

902 KAR 8:096. Local health department employee performance evaluation program.

RELATES TO: KRS 211.090(3), 211.170(1), 211.1751, 212.170(4), 212.870

STATUTORY AUTHORITY: KRS 194A.050(1), 211.1755(2)

NECESSITY, FUNCTION, AND CONFORMITY: KRS 211.1755(2) requires the cabinet to promulgate administrative regulations establishing the policies and procedures of the personnel program for local health departments. This administrative regulation establishes the requirements and the procedures for the evaluation of local health department employee performance.

Section 1. (1) An agency electing to participate in the employee evaluation program of this administrative regulation shall have Board of Health approval and shall notify the department prior to the start of each fiscal year.

(2) The cabinet shall provide technical assistance and training for appropriate local health department supervisory employees if requested by the agency and upon notification of the board's approval.

(3) Each agency shall elect, with Board of Health approval, to participate in one (1) of the following employee performance evaluation programs:

(a) The evaluation program described in 902 KAR 8:080, Section 8; or

(b) The evaluation program described in this administrative regulation.

(4)(a) An agency choosing the employee evaluation program described in 902 KAR 8:080, Section 8, shall notify the department prior to the beginning of each fiscal year.

(b) The agency shall remain under the requirements of 902 KAR 8:080, Section 8, unless the agency, with Board of Health Approval, elects to participate in the provisions of this administrative regulation at the beginning of a subsequent fiscal year.

(c) An agency choosing 902 KAR 8:080, Section 8, shall not be subject to any provision of this administrative regulation.

Section 2. Purpose of the Employee Performance Evaluation Program. (1) The purpose of the employee performance evaluation program shall be to establish a uniform process for the evaluation of an employee's performance during a specified period of time.

(2) Specific objectives of the program shall include the following:

(a) Increase the efficiency of the agency and employee through the annual planning of job duties, objectives, and performance characteristics and assisting the employee to improve performance through prior knowledge of the expectations of the supervisor;

(b) Serve as a medium which brings the supervisor and employee together for constructive performance discussion and written documentation;

(c) Serve as a means to determine the level at which an employee is performing;

(d) Recognize performance that meets and exceeds performance standards;

(e) Identify and correct substandard performance;

(f) Assist in determining and recording special talents, skills, and capabilities that might otherwise not be noticed or recognized;

(g) Ensure understanding of duties and standards expected of the employee;

(h) Provide assistance in assigning work and delegating responsibility based on a mutual understanding of the employee's skills and abilities;

(i) Encourage the continued growth and development of employees; and

(j) Serve as a basis to review the employee's performance for granting work related salary adjustments.

Section 3. Designated Employee Performance Evaluations. (1) Employee performance evaluations shall be completed at the following times:

(a) Prior to the completion of the required initial appointment probationary period established in 902 KAR 8:080, Section 9;

(b) At the annual employee performance evaluation in accordance with Section 4 of this administrative regulation;

(c) Prior to completion of the required probationary period following promotion established in 902 KAR 8:090, Section 1;

(d) Following reinstatement of an employee that had a gap of service with an agency of more than one (1) year but does not exceed three (3) years from date of separation in accordance with 902 KAR 8:080, Section 3(3); or

(e) At a special performance evaluation required by Section 10 of this administrative regulation.

Section 4. Annual Employee Performance Evaluation. (1) An employee that has gained regular status shall be evaluated by the appointing authority or designated supervisor on an annual basis.

(2) An employee's established annual increment date shall be the first day of the first pay period after completion of twenty-six (26) pay periods of service during which the employee earned annual and sick leave pursuant to 902 KAR 8:120. A designated part-time employee's established annual increment date shall be the first day of the first pay period upon completion of twenty-six (26) pay periods of service.

(3) An employee returning to duty from leave without pay shall receive an annual increment when the employee has completed twenty-six (26) pay periods of service since the date the employee last received an annual increment.

(4) An annual increment date shall not change when an employee:

(a) Is in a position that is assigned a new or different salary grade;

(b) Receives a salary adjustment as a result the employee's position being reallocated;

(c) Is transferred;

(d) Receives a demotion;

(e) Is approved for detail to special duty;

(f) Returns from military leave covered under the Uniformed Services Employment and Reemployment Rights Act, 38 U.S.C. 4301 to 4335;

(g) Is reclassified; or

(h) Is promoted.

(5) A regular-status employee shall maintain his current annual increment date. The performance evaluation date for an employee appointed shall be twenty six (26) pay periods following initial appointment.

Section 5. Employee Performance Evaluation Process. (1) The supervisor shall maintain a record throughout the evaluation period for each employee supervised.

(2) The record shall provide a chronological record of consistently maintained accomplishments or problems by an employee. The records shall include:

(a) Dates;

(b) Details;

(c) Names; and

(d) Any written statements regarding accomplishments or problems.

(3) The purpose of the record shall be to ensure that the evaluations are based on actual activities and performance during the review-rating period and provide documentation neces-

sary for the performance salary adjustment or indicated disciplinary actions necessary in the case of unacceptable performance.

(4) A performance evaluation shall be completed for each regular status employee using the Local Health Department employee performance evaluation form (CH-40A), developed by the department in consultation with the agencies and the council.

(5) The CH-40A shall contain documented efforts made by the supervisor during the review period to correct unacceptable performance of the employee.

(6) At the beginning of the review period, the supervisor shall identify for each employee supervised:

- (a) The performance competencies;
- (b) Expectations;
- (c) Goals; and
- (d) Objectives.

(7) A supervisor shall develop an annual, written performance plan for each employee supervised.

(8) The supervisor and employee shall meet to discuss the identified performance competencies, expectations, goals, and objectives and decide on an individual development plan to assist the employee in performing the job. The annual performance plan shall include:

- (a) An annual performance plan period;
- (b) Job-related performance competencies, goals, and objectives that are consistent with the employee's position description and relate to the agency's goals and performance competencies. Each performance competency shall describe:

- 1. Standards or indicators of success; and
- 2. Measurable results and time frames if applicable; and

(c) Provisions for a minimum of one (1) interim performance plan review during the plan year to discuss performance progress, any deficiencies and plan updates as necessary.

(9) The supervisor, at the end of the review period, shall rate the performance of an employee on the identified performance competencies, indicating both the level of work performed and examples of the employee's work supporting the rating given on each measure and the final rating the employee will receive.

(10) The supervisor shall identify the performance competencies, goals, expectations, and objectives for the next plan year.

(11) The results of the employee performance evaluation may be submitted to the reviewer, if other than the appointing authority, and the appointing authority prior to meeting with the employee.

(12) The supervisor and the employee shall meet to discuss the supervisory ratings, performance competencies, goals, and expectations, objectives identified for the next review period and the employee's development plan for the next review period. The employee shall have the opportunity to provide input, examples of work and a self-evaluation for the supervisor's consideration.

(13) The employee shall have an opportunity to attach written comments concerning the rating of the supervisor's evaluation. The comments shall be provided to the supervisor no later than five (5) working days after the supervisor and employee meet to discuss the performance evaluation.

(14) An employee that disagrees with the performance rating conducted by the employee's supervisor may ask for a review with the reviewer. If the employee is not satisfied with the response of the reviewer, the employee may submit a grievance through the agency's grievance procedure.

Section 6. Employee Performance Evaluation Competencies. (1) An employee shall be evaluated on at least the following performance competencies:

- (a) Position knowledge;
- (b) Communication;
- (c) Concern for accuracy;
- (d) Service orientation;
- (e) Organizational awareness; and
- (f) Performance orientation.

(2) A supervisor shall be evaluated on the following competencies in addition to those stated above:

- (a) Staff development;
- (b) Functional planning; and
- (c) Decision making.

(3) In addition to the required competencies established in subsections (1) and (2) of this section, additional competencies may be added to the employee's or supervisor's evaluation that reflects the level of development of the employee, level of responsibility, degree of independence, complexity, and the overall scope of the employee's job duties.

Section 7. Employee Evaluation Rating Factors. The following ratings shall be used by the supervisor to evaluate an employee's job performance for the competencies identified:

5	Highly Commendable Performance
4	Proficient and Commendable Performance
3	Effective and Competent Performance
2	Needs Development Performance
1	Unacceptable Performance

Section 8. Overall Performance Rating of the Employee. The supervisor shall provide an overall rating of the employee's performance based on the supervisor's judgment regarding the following levels of performance:

(1) Highly commendable performance rating level for the employee who:

- (a) Consistently surpasses skill expectations in execution of the majority of critical job responsibilities and objectives;
- (b) Makes exceptional contributions to the overall functioning of a department by demonstrating initiative, flexibility, and creativity in addressing issues or developing systems, procedures, or enhancements for greater efficiencies and effectiveness;
- (c) Possesses superb skills and knowledge;
- (d) Constantly anticipates or responds quickly to changing situations and departmental needs;
- (e) Constantly contributes workable solutions to projects or problems;
- (f) Demonstrates work of a superior quality; and
- (g) Is a solution-oriented team player who maintains and promotes excellent working relationships.

(2) Proficient and commendable performance rating level for the employee who:

- (a) Consistently demonstrates skill in the execution of the majority of critical job responsibilities and objectives;

- (b) Makes important contributions to the overall functioning of a department by demonstrating solid performance with respect to productivity and quality;
- (c) Possesses strong skills and knowledge; and
- (d) Is a strong team player who maintains and promotes good working relationships.
- (3) Effective and competent performance rating level for the employee who:
 - (a) Competently executes the majority of critical job responsibilities and objectives;
 - (b) Makes positive contributions to the overall functioning of an agency by demonstrating sufficient performance with respect to productivity and quality of work;
 - (c) Possesses appropriate level of skills and knowledge;
 - (d) Maintains and promotes positive working relationships as a team player;
 - (e) Works positively to influence the work group; and
 - (f) Adjusts readily to changing situations and work assignments.
- (4) Needs development performance rating level for the employee who:
 - (a) The overall performance to ensure consistent execution of all job responsibilities and objectives needs development;
 - (b) Demonstrates success in some areas but guidance in other areas has been needed; and
 - (c) Demonstrates performance competencies that need further development and consistent application.
- (5) Unacceptable performance rating level for the employee whose overall performance indicates that:
 - (a) Job duties, responsibilities, and objectives have not been consistently met;
 - (b) Employee's performance requires close monitoring and has not kept pace with job related requirements; and
 - (c) Successes have been only occasional or of minimal impact and performance has failed to demonstrate sufficient level of competencies required.

Section 9. Salary Adjustment for an Employee Based on the Levels of Performance. (1) If, in the judgment of the supervisor and appointing authority, an employee who receives an overall rating at the highly commendable or proficient and commendable level, the employee shall receive:

- (a) The annual employee performance rate adopted by the Board of Health at the beginning of the fiscal year not to exceed five (5) percent of the employee's salary;
- (b) An additional lump sum payment that was adopted by the Board of Health at the beginning of the fiscal year not to exceed three (3) percent of the employee's salary if adequate documented justification is provided to the department for approval; and
- (c) The lump sum payment shall be effective the same date as the annual increment was awarded.

(2) If, in the judgment of the supervisor and appointing authority, an employee receives a performance rating at the effective and competent level, the employee shall receive the annual employee performance rate adopted by the Board of Health at the beginning of the fiscal year not to exceed five (5) percent of the employee's salary.

(3)(a) If, in the judgment of the supervisor and appointing authority, an employee receives a rating at the needs development level after appropriate supporting documentation has been made, the employee shall be entitled to receive a salary adjustment equivalent to fifty (50) percent of the annual performance evaluation rate adopted by the Board of Health at the beginning of the fiscal year not to exceed five (5) percent of the employee's salary.

(b) An appointing authority shall require a special evaluation to be conducted no later than 120 days following the annual evaluation to determine if the employee's level of performance

has improved.

(c) If the employee's performance has improved to the effective and competent level, the appointing authority shall approve the employee's receipt of the additional fifty (50) percent over the remainder of the evaluation period.

(d) For the employee who shows no improvement in performance or whose performance deteriorates, the appointing authority shall:

1. Remove the fifty (50) percent salary increment; and
2. Initiate appropriate disciplinary action as found in 902 KAR 8:100.

(4)(a) If, in the judgment of the supervisor and appointing authority, an employee receives a rating at the unacceptable level, the appointing authority shall not grant a salary increase except as provided in paragraph (d) of this subsection.

(b) The appointing authority shall initiate dismissal action if indicated by supporting documentation.

(c) If the supporting documentation does not indicate a dismissal action, the appointing authority shall initiate appropriate disciplinary action followed by a performance re-evaluation to be completed no later than 120 days after the disciplinary action was initiated.

(d) The appointing authority shall provide the employee a salary adjustment equivalent to fifty (50) percent of the annual performance evaluation rate at the needs development performance level if an employee improves the level of performance and satisfactorily meets the performance improvement objectives as determined by the re-evaluation.

(5) The employee performance salary adjustment shall be given to the eligible employee at the beginning of the first pay period following twenty-six (26) pay periods of service during which the employee was in pay status.

(6) An employee whose annual increment is denied shall be notified by the appointing authority in writing at least fourteen (14) calendar days prior to the annual increment date.

Section 10. Special Performance Evaluation. A special performance evaluation may be conducted at any time by the employee's supervisor to gauge the level of performance or to improve performance.

Section 11. Employee Rights and Responsibilities. (1) An employee shall have the opportunity to include written comments pertaining to an evaluation and may attach additional pages, as necessary.

(2) If the employee provides comments, the comments shall be attached to the evaluation form and made part of the employee personnel file.

(3) The employee shall sign the performance evaluation. However, the employee's signature shall not be required for the evaluation to be complete; the signature shall only indicate the evaluation has been discussed with the employee and shall not imply agreement or disagreement with the evaluation.

(4) An employee shall be provided with the basis of the evaluation and, upon written request, shall be provided a copy of documents which were considered in completing the evaluation.

(5) Upon written request to the next higher-level administrator, an employee with regular status shall be granted an opportunity to discuss any concerns regarding the evaluation.

Section 12 Incorporation by Reference. (1) "Form CH-40 A, Local Health Department Employee Performance Evaluation Form", 7/1/2006, Cabinet for Health and Family Services, is incorporated by reference.

(2) This material may be inspected, copied, or obtained, subject to applicable copyright law,

at the Department for Public Health, Division of Administration and Financial Management, 275 East Main Street, Frankfort, Kentucky 40621, Monday through Friday, 8 a.m. to 4:30 p.m. (32 Ky.R. 1029; 1441; 1674; eff. 3-9-2006; 37 Ky.R. 1781; 2172; eff. 4-1-2011.)