

**Addendum
Comprehensive Performance Appraisal System
Supervisory Manual
July 1, 2017**

A. PURPOSE

To include an addendum to the Comprehensive Performance Appraisal System (PAS) Supervisory Manual revised July 1, 2017 in order to administer an expedited method for evaluating employees. This addendum will simplify the Comprehensive PAS Supervisory Manual process for supervisors, and maintain an effective tool to evaluate and improve employees' annual work performance.

B. OVERVIEW

Supervisors will continue to follow the existing Comprehensive PAS Supervisory Manual when evaluating employees during the employees' initial/new probation period and Notice to Improve Performance. Thereafter, employees who satisfactorily perform in their position will be evaluated using the Annual Employee Performance Appraisal Form (HRD 526A), provided the employee remains in the employee's current position.

C. PERFORMANCE APPRAISAL PROCESS

1. **Phase I: Performance Planning, Communication of Performance Expectations/Requirements, and Goals/Projects**

- a. Phase I starts with performance planning. For employees using the Annual Employee Performance Appraisal Form (HRD 526A), it begins by, or shortly after, the start of an employee's annual performance appraisal rating period. At that time, your Human Resources Office will send you the appraisal forms you will need to use. However, if you do not receive them, blank copies are attached or available online at <http://dhrd.hawaii.gov/forms/>. When you receive the forms, you should:
 - 1) Review all the performance categories which will be used to determine if the employee is performing satisfactorily. Unlike the Comprehensive PAS Supervisory Manual PAS process, the Annual Employee Performance Appraisal Form (HRD 526A), does not differentiate between "significant," "fixed," and "optional" categories, but uses all performance categories in determining if the employee is performing satisfactorily.
 - 2) Review your employee's position description. Make sure it is up-to-date/current and accurate. Think about key activities that are important to the job.

- 3) Think about special goals/projects (related to the employee's class of work) that you want the employee to accomplish for the rating period.
 - 4) Think about performance expectations/requirements you should discuss with the employee. To help you develop your performance expectations/requirements, ask yourself, "What do I expect my employee to accomplish during this rating period?"
- b. After completing the above, you must meet with the employee to:
- 1) Inform the employee on the new process for the Annual Employee Performance Appraisal Form (HRD 526A) by providing and reviewing the "Performance Appraisal System Guidelines for Employees."
 - 2) Explain that the PAS Forms (HRD 526, 527, and 528) in the Comprehensive PAS Supervisory Manual 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.
 - 3) Provide and discuss the employee's position description, your expectations/requirements, and any goals/projects you expect the employee to achieve, if applicable.
 - 4) Inform the employee that you may be conducting periodic performance discussions using the Supervisor's Discussion Notes Form (HRD 529), during the rating period to let the employee know his/her work progress, strengths and/or areas needing improvement.
 - 5) At the end of the meeting, ask the employee to sign Section #2 of the Annual Employee Performance Appraisal Form (HRD 526A). The employee may be given a copy of the Annual Employee Performance Appraisal Form (HRD 526A), if requested. 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.

2. Phase II: Performance Monitoring and Coaching

This is an ongoing phase throughout the appraisal period which requires you to continuously observe, monitor, and coach the employee. You should regularly keep track of the employee's job performance. Let the employee know how he/she is doing through periodic performance discussions. These discussions promote two-way communication and may be done anytime during the rating period. Base your discussions on the employee's job performance.

Phase II is a very important part of the performance appraisal process. During performance monitoring and coaching, you will be:

- a. Observing the employee's performance.
- b. Recording work performance, especially incidents of outstanding and/or substandard performance.
- c. Talking to the employee about work progress.
- d. Providing advice and help in areas where performance does not meet expectations.
- e. Giving constructive feedback to the employee by providing effective coaching orally and/or in writing on a regular basis.

Refer to Pages 12 to 16, Comprehensive PAS Supervisory Manual, for further details.

If an employee is performing at a substandard level after you have provided feedback and suggestions for improvement, contact your Human Resources Office for guidance (Refer to pages 25 to 26, Substandard Performance, Comprehensive PAS Supervisory Manual, for details).

3. Phase III: Completion of the Appraisal

The Appraisal Conference is the last phase of the Performance Appraisal System.

- a. 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:
 - 1) Use the Performance Monitoring and Coaching in Phase II to determine the overall rating in Section #3 of the Annual Employee Performance Appraisal Form (HRD 526A).
 - o Review notes made on the Supervisor's Discussion Notes Form (HRD 529).
 - o Review any other samples of your employee's work performance during the rating period.
 - 2) Review performance categories.

- 3) Determine the employee's overall rating.
 - o An Overall "Meets Expectations" is determined if expectations are being met.
 - o 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, Comprehensive PAS Supervisory Manual, for details).
- b. During the Appraisal Conference, the following shall be reviewed with the employee privately and in a positive manner:
 - 1) Phase I, performance plans which were discussed earlier.
 - 2) Phase II, monitoring, coaching, and any entries that were made on the Supervisor's Discussion Notes Form (HRD 529).
 - 3) Phase III, results of the completed appraisal.
 - o At the end of the meeting, ask the employee to sign Section #4 of the Annual 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.
 - o Allow the employee to make written comments or a rebuttal on a separate sheet to be attached to the finished appraisal.
 - o The employee shall be given a copy of the Annual Employee Performance Appraisal Form (HRD 526A) after the Reviewing Officer and the Appointing Authority sign the form.

Refer to page 19 and 20, Guidelines for the Appraisal Conference, Comprehensive PAS Supervisory Manual, for details.

Attachments

- Performance Appraisal System Guidelines for Employees
- Annual Employee Performance Appraisal Form (HRD 526A)