



ECU®

**UNIVERSITY SHRA EMPLOYEE
ANNUAL PERFORMANCE APPRAISAL PROGRAM**

**SAMPLE
HUMAN RESOURCES
CONSULTANT (JOURNEY)**

ANNUAL APPRAISAL FORM

INSTRUCTIONS FOR COMPLETING THIS PERFORMANCE DOCUMENT:

Part 1: PERFORMANCE PLAN. Performance plans must be issued annually between April 1 and May 30. 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.

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 an opportunity to ask for any clarification of expectations. The supervisor documents the conversation (at least a 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 1 and May 30. 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 final rating and institutional goals equal 50% of 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

ANNUAL PERFORMANCE APPRAISAL CYCLE <i>(Dates From/To):</i>		04-01-16	to	03-31-17
Dept. Name:	Human Resources	Employee Name:	Kelly Klarke	
Dept. #:	345678	Employee ID:	10020030	Position #: 232323
Supervisor Name:	Jo Johanson	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:	10%
<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:	10%
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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:	n/a
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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:	OUTREACH INITIATIVE	ENTER WEIGHT:	15%
Description:	<p>Each Consultant will perform at least two customized presentations (30-60 min) for supervisors and/or employees in their assigned areas, based on needs for those areas determined by the Consultant in discussion with the Director, with School/Division HR staff, and/or from direct experiences with the School/Division/Department in order to increase visibility, awareness, and understanding of employee relations policy and best practices so that employees and supervisors can have clean and proper communication regarding performance expectations.</p> <ul style="list-style-type: none"> • Due prior to end of performance cycle (March 31, 2017). 		

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	<ul style="list-style-type: none"> The two presentations may have the same content. Consultants can develop the materials independently, in conjunction with other E&MR/OHR staff, or modify existing materials. The preferred audiences are management teams, employee groups, or organization-wide. In some cases, presentation to larger School/Division HR teams may be allowable. Presentation feedback will be received from School/Division HR staff, anecdotal information from participants, and direct observation of presentations by the Director and/or other Consultants. <p>Exceeding expectations may include presenting additional, different programs (different topics/audiences) within this cycle, create significant, new training materials that can be used by other Consultants, consistently and skillfully fielding difficult questions or managing argumentative participants in order to keep the presentation progressing, and/or strategic follow-ups with participants to address specific concerns.</p>
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GOAL #2 -- Title:	PERFORMANCE MANAGEMENT CONSULTATIONS	ENTER WEIGHT:	15%
Description:	<p>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.</p> <ul style="list-style-type: none"> 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. <p>Exceeding expectations may include 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.</p>		

GOAL #3 -- Title:	PROCEDURAL PROJECTS	ENTER WEIGHT:	10%
Description:	<p>Complete a procedural guide (generally 5-10 pages) to address at least one recurring employee relations issue, selected from a provided list (example: 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.</p> <ul style="list-style-type: none"> 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. 		

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	<ul style="list-style-type: none"> 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. <p>Exceeding expectations may include explaining (in)frequent variations that may require differing approaches or different severity of discipline; reviewing past related actions in the disciplinary database to evaluate and describe consistency/appropriateness of past actions; providing suggestions for related process improvements; and/or completing additional projects.</p>
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GOAL #4 -- Title:	SUPERVISORY TRAINING PROGRAM	ENTER WEIGHT:	10%
Description:	<p>Each Consultant is responsible for presenting the E&MR component of the training for front-line supervisors in their respective departments in order to provide sufficient guidance to new supervisors so that they can be successful in their supervisory roles. Area teams (health affairs, academic affairs/administration, and F&A) may choose to co-facilitate.</p> <ul style="list-style-type: none"> Timeline will be determined by Training & Development in conjunction with departments. Presenters will receive individual evaluations on their presentation and facilitation skills. Consultants are expected to receive at least a 4.0 average (5.0 point scale) from the participant's feedback on presenters. Presenters must be able to adhere to the defined presentation and time limits, field general questions from the participants, and facilitate the debrief of the case study practice counseling session to glean best practices, proper decision-making, and appropriate communication styles. The Director will also collect anecdotal feedback from participants, department HR staff, and T&D training specialists, as well as from direct observation of presentations. <p>Exceeding expectations may include assisting in additional sessions due to consultant unavailability, scores averaging higher than 4.5 on participant feedback, skillfully fielding difficult questions, and/or managing argumentative participants in order to keep the class progressing.</p>		

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

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

At the beginning of the performance cycle, the supervisor should discuss development opportunities with the employee and list below any development activities established for the current cycle. 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.

E&MR will seek to secure some funding support for SHRM and/or (S)PHR certification. This may also include some work time toward preparation for the exam. More information on financial support will be provided later this fall (based on available budget).

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

2nd – Level Supervisor:		Date:	
Supervisor:		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:		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
10-15-2016	x				
Comments:	Kelly is exceeding expectations. All goals are ahead of schedule and evaluation comments are exceptional.				

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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Comments:					

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

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
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PART 7: ANNUAL PERFORMANCE APPRAISAL (see instructions on page 2)

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| <ul style="list-style-type: none"> Rate each Individual and Institutional Goal. <ul style="list-style-type: none"> 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. (Example: 10% x 2 = 0.20) | <ul style="list-style-type: none"> Add all of the Scores together to assign a Final Overall Rating. <ul style="list-style-type: none"> 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 <small>(see descriptions in performance plan)</small>	Weight	x	Rating	=	Score
1	Expertise	10%	x	3	=	0.30
2	Accountability	10%	x	3	=	0.30
3	Customer-Oriented	10%	x	3	=	0.30
4	Team-Oriented	10%	x	3	=	0.30
5	Compliance & Integrity	10%	x	3	=	0.30
6	Supervision <i>(if applicable)</i>	-	x	-	=	-

#	INDIVIDUAL GOALS <small>(title only from performance plan)</small>	Weight	x	Rating	=	Score
1	Outreach Initiative	15%	x	3	=	0.45
2	Performance Management Consultations	15%	x	3	=	0.45
3	Procedural Projects	10%	x	3	=	0.30
4	Supervisory Training Program	10%	x	3	=	0.30
5	n/a	-	x	-	=	-

FINAL OVERALL RATING <small>(mark the appropriate rating based on total score)</small>	TOTAL SCORE	=	3.0
Has the employee received a disciplinary action during this performance cycle <u>and/or</u> received any rating of 1 (Not Meeting Expectations) on this appraisal? If YES , then the final overall rating <u>cannot</u> equal Exceeding Expectations, regardless of the total score.		YES	
		NO	X

NOT MEETING EXPECTATIONS	MEETING EXPECTATIONS	EXCEEDING EXPECTATIONS	X
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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 outstanding work for E&MR. This year, along with our other senior consultants, Kelly spent considerable time mentoring our three newest consultants, showing a sustained willingness to explain policies and procedures, tease out options, partner on client contacts, and review documents. Colleagues trust and appreciate Kelly's advice and opinions. As a result, our newest consultants have been performing quite well. Kelly has made great progress on three procedural guides (two completed, one in final draft) and colleagues are already using them to great effect. Kelly has gone above and beyond with providing training and consultations for the new performance management program, holding over a dozen small group workshops in her assigned departments and performing follow-up presentations on several other ER topics when it became clear through the PM consultations that other issues were brewing in those areas. Kelly has taken the lead in the BEST training, helping to coordinate our staff's involvement in the program, and is receiving near perfect scores and glowing comments from participants. 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. She is committed to all parties being treated with respect and given the opportunity to be successful. This year, Kelly volunteered to serve as a liaison to the medical leave group in order to facilitate our groups working better together on employee relations issues, and we now have clearer and more consistent communication between the groups.

PART 9: SIGNATURES FOR ANNUAL PERFORMANCE APPRAISAL

2nd – Level Supervisor:		Date:	
Supervisor:		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.)
Employee:		Date:	

PART 10: APPEAL RIGHTS

For information on applicable appeal rights, please refer to the University System SHRA Employee Grievance Policy.