TO: Human Resources Facilitators

FROM: Gena J. Carter
Senior Director, Employee & Management Relations
Jessica Moore
Senior Director, Classification & Compensation

DATE: April 30, 2013

RE: Performance Rating & Competency Assessment Data Entry Schedule

The current Performance Management cycle (Cycle 25) ends May 31, 2013. Departments must enter SPA performance ratings into HRIS between May 20 and June 28, 2013. This memorandum outlines the procedures and deadline dates for entering performance ratings.

Employee competency assessments also are required to be completed at the time of the annual performance appraisal. For information regarding Employee Competency Assessment data entry, see page 4 of this memo.

ACCESS TO HRIS DATA ENTRY SCREEN:

Department HR Facilitators will have from May 20 to June 28, 2013 to complete data entry into HRIS. Facilitators should coordinate with their College/School HR office (if applicable) to confirm who will be responsible for completing the data entry.

If the person assigned to enter ratings for the department is not a current HRIS user and/or currently does not have HRIS access rights for the department(s) for this purpose, then the department must submit an HRIS remedy ticket no later than May 10, 2013 in order to grant access for the appropriate individual.

Instructions for completing the HRIS workflow are attached to this memo.

NO SELF-REPORTING OF RATINGS:

The individual who will enter the department’s ratings into HRIS must not enter their own rating. Instead, that employee’s supervisor must complete the Performance & Competency Rating Manual Entry Form (attached) and either fax (962-8658), email as a signed PDF (to emr@unc.edu) or mail to Employee & Management Relations in the Office of Human Resources, CB #1045. Employee & Management Relations will enter the rating into HRIS. Employee & Management Relations must receive the performance ratings for these employees no later than June 28, 2013.

SCHEDULE OF EVENTS FOR PERFORMANCE RATING DATA ENTRY

May 10, 2013
Deadline for submitting an HRIS remedy ticket for requesting new access to the HRIS performance rating data entry.

May 20, 2013
Performance rating data entry to begin by departments.

May 31, 2013
Deadline for Annual Performance Appraisals to be completed.

June 28, 2013
Performance rating data entry to be completed by departments.
**WHO MUST RECEIVE PERFORMANCE APPRAISALS:**

Annual ratings must be entered into HRIS by **June 28, 2013** for all SPA permanent employees (including full-time, part-time, and time-limited) who:

- are regularly scheduled to work 20 or more hours each work week, and
- by May 31, 2013 have been working for at least three months under one or more work plans (this work may have been performed in more than one department).

<table>
<thead>
<tr>
<th>CONTINUING EMPLOYEES:</th>
<th>REQUIRED ACTION:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees who have worked in this position for the entire work cycle.</td>
<td>Complete an annual performance appraisal by May 31, 2013.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NEW STATE EMPLOYEES:</th>
<th>REQUIRED ACTION:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees who are new to permanent SPA employment and began work before March 1, 2013.</td>
<td>Complete an annual performance appraisal by May 31, 2013.</td>
</tr>
<tr>
<td>Employees who are new to permanent SPA employment and began work on or after March 1, 2013.</td>
<td>Enter the rating as “I” – Insufficient Time. Work performed on or after March 1 will be considered part of the 2013-2014 performance cycle. You are encouraged to complete a mid-cycle review for these employees at the time of their required 90-day competency assessment.</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>TRANSFER EMPLOYEES:</th>
<th>REQUIRED ACTION:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees who transferred from another University or State Agency position before September 1, 2012.</td>
<td>Complete an annual performance appraisal by May 31, 2013. You do not need to consider the work performed in the previous position.</td>
</tr>
<tr>
<td>Employees who transferred from another University or State Agency position between September 1, 2012 and February 28, 2013.</td>
<td>Complete an annual performance appraisal by May 31, 2013. You may request a mid-cycle review or its equivalent from the previous supervisor to be considered in determining the overall rating for the employee for this performance cycle.</td>
</tr>
<tr>
<td>Employees who transferred from another University or State Agency between March 1, 2013 and May 31, 2013.</td>
<td>Complete an annual performance appraisal by May 31, 2013. <strong>Option 1:</strong> You may request that the employee’s previous supervisor complete an annual performance appraisal for the period prior to the date of employee transfer. This rating would be entered as the employee’s annual appraisal for this cycle. All work performed by the employee in the current position would be reflected in next year’s performance appraisal. (This creates a slightly longer performance cycle for the employee for the coming cycle.) <strong>Option 2:</strong> You may request a mid-cycle review or its equivalent from the previous supervisor for the current supervisor’s consideration in determining the overall rating for the employee for this performance cycle.</td>
</tr>
</tbody>
</table>
APPROPRIATE RATINGS

The University is required to report annual overall performance ratings to the Office of State Personnel. Departments must enter accurate ratings into HRIS based on the categories listed below. If the person completing the data entry is not sure which type of rating to enter, they should contact their Employee & Management Relations Consultant.

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>U</td>
<td>Unsatisfactory overall rating</td>
</tr>
<tr>
<td>2</td>
<td>BG</td>
<td>Below Good overall rating</td>
</tr>
<tr>
<td>3</td>
<td>G</td>
<td>Good overall rating</td>
</tr>
<tr>
<td>4</td>
<td>VG</td>
<td>Very Good overall rating</td>
</tr>
<tr>
<td>5</td>
<td>O</td>
<td>Outstanding overall rating</td>
</tr>
<tr>
<td>7</td>
<td>I</td>
<td>Insufficient Time – Use this category only for employees who began State employment on or after March 1, 2013.</td>
</tr>
</tbody>
</table>
| 8 | L | Leave without Pay – Use this category only for employees who have not received a performance appraisal because:  
  - They are currently on leave without pay,  
  - They are currently on short-term or long-term disability, or  
  - They are on Workers’ Compensation leave. |
| 9 | ND | Not Done – Use this category only for employees who should have received a performance appraisal but have not because:  
  - They are currently on extended paid leave; or  
  - Their supervisor has not completed their performance appraisal in time to be entered into HRIS.  
  Departments should aggressively pursue completing all required performance appraisals. |
| T | Termination – Use this category for employees who have ended permanent SPA employment for any reason and therefore will not receive a performance appraisal. |
| W | Do not use this category. |

WHAT IF A RATING IS APPEALED?

If an appraisal is appealed, the original performance rating shall be entered into HRIS. Any necessary adjustment to the rating will be entered once the appeal is resolved. Employees who have questions about their appeal rights should contact Employee & Management Relations at 843-3444.

RECORDKEEPING

Supervisors must meet individually with each employee to review the employee’s performance appraisal. Performance appraisals must include ratings and comments for each principal function as well as overall comments and an overall rating. Final documents must include signatures from the employee, the supervisor, and the second-level supervisor. Employees should receive a copy of their work plan and performance appraisal for their own records once all signatures have been obtained.
EMPLOYEE COMPETENCY ASSESSMENTS

ACCESS TO HRIS DATA ENTRY SCREEN:

Access to maintaining employee competency assessments (ECAs) is available to Department HR Facilitators year-round. Changes to employee assessment ratings as part of the annual review cycle must be entered into HRIS no later than June 28, 2013. Facilitators should coordinate with their College/School HR office (if applicable) to confirm who will be responsible for completing the data entry.

Instructions for completing the HRIS workflow are attached to this memo.

For additional information and tips regarding ECAs, go to: http://hr.unc.edu/classification-compensation/additional-career-banding-resources/.

WHO MUST RECEIVE COMPETENCY ASSESSMENTS:

The 2013 overall competency assessment ratings must be entered into HRIS by June 28, 2013 for all SPA permanent employees (including full-time, part-time, and time-limited) who:

- are regularly scheduled to work 20 or more hours each work week, and
- by May 31, 2013 have been working for at least three months in the current position.

Even if the employee’s overall or component competency rating(s) have not changed, comments should be added in section IX, Supervisor’s Comments on Competency Assessment, that the assessment remains the same form the last review. The overall assessment rating must be entered into HRIS reflecting the current review date.

For employees who started in their position on or after March 1, 2013, the competency assessment must be completed at the time the employee has worked three months in the position.

NO SELF-REPORTING OF RATINGS:

The individual who will enter the department’s ratings into HRIS must not enter their own changes in assessment rating. Instead, that employee’s supervisor must complete the Performance & Competency Rating Manual Entry Form (attached) and either fax (962-8658), email as a signed PDF (to emr@unc.edu) or mail to Employee & Management Relations in the Office of Human Resources, CB #1045. The supervisor can indicate no change in rating on the form if appropriate.

Employee & Management Relations must receive the ratings for these employees no later than June 28, 2013. Classification & Compensation staff will enter the rating into HRIS.

WHAT IF I HAVE QUESTIONS?

- If you have questions about the performance management process or assigning appropriate ratings, contact your Employee & Management Relations Consultant.
- If you have questions about the competency assessment process or assigning appropriate ratings, contact your Classification & Compensation Consultant.
- If you experience technical difficulties when entering the ratings in HRIS, initiate a web-based Remedy Ticket. (Refer to the attached HRIS User Guide for instructions.)
NOTE: This form is to be used only to record the annual performance rating and/or employee competency assessment of the employee who entered the department’s ratings into HRIS. These employees are not allowed to enter their own ratings into HRIS.

**PART I: INFORMATION ON EMPLOYEE**

<table>
<thead>
<tr>
<th>Employee Name:</th>
<th>PID #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dept Name:</td>
<td>Dept #:</td>
</tr>
</tbody>
</table>

**PART II: OVERALL ANNUAL PERFORMANCE RATING**

- [ ] Unsatisfactory
- [ ] Below Good
- [ ] Good
- [ ] Very Good
- [ ] Outstanding

- [ ] Insufficient Time – Use this category only for employees who began State employment on or after March 1 of this year.

- [ ] Leave without Pay – Use this category only for employees who have not received a performance appraisal because:
  - They are currently on leave without pay,
  - They are currently on short-term or long-term disability, or
  - They are on Workers’ Compensation leave.

- [ ] Not Done – Use this category only for employees who should have received a performance appraisal but have not because:
  - They are currently on extended paid leave; or
  - Their supervisor has not completed their performance appraisal in time to be entered into HRIS.

- [ ] Termination – Use this category for employees who have ended permanent SPA employment for any reason and therefore will not receive a performance appraisal.

**PART III: CHANGE IN EMPLOYEE COMPETENCY ASSESSMENT RATING**

- [ ] NO CHANGE
- [ ] Developing
- [ ] Applied
- [ ] Broadly Demonstrated

**PART IV: CERTIFICATION OF PERSON CERTIFYING THIS FORM (cannot be signed by the rated employee)**

Name: Work Phone:

Relationship to Employee: [ ] Supervisor [ ] 2nd-Level Supervisor [ ] Other – Specify:

CERTIFICATION: I affirm that the information provided above is true and accurate to the best of my knowledge.

Signature: Date:

Mail this form to: Employee & Management Relations, UNC Office of Human Resources
104 Airport Drive, CB# 1045, Chapel Hill, NC 27599-1045.

OR Fax this form to: Employee & Management Relations at 919-962-8658.

OR Deliver this form to: HR Service Center, Suite 1100, Office of Human Resources, 104 Airport Drive, Chapel Hill.

Rev. (05-02-2011) Equal Opportunity Employer Page 1 of 1
Maintain Performance Appraisal

The purpose of this workflow is to record an SPA permanent employee's overall performance evaluation and is not designed to replace the Form HR-100, "Performance Review". This information needs to be entered by departments before certain deadlines close to the end of the fiscal year so that it can be determined if an employee will be eligible for any legislative salary increase that may be approved for the following year. HRIS users will be notified of these deadlines via email. The HR Applications programming staff will process any legislative salary adjustments in HRIS for all UNC-Chapel Hill employees (EPA and SPA).

Accessing the Maintain Employee Probation workflow

Double click on the Probation, Performance Management and Employee Competency Assessment Container.

http://hrisguide.unc.edu/lessons/Maintain_Performance_Appraisal.html
Initiating the Maintain Employee Probation Workflow

Double click on the Maintain Performance Appraisal icon.
Identifying Employee

1. Double click on either Incomplete Annual Performance Reviews or Active SPA Perm Employees by Dept. browser.
2. Double click on the Department Name to drill down to additional information.
3. Highlight Employee Name by clicking on the Employee name or by double clicking on the appropriate category of Insufficient Time or Not Done to drill down to employee names. (dependent upon which browser is used)
4. Drag and drop up to the Person ID field.
5. Click OK.

Note: Appraisal ID Cycle information will be pre-populated by system.
Completing the Maintain Performance Appraisal Form

1. Choose a **Rating** from the Rating drop down list. The default rating will be 9 - ND (Not Done).
   - 1-U = Unsatisfactory
   - 2-BG = Below Good
   - 3-G = Good
   - 4-VG = Very Good
   - 5-O = Outstanding
   - 7-I = Insufficient Time
   - 8-L = Leave without Pay
   - 9-ND = Not Done
   - T = would default to this rating for terminated employees
   - W=Written Warnings
2. Type **Comments**.

From the File menu, select **Save**.

Note: If you used the if the Incomplete Annual Performance Browser to select employees, from the File menu, select **Refresh** to remove the names of employees for whom you have entered ratings. Click to end the lister.

**Performance Appraisal Reports**

```markdown
<table>
<thead>
<tr>
<th>Performance Rating Reports</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department SPA Employee Performance Ratings by Category</td>
<td>Listing of all employees within a specific department with the employee's name, PID, entrance on duty date, and performance rating. This report is broken down into the categories of not done, below good and lower, and good or better ratings. If you do not have any employees that fall into a specific category, that category will not be displayed.</td>
</tr>
<tr>
<td>Department SPA Employee Performance Rating Summary</td>
<td>This report shows a breakdown of the different ratings with the number of employees in a specific department that have fallen under each category.</td>
</tr>
</tbody>
</table>
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The Performance Appraisal Reports above can also be generated from the Probation, Performance and Employee Competency Assessment Container.
Maintain Employee Competency Assessment

The purpose of this workflow is to record an SPA permanent employee's overall competency assessment. It is not designed to replace the paper form as it is the document of record for the employee's signature.

Employee Competency Assessments (ECAs) must be completed and signed within ninety (90) days of any new hires/agency transfers, voluntary transfers, branch/role changes, or position competency changes. Employee Competency Assessment forms shall be retained in the departments personnel files; however, departments are also responsible for entering and maintaining that information in HRIS.

Accessing the Maintain Employee Competency Assessment Workflow

Double click on the Probation, Performance Management and Employee Competency Assessment Container.

http://hrisguide.unc.edu/lessons/Maintain_Employee_Competency_Assessment.html
Intiating the Maintain Employee Competency Assessment Workflow

Double click on the Maintain Employee Competency Assessment icon.
Identifying Employee

1. Double click on Active SPA Perm Employees by Dept. browser.
2. Drill down and Select applicable employee from list of names available.
3. Drag and drop up to the Person ID field.
4. Click OK.

http://hrisguide.unc.edu/lessons/Maintain_Employee_Competency_Assessment.html
Completing the Maintain Employee Competency Assessment Form

1. Choose an Employee Competency Assessment Rating from the drop down list.

**Developing:** Required position competency is not yet fully applied by the employee at the level defined by the manager as necessary to meet stated business needs. The employee may be lacking in some elements of the required position competency.

**Applied:** Required position competency is often demonstrated by the employee at the level defined by the manager as necessary to meet stated business needs.

**Broadly Demonstrated:** Required position competency is consistently demonstrated by the employee at, and occasionally above, the level defined by the manager as necessary to meet or exceed stated business needs.

2. Type Comments.

From the File menu, select Save.

Note: If you need to view the ECA history, please do so by clicking on the ECA History Form located just to the right of the Maintain Employee Competency Assessment workflow.

Previous Lesson: Leave of Absence Table of Contents Next Lesson: Maintain Employee Information