



PERFORMANCE MANAGEMENT

UNC System Office Staff Webinar
July 30 and August 4, 2020

AGENDA

- **Performance Cycles / Deadlines**
- **Who Gets an Annual Appraisal?**
- **Preparation for Annual Appraisal**
- **Ratings**
- **Approvals and Review**
- **Appeal Rights**
- **Preparation for New Performance Plan**
- **During Performance Cycle**
- **Access to Records**

Performance Cycles / Deadlines

- **SHRA**

- Cycle: April 1 to March 31 (extended to June 30)
- Appraisal/New Performance Plan Due: August 31

- **EHRA:**

- Cycle: July 1 to June 30
- Appraisal/New Performance Plan Due: August 31

Who Needs an Annual Appraisal?

- **SHRA employees**
 - Employed as of June 30, 2020, and
 - Permanent state employee for at least six months (*Jan. 1, 2020 or earlier*) in one or more permanent positions
- **EHRA employees**
 - Employed as of June 30, 2020, and
 - Permanent state employee for at least six months (*Jan. 1, 2020 or earlier*) in one or more permanent positions

Who Needs an Annual Appraisal?

- **SHRA Probationary Employees**

- Receive annual appraisal if employed by Jan. 1, 2020
- If not employed by Jan. 1, then rating will be “insufficient time”

- **Employees on Extended Leave**

- If employee did not work at least six months this performance cycle, then the rating will be “insufficient time”
- If the employee worked at least six months but is on leave through Aug. 31, then the rating will be “on extended leave”
- If the employee worked at least six months and returns by Aug. 31, then the employee receives an annual appraisal

Who Needs an Annual Appraisal?

- **Employee Transfers**

- Employee transfers occurring within 60 days prior to the end of the performance cycle (transferred May 1 or later)
- Ending supervisor should complete annual appraisal for employee OR new supervisor works with ending supervisor to complete appraisal
- Ratings will be recorded with employing institution as of last day of performance cycle (June 30)

Who Needs an Annual Appraisal?

- **Supervisor Transfers**

- Supervisor transfers occurring within 60 days prior to the end of the performance cycle or during 60-day appraisal/planning period
- Departing supervisor should complete annual appraisal for employee OR designated supervisor works with departing supervisor to complete appraisal
- Designated supervisor is generally second-level supervisor unless an acting or interim designation is made

- **Terminations**

- If employee terminates state employment before appraisal is issued, then rating will be “terminated prior to appraisal”; however,
- Must be completed if employee transfers within state employment

Who Needs an Annual Appraisal?

- **Failure to Complete Appraisal**

- Recorded as “Not Done” (different than “insufficient time”)
- System Office Human Resources may, but is not required to, grant deadline extensions for exceptional circumstances
- Failure to complete appraisal by approved deadlines may jeopardize an employee’s eligibility for salary increase/bonus if tied to performance ratings
- Supervisor may be subject to corrective/administrative action for failing to complete appraisals by defined deadlines

Preparing for Annual Appraisal

- **Goals Review**
 - Review expectation levels for individual goals in performance plan
 - Review expectation levels for institutional goals (see 3-column charts)
 - Review documentation/deliverables from performance year related to goals
- **Employee Self-Assessment**
 - Not required; either supervisor or employee may initiate
- **Things to Consider**
 - Were the goal deliverables met as described in performance plan?
 - Were there extenuating circumstances during the cycle that resulted in changes to goal expectations or priorities?

Preparing for Annual Appraisal

- **Can't find performance plan**
 - Should have been submitted to HR last spring/summer
 - Contact HR to request a copy
 - If not available, consult with HR on next steps
- **Goals changed during cycle, but plan not updated**
 - Can drop goals so long as at least three goals remain (reapportion weighting as needed)
 - Can establish replacement goals based on other work product delivered during performance cycle
 - Consult with HR for additional options

Ratings

- **Weighting Goals (SHRA only)**
 - **Institutional Goals:** 50% of final overall rating
 - **Individual Goals:** 50% of final overall rating
 - Each goal must be at least 5% of final overall rating
- **Calibration Sessions**
 - Management teams may meet to set consistent expectations for goals/ratings for work units and/or employees in similar positions
- **Interaction with Disciplinary Actions**
 - Employees who received a disciplinary action during performance cycle must receive a rating of Not Meeting for the goal(s) relevant to the action
 - Final overall rating cannot be “Exceeding”

Ratings

- **Institutional Goal and Individual Goal Ratings**

- 3 = Exceeding Expectations
- 2 = Meeting Expectations
- 1 = Not Meeting Expectations

- **Final Overall Rating**

- 2.70 to 3.00 = Exceeding Expectations *
- 1.70 to 2.69 = Meeting Expectations
- 1.00 to 1.69 = Not Meeting Expectations

* If received disciplinary action and/or received any rating of “Not Meeting,” then Final Overall Rating cannot be higher than “Meeting.”

Ratings

- Weighted Ratings (SHRA only)

INSTITUTIONAL	Weight	x Rating	= Score	INDIVIDUAL	Weight	x Rating	= Score
Expertise	10%	3	0.30	Goal 1	10%	2	0.20
Accountability	10%	3	0.30	Goal 2	10%	2	0.20
Customer-Oriented	10%	3	0.30	Goal 3	10%	2	0.20
Team-Oriented	10%	2	0.20	Goal 4	10%	3	0.30
Compliance & Integrity	10%	2	0.20	Goal 5	10%	3	0.30
	50%	TOTAL	1.30		50%	TOTAL	1.20

Overall Score: $1.30 + 1.20 = 2.50$

Meeting Expectations

Approvals and Review

- **Written Comments**

- Emphasize goals that exceeded expectations or did not meet expectations
- Provide examples that are representative of the accomplishments of the employee (avoid nit-picking)

- **Review Session**

- Second-level supervisor must review appraisal prior to supervisor holding the review session with the employee
- *Recommended:* Send appraisal document to employee in advance of meeting
- OK if review discussion changes ratings – update, get approvals, and reissue
- Video conferencing is strongly preferred to voice-only conferencing

Approvals and Review

- **Completion of Appraisal**
 - Preferred to have signatures on document (written or electronic)
 - Option: Employee sends supervisor an email confirming receipt of appraisal
- **Employee Sign-Off on Appraisal**
 - Only indicates employee received appraisal, not that employee necessarily agrees with ratings or comments

Appeal Rights

- **Employee Options**

- Provide HR with a written response to appraisal (*shared with supervisor*)
- *No Time Limit*: Recommend submitting within two weeks of review session

- **Related Issues**

- Employee may also respond to performance plan and/or off-cycle reviews
- Comments are not considered a grievance filing

Appeal Rights

- **University SHRA Employee Grievance Policy**
 - Final overall rating of “Not Meeting Expectations” on annual appraisal
 - Must file grievance within 15 calendar days of performance review session
- **Process**
 - Informal discussion with supervisor/employee
 - Step 1: Mediation
 - Step 2: Hearing Panel/Officer
 - Final University Decision (*no further appeal*)
- **Alternative Resolution**
 - HR staff may be able to facilitate supervisor/employee conversation



Preparing Next Performance Plan

- **Performance Plan**
 - Institutional Goals (*rated*)
 - Individual Goals (*rated*)
 - Talent Development Goals (*not rated*)
- **Institutional Goals**
 - Defined by System Office HR for the entire UNC System for SHRA employees
 - System Office has also adopted for its EHRA employees
 - Cover totality of employee's work
- **Individual Goals**
 - 3-5 targeted goals for this performance cycle



Preparing Next Performance Plan

- **Division-Wide Goals**
 - Often tied to University strategic goals or initiatives
 - May have some variation based on employee roles
- **Work-Unit / Job-Class Goals**
 - Goals to improve/sustain work product or team dynamics
 - Goals relevant to particular type of work or team needs
- **Employee-Specific Goals**
 - Specific to the regular duties of the employee
 - Specific to the development of the employee (*“stretch”*)

Preparing Next Performance Plan

- **Critical-Function / “Deal Breaker” Goals**
 - Key deliverables that are essential to the position
 - Often compliance-driven
- **Project-Oriented / “Big Ticket” Goals**
 - Time-specific work in current cycle (*eg, grant phases*)
 - Unique projects for current cycle (*eg, hiring, “clean-up”*)
- **Forward-Focused / “Stretch” Goals**
 - Activity more aligned with University strategic goals
 - Designed to move the organization forward in some way



S **Specific** – What needs to be accomplished? What outcomes?

M **Measurable** – What data can be used to define success?

A **Achievable** – Is this challenging, but realistic?

R **Relevant** – Does this align with broader goals/needs?

T **Time-bound** – What are the deadlines/milestones?

E **Expectations** – Is it ethical, exciting, and enjoyable?

R **Resources** – What assistance will be provided for this?

Preparing Next Performance Plan

- Institutional Goals

EXPERTISE

CUSTOMER-ORIENTED

COMPLIANCE & INTEGRITY

ACCOUNTABILITY

TEAM-ORIENTED

SUPERVISION

Preparing Next Performance Plan

- Institutional Goals

EXPERTISE
Precision
Resourcing
Innovation
Development

CUSTOMER-ORIENTED
Clarity
Awareness
Attentiveness
Diplomacy

COMPLIANCE/ETHICS
Policy
Safety
Ethics
Respect

ACCOUNTABILITY
Productivity
Autonomy
Prioritization
Coordination

TEAM-ORIENTED
Collegiality
Collaboration
Contribution
Attendance

SUPERVISION
Oversight
Goal-Setting
Managing Talent
Leading

Preparing Next Performance Plan

- **Talent Development Goals**
 - Defined by supervisor and employee
 - Job-Related, Career-Related, Service-Related
- **Performance Plan Approvals and Review**
 - Second-level supervisor approves prior to employee review session
 - Supervisor holds review session with employee (*video preferred to voice-only*)
 - *Recommended*: Share with employee prior to review session
- **Completion of Plan / Electronic Sign-Off**
 - Employee signs (*acknowledgement of receipt*)
 - Send fully-signed plan to HR (*by mail or email pdf*); copy to employee

During Performance Cycle

- **Coaching and Feedback**

- Supervisors and employees interact for feedback and additional clarification on expectations throughout cycle
- Supervisor may provide MOUs (*Memos of Understanding*) or CEMs (*Clarification of Expectation Memos*) to document expectations

- **Off-cycle Reviews (SHRA)**

Interim	Required for identified performance deficiencies
Probationary	Recommended quarterly
Transfer	Required at employee/supervisor change
Employee Request	One additional review during cycle
Management Choice	Whenever appropriate

Supervisor maintains copy of off-cycle reviews; not required to send to HR

Access to Records

- **Employee**

- Can receive performance plan, off-cycle reviews, and annual appraisal documents upon request

- **Hiring Supervisors**

- Can review performance management documents of current or former state employees who are selected candidates for the position

- **Management Chain/Peer Supervisors**

- Can review documents for calibration purposes
- Management may share performance plans internally

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THE UNIVERSITY OF
NORTH CAROLINA SYSTEM

QUESTIONS?