SHRA PERFORMANCE MANAGEMENT
Objectives

- Outline structure and goals of performance program for SHRA employees
- Creating a performance plan
- Institutional and Individual Goals
- Calibration Meetings
- Off-cycle reviews and coaching
- How to complete the annual evaluation
- Tips, Suggestions and Timeline
SHRA Performance Appraisal Policy

- Policy was approved by the State Human Resources Commissions with an effective date of April 1, 2016.

- Policy applies to all employees who are subject to the State Human Resources Act, also known as SHRA.

- Same general process and forms are being used across the UNC System.

- Cycle will be April 1st - March 31st
Program Goals

- Make process clearer and less cumbersome

- Create standardized categories for evaluation
  - Define satisfactory level of work at “meeting expectations” for business needs
  - Tie institutional goals to university expectations

- Increase accuracy and defensibility of ratings
  - Address both performance and behavior/conduct
  - Ensure position/performance management consistency
  - Improve ease of quality control and data analysis

- Promote honest and clear communication.
Program Structure

- **Annual Performance Cycle**
  - April 1 to March 31

- **Performance Plan**
  - 5 Institutional Goals (6 for Supervisors)
  - 3-5 Individual Goals
  - Talent Development Goals

- **Off Cycle Performance Discussion**
  - Ongoing discussions

- **Annual Performance Appraisal**
  - Exceeding Expectations
  - Meeting Expectations
  - Not Meeting Expectations
SHRA Performance Appraisal Cycle
April 1st – March 31st

March - April
Conduct Annual Performance Appraisal. Second-level supervisor must approve the appraisal before it is reviewed with employee. Create Performance Plan for upcoming cycle.

June - July
Conduct 3-month follow-up to discuss goals, assess progress and resources, and if needed, clarify or redefine expectations for remainder of cycle. Quarterly Performance Review Required for Probationary Employees

September - October
Conduct 6-month follow up to discuss goals, assess progress and resources, and if needed, clarify or redefine expectations for remainder of cycle. Quarterly Performance Review Required for Probationary Employees

December-January
Conduct 9-month follow up to discuss goals, assess progress and resources, and if needed, clarify or redefine expectations for remainder of cycle. Quarterly Performance Review Required for Probationary Employees

Calibrations Sessions March
Leadership teams should hold calibration sessions to ensure consistent performance ratings and goals standards

Annual Appraisal due to division Senior Staff Member by May 1st

Interim Appraisal Completed by October 31
CREATE A PERFORMANCE PLAN
### Performance Plan

- Completed in Late April or Early May for the Yearly Cycle

<table>
<thead>
<tr>
<th>Performance Plan Components</th>
<th>Determined by:</th>
<th>Breakdown of Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Institutional Goals (6 if Supervisor)</td>
<td>Set by UNC System Office</td>
<td>50% of overall rating</td>
</tr>
<tr>
<td>3 to 5 Individual Goals</td>
<td>Set by Supervisor</td>
<td>50% of overall rating</td>
</tr>
<tr>
<td>Talent Development Goals</td>
<td>Set by Supervisor</td>
<td>Not rated at end of cycle</td>
</tr>
</tbody>
</table>
Performance Plan

Institutional Goals - Set by UNC System Office

| EXPERTISE             | ACCOUNTABILITY     | CUSTOMER-ORIENTED | TEAM-ORIENTED   | COMPLIANCE & INTEGRITY | SUPERVISION (for supervisors only) |

Institutional Goals reflect 50% of the overall evaluation

No goal can be less than 5%
Institutional Goals
Example

- Expectations written in the job description can and should be linked to Institutional Goals.
  - Example: Although Joe’s job description includes reliability as a key expectation for someone in his position, Joe frequently calls in sick on Mondays, and this is causing friction with his co-workers, as well as an increase in the department’s workload.

- This performance issues relates to the institutional goals:
  - Accountability (productivity)
  - Team Oriented (attendance)
Performance Plan

Individual Goals- Set by Supervisor

- Three to five goals each year
- Applied to employees, work units and/or divisions
- May be unique to the current performance cycle

Individual Goals reflect 50% of the overall evaluation

No goal can be less than 5%
Performance Plan

Talent Development Goals - Set by Supervisor (in consultation with employee)

- Job Related
- Career Related
- Service Related
Performance Plan

► Weighting Goals
► Institutional Goals: 50% of final overall rating
► Individual Goals: 50% of final overall rating
► All goals must be at least 5% of final overall rating

► Second-Level Supervisor Review
► All performance plans and performance appraisals require second-level approval before discussion with employee
► Input from second level supervisor required for any “exceeding expectations” rating
Calibration Sessions

Discussions that a group of supervisors have to set performance expectations and performance ratings fairly and consistently.

- **Goal Calibration** occurs at the beginning of the performance cycle and includes:
  - reviewing institutional goals to clarify expectations for employees in similar positions, and
  - setting individual goals for employees or employee groups that align with the strategic priorities of the work unit, the department, the School/Division, or the University.

- **Rating Calibration** occurs at the end of the performance cycle to apply performance ratings that reflect consistent, equitable, and fair assessments of work performed across similar positions based on the expectations decided upon and communicated at the beginning of the performance cycle.
Off-Cycle Reviews
Off-Cycle Reviews

Types of Off-Cycle Reviews:
- Interim
- Probationary
- Transfer
- Management-Driven
- Employee-Requested

- Not a full appraisal (no ratings); generally a few paragraphs completed in the Appraisal Form. May attach additional documentation as needed.
Ongoing Coaching & Off-Cycle Reviews

- Coaching and Feedback
  - Supervisors and employees interact for feedback and additional clarification on expectations throughout cycle
  - Supervisors may provide additional documentation to clarify or supplement the evaluation process
  - Performance Appraisal is an ongoing process, not just ONCE A YEAR
ANNUAL PERFORMANCE APPRAISAL
Performance Appraisal Structure

- Annual Performance Appraisal *(due to Vice Chancellor April 30)*
  - 3-pt rating scale for each goal and final overall rating
    *(Not Meeting, Meeting, or Exceeding Expectations)*
  - Individual goals equal 50% of final rating
  - Institutional goals equal 50% of final rating
  - One area for supervisor comments
  - Employee can include written comments
Scoring

Institutional Goal and Individual Goal Scores

- 3 = Exceeding Expectations
- 2 = Meeting Expectations
- 1 = Not Meeting Expectations

*Use whole numbers in providing ratings, for example do not choose a 1.8 or 2.5*

Final Overall Rating

- 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 received any rating of “Not Meeting,” then Final Overall Rating cannot be higher than “Meeting.”*
### Scoring (continued)

#### Institutional Goals

<table>
<thead>
<tr>
<th>INSTITUTIONAL</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>
</tr>
<tr>
<td>Accountability</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
<tr>
<td>Customer-Oriented</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
<tr>
<td>Team-Oriented</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Compliance &amp; Integrity</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td><strong>50% TOTAL</strong></td>
<td><strong>TOTAL</strong></td>
<td><strong>1.30</strong></td>
<td></td>
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Review Institutional Goal Expectations with Employee
Scoring (continued)

Individual Goals

<table>
<thead>
<tr>
<th>INDIVIDUAL</th>
<th>Weight</th>
<th>x Rating</th>
<th>= Score</th>
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<tbody>
<tr>
<td>Goal 1 - List Title</td>
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</tr>
<tr>
<td>Goal 2 - List Title</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Goal 3 - List Title</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Goal 4 - List Title</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
<tr>
<td>Goal 5 - List Title</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>50%</td>
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<td><strong>1.20</strong></td>
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### Scoring (continued)

<table>
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<tr>
<td>Accountability</td>
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<td>Goal 2</td>
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<td>2</td>
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</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>
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<td>3</td>
<td>0.30</td>
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<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>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>50%</strong></td>
<td><strong>1.30</strong></td>
<td></td>
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<td><strong>50%</strong></td>
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**Overall Score: 1.30 + 1.20 = 2.50**

Meeting Expectations
Remember “Meeting Expectations” is an A.
“Exceeding Expectations is an A+.

Review performance evaluation with next level supervisor, prior to discussion with employee

Be clear, honest, and concise when discussing performance with employee

Don’t rush the process
Scoring (continued)

- **Part 8: Supervisor Comments** - Provide clear feedback on overall performance, may need to address a specific institutional or individual goal.

- **Part 9: Signatures for Performance Appraisal**

- Employee can indicate in section 9 the intent to attach written comments.
Key Items

- **Second-Level Supervisor Review**
  - All performance plans and performance appraisals require second-level approval before discussion with employee
  - Input from second level supervisor required for any “exceeding expectations” rating

- **Calibration Sessions**
Performance Discussion

- Performance Appraisal Review Session
  - Review accomplishments and address any deficiencies
  - Review ratings for each goal and final overall rating
  - Review progress on development goals
  - Provide employee opportunity for comment, discussion, and response
Employee Comments

Options
- Written response to performance plan or appraisal
- Other documented responses during cycle

Deadline
- Recommended: Within two weeks of receiving performance plan or appraisal

Related Issues
- Comments are separate from signature process
- Comments are not considered a grievance filing
Appeal Rights

- University SHRA Employee Grievance Policy
  - Final overall rating of “Not Meeting Expectations” on annual performance appraisal
  - Must file grievance within 15 calendar days of performance review session

- Process
  - Informal discussion with supervisor/employee
  - Step 1: Mediation
  - Step 2: Hearing Panel/Officer
  - Final University Decision (no further appeal)
Shifting Performance Discussion

- **Past**
  
  What you did wrong and where we have been

- **Future**
  
  What I need to see more of....this is where we are going....

> When you focus on problems, you get more problems. When you focus on possibilities, you have more opportunities.

— Zig Ziglar

Simple Reminders — SIMPLEREMINDERS.COM
SANS Securing the Human (SANS StH) Security Awareness Training

- Mandatory requirement for all employees who use a computer as a primary tool for work
- Will be an online based training in the future
- More information to come at a later date from Information Technology Services (ITS)
- Listed in Part 8 of 2018-2019 SHRA Performance Appraisal Form- Computer Security Training - May disregard this checkbox if it is on Performance Evaluation
Questions about Performance Appraisal
Don’t Forget.....
Performance Cycle

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Leadership teams should hold calibration sessions to ensure consistent performance ratings and goals standards

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Completed by October 31

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**Annual Appraisal due to division Senior Staff Member by May 1st**

**Interim Appraisal Completed by October 31**
CREATE A NEW PERFORMANCE PLAN
Final Thoughts and Deadlines
Four Things that Create Frustration

1. Devaluing the process and demotivating employees

2. Avoiding crucial conversations

3. Rewarding everyone with a trophy
   ▪ (AKA “exceeds expectations”)

4. Neglecting to genuinely invite employees to take an active role in the process
How not to handle performance...

"That's my performance review?! Two thumbs up!"

"Really, you're doing a fine job. Here are just a few things that I need you to improve on."

"Here's your annual performance review, Tina."

"I focused on your performance for the past two weeks because I don't remember anything farther back."

"I was on vacation for the past two weeks!!! No time to chat. I need to spread some motivation over here."
Deadlines

April 2-11
- Supervisor Training & Calibration Discussions Next Level Supervisor and supervisory team (if applicable)

April 15-26
- Employee Performance Evaluation Meetings

April 30
- Submit Completed 2018-2019 Evaluation to Division Vice Chancellor
  - Supervisors should provide a final signed copy to the employee

May 20
- Performance Evaluations Due to Human Resources

Before End of May
- Establish New Performance Plan for 2019-2020. Set goals for the next year and review with employee
Questions?
REMEMBER: Signed and completed Performance Appraisals must be submitted to Division Vice Chancellor by April 30.

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Information and forms can be found on the
SHRA Performance Management Webpage
https://hr.unca.edu/shra-annual-performance-appraisal

Office of Human Resources