or lengthen the annual performance evaluation review period to no more than 17 months to place the employee into the appropriate performance cycle.

In accordance with the collective bargaining agreement, bargaining unit employees will retain their current annual review periods based upon the employee's probation date field within HCM, which will change after a promotion, job reclassification, or other actions affecting the employee's step entry date.

Exempt employees (Executive Director and Program Administrator 1) will be assigned to the October review cycle.

Month Hired (Exempt Employee)	Mid Probationary Review Month	Final Probationary Review Month	Ongoing Review Month	Months Between Reviews
January 2013	April 2013	July 2013	October 2014	15
February 2013	May 2013	August 2013	October 2014	14
March 2013	June 2013	September 2013	October 2014	13
April 2013	July 2013	October 2013	October 2014	12
May 2013	August 2013	November 2013	October 2014	11
June 2013	September 2013	December 2013	October 2014	10
July 2013	October 2013	January 2014	October 2014	9
August 2013	November 2013	February 2014	October 2014	8
September 2013	December 2013	March 2014	October 2014	7
October 2013	January 2014	April 2014	October 2014	6
November 2013	February 2014	May 2014	October 2015	17
December 2013	March 2014	June 2014	October 2015	16

Ad Hoc Performance Evaluations

Ad hoc performance evaluations may be completed on an employee at any time. The primary purpose of an ad hoc performance evaluation is to provide a current rating when some particular action takes place with the employee (e.g. when used in conjunction with a PIP).

Public Records

Any information entered into the ePerformance application tool is potentially a public record.

ePerformance Implementation and Administration

Performance evaluations shall be completed in a timely fashion. Performance evaluations must be completed within a 60 day window, which opens 30 days before a performance cycle ends and concludes 30 days after the new cycle begins. For example, for the October cycle, the window for completing the evaluation begins on September 1 and ends on October 31. A performance evaluation is complete only after the employee has acknowledged the

performance document in the ePerformance system and the supervisor has updated the document status as complete.

Self-Evaluation Tool

The Self-Evaluation Tool in ePerformance allows employees to rate themselves against the evaluation criteria (i.e. competencies, goals, and performance expectations) set forth by the staff member's supervisor (Executive Director). As of the effective date of this policy, the Board elects not to utilize the Self-Evaluation Tool in ePerformance. This practice may be changed at the discretion of the Board. Changes to this policy shall be communicated to the staff in writing prior to implementation.

Third Party Nomination

The Third-Party Nomination tool in ePerformance allows managers and supervisors to request outside input on an employee. That is, it allows supervisors or managers other than the employee's immediate supervisor to provide direct feedback into a staff member's performance review or developmental processes. As of the effective date of this policy, the Board elects not to utilize the Third-Party Nomination tool in ePerformance. This practice may be changed at the discretion of the Board. Changes to this policy shall be communicated to the staff in writing prior to implementation.

Performance Improvement Plans (PIP)

The Board may use a Performance Improvement Plan (PIP) in an effort to correct and improve performance. Only employees who receive an overall ePerformance rating below "Meets Expectations," regardless of whether the evaluation is an annual or ad hoc evaluation, will be placed on a PIP. The supervisor will work with the employee in an effort to improve his or her performance. The PIP must establish what improvements are needed and the expected time frame for achievement. It must also include remarks that indicate how the employee can reach an acceptable level of performance by the next review conference. The supervisor will consult with Human Resource staff to provide guidance in the development of the PIP. An Ad Hoc evaluation shall be utilized to document PIP progress.

Career Development Plan (CDP)

A CDP is an optional staff development tool that establishes future goals for progression in a state job track, internal promotion, or identification of training and development opportunities to support and increase an employee's knowledge on a particular topic. As of the effective date of this policy, the Board elects not to utilize the Career Development Plan tool in ePerformance. This practice may be changed at the discretion of the Board. Changes to this policy shall be communicated to the staff in writing prior to implementation.

Performance Evaluation Processes

1. The Executive Director shall evaluate each employee.
2. In preparation for completing the performance review document, the supervisor should review the following:
 - a. Position description

- b. Last performance review
- c. Work product files
- d. Written observations of job performance
- e. Significant job-related incidents
- f. Job-related observations of individuals who work closely with the employee
- g. Goals and objectives
- h. Unplanned tasks
- i. Accomplishments, certificates, and thank you notes.

Raters are expected to use relevant, objective standards and evaluate performance accurately using clear, objective language. The supervisor should not have access to and should not refer to medical records or diagnoses. Supervisors should also avoid making subjective judgments based on hearsay or gossip. The supervisor should stick to the facts that can be documented, avoid evaluation of personality traits and attitudes, and be consistent with disciplinary or other performance records.

3. Upon completion of the performance evaluation document by the supervisor and subsequent approvals, the supervisor shall discuss the evaluation with the employee.
4. At the performance review meeting, the supervisor should encourage employee input in the discussion. The supervisor should provide supportive comments where his or her appraisal agrees with the employee's point of view. Those areas where there may be disagreement also need to be addressed. The employee should be encouraged to discuss other facts or circumstances that affected or impacted performance. The supervisor should verbally review each performance expectation and the status of each individual goal, using specific examples from throughout the rating period. He/she should recognize acceptable or superior work, as well as note where the employee has been unsuccessful in meeting performance expectations. The supervisor should also determine with the employee if there are any areas where help is needed to improve performance.
5. After the performance review meeting, the employee has three working days to review and electronically sign the evaluation.
6. The employee signature serves as acknowledgement of its receipt and does not represent agreement with the evaluation.
7. If an employee fails to acknowledge the evaluation, the supervisor 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 the employee's right to an appeal.
8. An employee may add his/her comments to the evaluation. The response will become an official part of the evaluation.

Competencies

Competencies can be described as observable behaviors needed for successful job performance. They are measurable patterns of knowledge, skills, abilities, behaviors, and other characteristics designed to reflect the behaviors in how a staff member completes goals (i.e.: the combination of using knowledge, skills, and abilities).

All employees will have the mandatory statewide Customer Focus competency.

The Board will not use agency-related competencies at this time. This practice may be changed at the discretion of the Board. Changes to this practice will be communicated, in writing, to staff prior to implementation.

As of the effective date of this policy, the Board elects not to utilize classification-level competencies. This practice may be changed at the discretion of the Board. Changes to this practice will be communicated to staff in writing prior to implementation.

Step Increase Denial

Managers may withhold an employee's step increase based on an overall ePerformance rating of "Does Not Meet." The following processes should be followed when intending to deny/withhold an employee's step increase:

Bargaining Unit Employees

The Supervisor will contact Human Resource staff as soon as possible and at least 30 days prior to the employee's step date. Note: The step date is the first Sunday following the end of the current annual review period, or for employees on probation, it is the beginning of the pay period that includes the last day of probation, and is always set at the beginning of a pay period.

Supervisors will take into account the ePerformance workflow in order to secure their manager's and Appointing Authority's acknowledgement in the ePerformance system prior to the employee receiving the evaluation.

An overall rating of "Does Not Meet" will constitute an unsatisfactory rating; therefore, the supervisor is required to place the employee on a Performance Improvement Plan (PIP).

Exempt Employees

At the time the supervisor identifies work performance issues that may result in withholding an employee's step increase, they should immediately contact Human Resource staff to determine the employee's step date (since the step date will not be tied to the exempt performance review cycle).

Supervisors will contact Human Resource staff as soon as possible and, where practical, at least 30 days prior to the employee's step date.

The annual cycle will likely not align with the employee's step date; therefore, the supervisor will need to conduct an Ad Hoc performance evaluation outside of the employee's annual performance evaluation cycle.

The Ad Hoc evaluation will need to be finalized in the ePerformance system and Personnel will need to have completed the paperwork to withhold the step prior to the employee's step eligibility date.

An overall rating of “Does Not Meet” will constitute an unsatisfactory rating; therefore, the supervisor is required to place the employee on a Performance Improvement Plan (PIP).

Appeal Process

Bargaining Unit Employees

Bargaining unit employees may appeal their performance evaluations in accordance with their respective labor contract. The timelines provided by the collective bargaining agreement are applicable to grievances filed at Step Three and Step Four of the grievance process.

Exempt Employees

Level One Appeals: This appeal may be filed by employees who have received an overall rating of “Meets Expectation.” or above.

Employee is still unsatisfied:

- Employee files a written response to the Executive Director within 7 days of receiving the signed evaluation. If the Executive Director is the employee’s direct supervisor, this role will be completed by the Human Resource manager at Central Service Agency.
- The Executive Director holds a meeting within 7 days of the appeal.
- The Executive Director responds within 7 days after the meeting.
- The decision by the Executive Director is final.

Level Two Appeals: This level of appeal may be filed by an employee who received an overall rating of below “Meets Expectations.”

Employee is unsatisfied:

- File a Level One Appeal as described above.
- After the Executive Director responds, employee may file an appeal with the Human Resource manager at Central Service Agency within 7 days of receipt of the Level One response.
- CSA may hold a meeting or perform a review of the information submitted by the appealing employee. A written decision shall be issued with 14 days of the appeal.
- An employee may have additional appeal rights pursuant to OAC 123:1-29-03.