



North Carolina Department of Administration

PERFORMANCE MANAGEMENT SYSTEM

POLICY STATEMENT - Annual performance appraisals are required for all Department of Administration employees. Performance expectations are to be developed at the beginning of the appraisal cycle. New employees are required to have a work plan established within 30 days of the date they are hired. The form must be completed by the supervisor and employee in accordance with the guidelines outlined in the performance management system policy.

Last Name, First Name:	Social Security Number:	Position Classification Title:
Division:	Section:	Supervisor:

Status: <input type="checkbox"/> Probationary <input type="checkbox"/> Trainee <input type="checkbox"/> Permanent <input type="checkbox"/> Career	Number of months employee worked during cycle: _____	Dates of Performance Management Cycle: April 1, 2002 -- March 31, 2003
	Purpose of Appraisal: <input type="checkbox"/> Probationary <input type="checkbox"/> Transfer/Separation	Date Work Plan Established: 8/20/02
	<input type="checkbox"/> Final <input type="checkbox"/> Change in Supervisor	Date Interim Review(s) Conducted: _____
		Date Final Appraisal Conducted: _____

Performance Management Work Plan

Page ____ of ____ pages

KEY RESPONSIBILITIES/RESULTS

Key Responsibilities/ Results (In Priority Order)	Results Expectations	Tracking Source/ Frequency	Actual Results/Comments	Rating

We concur with the Work Plan as outlined above and agree that for this position, the combined KR/R rating will constitute _____ % of the total rating.

_____ | _____ | _____ | _____
 Employee's Initials Date Supervisor's Initials Date Manager's Initials Date

(To be signed upon completion of the work plan at the beginning of the work cycle. Results expectations are written at the "good" level.)

Performance Management System

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DIMENSIONS

Dimensions/ Behaviors	Behavioral Expectations	Tracking Source/ Frequency	Actual Behaviors	Rating

We concur with the Work Plan as outlined above and agree that for this position, the combined KR/R rating will constitute _____ % of the total rating.

_____ | _____ | _____ | _____
 Employee's Initials Date Supervisor's Initials Date Manager's Initials Date

(To be signed upon completion of the work plan at the beginning of the work cycle. Results expectations are written at the "good" level.)

DEVELOPMENT PLAN

Development planning is a means of analyzing an employee's strengths or weaknesses in order to determine actions, which can sustain or improve performance. A development plan must be established for all employees at the beginning of the work cycle. Development plans must also be completed for employees during the probationary period and at the time of the interim review if a need is identified for additional improvement or training. Areas needing additional training, education, or resources/assistance are identified and addressed.

A. Knowledge, skills, and abilities requiring strengthening:

B. Training/education action plan:

INTERIM PERFORMANCE REVIEW

A. Interim Summary (Required) Summarize the employee's overall job performance to date on the Results Expectations and Behavioral Expectations outlined in the Work Plan.

B. Interim Improvement Plan (Required if the employee is performing below the "good" level on any given situation within a Key Responsibility/Result or Dimension. Supervisor's comments need to be specific so that it is clear what progress has been made to date and what specific changes the employee will need to make to bring his or her performance up to the "good performance" level.)

**KR/R or Dimension and
Corresponding Expectations**

**Performance to Date
and Reasons**

Plan for Corrective Action

Supervisor's signature

Date

Employee's signature

Date

Manager's signature

Date

OVERALL PERFORMANCE RATING

Determination of Overall Summary Rating: (A) Transfer the rating (O, VG, G, BG, U) for each Key Responsibility/Result and Dimension to the chart below. (B) Record the appropriate combined KR/R rating and combined Dimension rating. (C) Use these two (2) combined ratings to determine the overall rating. Any inconsistencies must be justified in the Narrative Summary.

A. KR/R RATINGS

KR/R #1 _____
 KR/R #2 _____
 KR/R #3 _____
 KR/R #4 _____
 KR/R #5 _____
 KR/R #6 _____

DIMENSION RATINGS

D #1 _____ D #6 _____
 D #2 _____ D #7 _____
 D #3 _____ D #8 _____
 D #4 _____ D #9 _____
 D #5 _____ D #10 _____

C. OVERALL RATING

- OUTSTANDING PERFORMANCE
- VERY GOOD PERFORMANCE
- GOOD PERFORMANCE
- BELOW GOOD PERFORMANCE
- UNSATISFACTORY PERFORMANCE

B. Combined
 KR/R Rating: _____

Combined Dimension
 Rating: _____

Narrative Summary (Required)

Summarize employee's overall job performance based on the actual performance for each Key Responsibility/Result and Dimension on the Work Plan.

Supervisor's Comments:

Employee's Comments:

Employee's signature does not indicate agreement with the performance rating. Should you disagree with your overall performance rating, you may appeal the rating by notifying your supervisor in writing (complete the Notification of Appeal form) within 15 calendar days of reviewing and signing, or being asked to sign, the completed appraisal. Management should present a copy of the PMS Dispute Policy to you. If not, please contact the HRM Office.

 Supervisor's signature Date

 Manager's signature Date

 Employee's signature Date

INSTRUCTIONS

1. **To begin the work planning cycle, develop the Work Plan.**
 - a. Develop the **Key Responsibilities/Results (KR/R's) and Dimensions** on the forms and number in priority order.
 - b. Develop the **Results/Expectations and Behavioral Expectations** (including **Tracking Source** and planned **Frequency** of review for each KR/R and Dimension
 - c. Complete the **Development Plan**, updating it during the work cycle as needed.

2. **At the midpoint of the work cycle, complete the Interim Review.** Establish an **Improvement Plan** for any expectation where performance is below the "good" level. Additional Interim Reviews, although optional, are encouraged and may be conducted at any point during the cycle.

3. **At the end of the work cycle, complete the Overall Performance Appraisal.**
 - a. Complete the Actual Results and Actual Behaviors Comments column on each page of the Work Plan and rate performance on each KR/R and Dimension according to the rating scale below.
 - b. Transfer the ratings for each individual KR/R and Dimension to the section where the Overall Summary Rating is determined.
 - c. Follow the instructions for **Determination of Overall Summary Rating** and complete the **Narrative Summary**. If the Overall Summary Rating is not consistent with the Combined KR/R and Combined Dimension ratings, an explanation must be provided in the Narrative Summary.

GENERAL REMINDERS

1. All components of the Work Plan, Development Plan, Interim Review, and Final Appraisal may be entered by computer, typed, or written in ink. The only exception is that the employee's, supervisor's, and manager's initials and signatures with corresponding dates must be written in ink only.

2. The employee must be given a copy of his/her Work Plan, Interim Review, and Overall Performance Rating.

3. Any changes made to the Work Plan, Interim Review, and Overall Performance Rating must be initialed and dated by the employee, supervisor, and manager.

NORTH CAROLINA RATING SCALE

Outstanding Performance (O)	Performance is far above the defined job expectations. The employee consistently does outstanding work, regularly going far beyond what is expected of employees in this job. Performance that exceeds expectations is due to the effort and skills of the employee. Any performance not consistently exceeding expectations is minor or due to events not under the control of the employee.
Very Good Performance (VG)	Performance meets the defined job expectations and, in many instances, exceeds job expectations. The employee generally is doing a very good job. Performance that exceeds expectations is due to the effort and skills of the employee.
Good Performance (G)	Performance meets the defined job expectations. The employee generally performs according to the expectations doing a good job. The employee is doing a job at the level expected for employee in this position. The good performance is due to the employee's own effort and skills.
Below Good Performance (BG)	Performance may meet some of the job expectations but does not fully meet the remainder. The employee generally is doing the job at a minimal level, and improvement is needed to fully meet the expectations. Performance is less than a good job. Lapses in performance are due to the employee's lack of effort or skills.
Unsatisfactory Performance (U)	Performance generally fails to meet the defined expectations or requires frequent close supervision and /or the redoing of work. The employee is not doing the job at the level expected for employees in this position. Unsuccessful job performance is due to the employee's own lack of effort or skills.