



**State of Hawai'i**  
**EMPLOYEE PERFORMANCE APPRAISAL**

HRD 526 (Rev. 9/05)

*Section #1*

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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.

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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.

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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.<sup>1</sup>

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.<sup>1</sup> 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.<sup>1</sup>
- 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.

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<sup>1</sup> 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  | <b>PERFORMANCE CATEGORIES<br/>FOR WORKERS AND<br/>WORKING SUPERVISORS</b><br><br>(BLUE COLLAR; WHITE COLLAR; REGISTERED<br>PROFESSIONAL NURSE; INSTITUTIONAL, HEALTH &<br>CORRECTIONAL WORKER; FIREFIGHTER;<br>PROFESSIONAL & SCIENTIFIC)<br><br>Significant Categories are noted by "*"   | FINAL RATING             |                          |                          | <b>SUPERVISOR'S COMMENTS</b><br><br>At the end of the rating period, use this column to make any general comments on the employee's performance. |
|---|--|--------------------------|--------------------------|--------------------------|--|
|   |  | Expectations             |                          |                          |  |
|   |  | Exceeds                  | Meets                    | Does Not Meet            |  |
| 1   | <b>*QUALITY OF WORK</b><br><u>Worker</u><br>Usually: completes assigned work in accordance with work expectations. For example, work is usually accurate, neat, and/or complete.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
|   | <b>*QUALITY OF WORK UNIT OUTPUT</b><br><u>Working Supervisor</u><br>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"/> |  |
| 2   | <b>*QUANTITY &amp; TIMELINESS OF WORK</b><br><u>Worker</u><br>Usually: produces amount of work in accordance with work expectations; completes work on schedule.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
|   | <b>*QUANTITY &amp; TIMELINESS OF WORK UNIT OUTPUT</b><br><u>Working Supervisor</u><br>Usually: work unit produces amount of work expected; completes work on schedule.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>THE CATEGORIES BELOW MAY AFFECT THE RATINGS FOR QUALITY, QUANTITY &amp; TIMELINESS</b> |  |                          |                          |                          |  |
| 3   | <b>RELIABILITY &amp; INITIATIVE</b><br>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"/> |  |
| 4   | <b>RELATIONSHIPS WITH OTHERS</b><br>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"/> |  |
| 5   | <b>SAFETY &amp; USE OF EQUIPMENT</b><br><u>Worker</u><br>Demonstrates possession and application of the knowledge of safety practices, rules, and procedures of the profession; uses and operates equipment in a safe manner; and maintains tools, equipment and other apparatus, including office related equipment, in a safe and acceptable manner. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
|   | <u>Working Supervisor</u><br>Instructs and monitors subordinates to follow safety rules and regulations.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |

**PERFORMANCE CATEGORIES  
FOR WORKERS AND  
WORKING SUPERVISORS**

Exceeds

Meets

Does Not  
Meet

**SUPERVISOR'S COMMENTS**

**CHECK ADDITIONAL CATEGORIES BELOW IF APPLY TO EMPLOYEE**

|  |                          |                          |                          |  |
|--|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> <b>COMMUNICATION</b><br><u>Worker</u><br>Usually: demonstrates oral and/or writing skills as required for the job.  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>6</b><br><u>Working Supervisor</u><br>Usually: demonstrates oral and/or writing skills as 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"/> <b>JOB KNOWLEDGE</b><br>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"/> |  |
| <b>7</b><br><input type="checkbox"/> <b>PROBLEM SOLVING &amp; DECISION MAKING</b><br>Usually: identifies and clearly defines problems as they arise; 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"/> <b>PLANNING, ORGANIZATION, SETTING PRIORITIES</b><br>Usually: prioritizes assignments satisfactorily to minimize crisis situations; shows foresight to prevent potential problems and works in contingencies when making short- and/or long-term 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"/> |  |
| <input type="checkbox"/> <b>OTHER</b> (Add, if needed)   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |

**ALSO COMPLETE CATEGORIES BELOW FOR WORKING SUPERVISOR**

|   |                          |                          |                          |  |
|---|--------------------------|--------------------------|--------------------------|--|
| <b>11</b><br><b>SUPERVISION</b><br>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"/> |  |
| <b>12</b><br><b>APPRAISING SUBORDINATES</b><br>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"/> |  |



