



North Carolina Department of Public Safety

Human Resources

Pat McCrory, Governor
Frank L. Perry, Secretary

Nancy Lipscomb, Director
Human Resources

June 13, 2016

ADMINISTRATIVE MEMORANDUM: 04-2016

TO: DPS Division Directors and Section Heads

FROM: Nancy Lipscomb, Human Resources Director *NCL*

SUBJECT: NCVIP Updates and Phase III Annual Performance Evaluation

The launch of the Performance Work Planning task in the NCVIP was completed in December 2015 and the Interim Review task completed in February 2016. Overall, it has been a very successful operation with most issues quickly resolved. We are now preparing for the final step: the **Annual Performance Evaluation**.

The Annual Performance Evaluation (APE)

The APE task will launch on July 15, 2016 and run for 60 calendar days through September 13, 2016. This task has a five step work flow allowing up to 12 calendar days for each step. The steps are:

- | | |
|-------------------------------------------------------------------|---------------------|
| Step 1: Employee Self Evaluation | 12 days |
| Step 2: Manager Rating | 12 days (hard stop) |
| Step 3: Indirect Manager Review | 12 days |
| <i>Conduct one on one discussion between manager and employee</i> | |
| Step 4: Manager Signoff | 12 days (hard stop) |
| Step 5: Employee Sign off | 12 days (hard stop) |

A hard stop in the system means that the APE will **not** proceed to the next step until it is completed. If the employee does not sign off at the completion, this is a hard stop and the APE will go in to a past due status.

The Office of State Human Resources (OSHR) Performance Management Policy requires a minimum of three formal performance discussions annually: at the Work Planning phase, the Interim Review and the Final Evaluation. Therefore, between steps three and four as indicated above, the manager **must** conduct a discussion with the employee regarding his/her performance during the cycle. It is recommended that this discussion be face-to-face, particularly if there are performance deficiencies that may result in a rating of "Does Not Meet Expectations" on a goal, value and certainly if it is to be the overall rating.

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The OSHR policy further requires that the manager/supervisor document and validate based on direct observation and/or feedback from others, employee performance results and behaviors on a regular and consistent basis and provide feedback to the employee, both positive and corrective, when appropriate. The employee should also document, using comments in NCVIP, activities and accomplishments related to goals and values during the performance cycle. Therefore, in preparation for the APE prior to the launch date of July 15th, employees and managers should update progress and insert comments on goals and tasks, including the values goal.

Disciplinary Action

If disciplinary action has been issued during the performance cycle, a comment should have been included on the related goal/task and/or value documenting the discipline. A rating of "Meets Expectations" on the goal or value to which the disciplinary action is associated may cause the disciplinary action to become **inactive**. Likewise, the fact that disciplinary action was issued and is linked to a goal or value should be justification for a rating of "Below Expectations." OSHR policy provides that an employee who receives a "Does Not Meet Expectations" on any goal or value shall not be awarded a final annual performance evaluation rating of "Exceeds Expectations" regardless of the level of results achieved or adherence to values. There is no system generated error or caution message so it is extremely important to be mindful of this requirement on all employee records that include active disciplinary action.

Performance Rating

The final annual performance evaluation rating must be supported by the comments that have been documented by the manager throughout the performance cycle. This is particularly true for a rating of "Exceeds Expectations" or "Does Not Meet Expectations." As stated above, an employee who does not at least "Meet Expectations" on all goals and organizational values shall not be awarded a final annual performance evaluation rating of "Exceeds Expectations," regardless of level of results achieved on all other goals and values. Again, there is no system generated error or caution message regarding this, so it is extremely important to be mindful of this policy requirement when assigning ratings to individual goals and values.

Employees that have not completed at least six months of state service and employees on an approved leave of absence shall be rated as N/A for insufficient time to evaluate or LOA.

Employees with more than six months of state service, but with a very short period under the current manager (i.e., recent transfer) where there is insufficient documentation regarding performance from a previous position, must still be evaluated and assigned a performance rating. The manager should request documentation from the previous manager/supervisor, but if not provided, then the current manager/supervisor must complete the APE using the documentation available. Do not assign an N/A for insufficient time to an employee in this situation.

If the manager/supervisor is on a LOA, the supervisor/subordinate relationship in BEACON must be changed to reflect the current manager/supervisor responsible for managing the employee and directing his/her duties.

Performance Rating Dispute

Employees with career status as defined in policy may grieve an overall performance rating of “Does Not Meet Expectations” using the agency’s internal employee grievance process. Please refer to the DPS Grievance Procedure for additional information.

Update on APE Task – New Hires (May 30 through July 14, 2016)

OSHR in collaboration with agencies has decided that new employee’s hired between May 30th and July 15th will not receive:

1. A 15-16 Work Plan Task or
2. A 15-16 APE Task.

The supervisor, or indirect supervisor if the supervisor is on a leave of absence (LOA), is still responsible for providing the employee with the job duties and expectations, and for documenting progress of the new hire.

Update on Work Planning Task and 2016-17 Performance Cycle

Planning is already underway for the 2016-17 performance cycle, as managers have been reviewing and updating goals and associated tasks from the prior performance cycle. The 2016-17 performance planning task will launch on July 18, 2016. This task will launch just three days after the APE launch; however, this was done so that managers may choose to discuss both the APE and the 2016-17 performance plan during the same meeting. More information will be forthcoming from the respective NCVIP Implementation Core Team members regarding the division/section steps for the 2016-17 Work planning Task.

Goal Interface Change

There will be some changes to the design of the goals as of July 1, 2016. These changes are only to the view and do not impact or change the functionality of the goals. Additional information, including job aids with screen shots will be provided and posted to the DPS website very soon.

Ongoing Maintenance

Please continue to monitor supervisor/employee relationships in BEACON. When changes occur, notify the appropriate staff at the work unit and/or in DPS Human Resources so the necessary actions can be taken to make the corrections in SAP/BEACON. The NCVIP system feeds from the SAP/ BEACON system nightly, so any changes will be visible the following workday.

Resource and Support Materials

All of the NCVIP Job Aids and other resource materials may be found on the NC DPS website at:
<https://www2.ncdps.gov/Index2.cfm?a=000002,001545,001119>

Policy, Performance and Organizational Development Team

The Policy, Performance and Organizational Development Unit of the DPS HR Office is responsible for the NCVIP administration. Should you have questions or need assistance you may contact:

Barbara Revels:	HR Training Manager	919-457-1195
Robin Becker:	Coastal Region	252-756-5501, ext. 226
Natalie Crookston:	Mountain Region	828-368-4422
Jason Schoolcraft:	Central Region	910-944-5730
Mary Stephenson:	HR Policy (NCVIP Business Processes)	919-457-1204
Penney Mizell-Brooks:	HRIS Manager (LMS & NCVIP Systems)	919-457-1180
Christopher Hunt	NCVIP Administrator	919-457-1237
James Weston	LMS Administrator	919-457-1235
Kathy Reitzel:	HR Deputy Director	919-457-1194

Your continued support and cooperation is greatly appreciated as we complete this final stage in NCVIP and move into the 2016-17 performance cycle.

NL:MKS

Cc: Secretary Frank L. Perry
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Commissioner Gregory K. Baker
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