



EMPLOYEE PERFORMANCE APPRAISAL

I. PURPOSE

- A. The purpose of this policy is to establish a standardized performance appraisal system for State employees and for employees of county health departments that is characterized by clearly-defined performance goals and objectives and increased employee involvement. The performance management system established by this policy is based on the belief that performance appraisal/evaluation is only one component of an ongoing process of performance planning, management, and improvement.
- B. Performance appraisal/evaluation (along with the forms and procedures developed to accomplish it) is the information gathering part of the performance management process. In performance appraisal/evaluation, an organization identifies, measures, and evaluates an employee's job-related behaviors and accomplishments during a specific period of time and compares those to previously established performance standards. Based on these comparisons, judgments are made regarding an employee's strengths and weaknesses, and what can be done to enable the employee to perform more effectively. Information gained through the performance appraisal/evaluation process should be used for a variety of performance-related activities such as: providing feedback to employees concerning achievement of performance standards; identifying means to help employees function more effectively; and providing information to be used in making personnel decisions on matters such as salary advancements, promotions, demotions, transfer, and training.

II. POLICY

- A. It is the policy of the State of West Virginia to:
 1. Tell employees what is expected of them during the first 30 days of each performance rating period (which shall not exceed 12 consecutive months in length).
 2. Provide feedback to employees regarding how well they are doing near the midpoint of the performance rating period.
 3. Formally rate employees at the end of each performance rating period.
- B. Supervisors are required to use West Virginia Division of Personnel Employee Appraisal Forms for conducting employees' performance appraisal/evaluations. Appointing authorities may develop agency-specific forms for the performance appraisal process provided such forms are consistent with and contain all information included in the Division of Personnel forms and that such forms shall be submitted to the Director of Personnel who may approve, amend or disapprove the forms.
 1. In addition to recording identifying data, supervisors are required to use the appropriate Employee Appraisal Form to record and report their ratings of employee's performance and related comments:
 - a. DOP Form EPA-1 shall be used for the Initial Planning Session; whenever coaching is indicated; or when expectations must be changed or modified.
 - b. DOP Form EPA-2 shall be used for the Interim or Mid-Year Review; for the probationary employee; or for special situations involving performance that fails to meet expectations.
 - c. DOP Form EPA-3 shall be used for the final review of the entire performance period and shall result in an overall rating. Forms EPA-1 and EPA-2 may be attached to and made a part of Form EPA-3.



EMPLOYEE PERFORMANCE APPRAISAL

POLICY

2. The Employee Appraisal Form (EPA-3) includes 23 performance elements (37 for supervisors and managers) which describe performance at the “success” or “meets expectations” level. It also provides procedural directions and a rating score sheet for calculating and recording the overall rating.
 3. Supervisors are required to rate each employee in six specific areas of responsibility (critical success factors): Maintains Flexibility, Demonstrates Credibility, Customer Service, Quantity of Work, Quality of Work, and Availability for Work.
 4. The system requires that supervisory employees also be rated in three additional areas of responsibility (critical success factors): Leadership, Management, and Work Environment.
 5. The system requires that a reviewing manager (i.e., generally, the supervisor/rater’s supervisor or other administrative superior) review an employee’s overall performance rating prior to the appraisal interview (Final Review Session). The reviewing manager shall initial the EPA-3 form indicating that he or she has reviewed the appraisal and approved the form for discussion with the employee. Signature of the reviewing manager should only occur after the employee appraisal interview and review of the document.
- C. The West Virginia Employee Appraisal System is designed to be an information gathering and reporting system.
1. It consists of a minimum of at least three events (i.e., meetings, conferences, discussions, etc.) and at least two activity periods (i.e., periods of employee performance).
 2. The system’s basic components are described as follows:
 - a. Initial Planning Session - During the first 30 days of each performance rating period, supervisors/raters are required to meet individually with each subordinate employee to identify, define, and describe performance expectations (e.g., responsibilities, duties, and standards). The purpose of this meeting is to ensure that the employee understands and is committed to established performance expectations for his or her job.
 - b. Primary Performance Period - Following the initial planning session, employees are expected to perform the tasks, duties, and responsibilities communicated to them at the Initial Planning Session. During the first six months, the supervisor shall regularly monitor, review, and analyze employee performance and provide coaching, reinforcement, and guidance to employees regarding their performance.
 - c. Mid-Year Review - Near the middle of the performance period (toward the end of the first six months of performance), supervisors/raters are required to meet individually with each subordinate employee to conduct a formal, mid-year review of the employee’s performance. During this meeting, the supervisor/rater must provide feedback to the employee concerning the employee’s strengths, weaknesses (if any), and performance during the primary performance period. If appropriate, the supervisor/rater may develop a performance improvement plan which describes the action(s) the employee must take to improve his or her performance to the “meets expectations” level.
 - d. Secondary Performance Period - For a second period, not to exceed six months, the employee performs the tasks, duties, and responsibilities which were communicated to him or her at the Initial Planning Session or as revised during the Mid-Year Review. During this



EMPLOYEE PERFORMANCE APPRAISAL

POLICY

period, the employee may also be required to focus on accomplishing the specific objectives of any ongoing Performance Improvement Plan.

- e. **Final Review Session** - Within 30 days following the end of the performance rating period, supervisors are required to meet individually with each of their subordinate employees to review and rate the performance of each employee during the entire performance rating period. Prior to the final review session, the completed but unsigned Employee Appraisal Form(s) shall be sent to the reviewing manager for review and approval. After approval, the reviewing manager shall return the unsigned but initialed Employee Appraisal Form(s) to the supervisor/rater for use in the review session with the employee. The purpose of the final review session is to provide employees with a formal rating of their overall job performance throughout the entire rating period and to generate information to be used as the basis for future performance planning. The Employee Appraisal Form(s) shall be submitted to the reviewing manager for signature.
- f. **Filing Completed and Signed Forms** - When the appropriate form has been completed and all signatures and dates have been affixed, but no later than 10 days following the end of the 30 days provided for final review, the rating supervisor: (1) retains a copy together with any supporting documents used in the evaluation process; (2) provides a copy of the form to the employee; and (3) forwards the original form through appropriate agency channels to the agency head. The agency head, or his or her designee, shall maintain the form in the employee's official agency personnel file.

III. REFERENCE: *West Virginia Division of Personnel Administrative Rule* (143CSR1), Sections 10.2(a) and 15, as amended, July 1, 2005.


IV. EFFECTIVE DATE: November 1, 1996.

V. REVISIONS

- A. Previous Revision: November 1, 1998.
- B. Previous Revision: April 15, 2004.
- C. Latest Revision: August 1, 2006.

VI. POLICY NUMBER: DOP-17.

Approved and Issued By:



Billie Jo Stfeye-Anderson, Director of Personnel

Date Signed: August 1, 2006.