PERFORMANCE MANAGEMENT

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TOPICS

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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.
PERFORMANCE CYCLES*

SHRA Performance Cycle: April 1\textsuperscript{st} – March 31\textsuperscript{st}

EHRA Non-Faculty Performance Cycle: July 1\textsuperscript{st} – June 30\textsuperscript{th}

*UNDER NORMAL CIRCUMSTANCES
EHRA NON-FACULTY PERFORMANCE APPRAISAL

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

• Appraisal 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.

• Supervisors are required to complete the annual appraisal on the EHRA Non-Faculty Performance Appraisal Form.

*Overall Performance Rating must be entered in Carolina Talent*
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 2020-2021 performance cycle for EHRA Non-Faculty employees, supervisors are required to use the EHRA Non-Faculty Performance Appraisal Form.

The completed and fully signed form should be uploaded into Carolina Talent at the time supervisors enter the Overall Rating.
Supervisors are required to complete performance goals for each direct report at the start of the new performance cycle or when an employee starts in a new position.

OHR developed a Performance Goals Document 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.

Beginning with the 2021-2022 performance cycle, supervisors will assign performance goals in Carolina Talent.
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
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.
ANNUAL PERFORMANCE APPRAISAL

• SHRA Performance Cycle: April 1st to March 31st
  • Due to COVID the 2020-21 cycle is July 1st to March 31st

• The Overall Performance Rating must be entered in Carolina Talent

• 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.

The Overall Competency Rating must be entered in Carolina Talent.
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.
What to do if…

My direct report is on a leave of absence during the time performance appraisals are due?

• WAIT
• There’s an option in Carolina Talent to indicate the employee is on leave
• When the person returns from leave, complete the performance appraisal and contact your HR Consultant for further guidance
Off-cycle reviews are check-ins between supervisors and employees during the performance cycle that occur as often as deemed necessary. There are several types of off-cycle reviews:

- **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

<table>
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<th>Date of Review</th>
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<th>Transfer</th>
<th>Employee Requested</th>
<th>Supervisor Initials</th>
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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.
SHRA PERFORMANCE PLAN
SHRA PERFORMANCE PLAN

• 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

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

*No goal can be weighted lower than 5%*
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)
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/
- Carolina Talent Performance Resources: https://hr.unc.edu/about/hr-community/#details-0-9