COST OF GOVERNMENT COMMISSION
COUNTY OF MAUI

Report of Findings and Recommendations
for Commission Term
2013 – 2014

It is declared to be the policy of the County to promote economy, efficiency and improved service in the transaction of the public business in the legislative and executive branches of the County.

Frank R. De Rego Jr., Chair
Ronald Kawahara, Vice Chair
Steve Aheong, Member
Garrett Evans, Member
Tina Gomes, Member
Jeffrey Halpin, Member
E. Gayle Long, Member
George Shimada, Member
Yuki Lei Sugimura, Member
I. INTRODUCTION

The Cost of Government Commission ("COGC" or "Commission") has spent the 2013–2014 term reviewing its role and function under the revised County Charter. The creation of the Office of the County Auditor has created opportunities and challenges for the Commission as it supports the independence of the office, while also fulfilling the Commission’s advisory role.

In its final revised report, the Charter Commission clearly stated the need for a citizen advisory board that would provide considered and thoughtful public input on efficiency, economy, and improved service within County government. The Commission believes there is no duplication of effort or focus between the Office of the County Auditor and the Cost of Government Commission. The COGC will continue to fulfill its mandated functions under the Charter, while it clarifies its role in relationship to the Office of the County Auditor. This discussion will be ongoing, with this report outlining the thinking of the Commission on these issues.

The Commission commends the Mayor and the County Council for their efforts to ensure the continued financial stability of the County as reflected in the Fiscal Year 2014 Budget. The economy continues to rebound from the Great Recession, which began in the United States in 2007. Countywide unemployment is currently at 4.5% — the lowest since 2007 (2.7%). Averages can be deceptive and there are areas of the County which have not benefited fully from the economic rebound. Nonetheless, prudent stewardship of County resources and sound economic policy has resulted in Maui County retaining its excellent credit rating and formed a solid foundation on which to build a firm recovery.

As the economy continues to grow, the Commission strongly recommends that the Mayor and the County Council implement policies that will continue to give taxpayers the best value for their money. An ethic of continuous improvement should find both branches of government searching for efficiencies in government processes and economies in government expenditures. Fee and tax increases should be considered carefully and enacted with a view to pay for those services that the taxpayers need with the quality they deserve.

The Commission met with Mayor Alan Arakawa, Council Chair Gladys Baisa, and all members of the County Council to review the Commission’s 2012–2013 Annual report and discuss the Commission’s potential areas of study for the subsequent 2013–2014 term. The Commission decided to focus on how to ensure the Office of the County Auditor is responsive to and effective for the public. Toward this end, the Commission decided to review the best options available in investigating and evaluating the effectiveness of the office. In tandem with this concern, the Commission believed it was also important to sort out its role and function under the revised Charter. Thus, the Commission decided it should outline a strategic plan that is rooted in its Charter mandate.

The Commission encourages the County Council and the Mayor to consider this report and past reports as they deliberate recommendations on County operations, the Fiscal Year 2015 Budget, and future budgets. The Commission advises the Office of the County Auditor to review this report and forward any suggestions of areas for preliminary study to the Commission.
The Commission is made up of citizen volunteers from very diverse backgrounds that include business owners, managers in the non-profit sector, experts in accounting and finance, and other fields. The totality of this experience is brought to bear on matters of importance that affect the quality of governance for Maui County.

In the Charter, it is the expressed policy of the County of Maui to be responsive to the taxpayers by improving service, finding efficiencies wherever possible, and being economical with County funds. The COGC will continue to investigate government processes and operations, recommending where efficiency, economy, and improved service can be realized and, when necessary, provide advice to the Office of the County Auditor on what it believes would be fruitful subjects for in-depth study and review after a preliminary investigation.

In addition to the subjects outlined above, the Commission would like to bring attention to issues from past reports that the Council and the Mayor should revisit until a satisfactory resolution for the public is attained.

II. ITEMS FROM PAST ANNUAL REPORTS

A. County Space Requirements and Management

The Commission encourages the Mayor and the Council to develop a comprehensive approach to creating and managing the current and projected needs for County office and storage space. The Commission reiterates its concern on this issue, since it first surfaced in the COGC’s 2011–2012 Annual Report.

In his 2014 State of the County address, Mayor Arakawa observed, “Currently the County pays more than $475,000 in annual rent for Maui Mall office space, and it increases by 4 percent every year. The mall was also recently purchased by an off-island investor, and we don’t know if their long term plans include our Service Center.”

The Mayor’s statement buttresses the Commission’s 2011–2012 Annual Report, which outlined the alarming trajectory of County spending in lease rents. The Commission understands the growing need to supply County services locally to match the increasing density of Maui’s town centers. This issue will need further consideration and planning as the demand for “satellite” services grow. However, the Commission has also identified that there is a basic requirement to look at the County’s space needs for the Wailuku Campus, in particular, within the larger context of the economic and social development of Wailuku Town as the County Seat.

In its 2011–2012 Annual Report, the Commission outlined some “working assumptions” for County space requirements and management: (1) the building of County assets where feasible; (2) the centralized negotiation of reasonable lease rents; and (3) the integration of plans to expand the Wailuku Campus within the context of the revitalization of Wailuku Town (see Section II.D. below).

The Commission believes the short-term challenges and long-term implications of this issue enjoin both the Mayor and the Council to devote more time and resources to its discussion, planning, design, and implementation.

B. **Building Permits**

The Commission refers the Council and the Mayor to the recommendations contained in its 2012–2013 Annual Report. Economic development and the health and safety of the public will be supported by an efficient and reliable permitting system. Appropriate training and allocation of personnel, the integration of up-to-date technologies, and permitting procedures that separate the more involved permitting applications from the less complicated requests are essential aspects of improved service in this area. The Administration has made considerable progress on improving the responsiveness of the system, but more can and should be done.

C. **Information Technology Services**

The Commission refers the Council and the Mayor to the Commission’s observations contained in its 2012–2013 Annual Report under “Management Information Systems.” Improvement in this area is necessary in both branches of government. An integrated, long-term plan to assess business requirements/specifications and to implement solutions is needed. The Administration has taken steps in this direction, but more investment will be needed to attain future savings and efficiencies leading to improved service to the public.

D. **Maui Redevelopment Agency (MRA)**

The Commission refers the Council and the Mayor to the Commission’s findings, recommendations, and observations in its 2010–2011 and 2012–2013 Annual Reports. The Commission has stated that the MRA is an underfunded and underutilized resource. The Commission recommended that a dialogue be initiated to investigate the potential of the MRA to benefit not only Wailuku, but Maui’s other urban areas and small towns. The Administration and the Council should collaborate in the revitalization of the County Seat and Maui’s other urban areas and small towns within the context of the General and, still to be completed, Community Plans. The Commission believes the MRA, if given the staff and the resources, would prove to be an effective vehicle for this purpose, but only within the context of constructive dialogue with all the stakeholders.

III. **THE SUNSHINE LAW**

During this term, the Commission spent a considerable amount of its monthly meeting time discussing the Sunshine Law. The Office of Corporation Counsel provided a new resource in this area, hiring an attorney who previously worked for the State Office of Information Practices. The Commissioners are committed to following the spirit and letter of the law. This is evidenced by the in-depth, follow-up questions that occurred when uncertainty surfaced or direction was given on the law.
The Commission commends the Department of the Corporation Counsel for the steps it has taken to improve guidance on the Sunshine Law during this term; however, the Commission is concerned that this raises questions on the quality and consistency of advice the Commission has received over the years from different members of the department.

The Commission prides itself on the openness and transparency in which it has conducted and continues to conduct its business. The Commission recommends the Mayor instruct the Department of the Corporation Council to design a comprehensive and consistent training regimen for boards and commissions on the Sunshine Law.

IV. COMMISSION DELIBERATIONS FOR 2013-2014 TERM

The 2013-2014 term of the COGC proved to be a pivotal one. On July 1, 2013, the Office of the County Auditor commenced operation. The Auditor was hired and the wheels were set in motion to develop the staff and resources necessary for the office to begin its work.

In light of these events, the Commission believed it was important to consider: (1) the role and function of the Commission under the revised Charter; and (2) how the Office of the County Auditor could be made more effective through constructive assessment and evaluation. These concerns led the Commission to investigate two subjects — a Strategic Plan for the Cost of Government Commission and the Evaluation/Assessment of the Office of the County Auditor.

A. Strategic Plan 2014–2017

The idea of a Strategic Plan for the COGC was modeled after the Hawaii Campaign Spending Commission’s effort outlined in its FY 2012–2013 Annual Report.\(^2\) The Balance Scoreboard Institute defines strategic planning as a “management activity that is used to set priorities, focus energy and resources, strengthen operations, ensure that employees and other stakeholders are working toward common goals, establish agreement around intended outcomes/results, and assess and adjust the organization’s direction in response to a changing environment.”\(^3\) The plan itself is a document that communicates the organization’s goals, the actions needed to reach those goals, and other important factors that surfaced during the planning activity. The plan is meant to be a “living document” that future Commissions will revise and rework — adding and subtracting, formulating new goals and action items.

In essence, the strategic plan provides a road map for the Commission to effectively pursue its work over time. The COGC believes that the strategic plan should be rooted in the County Charter. Thus, the mission and vision statements of the strategic plan reflect the letter and the spirit of the County Charter’s role for the Commission to promote efficiency, economy and improved service. The duration of the plan coincides with the term of the County Auditor.


The Strategic Plan outlined by the present Commission is as follows:

**Mission**
To promote economy, efficiency, and improved service in County government by studying and investigating the organization and methods of operations of all departments, commissions, boards, offices, and other instrumentality of all branches of the government and determine what changes, if any, may be desirable.

**Vision**
To provide insight and leadership in County government by promoting policies that result in economical, effective, transparent, honest, and fair government operations.

**Goals**
- To establish a framework of cooperation and to provide advice to the County Auditor
  - **Action Item:** To determine short range and long range investigative goals in cooperation with the County Auditor

- To establish guidelines to investigate the performance of the Office of the County Auditor
  - **Action Item:** To design an assessment of the County Auditor that, as much as feasible, includes all stakeholders to assess the performance and operation of the County Auditor’s Office

- To increase public education and awareness about and access to the *Cost of Government Commission*
  - **Action Item:** To develop procedures, processes and materials that raise public awareness and increase visibility of the *Cost of Government Commission’s* work

- To assist the County Auditor in preparing and “...transmitting a plan of audits proposed to be conducted during the fiscal year to the mayor and the council, for review and comment, but not approval...” as stated in the Maui County Charter Sec. 6-9.2-1.c
  - **Action Item:** To review the budget process and make recommendations for improvement
  - **Action Item:** To support the role of the County Auditor and its investigative reports through meetings with members of the County Council
  - **Action Item:** To perform general investigations on subjects suggested by the Commission or the County Auditor as a preliminary step to a more in depth review and/or to make policy recommendations
B. **Evaluation/Assessment of the Office of the County Auditor**

The Office of the County Auditor is well positioned to make a real contribution to the County through its in-depth investigation of County services and governance. The model of the auditing function as defined by the Maui County Charter is very different from that same function at the State level where the auditor’s office’s sole concern is the executive branch. The COGC is keenly aware of its role to support and advise the Office of the County Auditor as it promotes economy, efficiency, and improved service by investigating both the legislative and executive branches of government.

This awareness led the Commission to consider how the Office of the County Auditor would be assessed and evaluated in its effectiveness to provide this service. The Commission believes that the independence of the Auditor’s office can be maintained while also receiving feedback and advice on the performance of its duties. The Commission believes that any assessment and evaluation of the Office of the County Auditor should include review by an outside professional organization (e.g., Association of Local Government Auditors) that would concentrate on the form and procedures of the audits performed by the Auditor’s office according to the Standards for Audit of Government Organizations: Program, Activities, and Functions by the U.S. General Accounting Office (GAO), also referred to as the Yellow Book.

But the Commission believes this is not enough. There are other components of an assessment and evaluation that should touch on the context of the Office of the County Auditor within Maui County. Important local stakeholders should participate in the process of assessing and evaluating the performance of the Office of the County Auditor — including the County Council, the Administration, the COGC, and, most importantly, the public. The Commission believes that this type of comprehensive evaluation, if prepared for carefully and executed fairly, has the potential to improve the efficiency, economy, and improved service of the Office of the County Auditor without compromising its independence.

This discussion and a review of alternative evaluation/assessment options had its challenges as the Commission’s counsel provided a verbal opinion on whether or not the Commission had the right within the Charter to organize and conduct an assessment/evaluation of the Office of the County Auditor. As the Commission understands this opinion, the COGC does not have the right to conduct and organize an evaluation, but does have the right to investigate the Auditor’s office at its discretion and issue a report on its findings and recommendations.

The above notwithstanding, the Commission did investigate what other counties in the State of Hawaii do to assess and evaluate their respective auditor’s offices. Information was gathered from both the City and County of Honolulu and the County of Kauai. Evaluation forms were also provided to the Commission by the Department of Management, County of Maui.
The counties provided the following information:

<table>
<thead>
<tr>
<th>County</th>
<th>Documentation</th>
<th>Source(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>City and County of Honolulu</td>
<td>External Quality Control Review of the Office of the City Auditor by the Association of Local Government Auditors for the period July 1, 2009 – June 30, 2012 (Review Letters)</td>
<td>Office of the City Auditor, City and County of Honolulu</td>
</tr>
<tr>
<td>(Exhibit A)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>County of Kauai</td>
<td>1. Letter from Department of Personnel Services to Department Heads, Deputies, and Executives Regarding Performance Evaluation for Executive Appointees (May 8, 2007)</td>
<td>County Auditor, County of Kauai</td>
</tr>
<tr>
<td>(Exhibits B-E)</td>
<td>2. Administrative Policies and Procedures: Performance Evaluation for Executive Employees, Department of Personnel Services</td>
<td>Department of Personnel Services, County of Kauai</td>
</tr>
<tr>
<td></td>
<td>3. Form: Performance Evaluation for Appointees</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Form: Evaluation Factors: Appointees/Managers</td>
<td></td>
</tr>
<tr>
<td>County of Maui</td>
<td>1. Performance Evaluation and Procedures, Department of Personnel Services</td>
<td>Department of Management, County of Maui</td>
</tr>
<tr>
<td>(Exhibits F-I)</td>
<td>2. Form: Performance Evaluation Report, Department of Personnel Services</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Form: Performance Evaluation Report</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Form: Office of the Mayor Performance Evaluation</td>
<td></td>
</tr>
</tbody>
</table>

The evaluation of the Auditor of the County of Kauai is outlined by the Charter of the County of Kauai, Section 32.02.D (2012). This section provides:

The county auditor’s performance shall be evaluated annually by the county council. The county auditor’s audit activities shall be subject to quality review in accordance with applicable government auditing standards by a professional, non-partisan, objective group. The written report of the independent review shall be transmitted to the county council and mayor and filed with the county clerk as public record.4

Currently, the Kauai Auditor’s audit activities are reviewed every three years by the Association of Local Government Auditors. The Kauai County Council also performs an annual evaluation of the County Auditor in accordance with its own rules and procedures. The evaluation forms are attached as exhibits B-D of this report.

Section 32.03 of the Kauai County Charter also provides for the possibility of an Audit Committee of five members appointed by the County Council. If an Audit Committee is established, Section 32.03.A. provides:

---

4 See Exhibit J.
[Members] shall individually advise the county auditor on the following: formulation of the plan of audits proposed to be conducted by the auditor pursuant Section 32.02 C; conduct of audits, follow up of audits; selection of private contractors to perform audits for the county auditor; evaluation of preliminary audit findings and recommendations and county agency, officer, or employee responses to the preliminary findings and recommendations; and evaluation of the county auditor's performance during each fiscal year (emphasis added).5

At present, an audit committee has not been established by the Kauai County Council, but the Council is interested in implementing this section of the Charter.6

The City and County of Honolulu's evaluation/assessment of the auditor's office consists primarily of an external review conducted by the Association of Local Government Auditors. This type of evaluation focuses on the form and procedures of the audit according to the GAO’s Yellow Book (explained above). As in the case of Kauai County, the Revised Charter of Honolulu, Section 3-503 (2013), also provides for the possible creation of an Audit Committee with provisions similar to the Kauai County Charter. Although Section 3-305 has been in effect since August 1, 2005, the City Council of the City and County of Honolulu has not created an Audit Committee to date.

The Commission has not come to any final conclusions, but believes that a collaborative effort is necessary on evaluation/assessment of the Office of the County Auditor for the office to reach its full potential within the current structure of County governance. The Commission brings this issue to the attention of the Office of the County Auditor, the Council, and the Mayor to open dialogue on this subject.

C. Role of the Cost of Government Commission

This section will flesh out the role and function of the Cost of Government Commission as suggested by the strategic plan in Section IV.A. of this report.

The 2012 Charter Commission realized that particular boards and commissions afford the public extraordinary opportunity to impact important areas of policy and process within Maui County. Thus, the Charter Commission exercised its collective wisdom in retaining the COGC within the County Charter as an independent body that supports and advises the Office of the County Auditor. But, in its own right, the COGC continues to demonstrate the right of citizens to be actively and directly involved in matters concerning the fiscal responsibility, efficient operation, and improved service of County governance. The voters ratified this judgment in the election of 2012.

5 Id.
6 Telephone conversation between Frank De Rego Jr., Chair, Cost of Government Commission and Jade K. Fountain-Tanigawa, Kauai Deputy County Clark (March 6, 2014).
The Commission believes there are some issues that, by their very nature, may not come to the attention of the Office of the County Auditor, but directly affect the economy, efficiency, and improved quality of service to the taxpayers of Maui County. These often involve continuing, unresolved policy issues. For example, potential areas of study might include: (1) an examination of the structure and procedures of the current budget process; (2) the process of creating the General Plan; (3) the structure of taxation and fees; and (4) the effective use of HRS Chapter 53 (Urban Renewal Law) and the existing Maui Redevelopment Authority.

The Commission in the present term exercised its advisory function to the Office of the County Auditor in the matter of the demolition of the Old Wailuku Post Office. The Commission will continue to offer advice to the Office of the County Auditor as it deems necessary, including suggesting areas for in-depth financial and performance audits.

Finally, the COGC believes the Office of the County Auditor would benefit from collaborating with the Commission by suggesting areas for preliminary study. The Commission would then report the Commission’s findings and recommendations with suggestions for further in-depth investigation and scrutiny.

V. ACKNOWLEDGEMENTS

The COGC would like to thank the members of the Arakawa Administration who responded promptly and professionally to requests for information. The Commission would also like to thank Mayor Arakawa for providing staff and logistical support as it adjusts to the Charter’s new requirements — support that includes allowing the Commission to continue meeting in the Mayor’s Conference Room.

The COGC would also like to thank the members of the County Council who assisted the Commission in its work during the term of this report. The Commission would like to especially thank the Budget and Finance Chair, Michael White, for inviting the Chair and Vice Chair of the COGC to present the Commission’s 2012–2013 Annual Report in the well of the Council Chambers in October 2013. The Commission was gratified at the time expended, the interest expressed, and the knowledge displayed by the Council during the over two hours spent on discussing the report.

The Commission would like to thank Lance Taguchi, Auditor for the County of Maui, for his support during a busy and eventful time for the Office of the County Auditor in its inaugural year.

The Commission also thanks John Buck, Executive Assistant to the Mayor, and Scott Hanano, Jeffrey Ueoka, Edward Kushi, and Linden Joesting of the Department of the Corporation Counsel, for their advice and assistance during the term.

The Commission would like to thank Michelle Makii, Administrative Assistant to the Commission, during its transition to staff support from the Office of the County Auditor.

The Commission thanks Camille Sakamoto, Administrative Officer for the Office of the County Auditor, for her professional skills and patience as she takes on administrative support for the Commission. Her knowledge and experience are appreciated by the Commission.
Finally, the Commission would like to thank Shelley Pellegrino, technical writer and consultant to the Commission, for her professional experience in supporting the Commission during its transition and her assistance in writing and producing the annual report. She has been an invaluable asset to the Commission in this and previous terms.

Respectfully submitted:

FRANK R. DE REGO JR., CHAIR

RONALD A. KAWAHARA, VICE CHAIR
COST OF GOVERNMENT COMMISSION
OVERVIEW

LIST OF EXHIBITS

Exhibit A  External Quality Control Review of the Office of the City Auditor, City and County of Honolulu (2012) (Review Letters)
Exhibit B  Letter from Department of Personnel Services, County of Kauai, to Department Heads, Deputies, and Executives, Regarding Performance Evaluation for Executive Appointees (May 8, 2007)
Exhibit C  Administrative Policies and Procedures: Performance Evaluation for Executive Employees, Department of Personnel Services, County of Kauai
Exhibit D  Form: Performance Evaluation for Appointees, County of Kauai
Exhibit E  Form: Evaluation Factors: Appointees/Managers, County of Kauai
Exhibit F  Performance Evaluation and Procedures, Department of Personnel Services, County of Maui
Exhibit G  Form: Performance Evaluation Report, Department of Personnel Services, County of Maui
Exhibit H  Form: Performance Evaluation Report, County of Maui
Exhibit I  Form: Office of the Mayor Performance Evaluation, County of Maui
Exhibit J  Charter, County of Kauai, Section 32 (2012)
Exhibit A

External Quality Control Review of the Office of the City Auditor, City and County of Honolulu (2012) (Review Letters)
External Quality Control Review

of the
Office of the City Auditor
City and County of Honolulu

Conducted in accordance with guidelines of the
Association of Local Government Auditors
for the period July 1, 2009 to June 30, 2012
December 6, 2012

Mr. Edwin S.W. Young, City Auditor
Office of the City Auditor
City and County of Honolulu
1001 Kamokila Boulevard, Suite 216
Kapolei, Hawaii 96707

Dear Mr. Young,

We have completed a peer review of the Office of the City Auditor, City and County of Honolulu, for the period July 1, 2009 to June 30, 2012. In conducting our review, we followed the standards and guidelines contained in the Peer Review Guide published by the Association of Local Government Auditors (ALGA).

We reviewed the internal quality control system of your audit organization and conducted tests in order to determine whether your internal quality control system operated to provide reasonable assurance of compliance with Government Auditing Standards issued by the Comptroller General of the United States. Our procedures included:

- Reviewing the audit organization's written policies and procedures
- Reviewing internal monitoring procedures
- Reviewing a sample of audit and attestation engagements and working papers
- Reviewing documents related to independence, training, and development of auditing staff
- Interviewing auditing staff and management to assess their understanding of, and compliance with, relevant quality control policies and procedures

Due to variances in individual performance and judgment, compliance does not imply adherence to standards in every case, but does imply adherence in most situations.

Based on the results of our review, it is our opinion that the Office of the City Auditor, City and County of Honolulu, internal quality control system was suitably designed and operating effectively to provide reasonable assurance of compliance with Government Auditing Standards for audits and attestation engagements during the period July 1, 2009 to June 30, 2012.

We have prepared a separate letter offering suggestions to further strengthen your internal quality control system.

Sincerely,

Theresa M. Weatherman
Fairfax County Public Schools

Erin J. Kenney
Los Angeles Fire and Police Pensions
December 6, 2012

Edwin S. W. Young, City Auditor
Office of the City Auditor
City and County of Honolulu
1001 Kamokila Blvd., Suite 216
Kapolei, HI 96707

Dear Mr. Young,

We have completed a peer review of the Office of City Auditor, City and County of Honolulu, for the period July 1, 2009 to June 30, 2012, and issued our report thereon dated December 6, 2012. We are issuing this companion letter to offer certain observations and suggestions stemming from our peer review.

We would like to mention some of the areas in which we believe your office excels:

- The use of forms reinforces the Standards and enhances the knowledge of the Standards at all staffing levels
- The risk assessment process for each audit encourages staff to identify threats to the audited area and consider the impact of these on internal control, systems, and the possibility of fraud
- Congratulations on receiving the 2011 Knighton Award Silver and three certificates of achievement from the Association of Government Accountants

We offer the following observations and suggestions to enhance your organization's demonstrated adherence to Government Auditing Standards:

- Standard 1.33 (July 2007 Revision) and 2.12 (December 2011 Revision) state that "when performing nonaudit services for an entity for which the audit organization performs a GAGAS audit or attestation engagement, audit organizations should communicate, as appropriate, with requestors and those charged with governance to clarify that the scope of work performed does not constitute an audit under GAGAS." In reviewing the work papers for the only nonaudit service performed during the period, we noted that this communication did not occur.

We recommend that when performing nonaudit services, the Office of the City Auditor should communicate with requestors and those charged with governance to clarify that the scope of work performed does not constitute an audit under GAGAS.

- Standard 1.34 (July 2007 Revision) and 2.13 (December 2011 Revision) state that when "audit organizations provide nonaudit services to entities for which they also provide GAGAS audits, they should assess the impact that providing those nonaudit services may have on auditor and audit organization independence and respond to any identified threats to independence in accordance with the GAGAS independence standard." Standard 3.20 (July 2007 Revision) and 3.34 (December 2011 Revision) state that "the auditor should determine whether providing such a service would create a threat to independence, either by itself or in aggregate with other nonaudit services provided, with respect to any GAGAS audit it performs." Additionally, Standard 3.34 (December 2011 Revision) further states that, "A critical component of this determination is consideration of management's ability
to effectively oversee the nonaudit service to be performed. The auditor should determine that the audited entity has designated an individual who possesses suitable skill, knowledge, or experience, and that the individual understands the services to be performed sufficiently to oversee them. The individual is not required to possess the expertise to perform or reperform the services. The auditor should document consideration of management's ability to effectively oversee nonaudit services to be performed. While we did not identify any threats to independence, in reviewing the work papers for the only nonaudit service performed during the period, we noted that there was no evidence that threats to independence had been evaluated.

We recommend that when performing nonaudit services, the Office of the City Auditor should document an evaluation of whether the project would create a threat to independence, management's ability to oversee the nonaudit service, and the other requirements of Standard 3.34.

- Standard 3.95 (December 2011 Revision) states that "the audit organization should analyze and summarize the results of its monitoring process at least annually, with identification of any systemic or repetitive issues needing improvement, along with recommendations for corrective action. The audit organization should communicate to appropriate personnel any deficiencies noted during the monitoring process and make recommendations for appropriate remedial action." The Audit Manual states that the office annually analyzes and summarizes the results of its monitoring procedures in accordance with GAGAS. However, we found no evidence that this annual process was completed during the last two years of the review period.

We recommend that the Office of the City Auditor implement an annual process to monitor quality and document the results.

- Standard 7.12e (July 2007 Revision) and 6.47 (December 2011 Revision) state that auditors should communicate an overview of the objectives, scope, and methodology, and timing of the performance audit and planned reporting to management of the audited entity. Standard 7.50 (July 2007 Revision) and 6.51 (December 2011 Revision) state that auditors must prepare a written audit plan and update the plan to reflect any significant changes. In one audit we noted a significant scope change was not communicated to the audited entity, nor was it reflected as an update to the written audit plan.

We recommend that when significant changes are made during the course of an audit, the audited entity should be notified and the written audit plan should be updated.

We extend our thanks to you, your staff, and the other city officials we met for the hospitality and cooperation extended to us during our review.

Sincerely,

Theresa M. Weatherman
Fairfax County Public Schools

Erin J. Kenney
Los Angeles Fire and Police Pensions
December 6, 2012

Ms. Theresa McGrady Weatherman
Peer Review Team Leader
Audit Director
Fairfax County Public Schools
8115 Gatehouse Road, Suite 4600
Falls Church, Virginia 22042

Dear Ms. Weatherman:

We have read the peer review report dated December 6, 2012 containing the results of your external quality control review of the Office of the City Auditor, City and County of Honolulu. I am pleased that an independent peer review team found that our office conducts its work in full compliance with generally accepted government auditing standards. In addition, I am pleased that your review found that our quality control system was functioning as intended.

We have reviewed the recommendations in your management letter. We appreciate the constructive comments provided and we will strive to incorporate your recommendations into our office policies and procedures. We also appreciate your thoughtful comments about the areas where you found our office to excel and your verbal suggestions to further enhance our operations.

I wish to extend my personal thanks to you and Erin Kenney, Departmental Audit Manager, Los Angeles Fire and Police Pension, for your participation in the peer review process and for taking the time to review our operations. We will share your report with our City Council, and make it available to the public on our website.

Sincerely,

Edwin S.W. Young
City Auditor
Exhibit B

Letter from Department of Personnel Services, County of Kauai, to Department Heads, Deputies, and Executives, Regarding Performance Evaluation for Executive Appointees (May 8, 2007)
TO:       DEPARTMENT HEADS, DEPUTIES, EXECUTIVES COVERED UNDER KAUA'I COUNTY CODE §3-2.1, AND AFFECTED COMMISSIONS

FROM:    MALCOLM C. FERNANDEZ, DIRECTOR OF PERSONNEL SERVICES

SUBJECT: PERFORMANCE EVALUATIONS FOR EXECUTIVE APPOINTEES

The 2007 Kaua‘i County Salary Commission has recommended a measure for increased salaries for department heads, deputies and non-elected executives covered under the Kaua‘i County Code §3-2.1 based on performance-based pay. Any salary increase will be contingent on evidence that the executive appointee has met or exceeded job requirements for the performance appraisal period of July 1, 2006 to June 30, 2007.

We are transmitting for your information, the County’s policy and procedures on Performance Evaluation for Executive Appointees. Employees are required to be evaluated, at least annually, to determine their fitness and ability for employment in their positions, and to continue to demonstrate such by meeting all performance requirements of their positions. The performance evaluation is considered a critical employee development tool, and pre-determined job-specific performance goals and objectives are the cornerstone of the program.

Annual evaluations for non-elected executive appointees should be completed and signed by June 30th. Guidelines are attached and will serve as the basis for the transition to implementing this policy immediately. Legislative appointees covered by Section 3-2.1 of the Kaua‘i County Code may choose to follow these procedures to meet the requirements of the Salary Ordinance proposal.

If there are questions on this, you may contact 241-6595.

Attachments (3)

AN EQUAL OPPORTUNITY EMPLOYER
I. POLICY

An objective evaluation of the performance of the County's non-elected executive appointees covered by Section 3-2.1 of the Kaua'i County Code shall be conducted regularly. Aspects of performance to be evaluated shall include managerial competencies and ability to meet or exceed job expectations as specified on their job description or by other relevant factors.

II. RATIONALE

This policy provides a means to determine whether employees are meeting or exceeding job requirements as defined on the position description, and to highlight employees' progress and strengths and areas that need to be strengthened.

III. DEFINITIONS

"Appointing authority" means the Mayor or designee, board, commission or department head having the power to make adjustments for their respective employees.

"County" means the County of Kaua'i.

"Director" means the Director of Personnel Services for the County of Kaua'i.

IV. SCOPE

This policy applies to all non-elected department heads, deputies and executives covered by Section 3-2.1 of the Kaua'i County Code within the executive branch of the County of Kaua'i.
PERFORMANCE EVALUATION
FOR EXECUTIVE APPOINTEES

V. RESPONSIBILITIES

A. The Department of Personnel Services (DPS) is responsible for the development and implementation of the Executive Appointees Performance Evaluation Program, including determination of the form(s) and procedures used.

B. The Director of Personnel Services is responsible for the administration of the Executive Appointees Performance Evaluation Program.

C. DPS is responsible for ensuring compliance with established policy and procedures, maintaining forms and documents relative to this policy, and evaluating the effectiveness of the program and making appropriate adjustments, as necessary. Original forms and documents will be kept in the affected employee's official personnel file. Copies will be maintained at DPS.

D. The Mayor or his designated representative is responsible for reviewing of the Executive Appointees Performance Evaluation guidelines and procedures.

E. Executive employee's responsibilities:

1. Actively look for ways to measure own performance on the job;
2. Propose ideas to appointing authority when requested;
3. Keep an open mind when discussing goals with appointing authority;
4. Provide realistic and accurate input at the end of the rating period.

F. Appointing authority's responsibilities:

1. Set attainable and realistic goals with employees;
2. Challenge employees to increase effort or performance through challenging goals;
3. Clarify expectations for employee performance;
4. Monitor employee performance and provide feedback to aid in employee development.

Effective 05/08/2007
PERFORMANCE EVALUATION
FOR EXECUTIVE APPOINTEES

VI. PROCEDURE

A. The executive employee drafts goals/standards for the coming year.

1. Goals should be specific, measurable, attainable, realistic and time-oriented.

2. Categories of goals

   a) Individual goals
      1) focus on achievements of the individual employee;
      2) are meaningful to achievement of organizational success;
      3) relate to work being performed.

   b) Work unit goals
      1) focus on employee contribution to achievement of the work units defined goals and objectives;
      2) treat all employees within the work unit equally;
      3) achievement makes contribution toward organizational goals.

   c) Organizational goals
      1) relate to achievement of organizational goals, objectives, and mission;
      2) focus on the organization and the employees' role in achieving the organizational mission;
      3) identify competencies needed to meet organizational goals.

B. Employee and appointing authority agree to standards and goals for the year.

C. Goals are reassessed and modified at mid-year.

D. Appointing authority obtains input on performance from a minimum of eight (8) multiple sources (e.g. subordinates, co-workers and superiors).

E. The Director may authorize Commissions to evaluate the performance of their executive appointees on approved rating sheets that may provide for weighted judgement suited to their organizational
PERFORMANCE EVALUATION
FOR EXECUTIVE APPOINTEES

needs. Data will be transmitted on Form KPC-10 to satisfy Salary Commission requirements.

F. Appointing authority summarizes performance and provides comments on Form KPC-10.

G. Appointing authority and executive employee meet to discuss performance and to set new goals for planned improvement for the coming year.

H. Appointing authority and executive employee sign and date the form.

I. Appointing authority submits the appropriate form(s) to the Director of Personnel Services who creates reports to Mayor and Salary Commission as required.

VII. AUTHORITIES & REFERENCES

Hawaii Revised Statutes §76-12, §76-13, §76-17, §89C; Rules of the Director of Personnel Services, §1-3.

Effective 05/08/2007.
EVALUATION FACTORS: APPOINTEES/MANAGERS

Name/Title: ___________________________ Name of Rater: ___________________________

Years of Service: ___________________________

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
</table>

1. Customer Service: Courtesy in dealing with customers and effectiveness in meeting the customer's needs. (Customers may include, but not limited to, the public; Mayor; County Council; Board or Commission; and other department/agency heads and deputies.)

- Has shown little interest in meeting the needs of the customer. Antagonizes the customer in dealing with them.
- Is occasionally discourteous when dealing with customers. Sometimes is not effective in meeting the needs of customers.
- Almost always courteous and effective when dealing with customers.
- Is pleasant and helpful when dealing with customers.
- Courteous and effective when dealing with customers; goes far beyond the call of duty to serve customers.

Trend: Improving Same Declining ______
Recommendation(s) for Improvement: ___________________________

2. Planning and Organizing: Establishing a course of action, structuring or arranging resources, and setting priorities for self and others to accomplish specific goals. Demonstrated ability to plan ahead, schedule work, set realistic goals, anticipate and prepare for future assignments, set logical priorities and use time wisely.

- Usually disorganized, and often in a state of confusion due to lack of planning and organizing.
- Has difficulty in setting priorities and/or in obtaining goals.
- Usually does a good job in assigning priorities. Able to attain most goals.
- Solved in a crisis due to lack of planning and organizing. Able to attain nearly all goals.
- Does a superior job in assigning priorities. Anticipates problems and plans ahead to handle them. Accomplishes tasks ahead of schedule in most instances.

Trend: Improving Same Declining ______
Recommendation(s) for improvement: ___________________________

KPC-10
3. **LEADERSHIP.** Measurement of getting people to willingly work to accomplish an objective. Utilization of appropriate interpersonal styles and methods to guide individuals or groups toward effective task accomplishment. Controlling and evaluating performance, utilization of resources available to accomplish tasks, effective employee development and counseling and sharing leadership when appropriate.

| Inhibits subordinate motivation to accomplish tasks or improve personal development. | Sometimes tasks to sufficiently motivate employees to accomplish tasks or deliver... Shares very little information with superiors or subordinates. | Effectively motivates employees to accomplish tasks and develop employees. | Continously effective in motivating employees to accomplish tasks and improve personal development. Maintains good method of sharing information, most potential problems are detected early. | Exceptionally effective leader. Maintains highly motivated and developed employees. Problems are consistently detected early, and information is shared in the most efficient manner. | Score |

**Trend:** Improving | Same | Declining

**Recommendation(s) for Improvement:**

4. **Communication.** Expression of ideas orally and in writing, providing relevant and timely information to superiors, co-workers, subordinates and other customers, listening and understanding others.

| Written work is often incomplete and contains errors. Fails to clearly express opinion on issues. | Written word usually contains some errors. Thoughts are not presented in a logical order. In conversation, often has trouble being understood. | Reports are generally accurate but occasionally contain errors. Routine reports are performed adequately, but more important or complex reports require closer supervision. | Reports are consistently accurate and well organized, seldom contain errors. This person can reliably prepare and present important oral or written reports. Listens well and can be understood. | Written well-organized, understandable and accurate reports. Oral or written presentation is excellent, needs minimal improvement. In less formal conversations, this person states well in addition to getting the point across. | Score |

**Trend:** Improving | Same | Declining

**Recommendation(s) for Improvement:**
<table>
<thead>
<tr>
<th>Un satisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Un satisfactory</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improvement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Satisfactory</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Excellent</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Superior</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. Personnel Management. Selecting, managing, motivating and developing employees, following prescribed personnel policies and practices, including equal employment opportunity. Effectiveness in utilization of personal resources.

<table>
<thead>
<tr>
<th>Has difficulty in selecting, managing, motivating, and developing staff members to meet individual and group goals. Often disregards prescribed personnel policies and practices.</th>
<th>Somewhat effective in selecting, managing, motivating, and developing staff members to meet individual and group goals.</th>
<th>Generally effective in selecting, managing, motivating, and developing staff members to meet individual and group goals.</th>
<th>Very effective in selecting, managing, motivating, and developing staff members to meet individual and group goals.</th>
<th>Exceptionally effective and creative in selecting, managing, motivating, and developing staff members to meet individual and group goals.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trend: Improvement</td>
<td>Same</td>
<td>Decline</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Recommendation(s) for Improvement:

6. Achieving Goals: Effective organizational management to achieve defined program measurements, goals, and objectives. Establish realistic program measurements, goals and objectives for employees. Produce a reasonable volume of work on schedule, demonstrating accuracy, thoroughness and dependability.

<table>
<thead>
<tr>
<th>Does not achieve defined objectives, and establishes unrealistic goals for employees.</th>
<th>Goals are not always achieved, and accuracy and volume of work is sometimes less than standard. Work is frequently untidy. Some monitoring required.</th>
<th>Effective in the establishment of realistic, achievable goals; production of work is dependable and accurate generally. Work is generally timely.</th>
<th>Goals are consistently achieved. The volume, accuracy and thoroughness of work is very effective. Work is always timely.</th>
<th>Exceptionally managed, achieving extremely high standards. Production of work is exceptional due to high degree of accuracy, volume, and thoroughness. Work is always timely.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trend: Improvement</td>
<td>Same</td>
<td>Decline</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Recommendation(s) for Improvement:
7. Policy Development. The development and implementation of sound policy, which identifies and analyzes problems effectively and develops alternative solutions. This encompasses job knowledge, which includes depth, currency, and breadth.

<table>
<thead>
<tr>
<th>Score</th>
<th>Un satisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cannot develop a policy independently, and does not identify or analyze problems.</td>
<td>Often is not able to develop a sound policy based on job knowledge. Often does not identify solutions.</td>
<td>Effective establishment of sound policy based on analysis of problems. Develops some alternative solutions.</td>
<td>Consistently develops and implements sound policies. Very knowledgeable and effectively analyzes problems.</td>
<td>Exceptional development and implementation of sound policy. Significant thorough research and analysis conducted and novel feasible alternative solutions are developed.</td>
</tr>
</tbody>
</table>

Trend: Improving _ Same _ Declining _

Recommendation(s) for improvement: __________________________________________________________________________

8. Financial Management. Effective development and implementation of financial budgets and controls, operating within prescribed fiscal limits, incorporating key costs control issues.

<table>
<thead>
<tr>
<th>Score</th>
<th>Un satisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Frequently pays inadequate attention to financial budgets and controls in planning and completing work. Work is frequently over budget. Falls to fully utilize budget resources; or budget fails to provide for program requirements.</td>
<td>Sometimes pays inadequate attention to financial budgets and controls in planning and completing work. Work is sometimes over budget when adequate attempts to control costs. Occasionally attempts to discount overly aggressive guidelines.</td>
<td>Adheres to financial budgets and controls, and generally operates within prescribed financial limits. Budget overruns are infrequent, and causes are normally identified and justified. Occasionally attempts to discount overly aggressive guidelines.</td>
<td>Consistently effective in developing financial budgets and controls and in operating within prescribed financial limits. Seizes opportunities to control costs, and adopts plans and methods to prevent budget overruns.</td>
<td>Exceptionally effective in developing budgets and controls (incorporating low cost control issues) and in operating within prescribed financial limits. Actively seeks opportunities to control costs, adopts plans and methods to prevent budget overruns, and encourages others in effecting cost savings.</td>
</tr>
</tbody>
</table>

Trend: Improving _ Same _ Declining _

Recommendation(s) for improvement: __________________________________________________________________________
Overall Trend: Improving___ Same ___ Declining ___

Signature of Employee __________ Date __________
Signature of Rater __________ Date __________

Employee comments: ________________________________

______________________________
DEPARTMENT OF PERSONNEL SERVICES
COUNTY OF KAUA'I

EMPLOYEE PERFORMANCE EVALUATION GUIDELINES
FOR NON-ELECTED EXECUTIVE APPOINTEES

The Executive Appointees Performance Evaluation Program
requires non-elected executive appointees covered by Section 3-
2.1 of the Kaua'i County Code to be evaluated at least once
annually. The purpose of the evaluation is to assess the
services of the employee during the rating period to ensure the
employee meets the performance requirements of the position.
The performance evaluation is considered in personnel actions
taken by an appointing authority as applicable.

Criteria:

The following general performance factors, and any other
specific factor pertinent to the executive appointee should be
used in the performance evaluation:

- Customer Service/Attitude, Cooperation and Collaboration
- Planning and Organizing of Objectives
- Leadership/Supervisory Skills
- Communication Skills
- Personnel Management, including Employee Retention
- Achieving Goals/Quality and Quantity of Work
- Policy Development/Problem Solving, Initiative and
  Creativity
- Management of Financial and Material Resources

Documentation and Evaluators:

Collect data and information that confirm the executive
appointee’s accomplishments. In consultation with the employee,
the appointing authority will select a minimum of 8
colleagues/peers to provide performance evaluation input. Input
will be used only as feedback for the evaluation and will be
kept anonymous. Colleagues/peers should provide input only on
those criteria for which they have verifiable information.

Appointing authorities and others providing input who
evaluate the performance of the executive appointee should be
personally familiar with the employee’s work and have a thorough
understanding of the job requirements for the position.
Executive Appointees Performance Evaluation Guidelines

Formal Evaluation Summary Form:

The form used to record the final summary of the executive appointee's performance evaluation is DPS Form KPC-10. The appointing authority will review all the performance documentation, compare the documented data/information with the executive appointee's performance expectations, and complete a summary of the evaluation, placing it on the evaluation summary form.

Rating: indicates the level of the executive appointee's performance for each criteria. The following are the ratings:

• (1) Unsatisfactory - employee does not meet minimum standards in this category;
• (2) Needs Improvement - performance must improve for employee to be successful in this category;
• (3) Satisfactory - employee performance meets the expected standards in this category;
• (4) Excellent - employee consistently meets and occasionally exceeds performance standards;
• (5) Superior - employee often exceeds performance standards.

Timing of Performance Evaluations:

The performance evaluations are to be conducted as deemed appropriate by the appointing authority, but no less than annually, assuring that the employee's Form KPC-10 is completed and signed at least thirty (30) days prior to any salary increase or by May 31. The evaluation period is the previous 12-month period or since date of hire for employees hired within the previous 12-month period.

Employee Development Plan:

The executive appointee and appointing authority must establish performance expectations for the year. The expectations are developed around the criteria to be rated by the appointing authority at the end of the performance evaluation year. These may include, but are not limited to:

(1) Review of goals agreed upon at previous performance discussions.
Executive Appointees Performance Evaluation Guidelines

(2) Review of developmental activities that have occurred since the previous performance discussion.
(3) Comparison and discussion of current (within the evaluation year) evaluation forms completed by the employee and appointing authority.
(4) Planning for goals and development for the next evaluation period.

Sources of data/information for the development of the performance expectations include future plans, program initiatives, situational variables, past performance areas needing improvement, etc.

Records:

Copies of the documents will be made for the appointing authority and employee's records for future use. The original documents are maintained in the employee's departmental personnel file. The original Form KPC-10 Evaluation Factors: Appointees/Managers is the only document that needs to be sent to the Department of Personnel Services.

05/07
FOR STAFF EVALUATION
COUNTY OF KAUI
DEPARTMENT OF PERSONNEL SERVICES

JOB PERFORMANCE REPORT
PART I. SUMMARY STATEMENT

(Name of Employee)  (Department)

(Title of Position)  (Sr/Div & Step)

Purpose of this Report
This employee's work performance during the period shown above was:
- Unsatisfactory
- Not Quite Satisfactory
- Satisfactory
- More than Satisfactory
- Very Satisfactory

Employee's Comments:

(Signature of Employee)

(Dated:__________)  (Signature of Supervisor)

Note: Employee's signature indicates that JPR was discussed with supervisor

(Signature of Supervisor)

(By or For Department Head)

PART II. EVALUATION FACTORS

As a basis for objective evaluation, supervisory personnel shall rate the work performance of this employee by using the four evaluation factors shown below:

1. Quality of Work On The Job

<table>
<thead>
<tr>
<th>Poor (Unsatisfactory)</th>
<th>Below Average (Not quite Satisfactory)</th>
<th>Average (Satisfactory)</th>
<th>Above Average (More than Satisfactory)</th>
<th>Excellent (Very Satisfactory)</th>
</tr>
</thead>
</table>

Based On:
- Accuracy
- Neatness of work
- Workmanship
- Learning speed
- Knowledge of duties
- Follow up and supervision necessary
- Judgment
- Forethought
- Application of instruction to work
- Planning of work
- Ability to work under pressure

2. Quantity of Work On The Job

<table>
<thead>
<tr>
<th>Poor (Unsatisfactory)</th>
<th>Below Average (Not quite Satisfactory)</th>
<th>Average (Satisfactory)</th>
<th>Above Average (More than Satisfactory)</th>
<th>Excellent (Very Satisfactory)</th>
</tr>
</thead>
</table>

Based On:
- Amount of work produced
- Manner of employee's output affects the flow of work
- Still in handling special assignments
- Employee's application to the job
- Ability to meet time and work schedules
3. Work Attitudes On The Job

<table>
<thead>
<tr>
<th></th>
<th>Poor (Unsatisfactory)</th>
<th>Below Average (Not quite Satisfactory)</th>
<th>Average (Satisfactory)</th>
<th>Above Average (More than Satisfactory)</th>
<th>Excellent (Very Satisfactory)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Based On:</td>
<td>Dependability</td>
<td>Stability</td>
<td>Relationship to other employees</td>
<td>Relationship to other employees</td>
<td>Relationship to other employees</td>
</tr>
<tr>
<td></td>
<td>Adaptability</td>
<td>Cooperation</td>
<td>Attitude toward direction or instruction</td>
<td>Attitude toward the public</td>
<td>Attitude toward the public</td>
</tr>
<tr>
<td></td>
<td>Initiative</td>
<td>Tact</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4. Work Habits On The Job

<table>
<thead>
<tr>
<th></th>
<th>Poor (Unsatisfactory)</th>
<th>Below Average (Not quite Satisfactory)</th>
<th>Average (Satisfactory)</th>
<th>Above Average (More than Satisfactory)</th>
<th>Excellent (Very Satisfactory)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Based On:</td>
<td>Regular or irregular attendance</td>
<td>Application of time</td>
<td>Effect of habits on the work of others</td>
<td>Care or abuse of governmental property</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Keeps regular working hours</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Use or abuse of privileges</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

PART III. DESCRIPTIVE APPRAISAL
(To be Completed In Writing)

Appraise this employee on the following two factors to the extent that they are applicable and to the extent that both the department & the employee will benefit from such appraisal.

POTENTIAL FOR GROWTH:

As regards "Potential For Growth" describe (in writing) the extent this employee:
1. has increased his knowledge of the duties and responsibilities of his position and other positions in his division or department;
2. has increased his understanding of the relationship of his position to other positions and of the relationship of these positions to the functions and objectives of his division or department;
3. has developed maturity in thinking regarding plans and operations;
4. has demonstrated his ability to assume other positions which may be equal or higher in level;
5. has kept abreast of new developments; and
6. has shown the ability to accept improvements and changes.

SUPERVISORY AND/OR ADMINISTRATIVE ABILITY:

In describing the "Supervisory Administrative Ability" possessed by this employee, consider:
1. his ability to plan and organize those activities for which he is responsible;
2. his ability to delegate properly and effectively responsibilities and duties to subordinates;
3. his effectiveness as a leader in directing and coordinating the efforts of employees responsible to him;
4. his ability to train and to develop his subordinates to their fullest capacities;
5. his ability to win the acceptance, cooperation, assistance, and confidence of those he comes in contact with - those within his department, other governmental agencies and the public; and
6. his willingness to make decisions, his ability to gain acceptance of these decisions, and his ability to make his decisions known in a manner which will enhance the interest of his program or department.
Exhibit C

Administrative Policies and Procedures: Performance Evaluation for Executive Employees, Department of Personnel Services, County of Kauai
I. POLICY

An objective evaluation of the performance of the County's non-elected executive appointees covered by Section 3-2.1 of the Kaua'i County Code shall be conducted regularly. Aspects of performance to be evaluated shall include managerial competencies and specified on their job description or by other relevant factors.

II. RATIONALE

This policy provides a means to determine whether employees are meeting or exceeding job requirements as defined on the position description, and to highlight employees' progress and strengths and areas that need to be strengthened.

III. DEFINITIONS

"Appointing authority" means the Mayor or designee, board, commission or department head having the power to make adjustments for their respective employees.

"County" means the County of Kaua'i.

"Director" means the Director of Personnel Services for the County of Kaua'i.

IV. SCOPE

This policy applies to all non-elected department heads, deputies and executives covered by Section 3-2.1 of the Kaua'i County Code within the executive branch of the County of Kaua'i.
PERFORMANCE EVALUATION FOR EXECUTIVE APPOINTEES

V. RESPONSIBILITIES

A. The Department of Personnel Services (DPS) is responsible for the development and implementation of the Executive Appointees Performance Evaluation Program, including determination of the form(s) and procedures used.

B. The Director of Personnel Services is responsible for the administration of the Executive Appointees Performance Evaluation Program.

C. DPS is responsible for ensuring compliance with established policy and procedures, maintaining forms and documents relative to this policy, and evaluating the effectiveness of the program and making appropriate adjustments, as necessary. Original forms and documents will be kept in the affected employee’s official personnel file. Copies will be maintained at DPS.

D. The Mayor or his designated representative is responsible for reviewing of the Executive Appointees Performance Evaluation guidelines and procedures.

E. Executive employee’s responsibilities:

1. Actively look for ways to measure own performance on the job;
2. Propose ideas to appointing authority when requested;
3. Keep an open mind when discussing goals with appointing authority;
4. Provide realistic and accurate input at the end of the rating period.

F. Appointing authority’s responsibilities:

1. Set attainable and realistic goals with employees;
2. Challenge employees to increase effort or performance through challenging goals;
3. Clarify expectations for employee performance;
4. Monitor employee performance and provide feedback to aid in employee development.
VI. PROCEDURE

A. The executive employee drafts goals/standards for the coming year.

1. Goals should be specific, measurable, attainable, realistic and time-oriented.

2. Categories of goals

   a) Individual goals
      1) focus on achievements of the individual employee;
      2) are meaningful to achievement of organizational success;
      3) relate to work being performed.

   b) Work unit goals
      1) focus on employee contribution to achievement of the work units defined goals and objectives;
      2) treat all employees within the work unit equally;
      3) achievement makes contribution toward organizational goals.

   c) Organizational goals
      1) relate to achievement of organizational goals, objectives, and mission;
      2) focus on the organization and the employees' role in achieving the organizational mission;
      3) identify competencies needed to meet organizational goals.

B. Employee and appointing authority agree to standards and goals for the year.

C. Goals are reassessed and modified at mid-year.

D. Appointing authority obtains input on performance from a minimum of eight (8) multiple sources (e.g. subordinates, co-workers, and superiors).

E. The Director may authorize Commissions to evaluate the performance of their executive appointees on approved rating sheets that may provide for weighted judgment suited to their organizational
PERFORMANCE EVALUATION
FOR EXECUTIVE APPOINTEES

... needs. Data will be transmitted on Form KPC-10 to satisfy Salary Commission requirements.

F. Appointing authority summarizes performance and provides comments on Form KPC-10.

G. Appointing authority and executive employee meet to discuss performance and to set new goals for planned improvement for the coming year.

H. Appointing authority and executive employee sign and date the form.

I. Appointing authority submits the appropriate form(s) to the Director of Personnel Services who creates reports to Mayor and Salary Commission as required.

VII. AUTHORITIES AND REFERENCES

Hawai‘i Revised Statutes §76-12, §76-13, §76-17, §89C;
Rules of the Director of Personnel Services, §1-3.

Effective 05/08/2007
Exhibit D

Form: Performance Evaluation for Appointees, County of Kauai
COUNTY OF KAUA‘I
PERFORMANCE EVALUATION FOR APPOINTEES

Department Head/Deputy Name: ________________________________

Title: ________________________________

Department: ________________________________

Evaluation Period: ________________________________

******************************************************************************

It is important to provide all appointees with clear expectations and regular, ongoing feedback on how they are progressing. Achievement of goals, areas for development, recognizing accomplishments and providing a planning tool is important for the appointee’s and the department’s future. The performance feedback contained in this evaluation should not be a surprise to the employee and should be a summary of the conversations that the appointing authority has been having with their appointees throughout the year.

Instructions:

<table>
<thead>
<tr>
<th>1 point</th>
<th>2 points</th>
<th>3 points</th>
<th>4 points</th>
<th>5 points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unsatisfactory</td>
<td>Needs Improvement</td>
<td>Satisfactory/Meets Standard</td>
<td>Good/Exceeds Expectations</td>
<td>Excellent/Outstanding</td>
</tr>
</tbody>
</table>

- Using the scale above, score the statements in each category that best reflect the usual behavior of the employee;
- Record significant events during the evaluation period under “Comments” or suggestions for improvement if applicable;
- Scores of “1” or “5” in any category require an explanation under the “Comments” section.
## COUNTY OF KAUA’I
### PERFORMANCE EVALUATION FOR APPOINTEES

#### BOARD/COMMISSION

<table>
<thead>
<tr>
<th>LEADERSHIP</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Utilization of appropriate interpersonal styles and methods to guide individuals and groups toward effective task accomplishment. | • Is a self-starter with the drive and ability to improve the status quo through development and implementation of sound policy, sets realistic and creative goals and objectives, and long and short range strategies to achieve the Department’s mission.  
• Provides sound recommendations to the Board/Commission to facilitate the decision-making process. | |

Comments: ____________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

<table>
<thead>
<tr>
<th>MANAGEMENT</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Development and implementation of sound program, personnel, and financial operations to facilitate the effective operation of the Department. | • Provides suitable oversight of Department programs and services, personnel and financial matters.  
• Maintains an appropriate balance between administration and operations. | |

Comments: ____________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________


<table>
<thead>
<tr>
<th>COMMUNICATION/CUSTOMER SERVICE/PUBLIC RELATIONS</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Represents the Department in a positive and professional manner through courteously and effectively meeting the needs of others, clear expressions of relevant and timely information and listening and understanding others. | • Works and communicates effectively with the Board/Commission.  
• Provides appropriate, adequate, relevant and timely information to the Board/Commission on the status of the Department, clearly conveying information in a manner that engages the Board/Commission to achieve common goals.  
• Offers appropriate feedback and listens well, creating an atmosphere of mutual respect and trust through positive interactions. |

Comments:


<table>
<thead>
<tr>
<th>COORDINATION/COLLABORATION</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Works effectively with the others to achieve common goals, building group cohesiveness and encouraging teamwork. | • Works with Board/Commission to develop mutual goals and objectives, long and short range strategies, and sound Departmental policies to meet the mission and vision of the Department.  
• Is receptive to others' ideas and suggestions. |

Comments:


### COUNTY OF KAUA'I
### PERFORMANCE EVALUATION FOR APPOINTEES

<table>
<thead>
<tr>
<th>WORK EXCELLENCE</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishes a course of action, structuring and arranging resources and setting priorities for self and others to accomplish specific goals with demonstrated ability to plan ahead, schedule work, set realistic goals, anticipate and prepare for future assignments, set logical priorities and use time wisely.</td>
<td></td>
</tr>
<tr>
<td>• Adequately prepares the Board/Commission by assisting in developing appropriate agendas with adequate discussion time.</td>
<td></td>
</tr>
<tr>
<td>• Provides accompanying support material well in advance of meetings.</td>
<td></td>
</tr>
</tbody>
</table>

Comments:

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

### ACHIEVEMENT OF GOALS

<table>
<thead>
<tr>
<th>Progress on goals established.</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Sufficient progress towards adequately meeting goals in quantity and quality.</td>
<td></td>
</tr>
</tbody>
</table>

Comments:

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________
## COUNTY OF KAUA'I
### PERFORMANCE EVALUATION FOR APPOINTEES

#### MAYOR/DEPARTMENT HEAD

<table>
<thead>
<tr>
<th>LEADERSHIP</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Utilization of appropriate interpersonal styles and methods to guide individuals and groups toward effective task accomplishment. | - Leads by example, motivating others and training and serving as a mentor to subordinates.  
- Adapts and acts to address changing conditions through innovation and creativity to improve the effectiveness of operations.  
- Decisive and progressive in attitude and action, participating in professional development activities in preparing for the future. |

Comments: __________________________________________

<table>
<thead>
<tr>
<th>MANAGEMENT</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Development and implementation of sound program, personnel, and financial operations to facilitate the effective operation of the Department. | - Consistently conducts regular and systemic review of Department operations.  
- Evaluates progress towards established goals, compliance with established policies and budgetary expenditures.  
- Develops an effective management team to maintain and use the systems and resources that facilitate the effective operation of the Department.  
- Implements remedial measures when necessary.  
- Thoroughly researches and uses good judgment in making decisions. |

Comments: __________________________________________
## COUNTY OF KAUA'I
### PERFORMANCE EVALUATION FOR APPOINTEES

<table>
<thead>
<tr>
<th>COMMUNICATION/CUSTOMER SERVICE/PUBLIC RELATIONS</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Represents the Department in a positive and professional manner through courteously and effectively meeting the needs of others, clear expressions of relevant and timely information and listening and understanding others. | • Develops and maintains effective working relationships and partnerships with public officials, constituents, the media and other relevant community organizations, reflecting positively on the Department.  
• Encourages others to provide input and feedback.  
• Communicates information in the most efficient manner. |

Comments:

---

<table>
<thead>
<tr>
<th>COORDINATION/COLLABORATION</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Works effectively with the others to achieve common goals, building group cohesiveness and encouraging teamwork. | • Promotes cooperation and teamwork at various levels, keeping information flowing.  
• Facilitates communication and problem solving with the Administration and among employees.  
• Seeks input and encourages collaboration and teamwork with others. |

Comments:

---
**COUNTY OF KAUAI**

**PERFORMANCE EVALUATION FOR APPOINTEES**

<table>
<thead>
<tr>
<th>WORK EXCELLENCE</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishes a course of action, structuring and arranging resources and setting priorities for self and others to accomplish specific goals with demonstrated ability to plan ahead, schedule work, set realistic goals, anticipate and prepare for future assignments, set logical priorities and use time wisely.</td>
<td></td>
</tr>
<tr>
<td>• Is dependable and conscientious in performing work.</td>
<td></td>
</tr>
<tr>
<td>• Accurate, thoughtful, thorough, concise and effective in completing work assignments.</td>
<td></td>
</tr>
<tr>
<td>• Works quickly when faced with difficult problems.</td>
<td></td>
</tr>
<tr>
<td>• Adapts to circumstances as needed.</td>
<td></td>
</tr>
<tr>
<td>• Structures work in an organized manner to avoid crises.</td>
<td></td>
</tr>
</tbody>
</table>

Comments:  

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

<table>
<thead>
<tr>
<th>ACHIEVEMENT OF GOALS</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Progress on goals established.</td>
<td></td>
</tr>
<tr>
<td>• Sufficient progress towards adequately meeting goals in quantity and quality.</td>
<td></td>
</tr>
</tbody>
</table>

Comments:  

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________
<table>
<thead>
<tr>
<th>LEADERSHIP</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Utilization of appropriate interpersonal styles and methods to guide individuals and groups toward effective task accomplishment.</td>
<td></td>
</tr>
<tr>
<td>• Builds group cohesiveness.</td>
<td></td>
</tr>
<tr>
<td>• Encourages cooperation both internally and externally.</td>
<td></td>
</tr>
<tr>
<td>• Shows initiative and creativity in trying new ideas.</td>
<td></td>
</tr>
</tbody>
</table>

Comments: 

<table>
<thead>
<tr>
<th>MANAGEMENT</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development and implementation of sound program, personnel, and financial operations to facilitate the effective operation of the Department.</td>
<td></td>
</tr>
<tr>
<td>• Demonstrates the knowledge, skills and abilities necessary to lead the Department.</td>
<td></td>
</tr>
<tr>
<td>• Maintains high productivity and morale among staff.</td>
<td></td>
</tr>
<tr>
<td>• Promotes effective and productive relationships with other Departments.</td>
<td></td>
</tr>
</tbody>
</table>

Comments:
## COUNTY OF KAUA'I
### PERFORMANCE EVALUATION FOR APPOINTEES

<table>
<thead>
<tr>
<th>COMMUNICATION/CUSTOMER SERVICE/PUBLIC RELATIONS</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Represents the Department in a positive and professional manner through courteously and effectively meeting the needs of others, clear expressions of relevant and timely information and listening and understanding others.</td>
<td></td>
</tr>
</tbody>
</table>
| • Is well respected in the community.  
• Serves as an effective spokesperson and advocate for the Department.  
• Addresses the needs of other Departments and the public through courteous, open and helpful interactions and timely and relevant information. |       |

Comments:

<table>
<thead>
<tr>
<th>COORDINATION/COLLABORATION</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Works effectively with the others to achieve common goals, building group cohesiveness and encouraging teamwork.</td>
<td></td>
</tr>
</tbody>
</table>
| • Works hard to promote positive and sound working relationships and partnerships with other Departments and the public.  
• Shows high levels of cooperation in identifying collaboration and unique partnership opportunities.  
• Builds strategic relationships with others which are beneficial towards achieving goals. |       |

Comments:
## COUNTY OF KAUA'I
### PERFORMANCE EVALUATION FOR APPOINTEES

<table>
<thead>
<tr>
<th>WORK EXCELLENCE</th>
<th>SCORE</th>
</tr>
</thead>
</table>
| Establishes a course of action, structuring and arranging resources and setting priorities for self and others to accomplish specific goals with demonstrated ability to plan ahead, schedule work, set realistic goals, anticipate and prepare for future assignments, set logical priorities and use time wisely. | • Presents outstanding impression of the Department’s performance as evidenced by no complaints, favorable comments and compliments, and high credibility and respect through successful performance.  
• Consistently responds to internal and external concerns.  
• Instills the feeling of confidence, trust and dependability among co-workers, subordinates and the general public. |

Comments: 

_________________________________________________________________  
_________________________________________________________________  
_________________________________________________________________  
_________________________________________________________________
### COUNTY OF KAUAI
**PERFORMANCE EVALUATION FOR APPOINTEES**

#### EVALUATION RESULTS
(Scores and comments from individual questions to be attached)

<table>
<thead>
<tr>
<th></th>
<th>Score</th>
<th>Weight</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board/Commission/Council</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mayor</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department Head</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### COMPENSATION

Recommend:
- [ ] Maximum salary as set by the Salary Commission
- [ ] Less than the maximum salary as set by the Salary Commission equal to $________ or ________% increase from current salary
- [ ] Maintain current salary

Department Head/Deputy Signature ___________________________ Date __________

Comments: ____________________________________________

______________________________________________________

Appointing Authority Signature (representative) ___________ Date __________
COUNTY OF KAUA'I
PERFORMANCE EVALUATION FOR APPOINTEES

GOALS FOR THE UPCOMING YEAR

Describe including base line information if the goal reflects improved operations of current program, target completion date, evaluation criteria, addressing constraints (if any) towards attaining goal, etc.

* 
* 
*
Exhibit E

Form: Evaluation Factors: Appointees/Managers, County of Kauai
### EVALUATION FACTORS: APPOINTEES/MANAGERS

<table>
<thead>
<tr>
<th>Name/Title:</th>
<th>Name of Rater:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Years of Service:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
</table>

1. **Customer Service:** Courtesy in dealing with customers and effectiveness in meeting the customer's needs. (Customers may include, but not limited to, the public; Mayor; County Council; Board or Commission; and other department/agency heads and deputies.)

| Has shown little interest in meeting the needs of the customers. | Is occasionally discourteous when working with customers. Sometimes is not effective in meeting the needs of customers. | Almost always courteous and effective when dealing with customers. | Is pleasant and helpful when dealing with customers. | Courteous and effective when dealing with customers; goes far beyond the call of duty to serve customers. |

| Trend: Improving | Same | Declining |

Recommendation(s) for Improvement:

---

2. **Planning and Organizing:** Establishing a course of action, structuring or arranging resources, and setting priorities for self and others to accomplish specific goals. Demonstrated ability to plan ahead, schedule work, set realistic goals, anticipate and prepare for future assignments, set logical priorities and use time wisely.

| Usually disorganized, and often in a crisis caused by lack of planning and organizing. | Has difficulty in setting priorities and/or in attaining goals. | Usually does a good job in assigning priorities. Able to attain most goals. | Seldom in a crisis due to lack of planning and organizing. Is able to attain nearly all goals. | Does a superior job in assigning priorities. Anticipates problems and decides how to handle them. Accomplishes tasks ahead of scheduled in most instances. |

| Trend: Improving | Same | Declining |

Recommendation(s) for Improvement:
3. **LEADERSHIP.** Measurement of getting people to willingly work to accomplish an objective. Utilization of appropriate interpersonal styles and methods to guide individuals or groups toward effective task accomplishment. Controlling and evaluating performance, utilization of resources available to accomplish tasks, effective employee development and counseling and sharing leadership when appropriate.

- **Inhibit subordinate motivation to accomplish tasks or improve personal development.** Fails to take initiative and rarely improves job status. Shares little or no information with superiors or subordinates.
- **Sometimes fails to sufficiently motivate employees to accomplish tasks or develop.** Shares very little information with superiors or subordinates.
- **Effectively motivates employees to accomplish tasks and develop employees.** Takes action to solve problems. Maintains a good method of sharing information with superiors and subordinates.
- **Consistently effective in motivating employees to accomplish tasks and improve personal development.** Maintains excellent method of sharing information. Most potential problems are detected early.
- **Exceptionally effective leader.** Maintains highly motivated and developed employees. Problems are consistently detected early, and information is shared in the most efficient manner. This person is always on top of things.

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inhibit subordinate motivation to accomplish tasks or improve personal development.</td>
<td>Sometimes fails to sufficiently motivate employees to accomplish tasks or develop. Shares very little information with superiors or subordinates.</td>
<td>Effectively motivates employees to accomplish tasks and develop employees. Takes action to solve problems. Maintains a good method of sharing information with superiors and subordinates.</td>
<td>Consistently effective in motivating employees to accomplish tasks and improve personal development. Maintains excellent method of sharing information. Most potential problems are detected early.</td>
<td>Exceptionally effective leader. Maintains highly motivated and developed employees. Problems are consistently detected early, and information is shared in the most efficient manner. This person is always on top of things.</td>
<td></td>
</tr>
</tbody>
</table>

**Trend:** Improving Same Declining

**Recommendation(s) for improvement:**

---

4. **Communication.** Expression of ideas orally and in writing, providing relevant and timely information to superiors, co-workers, subordinates and other customers, listening and understanding others.

- **Written work is often incomplete and contains errors.** Fails to clearly express opinion on ideas.
- **Written work usually contains some errors.** Thoughts are not presented in a logical order in conversation, often has trouble being understood.
- **Reports are generally accurate but occasionally contain errors.** Routine reports are performed adequately, but more important or complex reports require closer supervision.
- **Reports are consistently accurate and well organized, seldom needing correction.** This person can capably prepare and present important oral or written reports. Listens well and can be understood.
- **Writes well-organized, understandable and accurate reports.** Oral or written presentation is excellent, needs minimal improvement. In less formal conversation, this person listens well in addition to getting the point across.

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Written work is often incomplete and contains errors. Fails to clearly express opinion on ideas.</td>
<td>Written work usually contains some errors. Thoughts are not presented in a logical order in conversation, often has trouble being understood.</td>
<td>Reports are generally accurate but occasionally contain errors. Routine reports are performed adequately, but more important or complex reports require closer supervision.</td>
<td>Reports are consistently accurate and well organized, seldom needing correction. This person can capably prepare and present important oral or written reports. Listens well and can be understood.</td>
<td>Writes well-organized, understandable and accurate reports. Oral or written presentation is excellent, needs minimal improvement. In less formal conversation, this person listens well in addition to getting the point across.</td>
<td></td>
</tr>
</tbody>
</table>

**Trend:** Improving Same Declining

**Recommendation(s) for improvement:**

---
5. Personnel Management. Selecting, managing, motivating and developing employees, following prescribed personnel policies and practices, including equal employment opportunity. Effectiveness in utilization of personal resources.

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rare difficulty in selecting, managing, motivating, and developing staff members to meet individual and group goals. Often disregards prescribed personnel policies and practices.</td>
<td>Somewhat effective in selecting, managing, motivating, and developing staff members to meet individual and group goals. Usually follows prescribed personnel policies and practices. However, some improvement of these skills is needed.</td>
<td>Generally effective in selecting, managing, motivating, and developing staff members to meet individual and group goals. Follows prescribed personnel policies and practices. Effective in managing personnel resources.</td>
<td>Very effective in selecting, managing, motivating, and developing staff members to meet individual and group goals. Follows prescribed personnel policies and practices. Handles employee performance problems effectively and selects well-qualified candidates.</td>
<td>Exceptionally effective and creative in selecting, managing, motivating and developing staff members to meet individual and group goals. Follows prescribed personnel policies and practices. Demonstrates skill and creativity in dealing with employee performance problems, and selecting well-qualified candidates.</td>
<td></td>
</tr>
</tbody>
</table>

Trend: Improving __ Same ____ Declining ____
Recommendation(s) for improvement: ________________________________

6. Achieving Goals. Effective organizational management to achieve defined program measurements, goals, and objectives. Establish realistic program measurements, goals and objectives for employees. Produce a reasonable volume of work on schedule, demonstrating accuracy, thoroughness and dependability.

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does not achieve defined objectives, and establishes unrealistic goals for employees. Develops error prone, incomplete work. Work is generally untimely. Regular reminders needed to obtain compliance.</td>
<td>Goals are not always achieved, and accuracy and volume of work is sometimes less than standard. Work is frequently untimely. Some monitoring required.</td>
<td>Effective in the establishment of realistic, achievable goals; production of work is dependable and accurate generally. Work is generally timely.</td>
<td>Goals are consistently achieved. The volume, accuracy and thoroughness of work is very effective. Work is almost always timely.</td>
<td>Exceptional manager, achieving extremely high standards. Production of work is exceptional due to high degree of accuracy, volume, and thoroughness. Work is always timely.</td>
<td></td>
</tr>
</tbody>
</table>

Trend: Improving __ Same ____ Declining ____
Recommendation(s) for improvement: ________________________________
7. **Policy Development.** The development and implementation of sound policy, which identifies and analyzes problems effectively and develops alternative solutions. This encompasses job knowledge, which includes depth, currency, and breadth.

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cannot develop a policy independently, and does not identify or analyze problems.</td>
<td>Often is not able to develop a sound policy based on job knowledge. Often does not identify solutions.</td>
<td>Effective establishment of sound policy based on analysis of problems. Develops some alternative solutions.</td>
<td>Consistently develops and implements sound policies. Very knowledgeable and effectively analyzes problems.</td>
<td>Exceptional development and implementation of sound policy. Significant thorough research and analysis conducted and several feasible alternate solutions are developed.</td>
<td></td>
</tr>
</tbody>
</table>

**Trend:** Improving  Same  Declining

**Recommendation(s) for Improvement:**

---

8. **Financial Management.** Effective development and implementation of financial budgets and controls, operating within prescribed fiscal limits, incorporating key costs control issues.

<table>
<thead>
<tr>
<th>Unsatisfactory (1)</th>
<th>Needs Improvement (2)</th>
<th>Satisfactory (3)</th>
<th>Excellent (4)</th>
<th>Superior (5)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequently pays inadequate attention to financial budgets and controls in planning and completing work. Work is frequently over budget. Fails to fully utilize budget resources or budget fails to provide for program requirements.</td>
<td>Sometimes pays inadequate attention to financial budgets and controls in planning and completing work. Work is sometimes over budget without adequate attempts to control costs. Occasionally attempts to circumvent county guidelines.</td>
<td>Attentive to financial budgets and controls, and generally operates within prescribed financial limits. Budget overruns are infrequent, and causes are normally identified and justified. Occasionally attempts to circumvent county guidelines.</td>
<td>Consistently effective in developing financial budgets and controls and in operating within prescribed financial limits. Seeks opportunities to control costs, and adapts plans and methods to prevent budget overruns.</td>
<td>Exceptionally effective in developing budgets and controls (incorporating low cost control issues) and in operating within prescribed financial limits. Actively seeks opportunities to control costs, adapts plans and methods to prevent budget overruns, and encourages and assists others in effecting cost savings.</td>
<td></td>
</tr>
</tbody>
</table>

**Trend:** Improving  Same  Declining

**Recommendation(s) for Improvement:**
Page 5

**Overall Trend:** Improving____ Same____ Declining____

<table>
<thead>
<tr>
<th>Signature of Employee</th>
<th>Date</th>
<th>Signature of Rater</th>
<th>Date</th>
</tr>
</thead>
</table>

Employee comments:__________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
Exhibit F

Performance Evaluation and Procedures,
Department of Personnel Services, County of Maui
MEMORANDUM

TO: All Department and Agency Heads
FROM: Lance T. Hiromoto, Director
Department of Personnel Services

SUBJECT: PERFORMANCE EVALUATION POLICY

Thank you for participating in the consultation process for the County of Maui's Performance Evaluation Policy. The consultation process has been concluded and a copy of the finalized policy and forms are enclosed. Note that the effective date of the policy is July 1, 2012.

The Department of Personnel Services will offer two briefings to review the policy and procedures.

TARGET GROUP: Highly recommended for all Departmental Personnel Officers, Administrative Assistants, Managers and Supervisors.

DATE: Thursday, June 21, 2012 or Tuesday, June 26, 2012

TIME: 9:00 a.m. - 12:00 p.m.

LOCATION: DPS Conference Room, 6th Floor

We recommend that participants review the enclosed documents prior to attending, so they may come prepared to present their questions or concerns. Please sign up for one of the briefings with Jamie Adams, Human Resources Specialist, at 270-7850, by Monday, June 18, 2012.
Should you have any questions, please feel free to contact Jamie Adams, Human Resources Specialist, via email at jamie.adams@mauicounty.gov or phone at 270-7850. Thank you for your kind attention to this matter.

LTH: jlia  
Enc. 
cc: Director of Council Services 
County Clerk
SUBJECT: PERFORMANCE EVALUATION

REFERENCES:

Hawaii Revised Statutes (HRS), Section 76-14, Section 76-27, Section 76-41, and Section 89-10.8

Administrative Rules, Title MC-11, Department of Personnel Services, Chapter 205, §11-205-24, §11-205-25, and Chapter 214, §11-214-2

EFFECTIVE DATE: TBD

I. PURPOSE

The purpose of this policy is to provide a system for evaluating the performance of each employee of the County of Maui at least once annually. The evaluation shall be used to provide a standard for satisfactory work performance and to assess whether employees meet the performance requirements of their positions (which includes any qualification required for the position such as a license, as required under the HRS §76-27).

II. BACKGROUND

Act 253, SLH 2000, amended HRS, Section 76-41, relating to performance appraisal systems and the consequences of failure to meet performance requirements. The law specifies seven (7) conditions that need to be met if there is an adverse action resulting from a civil service employee's failure to meet performance requirements. An adverse action means an involuntary demotion, involuntary transfer, discharge, termination, an involuntary reduction in pay resulting from the reassignment of a position to another pay range or class, or an adjustment to an employee's step movement date as the result of the Employee's failure to meet the performance requirements of the Employee's position.

III. DEFINITIONS

"Anniversary Date" means the date the employee first entered his/her class of work.

"Appointing Authority" means a department head or designee having the power to make appointments or changes in the status of employees.
"Civil Service Employee" means an employee who has met all requirements for membership in the civil service under HRS §76-27.

"Employee" means (unless policy specifies the type of employee):

1. all bargaining unit employees (including their "excluded" bargaining unit counterparts and those in the EMCP),
2. who are full- or part-time and whose appointments are new probationary or permanent,
3. who has met all requirements for membership in civil service under HRS §76-27 which provides that an employee must successfully complete an initial probationary period as a part of the examination process to determine the employee's fitness and ability for the position.
4. The program may also apply to employees serving in other types of appointments, at the discretion of the department head.

"Official Personnel File" means the operating department's personnel file.

"Performance Category" means factor that is used to evaluate an employee's performance.

"Probation Period" means:

**Initial Probation Period:**
Generally, a period of six months and not more than one year. The initial probation is for an employee who has newly entered the County civil service that is the final test of the person's fitness and ability for the position before acquiring membership in the civil service.

**New Probation Period:**
Generally, a period of six months and not more than one year. This period serves as a test of a regular employee's qualifications for the position in which he/she is employed through a promotion, transfer, demotion, etc.

Probation periods may be adjusted for periods of absence from work if the absences affect management's ability to evaluate the employee's performance.

"Rating levels" means the following:
**Exceeds:** Employee's work performance is outstanding and exceeds supervisor's expectations/performance requirements.

**Satisfactory:** Employee's work performance is satisfactory and meets supervisor's expectations/performance requirements.

**Substandard:** Employee's work performance is unsatisfactory and is below supervisor's expectations/performance requirements.

“Significant Performance Category” means a “Critical” factor that is used to evaluate an employee's performance which the employee must satisfactorily perform to pass the evaluation.

**IV. PERFORMANCE EVALUATIONS**

A. **Probationary Evaluation** - For employees subject to initial and new probationary periods, evaluations shall be conducted at the end of every three (3) months of service; and prior to the end of the employee's probationary period. An appointing authority shall notify an employee of the department's intent to extend the employee's probationary period prior to the end of the probationary period.

B. **Annual Evaluation** - The Department shall evaluate the performance of civil service employees in the department at least once annually (prior to the employee's class anniversary date). However, the Department is not precluded from evaluating an employee's performance as often as deemed necessary in order to meet the objective of improving an employee's overall performance.

C. **Performance Improvement Evaluation** - The Department may implement a performance improvement plan when an employee's new probationary or annual work performance has declined to the point where the employee is not meeting performance requirements/expectations. Employees may be given up to three (3) months to bring their work performance up to a satisfactory level.

D. **Partial Evaluation** - The Department shall conduct a performance evaluation covering any remaining period (if any) between the end of the performance improvement period and the end of the annual evaluation period.
V. DEPARTMENT/SUPERVISOR RESPONSIBILITIES DURING THE PERFORMANCE EVALUATION PROCESS

A. Review Position Description

Prior to the employee's performance evaluation, the supervisor shall review the employee's position description. The supervisor shall ensure the position description accurately describes the current duties and responsibilities assigned to the position. If the position description is not up-to-date, or if there is no position description, one should be prepared and submitted for approval.

B. Evaluate Performance

1. Beginning of the Evaluation Period

   a. The supervisor shall review and discuss with the employee:

      i. the duties and responsibilities listed in the employee's position description to ensure that the employee fully understands the requirements of his/her position;

      ii. the Performance Categories noted on the Performance Evaluation Report that will be used to evaluate the employee's performance during the evaluation period;

      iii. how the duties and responsibilities stated in the position description relate to the performance categories identified on the Performance Evaluation Report;

      iv. the Performance Evaluation Worksheet, which the supervisor shall use to document both outstanding and substandard work performance during the evaluation period; and

      v. the consequences of substandard work performance.

   This discussion should give the employee a clear understanding of the performance evaluation process, what is expected of the employee, and the consequence of substandard work performance.
b. The employee shall sign and date Part A of the Performance Evaluation Report. If the employee elects not to sign the Performance Evaluation Report, the supervisor shall indicate that the employee elected not to sign, in the employee's signature box.

2. During the Evaluation Period

a. During the evaluation period, the supervisor shall evaluate the employee's work performance in a fair, objective and non-discriminatory manner.

b. The supervisor shall observe the employee's work performance, documenting any exceptional and/or substandard work performance on the Performance Evaluation Worksheet.

c. The supervisor shall meet with the employee, in a timely manner, to review and discuss the documentation on the Worksheet and have the employee initial the appropriate section at the conclusion of each meeting. (Note: if the employee elects not to initial the Worksheet, the supervisor shall indicate that the employee elected not to initial, in the employee's initial box.) If the employee disagrees with the supervisor's documentation, the employee may submit additional comments, which shall be attached to the Worksheet.

d. If the employee is performing at an unsatisfactory level, the supervisor shall provide suggestions to the employee on how to improve his/her performance and offer assistance to help the employee improve. This may include counseling, assigning a more senior employee to work with the employee for a period of time, arranging for one-on-one instruction or other training as appropriate. The supervisor shall provide the employee with a reasonable amount of time in order for the employee to meet the established performance expectations of the position.

e. If the employee continues to perform at a substandard level, the supervisor may conclude the evaluation period and note a "No Rating" on the evaluation report and place the employee on a performance improvement plan. (See Section VI and VII of this policy.)
3. Conclusion of the Evaluation Period


Any "substandard" or "exceeds" rating shall be supported by documentation from the Worksheet.


A substandard rating in one of the Performance Categories may not justify a substandard rating in the Significant Performance Categories.

c. Overall Evaluation An overall rating of "Substandard" shall be given when one or both of the Significant Performance Categories is rated "Substandard." An overall rating of "Exceeds" shall be given when both of the Significant Performance Categories are rated "Exceeds."

d. If the employee disagrees with the Performance Evaluation Report, the employee may attach comments that will become a permanent part of the report.

e. The supervisor shall transmit the completed Performance Evaluation Report and attachments to the Department Head or designee for signature.

VI. GUIDELINES FOR EVALUATING INITIAL PROBATIONARY EMPLOYEES PERFORMING AT A SUBSTANDARD LEVEL

A. The supervisor shall review and discuss the substandard performance with the employee.

B. The supervisor shall recommend to the appointing authority whether to terminate or place the employee on a performance improvement plan. If the performance improvement period is projected to exceed the initial probationary period, the Department shall extend the probationary period and provide written notification to the employee prior to the end of the initial probationary period.

VII. GUIDELINES FOR NEW PROBATIONARY AND ANNUAL EVALUATIONS WHEN EMPLOYEES ARE PERFORMING AT A SUBSTANDARD LEVEL

A. Complete the current evaluation with documentation that the employee will be subject to a performance improvement plan. The current evaluation shall reflect a "No Rating" in Part D of the Performance Evaluation Report. The completed evaluation should have all signatures and processed as directed in Section V.B.3.e.& f. of this policy.

B. The Appointing Authority shall issue a written notification to the employee that clearly identifies the area(s) in need of improvement, suggest specific ways to achieve a satisfactory rating, and advise the employee of the consequences if his/her performance does not improve to "satisfactory."

C. Upon issuance of written notification to the employee, the supervisor shall be responsible for continued monitoring of the employee's performance. Follow-up reviews shall be conducted at least once a month and noted on the Performance Evaluation Worksheet. The supervisor shall complete a new Performance Improvement Evaluation covering the improvement period.

D. If the employee's performance has improved to a satisfactory level, the Appointing Authority shall issue a written notification of satisfactory work performance to the employee.

E. If the employee's performance has not improved to a satisfactory level, the Appointing Authority shall issue a written notification of substandard work performance to the employee.
F. HRS §76-41 provides that the Appointing Authority may release an employee from the employee's position or discharge an employee from service if the employee fails to meet the performance requirements of the employee's position. However, prior to the employee being considered for discharge due to failure to meet performance requirements, the Appointing Authority must consider the feasibility of transferring or demoting the employee to another position for which the employee qualifies. Actions taken will be in accordance with applicable provisions of personnel laws, rules and collective bargaining agreements.

For new probationary employees who fail to meet the performance requirements of the employee's position, the Appointing Authority shall return the employee to his/her former or comparable position or in accordance with the applicable statute or rule.

VIII. RIGHTS OF AN EMPLOYEE WHO IS SUBJECTED TO ANY ADVERSE ACTION DUE TO SUBSTANDARD PERFORMANCE

A. Any civil service employee who is subjected to any adverse action (involuntary demotion, involuntary transfer, discharge, termination, an involuntary reduction in pay resulting from the reassignment of a position to another pay range or class, or an adjustment to an employee's step movement date) [released or discharged] due to substandard performance shall have the right to grieve either under 1) a collective bargaining grievance procedure that culminates in a final and binding decision by a performance judge, or 2) the departmental complaint procedure that culminates in a final and binding decision by the Civil Service Commission.

B. The performance judge or the Civil Service Commission shall use the criteria outlined in the HRS §76-41 as tests in reaching a decision on whether the employer's action [in releasing or discharging the employee] was based on a failure to meet performance requirements, was with or without merit.

IX. PERFORMANCE EVALUATION FORMS AND DOCUMENTS

All performance evaluation forms and documents shall be maintained in the employee's official personnel file.
$76-41 Performance appraisal systems; failure to meet performance requirements. (a) There shall be established and maintained performance appraisal systems for the purpose of evaluating the performance of employees in the civil service and improving the employees' performance. The performance appraisal systems shall be the basis for evaluating whether employees in the civil service meet the performance requirements of their respective positions as required in section 76-27. For the purposes of this section, "performance requirements" includes any qualification required for the position such as a license.

(b) An appointing authority may release an employee from the employee's position or discharge an employee from service if the employee fails to meet the performance requirements of the employee's position under the following conditions:

1. The evaluation process and its consequences were discussed with the employee;
2. The employee was made aware of the employee's current job description and job-related performance requirements;
3. The evaluation procedures were observed, including providing the employee the opportunity to meet, discuss, and rebut the performance evaluation and apprising the employee of the consequences of failure to meet performance requirements;
4. The evaluation was fair and objective;
5. The employee was provided performance feedback during the evaluation period and, as appropriate, the employee was offered in-service remedial training in order for the employee to improve and meet performance requirements;
6. The evaluation was applied without discrimination; and
7. Prior to the end of the evaluation period that the employee is being considered for discharge due to failure to meet performance requirements, the feasibility of transferring or demoting the employee to another position for which the employee qualifies was considered.

(c) Any civil service employee who fails to meet performance requirements shall have the right to grieve under:

1. A collective bargaining grievance procedure that culminates in a final and binding decision by a performance judge pursuant to section 89-10.8; or
2. The departmental complaint procedure that culminates in a final and binding decision by the merit appeals board under section 76-14.

The performance judge or the merit appeals board, as the case may be, shall use the conditions in subsection (b) as tests in reaching a decision on whether the employer's action, based on a failure by the employee to meet performance requirements of the employee's position, was with or without merit. [L 1955, c 274, pt of §1; RL 1955, §3-21(u); am L 1961, c 41, §1; HRS $76-41; gen ch 1985; am L 1994, c 56, §21; am L 1998, c 52, §1; am L 2000, c 253, §23]
Performance Evaluation Process
Summary for Employees

This summary of the County of Maui's performance evaluation process has been prepared to help you understand:
- who is covered by this program,
- how the program works, and
- what you can expect from this program.

WHO IS COVERED BY THIS PROGRAM?

You are covered by this program if:

You are a full-time or part-time employee, and
You are in a bargaining unit or an excluded counterpart of a bargaining unit, and
You are serving in a new probational or permanent appointment.

*The program may also apply to employees serving in other types of appointments, at the discretion of the department head.

HOW THIS PROGRAM WORKS

The Performance Evaluation Process consists of the following forms:

- Performance Evaluation Report, the cover page
- Performance Categories, provides factors to be used in evaluating employee's performance.
- Performance Evaluation Worksheet, provides a means for the supervisor to record significant positive and/or substandard work performance notes throughout the rating period.

PERFORMANCE CATEGORIES – Employees are rated on Performance Categories.

- Reliability*
- Relationships with Others*
- Safety*
- Job Knowledge*
- Problem Solving & Decision Making
- Communication
- Planning, Organizing, Setting Priorities
- Supervision
- Quality of Work **
- Quantity & Timeliness of Work**

*Performance Categories that are required for all employees in UPW, Bargaining Unit 01 to be rated on.
**Significant Categories (Quality and Quantity & Timeliness) are critical areas in which you must perform satisfactorily to pass the evaluation. A combination of all the performance subcategories
ratings is taken into consideration when rating the Significant Categories. A "Substandard" rating in one or both of the Significant Categories will result in an Overall Rating of "Substandard."

OVERALL RATING LEVELS — There are only 3 Overall Rating levels — "Exceeds," “Satisfactory,” and "Substandard."

To get an Overall Rating of:

Exceeds Both Significant Categories (Quality and Quantity & Timeliness) must be rated "Exceeds."

Substandard One or both Significant Categories are rated "Substandard." Before the overall rating is issued, an employee is given a notice to improve and a period of up to 3 months to improve. Overall ratings of "Substandard" could result in involuntary transfer or discharge from your position. Otherwise, your Overall Rating will be "Satisfactory."

WHAT CAN I EXPECT?

The Performance Evaluation Process operates in three stages:

Stage I Performance Planning, Communication of Performance Expectations or Requirements, and Goals/Projects — By, or shortly after, the start of the performance rating period, your supervisor will meet with you to talk about your job duties, how the Performance Categories relate to your job, and performance expectations/requirements for the upcoming rating period. You should be sure you understand what your supervisor expects of you. If you are not sure, this is the time to ask your supervisor questions and get clarification.

Stage II Performance Monitoring and Coaching — Your supervisor will observe your work, talk with you about it, and record significant work performance, if necessary, throughout the rating period. Notes recorded on the Employee Performance Worksheet will be shown and discussed with you; you may write a rebuttal. You will be given a copy of notes that describe performance problems/deficiencies or your union representative may also review your supervisor's Performance Evaluation Process documents by making an appointment.

Stage III Completion of the Evaluation — This stage is completed at the end of your rating period. At that time, your supervisor will meet with you to go over your performance of the rating period and will discuss expectations/requirements for the upcoming rating period.

QUESTIONS?

If you need more information or would like to review a copy of the Performance Evaluation Process Supervisory Manual, please check with your supervisor or contact your Departmental Personnel Officer.

This brochure was intended only as a brief summary to give you highlights of the Performance Evaluation Process. In all cases where a question may arise, Chapter 76, HRS, Personnel Rules and Policies, and the Performance Evaluation Process Supervisory Manual will govern.
PART A

COMMUNICATION OF PERFORMANCE STANDARDS

EVALUATION TYPE:

- INITIAL PROBATION
- NEW PROBATION
- ANNUAL
- PERFORMANCE
- PARTIAL
- IMPROVEMENT

The following have been discussed with me: 1) my current position description, 2) the job related performance requirements, 3) the Performance Evaluation Process Summary for Employees, and 4) the consequences of a substandard evaluation.

Employee's Signature: ___________________________ Date: ____________

PART B

PERFORMANCE CATEGORIES

Use the following performance categories to determine overall performance. Mark each category as EXCEEDS, SATISFACTORY, or SUBSTANDARD.

*Blue-collar non-supervisory workers should be rated on Performance Categories 1 - 4 only, unless you strongly feel some of the "Other" categories are applicable to the employee's position. Please consult with your Departmental Personnel Officer.

1 RELIABILITY: (required for Blue-collar workers) Measures employee's performance in completing assignments in a timely manner, ability to work effectively with little direction, keeping commitments, accepting responsibility, being flexible and, when requested, adjusting to varying job situations.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:
2 **RELATIONSHIP WITH OTHERS:** (required for Blue-collar workers) Measures employee's development and maintenance of positive and constructive internal/external relationships. Consideration should be given to the employee's demonstrated willingness to function as a team player, give and receive constructive criticism, accept supervision, resolve conflicts, recognize needs and sensitivities of others, and treat others in a fair and equitable manner.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:

3 **SAFETY:** (required for Blue-collar workers) Measures employee's performance in applying the knowledge of safety practices, rules, and procedures of the profession; using and operating equipment in a safe manner; and maintaining of tools, equipment and other apparatus, including office related equipment in a safe and acceptable manner.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:

4 **JOB KNOWLEDGE:** (required for Blue-collar workers) Measures employee's demonstrated job relevant knowledge and essential skills, such as work practices, policies, procedures, resources, laws, customer service, and technical information, as well as the relationship of work to the organization's mission.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:
5 PROBLEM SOLVING AND DECISION MAKING: Measures the extent to which the employee is self-directed, resourceful, and creative in performing job duties individually or in a team. Also measures employee's performance in identifying and resolving problems; following through on assignments; and initiating or modifying ideas, methods, or procedures to provide improved performance in accomplishing duties.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

6 COMMUNICATION: Measures employee's performance in exchanging information with others in an effective, timely, clear, concise, logical, and organized manner. Communication includes listening, speaking, writing, presenting, and sharing of information.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

7 PLANNING, ORGANIZING, SETTING PRIORITIES: Measures employee's performance in identifying and addressing organizational needs, planning the work and working the plan.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

8 SUPERVISION: (required for all supervisors) Measures leadership, judgment, initiative, and achievement of expectations. Effectively manages program/projects, employees, budget, technology, and organizational change to produce positive results. Engages in performance management, teamwork, staff development, and recognition of accomplishments. Promotes customer services, diversity, inclusiveness, collaboration, effective communication, and positive labor/management relations. Uses innovation and fulfills administrative requirements.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:
**PART C  SIGNIFICANT PERFORMANCE CATEGORIES**

Use the following performance categories to determine overall evaluation rating. Mark each category as EXCEEDS, SATISFACTORY, or SUBSTANDARD based on the ratings in Part B - Performance Categories and any supporting documentation on the Employee Evaluation Worksheet.

**QUALITY OF WORK:** Measures employee's overall quality of work; accuracy, neatness & thoroughness; job knowledge; initiative & judgment; planning of work. Categories such as Relationships with Others, Communication, Problem Solving & Decision Making, and Planning, Organizing, Setting Priorities may affect this Significant Category.

<table>
<thead>
<tr>
<th></th>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comments:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**QUANTITY AND TIMELINESS OF WORK:** Measures the employee's amount of work performed (the volume of work produced in relation to the amount of work requiring completion or attention); and completion of work on schedule (the extent to which an employee completes work within given or reasonable time limits). Categories such as Reliability, Relationships with Others, Communication, Problem Solving & Decision Making, and Planning, Organizing, Setting Priorities, may affect this Significant Category.

<table>
<thead>
<tr>
<th></th>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comments:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**PART D  OVERALL EVALUATION**

<table>
<thead>
<tr>
<th></th>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

This evaluation has been reviewed and discussed with the employee. If the employee disagrees with this evaluation, the employee may attach comments that will become a part of the evaluation.

Employee's Signature: ___________________________ Title: ___________ Date: ___________

Supervisor's Signature: _________________________ Title: ___________ Date: ___________

Appointing Authority's Signature: ______________ Title: ___________ Date: ___________

Reviewing Officer's Signature: ________________ Title: ___________ Date: ___________
<table>
<thead>
<tr>
<th>Discussion Date</th>
<th>Notes regarding discussion of employee's work performance. Attach documentation where necessary.</th>
<th>Employee's Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Notes were discussed with me. I was given the opportunity to rebut substandard performance notes.</td>
<td></td>
</tr>
<tr>
<td>Discussion Date</td>
<td>Notes regarding discussion of employee's work performance. Attach documentation where necessary.</td>
<td>Employee's Initials</td>
</tr>
<tr>
<td>-----------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td></td>
<td>Notes were discussed with me. I was given the opportunity to rebut substandard performance notes.</td>
<td></td>
</tr>
</tbody>
</table>
**SUMMARY OF DISCUSSIONS REGARDING EMPLOYEE’S WORK PERFORMANCE**

<table>
<thead>
<tr>
<th>Discussion Date</th>
<th>Notes regarding discussion of employee’s work performance. Attach documentation where necessary.</th>
<th>Employee’s Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Notes were discussed with me. I was given the opportunity to rebut substandard performance notes.</td>
</tr>
<tr>
<td>Discussion Date</td>
<td>Notes regarding discussion of employee's work performance. Attach documentation where necessary.</td>
<td>Employee's Initials</td>
</tr>
<tr>
<td>-----------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td></td>
<td>Notes were discussed with me. I was given the opportunity to rebut substandard performance notes.</td>
<td></td>
</tr>
</tbody>
</table>
Exhibit G

Form: Performance Evaluation Report, Department of Personnel Services, County of Maui
## PERFORMANCE EVALUATION REPORT

**Department of Personnel Services**  
**County of Maui**

### A. Employee's Name: ____________________

### B. Position No.: ____________________

### C. Class Title: ____________________

### D. Department: ____________________  
**Division:** ____________________  
**Location:** ____________________

### E. Purpose of this Report:

### F. Evaluation Period From: ____________ To: ____________

**This Employee's work performance during this period was**

- Unsatisfactory [ ]
- Satisfactory [ ]
- More than Satisfactory [ ]
- Superior [ ]

### G. Comments:

- Recognition of superior work; suggestions for improving work.

### H. Evaluation Factors

<table>
<thead>
<tr>
<th></th>
<th>Unsatisfactory</th>
<th>Satisfactory</th>
<th>More than Satisfactory</th>
<th>Superior</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Quality of Work</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>2. Quantity of Work</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>3. Attitude towards Work</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>4. Supervisory or Administrative Ability</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

(Only for supervisory & administrative personnel)

**Evaluator:** I certify that this performance evaluation constitutes my best appraisal of the service of the employee based on personal observation and knowledge of his/her work during the evaluation period indicated.

**SIGNATURE** ____________________  
**CLASS TITLE** ____________________  
**DATE** ____________________

**Employee:** I certify that this performance evaluation report was discussed with me.

**SIGNATURE** ____________________  
**DATE** ____________________

**Reviewing Officer:** I certify that I have reviewed the performance evaluation of this employee and, as shown by the attached payroll certification, I recommend [ ] granting increment  [ ] denial of increment – see notice of reasons attached

**OTHER:** [ ]

**SIGNATURE** ____________________  
**CLASS TITLE** ____________________  
**DATE** ____________________

**Department Head:** I certify that I approve the performance evaluation of this employee.

**SIGNATURE** ____________________  
**TITLE** ____________________  
**DATE** ____________________
EVALUATION INSTRUCTIONS

A. Evaluation Factors. Evaluate the employee's work performance on the following factors and, at least the sub-factors listed thereunder:

1. **Quality of Work**
   - Accuracy, neatness & thoroughness
   - Knowledge of duties
   - Following & applying instructions
   - Initiative, ingenuity, judgment
   - Planning of work
   - Learning speed

2. **Quantity of Work**
   - Amount of work produced
   - Regularity of output
   - Utilization of time
   - Ability to meet time & work schedules
   - Effect of output on flow of work (carrying share of the load)

3. **Work Attitude**
   - Dependability
   - Adeptability
   - Stability
   - Cooperation
   - Tact
   - Interest in work
   - Relationship with other employees
   - Attitude towards the public
   - Attitude towards instructions & direction
   - Care of government property
   - Regularity of attendance, keeping regular working hours
   - Use or abuse of privileges
   - Abiding by rules & regulations

4. **Supervisory or Administrative Ability** (For supervisory & administrative personnel only)
   - Ability to plan & organize activities for which employee is responsible
   - Ability to effectively delegate work to subordinates
   - Effectiveness as a leader in directing & coordinating efforts of subordinates
   - Ability to train & develop subordinates
   - Willingness to make, support & gain acceptance of decisions
   - Ability to gain acceptance, cooperation, assistance & confidence of subordinates & others
   - Ability to keep abreast of new developments & understand & accept improvements & changes

B. Evaluation. Record your evaluation of each of the Four factors in one of the following categories:

1. **Unsatisfactory.** This evaluation is made if an employee’s performance falls below the minimum performance requirements for the job.
2. **Satisfactory.** This evaluation is made if an employee meets the minimum performance requirements of the job.
3. **More than Satisfactory.** This evaluation is made if an employee’s work has been above the minimum performance requirements of his/her job.
4. **Superior.** This evaluation is made if an employee’s performance has been truly exceptional.

Note: Enter the reason for Unsatisfactory or Superior evaluation in the “Comments” section.

C. Summary of Evaluation. After evaluating the employee’s performance under each of the Four Factors and categories, summarize your overall evaluation by placing an “X” in the appropriate space provided on the Performance Evaluation Report Form.

D. Reference. Refer to DPS administrative rules Section 11-214-2 for guidance.
Exhibit H

Form: Performance Evaluation Report, County of Maui
PART A COMMUNICATION OF PERFORMANCE STANDARDS

EVALUATION TYPE:

INITIAL PROBATION □ NEW PROBATION □ ANNUAL □ PERFORMANCE □ PARTIAL □ IMPROVEMENT

The following have been discussed with me: 1) my current position description, 2) the job related performance requirements, 3) the Performance Evaluation Process Summary for Employees, and 4) the consequences of a substandard evaluation.

Employee’s Signature: ____________________________ Date: ____________

PART B PERFORMANCE CATEGORIES

Use the following performance categories to determine overall performance. Mark each category as EXCEEDS, SATISFACTORY, or SUBSTANDARD.

*Blue-collar non-supervisory workers should be rated on Performance Categories 1 - 4 only, unless you strongly feel some of the “Other” categories are applicable to the employee’s position. Please consult with your Departmental Personnel Officer.

1 RELIABILITY: (required for Blue-collar workers) Measures employee’s performance in completing assignments in a timely manner, ability to work effectively with little direction, keeping commitments, accepting responsibility, being flexible and, when requested, adjusting to varying job situations.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:

Page 1 of 4
### 2 RELATIONSHIP WITH OTHERS: (required for Blue-collar workers)

Measures employee's development and maintenance of positive and constructive internal/external relationships. Consideration should be given to the employee's demonstrated willingness to function as a team player, give and receive constructive criticism, accept supervision, resolve conflicts, recognize needs and sensitivities of others, and treat others in a fair and equitable manner.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

### 3 SAFETY: (required for Blue-collar workers)

Measures employee's performance in applying the knowledge of safety practices, rules, and procedures of the profession; using and operating equipment in a safe manner; and maintaining of tools, equipment and other apparatus, including office related equipment in a safe and acceptable manner.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

### 4 JOB KNOWLEDGE: (required for Blue-collar workers)

Measures employee's demonstrated job relevant knowledge and essential skills, such as work practices, policies, procedures, resources, laws, customer service, and technical information, as well as the relationship of work to the organization's mission.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:
5 **PROBLEM SOLVING AND DECISION MAKING:** Measures the extent to which the employee is self-directed, resourceful, and creative in performing job duties individually or in a team. Also measures employee's performance in identifying and resolving problems; following through on assignments; and initiating or modifying ideas, methods, or procedures to provide improved performance in accomplishing duties.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:

6 **COMMUNICATION:** Measures employee's performance in exchanging information with others in an effective, timely, clear, concise, logical, and organized manner. Communication includes listening, speaking, writing, presenting, and sharing of information.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:

7 **PLANNING, ORGANIZING, SETTING PRIORITIES:** Measures employee's performance in identifying and addressing organizational needs, planning the work and working the plan.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:

8 **SUPERVISION:** (required for all supervisors) Measures leadership, judgment, initiative, and achievement of expectations. Effectively manages program/projects, employees, budget, technology, and organizational change to produce positive results. Engages in performance management, teamwork, staff development, and recognition of accomplishments. Promotes customer services, diversity, inclusiveness, collaboration, effective communication, and positive labor/management relations. Uses innovation and fulfills administrative requirements.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
</table>

Comments:
PART C

SIGNIFICANT PERFORMANCE CATEGORIES

Use the following performance categories to determine overall evaluation rating. Mark each category as EXCEEDS, SATISFACTORY, or SUBSTANDARD based on the ratings in Part B - Performance Categories and any supporting documentation on the Employee Evaluation Worksheet.

QUALITY OF WORK: Measures employee's overall quality of work; accuracy, neatness & thoroughness; job knowledge; initiative & judgment; planning of work. Categories such as Relationships with Others, Communication, Problem Solving & Decision Making, and Planning, Organizing, Setting Priorities may affect this Significant Category.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

QUANTITY AND TIMELINESS OF WORK: Measures the employee's amount of work performed (the volume of work produced in relation to the amount of work requiring completion or attention); and completion of work on schedule (the extent to which an employee completes work within given or reasonable time limits). Categories such as Reliability, Relationships with Others, Communication, Problem Solving & Decision Making, and Planning, Organizing, Setting Priorities, may affect this Significant Category.

<table>
<thead>
<tr>
<th>SUBSTANDARD</th>
<th>SATISFACTORY</th>
<th>EXCEEDS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

PART D

OVERALL EVALUATION

☐ SUBSTANDARD ☐ SATISFACTORY ☐ EXCEEDS

This evaluation has been reviewed and discussed with the employee. If the employee disagrees with this evaluation, the employee may attach comments that will become a part of the evaluation.

Employee's Signature: ___________________________ Title: __________________ Date: ___________

Supervisor's Signature: ___________________________ Title: __________________ Date: ___________

Division Head's Signature: _________________________ Title: __________________ Date: ___________

Appointing Authority's Signature: __________________ Title: __________________ Date: ___________

Reviewing Officer's Signature: _____________________ Title: __________________ Date: ___________

Page 4 of 4
Exhibit I

Form: Office of the Mayor Performance Evaluation, County of Maui
OFFICE OF THE MAYOR
PERFORMANCE EVALUATION:

EMPLOYEE NAME: ________________________ JOB TITLE: ________________________

EVALUATION PERIOD:
(Time from last evaluation to present / start day to present)

PERFORMANCE EVALUATION RATINGS

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A - No Basis for Evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SEE - Substantially Exceeded Expectations:</td>
<td>Clearly and consistently exceeded many expectations</td>
<td>5</td>
</tr>
<tr>
<td>EE - Exceeded Expectations:</td>
<td>Clearly exceeded some, and met all other requirements</td>
<td>4</td>
</tr>
<tr>
<td>ME - Met Expectations:</td>
<td>Clearly met all expectations, or balance minor need for improvement in one area with exceptional performance in another.</td>
<td>3</td>
</tr>
<tr>
<td>MSE - Met Some Expectations:</td>
<td>Met some expectations, but clearly needs to improve in one or more areas to fully meet requirements.</td>
<td>2</td>
</tr>
<tr>
<td>NME - Did Not Meet Expectations:</td>
<td>Clearly needs significant improvement in one or more areas to fully meet requirements.</td>
<td>1</td>
</tr>
</tbody>
</table>

INSTRUCTIONS: Use the ratings for self-evaluation in the different fields provided below. Get your total score and include it in the top right corner of your sheet on the first page. All evaluations and meetings should be completed by September 14, 2012. Please contact Herman Andaya at x7859 should you have any questions.

My signature below indicates neither agreement nor disagreement with this Performance Evaluation but it does indicate that I have read the instructions or my supervisor has discussed it with me.

Employees signature: ________________________ Date: ________________________

Supervisor's name and signature: ________________________ Date of meeting: ________________________
MAJOR RESPONSIBILITIES (ESSENTIAL FUNCTIONS):
List the major responsibilities of the position in the approximate order of importance or attach a copy of your most current job description. Totaling 100%, add a percentage beside each on how much time you perform the function within a day. If function is non-regular, please indicate so.

<table>
<thead>
<tr>
<th>RESPONSIBILITIES:</th>
<th>AMOUNT OF TIME USED PER DAY (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
</tr>
</tbody>
</table>

Employee Name: ___________________________ Date: ____________________  Page 2 of 6
**PERFORMANCE FACTORS RATING:** Using the following definitions, rate the employee's performance for each of the performance factors as it relates to the employee’s job duties/responsibilities.

5 - Substantially Exceeded Expectations  
4 - Exceeded Expectations  
3 - Met Expectations  
2 - Met Some Expectations  
1 - Did Not Meet Expectations  
N/A - Not applicable

<table>
<thead>
<tr>
<th>PERFORMANCE FACTORS</th>
<th>SCORE</th>
<th>COMMENTS / AREAS FOR IMPROVEMENT / CITE AN EXAMPLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>JOB UNDERSTANDING:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Understands job duties and responsibilities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Possesses sufficient skill and knowledge to perform all parts of the job effectively, efficiently and safely.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Understands and promotes department mission and values.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Makes an active effort to stay current with new developments.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ORGANIZATIONAL SKILLS:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Ability to prioritize workload.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Ability to manage information flow (including internal, volunteer, and external communication, and filing/documentation).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>QUALITY:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Attentive to detail and accuracy.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Demonstrates thoroughness, completeness, follow through on presentation and appearance of work.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEPENDABILITY / RELIABILITY:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Punctuality and regularity in attendance: arrives on time and ready for the workday.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Completes tasks satisfactorily:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Meets commitments</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Works independently</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Handles change</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Stays focused under pressure</td>
<td></td>
<td></td>
</tr>
<tr>
<td>COMMUNICATIONS SKILLS:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Listens effectively and responds clearly and directly.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Makes effective oral and written communication clear and easy to understand.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Interacts with others in a helpful and informative manner.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RESPONSIVENESS:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Ability to provide feedback and information as soon as requested. Ex: Confirming receipt of e-mails, text messages, returning phone calls and writing letters</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Employee Name: ___________________________ Date: ___________ Page 3 of 6
<table>
<thead>
<tr>
<th>PERFORMANCE FACTORS</th>
<th>SCORE</th>
<th>COMMENTS / AREAS FOR IMPROVEMENT / CITE AN EXAMPLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONSTITUENT SERVICE SKILLS:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Builds relationships with members of</td>
<td></td>
<td></td>
</tr>
<tr>
<td>the constituency.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Deals appropriately with confidential</td>
<td></td>
<td></td>
</tr>
<tr>
<td>information and maintains discretion.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PROFESSIONALISM:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Promotes and treats peers with mutual</td>
<td></td>
<td></td>
</tr>
<tr>
<td>respect.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Demonstrates integrity and deals well</td>
<td></td>
<td></td>
</tr>
<tr>
<td>with ethical and confidential issues.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Demonstrates commitment to the Department's stated missions and goals.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>INITIATIVE/INNOVATION:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Self-directed, resourceful, creative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>toward meeting job objectives.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Introduces new concepts and processes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>using independent and original thought.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MOTIVATION:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Displays drive, energy and a positive</td>
<td></td>
<td></td>
</tr>
<tr>
<td>attitude in completing assigned tasks.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Eagerly takes initiative.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Handles several responsibilities concurrently and comfortably.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>INTERPERSONAL SKILLS AND TEAMWORK:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Works effectively with other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>employees/departments.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Develops positive working relationships.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Helps improve work processes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Helps to accomplish specific tasks.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Employee Name: ____________________________  Date: _______________  Page 4 of 6
<table>
<thead>
<tr>
<th>PERFORMANCE FACTORS</th>
<th>SCORE</th>
<th>COMMENTS / AREAS FOR IMPROVEMENT / CITE AN EXAMPLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>COMPUTER SKILLS:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Possesses computer skills and knowledge to perform job duties and responsibilities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PLANNING SKILLS:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Ability to establish short and long-term goals and objectives.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Ability to develop a well-defined plan according to established goals and objectives.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Ability to execute a plan in an organized fashion.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PROBLEM SOLVING:</td>
<td></td>
<td>Comments go over here</td>
</tr>
<tr>
<td>• Defines problems/central issues.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Collects and evaluates significant or relevant data.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Evaluates options, proposes and implements a sound solution.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LEADERSHIP AND STAFF DEVELOPMENT:</td>
<td></td>
<td>Comments go over here again.</td>
</tr>
<tr>
<td>• Influences others to achieve department and organizational goals.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Promotes ethical behavior.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Provides on the job training and development.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Provides timely and constructive feedback.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Encourages and enhances teamwork.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Score:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OVERALL COMMENTS:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
PERFORMANCE DEVELOPMENT: Use this section to identify development that sustains, improves and builds performance and enables the employee to contribute to organizational effectiveness. Start by listing performance factors that merited a low score and compose an action plan on how to improve on them.

<table>
<thead>
<tr>
<th>PERFORMANCE FACTORS THAT ATTAINED A LOW SCORE</th>
<th>DEVELOPMENT ACTION PLAN</th>
<th>TIME FRAME</th>
<th>EXPECTED RESULTS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Use a separate sheet if necessary.

Employee Name: ___________________________ Date: _______________ Page 6 of 6
Exhibit J

Charter, County of Kauai, Section 32 (2012)
Section 32.01. Office Established; County Auditor.

A. There is established within the legislative branch an office of the county auditor, to be headed by a county auditor who shall be appointed by the county council and shall serve for a period of six years, and thereafter, until a successor is appointed. The salary commission shall fix the salary of the county auditor. The county council, by two-thirds vote of its membership, may remove the county auditor from office at any time for cause.

B. The county auditor shall possess adequate professional proficiency for the office, demonstrated by relevant certification, such as certification as a certified internal auditor or certified public accountant, or have an advanced degree in a relevant field with at least five years experience in the field of government auditing, evaluation, or analysis. A certified internal auditor or certified public accountant shall be preferred. The county auditor shall have a bachelor's degree in accounting, business administration, or public administration or related field. If financial statement audits are conducted, the county auditor shall be a certified public accountant.

C. Except for exercising the right to vote, neither the auditor nor any member of the office of the county auditor shall support, advocate, or aid in the election or defeat of any candidate for county public office.

D. The county auditor may appoint the necessary staff for which appropriations have been made by the county council. Subject to the provisions of this charter and applicable rules and regulations adopted thereunder, the county auditor shall have the same powers with respect to the personnel of the office of the county auditor as department heads have over their personnel. Staff shall be appointed by the county auditor in a manner consistent with the merit principles, devoid of any bias or prejudice.

Section 32.02. Powers, Duties, and Functions

A. Pursuant to County Charter Article III, Section 3.17, Investigation, the county council is empowered to establish the office of county auditor. It shall be the duty of the auditor to conduct or cause to be conducted:

1. The independent annual or biennial audit of all county funds and accounts to be conducted by a certified public accountant or firm of certified public accountants as required by Section 3.12 of the county charter;

2. Performance audits of the funds, programs, and operations of any agency or operation of the county as requested by the council by resolution, as authorized by Section 3.12;

3. Performance and financial audits of the funds, programs, and operations of any agency or operation of the county, as determined by the county auditor to be warranted. Before the commencement of each fiscal year, a plan of the audits proposed to be conducted by the county auditor during the fiscal year shall be transmitted to the county council for review and comment, but not approval. The plan also shall be transmitted to the mayor and filed with the county clerk as public record; and

4. Follow-up audits and monitoring of compliance with audit recommendations by audited entities. The county auditor shall conduct or cause to be conducted all audits in accordance with government auditing standards.

B. Audit findings and recommendations shall be set forth in written reports of the county auditor, a copy of which shall be transmitted to the mayor and to the county council and filed with the county clerk as public record.

C. For the purposes of carrying out any audit, the county auditor shall have full, free, and unrestricted access to any county officer or employee and shall be authorized to examine and inspect any record of any agency or operation of the county, to administer oaths and subpoena witnesses and compel the production of records pertinent thereto. If any person subpoenaed as a witness or compelled to produce records shall fail or refuse to respond thereto, the proper court, upon the request of the county auditor, shall have the power to compel obedience to any process of the county auditor and to punish, as a contempt of the court, any refusal to comply therewith without good cause. The county auditor may retain special counsel, in the manner authorized by the county council, to represent the county auditor in implementing these powers. False swearing by any witness shall constitute perjury and shall be referred by the county auditor to the prosecuting attorney for prosecution, in any audit which concerns the alleged gross misconduct or alleged criminal conduct on the part of any individual, such individual shall have the right to be represented by counsel and the right to have the county auditor compel the attendance of witnesses on behalf of the individual.

D. The county auditor's performance shall be evaluated annually by the county council. The county auditor's audit activities shall be subject to quality review in accordance with applicable government auditing standards by a professional, nonpartisan, objective group. The written report of the independent review shall be transmitted to the county council and mayor and filed with the county clerk as public record.
E. For the purpose of this section and section 3.12: "An agency or operation of the county" includes any administrative agency, semi-autonomous agency, council office, and other establishment of county government supported, in whole or in part, by county or public funds.

"Council office" includes the county council itself, the office of a councilmember and the councilmember's immediate staff, the office of the county clerk. This definition applies only to those sections. It shall not be construed as excluding the office of the county auditor and the legislative branch.

"Record" includes any account, book, paper, and document, and any financial affair, notwithstanding whether any of the preceding is stored on paper or electronically.

Section 32.03. Audit Committee.

A. The county council may establish an audit committee, the members of which shall individually advise the county auditor on the following: formulation of the plan of audits proposed to be conducted by the county auditor pursuant to Section 32.02 C; conduct of audits, follow up of audits; selection of private contractors to perform audits for the county auditor; evaluation of preliminary audit findings and recommendations and county agency, officer, or employee responses to the preliminary findings and recommendations; and evaluation of the county auditor's performance during each fiscal year. If established, the audit committee shall consist of five members.

1. One member shall be the chair of the county council committee with jurisdiction over the administrative budget ordinances; and

2. The other members shall be appointed by the county council. The county council shall appoint members who are qualified by experience, expertise, and independence to perform the duties of the audit committee. A member appointed by the county council shall not hold any other office or position with the county while on the audit committee. The method of appointment, terms, and specific qualifications of the appointed members shall be established by the county council by ordinance or rule. The county council also may establish by ordinance or rule provisions for the removal of an appointed member for cause. The audit committee shall be within the office of the county auditor.

B. Members of the audit committee shall advise the county auditor. All audit committee meetings shall be open to the public except as provided for in Chapter 92, Hawaii Revised Statutes

C. The chair of the audit committee shall be appointed by the county council in the manner provided by ordinance or rule. A meeting of audit committee may be called by the committee chair or county auditor.

D. Members appointed by the county council shall not be entitled to compensation for serving on the committee. The member from the county council shall not be entitled to compensation for serving on the committee that is additional to the compensation received as a councilmember. All members, however, shall be entitled to be reimbursed for travel and other necessary expenses incurred by them in the performance of their official duties.

E. Section 23.02. Boards and Commissions shall not apply to the members of the audit committee.

Section 32.04. Transition Provision concerning the Transfer of Audit Functions to the Office of the County Auditor.

A. All lawful obligations and liabilities owed by or to the office of the county clerk relating to financial and performance audits on June 30, 2009 shall remain in effect on July 1, 2009. The obligations and liabilities shall be assumed by the office of the county auditor. All contracts held by the office of the county clerk relating to financial and performance audits, which are to remain effective after June 30, 2009, shall be assumed by the office of the county auditor. The contracts shall continue in effect until fulfilled or lawfully terminated. All financial and performance audit activities administered by the office of the county clerk on June 30, 2009, shall be assumed by the office of the county auditor on July 1, 2009.

B. On July 1, 2008, all records, data, and Information held by the office of the county clerk relating to financial and performance audits which have not been completed as of June 30, 2008 shall be transferred to the office of the county auditor.

C. The legislative auditor (program analyst V) and program support tech positions in the office of the county clerk on June 30, 2009 shall continue with the office of the county auditor on July 1, 2009. These employees, if positions were already filled, shall continue service without any loss of vacation allowance, sick leave, service credits, retirement benefits, or other rights and privileges because of the charter amendments. Nothing in this subsection, however, shall
be construed as preventing future changes in the employee's status pursuant to the county auditor's powers with respect to personnel in the office of the county auditor.