



SHRA PERFORMANCE MANAGEMENT GUIDELINES

The SHRA Performance Management Program provides a mechanism by which each individual employee's work will be managed effectively and support continuous communication between employees and their supervisors. It ensures that all employees are aware of what is expected of them, provides continuous feedback regarding their work performance, affords opportunities for education, training, and development, and, rewarded in a fair and equitable manner.

The University's official Performance Management Cycle for SHRA employees begins May 1 and concludes the following April 30. The cycle is repeated annually. Shorter (or longer) cycles may be allowed depending on the employee's entry-on-duty date or other relevant organizational changes.

The Performance Management Cycle includes the following phases:

- Planning (work plan)
- Managing (interim review)
- Appraising (performance appraisal)

The program establishes individual expectations, monitors progress, and appraises performance. Once organizational goals are established and communicated, individual expectations can be set based on goals. This allows employees to clearly understand the process and enables them to relate assigned duties to the University's mission and goals.

PHASE I – PLANNING

(TYPICALLY COMPLETED IN MAY OR WITHIN 30 DAYS OF EMPLOYMENT FOR NEW EMPLOYEES)

Planning occurs at the beginning of the performance management process (rating cycle) when the employee and supervisor meet to discuss the employee's work plan, performance expectations, development plans and performance monitoring/tracking methods.

It is the supervisor's responsibility, in conjunction with the employee, to develop the work plan and effectively communicate it to the employee.

SHRA employees are provided with work plans at least once a year at the beginning of the annual performance cycle. The work plan must be presented to the employee:

- within 30 days of the hire date for new employees*;
- within 30 days of the beginning of the rating cycle (May 1) and/or;
- within 30 days after the employee has had a “significant” change in responsibility.

***NEW EMPLOYEES**

New employees hired on or after August 21, 2013, must complete a **probationary period of twenty-four (24) months** of employment from the initial date of employment. New employees should receive a work plan within the first thirty (30) days of employment.

Supervisors should have ongoing discussion and feedback with the employee throughout the probationary period. Documented performance discussions should be held quarterly (3 months, 6 months, 9 months and 12 months) with the employee and a copy of this documentation should be provided to the Department of Human Resources. This process allows the supervisor to work closely with the employee in counseling and assisting the employee to achieve satisfactory performance.

- If the supervisor determines that the employee's performance indicates the employee is not suited for the position and does not meet acceptable performance standards, the employee shall be separated from the position prior to the completion of the twenty-four (24) month probationary period. The supervisor should document the justification for the separation based on the previously documented quarterly performance discussions.
- If the supervisor determines that the employee's performance indicates capability to perform satisfactorily and merits retention in the position, the employee shall be given a “close-out” performance review and a permanent (or time-limited) appointment.

REGULAR/CONTINUOUSLY EMPLOYED EMPLOYEES

At the beginning of the performance management process (rating cycle), May 1 of each year, supervisors will meet with their employees and develop work plans.

PHASE II – MANAGING/ PERFORMING

(BEGINS AFTER WORK PLAN IS ESTABLISHED)

There are two major components to managing employee performance:

- The day-to-day tracking of the SHRA employees' progress toward achieving performance expectations outlined in the work plan; and
- An Interim Review (***TYPICALLY IN NOVEMBER***) that is conducted midway through the performance cycle.

Managing also includes providing on-going feedback to the employee through coaching and frequent discussions throughout the performance cycle. The discussions should be held on a regular basis, as well as in response to changes in performance. At some point during the performance cycle, supervisors may need to address performance deficiencies with their employees.

Each work plan has a section that includes Performance Improvement Plans where supervisors are able to document what improvement is required. This section, if used, should specify the steps an employee can take to gain the knowledge or skill needed to perform certain tasks and must clearly indicate what steps the supervisor will take to ensure that the employee acquires that information. The expected results must be specified so that both the employee and supervisor understand and agree on what is to be gained.

Finally, time frames for completion and demonstrated improvement should also be set.

Managing/performing consists of the manager's day-to-day tracking of an SHRA employees' progress and the employee's day-to-day efforts toward achieving performance expectations outlined in the work plan. It includes providing on-going feedback to employees through coaching and reinforcing discussions throughout the performance cycle. Such discussions should be held regularly throughout the performance cycle as well as in response to changes in performance. This phase includes conducting the Interim Review, which should be completed midway through the performance cycle.

In conducting the interim review process, management is expected to:

1. Meet with the employee and review the employee's progress toward meeting the objectives and expectations outlined in the work plan.
2. Discuss the employee's current, overall performance.
3. Discuss and document the Key Core Behavioral Responsibilities. (*See Section 3 of NCCU SHRA Performance Evaluation Form*)
4. Discuss and document the Key Core Performance Responsibilities. (*See Section 4 of NCCU SHRA Performance Evaluation Form*)

5. If needed, discuss and document the Employee Goals. *(See Section 6 of NCCU SHRA Performance Evaluation Form)*
6. Discuss and document Summary Comments. *(See Section 7 of NCCU SHRA Performance Evaluation Form)*
7. If needed, discuss and document any problems or deficiencies in the employee's performance (i.e. performance that falls below the "good" level) using the Performance Management Improvement Plan Form. *(See Section 10 of NCCU SHRA Performance Evaluation Form)*
8. Obtain the employee's signature and date in the Interim Review Discussion (Mid-Cycle). The employee's signature does not imply agreement with the Interim Review; rather it acknowledges that the review took place and that the employee was given the opportunity to discuss it with the supervisor. In the event that an employee refuses to sign the Interim Review, the supervisor should document the employee's refusal on the form and have it initialed by a witness. *(See Section 8 of NCCU SHRA Performance Evaluation Form)*
9. Secure the appropriate Administration approvals required in documenting and completing the interim review process. *(See Section 8 of NCCU SHRA Performance Evaluation Form)*
10. Provide the employee a copy of the Interim Review.
11. Retain the employee's original Interim Review on file in the originating department. This will be used in developing the employee's Performance Appraisal at the end of the rating cycle (April).

PHASE III – APPRAISING

(SHOULD BE COMPLETED IN MAY AND DUE TO HUMAN RESOURCES BY MAY 30TH)

Appraising is the evaluation of an SHRA employees' work over the entire performance cycle as it compares to the expectations documented on the work plan. Appraising occurs at the end of the performance cycle annually, in May. Any permanent SPA employee who has worked at least six months during the performance cycle, under an approved work plan will be considered as having completed the performance cycle for performance pay purposes and must receive a performance appraisal based on the NC rating scale. The rating scale has been established to provide consistency in the performance management process and is summarized as follows:

Outstanding Performance (5)	Very Good Performance (4)
Performance is far above the defined job expectations. The employee consistently does outstanding work, regularly going far beyond what is expected of employees in this job. Performance that exceeds expectations is due to the effort and skills of the employee. An employee with outstanding performance would warrant recognition for actions at the state level, such as awards or commendations. Any performance not consistently exceeding expectations is minor or due to events not under the control of the employee.	Performance meets the defined job expectations and in many instances, exceeds job expectations. The employee generally is doing a very good job . Performance that exceeds expectations is due to the effort and skills of the employee.
Good Performance (3)	
Performance meets the defined job expectations. The employee generally performs according to the expectations and is doing a good job . The employee is doing the job at the level expected for employees in this position. The good performance is due to the employee's own effort and skills.	
Below Good Performance (2)	Unsatisfactory Performance (1)
Performance may meet some of the job expectations but does not fully meet the remainder. The employee generally is doing the job at a minimal level, and improvement is needed to fully meet the expectations. Performance is less than a good job. Lapses in performance are due to the employee's lack of effort or skill. (Note: The supervisor is required to complete a Performance Improvement Plan (PIP) with the employee for the below good performance.)	Performance generally fails to meet the defined expectations or requires frequent, close supervision and/or the redoing of work. The employee is not doing the job at the level expected for employees in this position. Unsuccessful job performance is due to the employee's own lack of effort or skills. (Note: The supervisor is required to complete a Performance Improvement Plan (PIP) with the employee for unsatisfactory performance.)
Insufficient Time to Evaluate (7)	Extended Leave Status (8)
Probationary employees who have worked for the university less than six (6) months must receive a rating of seven (7), representing insufficient time to evaluate.	Employees out on Extended Leave, including Military Leave, Family Medical Leave, Family Illness Leave, LWOP, etc., should be assigned a rating of eight (8) , Extended Leave Status, which will remain active until they return to work.

PHASE III – APPRAISING (Cont.)

(SHOULD BE COMPLETED IN MAY AND DUE TO DEPARTMENT OF HUMAN RESOURCES BY MAY 30TH)

The final appraisal for the current rating cycle that ends April 30th and the Performance Management Certification Roster should be scanned to employeerelations@ncu.edu, no later than May 30th. All **“original” performance management documentation** should be maintained in the employee’s department on file for future reference and use.

The SPA Performance Management Template Form is found at link:

http://www.google.com/url?q=http://www.ncu.edu/formsdocs/proxy.cfm%3Ffile_id%3D1973&sa=U&ei=d41MU5WtKqfd2QWGwICoBQ&ved=0CA8QFjAA&usg=AFQjCNEEED3GBitKcvEjSCTop3Zl-FG10A.

The Performance Management Certification Roster is found at link:

www.ncu.edu/formsdocs/proxy.cfm?file_id=2248

REMEMBER: Please do not mail or deliver hard copy performance management documentation to Human Resources. **SCAN all required performance management documentation to employeerelations@ncu.edu.**

If you would like to request formal training for your work unit or have questions regarding the performance management process, please contact Daphne Richardson, Employee Relations, (919) 530-6920 for assistance.