



State of North Carolina
Department of Public Safety
POLICIES & PROCEDURES

Division: ADMINISTRATION
Chapter: HUMAN RESOURCES
Procedure: HR PERFORMANCE MANAGEMENT PROCEDURES - PERSONNEL ACTIONS DOCUMENTING ON VALUES

HUMAN RESOURCES

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NCVIP System and Human Resource Personnel Actions

The OSHR Performance Management Policy defines transfer as any of the following personnel actions: lateral transfer, reassignment, promotion and demotion.

NOTE: A demotion is considered a disciplinary action; therefore, the manager shall refer to the DPS Disciplinary Policy

(https://www.ncdps.gov/emp/HR/AdministrativeMemos/DPS_Disciplinary_Policy_010115.pdf)

When an employee transfers within state government, a performance review shall be completed prior to the transfer. The type of performance review to be completed depends on whether:

1. There is a Performance Plan in place,
2. There is an Interim Review (IR) or Annual Performance Evaluation (APE) due within 30 calendar days of the effective date of the transfer and the task has been launched, and
3. The transfer is within DPS or is into or out of another state agency.

When possible, an employee's performance reviews should be recorded by the manager in NCVIP; however, where there are:

- System limitations,
- The releasing manager cannot access the employee's performance record,
- Personnel change, as listed above,
- Neither the Interim Review nor the Annual Performance Evaluation is due or has been assigned

the North Carolina Department of Public Safety **NCVIP Performance Appraisal Summary/Rating for Closeout Form (HR 560)** is the official document for recording an employee's progress toward assigned goals and values

BEACON Issues

Transfers are changes that will have a corresponding personnel action in the BEACON HR/Payroll System; therefore, it is imperative the manager notify the appropriate staff to ensure that the necessary documentation is submitted to the Regional Employment Office or the Central Human Resource Office for processing. After the action has been processed in the BEACON HR/Payroll System, the releasing manager will no longer be able to access the employee's performance record in NCVIP. Therefore, the releasing manager should complete the steps for updating the employee's performance plan as necessary in accordance with the procedures as soon as possible. Likewise, the receiving manager will be unable to access the employee's performance record in NCVIP until the action has been processed in the BEACON HR/Payroll System. Whenever significant delays occur, the manager in either situation (releasing or receiving) should contact the HR representative at the work unit to notify him/her of the issue.

Typically, when an offer is extended to an employee, (s)he will provide up to a two (2) week notice. Therefore, whenever possible, the appropriate action by the releasing manager should be completed in fourteen (14) calendar days in advance of the effective date of the action.

Transfer within DPS with No Change in Performance Goals

This will include primarily lateral transfers where the employee is not changing position classifications, but transferring to another work unit (e.g., correctional officer transferring to another prison facility, probation/parole officer transferring to another district, juvenile detention officer transferring to another detention staff, SHP Trooper transferring to another troop, etc.).

Releasing Manager:

If the transfer occurs within 30 calendar days of the Interim Review or Annual Evaluation, and the task has been assigned in the NCVIP system, the appropriate evaluation shall be completed.

If neither the Interim Review nor the Annual Evaluation has been assigned, the releasing manager shall allow the employee the opportunity to update his/her progress in the NCVIP system. Then the manager shall update the employee's progress on each goal in the NCVIP system. Then the manager shall complete the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** documenting the reason and the progress on values, and assign an overall performance rating. Then the manager shall upload the form as an attachment to the employee's performance record in the NCVIP System. If the action has been processed in the BEACON HR/Payroll System and therefore, the releasing manager no longer has access to the employee's performance record, the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** shall be completed in full,

and a hard copy forwarded to the receiving work unit. A copy of the completed form shall be maintained in the employee's personnel file for future reference.

Receiving Manager:

The receiving manager shall verify that a performance plan is in place for the employee, and verify the completion of either the appropriate evaluation or the **NCVIP Performance Appraisal Summary/Rating for Closeout Form**.

NOTE: If there is a delay in processing the action in BEACON, the receiving manager may not be able to immediately access the employee's performance record in NCVIP.

If it is the end of the performance cycle, and the annual evaluation was completed, the receiving manager shall follow the steps to assign the work plan for the new performance cycle the same as was done for any other employee.

Transfer Out of DPS to another State Agency

If an employee is transferring out of DPS to another state agency and either the Interim Review or Annual Evaluation is due and the task has been assigned in the NCVIP system, the appropriate evaluation shall be completed. If neither the Interim Review nor the Annual Evaluation has been assigned, the releasing manager shall allow the employee the opportunity to update his/her progress in the NCVIP system. Then the manager shall update the employee's progress on each goal in the NCVIP system and complete the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** documenting the reason, and the progress on values, assign an overall performance rating, and upload the form as an attachment to the employee's performance record in the NCVIP System. If the action has been processed in the BEACON HR/Payroll System and therefore, the releasing manager no longer has access to the employee's performance record, the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** shall be completed in full and a hard copy submitted through the chain of command so that it can be forwarded to the receiving agency. A copy of the completed form shall be maintained in the employee's personnel file for future reference.

Transfer within DPS with a Change in Performance Goals or Transfer in from another state agency

This will include all actions where there is a change in position classification or the classification is the same, but the goals and tasks were assigned by position number and not the classification, resulting in the need for a new performance plan and will include promotions, reassignments and demotions.

NOTE: Demotions are disciplinary actions, therefore, the standard disciplinary process will have already been followed and the action approved through the chain of command and

issued to the employee. The process that follows will apply to employees that have been demoted after the disciplinary process has been completed.

Releasing Manager:

The releasing manager shall allow the employee the opportunity to update his/her progress in the NCVIP system, and then:

- update the employee's progress on each goal in the NCVIP system
- complete **NCVIP Performance Appraisal Summary/Rating for Closeout Form** documenting the reason and the progress on values
- assign an overall performance rating
- upload the form as an attachment to the employee's performance record in the NCVIP System.

If the action has been processed in the BEACON HR/Payroll System and therefore, the releasing manager no longer has access to the employee's performance record, the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** shall be completed in full and a hard copy forwarded to the receiving work unit. A copy of the completed form shall be maintained in the employee's personnel file for future reference.

*NOTE: It is important that the releasing manager conduct the review as soon as possible, as once the action is processed in the BEACON HR/Payroll System, the releasing manager will no longer be able to access the employee's performance record in NCVIP. If this happens, the releasing manager shall complete the **NCVIP Performance Appraisal Summary/Rating for Closeout Form**, assign the overall rating and submit the completed form through the appropriate chain of command to be forwarded to the receiving work unit.*

Receiving Manager:

The receiving manager shall:

- access the employee's performance record to verify his/her status in the system,
- verify that a performance plan is/was in place,
- determine if the releasing manager provided documentation regarding the employee's performance to include the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** or any other attachments documenting progress towards goals and/or values.

The receiving manager shall determine if new goals have been assigned to the employee. This may include duplicate goals that generated due to the processing of a personnel action and/or may include the goals assigned to the employee's previous position. In either case, DPS HR Policy, Performance and Organizational Development (PPOD) section shall be contacted to remove the duplicate goals and/or provide guidance on removing the goals attached to the previous position.

If the goals were/are to be assigned dynamically (automatically assigned based on the position classification) to the position, the manager must access the employee's performance plan and approve the goals before the employee can assign his/her performance plan.

The receiving manager shall assign the new performance plan for the employee based on the goals assigned to the new position classification.

Change in Supervisor

If there is a change in the supervisor and either the Interim Review or the Annual Evaluation has been assigned, the releasing manager shall conduct the appropriate evaluation(s).

If neither the Interim Review nor the Annual Evaluation has been assigned, the releasing manager shall update the progress in the system for each employee for which (s)he supervises and attach the Documentation of Values Worksheet to the employee's performance plan. If the action is processed before the manager can update the progress, the indirect manager or any other manager within the supervisory chain can update the employees' progress.

Reallocation and/or Change in Duties

If the employee's position has been reallocated to a different job class and new goals must be assigned and the Interim Review or the Annual Evaluation has been assigned, the assigned review shall be completed. If not, the supervisor shall update the employee's progress on each goal in the NCVIP system, complete the applicable sections of the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** and upload the completed form as an attachment to the employee's performance plan. A new performance plan shall be deployed and the standard process for reviewing and approving the plan shall apply.

If the employee has a significant change in duties warranting a new job description and the goals will be revised consistent with the change in duties and the Interim Review or the Annual Evaluation has been assigned, the assigned review shall be completed. If not, the supervisor shall update the employee's progress on each goal in the NCVIP system, complete the applicable sections of the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** and upload the completed form as an attachment to the employee's performance plan. A new performance plan shall be deployed and the standard process for reviewing and approving the plan shall apply.

If the employee has a temporary change in duties due to a temporary assignment where the duties are significantly different for an extended period of time and the Interim Review or the Annual Evaluation has been assigned, the assigned review shall be completed. If

not, the supervisor shall update the employee's progress on each goal in the NCVIP system, complete the applicable sections of the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** and upload the completed form as an attachment to the employee's performance plan. A new performance plan shall be deployed and the standard process for reviewing and approving the plan shall apply.

If the changes in duties is not significant and/or for a limited time period, the changes and progress may be captured in the employee's existing performance plan by providing comments for goals during the off cycle and at the next task in the cycle (i.e., Interim Review, Annual Performance Evaluation).

Leave of Absence Actions (LOA)

The step within the Performance Cycle will determine what action may be necessary by the manager and the indirect manager; however, there is no reason to remove a task from the employee's performance record. If the employee is on LOA the task will advance to the supervisor on the fifteenth (15th) calendar day and a comment and/or LOA Rating Value Code can be entered reflecting that the employee is on LOA.

If the manager is on extended LOA, a request shall be submitted to the HR PPOD section using the **NCVIP Support Request Form** (<https://www.ncdps.gov/Index2.cfm?a=000002,001545,001119>) requesting to either add a co-planner or to have the task advanced to the next step without any action by the manager. The request will be submitted to OSHR by HR PPOD staff.

Separations

When an employee separates from state government for reasons other than documented disciplinary action, retirement, disability, illness or death, the employee may add comments to his/her goals; then, the manager shall update the progress of each goal in the system, complete the necessary sections of the **NCVIP Performance Appraisal Summary/Rating for Closeout Form**, assign a final overall performance rating and upload the form as an attachment to the employee's performance plan.

If the personnel action is processed in SAP/BEACON prior to the manager adding comments in the system, then the comments for each goal must be documented on the **NCVIP Performance Appraisal Summary/Rating for Closeout Form**, and submitted to DPS HR PPOD Section.

Other Separations

Dismissal

This is a disciplinary action and therefore, the dismissal letter will be on record.

Retirement

This would normally be considered a final separation; however, it is recommended that the appropriate evaluation, if due, be completed. Otherwise, it is recommended that the **NCVIP Performance Appraisal Summary/Rating for Closeout Form** be completed.

Separation due to Disability, Illness or Death

There is no requirement to complete any steps of the performance evaluation process.

NCVIP System and Documenting on Organizational Values

Organizational values are qualitative behavioral attributes that describe how work actions should be accomplished. Values reflect core organizational beliefs that guide and motivate actions supporting the accomplishment of the agency's mission, vision, and goals. OSHR will assign annually two (2) to four (4) organizational values that will apply to all state employees, while individual agencies may assign up to an additional five (5) organizational values. These are predefined and will be identified by agency executive management. The organizational values in total will comprise fifty percent (50%) of an employee's total weight relative to overall performance for the annual cycle.

The NCVIP System is designed to only allow commenting on organizational values at the Interim Review and Annual Performance Evaluation as that is the requirement under policy. It is recognized that supervisors, managers, and individual employees may wish to document an employee's progress towards the organizational values periodically throughout the performance cycle. Each division/section may implement standards requiring comments at regular intervals to ensure that sufficient documentation is available for evaluating organizational values at the Interim Review and Annual Performance Evaluation. Staff are required to adhere to any division/section specific standards for work plan documentation.

Documenting Organizational Values

The DPS NCVIP Documentation of Values Worksheet (Form 561) shall be used to capture comments regarding an employee's progress towards the organizational values throughout the employee's performance cycle. The worksheet shall be added as an attachment at the Interim Review and the Annual Performance Evaluation.