

 <p>ONEIDA ONEIDA NATION STANDARD OPERATING PROCEDURE</p>	<p>TITLE: Annual Employee Performance Evaluations</p>	<p>ORIGINATION DATE: December 14, 2010 REVISION DATE November 18, 2022 EFFECTIVE DATE: <i>After last signature</i></p>
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<p>DEPARTMENT: All DIVISION: All</p>	<p>REVIEWED BY: <i>Equal Employment Opportunity (EEO) Director</i></p>	
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1.0 PURPOSE:

- 1.1 To provide a standard process for completing performance evaluations. The performance evaluation is an opportunity for a manager and employee to meet, review, and discuss organization/departmental priorities, employee's job performance, and employee's performance expectations.

2.0 DEFINITIONS:

- 2.1 Area Manager (AM): The supervisor's supervisor.
- 2.2 Competency: The observable knowledge, skills, abilities, and behaviors critical to successful job performance.
- 2.3 Human Resources Representative: (HRR) An employee designated by the Executive HR Director to facilitate and enforce human resources processes.
- 2.4 Supervisor: The person directly overseeing the work and performance of an employee on a daily basis. They are responsible for hiring, training, scheduling, evaluating performance, mentoring, and coaching employees. In some cases, there may be more than one supervisor.
- 2.5 Performance Evaluation: Tool used to evaluate all employees including Gaming, programs, non-divisional and contracted employees of the Oneida Nation.
- 2.6 Performance Scale: The “%” rating found on the Scoring Table at the end of the performance evaluation. This is the total score found on the evaluation and is automatically calculated when the supervisor inputs the employee score on the Performance Evaluation.
- 2.7 Regular Status Employee: An employee classified as regular part-time, half-time, full-time, contracted, or interim.
- 2.8 Temporary Employee: An employee hired for a short-term assignment to include limited term, emergency/temporary, sub-relief, seasonal, student interns and youth workers

3.0 WORK STANDARDS

General

- 3.1 Annual Performance Evaluations are due to HRD by 11:59 pm on August 1st of each year using the HRD approved Annual Performance Evaluation Form.
- 3.2 The following employees must be evaluated:
 - 3.2.1 All regular status employees, contracted, and interim employees.
 - 3.2.2 Employees on leave of absence (LOA), suspension, or modified duty outside of their home department must be evaluated within two weeks of their return to work.
 - 3.2.3 Supervisors submitting an evaluation after August 1st must indicate in the email if any of the reasons in 3.2.2 apply.
- 3.3 Supervisors are not required to complete an Annual Performance Evaluation for:
 - 3.3.1 Temporary employees.
 - 3.3.1.1 If a supervisor completes a Performance Evaluation on a temporary employee, the evaluation is kept in the departmental employee file only.
 - 3.3.2 Employees who are on a Probationary Status.
 - 3.3.3 Employees who received a six week or ninety-day probationary evaluation between May 1st and August 1st.
- 3.4 Performance Evaluation not completed, not accurate, or not signed/dated will be returned to the Supervisor by HRD and must be corrected and resubmitted by the due date in 3.1.
- 3.5 Notwithstanding 3.2.2. above, supervisors who fail to turn in all required Annual Performance Evaluations on time for their direct report employees will be ineligible for merit increases or bonuses.
 - 3.5.1 Upon completion of all late Annual Performance Evaluations, the supervisor's merit increase or bonus will be pro-rated.
 - 3.5.2 Employee evaluations that are submitted past the due date will receive their eligible amount and will not be penalized as a result of the untimely submittal. In these instances, employees will receive their increase or merit bonus when the completed evaluation is received and processed through HRD. Any retroactive adjustment will be processed if necessary.

Evaluation Form

- 3.6 The Performance Evaluation is on the Oneida Portal (SharePoint) under Frequently Used Forms – HRD.
- 3.7 The evaluation is competency-based with a rating of zero to five on each competency.
 - 3.7.1 A minimum of 8 competencies is required, while a maximum of 15 competencies may be selected.

- 3.7.2 Competencies one through five are aligned with the Oneida Nation's Core Values and cannot be changed.
- 3.7.3 Competencies 6-15 can be customized to the position.
- 3.7.4 A minimum of three additional competencies must be selected.
- 3.8 An overall Performance Evaluation is totaled at the end of the tool:
 - 3.8.1 The total score earned on each competency, total possible score, and percentage score are calculated automatically.
 - 3.8.2 The percentage score is used to indicate the Employee Performance Evaluation scale rating as defined below:
 - 3.8.2.1 90% to 100% = Outstanding
 - 3.8.2.2 75% to 89% = Exceeds Expectations
 - 3.8.2.3 60% to 74% = Satisfactory
 - 3.8.2.4 51% to 59% = Needs Improvement
 - 3.8.2.5 0% to 50% = Unsatisfactory

Start of the Review Period

- 3.9 The supervisor shall select 3-10 additional competencies aligned to the job description.
 - 3.9.1 The same Performance Evaluation (selection of competencies) shall be used for all employees in the same position code.
 - 3.9.2 Duties and expectations should be documented in the box above each competency on the Performance Evaluation tool.
- 3.10 If employees are supervised by multiple supervisors, the supervisors should meet and agree on:
 - 3.10.1 Appropriate competencies and expectations.
 - 3.10.2 How performance will be documented, measured, or calculated throughout the evaluation period, including the Workplace Expectations, Training Plan, Supervisor Notes, and Attendance Tabs of the tool.
 - 3.10.3 How consistent ratings of zero to five will be determined at the end of the review period.
- 3.11 The supervisor shall notify all employees upon hire and annually at the start of each review period of the competencies and expectations they will be evaluated on at the end of the review period.

Prior to Performance Evaluation Meeting

- 3.12 The supervisor shall
 - 3.12.1 Save a copy of the tool for each employee and ensure that the employee's, supervisor's, and if applicable, Area Manager's information is filled out at the top of the Employee Evaluation tab.
 - 3.12.2 Review the entire years performance and score the performance against each competency on the Annual Performance Evaluation tool.

- 3.13 The supervisors may, if they choose, ask the employee to rate their own performance prior to the performance evaluation meeting.
- 3.14 The supervisor should schedule a date and time for the performance evaluation meeting and communicate it to the employee ahead of time.
- 3.15 Supervisors are encouraged to insert comments in the Comment Section for each competency scored. The comments should:
 - 3.15.1 Relate to the competency and expectations.
 - 3.15.2 Help the employee understand how they can improve their performance.
 - 3.15.3 Provide specific examples on why the employee received that score.

Performance Evaluation Meeting

- 3.16 Supervisors must meet with each employee on an annual basis to review and discuss:
 - 3.16.1 How the competencies selected relate to their position.
 - 3.16.2 What the employee's score is and why they received it.
 - 3.16.3 Specifics on how the employee can improve their position performance.
- 3.17 The supervisor may, as needed, review the Workplace Expectations, Training Plan, Supervisor Notes, and Attendance tabs on the tool.
- 3.18 In the performance evaluation meeting, the supervisor shall:
 - 3.18.1 Allow the employee time to provide additional comments.
 - 3.18.1.1 If needed, allow the employee to take a copy with them to provide additional comments after the meeting.
 - 3.18.1.2 Let the employee know when the evaluation must be returned.

After Performance Evaluation Meeting

- 3.19 Supervisors shall
 - 3.19.1 Collect the employee's final comments and update the tool if needed.
 - 3.19.2 Ask the employee to sign the performance evaluation to acknowledge the Performance Evaluation was reviewed and discussed.
 - 3.19.2.1 If the employee refuses to sign the evaluation, write "employee refused to sign" then sign your initials and date on the employee signature line.
 - 3.19.3 Sign and date the evaluation on the supervisor line.
 - 3.19.4 If required in the business unit, submit the Annual Performance Evaluation to the 2nd level supervisor or Area Manager for review.
 - 3.19.4.1 If reviewed by the second level supervisor, they sign and date on the 2nd level supervisor line.
- 3.20 Supervisors shall review the Annual Performance Evaluation to ensure the tool is completely filled out and at minimum:

- 3.20.1 Includes the employees name, number, position title, department, hire date, evaluation type, level of evaluation, and date of evaluation documented at the top of the Employee Evaluation tab.
- 3.20.2 Has a score for each competency used.
- 3.20.3 Has a minimum of eight and maximum of 15 scored competencies.
- 3.20.4 Is signed and dated as described in 3.19 above.
- 3.20.5 Has all scores correctly calculated in the Scoring Table at the end of the evaluation.

Completed Performance Evaluation

- 3.21 The supervisor will submit a PDF copy of the Performance Evaluation to this address: HRD_Performance_Evaluation@oneidanation.org.
 - 3.21.1 Multiple evaluations may be included in one email; however, each evaluation must be saved as a separate PDF.
- 3.22 HRD shall:
 - 3.22.1 Place completed, signed evaluations in the employee's personnel file.
 - 3.22.2 Record the evaluation score in the HR database.

Unsatisfactory Evaluations

- 3.23 An Unsatisfactory Annual Performance Evaluation will result in a probation status for the employee.
- 3.24 For an unsatisfactory Annual Performance Evaluation, the supervisor must submit documentation to the employee, Area Manager and HRR to include:
 - 3.24.1 Written detail of the performance deficiency.
 - 3.24.2 Start date of probation (First working day after the evaluation was signed/refused to be signed).
 - 3.24.3 Unsatisfactory evaluations must be received by HRD to update employee to probationary status within 24 hours of signature/s.
- 3.25 The supervisor should explain in detail what the employee must do to meet or exceed performance expectations on the Workplace Expectations, one of the tabs in the Performance Evaluation tool.
 - 3.25.1 This Workplace Expectations must be signed and dated by the employee and Supervisor and submitted with the Performance Evaluation.
- 3.26 A repeat evaluation must be conducted ninety days after the unsatisfactory evaluation was received and signed.
- 3.27 The second evaluation will result in the employee:
 - 3.27.1 Being removed from probation and given any applicable merit increases or bonuses, **or**,
 - 3.27.2 Receiving appropriate disciplinary actions if the second evaluation also results in an unsatisfactory rating.
- 3.28 Employees may appeal an unsatisfactory evaluation to the Executive HR Director or designee.

3.28.1 The Executive HR Director or designee will consult with the supervisor and employee to negotiate an appropriate resolution.

4.0 REFERENCES

4.1 Personnel Policies and Procedures

5.0 FORMS

5.1 Performance Evaluation (See Frequently Used Forms)