



**M A N A G I N G**  
**A C C O U N T A B I L I T Y &**  
**P E R F O R M A N C E**

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For a greater state of success!

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**Arizona State Personnel System**

**Performance Management Administrative Manual**



# MANAGING ACCOUNTABILITY & PERFORMANCE

For a greater state of success!

*This manual does not create a contract for employment between any Arizona State Personnel System employee and any Arizona State Personnel System agency. Nothing in this manual changes the fact that all uncovered employees of the Arizona State Personnel System are at will employees and serve at the pleasure of the appointing authority.*

The Arizona **State Personnel System (SPS)** was established on September 29, 2012. In order to standardize the performance appraisals across agencies in the SPS, the **Managing Accountability and Performance (MAP)** system was created. MAP incorporates best practices for achieving superior employee performance. Both **covered** and **uncovered** employees will have their performance formally evaluated at least annually. The MAP process facilitates employee-supervisor dialogs about performance requirements, expectations and results. Most supervisors and employees will be able to access MAP and complete the performance appraisal process online through HRIS/YES.

## **WHAT ARE THE ROLES OF THE SUPERVISOR and EMPLOYEE IN THE MAP PROCESS?**

The State Personnel System Rules require that managers and supervisors engage in the performance management process for both covered and uncovered employees (see Personnel Rules R2-5A-701 and R2-5A-702). The Rules require that managers and supervisors

- 1) Administer a performance plan for each employee within 30 days of becoming the employee's supervisor,
- 2) Monitor and evaluate an employee's performance throughout the appraisal cycle,
- 3) Provide feedback to the employee on a regular basis, and
- 4) Formally evaluate, document and rate the performance of each employee at least annually.

Monitoring performance, providing feedback and coaching are critical components of management and supervision, but in an effective performance management system, the employee also plays a critical role. Whenever a supervisor checks a work product, coaches

an employee on how to do the job better, answers an employee's question, or engages in a discussion of the best way to accomplish a task, the supervisor is engaging in the performance management process. Similarly, the employee's responsibility in the performance management process is to ask questions, clarify instructions, and to take action based on feedback that the supervisor or manager provides. The MAP system is a reflection of the interactions good supervisors, managers and employees already have on a daily basis.

In order to engage in effective performance management, it is helpful to keep the following **BEST PRACTICES** in mind:

- **Partnerships Drive Performance** – supervisors and employees must engage in ongoing dialog aimed at achieving desired results
- **Communicating Expectations is Essential** – employees must know what is expected of them at the outset of the appraisal cycle, whenever new expectations arise, and as expectations change
- **Continuous Monitoring and Feedback is Vital** – supervisors must continuously monitor employee performance and provide ongoing feedback and coaching throughout the appraisal cycle
- **“No surprises” Formal Appraisals** – expectations, observations and guidance are shared on an ongoing basis throughout the appraisal cycle, so there are “no surprises” at the formal appraisal

*Please note:* The performance management process is a shared responsibility. Accordingly, the information in this handbook is intended for use by both supervisors and employees.

## **INTRODUCTION TO COMPETENCIES – HOW DO WE EVALUATE ON-THE-JOB SUCCESS?**

Competencies are key components of the MAP system. Competencies are employee behaviors. Much of an employee's appraisal will be based on their behaviors (competencies) in a number of categories. Each competency contains a short sentence that describes the competency and is accompanied by standards that exemplify behavior that meets or exceeds expectations, as well as descriptions that represent behavior in need of improvement. For example, below is the “Customer Service” competency.

## CUSTOMER SERVICE

Understands that all employees have external and/or internal customers and stakeholders that they provide services and information to; honors all of the agency's commitments to customers by providing helpful, courteous, accessible, responsive, and knowledgeable service.

NEEDS IMPROVEMENT	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS
<p><b>Completeness</b></p> <p>Fails to provide or begrudgingly provides minimal service; fails to identify or resolve customer service issues.</p>	<p>Willingly provides assistance and useful information; takes appropriate actions to remedy customer service issues.</p>	<p>Anticipates customer needs and goes "the extra mile"; prevents future occurrence of issues.</p>
<p><b>Professionalism</b></p> <p>Fails to interact with customers politely; is not attentive to customer needs; inappropriately reacts to situations rather than being empathetic to the needs of the customer.</p>	<p>Interacts with customers respectfully; listens attentively to verify understanding of their needs; remains patient, calm and polite in all situations.</p>	<p>Maintains a professional demeanor at all times; is attentive to customer, even during busy periods; acts respectfully to defuse even the most difficult situations.</p>
<p><b>Availability/Timeliness</b></p> <p>Is difficult to contact in person or over the phone; takes an unreasonably long time in responding to requests and issues.</p>	<p>Is easy for the customer to contact in person or over the phone; responds promptly to requests and issues.</p>	<p>Makes self fully available to the customer; consistently responsive to requests exceeding customer expectations.</p>
<p><b>Communication</b></p> <p>Fails to confirm or understand customer needs; does not respond or provides limited or partial service or answers.</p>	<p>Seeks out, confirms and understands customer needs and/or problems; responds appropriately answering questions as completely as possible.</p>	<p>Anticipates changing customers' needs and adapts; provides needed information even if the customer does not know exactly what to ask for.</p>

Click [here](#) to see a graphic that shows the terminology and naming conventions associated with each competency.

### MAP STRUCTURE

With the MAP process, each employee is evaluated on

- **STATEWIDE COMPETENCIES**, which apply to all State Personnel System employees
- **AGENCY-SELECTED COMPETENCIES**, which apply to all employees in an agency, division or job classification
- **PERFORMANCE PERIOD RESULTS**, which includes the Results Orientation Competency and the employee's specific, expected results or performance requirements for the appraisal period.

The full set of competencies can be viewed by clicking [here](#) and selecting the appropriate link on the left.

## STATEWIDE COMPETENCIES

The Statewide competencies are designed to promote excellence in State government. All State Personnel System employees are evaluated on three competencies

- *Customer Service*
- *Accountability*
- *Teamwork and Cooperation*

Supervisors and managers are also evaluated on

- *Leadership and Supervision*

## AGENCY-SELECTED COMPETENCIES

Each agency selects three additional competencies that apply to their employees. Sometimes, these competencies will vary by division within an agency or by job classification. Check with your supervisor to find out which competencies will be used in your area.

## PERFORMANCE PERIOD RESULTS

The Results section of the appraisal covers two areas: the *Results Orientation* competency and the employee's specific performance requirements. The *Results Orientation* competency includes standards for

- Goal Setting
- Overcoming Obstacles
- Solution Focus
- Quality, Service and Productivity
- Follow-through/Evaluation

Each employee should also be assigned specific performance requirements for the appraisal period. These requirements should be stated in the "SMAART Results" format. SMAART stands for

- **S**pecific
- **M**easurable
- **A**ttainable
- **A**cknowledged
- **R**ealistic/Relevant
- **T**ime-oriented

Below are some examples of *SMAART Results* that **MEET** and **DO NOT MEET** the criteria.

NOT <i>SMAART</i>	<i>SMAART</i>
Analyze the results of the citizen survey.	Complete data compilation and analysis of the Citizen’s Advisory Group second-quarter survey and submit to the Director’s Office by July 31 <sup>st</sup> .
Regularly meet with staff	Meet with direct reports once per month to review performance measures for each work unit and discuss issues of concern.
Keep up to date on document scanning	Scan all incoming correspondence within 24 hours of receipt and forward electronically to the appropriate staff member for follow-up.

## PERFORMANCE APPRAISAL CYCLES

In the MAP system, employees are placed in one of four types of appraisal cycles:

- Original Probationary (OP) Cycle
- Promotional Probationary (PP) Cycle
- Transition Cycle
- Annual Appraisal Cycle

Original Probationary and Promotional Probationary Cycles apply to covered employees only. Transition Cycles and Annual Appraisal Cycles apply to both covered employees with Permanent Status and to uncovered employees. Whether an employee is placed into a Transition Cycle or the agency’s Annual Appraisal Cycle depends on several factors. Figure 1 on the next page summarizes the four types of appraisal cycles.

Figure 1

## The Four Types of Employee Appraisal Cycles

- Annual Appraisal Cycle
  - The 12-month appraisal period established by each agency. Most agencies have Annual Appraisal Cycles of January 1 through December 31, or July 1 through June 30.
  - Applies to covered employees with permanent status and to uncovered employees. All employees who are not on OP, PP or Transition Appraisal Cycles are evaluated on the agency's Annual Appraisal Cycle unless an exception is granted (e.g., Deputy and Assistant Directors and temporary employees).
  
- Transition Cycle
  - Applies to covered employees with permanent status and to uncovered employees.
  - **Begins with** either of the following events:
    - Employee is an uncovered new hire in the State Personnel System
    - Employee moves from one position to another
  - **Ends with** the agency's Annual Appraisal Cycle, unless there are fewer than 90 days remaining in the agency Annual Appraisal Cycle. If fewer than 90 days remain, the employee's appraisal cycle skips the upcoming appraisal and the employee is evaluated at the end of the following Annual Appraisal Cycle (e.g., the employee may have an initial appraisal period of up to 15 months).
  
- Original Probationary (OP) Cycle
  - Covered employees only. See Personnel Rule R2-5B-202.
  
- Promotional Probationary (PP) Cycle
  - Covered employees only. See Personnel Rule R2-5B-203.

Below are some examples of Transition and Annual Appraisal Cycles in action for agencies on a January through December Annual Appraisal Cycle (A = Annual Appraisal Cycle; T = Transition Cycle; PA = End of the Performance Appraisal Cycle). Formal performance appraisal closeouts are due no later than 30 days after the end of the performance appraisal cycle.

Employee is on board January 1<sup>st</sup>. Agency is on a January through December annual cycle. The employee receives an annual performance appraisal for each January 1 through December 31 cycle.

	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
2013	A	A	A	A	A	A	A	A	A	A	A	PA
2014	A	A	A	A	A	A	A	A	A	A	A	PA

Employee is appointed July 1, 2013. Agency is on a January through December annual cycle. Employee is placed on a Transition Cycle from July 1, 2013 through December 31, 2013 and receives a performance appraisal covering the Transition Cycle. Thereafter, the employee is placed on the agency's Annual Appraisal Cycle and receives a performance appraisal for each year ending December 31.

	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
2013							1st	T	T	T	T	PA
2014	A	A	A	A	A	A	A	A	A	A	A	PA
2015	A	A	A	A	A	A	A	A	A	A	A	PA

Employee is appointed October 7, 2013. Agency is on a January through December annual cycle. Because less than 90 days remain in the agency's Annual Appraisal Cycle, the employee is placed on a Transition Cycle through December 31, **2014** and receives a performance appraisal covering the hire date through the end of the agency's Annual Appraisal Cycle ending December 31, 2014. Thereafter, the employee is placed on the agency's Annual Appraisal Cycle and receives a performance appraisal for each year ending December 31.

	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
2013										7th	T	T
2014	T	T	T	T	T	T	T	T	T	T	T	PA
2015	A	A	A	A	A	A	A	A	A	A	A	PA

Employees who work a schedule that is less than full-time are evaluated on the same schedule as employees who work full-time. Covered employees on original or promotional probation have appraisals in accordance with applicable Personnel Rules.



In addition to **Formal Appraisal Closeout** requirements, there will be times when a new **Performance Plan** is required. See **Appendix A** for guidelines on when performance plans and formal appraisal closeouts are required.

## OVERVIEW OF THE MAP PROCESS

**Partnerships Drive Performance** – supervisors and employees must engage in ongoing dialog aimed at achieving desired results

As stated previously, the performance management process is a shared responsibility. All employees are expected to engage in the process, to track and self-report their accomplishments, to willingly accept and act on feedback, and to meet the expectations they are given. As with most performance appraisal systems, there are three phases to the MAP cycle:

- Performance Planning
- Monitoring, Feedback, Documentation and Ongoing Dialog
- Formal Appraisal

Each of these phases will be discussed in detail.

## PERFORMANCE PLANNING

**Communicating Expectations is Essential** – employees must know what is expected of them at the outset of the appraisal cycle, whenever new expectations arise, and as expectations change

It is essential that managers and supervisors communicate expectations and standards to their employees. Effective performance management encompasses a review of **WHAT** the employee does, **HOW** it is done, and **WHY** it is done, including a review of how the employee's contributions are connected to the agency's goals. First and foremost, the supervisor and employee should discuss concrete examples of how the competencies relate to the employee's particular job responsibilities.

In addition to the competencies, supervisors and employees must discuss **SMAART Results** or other performance requirements that are expected of the employee for a particular appraisal cycle. Assignments that would normally be recorded in the *SMAART Results* section would typically include long-term projects, major initiatives, or completion of training required to do the job (e.g., completion of the Correctional Officer's Training Academy, etc.) At the end of the appraisal cycle, accomplishment of the *SMAART Results* and/or other performance requirements will be evaluated along with the *Results Orientation* competency to determine a final rating for the Performance Period Results component of the employee's appraisal. General employee development activities that are not *required* to be able to do the job would not be included in the *Performance Period Results* section.

## **MONITORING, FEEDBACK, DOCUMENTATION and ONGOING DIALOG**

**Continuous Monitoring and Feedback is vital** – supervisors must continuously monitor employee performance and provide ongoing feedback and coaching *throughout* the appraisal cycle

Studies show that employees are most satisfied and productive when they receive *frequent, timely feedback*. Employees want to understand expectations and achieve desired results. Frequent informal feedback is usually the most effective coaching tool. If there is a performance issue, it is best to address this as soon as possible in order to help the employee make incremental changes to enhance performance. Even employees who are doing well appreciate feedback to help them move toward excellence!

Throughout the appraisal cycle, there should be ongoing discussions between the supervisor and employee. These discussions should be based on monitoring of work products, observations and feedback that are shared at the time they occur, not saved for a mid-period or formal appraisal closeout. Criticisms should take on the character of “course corrections,” with the goal of helping the employee move toward ideal performance. Feedback and documentation during the appraisal cycle will be informal – no rating will be given, but discussions about any significant issues (both failures and successes) should be documented, if only in the supervisory file. While the type, method and frequency may vary from one supervisor to another, all supervisors must monitor performance, provide feedback and record documentation of their performance management interactions with employees.

Keeping records about work performance is the responsibility of both the supervisor and employee. Such documentation should include the employee's performance in relation to the assigned competencies, performance period results and general work standards established at the beginning of the appraisal cycle. Records should be kept of performance requirements and feedback discussions, as well as employee recognition awards or corrective action or discipline. This documentation will prove very useful when it is time to close out the formal performance appraisal.

### **WHAT IF THE EMPLOYEE HAS A PERFORMANCE ISSUE? WHAT ABOUT MISCONDUCT?**

Once the supervisor has identified a performance issue, the supervisor should meet with the employee to discuss it. To help prepare for the meeting, supervisors may wish to use the **Painless Performance Conversations Worksheet** (click [here](#)) to help organize their thoughts and plan a constructive meeting with the employee. A supervisor is free at any time to formalize directions in writing, make action plans, assign training, or initiate other methods designed to improve performance. If a supervisor counsels an employee and wishes to document that discussion, the supervisor may use the **Employee Counseling Session** form (click [here](#)). This form is used to summarize the issues discussed, outline expected future conduct, and provides space for the employee to comment on the discussion if desired.

Depending on the level and type of performance issue, the corrective and disciplinary action process may be required. If the supervisor believes that the employee has engaged in misconduct, the supervisor should immediately contact the agency Human Resources office for guidance. **Appendix B** contains a graphic that summarizes these points and provides direction for supervisors who are unsure of the most appropriate action to take.

### **FORMAL APPRAISAL**

**“No surprises” Formal Appraisals** – expectations, observations and guidance are shared on an ongoing basis throughout the appraisal cycle, so there are “no surprises” at the formal appraisal

The formal performance appraisal is the culmination of all phases of performance management. There are four major steps in the formal appraisal process:

- Analyze Performance
- Assign Ratings
- Document Supporting Data
- Complete the Formal Appraisal Closeout Process

Analyze Performance. Analysis of performance should begin with a comparison of the employee's performance against the competencies, performance requirements and SMAART Results that were established in the performance plan at the beginning of the appraisal cycle. The analysis should include a review of the employee's commendations, customer compliments or complaints, corrective or disciplinary actions, documentation concerning feedback discussions, and the employee's self-appraisal.

Assign Ratings. After analyzing performance, a rating should be assigned for each competency. The three possible ratings are

- Needs Improvement
- Meets Expectations
- Exceeds Expectations

For supervisors and employees who have been with the State for some time, analyzing and documenting as mentioned above is self-explanatory, but evaluating performance in relation to the competencies may require some additional guidance. In order to utilize the competency rating system most effectively, each competency should be reviewed standard by standard to determine which rating best represents the employee's performance during the appraisal cycle.

For example, the *Customer Service* competency contains standards for the following factors:

- Completeness
- Professionalism
- Availability/Timeliness
- Communication

The determination of an employee's rating for *Customer Service* should be based upon consideration of all of the standards, not just a general review of the concept of customer service.

Please note that the competencies contain descriptions of behaviors that are considered critical, but are not intended to be all inclusive. For example, an employee exhibiting behavior that is related to customer service but is not specifically listed in that competency can still influence the employee's score for *Customer Service*.

In addition to assigning ratings for each statewide and agency competency, the supervisor will rate the employee's Performance Period Results taking into consideration both the employee's performance on the Results Orientation competency, *and* the employee's SMAART Results and/or other performance requirements.

Note: Supervisors should be aware of and avoid the common rating errors, including being too lenient, too strict, focusing on recent events versus the entire appraisal cycle, etc. See **Appendix C** which shows the most common types of rating errors.

Document Supporting Data. In the MAP application, each competency is accompanied by a text box where the employee's key behaviors and achievements are to be documented. The supervisor is responsible for providing documentation to support all ratings. This documentation may be limited to comments about the employee's performance or may include samples of work product, quality and/or productivity reports, etc. **At a minimum, comments about performance are required for any competency rating of "needs improvement" or "exceeds expectations."** For ratings of "needs improvement," this may include a statement outlining the areas where the employee failed to meet work standards, performed work in an unsatisfactory manner, received a formal disciplinary action, etc. For "exceeds expectations" ratings, it may include outstanding accomplishments, commendations, performance measures, etc. Use specific examples to document behavior and results. Documentation must truly reflect the employee's level of performance and be objective and factual. It should support the rating and be easily understood by anyone reading it. Avoid making subjective statements, commenting on personality traits or making conclusions about motivations or intentions. Do not make comments about race, color, religion, national origin, veteran status, family status, or any other legally protected factor. Note: *Approved periods of leave should not negatively impact an employee's performance appraisal in any way. This includes Family and Medical Leave Act (FMLA) leave and Military Leave, even if the leave is categorized as leave without pay.*

Complete the Formal Appraisal Closeout Process. The MAP process incorporates appraisals by both the supervisor and the employee. The employee completes a self-appraisal for the supervisor's consideration which includes comments about each of the assigned competencies and performance period results. The supervisor completes the appraisal as detailed in the foregoing paragraphs, taking into consideration the employee's comments, and submits it to the supervisor's (upline) manager for review **before sharing it with the employee.** NOTE: *If the employee's performance is rated as "Needs Improvement" either overall or on one specific competency, the supervisor should contact the agency Human Resources office for advice before proceeding.*

After the supervisor has obtained the necessary approvals, the supervisor shares the appraisal with the employee. Supervisors may wish to use the **Painless Performance Appraisal Worksheet** as a discussion planning tool before meeting with the employee ([click here](#)).

After meeting with the supervisor for the appraisal discussion, the employee must acknowledge and finalize the appraisal. The employee has the opportunity to comment on the appraisal as part of the acknowledgement process. *Supervisors should avoid adding any comments to the formal appraisal closeout after the employee makes final comments. Nothing should be in an employee's official personnel record that the employee has not had the opportunity to see and comment upon.*

When all acknowledgements are obtained and the performance appraisal is finalized, the appraisal becomes part of the employee's official personnel file. The copy will include the supervisor's ratings and comments as well as the employee's self-appraisal.

### **DO THE SUPERVISOR AND EMPLOYEE NEED TO MEET TO REVIEW THE RESULTS OF THE APPRAISAL BEFORE THE FINAL ACKNOWLEDGEMENT IS COMPLETED?**

Supervisors must meet with employees to discuss the appraisal before completing the final acknowledgement. It is important to remember that **Partnerships Drive Performance** – supervisors and employees must engage in ongoing dialog aimed at achieving desired results and the appraisal conversation is part of that dialog. Depending on the outcome of the appraisal, the supervisor and employee meeting may take several forms.

#### If the employee's performance meets or exceeds expectations:

- Discuss specific areas of accomplishment. Refer to the competency standards and discuss specific examples that demonstrate how the employee's performance was exemplary or met expectations.
- Clarify the employee's future goals. What are the employee's career aspirations? What activities or additional responsibilities might help the employee gain relevant experience? What developmental activities will the employee engage in during the next appraisal cycle?
- Review the existing competencies, discuss new expectations and expected *Performance Period Results*. Remember, the end of one appraisal period also means the beginning of the next.

#### If the employee's performance needs improvement:

Review the competencies and performance standards with the employee. Acknowledge any areas of acceptable performance and discuss specific examples of areas where the employee failed to meet expectations.

- Advise the employee what steps need to be taken to bring performance to the “Meets Expectations” level and consequences of failure to do so.
  - Discuss any specific performance requirements the employee is expected to meet and or improve upon, as well as any training and development activities the employee is expected to complete.
- Obtain the employee’s commitment to working toward improved performance.

*NOTE: If the employee’s performance is rated as “Needs Improvement” either overall or on one specific competency, the supervisor should contact the agency Human Resources office for advice before meeting with the employee.*

#### **WHAT IF THE EMPLOYEE DISAGREES WITH THE SUPERVISOR’S RATINGS OR COMMENTS?**

If an employee disagrees with the supervisor’s ratings or comments, the employee should first discuss the ratings and/or comments with the supervisor. Just as the supervisor must be specific in the comments made on the employee’s appraisal, the employee should provide specific information about the competencies, performance measures and standards that the employee feels were not appropriately evaluated. All employees may make comments on their appraisals as part of the formal appraisal closeout process. An employee who disagrees with the ratings or comments on a finalized appraisal may submit written comments to the supervisor for inclusion in the employee’s official personnel file. An employee who submits comments must do so no later than 30 calendar days after the appraisal is finalized and must specifically request that the comments be included in the employee’s official personnel file.

#### **AUTOMATION AND SUPPORT**

The MAP system was designed in accordance with best practices for performance management. This includes automation. Most agencies will be accessing the MAP system via the YES website. Computer-based Training (CBT), webinars, quick reference guides and video tutorials are available for both supervisors and employees to orient them to the MAP system. Classroom training is also available for supervisors.

#### **WHAT IF I HAVE OTHER QUESTIONS?**

Additional information and resources on performance management are available on the YES website by clicking [here](#). If you have other questions or need additional information, please contact your agency Human Resources office.

## Appendix A -- PERFORMANCE PLAN AND FORMAL APPRAISAL CLOSEOUT REQUIREMENTS

ACTION	New Plan Required	Closeout Required	GUIDELINES*
Appointment	Yes	N/A	A supervisor must complete a performance plan for each employee within 30 days of becoming the employee's supervisor. This applies to all employees whether covered or uncovered.
Employee's Position Changes	Yes	Yes	If an employee has a change of position, the current supervisor completes a formal appraisal closeout and the new supervisor initiates a new performance plan.
Employee's Supervisor Changes	Depends	No	<p>The current supervisor must discuss the employee's performance with the employee and document comments about the employee's performance for the record. These comments are transferred to the new supervisor. The new supervisor considers the prior supervisor's comments when assigning a performance rating at the time the employee's formal appraisal closeout is due.</p> <p>If the new supervisor wishes to modify the employee's SMAART Results, the supervisor documents those changes and discusses the changes with the employee.</p>
Employee is Placed on Special Assignment	Yes	No	<p><i>NOTE: These procedures only apply when an employee is placed on a special assignment pursuant to Personnel Rule R2-5A-307(B)(3).</i></p> <ul style="list-style-type: none"> <li>• The <b>employee's supervisor</b> continues to record observations about the employee's performance and discusses those observations with the employee.</li> <li>• The <b>special assignment supervisor</b> provides feedback to the employee and the employee's supervisor about the employee's performance. The employee's supervisor takes into account the special assignment supervisor's feedback when rating the employee's performance at the end of the appraisal period.</li> <li>• A special assignment supervisor who wishes to modify an employee's SMAART Results shall notify the employee and the employee's supervisor. The employee's supervisor documents the change in SMAART Results.</li> </ul>



End of Annual Appraisal Cycle	Yes	Yes	Both covered and uncovered employees must receive a formal performance appraisal at least annually, unless an exception applies (e.g., employee had an appraisal within the last 90 days, employee is on probation, etc.). A new performance plan for the next annual appraisal period is required as well.
End of Original or Promotional Probation (Applies only to <b>Covered</b> Employees)	No, unless perf standards change	Yes	Probationary employees must receive a formal performance appraisal by the end of their probationary periods. <i>Note: If a performance appraisal is not completed by the end of the probationary period, the employee receives permanent status by default.</i>
Extension of Probation (Applies only to <b>Covered</b> Employees)	Depends	Yes – Contact HR	If an employee’s probation is to be extended, a formal performance appraisal must be completed before the end of the probationary period. A new performance plan MAY be required, depending on the circumstances. <i>Contact the agency Human Resources office for guidance as soon as possible if considering extension of probation.</i>
Failure to Complete <u>Original</u> Probation (Applies to <b>Covered</b> Employees Only)	No	No – Contact HR	If a <b>covered</b> employee fails to successfully complete original probation, a formal performance appraisal SHOULD NOT be completed.  <i>NOTE: Contact the agency Human Resources office for guidance as soon as possible if an employee may not successfully complete the original probationary period.</i>
Failure to Complete <u>Promotional</u> Probation (Applies to <b>Covered</b> Employees Only)	No	Optional – Contact HR	If a <b>covered</b> employee fails to successfully complete a promotional probationary period, a formal performance appraisal MAY be completed.  <i>Contact the agency Human Resources office for guidance as soon as possible if an employee may not successfully complete the promotional probationary period.</i>

Separation from State Employment – <b>VOLUNTARY</b>	N/A	Optional	When an employee retires or resigns, a formal appraisal closeout <i>MAY</i> be completed before the employee leaves. <i>NOTE: Nothing should be placed in a current or former employee’s official personnel file that the employee has not had the opportunity to see and comment upon.</i>
Separation from State Employment – <b>NOT VOLUNTARY</b>	N/A	No – Contact HR	Do not complete a formal appraisal closeout on an employee who is being dismissed, laid off or otherwise involuntarily separated.  <i>Contact the agency Human Resources office for guidance if involuntarily separating an employee.</i>
Significant Change in Duties or Responsibilities	Yes	Depends	The Personnel Rules state that a supervisor shall modify a performance plan when <i>significant</i> responsibilities or expectations are added to or removed from a position. Depending on the circumstances, a formal appraisal closeout or a position review may be required. Contact your agency Human Resources office for further guidance.

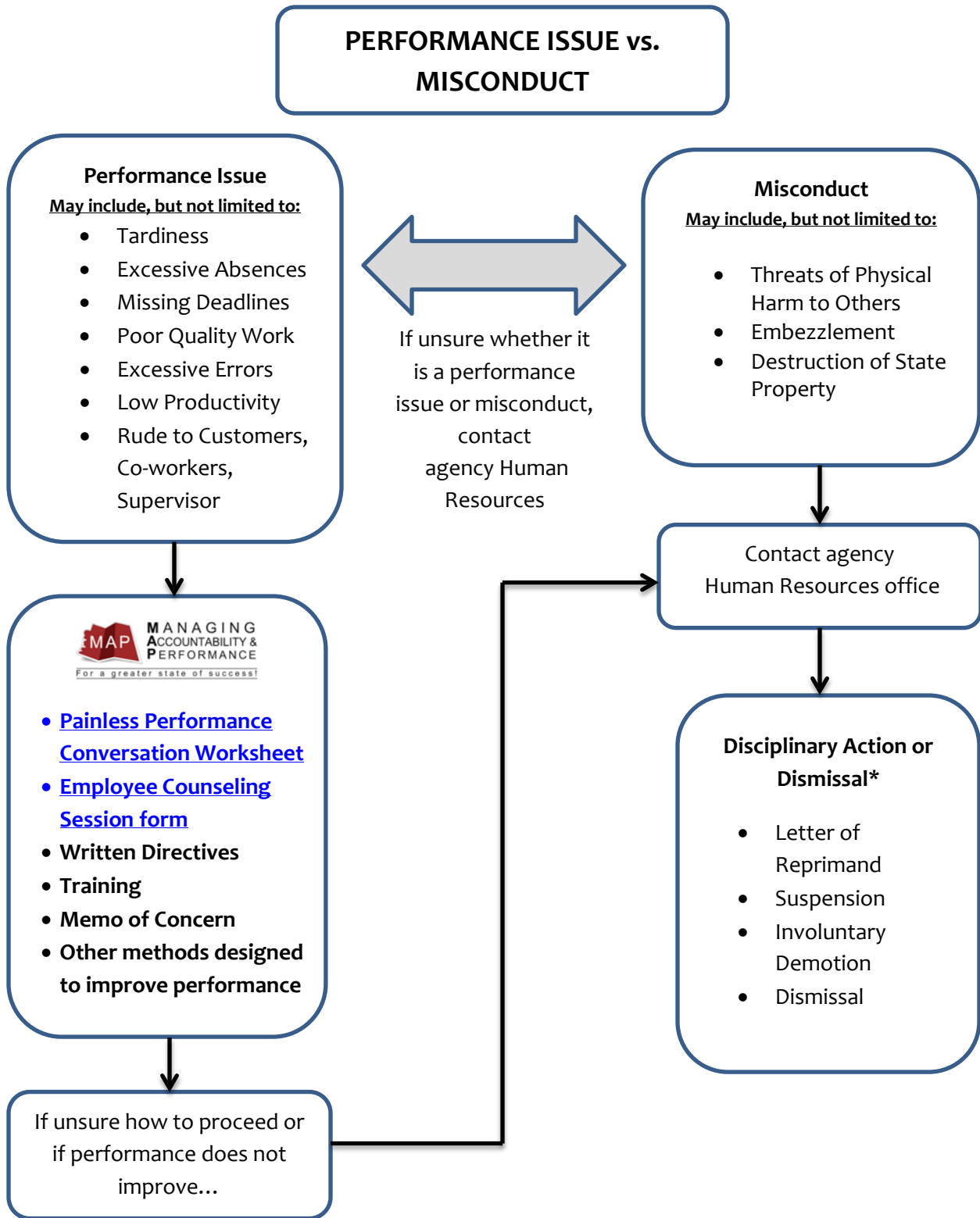
**\*NOTES:**

1. Exceptions to the above requirements apply for agency heads and may apply for deputy directors and assistant directors. Contact the agency Human Resources office if employees fall into one of these categories.
2. Temporary employees do not receive formal performance appraisals unless an exception is approved by the ADOA Human Resources Director for a specific position.
3. In accordance with the Personnel Rules, all performance plans must be administered within 30 days of the action that necessitates a new performance plan (e.g., change of position, significant change in duties or responsibilities, etc.).
4. Normally, formal appraisal closeouts, *including all necessary acknowledgements*, must be completed no later than 30 days after the end of the agency’s Annual Appraisal Cycle. End of probation closeouts and closeouts that occur because the employee’s position changes must be completed prior to the end of probation or departure of the employee if the employee is moving to a new position. Contact the agency Human Resources office for specific timelines in these situations.
5. If an employee moves to a new position but the employee’s job title and competencies do not change (e.g., the employee is a lateral transfer from one unit to another and continues to do the same type of work), the formal appraisal closeout requirement may be waived upon the approval of the agency’s ADOA Chief Human Resources Officer.
6. 90-Day Window Closeout Exception: A formal MAP appraisal closeout is NOT required if: (1) the employee is in the same position and a formal appraisal was completed within the last 90 days, AND (2) there has been no significant change in the employee’s performance. If an employee has had a closeout appraisal within the last 90 days, but the employee’s

performance has changed and different ratings are warranted, a new closeout should be completed.

7. Off-cycle Closeout Appraisal: Upon the approval of the agency's ADOA Chief Human Resources Officer, a supervisor may at any time close out the current appraisal of a permanent status covered employee or an uncovered employee, provided that the appraisal covers at least 90 days. An appraisal prepared under these circumstances is a full appraisal. The supervisor rates the employee on all competencies and the employee's ratings on each competency may go up or down depending upon the employee's performance.

Appendix B



\*Note: Suspensions of greater than 80 hours, involuntary demotions and dismissals require review by the Arizona Department of Administration. Contact the agency Human Resources office for guidance.

## Appendix C

### Common Rating Errors

	<b>Definition</b>	<b>Example</b>
<b>Leniency Error</b>	Rating the employee higher than performance warrants.	Brandon’s performance is acceptable, but he is not a “star” performer. His supervisor rates him as “Exceeds Expectations.”
<b>Severity Error</b>	Rating the employee lower than performance warrants.	Emily is a solid performer, although not exceptional. Her supervisor rates her as “Needs Improvement.”
<b>Central Tendency Error</b>	Rating employees in the middle even when their performance warrants a higher or lower rating.	Edward’s team has some employees who excel at their jobs and some employees who routinely miss deadlines, yet Edward rates all of the employees on his team as “Meets Expectations.”
<b>Halo Effect</b>	Allowing the employee’s performance on one competency to positively influence the employee’s ratings on other competencies.	Sarah performs exceptionally well in the area of customer service, but she makes many mistakes in her written work. Her supervisor gives her ratings of “Exceeds Expectations” on all competencies.
<b>Pitchfork Effect</b>	Allowing the employee’s performance on one competency to negatively influence the employee’s ratings on other competencies.	Marcus is hard to beat when it comes to accuracy, but he does not work well with others. His supervisor rates him as “Needs Improvement” for all competencies.
<b>Personal Bias</b>	Assigning higher than warranted ratings because an employee has qualities similar to the supervisor.	Gail and Paula went to the same university and majored in the same subject. Gail really likes Paula and always tends to rate her performance higher than Paula deserves.
<b>Recency Bias</b>	Allowing recent events to unduly influence the performance rating.	Eric recently finished a big project ahead of schedule, but due to his failure to plan appropriately, the last four projects were not completed on time. His supervisor gives him a rating of “Meets Expectations.”
<b>Length of Service Bias</b>	Allowing an employee’s length of service to influence performance ratings.	Gary rates Steven, a ten-year employee, as “Exceeds Expectations” and Carol, a one-year employee, as “Meets Expectations” even though Carol’s accuracy rate is better than Steven’s.
<b>Rating the Job, Rather than the Employee</b>	Rating the employee higher than deserved because the employee is in a job that seems critical to the operation.	Although in her day-to-day work she makes many errors, Ellen is the only employee in her work unit who can finalize reports on the agency computer system. Ellen’s supervisor rates her as “Exceeds Expectations”.

## Appendix D – MAP Overall Rating Scale

An employee’s overall MAP rating is assigned according to the table below (e.g., an employee whose overall rating is 2.33 Meets Expectations, an employee whose overall rating is 2.75 Exceeds Expectations, etc.).

Word Anchor	Rating Level	Score Range Begin	Score Range End
Needs Improvement	1	1.00	1.99
Meets Expectations	2	2.00	2.49
Exceeds Expectations	3	2.50	3.00

The formula for determining an employee’s overall MAP score is:

$$(A + B + C)/3$$

- **A** = Employee’s average score for all Statewide Competencies (3 competencies for non-supervisory employees; 4 competencies for supervisory employees)
- **B** = Employee’s average score for Agency-selected Competencies (3 competencies for all employees)
- **C** = Employee’s score for the Results Orientation Competency