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# SHRA Performance Management Training

Introduction to New Program  
September 2016

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## Program Goals

<u>Issues of Concern</u>	<u>Strategies to Address</u>
❖ <b>Not “value-added”</b>	❖ Link to University mission / goals
❖ <b>Time-consuming and Cumbersome</b>	❖ Streamlined format, targeted and pre-populated content
❖ <b>Rating Inflation and Inconsistency</b>	❖ Standardized categories and structured calibration process
❖ <b>No Connection of Performance and Pay</b>	❖ Expected in new comp program / Connects to other policies
❖ <b>No Development Opportunities</b>	❖ Link performance goals to career development goals

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## Program Goals

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<u>Issues of Concern</u>	<u>Strategies to Address</u>
❖ <b>Redundant Documentation</b>	❖ Make position description and PM complement each other
❖ <b>Inaccurate/Outdated Content</b>	❖ Update PD/PM to meet current business needs
❖ <b>Performance versus Conduct</b>	❖ Addresses both functional and behavioral aspects of work
❖ <b>Paper-Process</b>	❖ Electronic process system-wide
❖ <b>“That’s Not My Job”</b>	❖ “Other Duties as Assigned”

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## Program Elements

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- ❖ **Performance Planning**
  - Institutional Goals
  - Individual Goals
  - Talent Development Plan
  
- ❖ **Performance Monitoring**
  - Coaching & Documented Clarifications of Expectations
  - Off-cycle Reviews
  
- ❖ **Performance Appraisal**

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## Philosophy

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A communications system  
designed to help  
the employee succeed.

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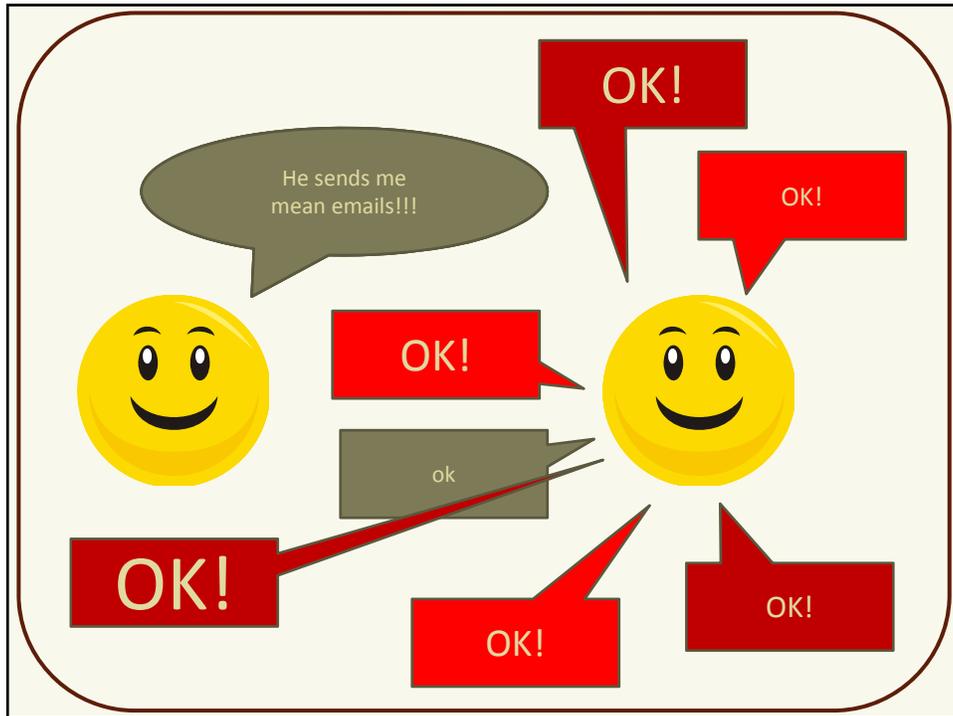
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## Communication System

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- ❖ Clarity on job duties and performance expectations
- ❖ Clarity of connection with strategic goals
- ❖ Clarity on impact of working environment on success
- ❖ Clarity on dynamics of working relationships

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## Roles & Responsibilities

### ❖ Employee

- Actively participate & own the work
- Ask questions & keep supervisor informed

### ❖ Supervisor

- Clarity in expectations & honesty in appraisal
- Invest time upfront & use available resources
- Participate in calibration sessions



## Roles & Responsibilities

- ❖ **Second-Level Supervisor**
  - Review & sign performance plans & appraisals
  - Ensure expectations/ratings applied consistently
  
- ❖ **Higher Management and Human Resources**
  - Quality & Consistency Control

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## Interaction with Other Policies

- ❖ **Classification, Compensation & Hiring**
  - Proper alignment targets correct: Classification / pay range / competencies
  - Proper alignment targets correct: Applicant pool
  - Can be tied to legislative salary increases/bonuses
  
- ❖ **Discipline / Grievances**
  - Performance documentation necessary to justify disciplinary action.
  
- ❖ **Layoff**
  - Selection Criteria (in priority order):
    1. University Needs
    2. Appointment Type
    3. Relative Efficiency
    4. TSSD
    5. Diversity
  - "Relative Efficiency" includes documented performance & competency.

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## (Re)Setting Expectations

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- ❖ Align performance expectations/ratings with current business needs (“meeting expectations”).
- ❖ Clarify distinctions between what you need (“meeting”) and what you want (“exceeding”).

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## (Re)Setting Expectations

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**Job Duty: Enter personnel actions into HR system.**

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Not Meeting	Meeting	Exceeding
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1<sup>st</sup> Friday of Next Biweekly

REACTIVE

PROACTIVE

Timely?  
Quantity?  
Accuracy?  
Autonomy?  
Manner?

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## (Re)Setting Expectations

Not Meeting      Meeting      Exceeding

### Institutional Goals

R  
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E

Expertise  
Accountability  
Customer-Oriented  
Team-Oriented  
Compliance & Integrity  
Supervision

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## “Old” Way

	Position Description	Work Plan
<b>5</b>	❖ Job Duty 1	<ul style="list-style-type: none"> <li>❖ Accuracy</li> <li>❖ Deadlines</li> <li>❖ Customer Service</li> </ul>
<b>5</b>	❖ Job Duty 2	<ul style="list-style-type: none"> <li>❖ Accuracy</li> <li>❖ Deadlines</li> <li>❖ Customer Service</li> </ul>
<b>5</b>	❖ Job Duty 3	<ul style="list-style-type: none"> <li>❖ Accuracy</li> <li>❖ Deadlines</li> <li>❖ Customer Service</li> </ul>

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## “New” Way

	Performance Plan	Position Description
<b>3</b>	❖ Expertise	❖ Job Duty 1 ❖ Job Duty 2 ❖ Job Duty 3
<b>3</b>	❖ Accountability	❖ Job Duty 1 ❖ Job Duty 2 ❖ Job Duty 3
<b>3</b>	❖ Customer-Oriented	❖ Job Duty 1 ❖ Job Duty 2 ❖ Job Duty 3

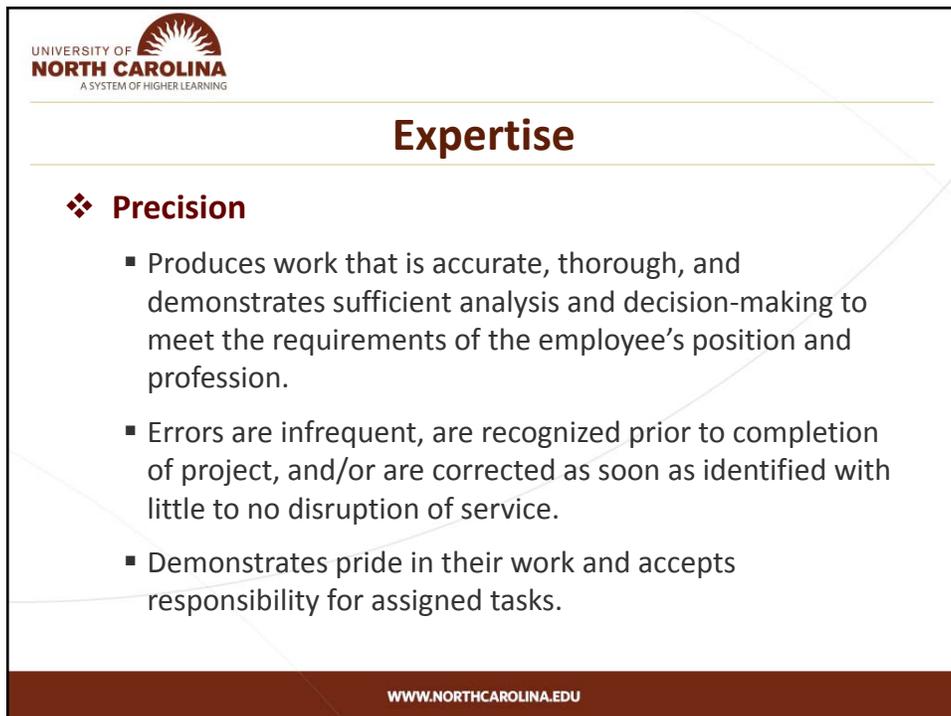
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## Institutional Goals

EXPERTISE	CUSTOMER-ORIENTED	COMPLIANCE & INTEGRITY
ACCOUNTABILITY	TEAM-ORIENTED	SUPERVISION

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## Expertise

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❖ **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.

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## Expertise

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❖ **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.

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## Expertise

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❖ **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.

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## Institutional Goals

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<b>EXPERTISE</b>	<b>CUSTOMER-ORIENTED</b>	<b>COMPLIANCE &amp; INTEGRITY</b>
<b>Productivity Autonomy Prioritization Coordination</b>	<b>TEAM-ORIENTED</b>	<b>SUPERVISION</b>

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## 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.

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## 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.

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## 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.



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## 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.

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## Customer-Oriented

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❖ **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.

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## Customer-Oriented

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❖ **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.

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## 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.

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## Institutional Goals

EXPERTISE

CUSTOMER-ORIENTED

COMPLIANCE & INTEGRITY

ACCOUNTABILITY

Collegiality  
Collaboration  
Contribution  
Attendance

SUPERVISION

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## 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.

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## 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.

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## 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.



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## 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.

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## 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.

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## 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.

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## 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.

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## Institutional Goals

EXPERTISE

CUSTOMER-ORIENTED

COMPLIANCE & INTEGRITY

ACCOUNTABILITY

TEAM-ORIENTED

Oversight  
Goal-Setting  
Managing Talent  
Leading

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## 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.



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## Supervision

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❖ **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.

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## Supervision

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❖ **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.

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## Institutional Goals

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<p style="text-align: center;"><b>EXPERTISE</b></p> <p style="text-align: center;">Precision Resourcing Innovation Development</p>	<p style="text-align: center;"><b>CUSTOMER-ORIENTED</b></p> <p style="text-align: center;">Clarity Awareness Attentiveness Diplomacy</p>	<p style="text-align: center;"><b>COMPLIANCE/ETHICS</b></p> <p style="text-align: center;">Policy Safety Ethics Respect</p>
<p style="text-align: center;"><b>ACCOUNTABILITY</b></p> <p style="text-align: center;">Productivity Autonomy Prioritization Coordination</p>	<p style="text-align: center;"><b>TEAM-ORIENTED</b></p> <p style="text-align: center;">Collegiality Collaboration Contribution Attendance</p>	<p style="text-align: center;"><b>SUPERVISION</b></p> <p style="text-align: center;">Oversight Goal-Setting Managing Talent Leading</p>

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## Individual Goals

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- ❖ **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.**

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## 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”)

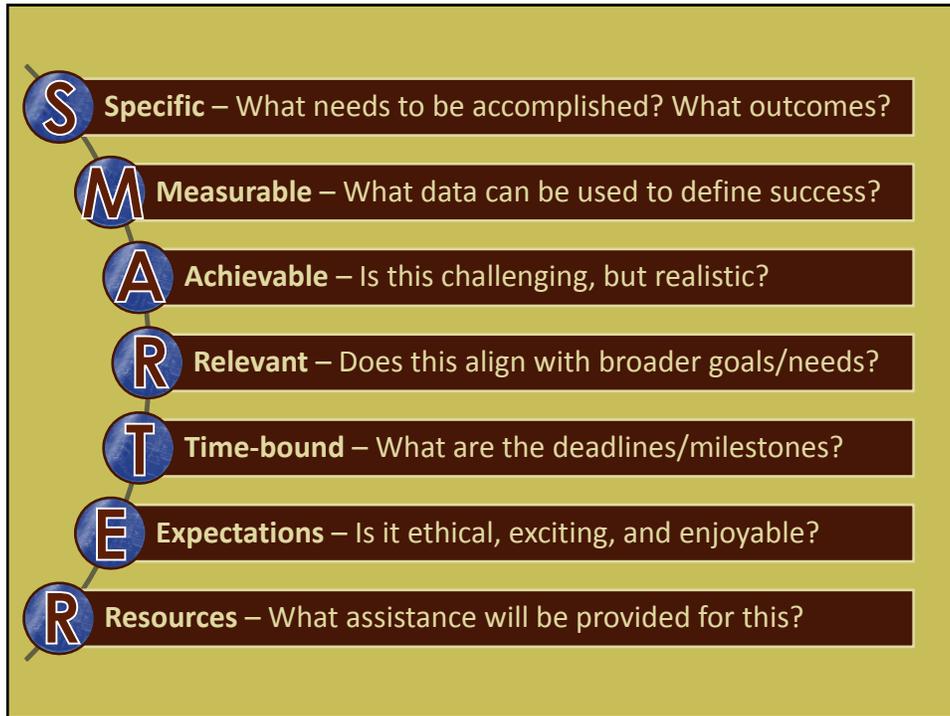
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## Individual Goals by Function

- ❖ **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: Procedurals

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❖ **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.

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## 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.

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## 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.

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## Performance Plan

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- ❖ **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
  
- ❖ **Management Calibration Sessions**
  - Set consistent expectations for institutional goals
  - Set individual goals for work units for similar positions

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## Performance Plan

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- ❖ **Talent Development Goals**
  - Job-Related
  - Career-Related
  - Service-Related
  
- ❖ **Defined by supervisor and employee**

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## Performance Monitoring

### ❖ Coaching and Feedback

- Supervisors and employees interact for feedback and additional clarification on expectations throughout cycle
- Supervisor may provide MOUs (Memos of Understanding) or CEMs (Clarification of Expectation Memos)

## Off-Cycle Reviews

- |                             |  |
|-----------------------------|--|
| ❖ <b>Interim:</b>           | ❖ Required for identified performance deficiencies |
| ❖ <b>Probationary:</b>      | ❖ Required quarterly                               |
| ❖ <b>Transfer:</b>          | ❖ Required at employee/supervisor change           |
| ❖ <b>Employee Request:</b>  | ❖ One additional review during cycle               |
| ❖ <b>Management Choice:</b> | ❖ Whenever appropriate                             |



## Performance Appraisal

### ❖ Requirements

- Must have worked for at least 6 months
- Must be employed as of March 31
- Rating scale (Not Meeting, Meeting, or Exceeding Expectations)
- Final Overall Rating (weighted scoring)
- Overall comments section

### ❖ Management Calibration Sessions

- Apply ratings consistently for institutional goals
- Apply ratings consistently for individual goals

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## Scoring

### ❖ Institutional Goal and Individual Goal 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."

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## 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
	<b>50%</b>	<b>TOTAL</b>	<b>1.30</b>		<b>50%</b>	<b>TOTAL</b>	<b>1.20</b>

**Overall Score: 1.30 + 1.20 = 2.50**  
**Meeting Expectations**

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## Recordkeeping

- ❖ **Document Retention**
  - 3 years for Annual Performance Appraisal Document and supporting documents
  - May retain longer per retention schedule or at management's discretion

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## Access to Records

- ❖ **Employee**
  - Can receive performance plan, off-cycle reviews, and annual appraisal documents upon request
- ❖ **Hiring Supervisors**
  - Can review performance management documents of current or former employees who are final candidates
- ❖ **Managers/Peer Supervisors**
  - Can review documents for calibration purposes
  - Management may share performance plans internally

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## 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

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## Appeal Rights

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- ❖ **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)

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## Next Steps

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❖ <b>Start Cycle</b>	❖ <b>April 1, 2016</b>
❖ <b>Training</b>	❖ <b>Summer/Fall 2016</b>
❖ <b>Performance Plan Due</b>	❖ <b>October 31, 2016</b>
❖ <b>End Cycle</b>	❖ <b>March 31, 2017</b>
❖ <b>Annual Appraisal Due</b>	❖ <b>May 30, 2017</b>

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# **SHRA Performance Management Training**

**Introduction to New Program  
September 2016**

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