

GENERAL DISTRIBUTION

**WEST VIRGINIA
DIVISION OF CORRECTIONS
& REHABILITATION**

NUMBER: 138.00

EFFECTIVE DATE: 01 January 2024

**SUBJECT: EMPLOYEE PERFORMANCE
APPRAISALS**

POLICY DIRECTIVE

PURPOSE:

To ensure the fair and consistent application of an employee performance appraisal and evaluation system wherein the agency identifies, measures, and evaluates employee job-related behaviors and accomplishments with previously established performance standards during a defined performance rating period.

REFERENCE:

WV Division of Personnel Policy DOP – 17 Employee Performance Appraisal and Evaluation Management, revised 01 January 2024.

RESPONSIBILITY:

No additional written instructions on this subject are required.

CANCELLATION:

Any previous written instructions on the subject including DCR Policy Directive 138.00, dated 14 February 2022.

APPLICABILITY:

All facilities and work units within the Division of Corrections and Rehabilitation (DCR). This Policy is available for general distribution.

DEFINITIONS:

Employee: Any employee (including probationary employees) of the Division of Corrections and Rehabilitation (DCR) working at a correctional facility or other work unit. For the purposes of this policy, this does not include temporary employees, contractors and their employees or volunteers.

POLICY:

- I. Superintendents, directors and work unit supervisors as appropriate, shall ensure each component of the Employee Performance Appraisal (EPA) system (EPA-1, EPA-2, EPA-3, and Probationary Performance Appraisal) is conducted in compliance with the timeframes, purpose and intent of Division of Personnel Policy DOP-P17 Employee Performance Appraisal (**Attachment #1**).
- II. The online EPA system, NEOGOV Perform, for evaluating and rating employee performance has been updated effective 01 January 2024. Detailed information is available on the DOP website.
 - A. All 2023 evaluations operate under the old policy, so the final rating session will follow the previous system.
 - B. The new system shall be utilized beginning with those EPA-1s required at the beginning of calendar year 2024.
- III. This policy (**Attachment #1**) is to be distributed to each current employee and to new employees during orientation. Each employee will acknowledge receipt of the policy and understanding of its contents and requirements by signing the Acknowledgement Form (Appendix A) on page 7. Completed acknowledgement forms are to be maintained in the employee's personnel file.

ATTACHMENT(S):

- #1 Division of Personnel Policy DOP-P17 Employee Performance Appraisal (7 pages)
(REVISED 01 JANUARY 2024)

APPROVED SIGNATURE: _____

William K. Marshall III

Jan 1st, 2024

William K. Marshall III, Commissioner

Date

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William K. ...



EMPLOYEE PERFORMANCE APPRAISAL

I. PURPOSE

The purpose of this policy is to establish a standardized Employee Performance Appraisal (EPA) system for State employees and employees of affiliated county or municipal agencies that is characterized by clearly defined performance goals, objectives, and increased employee engagement. The EPA system established by this policy is based on the premise that performance appraisal and evaluation are integral components of an ongoing process of performance planning, management, and improvement.

Information gained through the EPA system should be used for a variety of performance-related activities, such as: engaging in performance conversations and providing feedback to employees concerning their job performance, work methods, and achievement of performance standards; identifying the means to help employees function more effectively; and providing information to be used in making personnel decisions on matters such as salary advancements, promotions, transfers, and opportunities for development.

II. DEFINITIONS

- A. Annual Performance Rating Period: The regularly scheduled annual performance rating period beginning January 1 of each year.
- B. Employee Performance Appraisal 1 (EPA-1): Performance expectation information documented in the EPA system at the beginning of each Performance Period.
- C. Employee Performance Appraisal 2 (EPA-2): Performance information documented in the EPA system following the Primary Performance Period.
- D. Employee Performance Appraisal 3 (EPA-3): Performance information documented in the EPA system following the Secondary Performance Period capturing the final rating for the full 12-month rating performance period.
- E. Employee Performance Appraisal (EPA) System: The Division of Personnel (DOP) prescribed process and system of record used in establishing employee performance expectations and subsequent evaluation and rating of performance results.
- F. Final Review Session: The final review and formal rating of employee performance over the entire 12-month performance rating period conducted within 60 calendar days following the end of the performance period using the EPA-3.
- G. First-Year Performance Rating Period: A 12-month performance rating period established by the effective date of a significant employment event, including an original appointment, reinstatement, reallocation, demotion, promotion, transfer, or other substantive change involving the performance expectations established for an employee, and concluding on the 1-year anniversary of this significant employment event.



- H. Initial Planning Session: A planning session held with an employee during the first 60 calendar days of each Performance Rating Period to establish performance expectations, job duties, developmental objectives, and agency goals using the EPA-1.
- I. Mid-Year Check-In: A meeting following the 6-month Primary Performance Period to provide formal feedback concerning employee performance during the performance period and performance expectations during the Secondary Performance Period using the EPA-2.
- J. Performance Improvement Plan (PIP): A written plan implemented to help employees gain a comprehensive grasp of their role's expectations, recognize the importance of addressing current performance gaps and receive clear, formalized feedback and guidance on the precise steps and time frames for improvement. Often implemented when verbal coaching doesn't achieve the desired results.
- K. Performance Rating Period: A performance rating period consisting of an employee's performance during the primary rating period, the mid-year check-in, and the secondary performance period not to exceed 12 months.
- L. Primary Performance Period: The first 6 months of each formal performance rating period.
- M. Probationary Performance Appraisal: A formal performance rating completed 30 days prior to the end of a 6-month or 12-month probationary period.
- N. Secondary Performance Period: The second 6-month period at the end of each formal performance rating period.

III. POLICY

- A. It is the policy of the State of West Virginia that agencies fairly and consistently apply an employee performance appraisal and evaluation system wherein the agency identifies, measures, and evaluates employee job-related behaviors and accomplishments with previously established performance standards during a defined performance rating period.

At the conclusion of each formal performance rating period, supervisors and employees shall meet individually to discuss duties, expectations, and whether the employee has exceeded, met, or failed to meet established performance standards and expectations.

- B. The EPA system is designed to assist supervisors with documenting, evaluating, and reporting employee performance. Supervisors are required to use the EPA system for evaluating, conducting, and recording employee performance ratings and comments. DOP-affiliated county health departments or municipal agencies not utilizing the electronic EPA system may develop agency-specific evaluations for the performance appraisal process, provided such evaluations are consistent with the EPA system for evaluating and rating employee performance. Prior to implementation, DOP-affiliated county health departments or municipal agencies shall submit proposed agency-specific evaluations to the Director, who may approve, amend, or disapprove the evaluation.



The EPA system consists of a minimum of three (3) formal events covering two (2), 6-month performance periods. Supervisors should provide adequate documentation of regular performance feedback and other evidence that demonstrates an employee's progress toward goals and expectations to support comments and ratings provided during these three (3) formal events. The EPA system components and required evaluations are described as follows:

1. Initial Planning Session – Within the first 60 calendar days of each first-year performance rating period or annual performance rating period, supervisors are required to meet individually with their employees to identify, define, and describe the universal competencies for their position, job duties, and expectations. (e.g., responsibilities, duties, and standards). The purpose of this meeting is to ensure that the employee understands and is committed to the established performance expectations of the position. The performance rating shall be documented in the EPA system via the EPA-1.
2. Primary Performance Period – Following the Initial Planning Session, employees will be evaluated on their performance of the responsibilities, duties, and standards communicated to them during the Initial Planning Session. During the Primary Performance Period, each supervisor shall regularly monitor, review, and analyze employee performance and provide individualized coaching, reinforcement, and guidance to employees regarding their performance. The supervisor will document these activities to create a record of employee progress from which to make future performance ratings and recommendations during the Mid-Year Check-in.
3. Probationary Employees – 30 days prior to the end of the probationary period, supervisors are required to complete a formal appraisal and rating of performance for each probationary employee. This performance rating shall be used when recommending if the services of the employee should be retained. The Probationary Performance Appraisal does not replace the scheduled Mid-Year Check-in, or Final Review Session for positions with 12-month probationary periods.
4. Mid-Year Check-in – Within 60 calendar days of the conclusion of the 6-month Primary Performance Period, supervisors shall conduct a documented performance discussion with their employees to provide formal feedback to the employee concerning the employee's job-related strengths, weaknesses, and performance during the performance period. The performance discussion shall be documented in the EPA system via the EPA-2. If appropriate, a PIP may be developed to assist an employee with improving their performance during the Secondary Performance Period.
5. Secondary Performance Period – The second 6-month period of the formal 12-month performance rating period is referred to as the Secondary Performance Period. During this period, the employee performs the tasks, duties, and responsibilities that were communicated to them at the Initial Planning Session, or as revised during the Mid-Year Check-in, and any specific objectives established by a plan for professional development or performance improvement. During the second 6-month period, the supervisor shall continue to regularly monitor, review, and analyze employee performance and provide individualized coaching, reinforcement, and guidance to the employee regarding their performance. The supervisor will



also document these activities to create a record of employee progress from which to make performance ratings and recommendations.

6. Final Review Session – Within 60 calendar days following the end of the 12-month first-year performance rating period or annual performance rating period, supervisors shall conduct a Final Review Session with each of their employees. The purpose of the Final Review Session is to provide employees with a formal rating of their overall job performance throughout the entire 12-month performance rating period and to generate information to be used as the basis for future performance planning. The performance rating shall be documented in the EPA system via the EPA-3.

Prior to conducting the Final Review Sessions with their employees, supervisors must receive approval from their reviewing manager. Upon the reviewing manager's approval, the EPA-3 will be released to the supervisor to schedule a meeting to conduct the Final Review Session. Following the review meeting, the employee and supervisor are required to sign the EPA-3 acknowledging the Final Review Session has been completed. The EPA3 provides a section for the employee to respond to the evaluation. The employee's signature indicates the Final Review Session has been completed, and an opportunity to respond has been provided; not that the employee agrees with the evaluator's comments or rating.

- C. Record Retention – The EPA system is the system of record that will maintain the signed appraisal as part of the employee's official personnel record. Failure to update employment changes in a timely manner may cause the EPA system to reflect inaccurate due dates at each step of the appraisal process. In such cases, timeliness for compliance established in this policy shall be the final determiner of agency compliance. The EPA record is available for review by future supervisors regardless of the employee's position or employing DOP-covered agency.
- D. Performance Improvement Plan (PIP) – It is strongly recommended that supervisors develop a written PIP for an employee whose evaluation overall rating is less than 3.00 (Meets Expectations) or in any situation in which the employee's performance is not meeting expectations throughout the performance year. The PIP should contain specific expectations and time frames in which to accomplish the established outcomes. The plan may be simultaneously implemented as a component of corrective counseling and provide adequate opportunity for employee development and improvement.
- E. Non-compliance with any section of this policy shall result in an employee becoming ineligible for discretionary pay increases for which an EPA is required. An appointing authority may petition the Director for an extension to the timeframes established by this policy in extenuating circumstances such as protected leave or litigation. Requests shall be submitted to the DOP in the manner prescribed by the Director.

IV. RESPONSIBILITIES

- A. Appointing Authority: It shall be the responsibility of each appointing authority to:



1. Ensure a copy of this policy and the Acknowledgment Form is distributed to each current employee and to new employees during orientation, and maintain the signed acknowledgment form in each employee's agency personnel file.
 2. Ensure the system of record is maintained in a manner that allows for the accurate and timely creation and assignment of the EPA components and processes.
 3. Ensure each component of the EPA system (EPA-1, EPA-2, EPA-3, and Probationary Performance Appraisal) is conducted in compliance with the timeframes, purpose, and intent of this policy.
 4. Require supervisors to participate in all DOP-required EPA training.
 5. Enforce the provisions of this policy and administer appropriate disciplinary action for any violation.
 6. Ensure confidentiality is preserved with access to an employee's EPA results appraisal restricted to appropriate individuals on a need-to-know basis.
- B. Supervisors: It shall be the responsibility of each supervisor to:
1. Distribute a copy of this policy and the Acknowledgment Form to each current employee and to new employees during orientation and maintain the signed acknowledgment form in each employee's agency personnel file.
 2. Conduct each component of the EPA system (EPA-1, EPA-2, EPA-3, and Probationary Performance Appraisal) in compliance with the timeframes, purpose, and intent of this policy.
 3. Promptly notify the agency-designated human resources representative of significant employment events, including the original appointment, reinstatement, reallocation, demotion, promotion, transfer, or other substantive change involving the performance expectations established for an employee, as well as organization, supervisor changes, or extended leaves of absence, which may impact the EPA system so that the system of record is maintained in a manner that allows for the accurate and timely creation and assignment of EPA processes and forms.
 4. Participate in all DOP-required EPA training.
 5. Acknowledge an understanding of and compliance with this policy by signing the policy Acknowledgment Form.
 6. Ensure confidentiality is maintained regarding an employee's EPA results, with access restricted to appropriate individuals on a need-to-know basis.
- C. Employees: It shall be the responsibility of each employee to:
1. Acknowledge an understanding of and compliance with this policy by signing the EPA policy Acknowledgment Form.



2. Prior to the respective deadlines, notify their supervisor and/or human resources representative if they have not received an EPA-1 during the first 60 calendar days of each Primary Performance Period rating period, an EPA-2 Mid-Year Check-in at the end of the 6-month Primary Performance Period, an EPA-3 and the end of the 12-month Performance Rating Period, or a Probationary Performance Appraisal as scheduled in accordance with this policy.
3. Following each EPA meeting (EPA-1, EPA-2, EPA-3, and Probationary Performance Appraisal), electronically certify the meeting has been held with the supervisor.

V. REFERENCE:

- A. DOP *Administrative Rule* (143CSR1). Sections 10.2(a) and 15.
- B. Division of Personnel Pay Plan Policy (DOP-P12).

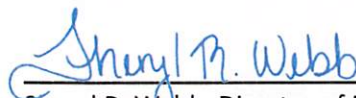
VI. EFFECTIVE DATE: November 1, 1998.

VII. REVISIONS:

- A. Previous Revisions: November 1, 1998; April 15, 2004; August 1, 2006; and January 1, 2022.
- B. Latest Revision: January 1, 2024.

VIII. POLICY NUMBER: DOP-17.

Approved and Issued By:



Sheryl R. Webb, Director of Personnel

Date Signed: 11/7/2023



**EMPLOYEE PERFORMANCE APPRAISAL POLICY
EMPLOYEE ACKNOWLEDGMENT FORM**

I certify that I have received a copy of the West Virginia Division of Personnel (DOP), Employee Performance Appraisal policy (DOP-17).

I agree to abide by the terms, purpose, and intent of this policy. I am aware that any non-compliance with the provisions of this policy shall result in the ineligibility for a discretionary pay increase for which an employee performance appraisal is required.

In addition, I understand that if I am a supervisor, or designated human resource representative, I am responsible for ensuring the Employee Performance Appraisal (EPA) system of record is maintained in a manner that allows for the accurate and timely creation and assignment of EPA components and processes. Failure to ensure each component of the EPA system (EPA-1, EPA-2, EPA-3, and Probationary Performance Appraisal) is conducted in compliance with the timeframes, purpose, and intent of this policy is grounds for disciplinary action.

My signature acknowledges my receipt of the policy and my understanding of its contents and requirements.

Name (Print)

Signature

Date

TO BE COMPLETED BY SUPERVISOR

I certify that I have discussed with and provided the above-named employee a copy of the DOP, Employee Performance Appraisal Policy (DOP-17)

Name (Print)

Signature

Date

Distribution: Original – Human Resources
Copy – Employee