

WEST VIRGINIA DEPARTMENT OF TRANSPORTATION  
ADMINISTRATIVE PROCEDURES  
VOLUME III, CHAPTER 8

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**SUBJECT:** PAYROLL/PERSONNEL  
**CHAPTER TITLE:** EMPLOYEE PERFORMANCE APPRAISALS

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I. **INTRODUCTION**

Effective: 4/15/2000

Both the supervisor and the employee should view employee performance appraisal as an opportunity for improvement. In this exercise, the supervisor has the opportunity to gauge the progress of the employee, plan methods to assist the employee in realizing his or her potential, and obtain information relating to personnel decisions (about promotion, demotion, salary advancement, and training).

Effective employee performance appraisal is dependent upon constructive communication between supervisors and employees. This communication must be two-way.

Supervisors must be completely honest with employees in evaluating their work. By this, employees who have not succeeded in their performance will know where they have failed and what it will take to improve their standing. If the supervisor believes the employee is capable of better work, he or she should stress that confidence to the employee and be willing to explore methods of improvement. This should be considered, by both the employee and the supervisor, to be constructive criticism.

Furthermore, employees who have succeeded in doing a good job should be commended by supervisors. Praise for a job well done can be a powerful motivator and may encourage the employee to continue his or her good work.

Conversely, the employee must be free to express his or her concerns during the appraisal. The employee may be able to offer suggestions on how the supervisor can help him or her

do a better job. If the employee has a problem with any aspect of the supervision that has been given, the supervisor should be willing to hear and address the employee's concern appropriately.

Supervisors may encourage employee feedback in several ways, such as encouraging written responses, allowing for open discussion, and involving the employee in setting performance objectives.

By establishing good communication and following the policies and processes outlined in this chapter, supervisors can expect a quality work effort from their employees, and employees can expect a fair appraisal of their accomplishments on the job.

## II. EVALUATION POLICIES

Effective: 4/15/2000

The goal of the performance appraisal process is to lead the employee into a course of action that will allow for growth, upward mobility, and increased productivity. The following policies establish the foundation on which the process stands.

### A. **DEFINING THE POSITION**

1. All supervisors will define the job duties and work standards for each employee classification under their supervision.
2. All supervisors will explain the job duties and work standards to each subordinate employee at the start of each performance appraisal period.

### B. **DEFINING THE TYPE OF RATING & RATING PERIOD**

1. Supervisors will rate each employee's work performance at least every twelve months. However, supervisors may choose shorter rating periods as defined in this section.
2. The "Reason for Submission," as listed on the Employee Performance Appraisal form is defined as:
  - a. **Annual** - the rating period begins January 1 and ends December 31 of each year. Supervisors may have to change the rating period because of conditions listed in item 3 of this section.
  - b. **Special** - the rating period begins and ends at the discretion of management. This type is normally used when evaluations that are more frequent are needed due to the work environment or as a means of aiding an employee's performance. A Plan for Improvement is required when the Special is for improving employee performance. A rating period of not less than three months is recommended for Special Evaluations. Evaluations of Probationary employees are included in this category.
  - c. **Probationary** - the rating period begins when a permanent employee is hired and ends at the conclusion of his or her

six-month probationary period. The appraisal should support management's decision on whether to retain the employee or not.

3. Any rating period may require changing due to:
  - a. a change in the employee's position (resulting from a significant change in duties and responsibilities, a change in supervision, a transfer to or from another work group, organization or agency, etc.),
  - b. or termination.
4. Any change in the rating period requires closure of the previously started appraisal period. The former supervisor holds a Final Review Session and completes the Employee Performance Appraisal and the new supervisor holds an Initial Counseling Session and begins the next appraisal period.
5. Normally, the completion of each rating period and the Appraisal also marks the beginning of a new rating period. However, supervisors should not start new Appraisals for periods less than three months. For example, if an employee transfers in on October 1, the gaining organization will begin his or her next Annual Appraisal on January 1. Conversely, if an employee transfers out on March 1, the losing organization will cancel the Appraisal begun on January 1.
  - When an appraisal is cancelled, entries made to the Evaluation Tracking System (see Section II.D.) must be deleted.

### **C. APPRAISING EMPLOYEE PERFORMANCE**

Effective: 4/15/2000

Since employee appraisal should be an ongoing process, there will be three counseling sessions, the Initial, the Mid-Point and the Final.

1. When assessing an employee's performance, supervisors will only consider how well the employee has performed the assigned duties against the established work standards.
2. Supervisors will restrict their consideration of an employee's performance to his or her work during the specified period. The employee's personality or other traits will only be considered to the extent that it affects his or her work performance.
3. Throughout the rating period, supervisors will document the work performance of each employee, when appropriate, for positive and negative events.
4. Documentation will be written on Form AH-503, "Record of Significant Occurrence," or in a manner of the supervisor's choosing, providing the following information:

- a. employee name, date, and time (if appropriate) of the event or incident,
  - b. description of the incident,
  - c. description of praise or corrective instructions offered to the employee (if appropriate),
  - d. and employee response (if applicable).
5. Supervisors are not required to share Form AH-503 or other written documentation with the employee. However, all documentation will be held until the next evaluation.
  6. Supervisors are to keep all appraisal records private.
  7. Supervisors are required to rate employees (just before the Final Review Session) in six specific areas:
    - a. Maintains Flexibility,
    - b. Demonstrates Credibility,
    - c. Customer Service (interaction with persons for whom work is being performed),
    - d. Quantity of Work,
    - e. Quality of Work, and
    - f. Availability for Work.
  8. Supervisory employees will be rated in three additional categories:
    - a. Leadership,
    - b. Management, and
    - c. Work Environment.
  9. Under each of the general categories listed above (7. and 8.) are specific points to be considered and graded. Each point will be graded "Needs Improvement," "Meets Expectations," or "Exceeds Expectations."
  10. All of the individual ratings will be scored, resulting in an employee's being rated "Needs Improvement," "Meets Expectations," or "Exceeds Expectations" (as an overall rating). Subsequently, the overall rating will carry the most weight. One or more individual ratings of "Needs Improvement" may not necessarily keep an employee from receiving a "Meets" or "Exceeds" overall rating.
  11. A manager (typically, the supervisor's supervisor) will review employees' overall performance and the ratings as assigned by the supervisor.
  12. Supervisors requiring additional information and/or guidance in appraising or evaluating employees should contact Transportation Human Resources Division.

#### **D. EVALUATION TRACKING SYSTEM**

Effective: 4/15/2000

The counseling sessions between supervisor and employee, as prescribed in this Procedure, are not optional. The Evaluation Tracking System has been designed to ensure that the sessions are held and that overall ratings are consistently based on the ratings supervisors issue, department-wide.

1. The Evaluation Tracking System is accessible for inquiry through the HW03 Personnel Inquiry function on REMIS. Individual ratings and overall ratings are confidential and may only be shared with the appropriate management personnel and the employee who is being rated.
2. Information entered into the Evaluation Tracking System is to be the same information (where applicable) as was entered on the State of West Virginia Employee Appraisal System form.
  - Entries to the Evaluation Tracking System will be through REMIS, HW50, Option "EV", and will be made at the employee's organization by those with HW03 access and their organization manager's authorization to make these entries.
3. Information gathered by the Evaluation Tracking System may be used by Transportation Human Resources Division to evaluate supervisory actions and/or requests (promotions, demotions, and merit increases) and to monitor compliance with these procedures.

### III. APPRAISAL PROCESSES

Effective: 4/15/2000

#### A. **INITIAL (PRIMARY) COUNSELING SESSION**

This session will be held during the first quarter of the calendar year for annual appraisals and during the first 30 days for all other rating periods. It may be held immediately following the previous Final Counseling Session. Supervisors will schedule the Initial Counseling Session by providing employees with Form AH-501, "Concerns for Discussion - Employee Evaluations," at least seven days before scheduled meetings. Supervisors will also assign the completion or review and revision of a Position Description to the employee at this time. If the employee completes and returns Form AH-501 within three days of a meeting, it will be used as a basis for opening the session. It is to be returned to the employee at the end of the session, and if the employee decides to respond, it is to be maintained in the supervisor's files. Prior to the Primary Session, the supervisor will complete Block 1 and Blocks 2 and 3 on Page One of the Employee Performance Appraisal, Form DOPEPA-3. During the session, the supervisor will do the following:

1. Review with the employee what his or her job responsibilities are and what level of performance will be expected.
2. Explain that this counseling session initiates the "Primary Performance Period," during which the employee will be expected to perform the tasks, duties, and responsibilities that have been communicated to them.
3. If this is a "Special" session to improve work performance, develop a plan for improvement with the employee and specify the rating period for the Special.
4. Advise the employee of the Rating Category Key found on Page 3 of

Form DOPEPA-3 and relate the three ratings to the Performances Standards and Expectations written in Block 3 of Page One. Discuss Pages 4,5,6 and 7 with the employee.

5. Add that this performance will be reviewed at the Mid-Point Counseling Session. (Supervisors should use Form AH-503, "Record of Significant Occurrence," to document good or poor performance of the employee during the Primary Performance Period.)
6. Complete page one of the Employee Performance Appraisal form, documenting revisions to the Responsibilities and Performance Standards and Expectations resulting from this counseling session. Both the Rater and the Employee will sign and date the Acknowledgement block.
7. Ensure that the initial entries are made to the Evaluation Tracking System (REMIS, HW-50) by the person authorized to make these entries.

## **B. MID-POINT COUNSELING SESSION**

Effective: 4/15/2000

Near the middle of the Primary Performance Period, supervisors will again schedule and meet individually with employees to discuss their progress to this point. Before this session, supervisors will complete Form DOPEPA-2 (except for the signature box). During this session, the supervisor will do the following:

1. Review with the employee his or her completed Position Description. If there are points of contention, attempt to reach an understanding of what the job duties are.
2. Review the employee's performance and the Progress Evaluation, Performance Development Needs, and General Comments portions of the DOPEPA-2.
3. Return Form AH-501, if used (employees may use Form AH-501 at any time during the evaluation process). Allow the employee to respond in writing if he or she desires, and maintain the response along with the Employee Appraisal Form.
4. Refer to any Form AH-503's that may have been completed to refresh the employee's memory on any notable examples of good or poor performance during the Primary Performance Period.
5. If necessary, develop an attainable Plan for Improvement in conjunction with the employee. If, during the course of this interview, it is deemed necessary to modify the performance standards and/or expectations, this should be written in the General Comments box or on a separate sheet of paper.
6. Conclude this session by stating that this meeting initiates the Secondary Performance Period and that, in about six months, the Final Review Session will be held. The actual rating will be reviewed at the Final Review. The supervisor and employee must both sign and date the DOPEPA-2 and any additional sheets used.
7. Ensure that the midpoint entries are made to the Evaluation Tracking System.

## **C. FINAL REVIEW SESSION**

Effective: 4/15/2000

The Final Review Session must be held within three months following the end of the rating period for annual appraisals and within 30 days following the end of all other rating periods.

1. Prior to this final session, supervisors will use the checklist on Pages 4 and 5 of the Employee Performance Appraisal Form to establish the ratings for the employee's performance covering the entire rating period. Any rating category marked other than "Meets Expectations" requires a supervisor's comment on the form but supervisors may comment with this rating also.
2. The individual ratings must then be tabulated on Page 6 of the Employee Performance Appraisal Form and the overall rating entered on Page 7. Blocks A and B will also be completed prior to the Final Session.
3. Before the Final Session, the Employee Performance Appraisal Form must be submitted to the appropriate manager for review. If the manager disagrees, the matter must be resolved between the manager and supervisor. If the manager concurs, or after agreement is reached, the Form is signed and returned to the supervisor.
4. After management approval, supervisors will schedule the Final Review Session.
5. At the Final Review Session, Supervisors will:
  - a. discuss with the employee the actual appraisal covering the entire Performance Period and Overall Performance Rating,
  - b. refer to any Form AH-503's that have been maintained as a way of documenting and justifying the employee's ratings,
  - c. return Form AH-501 (if used),
  - d. allow the employee to respond in writing if they so choose and when returned (to the supervisor), maintain the AH-501 along with the Employee Evaluation Form,
    - if the employee decides to use this form, it must be made a part of the official record of the evaluation,
  - e. and provide the employee with a copy of his or her Employee Evaluation Form if requested.
6. If, during the Final Review, information is revealed that would (in the supervisor's opinion) warrant changing one or more of the category ratings, steps 1 through 4 of this section (except for scheduling a new Final Review) must be repeated to effect a new Overall Rating.
7. At this point, the Initial Counseling Session for the next Rating Period may commence or be scheduled.
8. Upon completion of the Final Review Session, supervisors will enter or have the ratings entered to the Evaluation Tracking System. Immediately upon completion of the Final Review Session, if possible, but no later than ten days after the Final Review Session, a copy of the Employee Appraisal Form must be forwarded to the employee. Additionally, all

employee evaluation forms and additional documentation must be grouped in alphabetical order and submitted to Transportation Human Resources Division (original and one copy).

9. Supervisors should retain a file copy of all forms used.