PERFORMANCE MANAGEMENT

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TOPICS

• Introduction
• What is new since last year?
• Performance Cycles
• SHRA Performance Appraisals & Management
• EHRA Non-Faculty Performance Evaluations & Management
• Helpful Resources
INTRODUCTION

• The University’s performance management program provides a mechanism for communicating performance responsibilities and evaluating achievements
  • It is designed to help the employee succeed
  • Provides clarity on job duties and performance expectations
  • Provides clarity on dynamics of working relationships

• All permanent University staff (SHRA and EHRA Non-Faculty) are evaluated annually on their performance

• Performance appraisal information is one consideration in making other personnel decisions such as promotions, disciplinary actions, layoff determinations and salary increases. Therefore, proper implementation of the performance management system is essential in the effective application of personnel policies.
For the 2018-2019 performance cycle for EHRA Non-Faculty employees, supervisors are required to use the EHRA Non-Faculty Performance Appraisal Form.

For the 2019-2020 performance cycle for EHRA Non-Faculty employees, supervisors are required to complete the EHRA Non-Faculty Annual Performance Goals Form.
SHRA Performance Cycle: April 1<sup>st</sup> – March 31<sup>st</sup>

EHRA Non-Faculty Performance Cycle: July 1<sup>st</sup> – June 30<sup>th</sup>
**2018-2019 SHRA PERFORMANCE CYCLE TIMELINE**

**April 1, 2018:**
2018-19 Performance Cycle begins

**March 31, 2019:**
2018-19 Performance Cycle ends

**Beginning in March:**
Supervisors should begin creating the Performance Plan for 2018-19

**April 1 – May 30:**
Deliver the 2018-19 Performance Plan*

**October 31, 2018:**
Interim reviews due if completed and/or required

*E&MR recommends that the Performance Plan be delivered at the beginning of the cycle or within 30 days of the beginning of the cycle.
Beginning in March:
Supervisors should begin creating the Performance Plan for 2019-20

April 1 – May 30:
Deliver the 2019-20 Performance Plan*

October 31, 2019:
Interim reviews due if completed and/or required

March 31, 2020:
2019-20 Performance Cycle ends

April 30, 2020:
Deliver 2019-20 Annual Appraisal to employee by this date and enter ratings into Connect Carolina.

*E&MR recommends that the Performance Plan be delivered at the beginning of the cycle or within 30 days of the beginning of the cycle.
**ANNUAL PERFORMANCE PLAN**

Performance Plans must be issued within 60 calendar days from either the start of the cycle (between April 1 and May 30)* OR the employee’s start date.

- Defines how well the employee needs to perform job duties in order to meet business needs. It also includes targeted individual goals for the employee.

- The employee’s Performance Plan contains **Institutional Goals** and **Individual Goals** which are rated on a 3-point scale.

- The Talent Development Plan includes personal goals for employee development that are not rated.
  - May include corrective action plan from previous cycle.

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*E&MR recommends that the Performance Plan be delivered at the beginning of the cycle or within 30 days of the beginning of the cycle.
**ANNUAL PERFORMANCE PLAN: GOALS**

**Institutional Goals**

- 6 values determined by the University of North Carolina System:
  - Expertise
  - Accountability
  - Customer-Oriented
  - Team-Oriented
  - Compliance & Integrity
  - Supervision (for supervisors only)

- Standardized across campus

**Individual Goals**

- 3-5 specific deliverables for the performance cycle that are set by the supervisor each year

- Provide some indications of quantifiable/qualitative outcomes
ANNUAL PERFORMANCE PLAN: INDIVIDUAL GOALS

• Individual Goals are not intended to cover all aspects of employee work product
  • Focus on key results/outcomes, not steps in the process

• Performance expectations should be written at the “Meets Expectations” level
  • Differentiate between what you need (“Meets Expectations”) and what you want (“Exceeds”)

• How to write an Individual Goal?

• SMARTER Goals Worksheet

• SOM Standardized Individual Goals Inventory (living document)
ANNUAL PERFORMANCE APPRAISAL

• SHRA Performance Cycle: April 1st to March 31st

• Annual performance appraisal should be completed, discussed with the employee, and entered into ConnectCarolina* by April 30th

• If the employee has been employed with the State for at least six months, an annual appraisal is required in April with full ratings and written comments.

• If the employee has been employed with the State for less than six months, an annual appraisal is completed the following performance cycle.

*Note: only the individual listed in ConnectCarolina as the employee’s supervisor will have access to enter performance ratings. If there are any issues, please contact your HR Consultant.
ANNUAL PERFORMANCE APPRAISAL

• All ratings are on a three-point scale:
  • 3 = Exceeding Expectations
  • 2 = Meeting Expectations
  • 1 = Not Meeting Expectations

• Final overall rating (Weight x Rating = Score)
  • 2.70 to 3.00 = Exceeding Expectations
  • 1.70 to 2.69 = Meeting Expectations
  • 1.00 to 1.69 = Not Meeting Expectations

• How to use the ratings calculator?

If employee received a disciplinary action and/or any “Not Meeting” rating on an institutional or individual goal, then Final Overall Rating cannot be higher than “Meeting.”
EMPLOYEE COMPETENCY ASSESSMENT

• As part of the career banding system for SHRA permanent employees, supervisors must also conduct an annual employee competency assessment (ECA) along with the annual performance appraisal.

• Employee’s must receive a competency assessment 90 calendar days after starting in the position, after a reclassification, or any other time an assessment is appropriate.

• Competencies must match the State competencies for the job classification (Competency Profiles).
  • Not all competencies apply to every position/employee; evaluate only those that apply.
Off-cycle reviews are check-ins between supervisors and employees during the performance cycle that occur as often as deemed necessary.

Types:
- **Interim/Mid-Cycle Reviews**
- **Must be completed by October 31**
- **Required for employees who received a rating of Not Meeting Expectations on any individual rating on their last performance appraisal**
- **Required for employees with active disciplinary actions**
- **Departments are allowed to require mid-cycle reviews for employees within the department**
- **Probationary Reviews**
- **Transfer Reviews**
- **Employee-Requested Reviews**
  - Can be completed anytime during the cycle but must be at least 60 days from the last review and can only be requested once per cycle
For new permanent employees (probationary and time-limited), the supervisor is required to document performance quarterly (suggested April, July, October and January) during the first 12 months of employment.

Written comments are required. It is recommended to highlight where the employee is exceeding or not meeting expectations.

Overall ratings for these reviews are not required.
What to do if...

An SHRA employee had a supervisory change during the evaluation year?

• The previous supervisor shall provide a transfer performance review to the new supervisor at the time of the transfer.

• If the transfer occurs within 60 calendar days of a completed annual performance appraisal or an off-cycle review, then the annual or off-cycle review may be used instead.

• The new supervisor shall complete the employee’s annual performance appraisal at the end of the cycle and incorporate the transfer review information received from the previous supervisor, as warranted.

• If an employee transfer or change in supervisor occurs within the last 60 calendar days of the performance cycle, then the previous supervisor shall complete the annual performance appraisal for the employee and forward it to the new supervisor.
EHRA NON-FACULTY PERFORMANCE EVALUATIONS

• The annual performance cycle for EHRA employees is from July 1st to June 30th

• Evaluations should be prepared and delivered in the late June timeframe, but no later than July 31st of each year

• The Annual Performance Appraisal process requires that an employee be evaluated on three to five individual goals based on the principal duties/responsibilities of the position and be assigned an overall final rating of Exceeding Expectations, Meeting Expectations or Not Meeting Expectations for each employee

• The Performance Appraisal Form has been updated for the current performance cycle. Last year this form was optional. Beginning with the 2018-2019 performance cycle, supervisors are required to complete the annual appraisal on the EHRA Non-Faculty Performance Appraisal Form.
EHRA NON-FACULTY PERFORMANCE EVALUATIONS

• Employees should be provided an opportunity to comment on the annual evaluation in writing and any such comments should be attached to the original copy of the evaluation placed in the departmental personnel file at the employee’s request.

• Employees are required to sign the performance appraisal at the time of completion of the performance evaluation session with the supervisor, as their signature acknowledges receipt of the document.
  • The signature is not intended to stipulate their agreement or disagreement with the content of the evaluation itself.

• The next-level supervisor can be copied on the performance evaluation and acknowledge its receipt by signature.

• A copy of the written evaluation is provided to the employee with the original placed in the employee’s departmental personnel file.
For the 2019-2020 performance cycle, supervisors are required to complete the **EHRA Non-Faculty Performance Goals Document** for each direct report.

- **This form has been developed to assist managers in aligning individual performance goals to UNC System strategic goals and initiatives, such as those found in the University of North Carolina System Strategic Plan or the University’s Blueprint for Next.**

- **Training on the use of the appraisal document and on performance management for EHRA Non-Faculty employees is available online [here](#) and [here](#).**
**WHAT TO DO IF...**

**EHRA Non-Faculty employee was not in their present position as of the previous July 1st?**

- Evaluation should be reflective of their position start date

**EHRA Non-Faculty employee had a supervisory change during the evaluation year?**

- Prior supervisor should consult and contribute to the year-end evaluation whenever possible
- If not possible, present supervisor should note this in the evaluation and undertake their best effort to consult a next-level supervisor within the work unit who would best be in a position to assess the performance
- Present supervisor is responsible for assuring completion and delivery of annual performance evaluation
WHAT TO DO IF...

**EHRA Non-Faculty employee has been in their present position less than three months as of the end of the annual performance evaluation period?**

- Should at minimum be provided a document which outlines the position's duties and performance expectations and any initial observations on performance the supervisor believes would be relevant to assist the employee in understanding expectations moving forward.

**An EHRA Non-Faculty employee is assigned an overall rating of Not Meeting Expectations on their annual performance evaluation?**

- Supervisors who have concerns regarding an employee’s job performance and/or personal conduct should discuss their concerns with the school/division Human Resources office or contact their designated Employee and Management Relations Consultant.

- Employees who have concerns about the performance evaluation should also contact their school/division Human Resources office or a member UNC’s Employee and Management Relations team.
HELPFUL LINKS

• UNC System Website: http://old.northcarolina.edu/hr/unc/pm.htm

• OHR Website: http://hr.unc.edu/managers/performance/

• SHRA Performance Appraisals & Management (OHR): https://hr.unc.edu/employees/policies/shra-policies/performance-management/

• Evaluation of EHRA Non-Faculty Performance (OHR): https://hr.unc.edu/employees/policies/ehra-non-faculty-policies/ehra-review-performance-management-policies/

HELPFUL LINKS

• Entering Employee Ratings in ConnectCarolina:

• Video on Entering Ratings in ConnectCarolina:
  http://www.unc.edu/connectcarolinacbt/courses/Performance%20Management/index.html

• Seeing Your Performance Ratings in ConnectCarolina:
QUESTIONS?

THANK YOU FOR ATTENDING!