



State of Hawai'i
EMPLOYEE PERFORMANCE APPRAISAL

HRD 526 (Rev. 7/17)

Section #1

Name of Employee _____		Position Title _____	
Employee ID _____	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:

Appraisal Period:

Initial Prob
 New Prob
 Annual
 Partial Annual

From: _____ To: _____

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> <p>_____</p>						
<p>Employee's Signature _____ Date _____</p>	<table style="width:100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Supervisor's Signature _____</td> <td style="width: 40%;">Date _____</td> </tr> <tr> <td>Signature of Reviewing Officer _____</td> <td>Date _____</td> </tr> <tr> <td>Signature of Appointing Authority _____</td> <td>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 _____						

**SUMMARY INSTRUCTIONS FOR COMPLETING THE
EMPLOYEE PERFORMANCE APPRAISAL FORMS, HRD 526, 527, 528, and 529**

(Refer to the Comprehensive Performance Appraisal System Supervisory Manual, Revised 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*

- 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.
- 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 Comprehensive 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 "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:

From: _____

To: _____

Name of Employee _____

Employee ID _____

**Section #5 PERFORMANCE CATEGORIES
FOR SUPERVISORS**

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

Significant Categories are noted by "*"*

**FINAL
RATING**

Expectations

Meets

Does Not
Meet

SUPERVISOR'S COMMENTS

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.

***QUANTITY & TIMELINESS OF WORK UNIT OUTPUT**
Usually: work unit produces amount of work expected; completes work on schedule.

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.

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.

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.

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.

PERFORMANCE CATEGORIES FOR <u>SUPERVISORS</u>	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"/>	
8 SAFETY & USE OF EQUIPMENT Instructs and monitors subordinates to follow safety rules and regulations.	<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"/> 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"/> 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"/> 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"/> 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"/> 14 OTHER (Add, if needed)	<input type="checkbox"/>	<input type="checkbox"/>	

EMPLOYEE PERFORMANCE APPRAISAL SUPERVISOR'S DISCUSSION NOTES

HRD 529 (Rev. 7/17)

Section #6

Appraisal Period:

From: _____ To: _____

Name of Employee

Employee ID

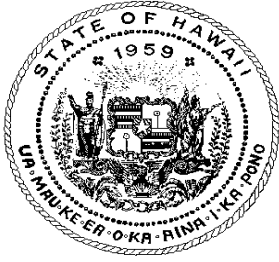
- I** 1. Use this sheet to keep a record of employee performance throughout the rating period, especially incidents of *outstanding* and/or *substandard* work performance.
- N** 2. Indicate the Performance Category in the first column (e.g., Quality of Work Unit Output)
- S** 3. *Be sure to have timely discussions with your employee for all notes made. If a notation describes substandard performance/deficiencies, you must also:*
- T** 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
- R** B. Include in the notation efforts made to retrain your employee, and
- U** 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
- C** D. Give the employee a copy of this form each time a notation describing substandard performance is made.
- T** 4. Ask your employee to initial next to your notes to confirm your discussion with him/her.
- I** 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.
- O** 6. Attach this form to the other appraisal forms at the end of the rating period only if there are performance notes.
- N**
- S**

Indicate
Performance
Category

Discussion
Date

Notes

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



Performance Appraisal System



SUMMARY FOR EMPLOYEES

PERFORMANCE APPRAISAL SYSTEM

This Summary of the State's revised employee Performance Appraisal System (PAS) has been prepared to help you understand:

- ★ Who is covered by this program.
- ★ How the program works, and
- ★ 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 probational or permanent appointment

HOW THE PROGRAM WORKS

FORMS - The PAS has four (4) appraisal forms:

- ☞ Form HRD 526, **Employee Performance Appraisal**, the generic first page.
- ☞ Form HRD 527, **Performance Categories for Workers & Working Supervisors**, provides factors to be used in evaluating Workers'/Working Supervisors' performance.
- ☞ Form HRD 528, **Performance Categories for Supervisors**, provides factors to be used in evaluating full Supervisors' performance.
- ☞ 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 rated on Performance Categories. Workers, working supervisors, and full supervisors each have their own set of Performance Categories:

Workers	Working Supervisors	Full Supervisors
<ul style="list-style-type: none"> ✓ *Quality of Work ✓ *Quantity & Timeliness of Work ✓ Reliability & Initiative ✓ Relationships w/Others ✓ Safety & use of Equipment <input type="checkbox"/> Communication <input type="checkbox"/> Job Knowledge <input type="checkbox"/> Problem Solving & Decision Making <input type="checkbox"/> Planning, Organizing, Setting Priorities <input type="checkbox"/> Other 	<ul style="list-style-type: none"> ✓ *Quality of Work Unit Output ✓ *Quantity & Timeliness of Work Unit Output ✓ Reliability & Initiative ✓ Relationship w/Others ✓ Safety & Use of Equipment ✓ Supervision ✓ Appraising Subordinates <input type="checkbox"/> Communication <input type="checkbox"/> Job Knowledge <input type="checkbox"/> Problem Solving & Decision Making <input type="checkbox"/> Planning, Organizing, Setting Priorities <input type="checkbox"/> Other 	<ul style="list-style-type: none"> ✓ *Quality of Work Unit Output ✓ *Quantity & Timeliness of Work Unit Output ✓ Supervision ✓ Appraising Subordinates ✓ Planning, Organizing, Setting Priorities ✓ Reliability & Initiative ✓ Relationships w/Others ✓ Safety & Use of Equipment <input type="checkbox"/> Financial/Budget <input type="checkbox"/> Mission Commitment <input type="checkbox"/> Communication <input type="checkbox"/> Job Knowledge <input type="checkbox"/> Problem Solving & Decision Making <input type="checkbox"/> Other

Please turn page for
more information...



(Continued from previous page)

A ✓ means the Category is “Fixed and must be evaluated.

A □ means it is “Optional” and a ★ means the Category is “Significant.”

Significant Categories (Quality and Quantity & Timeliness) are critical areas in which you must perform satisfactorily to pass the evaluation. A “Does Not Meet Expectations” rating in one or both of the **Significant Categories** will result in an **Overall Rating** of “Does Not Meet Expectations.”

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

To get an **Overall Rating** of:

Does Not Meet Expectations

One or both **Significant Categories** are rated “Does Not Meet Expectations” (DNME). Before the overall rating is issued, an employee is given a notice of substandard performance and a period of up to three months (with a possibility of extension to improve). Overall ratings of DNME could result in involuntary transfer or discharge from your position.

Otherwise, your **Overall Rating** will be “Meets Expectations.”

WHAT CAN I EXPECT?

The Performance Appraisal System operates in three phases:

Phase I Performance Planning, Communication of Performance Expectations/Requirements, and Goals/Projects – By, or shortly after, the start of the performance rating period, your supervisor will meet with you to talk about your job duties, how the Performance Categories relate to your job, and performance expectations/requirements for the upcoming rating period. You should be sure you understand what your supervisor expects of you. If you are not sure, 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 write a rebuttal. You will be given a copy of notes that describe performance problems/deficiencies and you or your union representative may also review your supervisor’s PAS documents 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 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 Comprehensive PAS Supervisory Manual (revised July 1, 2017), please check with your supervisor or contact your Departmental 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, and the Comprehensive Performance Appraisal System Supervisory Manual (revised July 1, 2017) will govern.

State of Hawaii, Department of Human Resources Development