

MORE QUESTIONS AND ANSWERS

PERFORMANCE APPRAISAL SYSTEM



FORMS (GENERAL)

Q1: The PAS forms I received show a "3/96" date next to the form number. Is that the correct version?

A1: No. The correct version should have the date "7/01" next to the form number. If the PAS forms you received have "3/96" next to the form number, call your Departmental Personnel Office to discuss this.

Q2: What should I do if I don't receive appraisal forms for some of my employees?

A2: You may make copies of the appraisal forms which are in the back of this manual, but check with your Departmental Personnel Office first to find out why you didn't get the forms.

PERFORMANCE CATEGORIES AND EXPECTATIONS



Q3: Since there are so many different job classes, shouldn't there be different Categories for each class?

A3: Not necessarily. Even if there are many different job classes, "Fixed" standard categories such as, "Reliability & Initiative," "Relationships with Others," would still apply to most jobs. However, where the "Fixed" categories do not adequately cover key job duties and responsibilities, "Optional" categories may be selected under this new, more flexible Performance Appraisal System.

Q4: Can I add Categories?

A4: Yes, you may add "Other" Categories which you feel are important to your employee's job if the ones listed are not adequate, provided you have prior approval from your supervisor and your Departmental Personnel Office. Remember that any category added should consistently apply to all employees doing similar work.

Note: In general, we expect that blue-collar employees will be rated on the **Fixed** Categories only. However, **Optional** Categories may be selected on an exception basis, where necessary.

Q5: May I designate other categories as Significant, besides "Quality of Work" and "Quantity & Timeliness of Work?"

A5: No.

Q6: There are many positions with the same job titles. Does this mean that performance expectations requirements for Clerk III positions, statewide, should also be the same?

A6: Not necessarily. All Clerk III positions, statewide, provide clerical services, however, their duties may vary. Similarly, the general expectations listed under each Performance Category should apply to most positions; however, these expectations must be linked to an employee's actual job duties. Thus, a Clerk III in a research and statistics office, whose work tasks involves spending little time dealing with the public could have different expectations from a Clerk III in another office whose duties include heavy public contact.

Q7: What if I need help in linking the general expectations/requirements to my employee's actual job duties?

A7: Discuss your concerns with your supervisor. If additional assistance is needed, you may wish to consult with higher-level administration in your program and your Departmental Personnel Office.

Q8: Am I required to provide my employees with written performance expectations/requirements specific to their jobs?

A8: Although it is good to do, it is not required. The main thing is that you communicate your expectations/requirements to your staff.

Q9: My unit is overloaded with work because of several vacancies. May I increase performance expectations/requirements in this kind of situation?

A9: Yes. You may increase performance expectations/requirements provided it is reasonably possible and allowable for your employees to handle the additional work. In completing your employees' ratings, however, you should also take into account the workload increase. For example, suppose an employee is missing some deadlines because his/her workload was doubled and he/she could not complete the assignments, in spite of working overtime. To give the employee a "Does Not Meet Expectations" rating would probably not be appropriate.

Q10: My employee disagrees with my expectations/requirements, refuses to sign the Employee Performance Appraisal form (Section #2, HRD 526), and wants to attach written comments about these expectations. Is this allowable?

A10: Yes. But you should also discuss this situation with your supervisor and your Departmental Personnel Officer. Get their opinions as to whether or not your expectations/requirements are reasonable. Schedule a follow-up meeting with the employee to discuss your decision. If the employee still wishes to add written comments, allow the employee to do so, but explain that you will still require the employee to perform according to your expectations/requirements.

Q11: I submitted to my supervisor a revised position description 6 months ago but have not received notification of its approval. In the meantime, my employee is performing according to the revised position description that I submitted. Am I allowed to base my expectations/requirements on the employee's current duties and responsibilities even if the new position description hasn't been officially approved yet?

A11: Yes, you should set your expectations based on the employee's actual, current duties and responsibilities. The revised position description becomes the *official* record of the assigned duties once your department head approves it. (NOTE: Position descriptions should be current. If you did not revise the position description and the duties and responsibilities of your employee have changed significantly, the position description should be changed right away.)

Q12: As a supervisor, I am very busy attending meetings, writing reports, etc. What will happen if I don't have time to discuss my expectations (Phase I, Performance Planning and Communication of Expectations) with my employee until three months into the employee's rating period?

A12: This manual indicates that "...by or shortly after the start of your employee's rating period...." you should meet with your employee to explain your expectations in relation to the employee's job duties. Three months into an employee's rating period is not timely, and you may need to give your employee "the benefit of the doubt" for expectations/requirements not fulfilled prior to your meeting with the employee.

Please remember that untimely communication with your employee could create credibility and morale problems, which should be avoided. Also, since one of the Performance Categories you will be rated on is "Appraising Subordinates," your own supervisor may rate you for untimely discussions with your employee.

Q13: The standard in our office for our Clerk-Typists is that they must type a minimum of 100 documents per week. If an employee is frequently out sick for 1 or 2 days a week, can I note on the Supervisor's Discussion Notes form that he/she did not complete the 100 documents required per week?

A13: If the employee is legitimately sick, you should adjust the standard appropriately. In this example you could adjust the standard for the week to be 60 documents instead of 100. However, if you suspect the employee is not legitimately sick, discuss what your options are under the applicable collective bargaining contract with your Departmental Personnel Office.

Additionally, if the employee is out of work a significant amount of time for the rating period, discuss with your Departmental Personnel Office whether it would be appropriate to NOT complete the PAS forms at the end of the rating and write on HRD 526 "Unable to Rate – Not Able To Observe Work For A Significant Portion of Rating Period."

Q14: Why isn't the Job Knowledge category a "Fixed" category since every employee must have job knowledge?

A14: The Job Knowledge category is mainly intended for positions which need specialized/ technical knowledge and which may require that the employee keep up-to-date with technological, regulatory, or other changes in the profession. It was not made a "Fixed" category because such requirements generally would not apply to positions that do routine work.

Q15: On HRD 526, Section 2, Goals and Projects, can a supervisor write in a goal that says "Improve timeliness of your work?"

A15: Section 2 of HRD 526 is generally not to be used to identify problem areas of work performance. It is intended to document special work goals/projects that are to be accomplished during that rating period. Some examples of appropriate goals/projects are:

"Learn the Excel software program by December 31st."

"Complete the budget worksheet revision project by June 30th."

One place where a supervisor could document a discussion regarding timeliness of work is on the Supervisor's Discussion Notes form, HRD 529. A notation could be written that says: "After we discussed performance expectations for the year, we discussed the need for you to turn in your work assignments by the established deadlines."

DOCUMENTATION - SUPERVISOR'S DISCUSSION NOTES



Q16: If my employee is doing "Meets Expectations" (satisfactory) work, do I need to make any notes on the Supervisor's Discussion Notes form?

A16: It is not required, however, we encourage you to do so. It will increase communication and the employee would appreciate the fact that you recognize that he/she is meeting performance expectations/requirements.

Q17: How can I help my employee understand the purpose of the Supervisor's Discussion Notes form and better accept my making notes on it?

A17: Explain to the employee that the Supervisor's Discussion Notes form was developed:

- * To foster better communication between you and the employee throughout the rating period.
- * To record and discuss notable performance - outstanding and/or substandard - in a timely manner.
- * To provide an objective basis for arriving at the final evaluation.

Q18: Can my employee ask me to note his/her achievements on the Supervisor's Discussion Notes form?

A18: Certainly, but if you disagree on whether they should be recorded, explain your reasons. If the employee still feels strongly that a notation should be made, inform the employee that he/she may make comments on a separate sheet.

Q19: What should I do if my employee refuses to initial the Supervisor's Discussion Notes form?

A19: Explain to the employee that his/her initials simply mean that the entry was discussed with him/her. It does not mean that the employee agrees with the entry. Let the employee know that he/she may comment or provide a rebuttal on a separate sheet, if desired. Be sure that

the employee understands the purpose of the Supervisor's Discussion Notes. (See Q & A #17.) If the employee still does not wish to initial, just enter "Employee does not wish to initial." If you feel it is necessary, ask a witness to sign and date the Supervisor's Discussion Notes. Ensure that the witness does not see confidential information.

You may also wish to alert your supervisor that your employee does not wish to initial the form.

Q20: My employee slammed his desk drawer, swore "under his breath," and refused to do a budget assignment. Can I note the employee's actions on the Supervisor's Discussion Notes form?

A20: Only the work impact should be on the Supervisor's Discussion Notes form, i.e., "Did not complete budget assignment on time". The PAS is not to be used to address discipline in any way. If you intend to take disciplinary action for insubordinate or inappropriate behavior you must follow regular discipline procedures. Discuss this with your supervisor and Departmental Personnel Officer. (See "Documentation" on pages 15-16 and Appendix E, pages 52-55.)

Q21: Why not have just two rating levels, "Meets Expectations" and "Does Not Meet Expectations," since the third rating level, "Exceeds Expectations," isn't really necessary?

A21: This was discussed at great length as the performance appraisal program was being developed. It was decided that the program should include an "Exceeds Expectations" level for reasons such as:

- * **Our employees' exceptional performance should be recognized and documented. This record could even help them when seeking promotions.**
- * **In the past, supervisors have informed us that they want the third rating level, so that they can recognize their employees' outstanding work performance.**
- * **Section 76-41, Hawaii Revised Statutes, states that one of the purposes of the appraisal system is to improve work performance. Having an "Exceeds Expectations" level helps to promote that purpose; whereas, having only two rating levels could promote mediocre work.**

Q22: May I note on the Supervisor's Discussion Notes form outstanding and substandard work performance?

A22: Yes! That is the purpose of this form. And, by keeping these notes, it will help you objectively rate the employee's performance at the end of the rating period. Be sure your notes are written correctly. (See "Documentation", pages 15-16.)

Q23: How is the Supervisor's Discussion Notes form different from the Supervisor's Comments column?

A23: The Supervisor's Discussion Notes form is used to record, on a timely basis, specific incidents of outstanding and/or substandard employee work performance. The Supervisor's

Comments column, however, is provided if you wish to write any general remarks on your employee's work performance at the end of the rating period. You are not required to write comments in this column. You should not write general comments in the Supervisor's Comments column describing performance problems unless there are supporting notes on the Supervisor's Discussion Notes form.

Q24: I wrote some negative notes on the Supervisor's Discussion Notes form. But, I did not rate any Performance Category "Does Not Meet Expectations" and the Overall Rating was "Meets Expectations." Can I discard the Supervisor's Discussion Notes form if the employee requests it?

A24: Yes, you may, if you feel the notes you recorded on the Supervisor's Discussion Notes form no longer serve any useful purpose.

Q25: If the Supervisor's Discussion Notes form has no notes on it, and the employee was rated overall "Meets Expectations," must I turn in the blank Supervisor's Discussion Notes form with the other PAS forms?

A25: No. But, discuss this with your Departmental Personnel Office in case they require it.

Q26: Is the Supervisor's Discussion Notes form considered a part of the official appraisal forms?

A26: Yes. It is an attachment to the PAS forms.

Q27: If notes/comments on the Supervisor's Discussion Notes form are disciplinary, what should be done?

A27: Disciplinary notes/comments, such as references to misconduct, reprimands, suspensions, are not acceptable anywhere on the PAS. If the notes/comments are discovered prior to filing the PAS in the employee's Official Personnel File (OPF), the Personnel Office should return the PAS to the immediate supervisor, instruct the supervisor to re-do the SDN form without the disciplinary notes, instruct the supervisor to explain to the employee why the notes are being re-written and ask the employee to initial the re-written notes, and re-send the forms through the chain of command.

If disciplinary notes are discovered after the PAS was filed in the OPF, the Personnel Office should "white out" the disciplinary notes, xerox the original, then file the xeroxed copy. The original should be destroyed. The employee should be given a copy of the amended PAS with an explanation on his/her copy, such as "Amended, due to inappropriate notes."

RATINGS

Q28: How do I arrive at an Overall Rating?

A28: To give an Overall Rating of "Exceeds Expectations," both of the



Significant Categories must be rated "Exceeds Expectations." (Note: There must be supporting notes on the Supervisor's Discussion Notes form to give an employee an "Exceeds Expectations" rating in both *Significant Categories*.)

To give an Overall Rating of "Does Not Meet Expectations," one or both *Significant Categories* must be rated "Does Not Meet Expectations." (Note: An employee may not be given an Overall Rating of "Does Not Meet Expectations" unless he/she first received an official "Notice to Improve Performance.")

Otherwise, the employee's Overall Rating should be "Meets Expectations."

Q29: *Can employees rate their supervisors?*

A29: **There is no requirement that employees rate their supervisors at this time, although supervisors may choose to get this type of input from their employees.**

Q30: *At the end of the rating period (Phase III, Completion of the Appraisal), what happens if the employee disagrees with my rating, refuses to sign the appraisal form, and wants to discuss it with my supervisor?*

A30: **First, ask the employee why he/she does not agree with your rating.**

- * **If you feel a change is justified, make the change.**
- * **If you feel a change is not justified, let the employee know that he/she may add comments or a rebuttal on a separate sheet, if desired.**
- * **If your employee still wishes to discuss the rating with higher-level authority, allow the employee to do so. After the discussion, if the employee still refuses to sign the form, simply enter, "Employee does not wish to sign." If you feel it is necessary, ask a witness to sign and date this note. Ensure that the witness does not see confidential information. Then, send the PAS forms through regular channels for signature.**

You should also discuss the rating with your supervisor and your Departmental Personnel Office. If you have been monitoring, coaching, and documenting the employee's performance during the rating period, there should be enough evidence to support your Final Rating for each Performance Category and/or the Overall Rating.

Q31: *My employee asked, "What will happen if I get an Overall Rating of 'Does Not Meet Expectations' rating?"*

A31: **Inform the employee that, generally, an Overall Rating of "Does Not Meet Expectations" will result in adverse action, such as delay/denial of step movement, demotion, transfer, or discharge from service.**

Q32: *My employee asked, "What are the incentives for trying to get an overall 'Exceeds Expectations' rating?"*

A32: If your employee applies for other jobs, including promotions, the employee could provide the interviewers with a copy of the rating, which may positively affect the hiring decision.

Q33: I have an employee who is frequently tardy. Instead of discipline, can I note on the Supervisor's Discussion Notes form that his/her tardiness must improve because it is affecting office operations since another employee has to assist the public visitors that come to the Information Desk?

A33: Tardiness should be handled through the disciplinary process. However, if your employee's tardiness is resulting in the employee's quantity or timeliness of work to be deficient or disrupting office/work operations, you may note on the employee's Supervisor's Discussion Notes form the employee's work deficiency or the negative effect on office operations. Call your Departmental Personnel Office for advice on handling a disciplinary-type problem. (See Appendix E, page 53.)

Q34: Can my rating for one of my employees be reversed by a higher-level authority in the department?

A34: Yes, it is possible, although this isn't usually the case. An appraisal is not considered official until all appropriate parties have approved/signed the form. If, for example, a "Does Not Meet Expectations" or "Exceeds Expectations" rating is not supported by explanations of work accomplishments/problems on the Supervisor's Discussion Notes form, the rating can be questioned/corrected. Should the rating be reversed, the person making the revisions should initial all changes. You must also do Phase III again. (See pages 17-22, Completion of the Appraisal), and obtain all required signatures and dates.

To avoid this kind of problem, you should let your own immediate supervisor know what rating you plan to give your employee BEFORE you discuss it with the employee. This would be fairer to the employee too and prevent hard feelings.

Q35: Must I have supporting documentation if I give my employee an overall "Exceeds Expectations" rating?

A35: Yes. Page 19 states that an "Exceeds Expectations" rating must be supported by entries made on the Supervisor's Discussion Notes form.

WRITTEN NOTIFICATION



Q36: Must I provide written notification of substandard performance before I give my employee an Overall Rating of "Does Not Meet Expectations?"

A36: Yes. You must provide written notification from the Appointing Authority before you issue a "Does Not Meet Expectations" Overall Rating to your employee. (See page 25, Substandard Performance, and Appendix F, page 56 sample letter.) The Performance Appraisal Policy (See Appendix B, page 42) requires that the Appointing Authority provide written notification when the employee's performance becomes substandard. You should not

wait until a rating becomes due to issue the written notification.

Q37: My employee's rating period is 7-1-01 to 6-30-02. Six months into the rating period, on 1-1-02, I gave my employee a written notification of substandard work performance and three months to improve. This manual indicates that I need to complete a Partial Annual Appraisal if the overall performance is still "Does Not Meet Expectations" at the end of the three months.

(a) When should I begin Phase I for this Partial Annual Appraisal?

(b) How do I get the blank PAS forms?

(c) What rating period should I enter on this Partial Annual Appraisal?

(d) What should I do with the appraisal forms I received earlier for 7-1-01 to 6-30-02?

A37: (a) Regarding Phase I: Phase I for the Partial Annual Appraisal begins on 1-1-02.

(b) Regarding Blank PAS Forms: You may duplicate the blank forms in the back of this manual.

(c) Regarding the Rating Period: The rating period for the three-month Partial Annual Appraisal should be shown as 1-1-02 to 3-31-02.

(d) Regarding the PAS forms for 7-1-01 to 6-30-02: Attach the PAS forms to the copy of the written notification and send them to your Departmental Personnel Office.

Note: If your employee's performance improves to a "Meets Expectations" level by 3-31-02, you need not complete an appraisal until the end of the annual rating period. The Appointing Authority, however, must give your employee a letter stating that his/her performance now "Meets Expectations." But if you prefer to complete the PAS forms instead of requesting a letter from your Appointing Authority, you may do so provided you have your supervisor's approval.

Q38: We want to give a permanent employee a "Notice to Improve Performance." However, he's frequently out on sick leave. If he's out on sick leave for a significant part of the 3-month improvement period, and if his performance does not improve to the "Meets Expectations" level while he's at work during that period, can we terminate him at the end of the 3 months?

A38: The facts and circumstances of *each* case must be carefully considered. If, say, the employee was sick 1 or 2 days at a time for a total of 5-10 work days spread throughout the 3-month improvement period, generally, the supervisor should be able to evaluate the employee's performance and make a determination as to whether it has improved to "Meets Expectations" or not. However, if the 5-10 days were consecutive, the supervisor would need to decide how critical that absence was in determining whether the improvement period needs to be adjusted by an additional 5-10 work days. The decision should take into consideration the type of work the employee does. Routine repetitive type of work may not require an adjustment. If the employee's absence was more than 2 weeks, generally, the supervisor should consider adjusting

the improvement period by the period of time the employee was out sick.

Note: If the supervisor suspects the employee is not sick, the supervisor should investigate "abuse" of sick leave when it occurs. Abuse of sick leave is handled separately from the Performance Appraisal System. Proper procedures must be followed when investigating abuse of sick leave. Therefore, your Personnel Office must be consulted prior to initiating any discussions with the employee or taking any action regarding suspected sick leave abuse.

OTHER

Q39: Can the PAS be used as a disciplinary tool?

A39: No. The PAS is designed to improve performance and to promote communication between the employee and the supervisor; whereas, discipline is a corrective action taken as a result of a violation of a work rule or misconduct, (e.g., swearing at the supervisor). Additionally, the "Notice to Improve Performance" is *not* considered a *disciplinary* letter (See Appendix F, page 56).

Q40: What's the difference between discipline and performance problems?

A40: Discipline-type problems exist when there is misconduct, the employee violates work rules, etc.

Performance-type problems exist when an employee is unable to perform the duties and responsibilities of his/her job according to performance expectations.

Q41: Am I obligated to assist my employee in achieving his/her career goals and to provide my employee with any "needs" identified by the employee (e.g. training, cross-training)?

A41: Regarding Career Goals: No. However, there may be ways in which you can provide experiences which would help the employee's career growth. For example, if your employee is a Library Assistant IV and wants to be a Library Technician V, you can temporarily assign that individual to a Library Technician V position in the absence of that employee, provided that the action is in compliance with applicable Personnel Rules and/or bargaining unit contract provisions. Or, if an employee is considering jobs in other offices, you could allow that individual to participate in inter-office task groups/projects.

Regarding "Needs": No. You would have to determine whether the needs are justified, resources are available, and if there would be disruption to operations where time away from work is involved. For example, if cost is a problem, you may arrange to have your employee trained at no cost by someone else in the department with the necessary expertise/skills (e.g., computer training).

Q42: Do I need to do a performance appraisal when my employee transfers to another position?

A42: Check with your Departmental Personnel Office. Your department may require an appraisal for employees who move to other positions within the Executive Branch.

Q43: I am a new supervisor. The annual appraisals for some of my employees will be due in about 6-7 months. Under the PAS, am I supposed to contact the former supervisor for a performance evaluation of these employees before I complete the appraisal forms for my employees?

A43: No. You will need to initiate your own PAS forms for your employees from the time you implement Phase I (Performance Planning and Communication of Expectations). At the end of the employee's rating period, you will complete a Partial Annual Appraisal covering only the period you supervised the employee.

Q44: I have been a new supervisor for only two months. Page 30 of this manual indicates that if I'm a new supervisor for three months or less, I don't need to do my employees' performance appraisals. Does this mean that I don't need to do Phases I, II, and III of the PAS?

A44: This section means that you (including temporary assignment supervisors) need not do Phase III (Completion of the Appraisal) of the PAS. Simply note on the Employee Performance Appraisal form, HRD 526, "Unable to evaluate employee since I have been on the job for only two months." Then sign and date the form.

Regarding Phases I and II (Performance Planning and Communication of Expectations and Performance Monitoring and Coaching), your department has the discretion to decide if you need to implement these two Phases of the PAS. If your department requires you to implement Phases I and II and you are unsure of how to discuss job expectations so early on the job, consult with your own supervisor for guidance. You could also ask your staff to explain the prior supervisor's job expectations and decide if you want to continue using them.

Beginning the fourth month on the job, you are required to do a partial annual appraisal and implement all Phases (I, II, and III) of the PAS.

EXCEPTION: You will need to do Phases I, II, and III of the PAS for employees serving an "initial" or "new" probation period, regardless of the number of months you have been on the job.

Q45: Why must I complete my employee's "initial" probation period performance appraisal, which will be due in one month, if I have been this employee's supervisor for only two months?

A45: You need to complete it (Phase III, Completion of the Appraisal) because the probation period performance appraisal ("initial" or "new" probation period) is a critical appraisal that determines if the employee passes and gains "regular status" in the job. It is an extension of the hiring process and should be used as a "test" to decide whether the employee is fit for the job.

Q46: Does the "three-month" exception covered on page 24 ("What If I Change Jobs Before The Appraisals Are Due?") apply if my employee's probation period performance appraisal is due when I leave my job to accept another supervisory position?

A46: No, the three-month exception applies to annual performance appraisals, not to probation period performance appraisals. You must always (when you leave your position or when you

go on leave without pay) complete your employee's probation period performance appraisal, regardless of whether the employee is in the first, second, third, etc. month of probation.

Q47: How can I implement Phases I & II (Performance Planning and Communication of Expectations and Monitoring & Coaching) if I'm a new supervisor and have not gone to HRD's PAS Supervisory Orientation?

A47: This manual covers in detail all aspects of the revised Performance Appraisal System and should enable you to do Phases I, II, and III. If you have questions, check with your supervisor or Departmental Personnel Office.

Q48: Do I need to complete my employees' appraisals before I go on leave without pay for four months?

Q48: You will need to complete (Phase III, Completion of the Appraisal) Partial Annual Appraisals for all employees who have not had their appraisal done within three months before the date you go on leave without pay.

Q49: May I terminate a probationary employee (either initial or new) before the 6-month probation period is up?

A49: You may, if the employee is unable to do the job, provided the employee was given adequate training, time to learn the duties and responsibilities of the job, and time to improve his/her performance. For example, if the employee's job is simple and could be learned within a month, you probably would be able to assess, in less than the 6-month probation period, whether the employee can or cannot successfully do the job.

Q50: May I terminate an initial or new probationary employee for unsatisfactory work if I did not give him/her a notice of substandard performance/notice to improve performance?

A50: Any employee should be notified in writing of substandard performance.

Q51: I supervise positions that require probationary employees to go through a formal training program for approximately 4 months as part of the probation requirement. Should instructors at the training school complete the PAS forms for my employees during the period they are at training?

A51: No, instructors at the school should not complete the appraisal forms. That training period need not be rated on the PAS because the trainer is already doing a separate evaluation for the course. You should note on the PAS, "Employee was at training from (date) to (date)" to show that the evaluation is only for the period the employee was not required to be at training.

Q52: If I rate my employee "Does Not Meet Expectations" in any performance category, are the completed PAS forms considered derogatory material that must be purged from the Official Personnel File?

A52: No. PAS forms, including the Supervisor's Discussion Notes form, are not considered

derogatory material as long as you follow the instructions in this manual.

Q53: We have an employee whose annual rating ends June 30th. On May 1st, the supervisor recommends giving the employee a 3-month "Notice to Improve Performance." Should we complete the June 30th "annual" PAS forms?

A53: Since a Partial Annual PAS is required for the period of the 3-month improvement period and since the 3-month improvement period will extend beyond June 30th, do not complete the June 30th Annual PAS forms. Inform the employee in the "Notice to Improve" that the annual rating period will be extended to coincide with the end date of the "Notice to Improve." If, at the end of the 3-month improvement period the employee's performance improves to "Meets Expectations," have the supervisor issue the employee a notice regarding the improvement (See Appendix H for a sample). The supervisor should then complete the employee's *Annual* PAS forms, change the rating period end date to coincide with the end date of the 3-month improvement period, attach the incomplete *Partial Annual* PAS forms and send them through the regular chain of command for approval/signature.

If, however, the employee's performance is "Does Not Meet Expectations" at the end of the 3-month improvement period, have the supervisor complete the *Partial Annual* PAS (the incomplete *annual* PAS forms should be turned in to the Personnel Office). {Note: The supervisor must check with the Personnel Office prior to completing the "Does Not Meet Expectations" *Partial Annual* PAS to discuss the consequences of the unsuccessful improvement period.}

If the supervisor feels the employee showed some improvement during the 3-month improvement period, but not enough to give an Overall rating of "Meets Expectations," the supervisor may recommend extending the improvement period for up to 3 months. If the improvement period is extended, the employee must be given written notification of the extension (contents similar to "Notice to Improve") by the end of the first improvement period. The rating period end date in Section 3 of the HRD 526 of the *Partial Annual* PAS forms should be adjusted to coincide with the end date of the extended improvement period. The employee should be informed of the adjusted date and asked to initial the date change.

Q54: If an employee's probation is extended, should the supervisor complete Phase III of the PAS at the end of the first 6 months?

A54: We recommend the 6-month PAS not be completed. By recommending an extension the supervisor is essentially granting more time for the employee to improve because he/she feels the employee has the potential of becoming a satisfactory employee.

Remember, the employee must be given a written "Notice to Extend the Probation Period" by the departmental Appointing Authority (see Appendix G). This Notice should include, among other things, specific information on the employee's performance that needs improvement. The supervisor should change the rating period "end" date on the Probationary PAS form (Section 3 of HRD 526) to coincide with the end date indicated on the "Notice to Extend the Probation Period." Notify the employee of the change, and have the employee initial the change. At the end of the extension, the supervisor should complete the PAS forms, through Phase III.

Q55: In this manual it says in several places that feedback should be given "in a timely manner." What does that mean? Is there a specific number of days?

A55: There is no specific number of days that constitutes "in a timely manner." However, generally, within a week or so of the incident would be considered timely. There are extenuating circumstances that could extend that time, such as if the employee or supervisor went out on sick leave or vacation leave shortly after the incident.

Q56: When an employee resigns prior to the end of his/her rating period, what should we do with the incomplete PAS forms?

A56: Note on HRD 526, "Resigned 9/30/97," then send the incomplete forms to your Departmental Personnel Office for filing in the employee's Official Personnel File.