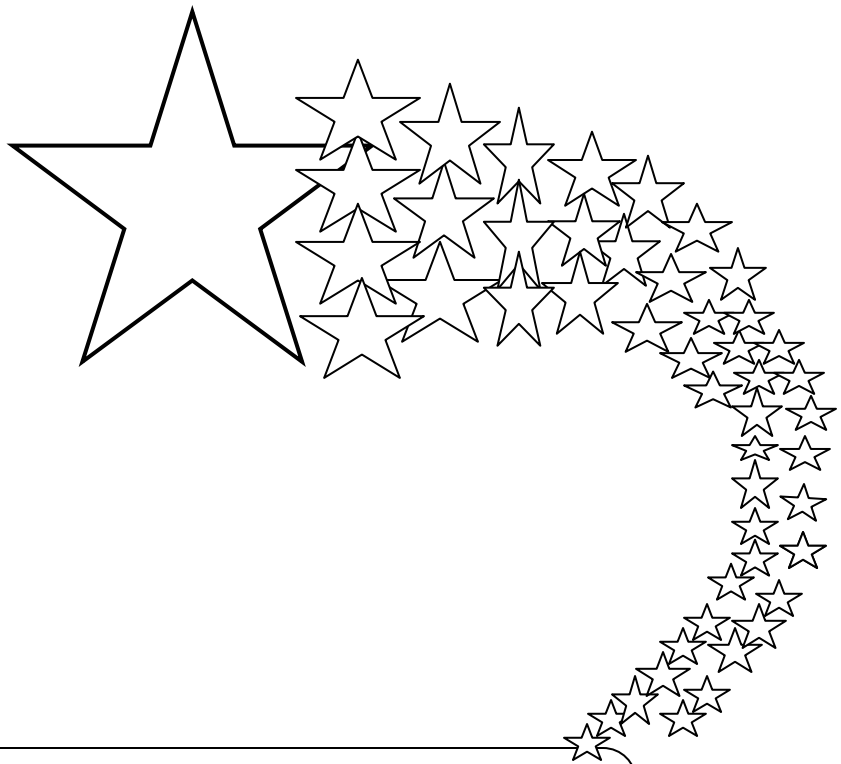
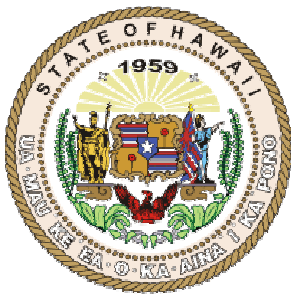


EMCP Performance Evaluation and Variable Pay Manual



Employee Classification and Compensation Division
State of Hawaii
Department of Human Resources Development
235 South Beretania Street
Honolulu, Hawaii 96813-2434

EMCP Performance Evaluation and Variable Pay

Index	1
I. Introduction	3
A. Statutory Basis	3
B. Objectives	3
C. Significance of Performance Management	3
II. Performance Evaluation System	5
A. General Instructions	5
1. Performance Evaluation Components	5
2. Annual Rating Period	5
3. New or Initial Probationary Period	5
B. Overview of the Performance Evaluation Process	5
1. At the Beginning of the Rating Period	5
2. During the Rating Period	6
3. At the End of the Rating Period	6
4. Flow Chart	7
III. Overall Management Component	8
A. At the Beginning of the Rating Period – Establish Priorities and Weights	8
B. During the Rating Period – Monitor, Discuss, and Adjust as Necessary	9
C. At the End of the Rating Period – Assess Actions Taken During the Rating Period	9
IV. Performance Objectives and Program Accomplishments Component	12
A. At the Beginning of the Rating Period – Proposed Performance Objectives	12
B. During the Rating Period – Monitor and Revise as Necessary	13
C. At the End of the Rating Period – Evaluate Program Accomplishments	13
V. Overall Rating	16
VI. Handling Substandard Performance	17
VII. EMCP Variable Pay	18
A. Annual Performance Evaluations and Adjustments	18
B. Special Provisions on Rating Subordinate Employees	18
1. Impact on Performance Rating	18
2. Impact on Salary Adjustments	18
3. Discipline	19
VIII. Appeals	20

IX. Appendices

Appendix A – Guidelines for Writing Performance Objectives

Appendix B – Sample Statements of Performance Objectives

Appendix C – Scoring the Performance Objectives and Program Accomplishments

Appendix D – Results Evaluation Guide

Appendix E – General Information on Variable Pay

Appendix F – Questions and Answers

Appendix G – References

Appendix H – Instructions for EMCP Performance Evaluation Form and Sample Form A,
Form B1, Form B2, Form B3, Form B Summary and Form C

Appendix I – Form D - Discussion Notes

Appendix J – Form E - EMCP Employee Statement of Disagreement

I. INTRODUCTION

Statutory Basis

Act 253, SLH 2000, the Civil Service Reform Act, provided new directions and greater flexibility in pay for excluded managers and specifically acknowledges variable pay related to performance. HRS 89-C permits “variable adjustments based on performance or other job criteria” and requires adjustments that “result in compensation and benefit packages that are at least equal to the compensation and benefit packages provided under collective bargaining agreements for counterparts and subordinates within the employer’s jurisdiction.”

Implementation of the Variable Pay Program is limited or fixed by the authority of the chief executive of the respective jurisdiction (i.e., the Governor for the Executive Branch), via executive order, and is subject to the ability to pay. Therefore, this pay program will be implemented only when it is authorized by the Governor in an executive order.

Objectives

- To promote the success of the organization, and
- To recognize and reward contributions to the success of the organization, contingent on the State’s ability to pay.

Significance of Performance Management

Organizations need goals if they are to move forward. However, forward movement is contingent on clear directions and focused activity. Performance management assures that the efforts of the staff are directed, in an organized and planned manner, toward those goals, rather than dissipated on less essential or ephemeral issues and problems.

Performance management thus requires a common understanding of goals and objectives, focused efforts and commitment.

The EMCP group is comprised of division chiefs, chief staff officers, and managers of major branches. The EMCP Performance Evaluation System has been developed to measure on a consistent statewide basis, the contribution of these managers to the organization, in the overall management of their programs and the attainment of specific results.

It provides for:

- Consistency in ratings for managers in all departments through a common performance management and evaluation system;
- Focus on specific needs in each program area;

- Flexibility to meet specific departmental and program needs through weighting/prioritizing elements; and
- Consistency in rewards through common standards.

There are 5 basic ratings:

Exceptional
Exceeds Expectations
Fully Meets Expectations
Needs Improvement
Unsatisfactory

The amount of the variable pay adjustment or bonus, if any, will be specified in an executive order.

II. PERFORMANCE EVALUATION SYSTEM

A. General Instructions

1. Performance Evaluation Components

This system evaluates two aspects of managerial work

- a. Overall Management – the managerial actions and competencies needed in the job such as managing human resources, fiscal management, customer focus, etc.
- b. Performance Objectives and Program Accomplishments (optional) – assesses the completion of the main program accomplishments during the rating period.

The Overall Management Component measures *how* the program is run. The Performance Objectives and Program Accomplishments Component measures *what* was accomplished or achieved.

2. Annual Rating Period

The annual rating period is from July 1 through June 30 (consistent with the State budget and planning periods).

3. New or Initial Probationary Period

Newly appointed managers must receive a “fully meets expectations” rating based on six months of experience in the position on the required initial probationary or new probationary evaluation, prior to conversion to a regular appointment to the EMCP position. It is recommended that the Overall Management Component be weighted heavily in this evaluation, in order to assure possession of the basic competencies required of a manager.

The new or initial probationary period need not coincide with the July 1 to June 30 rating period. Raters are encouraged to conduct a three-month appraisal of their probationary employees to let the employee know how he/she is performing early on. Subsequently, the six-month probationary evaluation must be completed to determine if the employee passes and gains “regular status” in the job.

B. Overview of the Performance Evaluation Process

1. *At the Beginning of the Rating Period*

The Department Head/Supervisor (Rater)

- a. Reviews the Ratee’s position description and formulates goals/objectives and performance expectations.
- b. Decides if the Performance Objectives and Program Accomplishments Component (optional) will be utilized to rate the employee.

- c. Determines the Overall Management Component factor weights (Form A), and Performance Objectives and Program Accomplishments Component objectives, if applicable (Form B1, B2, B3).
- d. Determines the weight of the Overall Management Component and Performance Objectives and Program Accomplishments Components, if applicable.
- e. Discusses the proposed evaluation criteria with the Ratee (manager to be rated).
- f. Rater and Ratee sign the performance evaluation Form A confirming that the weights and objectives were discussed.

2. During the Rating Period

- a. The Rater should discuss significant events such as superior performance or deficiencies with the Ratee, as soon as possible. The Rater should document the information on the *Discussion Notes (Form D)*. Serious deficiencies require additional action (see p. 17).
- b. Performance objectives and weights may be modified during the rating period due to changes in circumstances, priorities, etc. The Rater and Ratee should discuss the changes prior to making them.

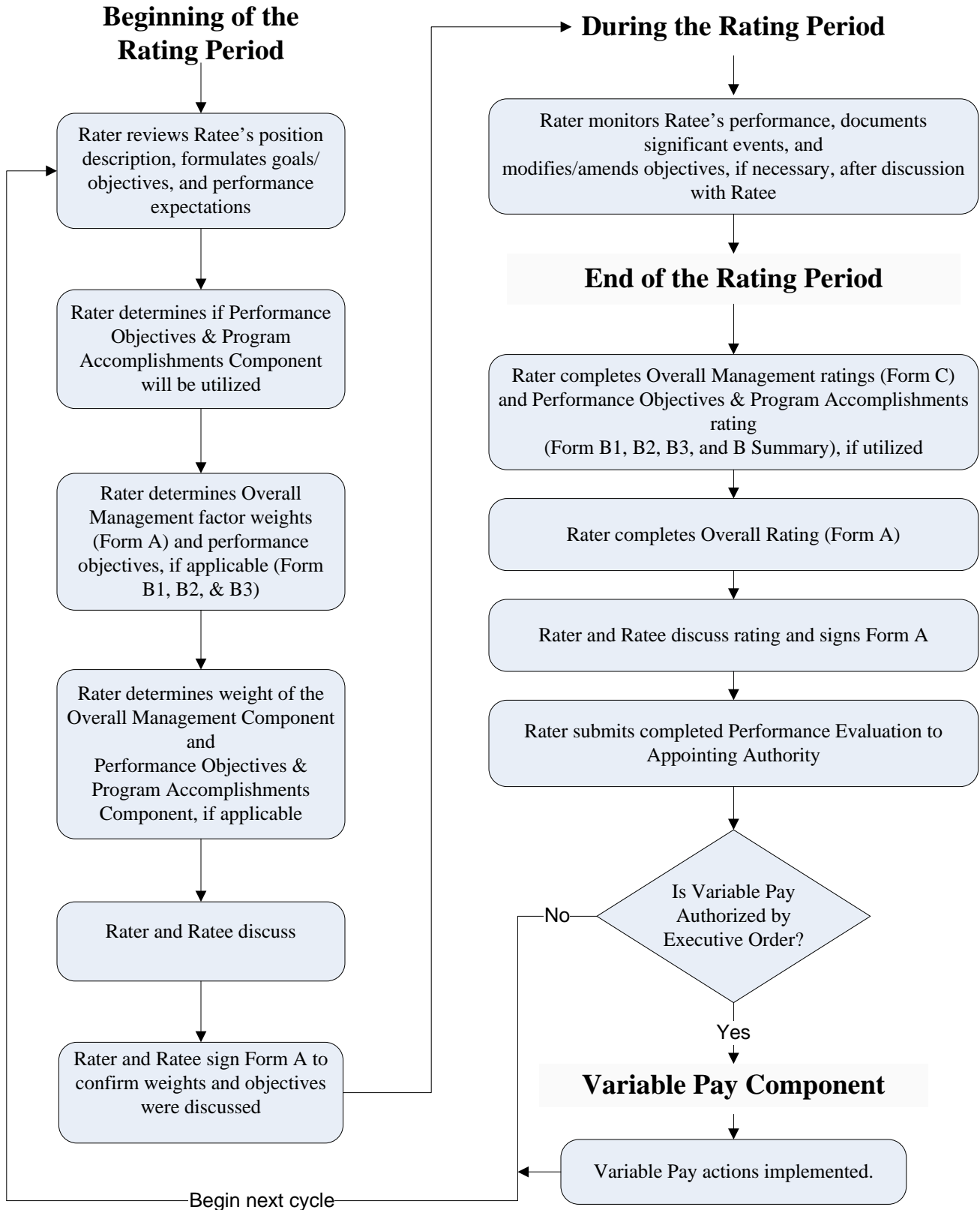
3. At the End of the Rating Period

The Rater

- a. Completes the rating for the *Overall Management Component (Form C)* and Performance Objectives and Program Accomplishments Component (if utilized);
- b. Checks the appropriate overall rating box based on the final score on Form A;
- c. Discusses the evaluation with the Ratee.
- d. And Ratee sign the *Performance Evaluation Form (Form A)*, acknowledging that the Ratee's performance was discussed with him/her.
- e. Submits the performance evaluation to the appointing authority for final approval and signature.

4. Flow Chart

EMCP Performance Evaluation and Variable Pay Process



III. OVERALL MANAGEMENT COMPONENT

Form A and Form C

The Overall Management Component assesses how well the manager being rated (Ratee) manages the entire program and operations for which he/she is responsible.

The factors are:

- Strategic Planning/Organizing and Managing Work
- Leading and Managing Change/Flexibility/Innovation
- Developing a Successful Team/Managing Human Resources
- Budget Formulation and Fiscal Management
- Problem Solving/Decision Making/Technical Know How
- Customer Focus/Client Orientation
- Communication
- Building Partnerships
- Interpersonal Skills
- Self Starter

A. At the Beginning of the Rating Period – Establish Priorities and Weights

The Rater should:

1. Decide the weights for each factor in the Overall Management Component
 - a. assess the overall needs and demands for management action to determine the priorities for each factor based on the kind of operations and the needs of the organization during the rating period. For example, leading and managing change/flexibility/innovation may be of little importance in a stable and effective program; in a program that is growing rapidly or requires major redirection, it may be highly important.
 - b. consider the following questions before and during the discussions with the Ratee:
 - ~ What aspects of the day-to-day administration of the program are most important at this time? (Customer service? Developing new sources of funding? Improving the productivity of staff? Minimizing accidents and lost time?)
 - ~ What aspects of the day-to-day administration of the program are most in need of improvement at this time?
 - ~ Are those aspects appropriately reflected in the proposed relative weights for the different areas/factors in the Overall Management Component?
 - c. enter the weights for each factor in the “Factor Weights” column on Form A. The total must equal 100.

2. Decide if the optional Performance Objectives and Program Accomplishments Component will be used. If yes, follow the instructions *At the Beginning of the Rating Period*, on page 12. If not, enter 100% in the Overall Management component weight column and continue to #3 below.
3. Save the completed workbook for use at the end of the rating period.
4. Print all forms for discussion.
5. The Rater will discuss with the Ratee the factors and factor weights. The Rater may adjust the weights based on the input of the Ratee, but is not required to do so.
6. The Ratee should sign the *EMCP Performance Evaluation (Form A)* confirming that the factors and weights were discussed. The Rater should also sign to acknowledge that the weights and objectives were approved.
7. Give a copy of the entire performance evaluation form, showing the factors that will be evaluated and the weights assigned for each factor, to the Ratee.

B. During the Rating Period – Monitor, Discuss, and Adjust as Necessary

The Rater should discuss significant events, such as superior performance or deficiencies, with the Ratee as soon as possible and document the information in the *Discussion Notes (Form D)*. Serious deficiencies require additional action, see *Handling Substandard Performance* (p. 17).

If circumstances and priorities change, the weights for the factors in the Overall Management Component may be modified during the rating period. The Rater and Ratee should discuss the changes prior to making them.

C. At the End of the Rating Period – Assess Actions Taken During the Rating Period

1. The Rater should complete the rating on Form C at the end of the rating period.
 - a. Review all of the behaviorally anchored statements on Form C for each factor that was selected at the beginning of the rating period. Check the statements that best reflect the usual behavior of the Ratee during the rating period. If the statements/function are not applicable to the job or work situation, do not check any of the statements.
 - b. Assign the points for each factor as follows:

1 point	Reflects unsatisfactory performance.
	The majority of the behaviors in the left column are checked and few or no behaviors in the other columns are checked.
2 points	Reflects performance that is neither unsatisfactory nor fully meets expectations, but midway between the two.

The majority of the checks are in the 2 point column (i.e. behaviors are “better than” the descriptors in the 1 point column but do not match the descriptors in the 3 point column) or the checked behaviors are distributed between the 1 point and 3 point columns.

3 points Reflects performance that fully meets expectations.

The majority of the checked behaviors are in the center column (3 points) and any checkmarks above and below essentially balance out.

4 points Reflects performance that does not meet the standard for exceptional but is significantly better than fully meets expectations, i.e., is midway between the two.

The majority of the checks are in the 4 point column (i.e., behaviors are better than the descriptors in the 3 point column) or the behaviors are evenly distributed between the 3 point and 5 point columns.

5 points Reflects exceptional performance.

All of the relevant behaviors in the right column are checked.

If the electronic version of the form is used, the information posted on Form C will be automatically transferred to Form A. If the electronic forms are not used, transfer the information to Form A manually.

2. If the Performance Objectives and Program Accomplishments Component is being used, follow the instructions *At the End of the Rating Period* on page 13. If not, continue to #3 below.
3. Based on the final score on Form A, check the appropriate overall rating box.
4. Print all forms for discussion.
5. The Rater and Ratee should discuss the recommended scores. Any differences of opinion on the proposed ratings may be adjusted, if necessary.
6. Both Rater and Ratee must sign Form A in the completion of the performance evaluation section.

The signatures confirm that the

- Evaluations and ratings are complete;
- Rater and Ratee discussed the contents of the evaluation;
- Ratee acknowledges the discussion, but not necessarily agreement with the information on the forms (i.e., priorities, objectives, and ratings).

If the Ratee refuses to sign the form, the Rater should annotate on the forms, "Employee does not wish to sign." If necessary, a witness may be asked to sign and date the refusal.

7. If the Ratee does not agree with the points, he/she may document the disagreement on the *Discussion Notes (Form D)*. Disagreement with the overall rating should be documented on the *Employee Statement of Disagreement (Form E)*.
8. The appointing authority signs and approves the final evaluation.

IV. PERFORMANCE OBJECTIVES AND PROGRAM ACCOMPLISHMENTS COMPONENT (Optional) (Form B1, B2, B3; Form B Summary)

The Performance Objectives and Program Accomplishments Component is optional. If the Rater decides to use this component of the performance evaluation, follow the instructions below.

A. At the Beginning of the Rating Period - Proposed Performance Objectives

(Form B1, B2, B3: Sections 1, 2a through 7a)

1. The Rater will identify objectives to be accomplished during the rating period. Any number of objectives may be set, but the performance evaluation system credits no more than three. Therefore, the objectives with the highest priority should be included in the evaluation.

The evaluation criteria should be objective. Quantified criteria should be used whenever possible. Use the *Guidelines for Writing Performance Objectives* (Appendix A) and *Sample Statements of Performance Objectives* (Appendix B) to assure appropriate content.

In determining the objectives, ask the following questions:

- a. Are the planned objectives consistent with the department's view of necessary direction and/or redirection?
 - b. Are the planned objectives the most important (or among the most important) for the program?
 - Why these?
 - Why not others?
 - c. Is the time-line reasonable?
 - d. Is the expected payoff worthwhile given the expected resources required?
 - e. Are the rating criteria appropriate and clear enough to make a determination whether the objective has been achieved?
 - f. Are the proposed points (e.g., 400 points) consistent with the scope, skill and effort required to accomplish the result? See the *Results Evaluation Guide* (Appendix D).
 - g. Is completion of the objective critical or essential?
2. If the performance objective is expected to take more than one year to complete, or cannot be completed by the end of the rating period, break the objective into smaller components to avoid a partial completion of the objective. If unforeseen events or unanticipated projects occur during the course of the year, objectives may be added, deleted, or adjusted at any time, provided the Rater and Ratee discuss the change(s).

3. Determine the weight of the Overall Management Component, and Performance Objectives and Program Accomplishments Component.

Generally, the Overall Management Component should be weighted 50% or more of the total.

Give Heavier Weight to Overall Management when:	Give Heavier Weight to Performance Objectives and Program Accomplishments when:
<ul style="list-style-type: none"> • Day to day operations and problems are heavy and reasonably consume virtually all of the manager's attention 	<ul style="list-style-type: none"> • New requirements (e.g., Federal or legislative) require completion of a special project or the establishment of a new program
<ul style="list-style-type: none"> • The program is well designed; work processes function well 	<ul style="list-style-type: none"> • Significant program and/or process redesign is needed to address current issues

4. Save the completed workbook for use at the end of the rating period.
5. Print all forms for discussion.
6. The Rater will discuss with the Ratee the proposed objective, target completion date, the evaluation or measurement criteria by which successful results can be identified, costs, any constraints imposed by external forces/circumstances, the proposed points if the objective is attained, and rater assessment if it is a critical objective.
7. Have the Ratee sign the *EMCP Performance Evaluation (Form A)* confirming that the weights and objectives were discussed. The Rater should also sign to acknowledge that the weights and objectives were approved.
8. Give a copy of the entire performance evaluation to the Ratee.

B. During the Rating Period - Monitor and Revise as Necessary

The Rater should document significant events, such as superior performance or deficiencies, in the *Discussion Notes (Form D)*; advise the Ratee as soon as possible; and document the information. Serious deficiencies require additional action, see *Handling Substandard Performance* (p. 17).

If circumstances and priorities change, the proposed performance objectives may be modified and/or replaced with new performance objectives. The Rater and Ratee should discuss the changes prior to making them.

C. At the End of the Rating Period - Evaluate Program Accomplishments

(Form B1, B2, B3: Sections 2b through 8)

1. All Raters are expected to evaluate their subordinates' performance objectively and on a timely basis.
2. The Rater will evaluate the Ratee's accomplishments based on two factors:

- a. Whether the planned objective or result was attained, and
 - b. The scope of the objective, and the effort and skill needed to achieve the results.
3. The Rater will document accomplishments for each objective on the applicable Form B1, B2, and B3, as follows:
 - a. In 2b, enter the date the objective was completed. If the objective was not completed, enter the percent completed and document the major steps accomplished and those remaining on an attachment.
 - b. In 3b, specify the costs incurred.
 - c. In 4b, indicate whether the results met the predetermined evaluation criteria.
 - d. In 5b, if applicable, indicate whether identified constraints created difficulties and how they were addressed.
 - e. Review the *Results Evaluation Guide* (Appendix D) to determine whether the points initially proposed in 6a is appropriate. If yes, repeat the point value in 6b. If not, enter the correct point value.
 - f. Use the instructions for *Scoring the Performance Objectives and Program Accomplishments* (Appendix C), to evaluate the results. Enter the recommended points in 7b and 8.
4. If the electronic version of the form is used, the objectives and recommended points will be automatically transferred to the *Form B Summary* sheet. If the electronic forms are not used, transfer the information manually.
5. Review the summary data displayed for all objectives. Review any additional instructions, if any, issued by your department.
6. Enter the recommended final score for the Performance Objectives and Program Accomplishments component in the yellow box at the middle of the page. The score will be automatically transferred to Form A (if the electronic forms are not used, transfer the information manually).
7. Based on the final score on Form A, check the appropriate overall rating box.
8. Print all forms for discussion.
9. The Rater and Ratee should discuss the recommended scores. Any differences of opinion on the proposed ratings may be adjusted, if necessary.
10. Both the Rater and Ratee must sign Form A in the completion of the performance evaluation section.

The signatures confirm that the

- Evaluations and ratings are complete;
- Rater and Ratee discussed the contents of the evaluation;
- Ratee acknowledges the discussion, but not necessarily agreement with the information on the forms (i.e., priorities, objectives, and ratings).

If the Ratee refuses to sign the form, the Rater should annotate on the forms, "Employee does not wish to sign." If necessary, a witness may be asked to sign and date the refusal.

11. If the Ratee does not agree with the points, he/she may document the disagreement on the *Discussion Notes (Form D)*. Disagreement with the overall rating should be documented on the *Employee Statement of Disagreement (Form E)*.
12. The appointing authority signs and approves the final evaluation.

V. OVERALL RATING

(Form A)

The overall rating is determined by combining the weighted score of the two components, Overall Management, and the Performance Objectives and Program Accomplishments Component (if utilized). The weight of each of the two components is established at the beginning of the rating period and recorded on Form A. The total weight for both components must equal 100.

The resultant final score is then converted to an overall rating using the following table:

Category	Scores		
Exceptional	450	to	500
Exceeds Expectations	350	to	449
Fully Meets Expectations	250	to	349
Needs Improvement	150	to	249
Unsatisfactory	0	to	149

Note: Use of the electronic form is strongly recommended, as all computations will be performed automatically.

VI. HANDLING SUBSTANDARD PERFORMANCE

These EMCP Performance Evaluation guidelines deal only with rating managerial performance. For all other issues that are related to performance management, the supervisor should use the standard State practices described in the *Performance Appraisal System (PAS) Supervisory Manual*.

Key points in handling substandard performance:

A. The Ratee must be informed of deficiencies as early as possible

For example, if the Rater is aware of past deficiencies in overall management, they should be brought to the attention of the manager during the initial discussion at the beginning of the rating period. If the deficiency is identified during the course of the rating period, the Rater should alert the Ratee as soon as possible.

If after a reasonable period of time, the deficiency continues, the appointing authority should issue an official, written, "Notice to Improve Performance" to the Ratee.

B. Continuing "substandard" performance requires action during, as well as at the end of the rating period

Please refer to the *PAS Supervisory Manual* (pages 25-29) on Substandard Performance, suggestions for improvement, and the "7 Tests for Performance".

VII. EMCP VARIABLE PAY

The governor has the authority to implement a variable pay program, also known as pay for performance, for EMCPs in the executive branch. The variable pay program, if any, will be authorized via executive order. Factors which are considered in determining the award amounts for the program are:

- Type and amount of increases provided to other employees;
- State's ability to pay;
- Long-term impact on overall payroll costs;
- Economic considerations such as the cost of living;
- Amount of funds already appropriated by the legislature; and
- Anticipated distribution of ratings

A. Annual Performance Evaluations and Adjustments

Annual performance evaluations and adjustments, if any, shall be based on the employee's work performance between July 1 and June 30. Applicable pay adjustments shall be specified in an executive order.

B. Special Provisions on Rating Subordinate Employees

All managers are expected to evaluate their subordinates' performance objectively and on a timely basis. Because of the importance of this managerial task and its impact on the performance, pay, and opportunities of subordinates, special rating requirements are imposed. '100% evaluations performed on a timely basis' is a goal consistent with the concept of 'fully meet expectations'.

1. Impact on Performance Rating

It is recognized that, particularly in larger organizations, managers need to rely on their subordinate managers and supervisors to carry out the performance evaluations for their subordinates. Therefore, the 100% requirement shall be applied to evaluations that are carried out by a manager on his/her immediate subordinates. While managers are expected to require a similar level of compliance by their subordinate managers and supervisors, the manager may be deemed satisfactory if 80% of all of the evaluations required of their subordinate managers and supervisors are completed on a timely basis.

Managers who do not meet this two-tier threshold shall not be eligible for a "fully meets expectations" (or higher) rating on this sub factor which is found under the "Developing a Successful Team & Managing Human Resources" factor.

2. Impact on Salary Adjustments

If the pay adjustment of any subordinate employee is delayed because the required PAS was not completed on a timely basis, the EM manager's pay adjustment shall be deferred until the evaluation is completed. Deferred payment will not affect the timing of subsequent evaluation periods.

3. Discipline

Managers who do not complete their immediate subordinates' evaluations on a timely basis shall be informed by the Appointing Authority in writing that the manager's performance is substandard. When an employee's performance is substandard, the employee shall be afforded a reasonable period, up to three months, to bring the employee's performance to a satisfactory level.

VIII. APPEALS

Performance evaluation ratings, per se, are not normally appealable to an external body such as the Merit Appeals Board nor grievable under collective bargaining contracts. Although EMCP Performance Evaluations may be linked to pay increases, which increases their significance, EMCP Performance Evaluations also are not appealable to an external body. Employees who do not believe that their performance evaluation rating is consistent with the guidelines provided in this manual, may complete and attach an *Employee Statement of Disagreement (Form E)*. The statement must be limited to one page and should be used to present pertinent facts.

Merit Increases

The awarding of a merit increase and/or the size of the increase is not appealable to an external body such as the Merit Appeals Board.

Adverse Actions

Adverse actions such as discharge, involuntary demotion, and involuntary transfer resulting from an unsatisfactory rating are appealable to the Merit Appeals Board, HRS 76-14 (Appendix G).

Guidelines for Writing Performance Objectives

1. Start with the word “To.” Follow it with an action or accomplishment verb.

Hint: Describe the primary result, not the activities needed to accomplish the result.

2. Specify a single measurable result to be accomplished. Select a single key measurement that is an overriding indicator of the desired result.

Hint: If two aspects of an objective seem critical and of equal value, consider specifying two objectives, not one.

3. Be as specific and quantitative as possible. The objective must be measurable or verifiable.

Hints: Use something that can be measured or quantified, if possible (e.g., reduce the turnaround time for XYZ by 10%, increase the number of clients placed in unsubsidized employment by 7%).

If the objective is not quantifiable, use something that is clearly observable or verifiable as a measure of accomplishment (e.g., develop and implement a cross training program for the division, or place all application forms for licenses on the web).

4. Specify the target date or time span for completion.

Hints: Do not include all action steps and dates, only the completion date.

If the beginning or completion of the necessary work is contingent on something else, specify the completion date as a time span (e.g., complete XYZ, 5 months after approval of ABC).

If the size and scope of the work required precludes completion within the rating period, specify the phase or portion that will be completed during the rating period rather than the full project.

5. Specify costs or resources required.

Hints: If the accomplishment is not dependent on additional resources, so state (e.g., without additional resources).

If the accomplishment reflects a shift in priorities/resources, so state (e.g., using the resources of the LMN unit, previously devoted to performing internal audits)

6. Specify only the what and when. Do not specify the how or why.

Notes: The objective itself should not contain the details of how it will be accomplished. If necessary, details should be specified in an operational or action plan which can be modified as better alternatives or barriers are encountered.

The objective should not contain or express the rationale (or why). If such information is necessary, it should be described in an attachment, not expressed in the objective (e.g., the objective should not be expressed as 'Broaden worker skills to provide better customer service.' Instead, the objective should state, 'To develop and implement a cross training program for employees in Units A and B.'

- 7. The objective should support or be compatible with the higher level plans of the organization.**
- 8. The objective should be realistic and attainable, but represent a significant stretch or challenge.**

Sample Statements of Performance Objectives

Objectives must be stated in a manner that permits clear identification/assessment of the results to be attained. The following pairs of statements illustrate common inadequacies and preferred alternatives.

- ***Original: To improve the condition of housing rental units.***

Restated: To renovate 300 existing housing rental units by the end of this fiscal year using existing staff.

- ***Original: To plan for the future IT staffing requirement of the department.***

Restated: To develop and implement a specific departmental plan to fill future IT vacancies, by the third quarter, with no increase in implementation cost.

- ***Original: To increase the division's revenue from leases of property.***

Restated: To increase the proportion of division revenues from leases of property from 10% to a minimum of 40% of the division's total budget, by the end of the fiscal year.

- ***Original: To provide better customer service by using the capabilities of the Internet.***

Restated: 1. To develop and install a web page that provides information on departmental services by the end of the second quarter.

2. To develop and install an Internet service that permits the electronic filing of all departmental forms used by the public to apply for services, by the end of the third quarter, at an implementation cost not to exceed \$10,000.

- ***Original: To improve customer service by upgrading employee skills.***

Restated: To have at least 5 employees qualified in each of the 3 identified activities by September 30, at a cost not to exceed 80 supervisory hours and 400 worker hours.

- ***Original: To provide faster response to customer inquiries on the status of their applications.***

Restated: To decrease response time to customer inquiries on the status of their application from an average of 10 hours down to 1 hour, by the end of the first quarter, with no increase in personnel cost.

- ***Original:*** ***To gain a better understanding of the division's customer needs.***

Restated: To complete a study of the priority needs of the division's customers, by 3/15/02, without incurring additional cost and while maintaining the same level of customer service.

Scoring the Performance Objectives and Program Accomplishments

A. Types of Objectives

Two types of objectives are recognized in the Performance Objectives and Program Accomplishments Component.

1. Maintenance/enhancement of current operations (in terms of the quantity or quality of existing programs or services), and
2. Development and installation of new programs or initiatives, completion of special projects, etc.

Performance objectives should be scored by the scope and difficulty of the accomplishment, and the skill and effort involved in its attainment. The potential points for each result should be based on the benchmark descriptors in the *Results Evaluation Guide* (Appendix D).

B. Conditions

The following conditions should be followed when utilizing this component:

1. In all cases, there must be a discussion of the objective and it must be clear from the beginning of the rating period:
 - a. What weight will be accorded to the Performance Objective and Program Accomplishments Component,
 - b. How the results will be evaluated and scored, and
 - c. The significance of attaining or failing to attain each of the specified results (record relevant information in Section 7a of Form B1, B2, B3).
2. The difficulty, skill and effort required to achieve the result (as outlined in the *Results Evaluation Guide*) must be considered in determining the points for the result.
3. There must be a reduction in points for a specific planned objective that was not completed or is not on schedule at the end of the rating period. This may (or may not) affect the manager's overall score on the Performance Objective and Program Accomplishments Component.
4. Additions, deletions, or changes to the performance objectives established at the beginning of the evaluation period must be discussed with the Ratee prior to making the change.
5. The final score should be based on the extent of the accomplishment attained.

C. Scoring the Performance Objectives and Program Accomplishments Component

1. Points for Performance Objectives

a. Completed Performance Objectives

Completed objectives should receive the full point value (300, 400 or 500 points) shown on the *Results Evaluation Guide (Appendix D)*. (Accomplishments which are 95% complete and for which completion can reasonably be expected within a short period of time should be awarded the full value.)

b. Partial Completion of Performance Objectives

Partial credit may be provided for substantial progress (i.e., at least 50% done) in enhancements and/or projects that would, if fully completed, reflect 400 or 500 points. The adjusted points should be computed by multiplying the full point value by the percent completed.

2. Final Score

a. Scoring Options

Departments may employ different approaches to score this component, such as

- 1) Crediting fully the most difficult accomplishments attained, provided that satisfactory results or progress were attained on other critical objectives;
- 2) Establishing only one objective for each manager, and scoring it based on the difficulty of attainment in accordance with the *Results Evaluation Guide*;
- 3) Other, more individualized, approaches;

provided the Ratee is fully informed about the approach that will be used, at the beginning of the rating period when the objectives are being determined.

b. Variables to Consider in Evaluating Results

Overall scoring is somewhat unstructured because of the large number of variables that must be considered in evaluating results. These include:

- 1) External events and situations that affect programs and resource deployment or the Ratee's ability to work on the objective (e.g., work that must be performed by other organizational units is delayed, unexpected major assignments that require substantial time, etc.).
- 2) Objectives that may need to be added, deleted or modified during the year, to reflect current needs.
- 3) The different needs of different departments and programs which make it counterproductive to require all programs to have a set number of objectives and

results for all managers.

- 4) The relative importance of Program Objectives and Program Accomplishments, and Overall Management may vary from manager to manager, depending on the needs in their programs.
- 5) Differing degrees of skill and effort are required to achieve different objectives, and thus different amounts of credit should be awarded for their attainment.
- 6) The importance/criticality of attaining specific results may differ and their priority (in relation to other program needs) and thus the significance of their attainment will vary.
- 7) Work on some objectives may still be in progress at the end of the rating period (i.e., the result has not yet been fully attained).

c. Determining the Final Score

The point range for the Performance Objectives and Program Accomplishments Component is 100-500 points (paralleling the points attainable in the Overall Management Component).

A suggested rating guide is provided below and on the *Form B Summary*.

Performance Band	Characteristics	Final Score
Exceptional	At least one 500 point objective* completed. Completion or satisfactory progress on all other <u>critical</u> ** objectives.	500
Exceeds Expectations	At least one 400 point objective* completed. Completion or satisfactory progress on all other <u>critical</u> ** objectives.	400
Fully Meets Expectations	Completion or satisfactory progress on all other <u>critical</u> ** objectives.	300
Needs Improvement	Critical** results do not meet expectations (e.g., fall off in quantity/quality of essential services, insufficient progress on projects).	200
Unsatisfactory	Objectives not attained; inadequate progress made.	100

*As defined in the *Results Evaluation Guide*

** As indicated in Section 7a of Form B1, B2, B3

Results Evaluation Guide

Type of Result	Points		
	300	400	500
Maintenance/enhancement of current operations	<p>Made necessary improvements in the current program in order to meet quantity and quality expectations despite increase in workload or target group, new requirements, etc.</p> <p>And/or</p> <p>Maintained current functioning of the essential aspects of the current program at a satisfactory level despite some obstacles such as reduced resources (e.g., frozen positions) or a modest increase in workload (e.g., 5-10%) or other disruptions such as a reorganization</p>	<p>Substantially improved operations of the current program, as measured by two or more indicators of program success</p> <p>And/or</p> <p>Maintained current functioning of the program with no reduction in significant indicators of success (e.g., the same degree of customer satisfaction, timeliness, accuracy, etc.) despite the major obstacles such as need to substantially overhaul methods (e.g., automate a significant process) or substantially reduced resources</p>	<p>Completed revision of a significant, complex, current program by capitalizing on new technology, meeting needs in different/improved ways; substantial improvement in cost/benefits ratio; or comparable fundamental changes, etc.</p>
Development/installation of new program and/or completion of special project	Planned, developed and implemented several new activities in order to meet client or agency needs	Planned, developed and implemented a significant new service or activity in order to meet client or agency needs	Planned, developed and implemented an extensive, new service or operation in order to meet client or agency needs
Significant Characteristics	<ul style="list-style-type: none"> • Modest amount of planning • Some skill and effort in design and implementation • Informational activities for internal/external customers and affected individuals 	<ul style="list-style-type: none"> • A change in view • Significant planning • Significant skill and effort in design and implementation, and • Leadership within the organization or education of external customers 	<ul style="list-style-type: none"> • A new vision • Substantial planning • Substantial skill and effort in design and implementation • Overcoming significant barriers, inter-agency or inter-divisional coordination, and/or addressing significant new external requirements through <ul style="list-style-type: none"> ~ Substantial leadership within the organization and/or ~ Marketing to and education of external customers.

Maintenance/enhancement or new programs/projects that do not reflect at least the characteristics of a 300 point result, as described above, may be assigned but should not be reported on Form B1, B2, B3; or credited in the EMCP Performance Evaluation System.

General Information on Variable Pay

(also known as Pay for Performance)

The linking of pay with performance is long standing and widespread in the private sector. Contemporary literature shows that:

- High-performing companies tend to devote substantial attention and resources to differential rewards that are tied to performance and business goals.
- Pay for performance programs that are linked to well designed and well administered organizational goals encourage desired behavior and high performance. They also contribute to the success of the organization and foster a climate focused on performance rather than entitlement.
- More systems fail because of how they are administered rather than how they are designed. Ratings and rewards that are perceived as bona fide reflections of superior performance are essential for the program to have a positive impact on performance and to avoid demoralization of the group as a whole.
- No system will succeed without commitment from the top and from those who actually do the ratings.

Pay for Performance Methods

Pay for performance programs use different methods to determine the type and amount of payouts. These typically include:

- Increases to base pay (frequently called merit increases)
- Cash bonuses (lump sum payments which do not affect base pay)
- Combinations of merit increases and bonuses

Both types of increases have advantages and disadvantages:

- Merit increases tend to retain appropriate pay relationships with others in the organization but are most costly and extend higher pay, based on past performance, into the future.
- Bonuses best reflect the concept of pay commensurate with current contribution/performance but, because they do not increase base pay, they perpetuating current pay relationships within the group, rather than increasing the overall compensation of high performers over time. Pay for group members also tends to fall behind the pay of other workers in the organization whose pay adjustments increase base pay.
- Combinations can minimize the downside of either type, but are also more complicated to administer.

The following criteria are essential for a successful Pay for Performance Program

- Ratings and rewards must be perceived by all as truly linked to performance.
- Ratings and rewards must be provided as consistently as possible within and between departments, to avoid negative effects. Thus, the system must be designed and administered to promote consistency and objectivity in ratings between and within departments.
- Ratings should be based on pre-established criteria so that the link between performance and reward is clear and certain.
- Top management must make a commitment to successful implementation, including use of statewide criteria and objective rating, because both are essential to success.
- The criteria for success should be linked to organizational goals rather than limited to good behavior, since the objective is to promote improved state programs and services to the public.

QUESTIONS AND ANSWERS

Performance Expectations and Ratings

Q1 When should Raters begin work on the expectations for the evaluation period?

A1 In June, prior to the evaluation year.

Q2 Is it acceptable to give the Overall Management Component 100% of the weight and none to the Performance Objectives and Program Accomplishments Component?

A2 Yes. Using the Performance Objectives and Program Accomplishments Component is optional, however, using the Overall Management Component is required.

Q3 What if my supervisor (Rater) sets unrealistic expectations/objectives for me?

A3 If possible, disagreements on expectations/objectives should be resolved at the beginning of the rating period. You should inform your supervisor that the expectations/objectives are unrealistic and explain why. If the expectations/objectives are not revised, document the discussion on the *Discussion Notes (Form D)*. Monitor progress during the evaluation period and, at an appropriate time, recommend that the expectations/objectives be modified. Also document this discussion. If the objectives have not been modified and you receive an overall rating that you feel is unfair, submit an *Employee Statement of Disagreement (Form E)* stating your disagreement, and why you disagree.

Q4 Shouldn't the objectives and weights utilized for evaluation purposes be consistent with a strategic plan? If so, what can the EMCP employee do if there is no strategic plan?

A4 Presence of a departmental strategic plan would be ideal, but may not be consistent with reality. If there is no strategic plan, you might want to consider using the development of a strategic plan for your own program as one of your objectives for the evaluation period.

Q5 Do objectives have to tie in existing measures of effectiveness used in the Planning Programming Budgeting System?

A5 Only if they are appropriate. PPB measures of effectiveness and targets are generally intended to measure the overall effectiveness of your program. The performance objectives established under the EMCP Performance Evaluation System typically involve a specific function or improvement and a specified period of time. Consequently, different measures may be appropriate.

Q6 There are accomplishments worth pursuing, even if there is no certainty of success (e.g. submitting a grant proposal). However, under the EMCP Performance Management System it would not make sense to propose that type of accomplishment because I could fail no matter how good a job I actually do.

A6 That is true only if you define your objective as "getting the grant." You need to rethink how "success" can be defined. In the example listed above, success should be defined as

submitting a solid proposal which meets all of the specified criteria rather than obtaining the grant. Your proposal could be outstanding, but another proposal might still be better.

Q7 Does the system encourage setting low standards?

A7 The system is not intended to encourage setting low standards. Excellence in Overall Management is rewarded with more points (5 points) than average performance (3 points). Performance objectives which are difficult to achieve are awarded more points than those which are easier to achieve. Thus, while an EMCP manager may propose easy-to-achieve performance objectives, their attainment will only provide an average rating. EMCP employees who aspire to receive better than average ratings enhance their opportunity to achieve the higher ratings by recommending and accomplishing difficult objectives and by demonstrating excellence in the management of their programs. Also, the Rater is responsible for approving the objectives for the employee; for example, a Rater may require a more demanding performance objective than that proposed by the employee.

Q8 I need to motivate my staff to achieve the expectations set for me. How can I motivate my staff?

A8 For many employees, motivation is influenced heavily by a sense of achievement, recognition, challenge, interest, a sense of responsibility, etc. Try to consider these elements in gaining their support. You may also find, as have others, that the simple existence of specific goals or targets is a motivating factor. In any event, your expectations of them should be identified in the beginning of the rating period.

Q9 I need to have adequate personnel and other resources in order to manage my program well and/or meet the objectives set for me. How are proper "resources" factored into the evaluations?

A9 Resources required and those available should be considered in planning your operations and setting your objectives. Serious resource deficiencies which affect your ability to maintain your operations or to accomplish mandated objectives should be carefully considered (e.g., Should certain regular activities be curtailed, should the objective be modified? Can the objective be accomplished in a different way that requires less resources? etc.) Discuss your recommendations with your supervisor and document them on the *Discussion Notes (Form D)*, as appropriate.

Q10 Can applicable competencies, objectives and/or weights be changed during the evaluation period due to changes in circumstances?

A10 The situation should be discussed with your supervisor and documented in the *Discussion Notes (Form D)*. Changes to the competencies, objectives and/or weights should be implemented, if appropriate. Do not wait until the end of the evaluation period to discuss changes that should have been made during the evaluation period.

Q11 How can I be evaluated fairly when new requirements come up frequently?

A11 It might be appropriate to give the Overall Management Component of your evaluation more weight than the Performance Objectives and Program Accomplishments

Component. In addition, it may also be appropriate to give the factor "Facilitating and Managing Change" substantial weight.

Q12 What if I work for an agency that is administratively attached to a department?

A12 Your performance objectives and evaluation will be approved by whoever you report to, whether it be a board, commission, or a particular individual; and you will be rated by that same group or individual. While the department head can question ratings to ensure consistency with statewide guidelines and standards, he/she cannot dictate the direction of the program (see HRS §26-35).

Q13 What role, if any, do higher level supervisors play in the evaluation process?

A13 Supervisors above the level of your immediate supervisor have the right to review the ratings given to you and require reconsideration. Therefore, it is recommended that the Rater discuss the ratings with his/her superiors, where appropriate, prior to finalizing the ratings.

Q14 Under the PAS system, we are being required to do a write-up for overall ratings of "Exceeds Expectations". Is a write-up required under this system?

A14 No, not at this time, but the Rater and Ratee should be able to explain why the score is appropriate. It is expected that the management-specific benchmark descriptors and accomplishment categories will provide sufficient, directly applicable criteria so that additional narrative explanations are not needed.

Pay and Performance Incentives

Q15 Who negotiates the pay increases for EMCP employees?

A15 EM pay adjustments are not negotiated. By statute, they are determined by the chief executive. Section 89C-2, HRS, specifies that the Governor may make adjustments for EMCP employees within the State executive branch provided that they are consistent with the merit principle; are uniformly applied to all EMCP employees to the extent practicable; but variable adjustments based on job performance or other job criteria are not precluded.

Moneys are appropriated by the legislature. It is anticipated that funds, at least comparable to the funds allocated for negotiated collective bargaining increases, will continue to be appropriated for EMCP pay adjustments.

Q16 If I receive a bonus under the variable pay program, will it be taxed at the same rate as normal income?

A16 Yes, but the payment may boost the employee into a higher tax bracket for that pay period.

Q17 Will bonuses count towards retirement?

A17 The intent is that bonuses be treated as regular income, so it would count toward EMCP employees' "high three" or "high five".

Q18 How can programs budget for "variable" adjustments?

A18 If funds are available for adjustments, monies are appropriated at the State level.

Q19 The system addresses performance evaluation for compensation purposes. How is substandard performance to be addressed, other than for compensation purposes?

A19 In the same fashion as for other civil service employees. Please refer to the State of Hawaii Personnel Rules and the PAS Supervisory Manual.

Q20 Sometimes employees do well one year but do poorly the next year. As such, doesn't it make more sense to give bonuses rather than salary increases to base pay?

A20 Bonuses serve well as an immediate means of rewarding employees for services already rendered. However, providing only bonuses over an extended period would be detrimental to EMCP employees because their base salaries would lag in comparison to other employees. A combination of across the board increases plus bonuses, or variable increases to base would be preferable.

Rating Period

Q21 Under the PAS system, the annual performance evaluation must be completed prior to the end of the rating period. Is this true of the EMCP Performance Evaluation System?

A21 No, the performance evaluation is to be completed after June 30 of the applicable year.

Q22 What should be done in situations where an employee is first appointed to an EMCP position toward the tail end of the evaluation period, and must serve a new or initial probationary period?

A22 The probationary period need not coincide with the July 1 to June 30 rating period. Raters are encouraged to conduct a three-month appraisal of their probationary employees to let the employee know how he/she is performing early on. Subsequently, the six-month probationary evaluation must be completed to determine if the employee passes and gains "regular status" in the job.

Q23 What should be done in situations where an EMCP employee is away from the job for an extended period?

A23 A partial annual evaluation should be done if the employee worked more than three months during the evaluation period

Other

Q24 Can I appeal my evaluation if I believe that it is unfair?

A24 No, there is no appeal process (see p. 20), however an employee who does not believe that their performance evaluation rating is consistent with the guidelines, may attach an *Employee Statement of Disagreement (Form E)* to the performance evaluation form.

Q25 How do I obtain the EMCP performance evaluation forms and instructions?

A25 The EMCP performance evaluation forms and instructions are found on the DHRD website under Position Classification and Compensation. The EMCP evaluation forms are generated by the Rater and saved electronically so the final rating will be automatically calculated on the excel spreadsheets.

REFERENCES

Hawaii Revised Statutes Adjustments for Excluded Civil Service Employees

§89C-2 Adjustments authorized; limitations, restrictions. Each appropriate authority may make adjustments for their respective excluded employees subject to the following guidelines and limitations:

- (1) The compensation of excluded employees, whose pay is presently limited or fixed by legislative action, or prescribed by a salary commission, shall not be adjusted under this chapter and shall continue to be limited or fixed by the respective legislative body or salary commission;
- (2) The compensation of excluded employees exempt from civil service coverage, whose pay is set at the discretion of the appointing authority, shall continue to be adjusted at the discretion of the appointing authority from funds allowed for this purpose;
- (3) Any adjustment made for excluded civil service employees shall be consistent with the merit principle and shall not diminish any rights provided under chapter 76;
- (4) For excluded employees under the same classification systems as employees within collective bargaining units, adjustments shall be not less than those provided under collective bargaining agreements for employees hired on a comparable basis;
- (5) For excluded employees other than those under paragraph (4), adjustments shall, to the extent practicable, uniformly apply to every excluded employee within a homogeneous grouping, such as, cabinet members or managerial employees, to ensure fairness. This does not preclude variable adjustments based on performance or other job criteria and specific adjustments warranted based on the nature of work performed or working conditions; and
- (6) No adjustment shall be made in benefits provided under chapter 88 unless specifically authorized by that chapter, or with respect to any other matter that the legislature may specifically prohibit or limit by law.

§89C-3 Adjustments for excluded civil service employees. (a) Each jurisdiction shall provide adjustments for its respective excluded civil service employees based on recommendations from its respective personnel director.

(b) In formulating recommendations to the appropriate authority, the respective director shall:

- (1) Establish procedures that allow excluded civil service employees and employee organizations representing them to provide input on adjustments that are relevant and important to them for the director's approval;
- (2) Ensure that adjustments for excluded civil service employees result in compensation and benefit packages that are at least equal to the compensation and benefit packages provided under collective bargaining agreements for counterparts and subordinates within the employer's jurisdiction; and
- (3) Ensure that proposed adjustments are consistent with chapter 76 and equivalent or not less than adjustments provided within the employer's jurisdiction.

Hawaii Revised Statutes

Performance Management and Tenure for All Employees, Including EMCP

§76-41 Performance appraisal systems; failure to meet performance requirements. (a) There shall be established and maintained performance appraisal systems for the purpose of evaluating the performance of employees in the civil service and improving the employees' performance. The performance appraisal systems shall be the basis for evaluating whether employees in the civil service meet the performance requirements of their respective positions as required in section 76-27. For the purposes of this section, "performance requirements" includes any qualification required for the position such as a license.

(b) An appointing authority may release an employee from the employee's position or discharge an employee from service if the employee fails to meet the performance requirements for the employee's position under the following conditions:

- (1) The evaluation process and its consequences were discussed with the employee;
- (2) The employee was made aware of the employee's current job description and job-related performance requirements;
- (3) The evaluation procedures were observed, including providing the employee the opportunity to meet, discuss, and rebut the performance evaluation and apprising the employee of the consequences of failure to meet performance requirements;
- (4) The evaluation was fair and objective;
- (5) The employee was provided performance feedback during the evaluation period and, as appropriate, the employee was offered in-service remedial training in order for the employee to improve and meet performance requirements;
- (6) The evaluation was applied without discrimination; and
- (7) Prior to the end of the evaluation period that the employee is being considered for discharge due to failure to meet performance requirements, the feasibility of transferring or demoting the employee to another position for which the employee qualifies was considered.

(c) Any civil service employee who fails to meet performance requirements shall have the right to grieve under:

- (1) A collective bargaining grievance procedure that culminates in a final and binding decision by a performance judge pursuant to section 89-10.8; or
- (2) The departmental complaint procedure that culminates in a final and binding decision by the merit appeals board under section 76-14.

The performance judge or the merit appeals board, as the case may be, shall use the conditions in subsection (b) as tests in reaching a decision on whether the employer's action, based on a failure by the employee to meet performance requirements of the employee's position, was with or without merit.

§76-27 Probationary service and other requirements for membership in the civil service. (a) All employees appointed to civil service positions shall constitute the membership of the civil service, but no employee shall be entitled to membership in civil service until the employee has:

- (1) Successfully completed the initial probation period required as part of the examination process to determine the employee's fitness and ability for the position; and
- (2) Satisfied all requirements for employment prescribed by this chapter and the qualifications prescribed by section 78-1.

(b) Upon becoming a member in the civil service, the employee shall be entitled to hold the member's position for the duration of the member's appointment, subject to section 76-46. In addition, civil service employees with permanent appointments, including an employee who has return rights to a position in which the employee has a permanent appointment, shall have layoff rights under section 76-43. All other civil service employees whose appointments have a limitation date shall not have layoff rights and shall be released at the end of their appointments or earlier if there is lack of work, lack of funds, or other legitimate reasons.

(c) To retain membership in the civil service, all employees must continue to demonstrate their fitness and ability for their current positions by meeting all performance requirements of their positions. If an employee fails to meet performance requirements, section 76-41 shall apply.

(d) A member who is promoted or transferred to another position in the civil service may be required to successfully serve a new probation period as part of the examination process to determine the employee's fitness and ability for the new position but shall be entitled to all the rights and privileges of a member of the civil service, except the right to appeal a discharge from the new position (as distinguished from discharge from the service) for inefficiency during the probationary period, in which case the member shall be returned to the former position or a comparable position.

(e) An employee serving an appointment with a limitation date may subsequently be appointed to the same position or a related position in the same class within the department when a permanent position is established or is vacated; provided that the employee was hired initially through civil service recruitment procedures and the period of service as a temporary appointee immediately preceded the appointment to the permanent position. The period of service performed as a temporary appointee may be credited toward the probation period if the appointing authority certifies that the employee has been performing satisfactorily and that the duties the employee has been performing are essentially similar to those required of the probationary appointment. Upon such certification, the period of service performed as a temporary appointee shall be credited toward fulfilling the required probation period and the employee shall serve only the remainder of the probation period, if any.

Hawaii Revised Statutes

Merit Appeals Board Appeal of Adverse Actions for Failure to Meet Performance Requirements, Excluded Employees

§76-14 Merit appeals board; duties, and jurisdiction. (a) The merit appeals board of each jurisdiction shall decide appeals from any action under this chapter taken by the chief executive, the director, an appointing authority, or a designee acting on behalf of one of these individuals, relating to:

- (1) Recruitment and examination;
- (2) Classification and reclassification of a particular position, including denial or loss of promotional opportunity or demotion due to reclassification of positions in a reorganization;
- (3) Initial pricing of classes; and
- (4) Other employment actions under this chapter, including disciplinary actions and adverse actions for failure to meet performance requirements, taken against civil service employees who are excluded from collective bargaining coverage under section 89-6.

(b) Any person suffering legal wrong by an action under subsection (a)(1) or aggrieved by such action shall be entitled to appeal to the merit appeals board. Any employee covered by chapter 76 suffering legal wrong by an action under subsection (a)(2) or (3) shall be entitled to appeal to the merit appeals board. Only employees covered by chapter 76, who are excluded from collective bargaining, suffering legal wrong by an action under subsection (a)(4) shall be entitled to appeal to the merit appeals board. Appeals under this section shall be filed within time limits and in the manner provided by rules of the merit appeals board.

(c) The rules adopted by the merit appeals board shall provide for the following:

- (1) The merit appeals board shall not act on an appeal, but shall defer to other authority, if the action complained of constitutes a prohibited act that is subject to the jurisdiction of another appellate body or administrative agency or the grievance procedure under a collective bargaining agreement;
- (2) The merit appeals board shall not proceed on an appeal or shall hold proceedings in abeyance if there is any controversy regarding its authority to hear the appeal until the controversy is resolved by the Hawaii labor relations board;
- (3) The merit appeals board shall prescribe time limits for filing an appeal that require exhaustion of all internal complaint procedures, including administrative review and departmental complaint procedures, before an appeal is filed; and
- (4) The merit appeals board shall use the conditions listed in section 76-41(b) in reaching a decision on whether actions taken by the appointing authority based on a failure by the employee to meet the performance requirements of the employee's position is with or without merit.

(d) Notwithstanding the provisions of this section, the merit appeals board shall have the authority to hear and decide appeals pending before the state civil service commission as of June 30, 2002, in accordance with the jurisdictional requirements and procedures applicable to the state civil service commission as of June 30, 2002.

(e) This section shall be construed liberally to determine whether the appeal falls within the jurisdiction of the merit appeals board.

OSHA Regulations

§12-110-2 Employer responsibilities. (a) General duty clause.

- (1) Every employer shall comply with the State laws and standards regarding a safe place of employment and safe practices, and shall do everything reasonable and necessary to protect the life, safety, and health of the employees.
- (2) Employers involved with construction or related activities shall provide safe and healthful work places and practices that protect the employees and the affected general public as well.

Every employer shall effect safe work places and practices by eliminating, mitigating, or protecting against existing or potential hazards. Elimination by design, process substitution, or other appropriate methods is preferred because it obviates the need for further employee protection. Modification, using such methods as engineering or administrative controls, isolation, and guarding, shall be used to reduce existing hazards. When this mitigation is feasible, it shall be affected expeditiously, with personal protective equipment required until an acceptable reduction of the hazard in the situation or condition is reached. Whenever it is not feasible to eliminate or reduce hazards to acceptable levels or where hazards continue to exist, personal protective equipment shall be provided and used.

Instructions for EMCP Performance Evaluation Form

- ▶ **Save this workbook in your computer or on a disk before you enter information on the forms.**
- ▶ **Print this page for ready reference**
- ▶ **Use the color coding as a guide**
 - ▶ Sections to be completed at the beginning of the rating period are colored ***pink***
 - ▶ Sections to be completed at the end of the rating period are colored ***yellow***
 - ▶ Sections that are completed automatically (by formula or data transfer) are colored ***blue***. You cannot enter data directly in these blue fields.
- ▶ **Use the Forms in the Right Sequence**
Pre-established formulas will do all computations for you, but **you must use the forms in the correct sequence.**
- ▶ **Use the Step Numbers as a Guide**
Step numbers are shown in the green bubbles on the worksheets (they will not show on your final printed forms).
- ▶ **Boxes don't check, can't enter data?**
Press the "enter" key to complete the prior action.

At the Beginning of the Rating Period (Steps 1-13)

Prepare your recommendations

Before completing the performance evaluation, the Rater should review the Ratee's position description, and formulate goals/objectives and performance expectations for the employee. The Rater then decides if the Performance Objectives and Program Accomplishments Component of the performance evaluation will be utilized.

Form A**Step**

- 1 Enter Ratee's name and other identifying information on Form A. If any of the default values are incorrect (e.g., dates), delete the default data and enter the correct data.
- 2 Review the factors in the Overall Management section (description of factors are found on Form C).
- 3 Determine the weight for each factor in the Overall Management component. On Form A, enter the weights in the factor weights column. Total must equal 100. Weights entered here will automatically transfer to Form C.

- 4 The Rater has the option of using or not using the Performance Objectives and Program Accomplishments component. If the Rater decides to use this component, go to Form B1, step 5. If not, skip to step 9.

Form B1, B2, B3

You may have up to 3 objectives. Complete one form for each objective (Form B1, B2 and B3 are the same).

Note: If it will take more than one year to achieve the final result of the objective, consider breaking your plan into phases and describing the phase that can be completed within the rating period as your objective.

- 5 Describe the objective and complete section 2a through 5a in the planned column. If the planned accomplishment reflects an improvement in current operations, baseline information must be included in the description of the objective. Use quantified or observable data in the objective section, if possible.
- 6 Review the *Results Evaluation Guide* in the user's manual. Based on the anticipated skill and effort, determine the appropriate number of points if the objective is attained.
- 7 Check the box in 6a that reflects the appropriate number of points. Explain your rationale.
- 8 Check "Yes" in 7a if the objective is critical and completion is essential. If not, check "No".

Form A

- 9 Determine the weight for the Overall Management component (weight should not be less than 50%). Enter in the component weights column (must be a whole number). If the Performance Objectives and Program Accomplishments component will not be used, the Overall Management component should equal 100. If the Performance Objectives and Program Accomplishments component is used, the weight will automatically calculate (100 minus the weight of the Overall Management component).
- 10 Save the completed workbook for use at the end of the rating period.
- 11 Print all forms for discussion.
- 12 Rater and Ratee discuss contents of the forms. If applicable, be sure to discuss item 7a on Form B1, B2, and B3. Any changes to weights or objectives that are made as a result of the discussion and review process should be entered on the saved workbook.
- 13 The Rater and Ratee sign Form A verifying that the weights and objectives were approved and discussed. A copy of the performance evaluation should be provided to the Ratee.

Form C

Do not enter anything on Form C at the beginning of the rating period. However, you should review each factor. If any of the factors is not applicable to the job, it should not be rated and should not be assigned a factor weight. The Rater and Ratee should discuss which factors are applicable at the beginning of the rating period.

During the Rating Period

Changes may be made to weights or objectives after discussion between the Rater and Ratee.

At the End of the Rating Period (Steps 14-27)

Prepare your recommendations. Use the same workbook you saved at the beginning of the rating period.

Form C

The weights for each factor established at the beginning of the rating period and posted on Form A, should be displayed in the heavy box to the left of the factor name.

Note: If you have problems making check marks or entering points, press "enter" before switching from checking boxes to posting numbers. Also press "enter" when switching from posting numbers to checking boxes (see the instructions in the red boxes on the form).

- 14 Check the boxes that best reflect the usual behavior of the Ratee during the rating period (follow additional instructions on the form). If a set of statements is not applicable to the job or work situation, do not check any boxes in that set of statements.
- 15 Based on the checkmarks, determine the appropriate points for each factor (follow instructions on the form to score check marks in more than one column). Use whole numbers only.
- 16 Enter the recommended points (1, 2, 3, 4 or 5) in the solid box to the right of the factor name. (Points entered on this form will be transferred automatically to Form A. Weighted scores on Form A will also be computed automatically).
- 17 If the Performance Objectives and Program Accomplishments component was used at the beginning of the rating period, go to Form B1, step 18. If not, go to Form A, step 25.

Form B1, B2 and B3

- 18 Complete the information in the accomplished column (section 2b through 5b).
- 19 Review the actual results, including the skill and effort required to achieve the objective, and determine the appropriate points for a completed objective based on the *Results Evaluation Guide* in the user's manual. Check the appropriate box in section 6b. If the points differ from 6a, provide rationale for the change.

- 20 If the objective was only partially completed, adjust the points based on the instructions on *Scoring the Performance Objectives and Program Accomplishments* in the user's manual. Check the appropriate box in section 7b.

- 21 Enter the recommended points in section 8.

After completing Form B1, B2, and B3; go to Form B Summary, step 22.

Form B Summary

- 22 Review the summary data displayed for all objectives. Review any additional instructions issued by your department.
- 23 Enter the recommended final score for the Performance Objectives and Program Accomplishments component in the yellow box at the bottom of the page.
- 24 Return to Form A, step 25.

Form A

- 25** Based on the final score that is automatically calculated on Form A, check the appropriate overall rating box.
- 26** Print all forms for discussion.
- 27** The Rater and Ratee discuss the recommended scores and sign under the completion of performance evaluation section. The appointing authority approves and signs the final evaluation. If the appointing authority changes any recommendations for points, they must be entered on the forms and the forms must be reprinted.

State of Hawaii
EMCP Performance Evaluation
Fiscal Year _____ to _____

Form A

Appendix H

Name _____ Title _____ Pay Grade EM _____ Pos No _____ Dept _____ Division _____ Branch _____	RATING PERIOD From _____ To _____	PURPOSE OF RATING <input type="checkbox"/> Initial Probation <input type="checkbox"/> New Probation <input type="checkbox"/> Annual <input type="checkbox"/> Partial Annual
---	--	--

PERFORMANCE EVALUATION SCORES

Component Weights

% **Overall Management**

Factor Weights	Points from Form C	Weighted Score
<input type="text"/> Strategic Planning/Organizing and Managing Work	<input type="text"/>	<input type="text"/>
<input type="text"/> Leading and Managing Change/Flexibility/Innovation	<input type="text"/>	<input type="text"/>
<input type="text"/> Developing a Successful Team/Managing Human Resources *	<input type="text"/>	<input type="text"/>
<input type="text"/> Budget Formulation and Fiscal Management *	<input type="text"/>	<input type="text"/>
<input type="text"/> Problem Solving/Decision Making/Technical Know How	<input type="text"/>	<input type="text"/>
<input type="text"/> Customer Focus/Client Orientation *	<input type="text"/>	<input type="text"/>
<input type="text"/> Communication	<input type="text"/>	<input type="text"/>
<input type="text"/> Building Partnerships	<input type="text"/>	<input type="text"/>
<input type="text"/> Interpersonal Skills	<input type="text"/>	<input type="text"/>
<input type="text"/> Self Starter	<input type="text"/>	<input type="text"/>

*Recommended weight is at least 15-20%

Sum of factor weights must = 100

Weighted Score Total =

% **Performance Objectives and Program Accomplishments (Optional)**

Points for Objective # 1 (Form B1)

Points for Objective # 2 (Form B2)

Points for Objective # 3 (Form B3)

Final Score for Objectives (from Form B Summary)

% Sum of component weights must = 100

Final Score

PLANNED PRIORITIES AND OBJECTIVES

Weights and Objectives Discussed

Employee's Signature *Date*

Weights and Objectives Approved

Supervisor's (Rater's) Signature *Date*

OVERALL RATING

(at end of rating period)

- ☐ Exceptional (450-500)
☐ Exceeds Expectations (350-449)
☐ Fully Meets Expectations (250-349)
☐ Needs Improvement (150-249)
☐ Unsatisfactory (0-149)

COMPLETION OF PERFORMANCE EVALUATION

Employee's Acknowledgement/Comments:

My performance for the rating period has been discussed with me. I understand that I may attach comments if I do not agree with this rating.

My signature does not necessarily mean agreement

☐ Check here if employee statement of disagreement (Form E) is attached

Supervisor's Certification:

This rating was discussed with the employee on the following date: _____

Supervisor's Signature

Date

Employee's Signature

Date

Appointing Authority's Signature

Date

Form B1 - Performance Objectives and Program Accomplishments

Appendix H

Name: _____

Rating Period _____ to _____

1. Objective (Describe. Include base line information if the objective reflects improved operations for the current program.)		
Planned (Complete at beginning of rating period)		Accomplished (Complete at end of rating period)
2a. Target Completion Date		2b. Date Completed _____ OR Percent Completed _____ %
3a. Costs/Resources Required		3b. Costs/Resources Incurred
4a. Evaluation Criteria		4b. Attainment of Criteria
5a. Constraints (if applicable)		5b. How constraints were addressed (if applicable)
6a. Proposed Points if Result is Attained, and Rationale <input type="checkbox"/> 300 pts <input type="checkbox"/> 400 pts <input type="checkbox"/> 500 pts		6b. Recommended Point Value, if Complete <input type="checkbox"/> 100 <input type="checkbox"/> 200 <input type="checkbox"/> 300 <input type="checkbox"/> 400 <input type="checkbox"/> 500
7a. Rater Assessment. Critical Objective, completion essential <input type="checkbox"/> Yes <input type="checkbox"/> No		7b. Final Categorization/Point Value by Rater <input type="checkbox"/> 100 <input type="checkbox"/> 200 <input type="checkbox"/> 300 <input type="checkbox"/> 400 <input type="checkbox"/> 500
		8. Points <input type="text"/>

Form B2 - Performance Objectives and Program Accomplishments

Appendix H

Name: _____

Rating Period _____ to _____

1. Objective (Describe. Include base line information if the objective reflects improved operations for the current program.)		
Planned (Complete at beginning of rating period)	Accomplished (Complete at end of rating period)	
2a. Target Completion Date	2b. Date Completed _____ OR Percent Completed _____ %	
3a. Costs/Resources Required	3b. Costs/Resources Incurred	
4a. Evaluation Criteria	4b. Attainment of Criteria	
5a. Constraints (if applicable)	5b. How constraints were addressed (if applicable)	
6a. Proposed Points if Result is Attained, and Rationale <input type="checkbox"/> 300 pts <input type="checkbox"/> 400 pts <input type="checkbox"/> 500 pts	6b. Recommended Point Value, if Complete <input type="checkbox"/> 100 <input type="checkbox"/> 200 <input type="checkbox"/> 300 <input type="checkbox"/> 400 <input type="checkbox"/> 500	
7a. Rater Assessment. Critical Objective, completion essential <input type="checkbox"/> Yes <input type="checkbox"/> No	7b. Final Categorization/Point Value by Rater <input type="checkbox"/> 100 <input type="checkbox"/> 200 <input type="checkbox"/> 300 <input type="checkbox"/> 400 <input type="checkbox"/> 500	8. Points <div style="border: 1px solid black; width: 40px; height: 20px; margin: 0 auto;"></div>

Form B3 - Performance Objectives and Program Accomplishments

Appendix H

Name: _____

Rating Period _____ to _____

<p>1. Objective (Describe. Include base line information if the objective reflects improved operations for the current program.)</p>		
<p>Planned (Complete at beginning of rating period)</p>		<p>Accomplished (Complete at end of rating period)</p>
<p>2a. Target Completion Date</p>		<p>2b. Date Completed _____ OR Percent Completed _____ %</p>
<p>3a. Costs/Resources Required</p>		<p>3b. Costs/Resources Incurred</p>
<p>4a. Evaluation Criteria</p>		<p>4b. Attainment of Criteria</p>
<p>5a. Constraints (if applicable)</p>		<p>5b. How constraints were addressed (if applicable)</p>
<p>6a. Proposed Points if Result is Attained, and Rationale</p> <p><input type="checkbox"/> 300 pts <input type="checkbox"/> 400 pts <input type="checkbox"/> 500 pts</p>		<p>6b. Recommended Point Value, if Complete</p> <p><input type="checkbox"/> 100 <input type="checkbox"/> 200 <input type="checkbox"/> 300 <input type="checkbox"/> 400 <input type="checkbox"/> 500</p>
<p>7a. Rater Assessment. Critical Objective, completion essential</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>7b. Final Categorization/Point Value by Rater</p> <p><input type="checkbox"/> 100 <input type="checkbox"/> 200 <input type="checkbox"/> 300 <input type="checkbox"/> 400 <input type="checkbox"/> 500</p>
		<p>8. Points</p> <p><input type="text"/></p>

Form B Summary

Rating Period 1/0/1900 to 1/0/1900

Appendix H

Name: 0

This portion of the form displays the Objectives and Points entered on Forms B1 through B3.

B1 Objective 0	0
B2 Objective 0	0
B3 Objective 0	0

Final Scoring

- There are numerous variables that may be considered in determining the score on the the Performance Objectives and Program Accomplishments component.
- The *Results Evaluation Guide* in the user's manual must be used to determine the difficulty/skill/effort level of the objective.
- The factors to be considered in the final rating must have been be discussed at the beginning of the rating period, including (a) what weight will be accorded to the Performance Objectives and Program Accomplishments component; (b) how the results will be evaluated; and (c) the significance of attaining or failing to attain each of the specified results.

The final score must be 100, 200, 300, 400 or 500, consistent with the rating bands.

The following example may be used as a guide to scoring the Performance Objectives and Program Accomplishments component.

Possible Final Score		
Exceptional	At least one 500 point objective* completed. Completion or satisfactory progress on all other <u>critical</u> objectives.	500
Exceeds Expectations	At least one 400 point objective* completed. Completion or satisfactory progress on all other <u>critical</u> objectives.	400
Fully Meets	One or more 300 point objectives* completed. Completion or satisfactory progress on all other critical objectives.	300
Improvement Needed	<u>Critical</u> results do not meet expectations (e.g., fall off in quantity/quality of essential services, insufficient progress on projects).	200
Unsatisfactory	Objectives not attained; inadequate progress made.	100

* Based on the *Results Evaluation Guide* in the user's manual.

Final Score (not to exceed 500)

Name:

Before proceeding, review the instructions below for checking and scoring Form C

How to check the boxes

- * Check the statements that best reflect the usual behavior of the employee.
- * Statements in the 5 point column should only be checked if the employee consistently evidences all of the applicable behaviors.
- * If the employee's behavior is 'better than' one of the statements but not 'as good as' the statement to the right, check the box in between (i.e., "2" or "4").
- * If a set of statements is not applicable to the employee's work situation do not check any boxes.

Score the checked statements as follows:**Points**

- 1 The majority of the checked behaviors are in the left column; few or no behaviors in other columns are checked.
- 2 The majority of the checks are in the "2" point column (i.e., behaviors are 'better than' the descriptors in the "1" point column but do not match the descriptors in the "3" point column) or the checked behaviors are distributed between "1" and "3."
- 3 The majority of the checked behaviors are in the center column ("3" points).
- 4 The majority of the checks are in the "4" column (i.e., behaviors are better than the descriptors in the "3" point column but do not consistently match the descriptors in the "5" column) or the behaviors are evenly distributed between the "3" and "5" columns.
- 5 All of the relevant behaviors in the right column are checked.

Weight**Points**
(1,2,3,4,5)

Strategic Planning and Organizing and Managing Work				
1 point	2	3 points	4	5 points
<input type="checkbox"/> Departmental mission and goals inadequately addressed in program plans and operations. <input type="checkbox"/> Ineffective in planning regular activities.	<input type="checkbox"/>	<input type="checkbox"/> Sets goals and schedules based on departmental mission and goals and relevant facts. <input type="checkbox"/> Develops realistic short- and long- range plans that are effective in meeting goals.	<input type="checkbox"/>	<input type="checkbox"/> Sets goals and schedules based on departmental mission and goals and relevant facts and Identifies additional contributions organizational unit can make toward departmental mission and goals. <input type="checkbox"/> Develops realistic short- and long- range plans that are effective in meeting goals and Has defined future mission and goals for the program.
<input type="checkbox"/> Ineffective in organizing and directing regular activities.	<input type="checkbox"/>	<input type="checkbox"/> Establishes courses of action for unit to ensure that work is completed efficiently, monitors operations, and makes adjustments as new developments arise.	<input type="checkbox"/>	<input type="checkbox"/> Establishes courses of action for unit to ensure that work is completed efficiently, monitors operations, and makes adjustments as new developments arise and anticipates emerging needs and acts accordingly.

Weight**Points**

Leading and Managing Change/Flexibility Adaptability/Creative Thinking/Innovation				
1 point	2	3 points	4	5 points
<input type="checkbox"/> Usually relies on past practices, methods, approaches. <input type="checkbox"/> Does not adapt behavior to current situational needs. Resists change and defends and relies on status quo.	<input type="checkbox"/>	<input type="checkbox"/> Develops new ways to deal with work problems and opportunities. <input type="checkbox"/> Adapts to changing conditions within the organization and maintains effectiveness of operations.	<input type="checkbox"/>	<input type="checkbox"/> Develops different and novel ways to deal with work problems and opportunities. <input type="checkbox"/> Adapts to changing conditions within the organization and identifies opportunities and achieves/ facilitates a high level of performance within a newly changed situation or environment and makes changes to improve effectiveness of operations.
<input type="checkbox"/> Communicates change in a negative manner.	<input type="checkbox"/>	<input type="checkbox"/> Promotes acceptance and implementation of change. <input type="checkbox"/> Encourages others to address problems and opportunities.	<input type="checkbox"/>	<input type="checkbox"/> Promotes acceptance and implementation of change and fosters a culture/work environment of open and ongoing receptivity to change and constant improvement. <input type="checkbox"/> Encourages others to address problems and opportunities and to seek innovative approaches to addressing problems and opportunities.
<input type="checkbox"/> Flounders in ambiguous situations.	<input type="checkbox"/>	<input type="checkbox"/> Works well in ambiguous situations.	<input type="checkbox"/>	<input type="checkbox"/> Works well in ambiguous situations and Anticipates new situations and work requirements.

Weight**Points**

Developing a Successful Team and Managing Human Resources				
1 point	2	3 points	4	5 points
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/> Staff members do not understand vision, objectives and their collective responsibilities.	<input type="checkbox"/> <input type="checkbox"/> Assures that staff members understand vision, objectives and their collective responsibilities.	<input type="checkbox"/> <input type="checkbox"/> Assures that staff members understand vision, objectives and their collective responsibilities and promotes positive response.
<input type="checkbox"/> Work assignments reflect a mechanistic or traditional approach.	<input type="checkbox"/> <input type="checkbox"/> Work assignments reflect appropriate utilization of employee skills.	<input type="checkbox"/> <input type="checkbox"/> Seeks ways to enable employees to utilize unique skills, interests, attain optimal success within assigned functions and understand higher level job requirements. <input type="checkbox"/> <input type="checkbox"/> Creates and assigns work assignments roles that balance expertise with opportunities for professional development among staff members.
<input type="checkbox"/> Inadequate employee development.	<input type="checkbox"/> <input type="checkbox"/> Provides for necessary staff development to enable staff to attain success within their assigned functions.	<input type="checkbox"/> <input type="checkbox"/> Provides for necessary staff development to enable staff to attain success within their assigned functions and develops staff capabilities for current functions and professional growth.
<input type="checkbox"/> Inadequate or inappropriate delegation: insufficient or excessive oversight. Fails to provide sufficient practical direction or micromanages.	<input type="checkbox"/> <input type="checkbox"/> Delegates effectively.	<input type="checkbox"/> <input type="checkbox"/> Delegates effectively including maximizing contribution of employees to the organization and minimizing time needed to process the work of the organization.
<input type="checkbox"/> Does not involve employees in decisions.	<input type="checkbox"/> <input type="checkbox"/> Seeks employee input and/or participation in decision-making. Encourages collaboration among team members.	<input type="checkbox"/> <input type="checkbox"/> Seeks employee input and/or participation in decision-making and encourages collaboration among team members.
<input type="checkbox"/> Provides little positive leadership.	<input type="checkbox"/> <input type="checkbox"/> Leads by example.	<input type="checkbox"/> <input type="checkbox"/> Leads by example and motivates a high level of performance; energizes team.
<input type="checkbox"/> Evaluations of subordinates tend to be overly lenient or harsh; do not distinguish genuine differences in levels of performance. <input type="checkbox"/> Less than 100% completion of PAS for subordinates directly supervised; less than 80% completion for subordinates of subordinate supervisors. (See <i>Special Provisions on Rating Subordinate Employees</i> in the user's manual.)	<input type="checkbox"/> <input type="checkbox"/> Evaluates subordinates appropriately and follows up appropriately. <input type="checkbox"/> <input type="checkbox"/> 100% completion of PAS for subordinates directly supervised; 80% completion for subordinates of subordinate supervisors. (See <i>Special Provisions on Rating Subordinate Employees</i> in the user's manual.)	<input type="checkbox"/> <input type="checkbox"/> Evaluates subordinates appropriately and follows up appropriately despite difficult situations. <input type="checkbox"/> <input type="checkbox"/> 100% completion of PAS for all subordinates. (See <i>Special Provisions on Rating Subordinate Employees</i> in the user's manual.)
<input type="checkbox"/> Actions do not always follow requirements of collective bargaining contract provisions, State guidelines and EEO policies/requirements.	<input type="checkbox"/> <input type="checkbox"/> Complies with collective bargaining contract provisions, State guidelines and EEO policies/requirements in selection, promotion and other actions affecting personnel.	N/A
<input type="checkbox"/> Insufficient attention to safety in the workplace, accidents and injuries.	<input type="checkbox"/> <input type="checkbox"/> Maintains a safe work environment; monitors environment, accidents and injuries and takes corrective action to prevent or minimize future injuries and accidents.	<input type="checkbox"/> <input type="checkbox"/> Maintains a safe work environment; monitors environment, accidents and injuries and takes corrective action and acts proactively to minimize or eliminate potential problems; and institutes preventive measures such as training, safety awareness reminders, etc.
<input type="checkbox"/> Insufficient attention to returning injured workers to duty	<input type="checkbox"/> <input type="checkbox"/> Takes actions necessary to return injured workers to light duty on a timely basis.	<input type="checkbox"/> <input type="checkbox"/> Actively participates in department-wide efforts to return injured workers to light duty.

Weight

0

Points

Appendix H

Budget Formulation and Fiscal Management

1 point	2	3 points	4	5 points
<input type="checkbox"/> Budget estimates are inflated or inadequate or do not conform to requirements.	<input type="checkbox"/>	<input type="checkbox"/> Budget estimates are realistic and conform to requirements.		N/A
<input type="checkbox"/> Does not track or stay within budget.	<input type="checkbox"/>	<input type="checkbox"/> Expenditures are prudent, within budgeted amounts, and conform to requirements.	<input type="checkbox"/>	Expenditures are prudent, within budgeted amounts, and conform to requirements and Maximizes output/services within available resources.
<input type="checkbox"/> Fails to consider cost/benefit adequately in expenditures.	<input type="checkbox"/>	<input type="checkbox"/> Considers cost/benefit appropriately in expenditures.	<input type="checkbox"/>	<input type="checkbox"/> Considers cost/benefit appropriately in expenditures and seeks and Realizes innovative efficiencies, cost containment.
<input type="checkbox"/> Does not actively see efficiencies and cost containment.	<input type="checkbox"/>	<input type="checkbox"/> Efficiencies and cost containment sought.	<input type="checkbox"/>	<input type="checkbox"/> Maximizes resources and minimizes costs in achieving objectives.
<input type="checkbox"/> Does not pursue opportunities for revenue enhancement	<input type="checkbox"/>	<input type="checkbox"/> Capitalizes on sources of revenue	<input type="checkbox"/>	<input type="checkbox"/> Initiates revenue enhancement, e.g., entrepreneurial activities.

Weight

0

Points

Problem Solving, Decision Making and Technical Know How

1 point	2	3 points	4	5 points
<input type="checkbox"/> Sometimes makes poor decisions because of failure to gather facts, obtain input from others, consider past/similar experiences, or think through the outcome.	<input type="checkbox"/>	<input type="checkbox"/> Decisions are sound, logical, realistic, effective and consistent with policies.	<input type="checkbox"/>	<input type="checkbox"/> Decisions are sound, logical, realistic, effective and consistent with policies and consistently demonstrates a pattern of quality decisions that reflect objective criteria and organizational needs.
<input type="checkbox"/> Neglects or delays making needed decisions or fails to make decisions on a timely basis.	<input type="checkbox"/>	<input type="checkbox"/> Obtains relevant information from varied sources and individuals.	<input type="checkbox"/>	<input type="checkbox"/> Obtains relevant information from varied sources and individuals and Actively involves others.
<input type="checkbox"/> Decisions sometimes ignore professional principles.	<input type="checkbox"/>	<input type="checkbox"/> Makes decisions on a timely basis.	<input type="checkbox"/>	<input type="checkbox"/> Makes decisions on a timely basis and Foresees/anticipates the need to address new issues and acts accordingly.
<input type="checkbox"/> Does not take reasonable risks and/ or decisions fail to take risk factors into account.	<input type="checkbox"/>	<input type="checkbox"/> Decisions reflect appropriate knowledge of the subject area.	<input type="checkbox"/>	<input type="checkbox"/> Decisions reflect mastery of the subject area.
	<input type="checkbox"/>	<input type="checkbox"/> Exhibits prudent risk taking.	<input type="checkbox"/>	<input type="checkbox"/> Exhibits prudent risk taking and takes initiative to minimize risk and maximize success.

Weight

0

Points

Customer Focus/Client Orientation

1 point	2	3 points	4	5 points
<input type="checkbox"/> Customers are not provided timely and/or quality service.	<input type="checkbox"/>	<input type="checkbox"/> Provides timely, quality services to customers.	<input type="checkbox"/>	<input type="checkbox"/> Provides exceptional services to customers
<input type="checkbox"/> Must be reminded about customer service	<input type="checkbox"/>	<input type="checkbox"/> Establishes positive relationships with customers.	<input type="checkbox"/>	<input type="checkbox"/> Establishes positive relationships with customers and Actively seeks feedback from customers and Acts on information to improve service.
<input type="checkbox"/> Does seek/use customer input or avoids service to customer groups.	<input type="checkbox"/>	<input type="checkbox"/> Uses customer feedback when changing operations	<input type="checkbox"/>	
<input type="checkbox"/> Does not initiate changes to meet customer needs.	<input type="checkbox"/>	<input type="checkbox"/> Considers customer needs in planning/changing operations	<input type="checkbox"/>	<input type="checkbox"/> Anticipates customer needs and acts to meet those needs and Eliminates organizational barriers that interfere with providing outstanding customer service.

Weight

Points

0	Communication				
	1 point	2	3 points	4	5 points
	<input type="checkbox"/> Causes problems by ineffective communications.	<input type="checkbox"/>	<input type="checkbox"/> Provides clear and effective oral and written communications.	<input type="checkbox"/>	<input type="checkbox"/> Provides clear and effective oral and written communications and Listens effectively and Clearly conveys information to individuals and groups in a manner that engages the audience, helps them understand and retain the message, and permits response and feedback.
	<input type="checkbox"/> Causes problems by failing to communicate when necessary.	<input type="checkbox"/>	<input type="checkbox"/> Listens effectively.	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/> Keeps affected parties informed.	<input type="checkbox"/>	<input type="checkbox"/> Keeps affected parties informed and proactively communicates additional information, etc., to positively affect the situation.

Weight

Points

0	Building Partnerships				
	1 point	2	3 points	4	5 points
	<input type="checkbox"/> Does not initiate or respond to opportunities to develop outside relationships.	<input type="checkbox"/>	<input type="checkbox"/> Develops and maintains effective working relationships with others in the department, legislature, media and customers.	<input type="checkbox"/>	<input type="checkbox"/> Develops and maintains effective working relationships with others in the department, Legislature, media and customers and Identifies opportunities and takes action to build strategic relationships with other areas, teams, etc., to help achieve business goals and Participates in mutually beneficial partnerships and Identifies and implements partnership opportunities which deliver successful results to all parties and Develops new and unique partnerships which support the goals of the organization.
	<input type="checkbox"/> Uncooperative with others in working on departmental goals.	<input type="checkbox"/>	<input type="checkbox"/> Participates in mutually beneficial partnerships.	<input type="checkbox"/>	
	<input type="checkbox"/> Does not encourage or support staff in external working relationships.	<input type="checkbox"/>	<input type="checkbox"/> Supports staff in the development of partnerships with others outside the organization.	<input type="checkbox"/>	<input type="checkbox"/> Encourages and supports staff in the development of partnerships with others outside the organization.

Weight

Points

0	Interpersonal Skill				
	1 point	2	3 points	4	5 points
	<input type="checkbox"/> Uncooperative with others in working on departmental goals.	<input type="checkbox"/>	<input type="checkbox"/> Demonstrates trust, understanding and mutual respect.	<input type="checkbox"/>	<input type="checkbox"/> Demonstrates trust, understanding and mutual respect and Demonstrates sensitivity to the feelings and concerns of others and Builds trust and respect in subordinates and Skillful in resolving disputes and Brings conflicts into the open and resolves collaboratively.
	<input type="checkbox"/> Rude and disrespectful.	<input type="checkbox"/>	<input type="checkbox"/> Demonstrates sensitivity to the feelings and concerns of others.	<input type="checkbox"/>	

Weight

Points

0	Self Starter				
	1 point	2	3 points	4	5 points
	<input type="checkbox"/> Coasts, unless prompted or required by circumstances.	<input type="checkbox"/>	<input type="checkbox"/> Self motivated.	<input type="checkbox"/>	<input type="checkbox"/> Displays a high level of effort and commitment.
		<input type="checkbox"/>	<input type="checkbox"/> Sets standards of performance for self.	<input type="checkbox"/>	<input type="checkbox"/> Sets high standards of performance for self.
	<input type="checkbox"/> Complies with/relies on current practices and knowledges.	<input type="checkbox"/>	<input type="checkbox"/> Learns from experience and seeks self improvement.	<input type="checkbox"/>	<input type="checkbox"/> Seeks self improvement and builds on strengths and works on deficiencies.

Form D**Discussion Notes****EMCP Performance Evaluation System**

This sheet should be used to record significant events during the rating period. It should be used for both Overall Management, and Performance Objectives and Program Accomplishment events; and any other significant issue pertinent to performance. All such events should be discussed by the Rater and Ratee. At the conclusion of the discussion, the Ratee and Rater should initial and date the column on the right. Both should be provided a copy of the notes. If the discussion covered a performance deficiency, suggestions for improvement must be provided by the Rater and recorded in the comments column in addition to the description of the event. Any additional comments pertinent to the event or the discussion should be contained in a separate attachment.

Comments (Indicate event and, if applicable, suggestions for improvement)	Initials & Date Ratee and Rater

EMCP Employee Statement of Disagreement

Employee Name

Department

This form should be used only if the employee disagrees with the Overall Rating on the performance evaluation. Other disagreements with the planning portion of the evaluation should be noted on Form D, Discussion Notes. This form should be attached to the performance evaluation documents for the incumbent.

Nature of Disagreement (check boxes that apply)

- ☐ 1. Rating on Results
- ☐ a. Points, as assigned from the Results Evaluation Guide
 - ☐ b. Percent Completed
 - ☐ c. Results(s) mandated for me by Rater were not realistic/appropriate
 - ☐ d. Weight assigned to this component by Rater not appropriate
- ☐ 2. Rating on Overall Management
- ☐ a. Rating on Factor(s) not appropriate (specify which ones)
 - ☐ b. Priorities mandated for me not appropriate
 - ☐ c. Weight assigned to this component by Rater not appropriate
- ☐ 3. Other

Please describe the nature of your disagreement for each box checked. Indicate the number and heading at the beginning of your description of your reasons for disagreement.

Reason(s) for Disagreement