

<p style="text-align: center;">STATE OF OHIO</p>  <p style="text-align: center;">DEPARTMENT OF NATURAL RESOURCES</p>	<p>SUBJECT: E-Performance Policy</p>	<p>PAGE <u>1</u> of <u>6</u> PAGES</p>
		<p>POLICY #: DNR-OHR-0006</p>
	<p>RULE/CODE REFERENCE: DAS HR-38, ORC 124.09, 124.15, 1306.01; OAC 123:1-29-01 to 123:1- 29-02-123.1-47-01 (B), 123.3-1-01, DAS HR-39 OCSEA, Article 22.03; FOP, Article 32</p>	<p>ORIGINATION DATE: January 1, 2014</p>
		<p>SUPERSEDES:</p>
	<p>PURPOSE: To provide a policy which sets forth a formal evaluation of work behavior that enables the employer and employee to build on the strengths of the employee and identify those areas that the employee needs improvement. It is the intent of ODNR to enhance work performance and the work environment in an effort to provide better customer service to the ODNR community and one another.</p>	<p>EFFECTIVE DATE: April 1, 2014</p> <p>REVISION DATE:</p>
<p>AUTHORITY: DAS HR-38, 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</p>	<p>APPROVED: </p>	

**I. POLICY:**

This policy constitutes the Ohio Department of Natural Resources' (ODNR) position regarding the electronic Human Capital Management module (HCM) e-Performance application. Department classified exempt employees will be placed into an annual performance evaluation cycle. Employees step dates will be unaffected. E-Performance will also be utilized for bargaining unit employee performance evaluations; however, the evaluations of these employees will adhere to the respective collective bargaining agreements which outline the timeframes for issuing performance evaluations for bargaining unit employees. This policy is in conjunction with HR-38 (effective May 3, 2013) which states in part that each agency shall develop their own policy on the performance evaluations of employees. The State of Ohio HR Policy is incorporated herein by reference.

**II. DEFINITIONS:**

TERM	DEFINITION
Probationary period	A set period of time (3, 6, 12 months) wherein an employee's performance is monitored closely in order to assess their capabilities. A probationary period is required for classified civil service and bargaining unit staff to review performance during the initial phase of employment or after certain changes in classification (promotions).

**III. PROCEDURE:**

The policy set forth herein allows the creation of reasonable performance standards so that both supervisor and employee are aware of work that is considered "acceptable" performance.

**Initial Probationary Period**

The annual performance evaluation cycle does not apply to employees in their initial probationary period. Employees must receive two evaluations before the completion of their probationary period. After completion of the initial probationary period, the evaluation cycle must be synchronized with ODNR's annual performance evaluation cycle.

**Synchronization of Evaluation Month and Annual Cycle:**

ODNR may change a non-probationary employee's evaluation month so that the employee's evaluation will align with the ODNR's performance evaluation cycle. ODNR may either shorten or lengthen the performance evaluation cycle, however it may not be shortened less than six (6) months or extend the cycle to more than seventeen (17) months, unless there are extenuating circumstances. This change shall be performed in a manner which causes the least amount of change to the evaluation cycle.

**Performance Evaluation Cycle:**

The periodic review and evaluation of the employee's job performance utilizing the annual evaluation tool in the OAKS performance along with the supervisor's documentation, monitoring, coaching and feedback to the employee shall utilize the following one of the two cycles:

January 1, 2014- Forestry, Parks, and Watercraft

July 1, 2014- Wildlife, Soil & Water Resources, Oil & Gas, Mineral Resources Management, Geological Survey, Engineering, Offices: Administration, Budget & Finance, Coastal Management, Communications, External Audits, General Services, Human Resources, Information Technology, Law Enforcement, Legal Services, Legislative Affairs and Real Estate & Land Management.

Bargaining unit employee performance evaluations will adhere to the respective collective bargaining agreements which outline the timeframes for issuing performance evaluations.

**Performance Evaluation Competencies (Statewide & Agency):**

The performance evaluation shall contain written measurable patterns of knowledge, skills, abilities, behaviors and other characteristics in an effort to identify how the employee achieves identified goals. Managers/Supervisors must choose at least three (3) Agency competencies from the competencies list <http://das.ohio.gov/Portals/0/DASDivisions/HumanResources/ORGDEV/pdf/List%20of%20Competencies%20and%20Descriptions.pdf>. These competencies shall be based programmatically on the Division/Office's mission. Classification competencies will not be utilized until the review cycle that commences in July 2015 to allow for synchronization and familiarity with the new system.

**Approval Process:**

The approval process will consist of the following:

Employee Acknowledgement

Supervisor

Manager

Human Resources (For the Appointing Authority)

**Use of Performance Improvement Plan documents & Self-evaluation**

The use of a formal, written documented plan or Performance Improvement Plan (PIP) will be utilized to correct the poor performance and/or behavioral issues of an employee regardless of whether or not the PIP coincides with the annual or ad hoc performance evaluation. An employee who receives an overall rating below "Meets Expectations" on any performance evaluation will be placed on a PIP.

The self-evaluation tool will not be utilized until the review cycle that commences in July 2015 to allow for synchronization and familiarity with the new system.

**Step Increase Denial**

An overall rating of "**Does Not Meet**" will constitute an unsatisfactory rating. The supervisor shall place the employee on a Performance Improvement Plan (PIP). 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. The denial of bargaining unit employees step increases shall follow the applicable bargaining unit language.

**Electronic Signature**

Performance evaluations will be authenticated with an electronic signature using the employee's State of Ohio User ID. The employee's signature acknowledges that the employee has reviewed the completed evaluation however does not constitute that the employee accepts the contents of the evaluation.

**Deadlines**

Performance evaluations shall be completed within a sixty (60) day time frame. The time frame includes 30 days prior to the cycle and ends 30 days after the cycle end.

**Review Materials**

Documentation and material that is appropriate for review when completing the performance evaluation is as follows:

1. Position Description
2. Last Performance Evaluation
3. Written Observations of performance
4. Work product files
5. Significant incidents (job related)
6. Goal and objectives
7. Unplanned tasks/accomplishments
8. Certificates/awards/notes

**Note: Medical documentation or diagnoses are inappropriate for use when completing a performance evaluation.**

**Performance Review Meeting**

Performance ratings shall be based on documented facts and shall be consistent with performance records that occurred during the evaluation period. Any discipline actions shall be shared as they occur and may be reviewed during the review meeting.

**Employee's Refusal to Sign:**

In the event an employee refuses to sign the performance evaluation the following shall apply:

1. A notation shall be inserted under the "Acknowledge Review" section.
2. A check mark must be placed in the "NO" box in the section that reads "I am exercising my right to refuse to sign this document."

***Refusal to sign the performance evaluation shall void the employee's right to the performance evaluation appeal process.***

**Department Appeal Process (Exempts):**

The internal review/appeal procedure for exempt employees consists of the following steps:

1. If the employee is dissatisfied with his/her performance review following the performance review interview, he/she may appeal the performance review to the next supervisory level (i.e., rater's supervisor)
2. If the employee is dissatisfied with the supervisory review, he/she may appeal the performance review to the division/office Chief.
3. If the employee is dissatisfied with the Division/Office Chief review, he/she may appeal the performance review to the Director of the Department of Natural Resources or his/her designee.
4. If an employee wants to exercise their right to appeal their performance review to the Department of Administrative Services, per ORC 123:1-29-03, they must request a review within thirty (30) days following the date that the employee signs the performance review or the date that the Appointing Authority signs the performance review, whichever is later. An employee shall not be entitled to such a review until he/she has exhausted all available internal review procedures of the employing agency.

**Department Appeal Process (Bargaining Unit):**

The appeal procedure for bargaining unit employees will adhere to their respective collective bargaining unit guidelines.

**Career Development Plans:**

Career Development Plans are not required by the Department of Natural Resources. If a Division/Office determines to offer Career Development Plans to their respective employees, the plans must follow the Career Development Policy/Procedure of the Department of Natural Resources.

**Discipline**

Any violation of this policy may result in disciplinary action in accordance with the ODNR disciplinary grid and may be cause for termination.

**IV. RESPONSIBILITIES:**

<b>POSITION OR OFFICE</b>	<b>RESPONSIBILITIES</b>
Office of Human Resources	A. To annually review policy for applicability and updates. B. To process violations of the policy according to the disciplinary process and grid.
ODNR Division/Office Supervisors and Managers	A. Monitor workforce, ensure compliance, and report violations to Human Resources. B. Proactively communicate questions, concerns and issues to the appropriate contact listed below.
Employee	A. Read and comply with policy. B. Proactively communicate questions, concerns and issues to the appropriate contact listed below.

**V. RESOURCES:**

Ohio Department of Administrative Services

**VI. CONTACTS:**

<b>SUBJECT</b>	<b>OFFICE</b>	<b>TELEPHONE</b>	<b>EMAIL/URL</b>
Policy Issues	Office of Human Resources/Labor Relations	(614) 265-6899	<a href="mailto:Policy.Coordinator@DNR.State.OH.US">Policy.Coordinator@DNR.State.OH.US</a>