



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

HRD 526A (5/17)

**SECTION #1 IDENTIFYING INFORMATION & PERFORMANCE APPRAISAL REVIEW PERIOD**

Name Employee ID Position Title Position Number Department Division Branch Bargaining Unit	<b>RATING PERIOD</b>  From: _____  To: _____	<b>PURPOSE OF RATING</b> <input type="checkbox"/> Annual <input type="checkbox"/> Partial Annual  <input type="checkbox"/> Workers/Working Supervisors <input type="checkbox"/> Full Supervisor
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**SECTION #2 PERFORMANCE PLANNING, COMMUNICATION OF PERFORMANCE EXPECTATIONS/REQUIREMENTS, AND GOALS/PROJECTS** (Complete at the beginning of appraisal period)

Supervisor's discussion with employee: My current job description, job related performance requirements, goals/projects (noted on other document), if any, and the Performance Appraisal System (PAS) process have been discussed with me. I received a copy of the PAS Guidelines for Employees.

_____ Employee's Signature	_____ Date	_____ Supervisor's Signature	_____ Date
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**SECTION #3 COMPLETION OF THE APPRAISAL AND OVERALL RATING**  
(Complete at the end of the appraisal period)

The following performance categories were used to rate **Workers**, **Working Supervisors**, and **Full Supervisors** during the performance appraisal review period:

<u><b>Workers</b></u>	<u><b>Working Supervisors</b></u>	<u><b>Full Supervisors</b></u>
Quality of Work	Quality of Work Unit Output	Quality of Work Unit Output
Quantity & Timeliness of Work	Quantity & Timeliness of Work Unit Output	Quantity & Timeliness of Work Unit Output
Reliability & Initiative	Reliability & Initiative	Supervision
Relationships with Others	Relationships with Others	Appraising Subordinates
Safety & Use of Equipment	Safety & Use of Equipment	Planning, Organizing, Setting Priorities
Communication	Supervision	Reliability & Initiative
Job Knowledge	Appraising Subordinates	Relationship with Others
Problem Solving & Decision Making	Communication	Safety & Use of Equipment
Planning, Organization, Setting Priorities	Job Knowledge	Financial/Budget
	Problem Solving & Decision Making	Mission Commitment
	Planning, Organization, Setting Priorities	Communication
		Job Knowledge
		Problem Solving & Decision Making

**Meets Expectations**       **Does Not Meet Expectation**

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

Employee's Acknowledgement/ Comments:  My performance for the rating period has been discussed with me. I understand that I may rebut this rating by attaching my comments.  My signature does not necessarily mean agreement. <b>(Check if comments attached.)</b> <input type="checkbox"/>	Supervisor's Certification:  This rating was discussed with the employee on the following date: _____  <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; text-align: center;">_____ Supervisor's Signature</td> <td style="width: 50%; text-align: center;">_____ Date</td> </tr> <tr> <td style="text-align: center;">_____ Signature of Reviewing Officer</td> <td style="text-align: center;">_____ Date</td> </tr> <tr> <td style="text-align: center;">_____ Signature of Appointing Authority</td> <td style="text-align: center;">_____ Date</td> </tr> </table>	_____ Supervisor's Signature	_____ Date	_____ Signature of Reviewing Officer	_____ Date	_____ Signature of Appointing Authority	_____ Date
_____ Supervisor's Signature	_____ Date						
_____ Signature of Reviewing Officer	_____ Date						
_____ Signature of Appointing Authority	_____ Date						
_____ Employee's Signature	_____ Date						

## **SUMMARY INSTRUCTIONS FOR COMPLETING THE EMPLOYEE PERFORMANCE APPRAISAL FORM, HRD 526A**

(Refer to the Comprehensive Performance Appraisal System Supervisory Manual revised July 1, 2017 and Addendum dated July 1, 2017, for more detailed information)

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

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

- Review all the performance categories which will be used to determine if the employee is performing satisfactorily. Unlike the current PAS process, the Employee Performance Appraisal Form (HRD 526A), does not differentiate between “significant,” “fixed,” and “optional” categories, but uses all performance categories to determine if the employee is performing satisfactorily.
- 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.
- Meet with the employee at the beginning or shortly after the start of the rating period to discuss the new Employee Performance Appraisal Form (HRD 526A) by providing and reviewing the “Performance Appraisal System Guidelines for Employees.”
- Explain that the current PAS Forms (HRD 526, 527, and 528) will not be used unless the employee’s work is substandard or the employee moves to a new position which requires a new probation period.
- At the end of the meeting, ask the employee to sign Section #2 of the Employee Performance Appraisal Form (HRD 526A). If the employee does not wish to sign, note “Employee does not wish to sign” above the Employee’s Signature line. If you feel it is necessary, you may ask a witness to sign and date the form verifying that the employee did not wish to sign. Be careful that the witness does not see confidential information.
- Give the employee a copy of the appraisal form, if requested.

Sections #3 & 4: Phase II – Performance Monitoring and Coaching & Phase III - Completion of the Appraisal and Overall Rating

- Prior to the appraisal conference with your employee in determining if the employee’s overall rating is either “Meets Expectation” or “Does Not Meet Expectation,” you should:
  - ❖ Use the Performance Monitoring and Coaching in Phase II to determine the overall rating in Section #3 of the Employee Performance Appraisal Form (HRD 526A).
    - Review notes made on the Supervisor’s Discussion Notes Form (HRD 529).
    - Review any other samples of your employee’s work performance during the rating period.
  - ❖ Review performance categories.
  - ❖ Determine the employee’s overall rating.
    - An Overall “Meets Expectations” is determined if expectations are being met.
    - An Overall “Does Not Meet Expectations” may not be given unless the employee was first given a “Notice to Improve Performance” signed by your departmental Appointing Authority. Please contact your Human Resources Office for guidance (Refer to pages 25 and 26, Substandard Performance, PAS Supervisory Manual, for details).
- Schedule a meeting with your employee to discuss the rating.
  - ❖ At the end of the meeting, ask the employee to sign Section #4 of the Employee Performance Appraisal Form (HRD 526A). Encourage feedback from your employee. If the employee does not wish to sign, note “Employee does not wish to sign” above the Employee’s Signature line. If you feel it is necessary, you may ask a witness to sign and date the form verifying that the employee did not wish to sign. Be careful that the witness does not see confidential information.
  - ❖ Allow the employee to make written comments or a rebuttal on a separate sheet to be attached to the finished appraisal.
  - ❖ The employee shall be given a copy of the Employee Performance Appraisal Form (HRD 526A) after the Reviewing Officer and the Appointing Authority sign the form.
- Begin Phase I again for the next rating period.

# EMPLOYEE PERFORMANCE APPRAISAL SUPERVISOR'S DISCUSSION NOTES

HRD 529 (Rev. 7/17)

Section #6

Appraisal Period:

From: \_\_\_\_\_ To: \_\_\_\_\_

\_\_\_\_\_  
Name of Employee

\_\_\_\_\_  
Employee ID

- I**  
**N**  
**S**  
**T**  
**R**  
**U**  
**C**  
**T**  
**I**  
**O**  
**N**  
**S**
1. Use this sheet to keep a record of employee performance throughout the rating period, especially incidents of **outstanding** and/or **substandard** work performance.
  2. Indicate the Performance Category in the first column (e.g., Quality of Work Unit Output)
  3. *Be sure to have timely discussions with your employee for all notes made. If a notation describes **substandard performance/deficiencies**, you must also:*
    - A. Give the employee suggestions on how to improve performance. If suggestions are given **orally**, you must also include the following phrase in the notation: "I discussed with you suggestions for improvement." (Do not add to or modify this statement.) If suggestions are given in **writing**, you must note the specific suggestions either on this form or on a separate sheet of paper that must be attached to this form, and
    - B. Include in the notation efforts made to retrain your employee, and
    - C. Be sure to advise your employee that he/she may rebut your notation by attaching a separate sheet of paper describing the rebuttal, and
    - D. Give the employee a copy of this form each time a notation describing substandard performance is made.
  4. Ask your employee to initial next to your notes to confirm your discussion with him/her.
  5. At the end of the rating period, review your notes to help you to determine the Final Rating for each Performance Category and/or the Overall rating.
  6. Attach this form to the other appraisal forms at the end of the rating period only if there are performance notes.

Indicate  
Performance  
Category

Discussion  
Date

Notes

Notes were discussed with me.  
I was given the opportunity to  
rebut substandard performance  
notes. Employee  
Initials & Date






# ANNUAL EMPLOYEE PERFORMANCE APPRAISAL SYSTEM GUIDELINES FOR EMPLOYEES (HRD Form 526A)

## PERFORMANCE APPRAISAL SYSTEM

This Guideline of the State's addendum to the existing Performance Appraisal System (PAS) has been prepared to help you understand:

- ★ Who is covered by this program?
- ★ How the program works?
- ★ What you can expect from this program?

## WHO IS COVERED BY THIS PROGRAM?

You are covered by this program if:

- You are a full- or part-time employee, and
- You are in a bargaining unit or an excluded counterpart of a bargaining unit, and
- You are serving in a permanent appointment.

## HOW THE PROGRAM WORKS?

**FORMS** - The PAS has two (2) appraisal forms:

- ☞ Form HRD 526A, **Annual Employee Performance Appraisal**.
- ☞ Form HRD 529, **Supervisor's Discussion Notes**, provides a means for the supervisor to record significant work performance notes throughout the rating period.

**PERFORMANCE CATEGORIES** - Employees are evaluated on Performance Categories. **Workers, Working Supervisors, and Full Supervisors** each have their own set of Performance Categories:

<u>Workers</u>	<u>Working Supervisors</u>	<u>Full Supervisors</u>
Quality of Work	Quality of Work Unit Output	Quality of Work Unit Output
Quantity & Timeliness of Work	Quantity & Timeliness of Work Unit Output	Quantity & Timeliness of Work Unit Output
Reliability & Initiative	Reliability & Initiative	Reliability & Initiative
Relationships with Others	Relationships with Others	Relationship with Others
Safety & Use of Equipment	Safety & Use of Equipment	Safety & Use of Equipment
Communication	Supervision	Supervision
Job Knowledge	Appraising Subordinates	Appraising Subordinates
Problem Solving & Decision Making	Communication	Communication
Planning, Organization, Setting Priorities	Job Knowledge	Job Knowledge
	Problem Solving & Decision Making	Problem Solving & Decision Making
	Planning, Organization, Setting Priorities	Planning, Organizing, Setting Priorities
		Financial/Budget
		Mission Commitment

**OVERALL RATING LEVELS** - There are only two (2) **Overall Rating** levels – “Meets Expectations,” and “Does Not Meet Expectations.”

- **Meets Expectations** - To get an overall rating of “Meets Expectations,” an employee shall have met expectations in all performance categories.
- **Does Not Meet Expectations (DNME)** - Before the overall rating of “Does Not Meet Expectations” is issued, an employee shall be given a Notice to Improve Performance and a period of up to three months (with a possibility of extension) to improve their substandard performance. Overall ratings of DNME could result in involuntary transfer or discharge from your position.

## **WHAT CAN I EXPECT FROM THIS PROGRAM?**

The Performance Appraisal System operates in three (3) phases:

**Phase I, Performance Planning, Communication of Performance Expectations/Requirements, and Goals/Projects** – Your supervisor will meet with you by, or shortly after the start of your performance rating period to discuss with you on how the program works, your job duties, how the Performance Categories relate to your job, and performance expectations/requirements for the upcoming rating period. If you are not sure on what your supervisor expects of you, this is the time to ask your supervisor questions and get clarification.

**Phase II, Performance Monitoring and Coaching** – Your supervisor will observe your work, talk with you about it, and record significant work performance (on HRD 529, Supervisor's Discussion Notes Form [SDN]), if necessary, throughout the rating period. Notes recorded on the SDN will be shown and discussed with you; you may attach a rebuttal statement. If there are any notes that describe performance problems/deficiencies, a copy of these notes will be provided to you. If you and/or your union representative would like to review your supervisor's PAS documents, you may do so by making an appointment.

**Phase III, Completion of the Appraisal** – This Phase is completed at the end of your rating period. At that time, your supervisor will meet with you to go over your performance and overall rating for the rating period and will discuss expectations/requirements for the upcoming rating period.

## **QUESTIONS?**

**If you need more information or would like to review a copy of the PAS Supervisory Manual and/or addendum, please check with your supervisor or contact your Human Resources Officer.**

This brochure was intended only as a brief summary to give you highlights of the revised employee Performance Appraisal System. In all cases where a question may arise, Chapter 76, HRS, Personnel Rules and Policies, Comprehensive Performance Appraisal System Supervisory Manual (revised July 1, 2017) and PAS addendum will govern.

**State of Hawaii, Department of Human Resources Development**