



**PROCEDURES
EXECUTIVE AND LEGISLATIVE BRANCHES
DEPARTMENT OF PERSONNEL MANAGEMENT**

SECTION:	EMPLOYEE PERFORMANCE APPRAISAL	NO: 03-XI-002
SUBJECT:	ADDENDUM: PERFORMANCE APPRAISAL PROCESS	RELEASE DATE: 10/29/01
CROSS REFERENCE:	PPM Section XI. Employee Performance Appraisal	REVISION DATE: 07/16/04

PURPOSE

1. To evaluate past job performance and set standards for future performance.
2. To determine eligibility for step increases.
3. To identify exceptional performance that warrants merit pay.
4. To recognize and address deficiencies in employee performance that need to be addressed through corrective action plans, increased training or employee development plans.
5. To provide a record of an employee's performance history.

APPLICABILITY

These procedures apply to all introductory and regular status (full-time and part-time) employees.

DEFINITIONS

Anniversary Date: The anniversary date is October 1, 2002, the date of hire or date of last salary increase whichever is later. The anniversary date for an employee shall be adjusted each time an employee receives a pay increase resulting from a promotion, reclassification, transfer, etc. Pay increases resulting from a general wage adjustment or a salary schedule change will not require an adjustment in the anniversary date.

EPAF: Employee Performance Appraisal Form.

Rating Period: The rating period shall be a period of twelve months commencing on the employee's anniversary date and each year thereafter. (For example: if the employee's

anniversary date is October 1, 2002, the current rating period shall cover the period from October 1, 2003 to September 30, 2004).

Rating Supervisor: The individual who directly supervises an employee during the rating period or an individual who is familiar with the employee's job performance.

Reviewing Official: The next level of supervision above the rating supervisor.

APPRAISAL PERIOD

1. Introductory Employees: The appraisal period begins with the date of employment and continues to the date of completion of the introductory period.
2. The annual performance appraisal period is a twelve month period which begins on the employee's anniversary date.
3. Other – These appraisals may be completed at any time as provided herein.
4. The appraisal period shall cover all periods of time spent on the job within twelve months, excluding military leave, family medical leave, leave without pay and non-duty status.

RESPONSIBILITIES

Reviewing Officials shall:

1. Ensure that the annual EPAFs are completed for employees within 30 calendar days after the anniversary date.
2. Ensure that the annual EPAFs are submitted to Department of Personnel Management within 60 calendar days after the anniversary date.
3. Ensure that supervisors complete the EPAFS for all new employees at the end of the Introductory Period.
4. Ensure that an EPAF is completed when an employee or supervisor is promoted or transferred.
5. Ensure that an EPAF is completed by the supervisor prior to his/her separation from employment.
6. Review objectives for compliance with SMART objectives, provide guidance in correcting objectives and ensure supervisors are properly trained in developing performance objectives.

7. A Reviewing Official shall not change the supervisor's evaluation.

Supervisors shall:

1. With the input of the employee, establish and revise as necessary, Performance Objectives for all introductory and regular status (full-time and part-time) employees.
2. Evaluate an employee's performance by completing an EPAF in the following situations:
 - A. When an employee completes the introductory period.
 - B. Annually at the completion of each rating period.
 - C. Prior to the employee's or supervisor's transfer or promotion.
 - D. Prior to the supervisor's separation from employment.
3. If a supervisor does not complete an EPAF for an employee or does not meet with the employee, this should be immediately reported, in writing, to the DPM and the supervisor's supervisor. Failure of the supervisor to review the EPAF with an employee or to complete an EPAF are grounds for disciplinary action.

Employees shall:

1. Participate in the development of Performance Objectives.
2. Make every effort to achieve the Performance Objectives.

Department of Personnel Management shall:

1. Monitor the Employee Performance Appraisal process to ensure that appraisals are conducted in compliance with established policies and procedures.
2. Monitor and enforce compliance to established deadlines herein.
3. Provide training on the Employee Performance Appraisal Procedures.
4. Facilitate the processing of EPAFs by making necessary corrections to information where needed. This includes, but is not limited to, the rating period, employee's name, social security number, department name and number. However, if DPM is unable to verify information, the EPAF will be returned to the department.

WHO WILL RATE EMPLOYEES

It is the responsibility of the immediate supervisor to conduct Performance Appraisals for all employees he/she supervises. In the event, the immediate supervisor is no longer

employed with the Navajo Nation, the Performance Appraisal may be completed by an employee who is familiar with the employee's job performance or who is designated by the appropriate authority.

EMPLOYEE PERFORMANCE APPRAISAL FORMS

1. The **Exempt Performance Appraisal Form** shall be utilized to rate employees whose positions are classified as Exempt.
2. The **Non-Exempt Performance Appraisal Form** shall be utilized to rate employees whose positions are classified as Non-Exempt.

Part I.

Both exempt and non-exempt forms include specific job-related performance objectives that have been developed by the employee and the supervisor. Objectives should be specific, measurable, attainable, realistic and include a time line (SMART).

The rating supervisor shall give each objective a weight of "critical", "major" or "secondary".

CRITICAL: These objectives must be met or exceeded in order for the program to meet its goals and objectives.

MAJOR: These objectives must be met for the employee to be effective.

SECONDARY: These objectives should be met but will not preclude or hinder individual or program effectiveness.

In addition to the weight selected by a supervisor for each objective, there are five ratings defined for each objective. The rating supervisor must select **one** rating for each objective. The definition for each rating is as follows:

1 - **UNSATISFACTORY:**

Consistently performs in an unsatisfactory manner. Employee does not meet most established performance requirements.

2 - **DOES NOT FULLY MEET STANDARDS:**

Has not consistently met job requirements and occasionally demonstrates unsatisfactory performance.

3 - MEETS STANDARDS:

Consistently meets job standards and may occasionally exceed performance expectations or objectives. Consistently performs in a reliable and professional manner.

4 - SIGNIFICANTLY EXCEEDS STANDARDS:

Frequently exceeds performance expectations/objectives; accomplishments are clearly and frequently above what is required.

5 - OUTSTANDING:

Regularly makes exceptional contributions that have a materially positive impact on department; accomplishments are unique, exceptional and significant. Consistently exceeds all job requirements.

At the end of Part I, space is provided so that the rating supervisor can comment on the objectives. There is also an overall rating for the rating supervisor to complete on how well the employee met his/her objectives.

Both exempt and non-exempt Performance Appraisal Forms include a supplemental form so that the rating supervisor may include additional objectives.

Part II.

Both exempt and non-exempt forms include performance factors and describe levels of performance from 1 – 5. The rating supervisor will select a rating that best describes the employee's level of performance. At the end of Part II there is an overall rating for the rating supervisor to complete on how well the employee met the standards of performance using the rating from Part I above.

PERFORMANCE APPRAISAL REVIEW

1. Each employee will have the option to complete a self appraisal for the applicable rating period utilizing the appropriate exempt or non-exempt appraisal form.
2. Upon completion of the Performance Appraisal by the rating supervisor, the rating supervisor must meet with the employee to discuss the employee's performance. The discussion should cover the employee's performance, both strengths and weaknesses, and the development of objectives for the next appraisal period.
3. If, during the review process or meeting, a change is made in a rating, both the employee and the rating supervisor must initial the change.

4. After the employee and the rating supervisor have initialed any changes and the Performance Appraisal has been signed, the rating supervisor shall not make further changes to the rating without notice to and concurrence of the employee. Changes to the Performance Appraisal without the concurrence of the employee will invalidate the form.
5. The employee's signature is to document that the Performance Appraisal was reviewed with him/her and does not imply agreement with the rating.
6. The rating supervisor and the employee must sign the completed form and submit the original to the Department of Personnel Management. A copy of the Performance Appraisal must be provided to the employee.
7. If an employee refuses to sign the appraisal form; this must be noted on the forms by the rating supervisor, and signed and dated.
8. Unsigned appraisal forms will not be accepted and will be returned to the program.

PAY ADJUSTMENTS

1. Subject to the provisions of Section VII.G.6. of the Personnel Policies Manual, employees receiving an overall rating of "Significantly Exceeds Standards" or "Outstanding" on the annual Performance Appraisal may be eligible for a one step increase.
2. An employee must not have received a step increase or merit pay bonus for the same rating period.
3. The step increase will be effective on the employee's anniversary date.
4. Program Managers shall ensure funds availability for step increases by including the appropriate amounts in the program budget.

MERIT PAY

Subject to the provisions of Section VII.I.1 of the Personnel Policies Manual and the Merit Pay Bonus Procedures, employees receiving an overall rating on the annual Performance Appraisal of "Significantly Exceeds Standards" or "Outstanding" may be eligible for merit pay.

OBJECTIONS

1. If an employee disagrees with the results of the Performance Appraisal, he/she may submit a written objection to the Department of Personnel Management to be included in his/her official personnel file.

2. Notwithstanding 1 above, supervisors are advised to resolve disputes at the next level of supervision, with the employee's final recourse being the Division Director.

REQUIRED FORMS

1. Exempt Employee Appraisal Form
2. Non-Exempt Employee Appraisal Form