

PERFORMANCE MANAGEMENT

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TOPICS

- Introduction
- Performance Cycles
- EHRA Non-Faculty Performance Appraisal
- SHRA Performance Appraisal & Competency Assessment
- SHRA Off-Cycle & Probationary Reviews
- SHRA Performance Plan
- Carolina Talent
- Questions

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*

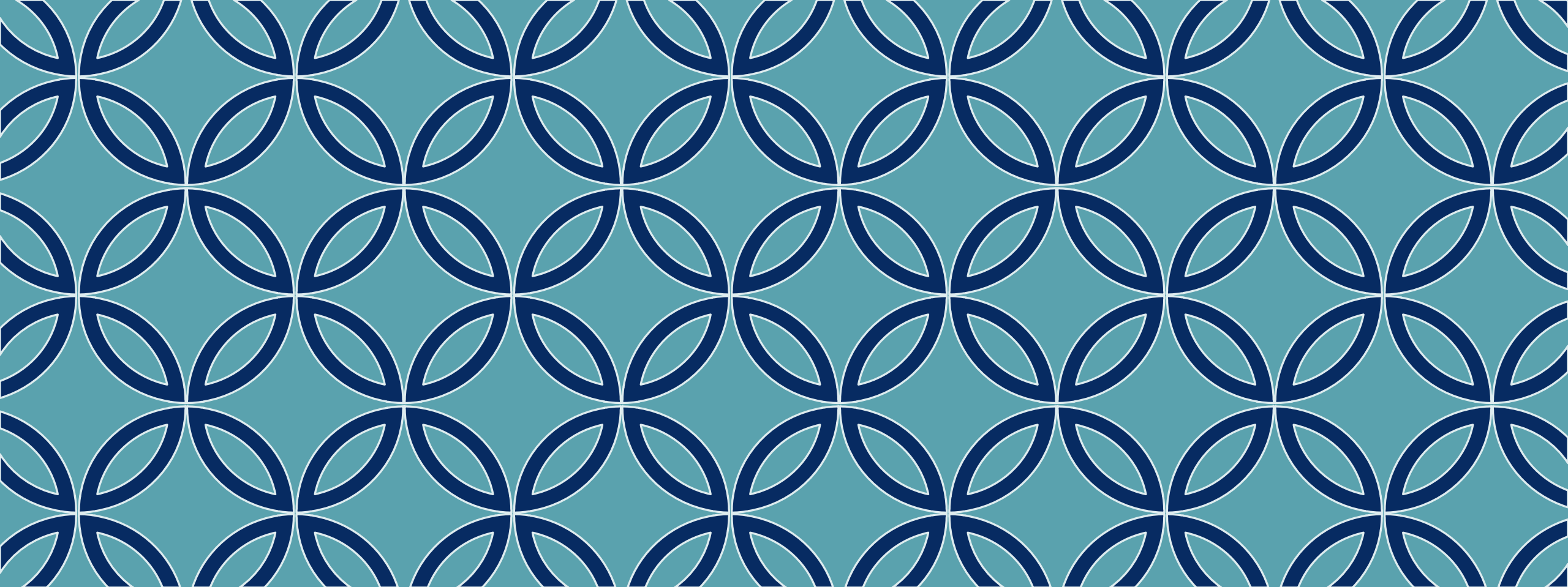


SHRA Performance Cycle:
April 1st – March 31st



EHRA Non-Faculty
Performance Cycle:
July 1st – June 30th

*UNDER NORMAL CIRCUMSTANCES



EHRA NON-FACULTY PERFORMANCE APPRAISAL

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

EHRA NON-FACULTY PERFORMANCE APPRAISAL

- 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

Name:	Employee ID#:
Title:	Review Period:

Carolina's overarching strategic framework, "The Blueprint for Next" focuses on two core strategies – "Of the Public, for the Public" and "Innovation Made Fundamental" that combine Carolina's historic role in service to the state and its people with a fundamental quality essential to Carolina's future success: a willingness to continually reinvent itself. These core pillars align with and support the major priorities of the University of North Carolina system-wide strategic plan which include access, student success, affordability and efficiency, economic impact and community engagement and excellent and diverse institutions.

INDIVIDUAL GOALS	Evaluate 3 to 5 goals from July 1, 2018 to June 30, 2019 based on the principal functions of the position. These will be rated on the annual appraisal on a 3-point scale (Not Meeting, Meeting, or Exceeding Expectations).
GOAL #1 -- Title:	Example: Conduct trainings on campus for stakeholders
Description:	Present at least 7 trainings for all staff and faculty on new University policies. Serve as a resource for stakeholders by demonstrating subject matter expertise, develop a positive working relationship across campus.
GOAL #2 -- Title:	
Description:	
GOAL #3 -- Title:	
Description:	
GOAL #4 -- Title:	
Description:	
GOAL #5 -- Title:	
Description:	

#	INDIVIDUAL GOALS TITLE:	INDIVIDUAL GOALS RATING:
1		Choose an item.
2		Choose an item.
3		Choose an item.
4		Choose an item.
5		Choose an item.

Name:	Employee ID#:
Title:	Review Period:

FINAL OVERALL RATING	
Mark Appropriate Overall Rating:	Choose an item.
OR, review not completed because:	Choose an item.

DEVELOPMENT ACTIVITIES: List/describe professional development activities for the employee. For current, list activities for the 2018-2019 performance cycle. For future, list activities planned for the 2019-2020 cycle. Please indicate at least one (1) development activity.

Current:

Future:

SUPERVISOR COMMENTS ON EMPLOYEE'S PERFORMANCE (Required)

SIGNATURES FOR ANNUAL PERFORMANCE APPRAISAL

Next Level Manager:	Print:	Date:
	Sign:	
Supervisor:	Print:	Date:
	Sign:	
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:

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.

EHRA NON-FACULTY PERFORMANCE APPRAISAL FORM

EHRA NON-FACULTY PERFORMANCE GOALS

- 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

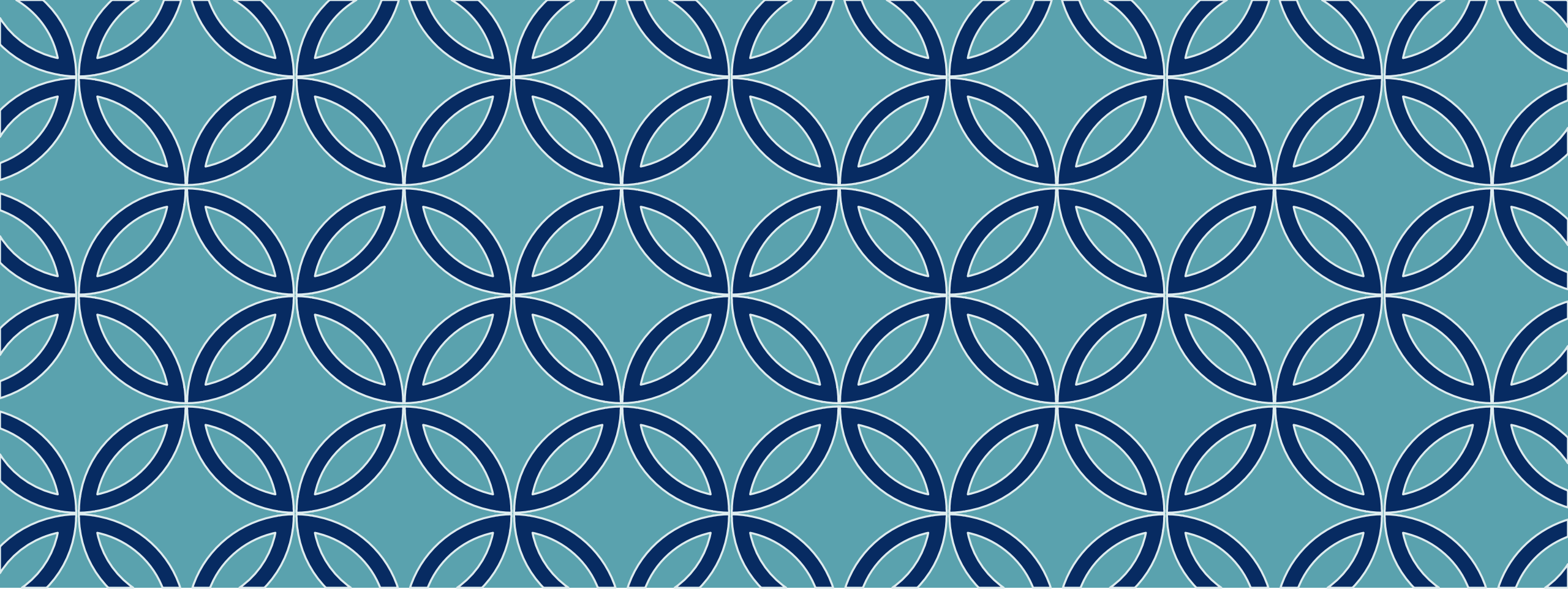
WHAT TO DO IF...

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

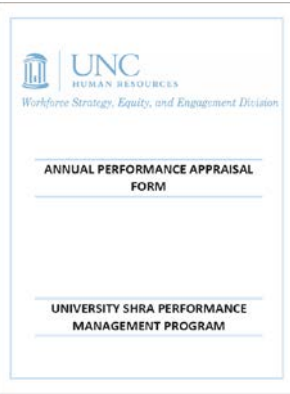
- Should at minimum be provided a document which outlines the position's duties and performance expectations and any initial observations on performance the supervisor believes would be relevant to assist the employee in understanding expectations moving forward

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.



SHRA PERFORMANCE APPRAISAL & COMPETENCY ASSESSMENT



ANNUAL PERFORMANCE APPRAISAL

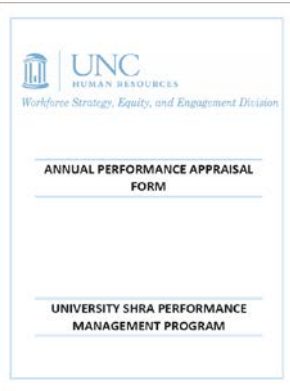
- SHRA Performance Cycle: **April 1st to March 31st**
 - Due to COVID the 2020-21 cycle is **July 1st to March 31st**
- The Overall Performance Rating must be entered in Carolina Talent
- If the employee has been employed with the State for **at least six months**, an annual appraisal is required in 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


University SHRA Employee Competency Assessment
Workforce Strategic, Equity, and Engagement Division

Employees must receive a competency assessment: 90 calendar days after starting in the position or after a reclassification; as part of the annual performance appraisal process; or, any other time an assessment is appropriate.

Dept. Name:	<input type="text"/>	Employee Name:	<input type="text"/>
Dept. #:	<input type="text"/>	Employee PID:	<input type="text"/>
Supervisor Name:	<input type="text"/>	Classification:	<input type="text"/>
Supervisor Title:	<input type="text"/>	Pos. Comp. Level:	<input type="checkbox"/> Contributing <input type="checkbox"/> Journey <input type="checkbox"/> Advanced
Review Type:	<input type="checkbox"/> 90-day <input type="checkbox"/> Annual <input type="checkbox"/> Other	Date of Assessment with Employee:	<input type="text"/>

#	LIST OF POSITION COMPETENCIES <small>(For detailed descriptions of the competency standards, please see the Office of Human Resources website.)</small>	EMPLOYEE COMPETENCY ASSESSMENT		
		Developing	Applied	Broadly Demonstrated
1.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OVERALL COMPETENCY RATING:		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
No changes since last assessment <input type="checkbox"/>				
OVERALL COMMENTS				
Supervisors must address the specific competencies and ratings that have changed since the last assessment. A development plan must be included for all ratings of Developing.				
<input type="text"/>				
SIGNATURES				
2 nd – Level Supervisor:	<input type="text"/>	Date:	<input type="text"/>	
Supervisor:	<input type="text"/>	Date:	<input type="text"/>	
I acknowledge that I have received this competency assessment. I understand that my signature below does not necessarily imply agreement with the ratings given or the comments included, and that if I choose, I may write a response to include with this assessment document.				
Employee:	<input type="text"/>	Date:	<input type="text"/>	

(Rev. 10-18-2017) Equal Opportunity Employer Page 1 of 1

[Completed Competency Assessment Example](#)

WHAT TO DO IF...

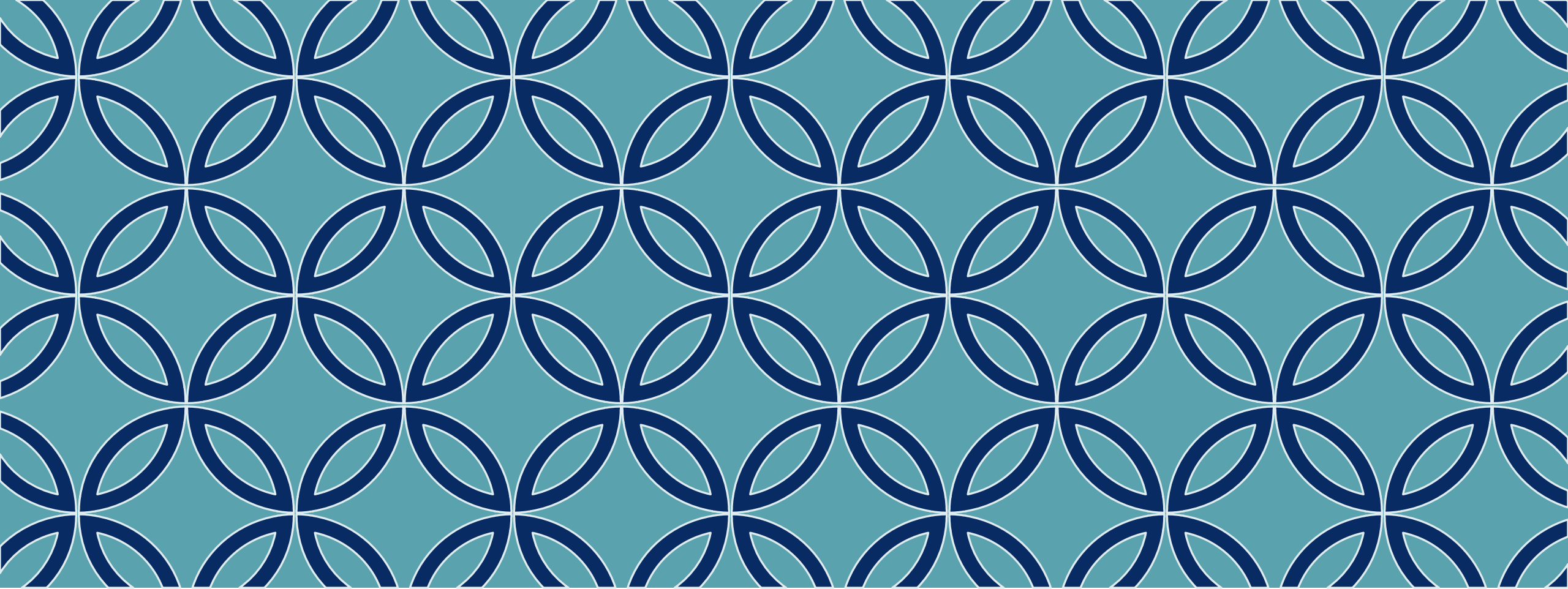
An SHRA employee had a supervisory change during the evaluation year?

- 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.

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



SHRA OFF-CYCLE & PROBATIONARY REVIEWS



UNC
HUMAN RESOURCES

Workforce Strategy, Equity, and Engagement Division

OFF-CYCLE & PROBATIONARY REVIEWS

UNIVERSITY SHRA PERFORMANCE MANAGEMENT PROGRAM



UNC
HUMAN RESOURCES

Workforce Strategy, Equity, and Engagement Division

SHRA Off-Cycle & Probationary Reviews

ANNUAL PERFORMANCE APPRAISAL CYCLE (Dates From/To):		04/01/___	to	03/31/___
Dept. Name:	Employee Name:			
Dept. #:	Employee ID:	Position #:		
Supervisor Name:	Employee Classification:			
Supervisor Title:	Competency Level:			

OFF-CYCLE REVIEWS

Off-Cycle reviews are check-ins between supervisors and employees during the performance cycle that occur as often as is necessary. There are several types of off-cycle reviews:

- Interim reviews must be completed by October 31.
- Probationary reviews must be completed quarterly (recommended July, October, January, April).
- Transfer reviews must be completed when a supervisor or employee transfers to another position.
- Employee-requested reviews can be completed anytime during the cycle but must be at least 60 days from the last review and can only request once a cycle.

Supervisors may conduct additional off-cycle reviews as often as deemed necessary. Supervisors are expected to meet with the employees, review the employee's progress on the institutional and individual goals on the performance plan, and provide the employee an opportunity to ask for any clarification of expectations. The supervisor documents the conversation (at least a paragraph summarizing the employee's performance so far in the cycle) and both the supervisor and employee initial the review.

Date of Review	Interim	Transfer	Employee- Requested	Supervisor Initials	Employee Initials
Comments:					

Date of Review	Interim	Transfer	Employee- Requested	Supervisor Initials	Employee Initials
Comments:					

OFF-CYCLE REVIEWS

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 requested once per cycle



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**OFF-CYCLE & PROBATIONARY
REVIEWS**

**UNIVERSITY SHRA PERFORMANCE
MANAGEMENT PROGRAM**



SHRA Off-Cycle & Probationary
Reviews

Workforce Strategy, Equity, and Engagement Division

ANNUAL PERFORMANCE APPRAISAL CYCLE (Dates From/To):		04/01/__	to	03/31/__
Dept. Name:	Employee Name:			
Dept. #:	Employee ID:	Position #:		
Supervisor Name:	Employee Classification:			
Supervisor Title:	Competency Level:			

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

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

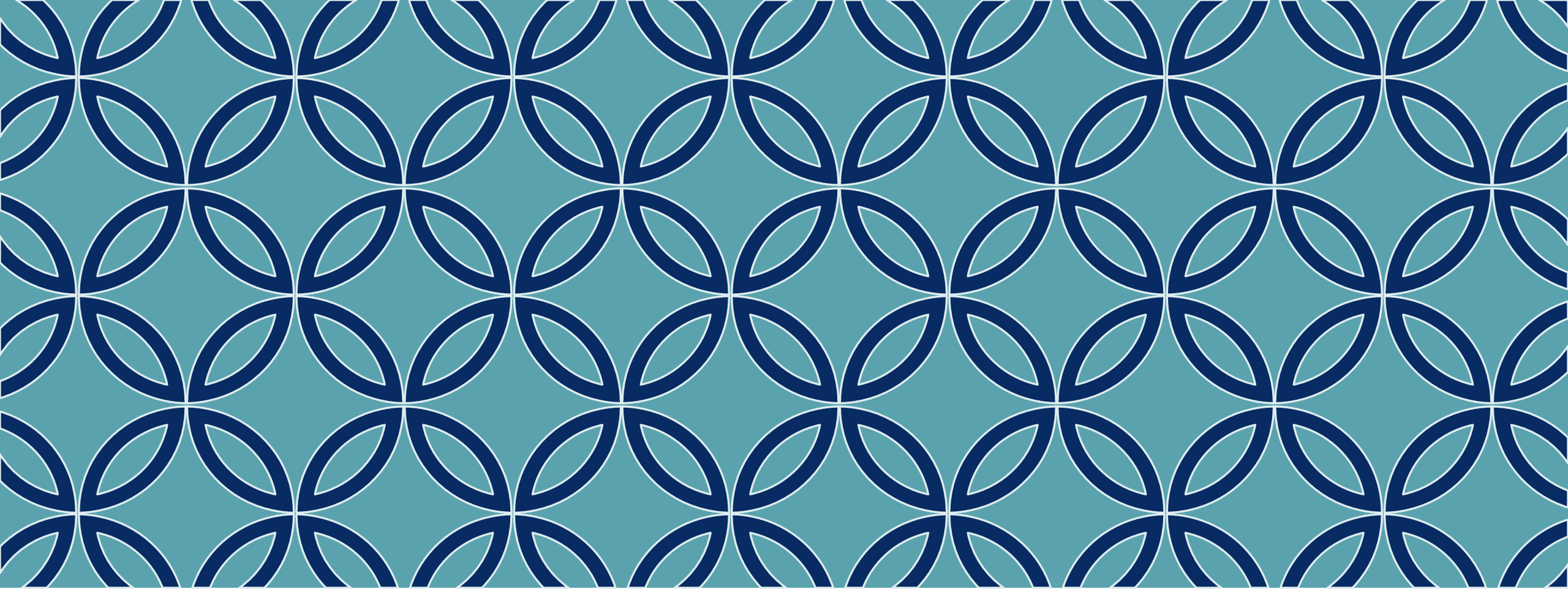
Date of Review:	Probationary Review	Supervisor Initials	Employee Initials
Comments:			

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.

PROBATIONARY REVIEWS



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.**

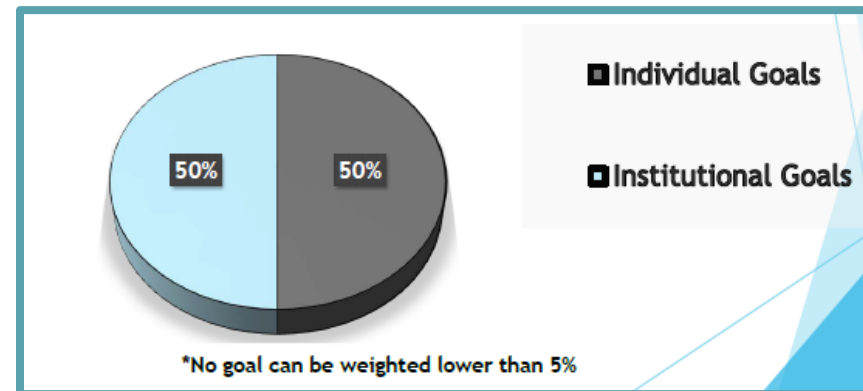
ANNUAL PERFORMANCE PLAN: GOALS

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



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)

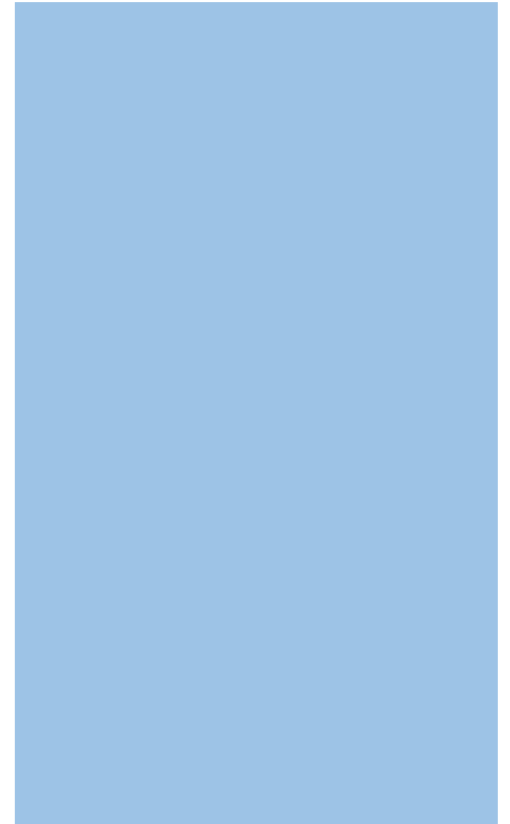


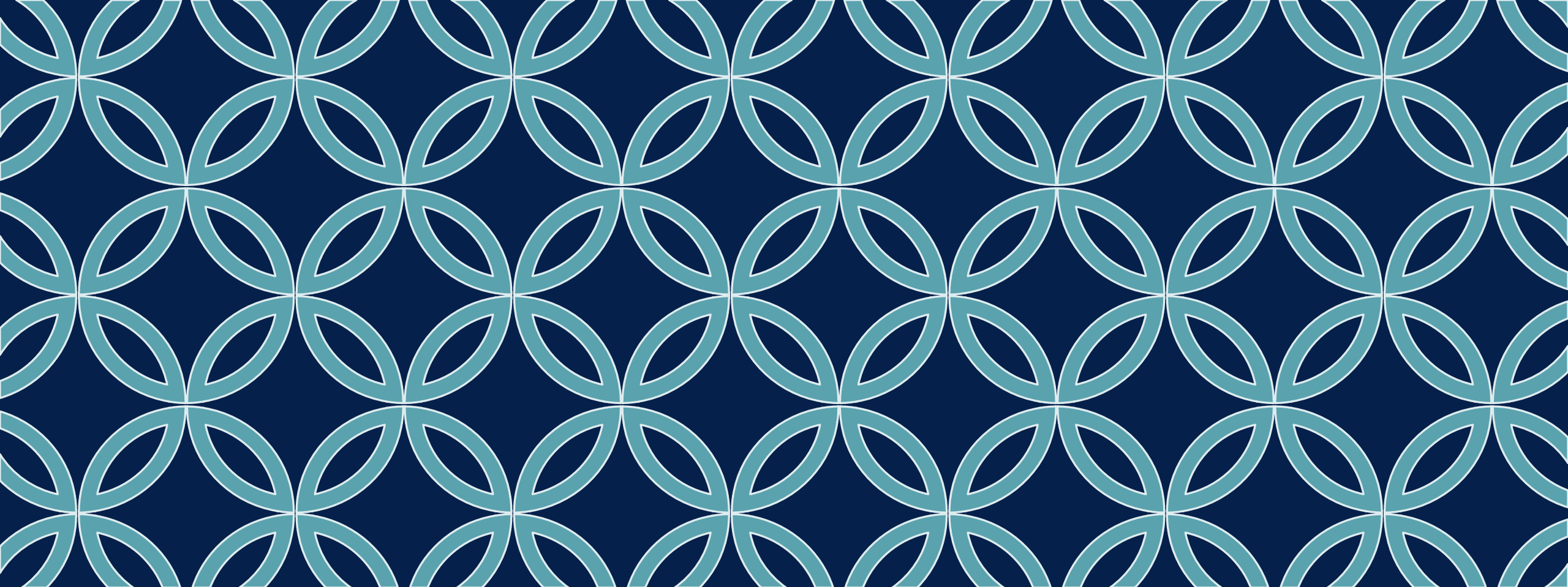


Carolina **Talent**

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/>
- Performance Appraisal Policy: <http://hr.unc.edu/files/2017/07/SHRA-Performance-Appraisal-Policy-04-2016.pdf>
- Carolina Talent Performance Resources: <https://hr.unc.edu/about/hr-community/#details-0-9>





QUESTIONS?

THANK YOU FOR ATTENDING!