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

• EHRA:
  o Cycle: July 1 to June 30
  o 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
  o Employee transfers occurring within 60 days prior to the end of the performance cycle (transferred May 1 or later)
  o Ending supervisor should complete annual appraisal for employee OR new supervisor works with ending supervisor to complete appraisal
  o Ratings will be recorded with employing institution as of last day of performance cycle (June 30)
Who Needs an Annual Appraisal?

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

• Terminations
  o If employee terminates state employment before appraisal is issued, then rating will be “terminated prior to appraisal”; however,
  o Must be completed if employee transfers within state employment
Who Needs an Annual Appraisal?

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

• **Goals Review**
  o Review expectation levels for individual goals in performance plan
  o Review expectation levels for institutional goals (see 3-column charts)
  o Review documentation/deliverables from performance year related to goals

• **Employee Self-Assessment**
  o Not required; either supervisor or employee may initiate

• **Things to Consider**
  o Were the goal deliverables met as described in performance plan?
  o 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
  o Should have been submitted to HR last spring/summer
  o Contact HR to request a copy
  o If not available, consult with HR on next steps

• Goals changed during cycle, but plan not updated
  o Can drop goals so long as at least three goals remain
    (reapportion weighting as needed)
  o Can establish replacement goals based on other work product delivered
    during performance cycle
  o Consult with HR for additional options
Ratings

• Weighting Goals (SHRA only)
  o Institutional Goals: 50% of final overall rating
  o Individual Goals: 50% of final overall rating
  o Each goal must be at least 5% of final overall rating

• Calibration Sessions
  o Management teams may meet to set consistent expectations for goals/ratings for work units and/or employees in similar positions

• Interaction with Disciplinary Actions
  o Employees who received a disciplinary action during performance cycle must receive a rating of Not Meeting for the goal(s) relevant to the action
  o Final overall rating cannot be “Exceeding”
Ratings

• Institutional Goal and Individual Goal Ratings
  o 3 = Exceeding Expectations
  o 2 = Meeting Expectations
  o 1 = Not Meeting Expectations

• Final Overall Rating
  o 2.70 to 3.00 = Exceeding Expectations *
  o 1.70 to 2.69 = Meeting Expectations
  o 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)**

<table>
<thead>
<tr>
<th>INSTITUTIONAL</th>
<th>Weight</th>
<th>x Rating</th>
<th>= Score</th>
<th>INDIVIDUAL</th>
<th>Weight</th>
<th>x Rating</th>
<th>= Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expertise</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
<td>Goal 1</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Accountability</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
<td>Goal 2</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Customer-Oriented</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
<td>Goal 3</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
</tr>
<tr>
<td>Team-Oriented</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
<td>Goal 4</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
<tr>
<td>Compliance &amp; Integrity</td>
<td>10%</td>
<td>2</td>
<td>0.20</td>
<td>Goal 5</td>
<td>10%</td>
<td>3</td>
<td>0.30</td>
</tr>
</tbody>
</table>

50% TOTAL 1.30

50% TOTAL 1.20

**Overall Score: 1.30 + 1.20 = 2.50**

Meeting Expectations
Approvals and Review

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

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

• Completion of Appraisal
  o Preferred to have signatures on document (written or electronic)
  o Option: Employee sends supervisor an email confirming receipt of appraisal

• Employee Sign-Off on Appraisal
  o Only indicates employee received appraisal, not that employee necessarily agrees with ratings or comments
Appeal Rights

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

• Related Issues
  o Employee may also respond to performance plan and/or off-cycle reviews
  o Comments are not considered a grievance filing
Appeal Rights

• University SHRA Employee Grievance Policy
  o Final overall rating of “Not Meeting Expectations” on annual appraisal
  o Must file grievance within 15 calendar days of performance review session

• Process
  o Informal discussion with supervisor/employee
  o Step 1: Mediation
  o Step 2: Hearing Panel/Officer
  o Final University Decision (no further appeal)

• Alternative Resolution
  o HR staff may be able to facilitate supervisor/employee conversation
Preparing Next Performance Plan

• Performance Plan
  o Institutional Goals *(rated)*
  o Individual Goals *(rated)*
  o Talent Development Goals *(not rated)*

• Institutional Goals
  o Defined by System Office HR for the entire UNC System for SHRA employees
  o System Office has also adopted for its EHRA employees
  o Cover totality of employee’s work

• Individual Goals
  o 3-5 targeted goals for this performance cycle
Preparing Next Performance Plan

• Division-Wide Goals
  o Often tied to University strategic goals or initiatives
  o May have some variation based on employee roles

• Work-Unit / Job-Class Goals
  o Goals to improve/sustain work product or team dynamics
  o Goals relevant to particular type of work or team needs

• Employee-Specific Goals
  o Specific to the regular duties of the employee
  o Specific to the development of the employee (‘stretch’)

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Preparing Next Performance Plan

• Critical-Function / “Deal Breaker” Goals
  o Key deliverables that are essential to the position
  o Often compliance-driven

• Project-Oriented / “Big Ticket” Goals
  o Time-specific work in current cycle (eg, grant phases)
  o Unique projects for current cycle (eg, hiring, “clean-up”)

• Forward-Focused / “Stretch” Goals
  o Activity more aligned with University strategic goals
  o Designed to move the organization forward in some way
Specific – What needs to be accomplished? What outcomes?

Measurable – What data can be used to define success?

Achievable – Is this challenging, but realistic?

Relevant – Does this align with broader goals/needs?

Time-bound – What are the deadlines/milestones?

Expectations – Is it ethical, exciting, and enjoyable?

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

ACCOUNTABILITY
- Productivity
- Autonomy
- Prioritization
- Coordination

COMPLIANCE/ETHICS
- Policy
- Safety
- Ethics
- Respect

TEAM-ORIENTED
- Collegiality
- Collaboration
- Contribution
- Attendance

SUPERVISION
- Oversight
- Goal-Setting
- Managing Talent
- Leading
Preparing Next Performance Plan

• Talent Development Goals
  o Defined by supervisor and employee
  o Job-Related, Career-Related, Service-Related

• Performance Plan Approvals and Review
  o Second-level supervisor approves prior to employee review session
  o Supervisor holds review session with employee (*video preferred to voice-only*)
  o *Recommended*: Share with employee prior to review session

• Completion of Plan / Electronic Sign-Off
  o Employee signs (*acknowledgement of receipt*)
  o Send fully-signed plan to HR (*by mail or email pdf*); copy to employee
During Performance Cycle

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

• Off-cycle Reviews (SHRA)

<table>
<thead>
<tr>
<th>Interim</th>
<th>Required for identified performance deficiencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Probationary</td>
<td>Recommended quarterly</td>
</tr>
<tr>
<td>Transfer</td>
<td>Required at employee/supervisor change</td>
</tr>
<tr>
<td>Employee Request</td>
<td>One additional review during cycle</td>
</tr>
<tr>
<td>Management Choice</td>
<td>Whenever appropriate</td>
</tr>
</tbody>
</table>

*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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QUESTIONS?