

**ARIZONA STATE PERSONNEL SYSTEM**  
**PERFORMANCE APPRAISAL ADMINISTRATIVE GUIDELINES**

*This document does not create a contract for employment between any Arizona State Personnel System employee and any Arizona State Personnel System agency. Nothing in this document 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.*

## **PERSONNEL RULE REQUIREMENTS**

Arizona State Personnel System (ASPS) Rules require that managers and supervisors engage in the performance management process for both covered and uncovered employees. Managers/supervisors should:

- 1) Meet with their employees within 30 days of becoming the employee's supervisor to clarify performance expectations and measures (i.e., performance plan) or when a change occurs that necessitates a new performance plan (e.g., change of position, significant change in duties or responsibilities, etc.)<sup>1</sup>
- 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.

Finalized performance appraisals become part of the employee's official personnel file, which is maintained at each agency's Human Resources office.

## **PERFORMANCE APPRAISAL CYCLES**

There are three types of appraisal cycles:

- Annual Appraisal Cycle – applies to *uncovered employees* and *covered employees who have been granted Permanent Status* in accordance with Personnel Rules cited above. **All uncovered employees and covered employees who have been granted Permanent Status are evaluated on the agency's Annual Appraisal Cycle unless an exception applies** (see *Formal Performance Appraisal Closeout Guidelines* on the following pages).
- Original Probationary (OP) Cycle – applies to Covered employees only (see Personnel Rule R2-5B-202)
- Promotional Probationary (PP) Cycle – applies to Covered employees only (see Personnel Rule R2-5B-203)

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<sup>1</sup> "Performance plan" means a document prepared by an employee's supervisor that outlines what is expected of the employee and how the employee's performance will be measured (Personnel Rule R2-5A-702.A.).

## **PREPARING THE APPRAISAL - DOCUMENTATION and RATING REQUIREMENTS**

Supervisors are responsible for providing comments to support all ratings, using specific examples to document results and behaviors. Documentation must truly reflect the employee's level of performance and be objective and factual. Supervisors should NOT make comments about race, color, religion, national origin, veteran status, family status, medical condition (self or family), or any other legally protected factor. 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 categorized as leave without pay.

## **FINALIZING THE APPRAISAL**

Supervisors are expected to obtain their upline manager's review and approval before sharing the appraisal with the employee. After the supervisor and employee have met to discuss the employee's appraisal, the final step in the process is for the employee and supervisor to sign and date the appraisal. An employee's signature on the appraisal signifies that the employee has had the opportunity to review the appraisal; it does not necessarily signify agreement. When all signatures/acknowledgements are obtained, the appraisal becomes part of the employee's official personnel file. (If an employee refuses to sign/acknowledge the appraisal, the supervisor should document this fact in the employee signature space on the appraisal and submit it for filing in the employee's official personnel file in accordance with normal agency procedures.)

*NOTE: Supervisors should not add any comments to the formal appraisal after the employee makes final comments. Nothing should be placed in an employee's official personnel file that the employee has not had the opportunity to see and comment upon.*

Formal appraisal close-outs, *including all necessary acknowledgements*, should be completed no later than 30 days after the end of the agency's Annual Appraisal Cycle. Covered employee end-of-probation closeouts must be completed prior to the probation end date. Contact the agency Human Resources office for specific timelines

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

All employees may make comments on their appraisals as part of the closeout process. If an employee disagrees with the ratings or comments on the performance appraisal, the employee should discuss their concerns with the supervisor. Employees may also submit additional written comments about the performance appraisal for inclusion in the employee's official personnel file. Such comments must be submitted to the agency's Human Resources office in writing no later than 30 calendar days after the date the employee had the opportunity to sign the performance appraisal and must specifically request that the comments be included in the employee's official personnel file.

## FORMAL PERFORMANCE APPRAISAL CLOSEOUT GUIDELINES

### 1. Time in Job Classification

- a. An employee must have served in their current job classification for at least 180 days (six months) in order to receive a formal performance appraisal, unless an exception is granted by the agency's ADOA Chief Human Resources Officer.

### 2. Closeout Exceptions

- a. **Temporary employees and interns should not receive formal performance appraisals** unless an exception is approved by the ADOA Human Resources Director for a specific position. **Contractors from temporary agencies and other types of contractors are not employees and DO NOT receive performance appraisals.**
- b. Employees in **political appointment positions** are excluded from the Closeout requirements below (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 at the discretion of the agency head (or appointing authority in the case of a board or commission).
- c. **90-Day Window:** A closeout is NOT required, if an employee has received a formal appraisal within the last 90 days, AND there has been no significant change in the employee's performance. If there has been a significant change in the employee's performance and different ratings are warranted, a new closeout should be completed.

UNCOVERED EMPLOYEES		
ACTION	CLOSEOUT REQUIRED?	CLOSEOUT GUIDELINES
End of Annual Appraisal Cycle	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, Covered employee on Original or Promotional Probation, etc.).
Employee's Position Changes	Yes	If the employee changes positions, the losing supervisor must complete a formal performance appraisal. (This requirement does not apply for administrative transfers that do not involve a significant change in duties, for example position transfers due to reorganizations; transfers due to funding changes; etc.).
Employee's Supervisor Changes	No	If the current supervisor leaves, he/she discusses the employee's performance with the employee and documents comments about the employee's performance for the record. These comments are transferred to the new supervisor, who considers the prior supervisor's comments when assigning a performance rating at the time the employee's formal appraisal closeout is due.
Employee is Placed on Special Assignment	Yes	If an employee is on a special assignment when a performance appraisal is required (e.g., at the end of the agency's annual performance appraisal cycle), the special assignment supervisor collects performance records from the prior supervisor, if applicable, and completes the employee's performance appraisal.

COVERED EMPLOYEES ONLY		
ACTION	CLOSEOUT REQUIRED?	CLOSEOUT GUIDELINES
End of Original or Promotional Probation	Yes	Probationary employees must receive a formal performance appraisal by the end of their probationary periods.  <b>IMPORTANT:</b> <i>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	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.  <b>IMPORTANT:</b> <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	No – Contact HR	If a <b>covered</b> employee fails to successfully complete original probation, a formal performance appraisal SHOULD NOT be completed.  <b>IMPORTANT:</b> <i>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	Optional – Contact HR	If a <b>covered</b> employee fails to successfully complete a promotional probationary period, a formal performance appraisal <b>MAY</b> be completed.  <b>IMPORTANT:</b> <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>

SEPARATIONS: APPLIES TO ALL EMPLOYEES		
<b>VOLUNTARY</b> Separation from State Employment	Optional	When an employee retires or resigns, a formal appraisal closeout MAY be completed before the employee leaves, but it is not required. <b>NOTE:</b> <i>Nothing should be placed in a current or former employee’s official personnel file that the employee has not seen and had the opportunity to comment upon.</i>
<b>INVOLUNTARY</b> Separation from State Employment	No – Contact HR	Do not complete a formal appraisal closeout on an employee who is being dismissed, laid off or otherwise involuntarily separated.  <b>IMPORTANT:</b> <i>Contact the agency Human Resources office for guidance when involuntarily separating an employee.</i>

**Questions or requests for information related to these Guidelines should be addressed to your agency Human Resources Office.**