

NC STATE UNIVERSITY

UNIVERSITY SHRA EMPLOYEE
ANNUAL PERFORMANCE APPRAISAL PROGRAM

**SAMPLE COMPLETED FORM:
SOCIAL/CLINICAL RESEARCH
SPECIALIST (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 Kellye 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:	C-NOTES	Employee Name:	Kelly Smith			
Dept. #:	345678	Employee ID:	12345678	Position #:	232323	
Supervisor Name:	Don Peters	Employee Classification:	Social/Clinical Research Specialist			
Supervisor Title:	Principal Investigator	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:	5%
<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%
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- a. **Collegiality:** Communicates and engages directly, clearly, and tactfully with colleagues.
- b. **Collaboration:** Provides feedback and healthy dialogue on performance and operational issues, as requested, willingly adapts to change, and adheres to decided actions.
- 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.
- d. **Attendance:** Absences are infrequent and do not place an undue burden on supervisor or colleagues.

COMPLIANCE & INTEGRITY	ENTER WEIGHT:	10%
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- 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.
- b. **Safety:** Complies with all safety requirements for the position, including successful completion of training and proper use of personal protective equipment.
- 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.
- d. **Respect:** Appreciates individual and cultural differences and treats all people with dignity and respect.

SUPERVISION <i>(for supervisors only)</i>	ENTER WEIGHT:	10%
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- a. **Oversight:** Provides adequate stewardship of assigned resources, including budget, space, equipment, and staffing.
- b. **Goal-Setting:** Provides clear objectives that foster work unit development and align with University values and goals.
- 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.
- d. **Leading:** Serves as role model and engenders trust, commitment, and civility.

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:	TALENT ACQUISITION	ENTER WEIGHT:	15%
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Description:	<ul style="list-style-type: none"> • As part of Phase 2 of the BULL Project (data collection), complete hiring and training of two new well-qualified research assistants prior to September 1, 2016 to ensure the data collection phase can proceed fully-staffed and on-schedule for a December 2017 completion date. • Hiring actions must comply with University policies and procedures. <p>Examples of exceeding expectations may include additional effort in targeted recruitment strategies or completing recruitment and training of new staff before August 1, 2016.</p>
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GOAL #2 -- Title:	DATA ENHANCEMENTS	ENTER WEIGHT:	15%
Description:	<ul style="list-style-type: none"> • Complete modifications to C-NOTES database in advance of data collection (preferred deadline: October 1, 2016) so that the database is prepared for data entry in December 2016. • Table/field structures must be consistent with other C-NOTES projects to allow cross-reporting. • Data report templates must comply with the Director's guidelines (distributed May 2014). • User guide, FAQs, and training for C-NOTES staff must be completed no later than early November 2017 so that staff are fully prepared for data entry. • Format and scope of materials should be consistent with the BEAR project guide and include contingency scripting consistent with those used in the Telluride project. 		

GOAL #3 -- Title:	VISIBILITY	ENTER WEIGHT:	10%
Description:	<ul style="list-style-type: none"> • Present the Telluride research at the CGEG Symposium in July 2016 so that your work and our program receive increased positive visibility within our academic research community. • Attend at least four of the Dean's monthly luncheons this cycle to increase your positive visibility/networking with other researchers in the College. • Review C-NOTES contributions to RePEc and present a summary at the fall retreat in November so that determinations can be made at the retreat for best next steps. Schedule several review sessions with me prior to the retreat to go over materials. 		

GOAL #4 -- Title:	FUNDING & GROWTH	ENTER WEIGHT:	5%
Description:	<ul style="list-style-type: none"> • Work with the CGEG and University development offices to propose at least two marketing strategies for funding outreach before March 31, 2017, with at least one of the strategies directed toward Alumni, so that the department can expand its available funding resources and research support network. • Submit at least two grant proposals before March 31, 2017 (possible topics and collaboration opportunities to be determined from our ongoing discussions and discussions at the fall retreat in November). 		

GOAL #5 -- Title:	QUALITY CONTROL	ENTER WEIGHT:	5%
Description:	<ul style="list-style-type: none"> • For areas with a response rates lower that 50%, determine possible causes and execute a strategy for follow-up contacts to bring all completed areas to at least a 50% response rate by February 1, 2017 so that our dataset is more complete for analysis. <p>Exceeding expectations may include achieving a 60% return rate or better.</p>		

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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.

- Attend at least two supervisory training classes offered through the Office of Human Resources this fiscal year to enhance understanding of supervisory responsibilities/obligations at the University.
- Attend the IABE Conference in March 2017 (travel and accommodations will be funded by the Center).

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
10/25/2017	X			J.P.	K.S.
Comments:	Kelly is making sufficient progress in all areas. She has completed two excellent hires (Goal 1). We are slightly behind on the data enhancements (Goal 2) but not significantly. Her presentation at the July Symposium went very well, and we are on track in preparations for the presentation at the November retreat (Goal 3). Kelly has not begun working on Goals 4 and 5, but these will ramp up in the latter part of the performance cycle.				

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

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	2	=	0.20
3	Customer-Oriented	5%	x	2	=	0.10
4	Team-Oriented	5%	x	3	=	0.15
5	Compliance & Integrity	10%	x	2	=	0.20
6	Supervision (if applicable)	10%	x	3	=	0.30

#	INDIVIDUAL GOALS (title only from performance plan)	Weight	x	Rating	=	Score
1	TALENT ACQUISITION	15%	x	3	=	0.45
2	DATA ENHANCEMENTS	15%	x	3	=	0.45
3	VISIBILITY	10%	x	3	=	0.30
4	FUNDING & GROWTH	5%	x	2	=	0.10
5	QUALITY CONTROL	5%	x	2	=	0.10

FINAL OVERALL RATING (mark the appropriate rating based on total score)		TOTAL SCORE	=	2.65
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 made several excellent hires this year and got them up to speed quickly on the project (Goal 1), which has helped tremendously. I have received many excellent comments from the new staff about Kelly's reliability, their confidence in her, and the quality of her training. The training materials she made for the database enhancements and survey scripts (Goal 2) were well-conceived, thorough, and serve as a model for future updates in other teams in the department.

Kelly's routine database work continues to be exceptional, and it has been a huge relief to her staff and other colleagues that the data is reliable and easily accessible (Expertise). Although the modifications hit a few snags and pushed back our original timeline by a month. Some of the snags were outside Kelly's control, but we have discussed several times this year that she is not making sufficient milestones to keep her on track on projects and not updating those projections as new issues arise. This has resulted in some delays that were avoidable, and she lost some opportunities for communication within the project team to make adjustments (Accountability). In the end, these did not significantly hinder the project, but Kelly will need to take extra care in planning and communication to ensure similar events do not occur in the future.

Kelly made several key presentations this year, both at the CGEG Symposium and the Director's retreat (Goal 3). She deftly responded to some very tough questions from the audience in both presentations and represented the University well. Kelly made some good steps with getting to know the development staff and drafted two strong proposals (Goal 4).

Kelly does a good job of ensuring compliance in her team. I would like to see her broaden her knowledge of University policy to strengthen her organizational awareness and apply that broader knowledge to our team (Compliance & Integrity). Kelly's analysis and attention to detail have been invaluable during data collection (Expertise), and she was able to get our response rates from 41% to 55% this spring (Goal 5).

Overall, Kelly is doing fine job. She is growing quickly as a professional in this field and as a leader within our Center.

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

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PART 10: APPEAL RIGHTS

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

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