

## JOB CLARIFICATION/PERFORMANCE APPRAISAL

Description and Scope - Employee Performance Appraisal is a system that ensures a continuous process of reviewing, analyzing and evaluating employee performance. The system is based upon individual position descriptions, established performance indicators, formal performance review and individual development planning.

Objectives - To establish a clear understanding between supervisor and employee of the employee's job duties, responsibilities, accountabilities and authorities. To establish a formal evaluation process to determine how well the employee meets the standards of performance for those job duties and to provide opportunity and direction to improve work performance. To provide managers with information on which to base, in whole or in part, various personnel decisions, such as salary increases, promotions and discipline.

### Definitions - Key Terms -

"Individual Development Plan" means a three-step process that includes: identification of the employee's specific needs for growth and improvement, assignment of priorities to identified needs and proposed solutions to development needs.

"Performance Indicators" mean the statements or conditions that measure the quality or quantity of work to be performed, the time frame in which the work is to be completed and/or the resources to be used to complete the job.

"Performance Review" means a periodic assessment of an employee's performance and discussion of that assessment with the employee. A formal performance rating is assigned during the review. Informal reviews are also conducted with the employee; these reviews are held more frequently and are less structured than the formal "performance review."

"Position Description" means a formal definition of the duties, responsibilities, working relationships and performance expectations of a position in state service. Position Descriptions are to be written in the format indicated by the instructions accompanying the Position Description Form.

### Responsibilities -

#### A. Appointing Authorities:

- Ensure that managers and supervisors conduct a minimum of one performance review for each employee annually.
- Ensure that each employee has a position description.

- Ensure that each employee has an opportunity to prepare an individual development plan if needed or wanted by the individual.

B. Department of Employee Relations:

- Develop and maintain a statewide employee performance appraisal system.

Provisions -

A. Position Description:

1. Each employee must have an accurate up-to-date position description. This must be provided no later than six months after appointment or promotion.
2. The position description for employees who work less than 100 days per calendar year may be written on a Position Description Form or may consist of a memo to the employee outlining specific duties, responsibilities and tasks that the employee is expected to perform.
3. Where practical, employees who work more than 100 days per calendar year shall have the opportunity to review and provide input into the content of the position description before it is finalized.
4. The position description shall be reviewed at least annually and rewritten at least every three years.

B. Formal Performance Review:

1. Each employee who works more than 100 days per calendar year shall have a formal performance review (coaching/counseling) session at least annually.
2. Employees shall have the opportunity to review and comment on their performance ratings before they become official.
3. Employees who have not attained permanent status in their positions should be formally evaluated and counseled on their job performance every three months. Employees who are serving a probationary period of less than six months should be formally evaluated at the mid-point of the probationary period.
  - a. Where practical, probationary employees shall be formally reviewed at least twice during the probationary period.
  - b. The review date should provide sufficient time for the employee to alter or improve unacceptable performance before the end of the probationary period.
  - c. Nothing in this Procedure shall be construed as preventing an appointing authority from terminating a probationary employee at any time.

4. Additional formal reviews should be conducted when any significant change in performance occurs.
5. Performance ratings may be appealed to the appointing authority within 30 days of the official date of rating. The decision of the appointing authority is final and shall become the official evaluation of that employee for the specified evaluation period.
6. Three signatures added after the performance review is completed (or changed) are required to make the performance review official:
  - a. The signature of the person being rated is required in order to document that the person received the evaluation and is aware of its contents.
  - b. The signature of the rater is required in order to communicate to the person being rated who actually performed the evaluation.
  - c. The signature of the next level of management is required in order to establish that the rater is speaking for the organization, or at least, that the organization is aware of and accepts the evaluation as written.

C. Individual Development Plans:

1. Each employee who works more than 100 days per calendar year shall have an individual development plan on file if needed to improve present performance, prepare for promotional opportunities, required to undertake new responsibilities or to undertake career development goals, or if wanted by the employee.
2. The individual development plan shall be reviewed and updated at the time of the annual performance review and shall be monitored during the appraisal period.

D. Informal Performance Reviews:

Informal reviews or coaching sessions should be conducted more frequently than once a year at the discretion of the appointing authority.

E. Documentation and Recordkeeping:

1. Formal performance review information shall be maintained in the employee's personnel file for a minimum of three years.
2. Employee performance appraisal reports are available for inspection by the following:
  - a. The employee or employee's designated representative with written approval from the employee.
  - b. The appointing authority and individuals within the agency whose work assignments reasonably require access to this information.
  - c. The Commissioner of Employee Relations and employees of DOER whose work assignments reasonably require access to this information.