Key Changes

- **Changes in Wording**
  - Work Plan = Performance Plan
  - Organizational Values = Institutional Goals
  - Performance Goals = Individual Goals

- **Performance Cycle:** April 1 - March 31

- **Calibration Sessions**

- **Weighting:** Institutional Goals & Individual Goals each equal 50%

- **3-Point Scale for All Ratings**

- **All SHRA Employees Receive Same Performance Document**
Performance Management & Expectations
Performance Management

Program Philosophy

- The performance management program is a communications system designed to help the employee succeed.

Goals of Communication System

- Clarity on job duties and performance expectations
- Clarity on dynamics of working relationship
Roles & Responsibilities

Employee
- Actively participate & own the work
- Ask questions & keep supervisor informed

Supervisor
- Clarity in expectations & Honesty in appraisal
- Invest time upfront & use available resources

Second-Level Supervisor
- Review & sign all performance plans & performance reviews
- Ensure expectations/ratings applied consistently
Performance Plans
Performance Plan

Due October 1, 2016 for 2016-17 Cycle
  ■ April 1 for all following cycles

3 Sections of Performance Plan
  ■ 5 Institutional Goals (6 for Supervisors)
  ■ 3-5 Individual Goals
  ■ Talent Development Plan (Developmental Goals)
Institutional Goals
Institutional Goals

► Standardized across campus
  ▪ 5 key aspects of employee work (plus one additional for supervision)
  ▪ Address all work product (both performance and conduct) of the employee for the performance cycle

► Expectations can be supplemented by other resources
  ▪ Discuss Institutional Goals in conjunction with Position Description
  ▪ Provide additional specificity as needed for certain job duties
  ▪ SOPs, protocols, procedures, policies
Institutional Goals

- **Expertise** (Quality of Work)
  - **Precision**- Work is accurate, thorough, & demonstrates sufficient analysis & decision-making to meet requirements
  - **Resourcing**- Uses materials efficiently & appropriately & documents work efficiently & appropriately
  - **Innovation**- Looks for ways to improve efficiency or quality
  - **Development**- Maintains technical skills & relevant credentials
Institutional Goals

**Accountability (Task Management)**

- **Productivity** - Completes required volume of work by deadline & stays productive
- **Autonomy** - Generally completes work with few reminders &/or infrequent oversight
- **Prioritizing** - Takes appropriate measures to plan & organize work, prioritize tasks, & set realistic goals
- **Coordination** - Seeks needed information to complete work & is timely in communicating status with relevant parties
Institutional Goals

Customer-Oriented (Customer Oriented/Communication)

- **Clarity** - Listens to determine the most effective way to address customer needs & concerns
- **Awareness** - Shows solid understanding of customer needs & seeks customer input
- **Attentiveness** - Follows through on commitments, despite obstacles
- **Diplomacy** - Maintains professional & respectful tone during difficult situations
Institutional Goals

Team-Oriented (Team Work and Collegiality/Work Schedule & Attendance)

- **Collegiality** - Communicates and engages directly, clearly, & tactfully with colleagues
- **Collaboration** - Provides feedback and healthy dialogue on performance & operational issues
- **Contribution** - Makes decisions with others in mind, willingly performs additional duties as required by management to meet business needs
- **Attendance** - Absences are infrequent & don’t place an undue burden on department
Institutional Goals

Compliance & Integrity (Policy & Safety Compliance)

- **Policy** - Complies with personnel & equal opportunity policies, including prohibitions on harassment, discrimination, and workplace violence, and all other policies
- **Safety** - Complies with all safety requirements for the position
- **Ethics** - Chooses ethical action, even under pressure, avoids situations that are inappropriate or that present a conflict of interest
- **Respect** - Appreciates individual and cultural differences and treats all people with dignity and respect
Institutional Goals

► Supervision *(if applicable)*

- **Oversight** - Provides adequate stewardship of assigned resources, including budget, space, equipment, & staffing

- **Goal-Setting** - Provides clear objectives that foster work unit development

- **Talent Management** - Provides candid, timely, & constructive feedback on performance & behavior, hires staff with qualities & skillsets for success

- **Leading** - Serves as a role model and engenders trust, commitment, & civility
## Setting Expectations

Entry in ConnectCarolina for all personnel actions

<table>
<thead>
<tr>
<th>Not Meeting</th>
<th>Meeting</th>
<th>Exceeding</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Timely?  
Quantity?  
Accuracy?  
Autonomy?  
Manner?

1st Friday of Next Biweekly
Individual Goals
Individual Goals

- 3-5 individual goals defined each year
  - Organizational goals
  - Work unit goals
  - Individual/Position-based goals

- Not intended to cover all aspects of employee work product
  - Focus on key results/outcomes, not steps in the process
  - Clarify meeting, exceeding, or not meeting expectations
How do I write an Individual Goal?
Individual Goals

► Critical-Function / “Deal Breaker” Goals
  ▪ Key deliverables that are essential to the position
  ▪ Often compliance-driven

► Project-Oriented / “Big Ticket” Goals
  ▪ Time-specific work in current cycle (eg, grant phases)
  ▪ Unique projects for current cycle (eg, hiring, “clean-up”)

► Forward-Focused / “Stretch” Goals
  ▪ Activity more aligned with University strategic goals
  ▪ Designed to move the organization forward in some way
Individual Goals (continued)

- **Division-Wide Goals**
  - Often tied to University strategic goals or initiatives
  - May have some variation based on employee roles

- **Work-Unit / Job-Class Goals**
  - Goals to improve/sustain work product or team dynamics
  - Goals relevant to particular type of work or team needs

- **Employee-Specific Goals**
  - Specific to the regular duties of the employee
  - Specific to the development of the employee (“stretch”)
<table>
<thead>
<tr>
<th>S</th>
<th>Specific</th>
<th>What needs to be accomplished? What outcomes?</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>Measurable</td>
<td>What data can be used to define success?</td>
</tr>
<tr>
<td>A</td>
<td>Achievable</td>
<td>Is this challenging but realistic?</td>
</tr>
<tr>
<td>R</td>
<td>Relevant</td>
<td>Does this align with broader goals/needs?</td>
</tr>
<tr>
<td>T</td>
<td>Time-bound</td>
<td>What are the deadlines/milestones?</td>
</tr>
<tr>
<td>E</td>
<td>Expectations</td>
<td>Is it ethical, exciting, and enjoyable?</td>
</tr>
<tr>
<td>R</td>
<td>Resources</td>
<td>What assistance will be provided for this?</td>
</tr>
</tbody>
</table>
Getting Started with Goals

- **(VERB) (NOUN) by (DATE) in order to (RESULT).**

  - Attend **PowerPoint Training** by **12/15/16** and apply **your new skills** in order to **develop a detailed presentation regarding the new budget**.

  - Deliver **mail** by **10am & 3pm daily** in order to **ensure departmental staff receive information on a timely basis**.

  - Train **Daniel** on **key cutting** by **1/1/17** in order to **have coverage for the Locksmith Shop desk during your absences**.
Sample Position Description

<table>
<thead>
<tr>
<th>3</th>
<th>15%</th>
<th>Faculty Administrative Support:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Provides general administrative support to assigned faculty, including (non-grant) travel accounting, P-card transactions, supply orders, mailings, calendar and scheduling, etc.</td>
</tr>
</tbody>
</table>
Sample Goal

How would we write a goal about the Process?

- **Specific** (What needs to be accomplished? What outcomes?)
- **Measurable** (What data can be used to define success?)
- **Achievable** (Is this challenging, but realistic?)
- **Relevant** (Does this align with broader goals/needs?)
- **Time-bound** (What are the deadlines/Milestones?)
- **Expectations** (Is it ethical, exciting, and enjoyable?)
- **Resources** (What assistance will be provided for this?)
Example of a Goal

Create a standard step by step protocol for submission of travel reimbursement for faculty and staff by February 1, 2017
Talent Development Plan
Talent Development Plan

Development Goals specifically designed for person, not position:

- Employee’s career goals
- Growth opportunities within unit or University
- Developing/sustaining competencies needed in current position or employee’s career path
Talent Development Plan

Examples:
- Required/career-path credentials/certifications
- Work-related skill development/refreshers
- Academic coursework or continuing education

Recommended for all employees (Expected for “Not Meeting”):
- At least one development activity
Corrective Action Plan

- **Mandatory if:**
  - If the overall rating or the ratings on one or more institutional goals or individual goals is “Not Meeting Expectations” on any appraisal; or
  - Employee must acquire new knowledge or skill to maintain performance at or above “Meeting Expectations" level or achieve competency level required for position

- **Define in the annual appraisal and carry over to the Talent Development Plan for the next cycle**
Weighting Goals & Recalibration
Weighted Goals

Weighting of Annual Appraisals*

*No goal can be weighted lower than 5%
(Re)calibration

Goal of Recalibration
- “Need” (Meets) vs. “Want” (Exceeds)

Calibration Sessions
- Discussions among a group of supervisors who report to the same manager to set performance expectations & performance ratings fairly & consistently
- Goal Calibration at beginning of performance cycle to review & clarify expectations for institutional goals & set individual goals
- Rating Calibration at end of cycle to apply consistent, equitable & fair ratings for work performed in similar positions
# Weighted Goals Example

<table>
<thead>
<tr>
<th>Institutional Goals</th>
<th>Individual Goals</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Expertise</td>
<td>10%</td>
<td>Goal #1</td>
</tr>
<tr>
<td>Accountability</td>
<td>5%</td>
<td>Goal #2</td>
</tr>
<tr>
<td>Customer-Oriented</td>
<td>15%</td>
<td>Goal #3</td>
</tr>
<tr>
<td>Team-Oriented</td>
<td>10%</td>
<td>Goal #4</td>
</tr>
<tr>
<td>Compliance and Integrity</td>
<td>10%</td>
<td>Goal #5</td>
</tr>
<tr>
<td>Supervision</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>50%</strong></td>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>
Performance Planning Conference
Performance Planning Conference

**Preparation**
- Supervisor writes/edits performance plan
- 2\textsuperscript{nd}-level supervisor reviews/signs
- *Suggested*: Provide performance plan to employee prior to conference

**Performance Planning Conference**
- Supervisor meets with employee to discuss (*required*)
- Discuss each Individual/Institutional Goal
Performance Planning Conference (continued)

- Keep it a dialogue: Listen as much as you speak
- Employee/supervisor sign performance plan (*be sure employee gets a copy*)

Mid-year changes or further clarifications?

- Follow same process, OR
- Send employee an addendum (email/memo) to include with performance plan
Performance Appraisal
Performance Appraisal

- **Annual performance appraisal: Cycle ends March 31**
  - Appraisal Due: April 30
  - Supervisor: Writes/edits appraisal
  - 2\textsuperscript{nd}-Level Supervisor: Quality Control
  - Covers totality of performance cycle

- **Preparation:**
  - May request self-evaluation/report from employee
  - *Suggested:* Appraisal document provided to employee in advance

- **Employee must have worked for the State for at least 3 months to receive annual appraisal**
Performance Appraisal

Rate performance based on expectations
- Give strong specific examples that reflect overall work
- Avoid nit-picking minor infractions
- Use more observation and less inference
- Take steps to avoid rater bias
- Emphasize work performed above and below “Meets” level

Overall performance comments
- “Wrap-up” statement of overall contribution
- May address achievements or concerns that fall outside Goals

Must hold a one-on-one review session with each employee
Performance Appraisal

If a Disciplinary Action Was Issued During Performance Cycle:

- “Not Meeting Expectations” for Goal(s) relevant to active disciplinary action

- Despite overall rating, employee cannot receive overall rating of “Exceeding Expectations” with any ratings of “Not Meeting Expectations”
Performance Appraisal

**Sustained Performance Deficiency:**

- For two or more performance reviews (interim or annual)...
- Spanning at least six months...
- Employee has “Not Meeting Expectations” (overall rating or same goal)
- Then results in performance-based disciplinary action *if* no action has already been taken to address the issue(s) in that timeframe
Performance Appraisal

**Off-Cycle Reviews**

- **Interim Reviews**: Completed near the middle of cycle (around October)
- **Probationary Reviews**: Completed quarterly (April, July, October & January regardless of employee’s actual start date)
- **Other Reviews**:
  - **Employee-Requested Reviews**: Employee can request once a cycle at least 60 days after last review
  - **Transfer Reviews**: Completed when supervisor or employee transfers
Appraisal Scoring

Institutional Goal and Individual Goal Ratings
- 3 = Exceeding Expectations
- 2 = Meeting Expectations
- 1 = Not Meeting Expectations

Final Overall Rating (Weight x Rating = Score)
- 2.70 to 3.00 = Exceeding Expectations *
- 1.70 to 2.69 = Meeting Expectations
- 1.00 to 1.69 = Not Meeting Expectations

*If received disciplinary action and/or any “Not Meeting,” then Final Overall Rating cannot be higher than “Meeting.”
## Appraisal Scoring

### INSTITUTIONAL

<table>
<thead>
<tr>
<th>INSTITUTIONAL</th>
<th>Weight</th>
<th>x Rating</th>
<th>= Score</th>
<th>INDIVIDUAL</th>
<th>Weight</th>
<th>x Rating</th>
<th>= Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expertise</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
<td>Goal 1</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Accountability</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
<td>Goal 2</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Customer-Oriented</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
<td>Goal 3</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Team-Oriented</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
<td>Goal 4</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
<tr>
<td>Compliance &amp; Integrity</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
<td>Goal 5</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
</tbody>
</table>

**50% TOTAL: 1.30**

### INDIVIDUAL

<table>
<thead>
<tr>
<th>INDIVIDUAL</th>
<th>Weight</th>
<th>x Rating</th>
<th>= Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 1</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Goal 2</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Goal 3</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Goal 4</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
<tr>
<td>Goal 5</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
</tbody>
</table>

**50% TOTAL: 1.20**

**Overall Score: 1.30 + 1.20 = 2.50**

**Meeting Expectations**
Performance Appraisal

► **Employee Response**
  - The form includes a box to indicate that there are comments attached
  - Can be attached to the appraisal document at anytime
  - There is no deadline, but normally completed within two weeks of review

► Appeals deadline is 15 calendar days after receiving an overall rating of Not Meeting Expectations

► Employee may request a Facilitated Conversation for Not Meeting Expectations for any institutional or individual goal
Resources

- **On-line Resources (hr.unc.edu)**
  - Toolkit- Revamped