

The following is from the MAP Administrative Manual.

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

ACTION	Performance Plan Discussion 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	Yes	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). The <b>employee's supervisor</b> continues to record observations about the employee's performance and discusses those observations with the employee.</i></p> <ul style="list-style-type: none"> <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)	Yes	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)	Yes	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)	N/A	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)	N/A	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 <b>MAY</b> 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. Employees in political appointment positions are excluded from these guidelines. (Political appointment positions are listed in A.R.S. § 41-742(F)). Although performance appraisals are not required for employees in political appointment positions, appraisals may be required for political appointments at the discretion of the agency head (or appointing authority in the case of a board or commission).
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.