



**WINSTON-SALEM**  
STATE UNIVERSITY

*Human Resources*

# Performance Plan Training 2018

# Agenda



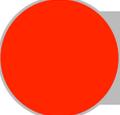
**Key Policy Changes**



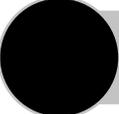
**Roles & Responsibilities**



**Timeline**



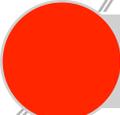
**Institutional Goals**



**Individual Goals**



**Performance Discussion**



**Scoring & Tips**

# Key Policy Changes

- Performance Cycle Work –April 1<sup>st</sup> to March 31<sup>st</sup>
- Work Plan is now Performance Plan
- Goal Setting
  - Institutional Goals
  - Individual Goals
- Career Development

# Key Policy Changes

## **Off-cycle Reviews (Can be used to meet the needs of the business)**

- Interim Reviews
- Probationary and Time-Limited Reviews (first 12 months)
- Transfer Reviews (lateral, demotion, reassignment, reclassification, or promotion within State government)
- Employee Requested Review (may request one (1) review if more than 60 calendar days)

## **Minimum Evaluation Requirement**

- Must be active as of March 31<sup>st</sup>
- Must have worked under one or more annual performance appraisal documents for at least six (6) months

# Key Policy Changes

- **Transfers or changes in Manager/Supervisor**
  - Receiving manager will complete the appraisal
  - Releasing supervisor will complete appraisal if transfer or change in manager/supervisor occurs within the last 60 calendar days of the cycle
- **Weighting**
  - Institutional Goals & Individual Goals each equal 50%
- **3-Point Scale for All Ratings**
  - Not Meeting, Meeting & Exceeding

# Key Policy Changes

- An employee who receives any rating of not meeting can not receive Exceeding Expectations
- If the employee receives both a rating of “Meeting Expectations” for the goal(s) cited in an active disciplinary action and receives a rating of “Meeting Expectations” on the final overall rating, then the disciplinary action shall become inactive.

# 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

## Second-Level Supervisor

- Review & sign all performance plans & performance reviews
- Ensure expectations/ratings applied consistently

# The 2017-2018 Timeline

Performance Cycle Dates	November to May
<p><b>Performance Planning Discussion 1</b>  <i>Transition from old tool to new tool</i>  <i>Discuss Performance Plan for upcoming transition cycle</i>  <i>Set 3-5 individual +talent development plan</i>  <i>Schedule three follow-up conversations</i></p>	November
<p><b>Performance Plan completed</b></p>	November 30, 2018
<p><b>Performance Planning Discussion 2</b>  <i>Conduct 3-month follow-up to discuss goals, assess progress and resources, and if needed, clarify or redefine expectations for remainder of cycle</i></p>	February 9, 2018
<p><b>Performance Planning Discussion 3</b>  <i>Conduct Annual Performance Appraisal</i>  <i>Discuss Performance Plan for upcoming cycle</i>  <i>Schedule 3 follow-up talent conversations</i>  <i>This will be talent conversation #1 of the 2018-2019 cycle</i></p>	April 30, 2018
<p><b>2017-2018 Annual Appraisals Due to HR</b></p>	Due May 10, 2018

# The 2018-2019 Timeline

Performance Cycle Dates	May to
<p><b>Performance Planning Discussion #1</b>  <i>Conduct Annual Performance Appraisal</i>  <i>Discuss Performance Plan for upcoming cycle</i>  <i>Schedule three follow-up talent conversations</i></p>	<p>April 30, 2018</p>
<p><b>2017-2018 Annual Appraisals Due</b></p>	<p>May 10, 2018</p>
<p><b>Performance Planning Discussion # 2</b>  <i>Conduct three-month follow-up to discuss goals, assess progress and resources, and if needed, clarify or redefine expectations for remainder of cycle</i></p>	<p>June-July</p>
<p><b>Talent Conversation #3</b>  <i>Conduct <b>required</b> six month follow-up to discuss goals assess progress and resources, and if needed, clarify or redefine expectations for remainder cycle</i></p>	<p>September-October</p>
<p><b>Interim Appraisal completed</b></p>	<p>October 31<sup>st</sup></p>
<p><b>Performance Planning Discussion #4</b>  <i>Conduct nine-month follow-up to discuss goals, assess progress and resources, and if needed, clarify or redefine expectations for remainder of the cycle</i></p>	<p>December - January</p>

# 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

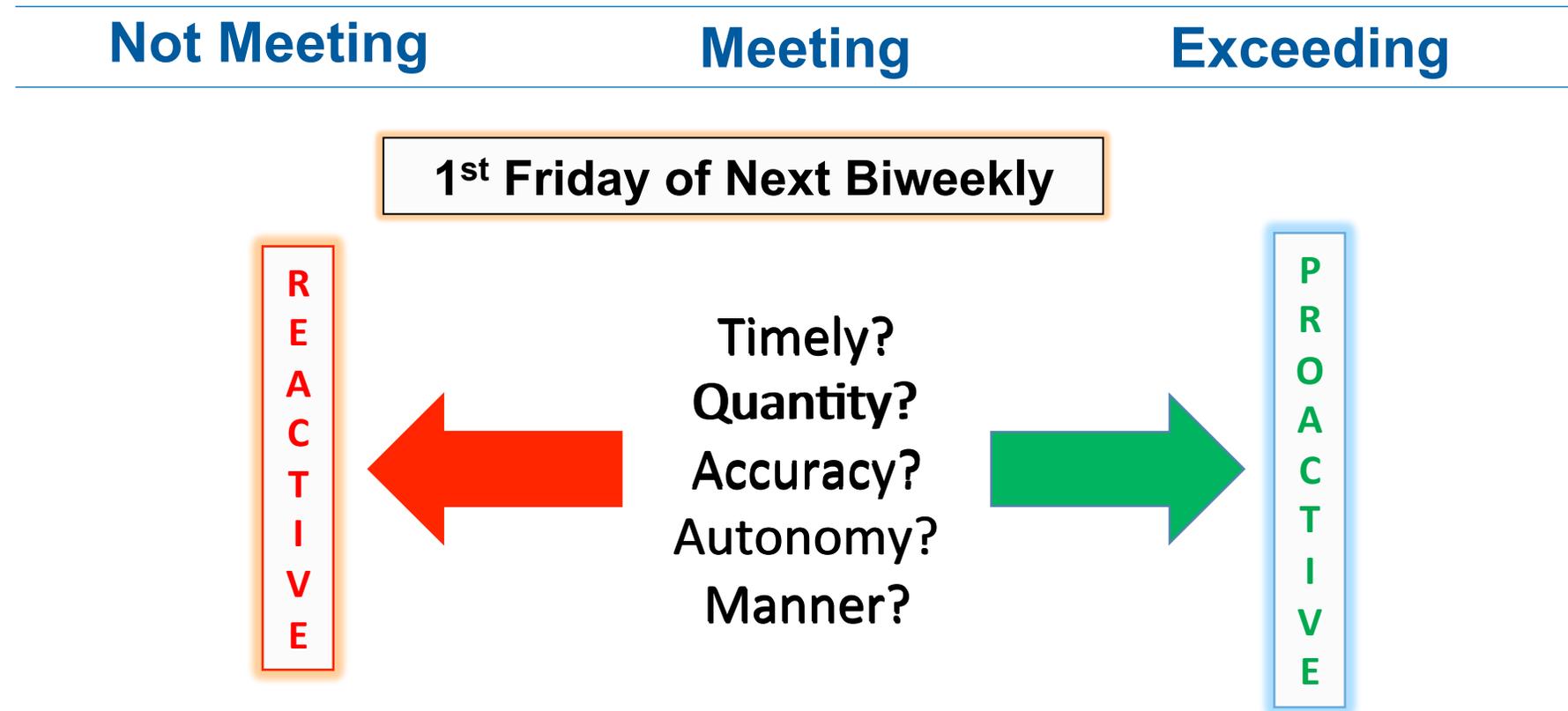
# Institutional Goals

<b>TEAM-ORIENTED</b>	<b>ENTER WEIGHT:</b>	
<p>a. <b>Collegiality:</b> Communicates and engages directly, clearly, and tactfully with colleagues.</p> <p>b. <b>Collaboration:</b> Provides feedback and healthy dialogue on performance and operational issues, as requested, willingly adapts to change, and adheres to decided actions.</p> <p>c. <b>Contribution:</b> 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.</p> <p>d. <b>Attendance:</b> Absences are infrequent and do not place an undue burden on supervisor or colleagues.</p>		

<b>TEAM-ORIENTED</b>			
	<b>NOT MEETING EXPECTATIONS</b>	<b>MEETING EXPECTATIONS</b>	<b>EXCEEDING EXPECTATIONS</b>
<b>COLLEGIALLY</b>	<ul style="list-style-type: none"> <li>• Often lacks open, honest, and tactful communication with colleagues.</li> <li>• Patronizes or disregards the ideas, beliefs, work styles, and perspectives of the team, and/or participates in gossip or cliques.</li> <li>• Provokes conflicts within the team, and/or waits for others to resolve team conflicts.</li> </ul>	<ul style="list-style-type: none"> <li>• Communicates and engages directly, clearly, and tactfully with colleagues.</li> <li>• Shows consideration and respect for the ideas, beliefs, work styles, and perspectives of the team, and refrains from participating in gossip or cliques.</li> <li>• Recognizes conflict within the team and participates positively in resolving issues.</li> </ul>	<ul style="list-style-type: none"> <li>• Embodies courteous and professional behavior among colleagues.</li> <li>• Embraces different ideas, beliefs, work styles, and perspectives in the team. Actively champions inclusivity to eliminate gossip and cliques.</li> <li>• Considered a fair and impartial arbitrator and facilitates communication to build consensus.</li> </ul>

# Expectations

Job Duty: Enter personnel actions into HR system.



# Expectations

Job Duty: Enter personnel actions into HR system.

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**Not Meeting**

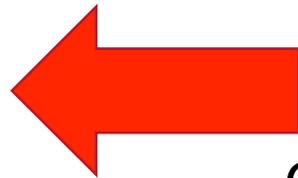
**Meeting**

**Exceeding**

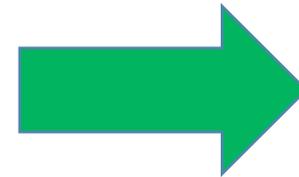
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## Institutional Goals

**R  
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V  
E**



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



**P  
R  
O  
A  
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I  
V  
E**

# “Old” SPA Way

## Position Description

- Job Duty 1

- Job Duty 2

- Job Duty 3

## Work Plan

- Accuracy
- Deadlines
- Customer Service

- Accuracy
- Deadlines

- Customer Service
- Accuracy
- Deadlines

# “New” SHRA Way

## Performance Plan

## Position Description

- Expertise

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

- Accountability

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

- Customer-Oriented

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

# Three Rules to Institutional Goals

- Each goal must be weighted at least 5%
- Total weight of the institutional goals must equal 50%
- If there was a (+/-) event that occurred, find one place to communicate the proficiency/deficiency.

# Individual Goals

- Supervisor defines 3-5 individual goals for each employee each cycle.
- Not intended to cover all aspects of employee position description (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

# Individual



# Goal Assessment

**S**=Specific

What needs to be accomplished? What outcomes?

**M**= Measurable

What data can be used to define success?

**A**= Achievable

Is this challenging but realistic?

**R**=Relevant

Does this align with broader goals/needs?

**T**=Time-bound

What are the deadlines/milestones

**E**= Expectations

Is it ethical and enjoyable? Is the energy sustainable?

**R**= Resources

What assistance will be provided for this?

# Individual



# Goal To Do's

1. Set 3-5 individual goals based on business need and strategic goals. Collaboration with the employee encouraged.

2. Each goal must be at least 5%

3. Total weight of the individual goals must equal 50%

4. Each goal must be SMARTER.

5. Focus on key results/outcomes/deliverables, not steps in the process

**Success Tip!**  
Individual Goals are not intended to cover all aspects of employee work product. Institutional Goals do that!

# 9 Ways to **Think** about **Goals**

<b>Scope- Function Matrix</b>	<b>Critical Function</b>	<b>Project Oriented</b>	<b>Forward Focus</b>
<b>Employee/Job Class</b>	✓	✓	
<b>Department/ Work Unit</b>		✓	
<b>Division</b>			✓

# Getting Started with Goals

(**VERB**) (**NOUN**) by (**DATE**) in order to (**OUTPUT**).

- Attend \_\_\_\_ and apply \_\_\_\_\_ in order to \_\_\_\_\_.
- Execute \_\_\_\_ by \_\_\_\_ in order to \_\_\_\_.
- Actively participate in two-way quarterly talent conversations by \_\_\_\_, \_\_\_\_, \_\_\_\_, and \_\_\_\_ in order to \_\_\_\_.
- Complete \_\_\_\_\_ in order for \_\_\_\_ so that \_\_\_\_\_.

# Sample Individual Goal

<b>SAMPLE GOAL -- Title:</b>	<b>Procedural Guide Projects</b>	<b>WEIGHT:</b>	<b>10%</b>
<b>Description:</b>	<p>Complete a procedural guide (generally 5-10 pages) to address at least one office process, selected from a provided list in order for colleagues 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"><li>• First guide should completed by October 31; second project by March 31</li><li>• Procedures should follow an approved format based on discussion with supervisor</li><li>• Procedures should address issues such as relevant policies, coordination with other university groups, work flows and process steps, key questions that need to be addressed, and reporting requirements, if applicable</li></ul> <p>Exceeding expectations may include explaining (in)frequent variations that may require differing approaches; reviewing past related processes to evaluate and describe consistency/appropriateness; providing suggestions for related process improvements; and/or completing additional projects</p>		

# 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.”

# 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**

# Example Rating Bias

<b>HALO BIAS</b>	Tendency to give favorable ratings due to strong performance in one or two areas.
<b>HORNS BIAS</b>	Tendency to give unfavorable ratings due to poor performance in one or two areas.
<b>PRIMACY BIAS</b>	Establishing a positive or negative opinion of an employee or their work early in the review period and allowing that to influence all later perceptions of performance.
<b>RECENCY BIAS</b>	Allowing the employee's most recent performance level to skew the opinion of the total work for the cycle.
<b>SPILOVER BIAS</b>	Continuing positive or negative ratings for an employee based on the employee's performance in previous cycles.
<b>REFRESH BIAS</b>	Ignoring patterns of positive or negative performance across cycles.
<b>LENIENCY BIAS</b>	Consistently rating employees higher than deserved.
<b>SEVERITY BIAS</b>	Consistently rating employees lower than deserved.
<b>NORMATIVE BIAS</b>	Rating employees the same and ignoring individual differences.
<b>COMPARATIVE BIAS</b>	Rating an employee in comparison to each other instead of evaluating based on their ability to meet the defined performance expectations.

# Talent Conversation Questions

## Two way frequent talent conversations with a 50/50 split on past and future

- **PAST PERFORMANCE**

- 1.What were the top 3 to 5 highest priorities of your job this past year?
- 2.What do you consider to be your greatest strengths and struggles this past year?
- 3.What do you consider to be your most noteworthy efforts and accomplishments this past year?
- 4.What environmental or other factors that impacted your job this year?

- **FUTURE FOCUSED**

- 1.What would you like to say 12 months from now that you currently cannot say?
- 2.How can your supervisor assist in furthering your career growth?
- 3.What do you feel are going to be your biggest challenges this year?
- 4.What training, development or resources do you want/need to be successful?
- 5.What would you like to accomplish this year? How can your supervisor/team help you get there?

# Talent Development Plan

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 during the cycle with the employee.

**Details:**

- Send me an email detailing the activities (seminars, online learning, coaching, consulting, conferences) you have an interest in participating in over the next performance cycle (Due November 31).
- During the off-cycle reviews (talent conversations), I would like you to share what you learned, how you plan to apply what you learned, how I can help, how it can benefit others outside your department, and what results and challenges you experienced in the application process.

# Four Things that Guarantee Failure

- Devaluing the process and demotivating employees
- Avoiding crucial conversation
- Rewarding everyone with an Exceeds Expectations
- Neglecting to genuinely welcome employees to take an active role in the process

# Five **Tips** to ensure **YOU** and **Your Team** are **SUCCESSFUL**

- Think out of the box by thinking strategically and sharing the bigger picture at the beginning of the performance cycle.
- Emphasize “Meeting Expectations” is an A. “Exceeding Expectations” is an A+
- Be able to communicate what “exceeding expectations” means and what it looks like in their role.
- Explain how to best prepare for two-way talent conversations.
- Be honest, clear and concise when setting and discussing expectations and talent development plans.

# Next Steps

- Login to <https://www.wssu.edu/administration/human-resources/talent-management/performance-management-program.html> for Performance Management materials.
- Create your work plan and have your Performance Plan review
- Make sure All Staff within your department have attended a training

# Questions?

Contact Aretha Sutton with any question or concerns 336-750-2839 or  
suttonar@wssu.edu