

Performance Appraisal Procedure

Performance Components:

All employees

- Knowledge of Work;
- Quality of Work;
- Situational Responsiveness; (Combined Customer Service, Relationships and Responsiveness)
- Initiative; and
- Dependability

Supervisors and Managers

- Performance Planning and Documentation;
- Leadership Skills; and
- Management Skills

Performance Objectives:

Supervisors (raters) will be responsible for developing the performance objectives for each of the components at the beginning of each appraisal period and communicating these to the employee.

Objectives must include things that are measurable and attainable during the appraisal period.

Some may be constant from one appraisal period to the next ("routine objectives") and others may change with each appraisal period ("Project objectives")

Meeting objectives should reflect performance at a successful level (employee must exceed objectives to perform at an outstanding or exceptional level).

The supervisor can have a maximum of ten objectives per component.

Scoring:

Scoring Components

The rater will rate the employee's performance for the performance component on a scale of 1-10. The score will reflect how well the employee performed with respect to all of the stated objectives for a given component.

A score of 1 for any component indicates that the employee failed to fulfill any of the objectives.

A score of 10 indicates that the employee not only met the objectives, but did so in manner that significantly improved the efficiency and/or productivity of the organization.

Overall Scoring

Based on how the employee is rated for each of the components, he or she will be assigned an overall performance rating of Exceptional, Outstanding, Successful or Needs Improvement. The overall rating will be based on the average score for all of the components. For example:

- 49% Max. {
- Exceptional (Greater than or equal to 9.0)
 - Outstanding (Greater than or equal to 8.0 but less than 9.0)
 - Successful (Greater than or equal to 5.0 but less than 8.0)
 - Needs Improvement (Less than 5.0)

No more than 49% of employees may fall in the Exceptional and Outstanding categories. (49% is the cap, but not a quota.)

Employees' overall performance ratings will be used as a factor in determining personnel decisions such as:

- Identifying developmental needs/opportunities for employees;
- Identifying employees for promotions;
- Eligibility for within-grade salary advancements;
- Order of layoff and/or reinstatement from layoff;
- Potential disciplinary action.

Rating Types:

Annual Ratings

All employees covered by the system will be required to have one annual rating per year, which will occur during the period between January 1 and March 31 each year.

No employee will be allowed to have more than one annual rating per year except in the case when a rating is amended either by a decision of management or in response to an employee appeal. Amended annual ratings will replace the original rating.

The group of employees required to have an annual rating will make up the group from which the 49% limit will be based.

Probationary Ratings:

The system will accommodate ratings for the end of an employee's probation at anytime during the year.

Special Ratings:

The system will accommodate special ratings any time during the year. Special ratings are optional and may include ratings such as: semi-annual or quarterly reviews, follow-up to an improvement plan, change in supervisor, etc.

Performance Related Documentation:

Raters will have the ability to store notes and attached external documents related to an employee's performance throughout the appraisal period.

Raters, reviewers and employees will be required to sign-off on a hard copy signature page indicating when the performance plan have been completed and reviewed at the beginning of the appraisal period and when the performance appraisal has been completed and reviewed at the end of the appraisal period.

Organizational Structure:

The reporting structure will be maintained in SAM II based on position numbers. The position number that a position reports to will be stored in the PUD3 screen. This information will be used to identify raters and reviewer within the performance appraisal system.

The project team will facilitate the establishment of this information for the implementation of the system. Agencies will be responsible for maintaining this information as changes occur.

Appeals:

A standard appeal process will need to be applied. This appeal process must afford employees an opportunity to point out specific areas in which the rating was not accurate. The appeal process must be efficient so that issues can be quickly resolved and must identify who the appeal should be addressed to (rater, reviewer, higher level?).

Example:

The employee has the right to respond in writing to the rating official concerning the content of the rating of record or the procedures used in determining the rating. Employees have up to three working days in which to review the appraisal and prepare comments to the rater or reviewing official on their ratings. Such written response is to be considered by the rater or reviewing official and if the report remains unchanged, the employee's comments shall be attached to the performance appraisal as a permanent record.

ANNUAL PERFORMAL APPRAISAL PROCESS FLOW

