



**UNIVERSITY SHRA EMPLOYEE
ANNUAL PERFORMANCE APPRAISAL PROGRAM**

**SAMPLE
BUSINESS SERVICES
COORDINATOR
(JOURNEY)**

ANNUAL APPRAISAL FORM

BUSINESS SERVICES COORDINATOR (JOURNEY)

College of Numeric & Natural Sciences (CNNS) – Department of Chemical Engineering

The Chemical Engineering Department has 40 faculty, 50 staff, 250 graduate students, 50 postdoctoral research associates, and over 500 undergraduate majors with annual expenditures exceeding \$20 million. The faculty are research active and provide supervision of post-doc, graduate, and undergraduate research. The department receives research funding from both private and federal agencies, such as NSF, NIH, Army, Navy, and DOE, and maintains research partnerships with other UNC units and other colleges/universities world-wide.

The primary purpose of this position is to provide management and planning for all proposal-related activities in the department, working directly with faculty and related researchers to submit proposals, manage awarded grant accounts, and provide training and resources on grant-related topics. This position also provides broader administrative support to a number of faculty.

1	35%	<p>PROPOSAL DEVELOPMENT</p> <ul style="list-style-type: none"> • Prepares budget for proposals and related University forms and/or reviews those already prepared, including overhead/fringe calculations, appropriate salary/positions, equipment, etc. • Prepares proposal components, including creating/editing cover page, table of contents, biographical sketches, bibliography, etc. • Coordinates routing of proposals through Department/School/College/Research for signature approval and submission. • Maintains knowledge of electronic submission procedures for various funding agencies (DOE, NSF, NIH, etc.) to assist faculty with submissions. • Serves as primary department contact with IRB and Office of Sponsored Research. • Monitors timelines and keeps faculty aware of relevant deadlines.
2	35%	<p>GRANT MANAGEMENT</p> <ul style="list-style-type: none"> • Performs all financial transactions for assigned grants, working closely with PIs, OSR, and multi-institutional or multi-department research partners throughout the grant cycle. • Monitors spending on grants (FMBO, summary statements, P card statement reconciliation, MMD statements, travel accounting, cost-sharing, etc.) and prepares and track “spend down” plans for ending grants and/or completes no-cost extensions as needed. • Completes grant close-out transactions and reporting.
3	15%	<p>FACULTY ADMINISTRATIVE SUPPORT</p> <ul style="list-style-type: none"> • Provides general administrative support to assigned faculty, including (non-grant) travel accounting, P-card transactions, supply orders, mailings, calendar and scheduling, etc.
4	10%	<p>GRANT TRAINING & RESOURCES</p> <ul style="list-style-type: none"> • Creates, maintains, and updates Department’s Proposal Procedure Guide, in consultation with OSR and the Faculty Support Manager. • Creates, maintains, and updates templates for Department equipment proposals for use by research faculty and support staff. • Creates, maintains, and updates templates for Department fellowship proposals for use by research faculty and support staff. • Maintains the Department’s intranet resources website. • Provides training (department and individual) on grants processes.
5	5%	<p>ADDITIONAL DUTIES</p> <ul style="list-style-type: none"> • May include, but not limited, to: intermittent classroom support for faculty (material preparation, etc.); back-up for, or training of, other administrative staff; coordinating IT service requests on behalf of faculty; and similar administrative duties.

University SHRA Annual Performance Appraisal Form

ANNUAL PERFORMANCE APPRAISAL CYCLE <i>(Dates From/To):</i>		04-01-2016	to	03-31-2017
Dept. Name:	Chemical Engineering	Employee Name:	Renee Rogers	
Dept. #:	162113	Employee ID:	1234-56789	Position #: 9999000
Supervisor Name:	Chase Chatterly	Employee Classification:	Business Services Coordinator	
Supervisor Title:	Department Manager	Competency Level:	Journey	

PART 1: PERFORMANCE PLAN (see instructions on page 2)

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| <ul style="list-style-type: none"> Review the Institutional Goals with the employee. Define the Individual Goals for the employee (no less than 3, no more than 5). Provide Talent Development Goals, as needed. | <ul style="list-style-type: none"> Indicate below the Weight of each goal toward the Final Overall Rating. Each goal must be at least 5%. The total weight of the Institutional Goals must equal 50%. The total weight of the Individual Goals must equal 50%. |
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Type of Plan:	Initial Performance Plan:	X	Revised Plan during Performance Cycle:
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PART 2: INSTITUTIONAL GOALS (see instructions on page 2)

Review the institutional goals with each employee. Discuss these goals in relationship to the duties on the employee's position description. Provide additional clarification of specific expectations as needed. Weight each goal.

EXPERTISE	ENTER WEIGHT:	10%
<ul style="list-style-type: none"> a. Precision: Produces work that is accurate, thorough, and demonstrates sufficient analysis and decision-making to meet the requirements of the employee's position and profession. b. Resourcing: Makes efficient and appropriate use of materials and documents work appropriately. c. Innovation: Looks for ways to improve efficiency or quality. d. Development: Maintains technical skills and relevant professional credentials. 		
ACCOUNTABILITY	ENTER WEIGHT:	10%
<ul style="list-style-type: none"> a. Productivity: Completes required volume of work by established deadlines and stays productive throughout workday. b. Autonomy: Generally completes work with few reminders and/or infrequent oversight. c. Prioritizing: Takes sufficient/appropriate measures to plan and organize work, prioritize tasks, and set realistic goals. d. Coordination: Seeks needed information to complete work and timely communicates status with relevant parties. 		
CUSTOMER-ORIENTED	ENTER WEIGHT:	5%
<ul style="list-style-type: none"> a. Clarity: Listens to determine the most effective way to address customer needs and concerns. b. Awareness: Shows a solid understanding of customer needs, seeks out customer input to better understand needs, and develops ideas to meet those needs. c. Attentiveness: Follows through on commitments, despite time pressures or obstacles, and maintains relevant communication with customers until job is completed. d. Diplomacy: Maintains a professional and respectful tone and exhibits diplomacy when dealing with frustrated individuals or during sensitive or confrontational situations. 		

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TEAM-ORIENTED	ENTER WEIGHT:	5%
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- a. **Collegiality:** Communicates and engages directly, clearly, and tactfully with colleagues.
- b. **Collaboration:** Provides feedback and healthy dialogue on performance and operational issues, as requested, willingly adapts to change, and adheres to decided actions.
- c. **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.
- d. **Attendance:** Absences are infrequent and do not place an undue burden on supervisor or colleagues.

COMPLIANCE & INTEGRITY	ENTER WEIGHT:	10%
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- a. **Policy:** Complies with personnel and equal opportunity policies, including prohibitions on harassment, discrimination, and workplace violence, and all other policies, including appropriate use of university resources.
- b. **Safety:** Complies with all safety requirements for the position, including successful completion of training and proper use of personal protective equipment.
- c. **Ethics:** Chooses ethical actions, even under pressure, avoids situations considered inappropriate or that present a conflict of interest, holds self and others accountable for ethical decisions.
- d. **Respect:** Appreciates individual and cultural differences and treats all people with dignity and respect.

SUPERVISION <i>(for supervisors only)</i>	ENTER WEIGHT:	10%
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- a. **Oversight:** Provides adequate stewardship of assigned resources, including budget, space, equipment, and staffing.
- b. **Goal-Setting:** Provides clear objectives that foster work unit development and align with University values and goals.
- c. **Managing Talent:** Provides candid, timely, and constructive feedback on performance and behavior, hires individuals with the qualities and skillsets for success, and contributes to meeting University's EO and affirmative action goals.
- d. **Leading:** Serves as role model and engenders trust, commitment, and civility.

PART 3: INDIVIDUAL GOALS	<i>(see instructions on page 2)</i>
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Set 3 to 5 individual goals for each employee based on key business needs and strategic goals. Weight each goal.

GOAL #1 -- Title:	UNIVERSOLVE PHASED IMPLEMENTATION	ENTER WEIGHT:	20%
Description:	<p>Achieve proficiency in the Universolve ERP prior to the end of the fiscal year so that personnel and financial transactions can be completed efficiently, accurately, and independently for our department's employees.</p> <ul style="list-style-type: none"> • Meet the training milestones set by central HR/Payroll/Finance and by the Universolve Terms of Use policy. Use available web-based and written documentation as needed in day-to-day transactions. • Adhere to the new procedures and deadlines established with the new system and the College's revised processing requirements. 		

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	<ul style="list-style-type: none"> Ensure new and legacy records are organized and maintained consistently and clearly so they are readily accessible and understandable for use by self and others. <p>Exceeding expectations may include serving as a regular resource to other department staff in learning the system, converting and organizing legacy records in an accessible electronic format, and developing a variety of new, standing, customized reports to meet unique department needs.</p>
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GOAL #2 -- Title:	CNNS SPONSORED RESEARCH COMMITTEE	ENTER WEIGHT:	20%
Description:	<p>Represent the Department on the Dean's CNNS Sponsored Research Committee (October 2016 through February 2017) to ensure the Department's research needs and concerns are clearly voiced and to advocate for additional resources and less administrivia from the College so that our department can meet its research goals.</p> <ul style="list-style-type: none"> Prior to the first meeting, meet with a majority of the research staff and faculty to identify major priorities and concerns. Compile and prioritize the list to present at the September 2016 all-hands meeting for additional comments and buy-in from the department. Report-out to the exec committee each month. Minutes from the research committee meetings and your report-outs should show your active involvement in raising our priorities. Attending these biweekly meetings and performing related tasks is a priority above other assignments. You must coordinate your work appropriately and keep me informed if there are any potential conflicts in time or critical duties. Exceeding expectations may include additional legwork outside the normal committee activities to advocate successfully for department needs, achieving significant improvements to our grant management processes through the Committee, or recognition by peers and the College as a leader and wise proponent of College progress in this area. 		

GOAL #3 -- Title:	TRAIN BACK-UP GRANT TRAINER	ENTER WEIGHT:	10%
Description:	<p>Train Gloria Gleeson to be your primary back-up grant trainer so that we have two strong internal resources on grant management and have greater flexibility in providing regular and ad hoc up-to-date training to our research staff and faculty.</p> <ul style="list-style-type: none"> By October 2016, Gloria should have completed the requisite campus training for grant managers. You should discuss the content of each class with her within two days of her completing the class to determine her retention/understanding and adjust training accordingly. By November 2016, Gloria should be able to revise and update content for the proposal resource website adhering to the same format and notification expectations you use. By December 2016, Gloria should have completed at least two "test drive" presentations with me and a small number of faculty. The second presentation must show any identified improvements determined from the first presentation. 		

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	<ul style="list-style-type: none"> By February 2017, Gloria should be able to function independently and capably in these duties so that she can conduct at least half of the department trainings scheduled for this spring with at least a 4.0/5.0 overall rating from participants. Exceeding expectations may include a significantly earlier completion date or significant advancements in our research training materials resulting from the training process.
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GOAL #4 -- Title:	n/a	ENTER WEIGHT:	
Description:			

GOAL #5 -- Title:	n/a	ENTER WEIGHT:	
Description:			

PART 4: TALENT DEVELOPMENT PLAN	<i>(see instructions on page 2)</i>
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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 with the employee.

Because you have expressed interest in taking on supervisory responsibilities in the future, I would like you to complete at least two supervisory/management and/or HR Policy training programs during this performance cycle that are offered through the Human Resources office. If possible, these should be scheduled between December and March to avoid conflicts with peak work cycles.

PART 5: SIGNATURES FOR PERFORMANCE PLAN	<i>(see instructions on page 2)</i>
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2nd – Level Supervisor:		Date:	
Supervisor:		Date:	
Date of Review Session with Employee:			
Employee Acknowledgement: I acknowledge that I have received this performance plan and that if I choose, I may write additional comments to include with this document.			(Check this box if you are attaching comments.)
Employee:		Date:	

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PART 6: OFF-CYCLE REVIEWS	(see instructions on page 2)
Document all off-cycle reviews completed during the performance cycle.	

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
Comments:					

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
Comments:					

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
Comments:					

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

#	INSTITUTIONAL GOALS <small>(see descriptions in performance plan)</small>	Weight	x	Rating	=	Score
1	Expertise	10%	x	3	=	0.30
2	Accountability	10%	x	3	=	0.30
3	Customer-Oriented	10%	x	2	=	0.20
4	Team-Oriented	10%	x	3	=	0.30
5	Compliance & Integrity	10%	x	2	=	0.20
6	Supervision <i>(if applicable)</i>	-	x	-	=	-

#	INDIVIDUAL GOALS <small>(title only from performance plan)</small>	Weight	x	Rating	=	Score
1	Universolve Phased Implementation	20%	x	3	=	0.60
2	CNNS Research Committee	20%	x	3	=	0.60
3	Train Back-up Grant Trainer	10%	x	2	=	0.20
4	n/a	-	x	-	=	-
5	n/a	-	x	-	=	-

FINAL OVERALL RATING <small>(mark the appropriate rating based on total score)</small>	TOTAL SCORE	=	2.7
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 YES , then the final overall rating <u>cannot</u> equal Exceeding Expectations, regardless of the total score.		YES	
		NO	N
NOT MEETING EXPECTATIONS		MEETING EXPECTATIONS	
		EXCEEDING EXPECTATIONS	X

OR: Employee was not evaluated due to ...	Insufficient Time	On Extended Leave
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PART 8: SUPERVISOR COMMENTS ON EMPLOYEE'S PERFORMANCE

Goal #1: Renee has transitioned easily to the new ERP and has been invaluable in helping others learn to navigate the system. Her biweekly "tips" emails to faculty and staff greatly assisted in making the transition elements easier for all.

Goal #2: Renee did well training Gloria this spring as her back-up for training and research resources, and Gloria has reported to me that Renee was very helpful (and patient with her!) as she learned the new processes.

Goal #3: Renee did exceptional work on the CNNS Sponsored Research Committee. She not only provided significant input on process improvements and current challenges in research administration, but she also took the initiative as a leader in the group to set up goals and timelines for the committee and shepherded the committee's work. The Committee Chair reported that she could not have gotten so much accomplished if it weren't for Renee's keen organizational skills and process knowledge keeping things moving forward effectively. Her work also resulted in the removal of several unnecessary College approval processes/forms and the development of a College-wide "scorecard" report on grant activity that will be incredibly useful to all of the departments in the College.

Our department as a whole benefits greatly from Renee's process management prowess. She runs a well-oiled machine but is patient with her teammates who may be less organized (including me). This has translated into Renee being keely aware of workload imbalances within the team, and she provided several great solutions to make our workflows more efficient, particularly in revising the routing templates that the faculty find much easier to use and that cause less disruption for the administrative staff. Renee has been excellent at trying to find ways for work to be accomplished more easily for everyone.

I would like to see Renee work on finding new techniques for building relationships with the research faculty in order to communicate more effectively and efficiently with them, particularly since the faculty have a wide range of personal working and communication styles. I'd like Renee to find more effective ways to adapt her communication to fit their styles so that communication is clear and helpful.

PART 9: SIGNATURES FOR ANNUAL PERFORMANCE APPRAISAL

2nd – Level Supervisor:		Date:	
Supervisor:		Date:	
Date of Annual Performance Appraisal Review Session with Employee:			
Employee Acknowledgement: 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.)
Employee:		Date:	

PART 10: APPEAL RIGHTS

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