



**University SHRA Employee  
Annual Performance Appraisal Program**

**Annual Performance Appraisal Form**

**INSTRUCTIONS FOR COMPLETING THIS APPRAISAL DOCUMENT:**

**Part 1: PERFORMANCE PLAN.** Performance plans must be issued annually between April 1 and March 31. 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 March 31. 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 Policy.

<b>ANNUAL PERFORMANCE APPRAISAL CYCLE</b> (Dates From/To):		<b>4/01/20??</b>	to	<b>3/31/20??</b>
<b>Dept. Name:</b>	Human Resources	<b>Employee Name:</b>	Bronco Bob	
<b>Dept. #:</b>	123456	<b>Employee ID:</b>	123456789	<b>Position #:</b> 123456
<b>Supervisor Name:</b>	Peter Performance	<b>Employee Classification:</b>	Evaluation Consultant	
<b>Supervisor Title:</b>	Goals Director	<b>Competency Level:</b>	Journey	

<b>PART 7: ANNUAL PERFORMANCE APPRAISAL</b>		(see instructions on page 2)
<ul style="list-style-type: none"> <li>Rate each <b>Individual</b> and <b>Institutional Goal</b>. <ul style="list-style-type: none"> <li>1 = Not Meeting Expectations</li> <li>2 = Meeting Expectations</li> <li>3 = Exceeding Expectations</li> </ul> </li> <li>Multiply the <b>Weight</b> by the <b>Rating</b> to get the <b>Score</b> for each goal. Use two decimal places. (Example: 10% x 2 = 0.20)</li> </ul>	<ul style="list-style-type: none"> <li>Add all of the <b>Scores</b> together to assign a <b>Final Overall Rating</b>. <ul style="list-style-type: none"> <li>1.00 to 1.69 = Not Meeting Expectations</li> <li>1.70 to 2.69 = Meeting Expectations</li> <li>2.70 to 3.00 = Exceeding Expectations</li> </ul> </li> <li>Provide <b>comments</b> and <b>signatures</b> on the next page.</li> </ul>	

#	<b>INSTITUTIONAL GOALS</b> (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	10%	x	3	=	0.30
4	Team-Oriented	10%	x	3	=	0.30
5	Compliance & Integrity	10%	x	3	=	0.30
6	Supervision (if applicable)		x		=	

#	<b>INDIVIDUAL GOALS</b> (title only from performance plan)	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	Supervisor Training Program	10%	x	3	=	0.30
5			x		=	

<b>FINAL OVERALL RATING</b>	(mark the appropriate rating based on total score)	<b>TOTAL SCORE</b>	=	<b>3.0</b>
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 <b>YES</b> , then the final overall rating <u>cannot</u> equal Exceeding Expectations, regardless of the total score.			YES	
			NO	X
<b>NOT MEETING EXPECTATIONS</b>		<b>MEETING EXPECTATIONS</b>		<b>EXCEEDING EXPECTATIONS</b>
				<b>X</b>

<b>OR: Employee was not evaluated due</b>	Insufficient Time	On Extended Leave
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<b>ANNUAL PERFORMANCE APPRAISAL CYCLE</b> (Dates From/To):		<b>4/01/20??</b>	<b>to</b>	<b>3/31/20??</b>
<b>Dept. Name:</b>	Human Resources	<b>Employee Name:</b>	Bronco Bob	
<b>Dept. #:</b>	123456	<b>Employee ID:</b>	123456789	<b>Position #:</b> 123456
<b>Supervisor Name:</b>	Peter Performance	<b>Employee Classification:</b>	Evaluation Consultant	
<b>Supervisor Title:</b>	Goals Director	<b>Competency Level:</b>	Journey	

**PART 8: SUPERVISOR COMMENTS ON EMPLOYEE'S PERFORMANCE** (see instructions on page 2)

Bob continues to perform outstanding work for E&MR. This year, along with our other senior consultants, Bob 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 Bob's advice and opinions. As a result, our newest consultants have been performing quite well. Bob has made great progress on three procedural guides (two completed, one in final draft) and colleagues are already using them to great effect.

Bob has gone above and beyond with providing training and consultations for the new performance management program, holding over a dozen small group workshops in his 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. Bob 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.

Bob 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. He is committed to all parties being treated with respect and given the opportunity to be successful. This year, Bob 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** (see instructions on page 2)

<b>2<sup>nd</sup> – Level Supervisor:</b>	<i>Annie Appraisal</i>	<b>Date:</b>	<b>07/30/20??</b>
<b>Supervisor:</b>	<i>Peter Performance</i>	<b>Date:</b>	<b>07/30/20??</b>
<b>Date of Annual Performance Appraisal Review Session with Employee:</b>			
<b>Employee Acknowledgement:</b> 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.)
<b>Employee:</b>	<i>Bronco Bob</i>	<b>Date:</b>	<b>07/30/20??</b>

**PART 10: APPEAL RIGHTS**

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