

July 2, 2018

MEMORANDUM

To: SHRA Employee Supervisors

From: Dan O'Brien
University Employee Relations

Subject: 2018-2019 SHRA Performance Appraisal Program

Following are a few reminders about the SHRA Performance Appraisal program. Please note that the most urgent action items are:

1. Ensure that all eligible SHRA employees have a current performance plan for the 2018-2019 cycle.
2. Plan to provide off-cycle reviews for probationary and time-limited (during first 12 months of employment) employees on a quarterly basis. **The first quarterly review is scheduled for July 2018.** Therefore, all eligible employees should receive an off-cycle review during the month of July. Document off-cycle reviews on part 6 (Off-Cycle Reviews) of the SHRA Performance Appraisal form. Off-cycle reviews are not intended to be comprehensive assessments of the employee's performance; thus, do not assign ratings to employees during these reviews.

The objectives of the SHRA Performance Appraisal program are as follows:

- Facilitate effective communication between employees and managers/supervisors.
- Ensure that employees have a clear understanding of the performance and behaviors expected of them.
- Ensure that employees have a clear understanding of how their individual work contributes to achieving the mission of their work unit and institution.
- Ensure that employees both provide and receive input into the development of performance goals and ongoing information about how effectively they are performing relative to established goals.
- Identify and implement opportunities for employee development and discussion of career objectives.

The 2018-2019 SHRA performance cycle commenced on April 1, 2018. The cycle consists of three primary phases: performance planning, performance feedback and the annual performance appraisal.

1. **Performance Planning.** The purpose of performance planning is to provide an annual opportunity for the employee and the manager/supervisor to discuss the assigned responsibilities and ensure that the employee understands their new or recurring goals, expectations and measures. Individual components of the process are as follows:

- **Performance planning discussion:** The manager/supervisor shall hold a performance planning discussion individually with each employee and shall put a performance plan in place within 60 calendar days after:
 1. the beginning of the annual performance appraisal cycle;
 2. a change in position or a change in a manager/supervisor; or
 3. a new (probationary or time-limited) employee's date of employment.
- **Individual goals:** Each performance cycle, the manager/supervisor shall define three to five individual goals for each employee. These goals may be specific to an individual, a work unit or a classification group and should support the organizational unit's mission, strategic goals and priorities.
- **Institutional goals:** These goals provide a set of performance expectations that address critical aspects of every employee's overall work product.
- **Weighting goals:** Individual goals and institutional goals each account for 50 percent of the final overall rating. Managers/supervisors can determine the weight of each specific goal within the two categories, but no single goal shall be weighted less than 5 percent of the final overall rating.
- **Career development plan:** When there is a business need for an employee's professional development, the manager/supervisor will include a career development plan in the annual performance appraisal document.
- **Review and signature:** Once the manager/supervisor and next-level manager/supervisor review, sign and date the annual performance appraisal document, the employee shall do the same.

The SHRA Performance Appraisal form can be found at: <https://er.hr.ncsu.edu/performance-management/performance-management-new/>

2. Performance Feedback. Communication about employee progress toward meeting goals should occur throughout the performance cycle. Managers/supervisors shall meet with each employee periodically to review goals, assess progress and, as applicable, clarify or redefine expectations for the remainder of the cycle. Additionally, there are specific events that will require an off-cycle review session to be performed:

- **Interim reviews:** An interim performance review shall be completed at the midpoint of the performance appraisal cycle: (a) for all employees who received a rating of "Not Meeting Expectations" on any goal as part of their last annual performance appraisal; (b) for all employees who have active disciplinary actions; (c) for other employees, when the manager/supervisor finds it appropriate or necessary to perform an interim review.
- **Probationary and time-limited reviews:** For new employees (probationary and time-limited), the manager/supervisor shall conduct quarterly performance reviews during the first 12 months of employment. These should occur in July, October, January and April.
- **Transfer reviews:** When an employee transfers (lateral, demotion, reassignment, reclassification or promotion) within state government, or when there is a change in manager/supervisor, the releasing manager/supervisor shall provide a transfer performance review to the receiving manager/supervisor at the time of the transfer.
- **Employee-requested reviews:** Employees may request one additional off-cycle review per performance cycle. When an employee requests an off-cycle review, the

manager/supervisor must provide one if more than 60 calendar days have passed since the employee's last annual or off-cycle review.

- **Other off-cycle performance reviews:** To meet the business needs of the work unit, managers/ supervisors may conduct additional off-cycle performance reviews as frequently as necessary.

3. Performance Appraisal. The purpose of the annual performance appraisal at the end of the cycle is to provide an opportunity for the manager/supervisor to meet with each employee to review performance results and assign a final overall rating for the cycle. Managers/supervisors shall not submit final overall ratings for employees until an annual performance appraisal, supported by ongoing performance documentation, has been completed.

- **Performance appraisal training:** All newly assigned, hired, or promoted managers/supervisors of SHRA employees must successfully complete performance appraisal training within the first three months of entry into the role. Information on training opportunities, including completing online can be found at: <https://er.hr.ncsu.edu/performance-management/performance-management-new/>. In addition, a member of the Employee Relations team can also provide on-site training as needed at the College/Division/Unit level. Please contact Employee Relations at (919)515-6575 to coordinate.

In support of the SHRA Performance Appraisal Program, please review the following documents:

- 2018-2019 Performance Appraisal Cycle (activity timeline): <https://er.hr.ncsu.edu/wp-content/uploads/sites/3/2018/05/2018-2019-Performance-Appraisal-Timeline.pdf>
- 2018-2019 Performance Appraisal Summary: <https://er.hr.ncsu.edu/wp-content/uploads/sites/3/2018/05/2018-2019-Performance-Appraisal-Summary.pdf>

Information on the SHRA Performance Appraisal Program, including forms, resources and training opportunities can be found: <https://er.hr.ncsu.edu/performance-management/performance-management-new/>

Finally, if you have any questions or feedback about the SHRA Performance Appraisal Program, please do not hesitate to contact a member of the University Employee Relations team at <https://er.hr.ncsu.edu/> or (919) 515-6575.

Thank you for your continued diligence, support and participation in making the SHRA Performance Appraisal Program successful.