

NC STATE UNIVERSITY

**UNIVERSITY SHRA EMPLOYEE
ANNUAL PERFORMANCE APPRAISAL PROGRAM**

**SAMPLE COMPLETED FORM:
HR CONSULTANT (JOURNEY)**

**PERFORMANCE PLAN &
ANNUAL APPRAISAL FORM**

INSTRUCTIONS FOR COMPLETING THIS PERFORMANCE DOCUMENT:

Part 1: PERFORMANCE PLAN. Performance plans must be issued annually between April 1st and May 30th. The plan defines how well the employee needs to perform job duties in order to meet business needs. It also includes targeted individual goals for the employee.

Part 2: INSTITUTIONAL GOALS. These are University system-wide performance standards for all SHRA positions that provide the supervisor and employee a way to discuss performance expectations. Each job duty has performance expectations that are described in the institutional goals (for example, level of accuracy, quality of analysis, efficiency of process management, the impact of absenteeism, how interactions with others affect the work produced, adherence to policy and procedure, etc.). Each institutional goal is weighted no less than 5% of the final overall rating. The total for the institutional goals must equal 50% of the final overall rating.

Part 3: INDIVIDUAL GOALS. The supervisor defines 3-5 individual goals for each employee each cycle. These are not intended to cover all aspects of employee work product (institutional goals do that). The focus is on key results/outcomes/deliverables, not steps in the process. Types of individual goals include: **Division-Wide Goals** that are often tied to University strategic goals or initiatives; **Work-Unit / Job-Class Goals** that improve/sustain work product or related team dynamics; and **Employee-Specific Goals** that may emphasize key aspects of employee essential job duties or provide "stretch goals" that broaden or deepen an employee's skillset or work product. Each institutional goal is weighted no less than 5% of the final overall rating. The total for the individual goals must equal 50% of the final overall rating.

Part 4: TALENT DEVELOPMENT PLAN. The University recommends that each employee have at least one talent development goal each performance cycle. The supervisor determines with the employee the appropriate development goal(s) for the cycle. The supervisor is expected to set development goals to address performance deficiencies for employees who received any rating of Not Meeting Expectations on their last appraisal. The talent development plan/individual learning plan goals are not rated.

Part 5: SIGNATURES FOR PERFORMANCE PLAN. The second-level supervisor is expected to provide quality control to ensure that goals are being assigned appropriately, to ensure that performance expectations are consistent across employees, and to review the performance plan prior to issuance to employees.

Part 6: OFF-CYCLE REVIEWS. These are check-ins between supervisors and employees during the performance cycle that occur as often as necessary. There are several types of off-cycle reviews: **Interim reviews** are completed near the middle of the cycle (October). **Probationary reviews** are completed quarterly (recommended July, October, January, April). **Transfer reviews** are completed when a supervisor or employee transfers to another position. **Employee-requested reviews** can be completed anytime during the cycle. Supervisors may conduct additional off-cycle reviews as often as deemed necessary. The supervisor is expected to meet with the employee, review the employee's progress on the institutional and individual goals on the performance plan, and provide the employee with an opportunity to ask for any clarification of expectations. The supervisor documents the conversation (at least one paragraph summarizing the employee's performance so far in the cycle) and both the supervisor and employee initial the review.

Part 7: ANNUAL PERFORMANCE APPRAISAL. Annual performance appraisals must be issued annually between April 1st and May 30th. Use the three-point rating scale (*Not Meeting, Meeting, or Exceeding Expectations*) for each goal and for the final overall rating. Individual goals equal 50% of the final rating and institutional goals equal 50% of the final rating. Add up the scores for each rating (Rating x Weight = Score) to determine the overall score.

Part 8: SUPERVISOR COMMENTS. Any comments related to the individual and institutional goals as well as any overall comments. Comments should serve to justify ratings above and below the meeting expectations level.

Part 9: SIGNATURES FOR PERFORMANCE APPRAISAL. The second-level supervisor is expected to provide quality control to ensure that ratings are being assigned accurately and consistently across work units and across supervisors within the same organization before the document is issued to the employee. Once reviewed and signed by the manager/supervisor and next-level manager/ supervisor, the employee shall review, sign, and date the annual performance appraisal document. The employee's signature confirms only that the employee has received the document.

Part 10: APPEALS. Employees may appeal a final overall rating of *Not Meeting Expectations* through the University SHRA Employee Grievance Policy.

Items in yellow are to be completed at the beginning of the performance cycle

Items in green are to be completed during the performance cycle

Items in blue are to be completed at the end of the performance cycle

ANNUAL PERFORMANCE APPRAISAL CYCLE		<i>(Dates From/To):</i>		4/1/2017	to	3/31/2018
Dept. Name:	Human Resources	Employee Name:	Kelly Smith			
Dept. #:	345678	Employee ID:	12345678	Position #:	232323	
Supervisor Name:	Joe Peters	Employee Classification:	HR Consultant			
Supervisor Title:	HR Manager	Competency Level:	Journey			

PART 1: PERFORMANCE PLAN (see instructions on page 2)

<ul style="list-style-type: none"> Review the Institutional Goals with the employee. Define the Individual Goals for the employee (no less than 3, no more than 5). Provide Talent Development Goals, as needed. 	<ul style="list-style-type: none"> Indicate below the Weight of each goal toward the Final Overall Rating. Each goal must be at least 5%. The total weight of the Institutional Goals must equal 50%. The total weight of the Individual Goals must equal 50%.
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Type of Plan:	Initial Performance Plan:	X	Revised Plan during Performance Cycle:	
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PART 2: INSTITUTIONAL GOALS (see instructions on page 2)

Review the institutional goals with each employee. Discuss these goals in relationship to the duties on the employee's position description. Provide additional clarification of specific expectations as needed. Weight each goal.

EXPERTISE	ENTER WEIGHT:	10%
<ul style="list-style-type: none"> a. Precision: Produces work that is accurate, thorough, and demonstrates sufficient analysis and decision-making to meet the requirements of the employee's position and profession. b. Resourcing: Makes efficient and appropriate use of materials and documents work appropriately. c. Innovation: Looks for ways to improve efficiency or quality. d. Development: Maintains technical skills and relevant professional credentials. 		
ACCOUNTABILITY	ENTER WEIGHT:	10%
<ul style="list-style-type: none"> a. Productivity: Completes required volume of work by established deadlines and stays productive throughout workday. b. Autonomy: Generally completes work with few reminders and/or infrequent oversight. c. Prioritizing: Takes sufficient/appropriate measures to plan and organize work, prioritize tasks, and set realistic goals. d. Coordination: Seeks needed information to complete work and timely communicates status with relevant parties. 		
CUSTOMER-ORIENTED	ENTER WEIGHT:	15%
<ul style="list-style-type: none"> a. Clarity: Listens to determine the most effective way to address customer needs and concerns. b. Awareness: Shows a solid understanding of customer needs, seeks out customer input to better understand needs, and develops ideas to meet those needs. c. Attentiveness: Follows through on commitments, despite time pressures or obstacles, and maintains relevant communication with customers until job is completed. d. Diplomacy: Maintains a professional and respectful tone and exhibits diplomacy when dealing with frustrated individuals or during sensitive or confrontational situations. 		

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TEAM-ORIENTED	ENTER WEIGHT:	5%
<p>a. Collegiality: Communicates and engages directly, clearly, and tactfully with colleagues.</p> <p>b. Collaboration: Provides feedback and healthy dialogue on performance and operational issues, as requested, willingly adapts to change, and adheres to decided actions.</p> <p>c. Contribution: Makes decisions with others in mind, and willingly performs additional duties when team members are absent, during times of increased workload, or as otherwise required by management to meet business needs.</p> <p>d. Attendance: Absences are infrequent and do not place an undue burden on supervisor or colleagues.</p>		

COMPLIANCE & INTEGRITY	ENTER WEIGHT:	10%
<p>a. Policy: Complies with personnel and equal opportunity policies, including prohibitions on harassment, discrimination, and workplace violence, and all other policies, including appropriate use of university resources.</p> <p>b. Safety: Complies with all safety requirements for the position, including successful completion of training and proper use of personal protective equipment.</p> <p>c. Ethics: Chooses ethical actions, even under pressure, avoids situations considered inappropriate or that present a conflict of interest, holds self and others accountable for ethical decisions.</p> <p>d. Respect: Appreciates individual and cultural differences and treats all people with dignity and respect.</p>		

SUPERVISION <i>(for supervisors only)</i>	ENTER WEIGHT:	N/A
<p>a. Oversight: Provides adequate stewardship of assigned resources, including budget, space, equipment, and staffing.</p> <p>b. Goal-Setting: Provides clear objectives that foster work unit development and align with University values and goals.</p> <p>c. Managing Talent: Provides candid, timely, and constructive feedback on performance and behavior, hires individuals with the qualities and skillsets for success, and contributes to meeting University's EO and affirmative action goals.</p> <p>d. Leading: Serves as role model and engenders trust, commitment, and civility.</p>		

PART 3: INDIVIDUAL GOALS *(see instructions on page 2)*

Set 3 to 5 individual goals for each employee based on key business needs and strategic goals. Weight each goal.

GOAL #1 -- Title:	OUTREACH INITIATIVE	ENTER WEIGHT:	20%
Description:	<p>Each Consultant will perform at least two customized presentations (30-60 min in length) for supervisors in their assigned areas, based on business needs, as determined by the Consultant in discussion with the Director, College/Division HR staff, and/or from direct experiences with the College/Division in order to increase visibility, awareness, and understanding of employee relations policy and best practices, to better equip supervisors in having effective discussions with employees regarding performance expectations. This initiative is due prior to end of performance cycle (March 31, 2017).</p>		

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GOAL #2 -- Title:	PERFORMANCE MANAGEMENT CONSULTATIONS	ENTER WEIGHT:	15%
Description:	Achieve proficiency in new performance management program by February 28, 2017 in order to provide appropriate consultation and training to supervisors and employees on the required and preferred application of processes, to ensure that supervisors and employees can benefit from the new program and succeed in meeting or exceeding performance expectations.		

GOAL #3 -- Title:	SUPERVISORY TRAINING PROGRAM	ENTER WEIGHT:	15%
Description:	Each Consultant is responsible for presenting the employee relations component of the training for front-line supervisors in their assigned College/Division by January 31, 2017 in order to provide sufficient training and guidance to new supervisors, while ensuring the consistency of the information presented across campus. Each Consultant will receive individual evaluations on their presentation and facilitation skills.		

GOAL #4 -- Title:	N/A	ENTER WEIGHT:	N/A
Description:			

GOAL #5 -- Title:	N/A	ENTER WEIGHT:	N/A
Description:			

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PART 4: TALENT DEVELOPMENT PLAN / INDIVIDUAL LEARNING PLAN (see instructions on page 2)

At the beginning of the performance cycle, the supervisor should discuss training and professional development opportunities with the employee and list any planned activities below. Supervisors should include resources that will be provided to the employee and indicate deadlines as needed. Progress under the talent development plan should be discussed periodically with the employee.

Kelly has expressed interest in pursuing her certification from the Society for Human Resources Management (SHRM). I commend Kelly for seeking external opportunities to expand her knowledge base in the field of Human Resources and will seek to secure funding to support Kelly for the SHRM-CP or PHR/SPHR certification, as well as in her efforts to prepare for the examination.

PART 5: SIGNATURES FOR PERFORMANCE PLAN (see instructions on page 2)

2nd – Level Supervisor:	Supervisor’s Manager Signature	Date:	Date
Supervisor:	Supervisor’s Signature	Date:	Date
Date of Review Session with Employee:			
Employee Acknowledgement: I acknowledge that I have received this performance plan and that if I choose, I may write additional comments to include with this document.		(Check this box if you are attaching comments.)	
Employee:	Employee’s Signature	Date:	Date

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PART 6: OFF-CYCLE REVIEWS *(see instructions on page 2)*

Document all off-cycle reviews completed during the performance cycle.

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
10/20/2017	X			J.P.	K.S.
Comments:	Kelly has made good progress on her individual goals and all goals are on schedule. Evaluation comments received have been favorable and speak to Kelly's strong knowledge of employee relations and ability to understand her customer's needs.				

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
1/20/2017			X	J.P.	K.S.
Comments:	Kelly requested this off-cycle review to discuss her progress on the implementation of the supervisory training program. Senior HR Leadership has been provided with exceptional comments regarding Kelly's performance and training techniques, which provided participants with useful information while keeping them engaged. Kelly has exceeded expectations in this goal and was able to ensure a 95% completion rate before the January 31, 2017 deadline.				

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
Comments:					

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PART 7: ANNUAL PERFORMANCE APPRAISAL (see instructions on page 2)

- Rate each **Individual** and **Institutional Goal**.
 - 1 = Not Meeting Expectations
 - 2 = Meeting Expectations
 - 3 = Exceeding Expectations
- Multiply the **Weight** by the **Rating** to get the **Score** for each goal. Use two decimal places. (Ex: 10% x 2 = 0.20)
- Add all of the **Scores** together to assign a **Final Overall Rating**.
 - 1.00 to 1.69 = Not Meeting Expectations
 - 1.70 to 2.69 = Meeting Expectations
 - 2.70 to 3.00 = Exceeding Expectations
- Provide **comments** and **signatures** on the next page.

#	INSTITUTIONAL GOALS (see descriptions in performance plan)	Weight	x	Rating	=	Score
1	Expertise	10%	x	3	=	0.30
2	Accountability	10%	x	3	=	0.30
3	Customer-Oriented	15%	x	3	=	0.45
4	Team-Oriented	5%	x	2	=	0.10
5	Compliance & Integrity	10%	x	2	=	0.20
6	Supervision (if applicable)	N/A	x	N/A	=	N/A

#	INDIVIDUAL GOALS (title only from performance plan)	Weight	x	Rating	=	Score
1	OUTREACH INITIATIVE	20%	x	2	=	0.40
2	PERFORMANCE MANAGEMENT CONSULTATIONS	15%	x	2	=	0.30
3	SUPERVISORY TRAINING PROGRAM	15%	x	3	=	0.45
4			x		=	
5			x		=	

FINAL OVERALL RATING (mark the appropriate rating based on total score)		TOTAL SCORE	=	2.50
Has the employee received a disciplinary action during this performance cycle and/or received any rating of 1 (<i>Not Meeting Expectations</i>) on this appraisal? If YES , the final overall rating cannot equal <i>Exceeding Expectations</i> , regardless of the total score.			YES	
			NO	X
NOT MEETING EXPECTATIONS		MEETING EXPECTATIONS	X	EXCEEDING EXPECTATIONS

OR: Employee was not evaluated due to ...	Insufficient Time	On Extended Leave
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PART 8: SUPERVISOR COMMENTS ON EMPLOYEE'S PERFORMANCE

Kelly continues to perform good work for the Employee Relations Team. This year, along with our other senior consultants, Kelly spent considerable time mentoring our two newest consultants, showing a sustained willingness to explain policies and procedures, partner on client contacts, and review documents. As a result, our newest consultants have been performing exceptionally well.

Kelly has exceeded expectations in providing training and consultations for the new performance management program, holding over 12 small group workshops in her assigned departments and performing follow-up presentations on several other Employee Relations topics.

Kelly is artful in coaching supervisors, managers, HR representatives, and employees, and can be both gentle and firm as appropriate in providing viable options to clients while making sure they are aware of their own obligations in resolving workplace issues. Kelly is committed to all parties being treated with respect and given the opportunity to be successful. Colleagues trust and appreciate Kelly's advice and opinions and she is a great asset to our team.

PART 9: SIGNATURES FOR ANNUAL PERFORMANCE APPRAISAL

2nd – Level Supervisor:	Supervisor's Manager Signature	Date:	Date
Supervisor:	Supervisor's Signature	Date:	Date
Date of Annual Performance Appraisal Review Session with Employee:			
Employee Acknowledgement: I understand my signature below indicates: that I have received this annual performance appraisal, that my signature does not necessarily imply my agreement with the ratings given or the comments included, and that if I choose, I may write a response to include with this appraisal document.			(Check here if you are attaching comments.) <input checked="" type="checkbox"/>
Employee:	Employee's Signature	Date:	Date

PART 10: APPEAL RIGHTS

For information on applicable appeal rights, please refer to the University System [SHRA Employee Grievance Policy](#).

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