



State of Hawai'i
EMPLOYEE PERFORMANCE APPRAISAL

HRD 526 (Rev. 9/05)

Section #1

Name of Employee _____ Position Title _____

XXX-XX- _____

Social Security No. _____ Position No. _____ Salary Range/Step _____ Bargaining Unit _____

Department _____ Division/Branch _____

Section #2 **PERFORMANCE APPRAISAL CATEGORIES & EXPECTATIONS**
(Complete this section by the beginning of the rating period.)

a. Goals/Projects: List any specific goals/projects, unless noted on other documents, to be accomplished during this rating period.

Supervisor's Signature _____ Date _____

b. Supervisor's discussion with employee: My current job description, job related performance requirements, and the Performance Appraisal System process have been discussed with me. I received a copy of the PAS Summary for Employees.

Employee's Signature _____ Date _____

Section #3 **OVERALL RATING**
(Complete at the end of the appraisal period)

Appraisal: Initial Prob New Prob Annual Partial Annual

Appraisal Period: From: _____ To: _____

Exceeds Expectations
 Meets Expectations
 Does Not Meet Expectations

Section #4 **SIGNATURES UPON COMPLETION OF PERFORMANCE APPRAISAL**

<p>Employee's Acknowledgement/Comments:</p> <p>My performance for the rating period has been discussed with me. I understand that I may rebut this rating by attaching my comments.</p> <p>My signature does not necessarily mean agreement.</p> <p>(Check if comments attached.) <input type="checkbox"/></p>	<p>Supervisor's Certification:</p> <p>This rating was discussed with the employee on the following date:</p> <hr/> <p>Supervisor's Signature _____ Date _____</p> <p>Signature of Reviewing Officer _____ Date _____</p> <p>Signature of Appointing Authority _____ Date _____</p>
<p>Employee's Signature _____ Date _____</p>	

***SUMMARY INSTRUCTIONS FOR COMPLETING THE
EMPLOYEE PERFORMANCE APPRAISAL FORMS, HRD 526, 527, 528, and 529***
(Refer to Performance Appraisal System Supervisory Manual, Revised July 2001, for more detailed information)

Section #1: ● Review preprinted information for errors. Check with your Departmental Personnel Office before changing/adding information.

Section #2: *Phase I - Performance Planning, Communication of Performance Expectations/Requirements, and Goals/Projects*

- List any special goals/projects (related to employee's class of work), unless noted on other documents, to be completed during the rating period. If additional goals/projects are set during the rating period or original goals/projects are changed, discuss them with your employee at the time.
- Additional categories (i.e., "Optional" categories) may be selected if they apply to the employee's position by placing a checkmark (✓) in the appropriate boxes before meeting with the employee. Blue-collar non-supervisory workers should be rated on Performance Categories 1-5 only (i.e., "Fixed" categories), unless you strongly feel some of the "Optional" categories are applicable.
- Meet with the employee at the beginning or shortly after the start of the rating period to discuss how the PAS works. Explain the Performance Categories and your expectations/requirements to the employee. Explain how the employee can get an "Exceeds Expectations" rating.
- Inform the employee that if he/she gets a "Does Not Meet Expectations" rating in even one "Significant Category," noted by asterisk ("*"), the "Overall Rating" will be "Does Not Meet Expectations".
- Ask employee to sign.¹

Sections
#5 & 6:

Phase II - Performance Monitoring and Coaching

- Observe, monitor, and coach the employee throughout the rating period.
- Talk to the employee throughout the rating period about his/her work performance.
- Record on the Supervisor's Discussion Notes Form, HRD 529, (SDN) significant incidents of outstanding and/or substandard work performance. If the notes describe performance problems/deficiencies, be sure to follow the steps in the PAS Supervisory Manual under "Documentation." Discuss these notes with the employee and ask him/her to initial the form.¹ Give the employee a copy of any notes describing performance problems/deficiencies.
- Encourage the employee to talk with you throughout the rating period about any job-related questions or concerns.

Sections
#3, 4, 5:

Phase III - Completion of the Appraisal

- Review the following and other relevant documents, which can help you to objectively rate the employee.
 - * Performance expectations/requirements established in Phase I, Performance Planning.
 - * Performance Categories, especially the Significant Categories of Quality & Quantity & Timeliness.
 - * Supervisor's Discussion Notes (HRD 529).
 - * Conditions beyond the employee's control that may have affected the employee's performance.
- Complete Section #3, "Overall Rating," based on the Final Ratings for the "Significant Categories."
 - * An Overall "Exceeds Expectations" rating must be supported by notes on the SDN.
 - * An Overall "Does Not Meet Expectations" may not be given unless the employee was first given a "Notice to Improve Performance" and given a reasonable period, up to three months, to bring the employee's performance to a satisfactory level.
 - * You may use the "Supervisor's Comments" column to make any general employee performance comments.
- Set up a meeting with your employee to discuss the rating.
 - * Encourage feedback from your employee.
 - * Allow the employee to make written comments or a rebuttal on a separate sheet.
 - * Have the employee sign Section #4.¹
- Begin Phase I again for the next rating period.
- Give the employee a copy of the appraisal forms after the Reviewing Officer and the Appointing Authority sign the form.

¹ In phases I, II, & III if the employee does not wish to sign/initial the form, note: "Employee does not wish to sign/initial." You may ask a witness to date/sign, if necessary. Be careful the witness does not see confidential information.

Appraisal Period:

XXX-XX-

From:

To:

Name of Employee _____

Social Security No. _____

Section #5 PERFORMANCE CATEGORIES FOR SUPERVISORS

FINAL RATING

SUPERVISOR'S COMMENTS

(BLUE COLLAR; WHITE COLLAR; REGISTERED PROFESSIONAL NURSE; INSTITUTIONAL, HEALTH & CORRECTIONAL WORKER; FIREFIGHTER; PROFESSIONAL & SCIENTIFIC)

Significant Categories are noted by "*"

Expectations		
Exceeds	Meets	Does Not Meet

At the end of the rating period, use this column to make any general comments on the employee's performance.

***QUALITY OF WORK UNIT OUTPUT**
 Usually: work unit completes assigned work in accordance with work expectations. For example, work unit output is usually accurate, neat, and/or complete.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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***QUANTITY & TIMELINESS OF WORK UNIT OUTPUT**
 Usually: work unit produces amount of work expected; completes work on schedule.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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THE CATEGORIES BELOW MAY AFFECT THE RATINGS FOR QUALITY, QUANTITY & TIMELINESS

SUPERVISION
 Usually: monitors work unit progress, provides adequate direction, training, and coaching to staff; takes/recommends the appropriate corrective and/or disciplinary action when needed; provides needed help and/or training for employees with performance problems; encourages career growth for staff members; and/or provides equal opportunity/treatment in all aspects of supervision.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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APPRAISING SUBORDINATES
 Usually: follows performance appraisal policies, guidelines, and procedures; communicates performance expectations at the beginning of the rating period; oversees and monitors employee performance; and/or rates subordinates (or recommends ratings) objectively, on time, and on work expectations.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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PLANNING, ORGANIZING, SETTING PRIORITIES
 Usually: prioritizes assignments satisfactorily to minimize crisis situations; shows foresight to prevent potential problems and works in contingencies when making short- and/or long-range plans; proposes and reviews benchmarks to monitor work progress and makes work plan adjustments as needed; and/or follows up on assignments.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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RELIABILITY & INITIATIVE
 Usually: accepts responsibility; is flexible and, when requested, adjusts to varying job situations; and/or initiates work independently, as required for the job.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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PERFORMANCE CATEGORIES FOR <u>SUPERVISORS</u>	Exceeds	Meets	Does Not Meet	SUPERVISOR'S COMMENTS
7 RELATIONSHIPS WITH OTHERS Usually: works well with supervisor, team members, and/or others on assignments; accepts suggestions for improvement; is cordial when serving the public; and/or provides information, help, and/or coverage to others when needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8 SAFETY & USE OF EQUIPMENT Instructs and monitors subordinates to follow safety rules and regulations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
CHECK ADDITIONAL CATEGORIES BELOW IF APPLY TO EMPLOYEE				
<input type="checkbox"/> 9 FINANCIAL/BUDGET Usually: prepares budget/financial plans according to rules/policies/deadlines; tracks and adheres to budget; makes sound decisions that consider cost/benefit; shows innovation in reducing expenses; and/or maximizes resources and minimizes costs in achieving objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> 10 MISSION COMMITMENT Usually: displays understanding of mission and goals of the department and/or work unit; and/or positively reinforces, supports, and pursues the attainment of established goals.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> 11 COMMUNICATION Usually: demonstrates oral and/or writing skills required for the job; and/or demonstrates open communication by sharing information and encouraging subordinate participation/feedback.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> 12 JOB KNOWLEDGE Usually: demonstrates knowledge of theoretical, practical, and/or routine aspects of present job in accordance with work expectations; works with minimal direction; applies the correct instructions, guidelines, policies, procedures, and rules to assigned work; remains up-to-date on current trends in the profession; offers ideas, concepts, techniques, and/or creative solutions; and/or seeks new approaches to simplify and/or improve procedures, techniques, and processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> 13 PROBLEM SOLVING & DECISION MAKING Usually: identifies and clearly defines problems as they occur; accumulates and analyzes relevant information; uses discretion/judgement to select workable solutions to problems; presents alternative solutions when making recommendations; and/or gets opinions of others, when needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> 14 OTHER (Add, if needed)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

