
SHRA Performance Management Training October 2016

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Background

- New Policy effective April 1, 2016 for SHRA employees
- Applies to all SHRA Probationary, Time-Limited, and Career State employees
- Facilitates communication between Supervisor and Employee
- Stresses time bound organizational goals
- Solicits employee input in individual goal development
- Focuses on employee development and career objectives

Intent of the new Performance Management System

- Focus on more meaningful ratings (validity)
- Address inflated ratings
- Performance may be incentivized
- *Note about future Merit Increases
- State Government new Compensation Program

Components

- New process is based on the following:
 - Institutional Goals
 - Individual Goals
 - Employee Development
 - 3 point Rating System
 - Not Meeting (1), Meeting (2), and Exceeding (3)

Institutional Goals



Institutional Goals

- The University of North Carolina General Assembly established for all SHRA employees
- Five Institutional goals
- One additional goal for all SHRA employees who supervise or manage employees

Institutional Goals

EXPERTISE

**CUSTOMER-
ORIENTED**

**COMPLIANCE
& INTEGRITY**

ACCOUNTABILITY

**TEAM-
ORIENTED**

SUPERVISION

Institutional Goals

**Precision
Resourcing
Innovation
Development**

**CUSTOMER-
ORIENTED**

**COMPLIANCE
& INTEGRITY**

ACCOUNTABILITY

**TEAM-
ORIENTED**

SUPERVISION

Institutional Goals

EXPERTISE

**CUSTOMER-
ORIENTED**

**COMPLIANCE
& INTEGRITY**

**Productivity
Autonomy
Prioritization
Coordination**

**TEAM-
ORIENTED**

SUPERVISION

Institutional Goals

EXPERTISE

**Clarity
Awareness
Attentiveness
Diplomacy**

**COMPLIANCE
& INTEGRITY**

ACCOUNTABILITY

**TEAM-
ORIENTED**

SUPERVISION

Institutional Goals

EXPERTISE

**CUSTOMER-
ORIENTED**

**COMPLIANCE
& INTEGRITY**

ACCOUNTABILITY

**Collegiality
Collaboration
Contribution
Attendance**

SUPERVISION

Institutional Goals

EXPERTISE

**CUSTOMER-
ORIENTED**

**Policy
Safety
Ethics
Respect**

ACCOUNTABILITY

**TEAM-
ORIENTED**

SUPERVISION

Institutional Goals

EXPERTISE

**CUSTOMER-
ORIENTED**

**COMPLIANCE
& INTEGRITY**

ACCOUNTABILITY

**TEAM-
ORIENTED**

**Oversight
Goal-Setting
Managing Talent
Leading**

Institutional Goals

EXPERTISE

Precision
Resourcing
Innovation
Development

CUSTOMER-ORIENTED

Clarity
Awareness
Attentiveness
Diplomacy

COMPLIANCE/ETHICS

Policy
Safety
Ethics
Respect

ACCOUNTABILITY

Productivity
Autonomy
Prioritization
Coordination

TEAM-ORIENTED

Collegiality
Collaboration
Contribution
Attendance

SUPERVISION

Oversight
Goal-Setting
Managing Talent
Leading

Institutional Goals



EXPERTISE

- Precision
- Resourcing
- Innovation
- Development

Expertise

- 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.
- Errors are infrequent, are recognized prior to completion of project, and/or are corrected as soon as identified with little to no disruption of service.
- Demonstrates pride in their work and accepts responsibility for assigned tasks.

Expertise

- Resourcing
 - Makes efficient and appropriate use of materials, resulting in sufficient cost effectiveness and little to no waste of resources.
 - Adheres to requirements for recordkeeping and documentation of work in a manner readily understandable to others and sufficient for effective use by self and others.

Expertise

- Innovation
 - Looks for ways to improve efficiency or quality, discusses suggested improvements with others, and demonstrates flexibility in response to new or improved work processes.
 - Takes calculated risks, anticipates possible problems, and responds to recurring problems by investigating the underlying causes.

Expertise

- Development
 - Maintains technical skills and relevant professional credentials, and/or maintains connections with professionals in their field.
 - Seeks ways to address development needs and recognizes growth and development opportunities for self and others instead of assigning blame when things go wrong.

Institutional Goals



ACCOUNTABILITY

- Productivity
- Autonomy
- Prioritization
- Coordination

Accountability

- Productivity
 - Completes required volume of work by established deadlines.
 - Stays productive and focused on assigned tasks during work hours.
 - Adheres to assigned work schedule and keeps supervisor informed of whereabouts during the work day.

Accountability

- Autonomy
 - Generally completes work with few reminders or infrequent oversight.
 - Successfully completes most tasks independently but may ask for support, as appropriate, when faced with unfamiliar tasks or situations.

Accountability

- Prioritization
 - Takes sufficient and appropriate measures to plan and organize work, to prioritize tasks, and to set realistic goals and milestones.
 - Monitors progress toward milestones, adapts approach due to changing requirements or predictable obstacles, and re-prioritizes tasks appropriately to meet deadlines and achieve goals.

Accountability

- Coordination
 - Seeks needed information to complete work.
 - Confirms agreement among team members for milestones, requirements, and measures of success.
 - Provides sufficient updates to supervisor and other relevant parties on the status of assigned work.
 - Appropriately escalates work concerns affecting their ability to complete assigned tasks to management.

Institutional Goals



*CUSTOMER-
ORIENTED*

- Clarity
- Awareness
- Attentiveness
- Diplomacy

Customer-Oriented

- Clarity
 - Listens to determine the most effective way to address customer needs and concerns.
 - Asks questions and summarizes what the speaker is saying to confirm understanding and avoid miscommunications.
 - Clearly and accurately conveys relevant and factual information to inform the target audience effectively.
 - Adapts to the needs of audiences to ensure messages are understood.

Customer-Oriented

- Awareness
 - Shows a solid understanding of customer needs, seeks out customer input to better understand needs, and develops ideas to meet those needs.
 - Recognizes when work processes and/or outcomes are negatively affecting customers and takes appropriate steps to eliminate problems.

Customer-Oriented

- Attentiveness
 - Follows through on commitments, despite time pressures or obstacles, and maintains relevant communication with customer until job is completed.
 - Develops relationships with customers marked by attentiveness and customer satisfaction.
 - Responds promptly to customer requests, willingly works with customers to meet needs, and is generally easy to reach during work hours.

Customer-Oriented

- Diplomacy
 - Maintains a professional and respectful tone and exhibits diplomacy when dealing with frustrated individuals or during sensitive or confrontational situations.
 - Consistently presents a calm, competent, and professional image to the public and other agency/state employees.
 - Behavior, gestures, and speech present a positive image of the University to customers.

Institutional Goals

TEAM-ORIENTED

- Collegiality
- Collaboration
- Contribution
- Attendance

Team-Oriented

- Collegiality
 - Communicates and engages directly, clearly, and tactfully with colleagues.
 - Shows consideration and respect for the ideas, beliefs, work styles, and perspectives of the team, and refrains from participating in gossip or cliques.
 - Recognizes conflict within the team and participates positively in resolving issues.

Team-Oriented

- Collaboration
 - Provides feedback and healthy dialogue on performance and operational issues, as requested. Willingly adapts to change and adheres to decided actions.
 - Works willingly with others to accomplish goals. Engages with and considers the views of others when analyzing a situation or developing a solution to achieve team goals. Provides knowledge and resources to reach common goals.
 - Takes ownership of their contribution to the team's overall success and understands how successful execution of their responsibilities contributes to public expectations for quality, service, and professionalism.

Team-Oriented

- 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.
 - Maintains a professional appearance and contributes equitably to maintaining the workplace appearance.

Team-Oriented

- Attendance
 - Absences are infrequent and do not place an undue burden on supervisor or colleagues.
 - Follows work unit rules for time and attendance, including established procedures for calling out, requesting leave, requesting changes to work schedules, and recordkeeping.

Institutional Goals



*COMPLIANCE
& INTEGRITY*

- Policy
- Safety
- Ethics
- Respect

Compliance & Integrity

- Policy
 - Complies with university personnel and equal opportunity policies, including prohibitions on harassment, discrimination, and workplace violence.
 - Protects confidentiality of records for patients, employees, students, research subjects, and others, as required.
 - Complies with all other university and departmental policies and procedures.
 - Appropriately uses university resources, finances, and intellectual/real property. Adheres to use and security requirements for information technology.

Compliance & Integrity

- Safety
 - Complies with all safety requirements for the position, including successful completion of training and proper use of personal protective equipment.
 - Identifies, reports, and corrects unsafe conditions. Appropriately and promptly reports accidents/injuries.

Compliance & Integrity

- Ethics
 - Complies with trade/industry protocols, state/federal regulations, and other standards associated with their position and profession.
 - Chooses ethical action, even under pressure, avoids situations that are inappropriate or present a conflict of interest, and holds self/others accountable for ethical decisions.
 - Is authentic, takes action consistent with stated intentions, and provides truthful explanations for actions.

Compliance & Integrity

- Respect
 - Appreciates individual and cultural differences and treats all people with dignity and respect.
 - Effectively works to bridge cultural gaps toward common goals and provides equal opportunities for diverse individuals to participate.
 - Does not contribute to and discourages comments and actions that stereotype, insult, or belittle people with diverse backgrounds.

Institutional Goals



SUPERVISION

- Oversight
- Goal-Setting
- Managing Talent
- Leading

Supervision

- Oversight
 - Provides adequate stewardship of assigned resources, including budget, space, equipment, and staffing.
 - Regularly monitors and measures results and resources and distributes and delegates tasks appropriately.
 - Takes decisive action to adapt strategies for success.
 - Identifies and removes barriers to goals and coaches team members on how to navigate barriers successfully.

Supervision

- Goal Setting
 - Provides clear objectives that foster work unit development and align with university values and goals.
 - Provides clear instruction on goals, processes and standards.
 - Involves team in defining ways to achieve goals and work together.

Supervision

- Managing Talent
 - Provides candid, timely, and constructive feedback on performance and behavior and appropriately balances positive and negative messages.
 - Actively coaches individuals and teams to strengthen performance. Identifies and provides useful development opportunities.
 - Notices and shows appreciation when employees achieve or exceed expected results and demonstrate expected behaviors.
 - Hires individuals with the qualities and skillsets for success and contributes to meeting University EO and affirmative action goals.

Supervision

- Leading
 - Serves as role model.
 - Engenders trust, commitment, and civility.
 - Deals proactively with interpersonal or individual matters to improve team dynamics.
 - Responsive to feedback from subordinates and others.



"Old" Way

Position Description

Work Plan

5

- Job Duty 1

- Accuracy
- Deadlines
- Customer Service

5

- Job Duty 2

- Accuracy
- Deadlines
- Customer Service

5

- Job Duty 3

- Accuracy
- Deadlines
- Customer Service

"New" Way

Performance Plan

Position Description

3

- Expertise

- Job Duty 1
- Job Duty 2
- Job Duty 3

3

- Accountability

- Job Duty 1
- Job Duty 2
- Job Duty 3

3

- Customer-Oriented

- Job Duty 1
- Job Duty 2
- Job Duty 3

Position Description (PD)

- The basis of the Performance Plan
- PD articulates expectations at the “Meets Expectations” level
- Employees are rated using provided Institutional Goals
- No need to re-state minimum expectations on the Performance Plan

Debrief





Individual Goals

- Supervisor defines 3-5 individual goals for each employee each cycle.
- Not intended to cover all aspects of employee work product (institutional goals do that).
- Focus is on key results/outcomes/deliverables, not steps in the process.



Individual Goals by Scope

- 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")

Individual Goals by Function

- 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



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Sample Goal: PM Consults

- Goal #1: PM Consultations
 - Achieve proficiency in new performance management program by June 30, 2016 ...
 - in order to provide appropriate consultation to supervisors and employees on required and preferred application of processes ...
 - so that supervisors and employees can benefit from the new program and succeed in meeting or exceeding performance goals.

Sample Goal: PM Consults

- Specific Deliverables
 - Review performance plans / position descriptions to provide useful and appropriate suggestions on applying institutional goals to specific job duties and crafting strategically-aligned individual goals.
 - Review disciplinary actions to determine which goal(s) will be affected in the appraisal. Selection should be based on the cause of the problem instead of an effect.
 - Provide guidance on written overall comments and determining appropriate overall ratings.

Sample Goal: PM Consults

- Exceeding Expectations
 - Providing ad hoc training throughout the cycle to departments on PM-related topics;
 - Regularly using available PM toolkit resources in consultation to guide clients toward self-sufficiency; and/or
 - Drafting additional toolkit resources that meet newly-identified needs or that enhance detail/scope of resources.

Sample Goal: Procedurals

- Goal #3: Procedural Projects
 - Complete a procedural guide (generally 5, up to 10 pages) to address at least one recurring employee relations issue, selected from a provided list (examples: financial audits, employee deaths, pornography, etc.) ...
 - in order for consultants to have ready access to relevant information ...
 - so that our team can be confident in providing consistent, timely, and useful guidance to our constituents.

Sample Goal: Procedurals

- Specific Deliverables
 - First Project to be completed by December 1, 2016; Second Project by March 1, 2017.
 - Procedures follow an approved format based on discussion with the Director.
 - Procedures address issues such as relevant policies, necessary coordination with other University groups, work flows and process steps, key questions that need to be addressed, and reporting requirements, if applicable.

Sample Goal: Procedurals

- Exceeding Expectations
 - Explaining (in)frequent variations that may require differing approaches or different severity of discipline;
 - Reviewing past related actions in disciplinary database to evaluate and describe consistency/appropriateness of past actions;
 - Providing suggestions for related process improvements; and/or
 - Completing additional projects.

Debrief



Scoring

- Institutional Goal (50%) and Individual Goal (50%) Scores
 - 3 = Exceeding Expectations
 - 2 = Meeting Expectations
 - 1 = Not Meeting Expectations
 - 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

INSTITUTIONAL	Weight	x Rating	= Score	INDIVIDUAL	Weight	x Rating	= Score
Expertise	10%	3	0.30	Goal 1	10%	2	0.20
Accountability	10%	3	0.30	Goal 2	10%	2	0.20
Customer-Oriented	10%	3	0.30	Goal 3	10%	2	0.20
Team-Oriented	10%	2	0.20	Goal 4	10%	3	0.30
Compliance & Integrity	10%	2	0.20	Goal 5	10%	3	0.30
	50%	TOTAL	1.30		50%	TOTAL	1.20

Overall Score: $1.30 + 1.20 = 2.50$

Meeting Expectations

The Appraisal Form Contents

- Part 1: Instructions
- Part 2: Institutional Goals
- Part 3: Individual Goals
- Part 4: Talent Development Plan
- Part 5: Signatures
- Part 6: Off cycle Reviews
- Part 7: Annual Performance Appraisal
- Part 8: Comments
- Part 9: Signatures (Annual)
- Part 10: Appeal Rights

Supervisors Toolkit

- UNCP SHRA Appraisal Form (fillable)
- Sample Completed Appraisal forms
- Institutional Goals with definitions and examples of Not Meeting, Meeting, and Exceeding
- Summary of Key Policy Elements
- SHRA Performance Appraisal Policy
- PM Rating Calculator

Next Steps

- Transition throughout current Rating Cycle
- End of Cycle ratings on a 3 point scale
- Multiple Workshops throughout rest of rating cycle
- April 2017-Begin Workshops on PM Calibration
- Jan-April 2017-Addition of Performance Management Module in PeopleAdmin (Automate)

Questions

