



Performance Management for Career-Banded Positions



Agenda

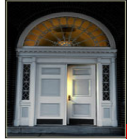
- SPA Career-Banded Work Plan & Appraisal Form
- Key Responsibilities
 - The “what”
- Competencies
 - The “how”
- Bringing It All Together
 - Ratings and Comments
- Focus Forward
- Moving Right Along

Hello, I'm Heather Boyce. I work in Employee Relations, and I'm the Performance Management Program Coordinator. Galen Jones is with me, and she's the Assistant Director of Employee Relations. We're here to tell you a little bit about performance management under the Career-Banded system. This presentation is intended to present a high-level overview of performance management for Career-Banded positions, specifically using the new SPA Career-Banded Work Plan and Appraisal form. The presentation will last approximately 15-20 minutes, and if you'll hold your questions until the end, I'll be glad to answer them at that time.

You will find it very helpful to have a copy of the SPA Career-Banded Work Plan and Appraisal Form available to refer to throughout this presentation.

We'll cover the format of the new form, and how to evaluate employees on their Key Responsibilities and Competencies. We'll also discuss various parts of the form, including the ratings and comments pages, as well as the performance improvement and career development sections. We'll discuss the new Focus Forward tool, which is designed to help you structure work planning conversations with your employees to focus on performance in the coming year. Finally, we'll cover the other training options that are available to you.

I want to thank those of you that participated in the development of this form; your input was invaluable, and served to make the form even more user-friendly.



SPA Career-Banded Work Plan & Appraisal Form

- Similar to the non-banded form, with some changes and additions
- Begin using the form within 30 days of the date the employee is assigned to a band and level
 - Implement this form within 30 days of the start of employment, transfer, promotion or change in band/level, start of each appraisal cycle

There are several new components to the form, but the look and use of it is very similar to the form for non-banded positions.

You will need to implement the form when your employees are initially banded. You'll transfer the content of their current work plan into the new form, and add the appropriate competencies for the band and level.

The same timeframes apply under banding as before—you must deliver a new work plan within 30 days of each of these events: start of initial employment, change in band or level, major change in job duties, and at the beginning of each appraisal cycle.

As I mentioned before, our time today will be spent on a broad overview of the form. For more in-depth training, please visit the Compass on the HR web page, or call Employee Relations.

Let's begin on the first page of the form, where you'll find the signature panel. You'll see that there's room here for you, your supervisor and the employee to sign and date the form at different stages of the process. We'll discuss this page a little more later on.

Also notice that the **instructions are no longer at the beginning** of the form—based on user feedback, we've moved the instruction pages to the back. You'll find detailed information there about how to use the form.



Key Responsibilities

- Key Responsibilities are developed, assigned and evaluated in the same way as before
- Supervisors provide interim and annual comments
- For the annual appraisal:
 - Each Key Responsibility will receive an annual rating (1-5)
 - Supervisors will assign a summary overall Key Responsibility rating (1-5), reflecting the employee's overall performance on all Key Responsibilities

Developing and evaluating Key Responsibilities for banded positions is very much the same as for non-banded positions. In entering the Key Responsibilities onto the form, you will still rank them in order of importance, and complete the Assigned Tasks and Expected Levels of Performance for each one.

As always, add rows as necessary to accommodate more Key Responsibilities. You should aim for 4-8 Key Responsibilities per position. If you have more than that, you may need to contact me or Galen to help you consolidate what you have into a more concise work plan.

At the interim review, you should meet with the employee and provide comments in the appropriate space on the form.

At the annual appraisal, which occurs at the end of the probationary period and at the end of the performance year, you should provide comments and assign an annual rating for each Key Responsibility. At the end of the year, you will also assign a summary overall Key Responsibility rating (1-5), which reflects the employee's performance throughout the year on all Key Responsibilities. When determining the summary overall rating, you should take into account the order of importance in which you ranked the Key Responsibilities.



Competencies

- Individual competencies are *assigned* according to the employee's band and level
 - The supervisor determines the employee's overall *assigned* level at the work planning stage (contributing, journey or advanced)
- The supervisor determines the level at which the employee is *actually* performing (C, J or A) at the interim review and annual appraisal
- As with Key Responsibilities, supervisors provide interim and annual comments

The Competencies section of the Career-Banded Work Plan and Appraisal Form is new. When completing the work plan, the first step you need to take is to indicate the employee's overall assigned Competency level at the top of the page. Insert the employee's Competencies from the appropriate band and level. The competency profile will list the appropriate competencies.

Be sure to list the Competencies on the form in priority order. Then, for each Competency, insert the description and the employee's assigned level—Contributing, Journey or Advanced. All individual competency level assignments default to match the overall assigned level. For example, if you have an employee whose overall level is Journey, all of his or her individual Competencies will default to the Journey level as well. If you feel that a particular Competency should be leveled differently, you must complete a Competency Assessment form to document the change.

During the interim review and annual appraisal, you will determine the level at which the employee is actually performing. For example, you may have assigned a particular Competency to be at the Journey level, but the employee is actually performing at the Contributing level. At both the interim and annual review, you must indicate on the form the level at which the employee is actually performing.

In addition, you must provide comments that are reflective of the employee's performance, both at the interim and the annual.



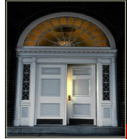
Competencies, cont'd

- At the annual appraisal:
 - Each Competency receives an annual rating (1-5)
 - Supervisors assign a summary overall...
 - Competency rating (1-5), reflecting the employee's overall performance on all Competencies
 - Competency level (C, J or A), reflecting the employee's *actual* level of performance on all Competencies

As with the Key Responsibilities, each Competency should be assigned a rating (1-5) during the annual appraisal. After each Competency has been rated, you must assign a summary overall Competency rating (1-5), which reflects the employee's performance throughout the year on all the assigned Competencies. You should take into account the order in which you ranked the Competencies when determining the summary overall rating.

In addition, you must provide a summary overall Competency level (C, J or A) for the year that reflects the employee's actual level of performance on all Competencies.

For example, if you assigned an employee to an overall level of Advanced, but throughout the year you determine that the employee has only performed at the Journey level, you would indicate Journey as the Summary Annual Competency Level.



Methods of Evaluation

- All contained within one page
- Determine how employees will be evaluated and check the appropriate boxes
- Important to let employees know what methods will be used to evaluate them
- Add additional methods of evaluation as necessary

A change to the form that has been received very positively is moving the methods of evaluation all to one page.

Rather than selecting several methods of evaluation for each Key Responsibility and Competency, now you just have to indicate in one central place the different methods you will use for all Key Responsibilities and Competencies, for the entire year. Simply check the boxes that apply.

If you need to add another, more specific method of evaluation, feel free to insert it into the space provided for you.



Bringing It All Together

- Overall annual competency level and ratings are on one page
 - Transfer the overall Key Responsibility rating into the appropriate space
 - Transfer the overall Competency rating into the appropriate space
 - Weight both ratings equally to determine the final overall annual rating, and check the appropriate box
 - Copy the summary annual competency level into the appropriate space

At appraisal time, once you have completed the Key Responsibilities and Competencies sections, move on to the Overall Comments and Results page. As always, there is space here for you and the employee to provide overall comments, both at the interim review and the annual appraisal.

At the bottom of the page you'll see the section for Overall Annual Level and Ratings. Transfer the following information from earlier in the form to the appropriate spaces at the bottom of the page:

Summary Overall Key Responsibility Rating

Summary Overall Competency Rating

Summary Annual Competency Level

In order to determine the final overall annual rating, weight the overall Key Responsibility rating and the overall Competency rating equally, and check the appropriate box to the right.

Be sure that you and the employee both initial the ratings page once the appraisal has been delivered.

*As a side note: When you open the form in Microsoft Word, you will be asked if you want to enable macros. If you say yes, you'll be able to click in the checkboxes to select them. If you say no, you'll have to check off the boxes by hand.



Bringing It All Together, cont'd

- Performance improvement plans
 - Required for any Key Responsibility or Competency that falls below a “Good” (3) rating or fails to meet documented expectations at any time

- Career development plans
 - Document voluntary training or activities (classes, certification training, licensing, mentoring programs) that will enhance the employee’s ability to do his or her job more effectively or broaden his or her skill set

- Remember: Signatures page!
 - Located on the front page of the document
 - Ensure that your supervisor signs before you present to the employee

I’d like to remind you about several other areas of the form that will look familiar. The Improvement and Development page contains space to record any required Performance Improvement plans, or voluntary developmental goals for the employee.

Performance Improvement Plans are required for any Key Responsibility or Competency that falls below a “Good,” or “3” rating, or any time you determine the the employee’s performance is not meeting expectations. Make use of this section of the work plan if your employee is failing to meet performance expectations.

Career Development Plans, however, are voluntary, and are designed to help employees enhance their skills, learn new techniques and information, and further advance their careers. Actively engage your employees to get their input on how they would like to structure their Development Plans.

Finally, the front page of the form serves as the signature page. You should be sure to have your supervisor review and sign the form prior to presenting it to the employee. Once the completed form has been reviewed with the employee, make sure he or she signs the front page. If the employee refuses to sign, simply note (with your supervisor as a witness), that the employee refused to sign.



Focus Forward

- An optional planning tool for the coming year
 - Designed to help you engage in a targeted discussion with employees about where their time/resources should be focused in the upcoming performance cycle
- Plot Key Responsibilities and Competencies on the graph
 - Plot according to current rating and level of importance for the upcoming year
 - This provides a visual perspective on what work will be most important for next year, and where the employee should focus or refocus efforts

The Focus Forward tool is optional, and is designed to help your employees manage their performance for the coming year. Just as it's important to tell employees how they've done in the past year, it's also meaningful to give them direction and guidance for the coming year.

The tool is designed as a graph, and you can plot Key Responsibilities and Competencies on the graph according to two dimensions: Current rating on the bottom, and level of importance for the upcoming year on the side.

There are four sections in the graph:

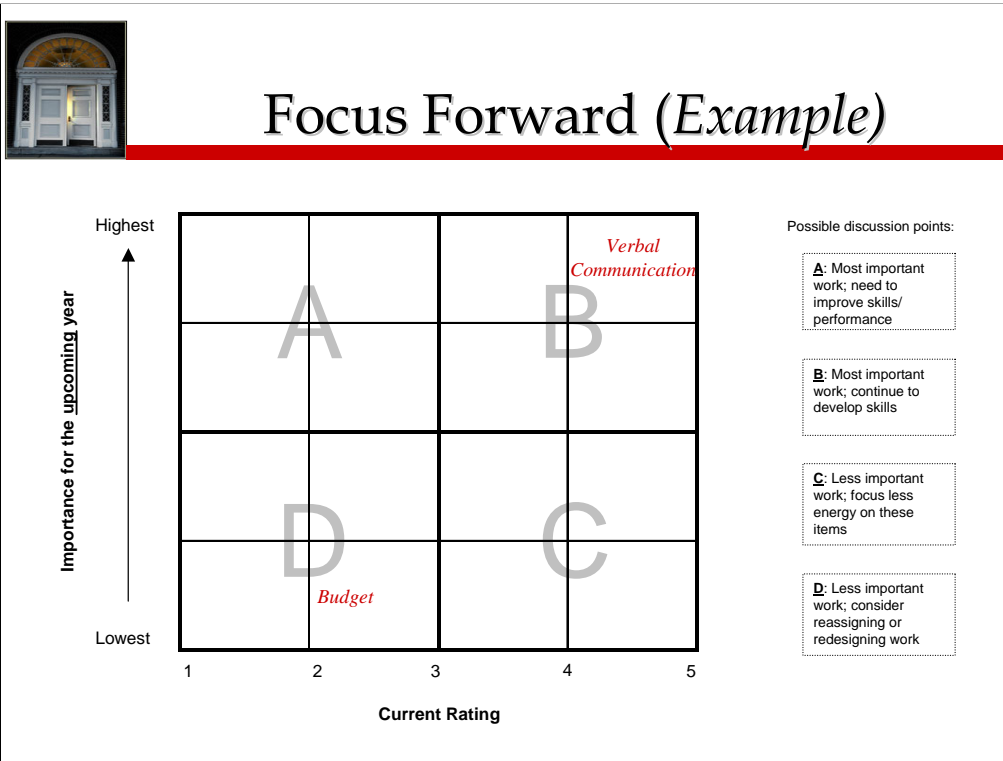
A: (Low current rating, very important for next year) Most important work; need to improve skills/performance

B: (High current rating, very important for next year) Most important work; continue to develop skills

C: (High current rating, not as important for next year) Less important work; focus less energy on these items

D: (Low current rating, not as important for next year) Less important work; consider reassigning or redesigning work

You can structure the conversations with your employees based on where the majority of their Key Responsibilities and Competencies fall on the graph. This ties in with work planning for the coming year. The Focus Forward tool and discussion will give them a framework for your expectations in the coming year.



For example, this employee did a really good job on her assigned competency of Verbal Communication this year. The supervisor gave her a rating of 5 (Outstanding).

Next year, Verbal Communication is going to be even more important, because she's going to be assigned to facilitate all the departmental training classes.

So you can see that she got a high current rating for Verbal Communication, and it's very important for next year. Verbal Communication goes in the B section: Most important work; continue to develop skills.

On the other hand, this employee didn't do a great job on her Key Responsibility for departmental budgeting. Her supervisor rated her low, at a 2 (Below Good).

However, next year the department plans to create a new position that is solely responsible for the budget, and our employee won't be responsible for it then.

So you can see that she got a low current rating for budgeting, and it's not going to be important for her at all next year. Budgeting goes in the D section: Less important work; consider reassigning or redesigning work.



Moving Right Along

- Employee Relations will offer open enrollment courses through Training & Organizational Development
 - Classes will focus on work planning with the new form
 - Detailed information and examples
 - Beginning in August or September and continuing through the fall
- Custom support is always available through Employee Relations

In-depth training on work planning with the new form will be available to be scheduled soon through Training & Organizational Development. The classes are approximately 2 to 3 hours in length, and cover detailed information on writing work plans and effectively evaluating Key Responsibilities and Competencies.

All supervisors and employees may sign up for and attend the training.

Remember—if you think your department would benefit from custom or in-depth training, please contact Employee Relations for support.



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If you have specific questions about performance management or the new Career-Banded Work Plan and Appraisal form, if you'd like to meet one-on-one to discuss the new form, or if you'd like to schedule custom training for your department, please feel free to contact Employee Relations.

Heather Boyce is the Performance Management program coordinator, and you can reach her by calling 513-0700, or by emailing her at heather_boyce@ncsu.edu.

Galen Jones is the Assistant Director of Employee Relations, and you can reach her by calling 515-4300 or by emailing her at galen_jones@ncsu.edu.



Questions?

Please feel free to ask me any questions you may have about Performance Management, and then my co-presenters will join me for general questions.