



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>
<p>Employee's Signature _____ Date _____</p>	<p>Supervisor's Signature _____ Date _____</p> <p>Signature of Reviewing Officer _____ Date _____</p> <p>Signature of Appointing Authority _____ 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 WORKERS AND
WORKING SUPERVISORS**

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

Significant Categories are noted by "*"

FINAL RATING

Expectations

Exceeds

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.

Supervisor Comments must be provided to support an "Exceeds Expectations" or "Does Not Meet Expectations" rating.

***QUALITY OF WORK**

Worker

Usually: completes assigned work in accordance with work expectations. For example, work is usually accurate, neat, and/or complete.

1

***QUALITY OF WORK UNIT OUTPUT**

Working Supervisor

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**

Worker

Usually: produces amount of work in accordance with work expectations; completes work on schedule.

2

***QUANTITY & TIMELINESS OF WORK UNIT OUTPUT**

Working Supervisor

Usually: work unit produces amount of work expected; completes work on schedule.

THE CATEGORIES BELOW MAY AFFECT THE RATINGS FOR QUALITY, QUANTITY & TIMELINESS

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.

3

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.

4

SAFETY & USE OF EQUIPMENT

Worker

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.

5

Working Supervisor

Instructs and monitors subordinates to follow safety rules and regulations.

**PERFORMANCE CATEGORIES
FOR WORKERS AND
WORKING SUPERVISORS**

Exceeds

Meets

Does Not
Meet

SUPERVISOR'S COMMENTS

CHECK ADDITIONAL CATEGORIES BELOW IF APPLY TO EMPLOYEE

 COMMUNICATION
Worker

Usually: demonstrates oral and/or writing skills as required for the job.

6

Working Supervisor

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.

 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.

7

 PROBLEM SOLVING & DECISION MAKING

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.

8

 PLANNING, ORGANIZATION, 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-term plans; proposes and reviews benchmarks to monitor work progress and makes work plan adjustments as needed; and/or follows up on assignments.

9

 OTHER (Add, if needed)

10

ALSO COMPLETE CATEGORIES BELOW FOR WORKING SUPERVISOR

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.

11

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.

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EMPLOYEE PERFORMANCE APPRAISAL SUPERVISOR'S DISCUSSION NOTES

HRD 529 (Rev. 9/05)

Section #6

Appraisal Period:

XXX-XX-

From: _____ To: _____

Name of Employee

Social Security Number

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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 number from Section #5 in the first column (e.g., the number of Quality of Work Unit Output is #1).
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 #
From Section #5

Discussion
Date

Notes

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

Use tab key to move to next block

You have the option of whether or not to type or hand-write any notes from your employee discussions. However, you must obtain the employee's handwritten initials and date after each discussion.

