

VALUING  
INDIVIDUAL  
PERFORMANCE

# NCVIP Overview

State of North Carolina

PREPARED BY THE OFFICE OF STATE HUMAN RESOURCES


May 2015

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# Welcome and Ground Rules

Introductions

Ground Rules



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## Agenda

- NCVIP Policy & Process
- Stage One: Planning
- Stage Two: Feedback
  - Addressing Poor Performance
- Stage Three: Evaluation
- Employee or Managerial Transfers or Separations
- Wrap Up and Additional Questions

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## Business Need

### Standardize:

- 1) Philosophy
- 2) Policy
- 3) Process
- 4) Technology
  - Automate the PM process
  - Administer, document, track, and report individual and organizational performance
  - Provide direct line of sight for goals
  - Enhance calibration within agencies and across enterprise

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## Key Points

- Employees and Managers Share Responsibility
- Fiscal Year Cycle – Start 7/1 and End 6/30
  - Cycle 28 will be an extended cycle 5/1/2015 – 6/30/2016
- Three-Point Rating Scale
  1. Does Not Meet Expectations
  2. Meets Expectations
  3. Exceeds Expectations
- CSOD is the technology platform
  - 4 Pilot Locations
- Staggered Roll Out for technology

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## Key Points – Performance Plan


- Two Components to Performance Plan:
  - Goals (50% of Overall Weight for Overall Rating)
    - 3-5 goals per year with accompanying tasks
    - SMART Format
    - Calibrated
  - Values (50% of Overall Weight for Overall Rating)
    - 3 Values determined by State Human Resources Director and they are:
      1. Customer Service
      2. Diversity and Inclusion
      3. Safety and Health
      4. Agencies may have up to five (5) additional values as selected from the Values Library by Agency Leadership
- Cycle 28 Work Plans should have already started on paper.
  - Includes:
    - Goals & Tasks
    - Values
  - You will continue to use paper forms until notified of your scheduled roll out date of the technology tool.

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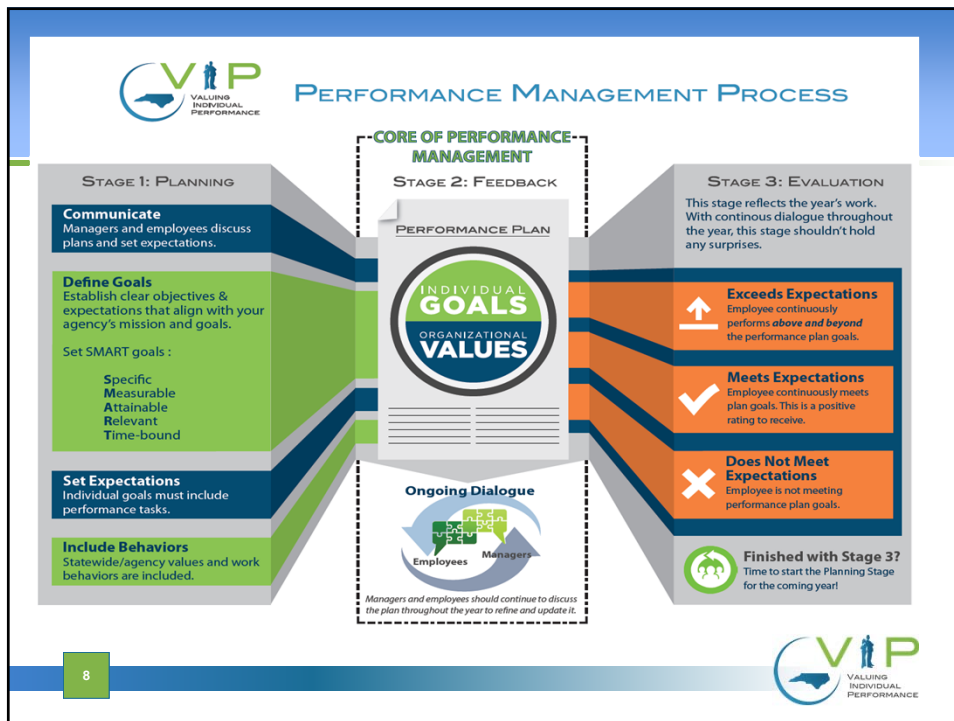


# DPS Values

<b>Safety &amp; Health:</b> Consistently demonstrates a strong commitment to providing state employees with a safe and healthy workplace
<b>Integrity:</b> Being forthright and honest in our work and interactions with colleagues and clients. Honoring our word, commitments, and obligations in all interactions with each other and with clients.
<b>Customer Service:</b> Consistently demonstrates a strong commitment to providing value added services to external and internal customers.
<b>Competence &amp; Expertise:</b> Is trusted and recognized as a source for credible, reliable information about business policies, procedures and practices. Exhibits knowledge and understanding of emerging issues, trends, and developments based on research, program evaluation, and modeling of best practices.
<b>Diversity &amp; Inclusion:</b> Demonstrates an open-minded approach to understanding people, regardless of their gender, age, race, national origin, religion, ethnicity, disability status or other characteristics; treats all people fairly and consistently and with dignity and respect; effectively builds an inclusive work environment, where everyone feels welcomed and valued.
<b>Accountability:</b> Demonstrates a commitment to delivering on his/her public duty and presenting oneself as a credible representative of the agency and state, to maintain the public's trust.
<b>Organizational Effectiveness and Efficiency:</b> Effectively plans, prioritizes, organizes, and aligns human, financial, material, and information resources to meet work unit and organizational goals. Efficiently deploys resources when, where, and how they are needed. Effectively plans, prioritizes, organizes, and aligns human, financial, material, and information resources to meet work unit and organizational goals. Efficiently deploys resources when, where, and how they are needed.



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## Stage One: Planning Initial Implementation

### STAGE 1: PLANNING

#### Communicate

Managers and employees discuss plans and set expectations.

#### Define Goals

Establish clear objectives & expectations that align with your agency's mission and goals.

Set SMART goals :

- Specific
- Measurable
- Attainable
- Relevant
- Time-bound

#### Set Expectations

Individual goals must include performance tasks.

#### Include Behaviors

Statewide/agency values and work behaviors are included.

Managers/Supervisors:

- Review goals/tasks for employees
- Discuss how process will work for the year
- Outline what employees can expect
- Answer any questions from employees

Employees:

- Review and discuss goals/tasks with manager
- Understand the NCVIP process and what is expected of them

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## NCVIP Performance Plan

Welcome NC Learning Center

Home Learning Leadership Training Reports Performance Admin

Hello, DPS, let's get started.

My Training and Transcript Browse for Training Connect

Event Calendar My Task List

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**Tasks**

Title:

Show completed and expired tasks

Title	Description
Complete Your '15-16' Perf. Plan	DPS FY 2015 - 2016 Performance Plan PILOT GR

**Overview**

The Performance Plan is used to document employee's performance expectations for the year. The performance plan consists of two parts: Goals and Values.

Each employee will have three to five strategically aligned, critical individual goals. This is not an exhaustive list of all responsibilities required for continued employment and does not duplicate information in the position description. These goals will include a description of how they will be measured, and the level of performance required to meet expectations. Goals will be written at the "Meets Expectation" level.

In addition, each employee will have no more than nine organizational values which define how the work should be accomplished.

Goals and values are each worth 50% of the employee's final overall rating.

**Review Step Progression**

- Employee Complete Performance Plan
- Manager Approve Performance Plan
- Next Level Manager Review Performance Plan
- Employee Sign Off

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## SMART Goals

### SMART Goals

<b>Specific</b>	What should the employee specifically be doing? The goal should answer questions like...  Who? Which? Where? What?
<b>Measurable</b>	How will you measure success?  The measurement basis is usually stated in terms of quality, quantity, cost or timeliness.
<b>Attainable</b>	Make sure the goal is within the employee's authority and reasonable capabilities.  Too difficult or too many is not attainable.
<b>Relevant</b>	To ensure a goal is relevant, answer questions like...  Why this? Why now? Does this goal align with the organizational goals?
<b>Time-bound</b>	When does the objective need to be completed?  Immediately? Regularly? According to project timelines?

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# NCDPS HR - Introduction to NCVIP for Managers and Supervisors

The screenshot shows the official website of the North Carolina Department of Public Safety (NCDPS). The header includes the NCDPS logo and the text "NORTH CAROLINA DEPARTMENT OF PUBLIC SAFETY" with the tagline "PREVENT. PROTECT. PREPARE." A search bar is located in the top right corner. A navigation menu at the top lists various sections: Home, About, Citizens, Employees, Offender Search, News, Staff, Contact, Jobs, and Active Alerts (3). The main content area is titled "Sections » Administration" and "Mission". The mission statement is: "Safeguard and preserve the lives and property of the people of North Carolina through prevention, protection and preparation with integrity and honor." Below this, the "Our Goals" section lists four categories: Prevent, Protect, Prepare, and Perform, each with a brief description of the goal. The "People" section states: "We will value each other like family."

The screenshot displays a performance goal tracking interface. At the top, it reads "DPS2>PRI>CORRECTIONAL LIEUTENANT>SAFETY & SECURITY". Below this, the goal is identified as "Prison Operations" with a progress bar at 0%. The status is "On Track", the start date is 7/1/2015, and the due date is 6/30/2016. The perspective is "State of NC" and the goal is associated with "Law Enforcement & Public Safety, Safety, Inspection & Compliance". A red box highlights the "Weight: 25.00%". Below the goal information is a table of tasks:

Tasks	Start Date	Due Date	Weight	Progress
Responsible for daily operations by inspections of the facility and observation of activities and staff, to include review of video footage (if available) on a routine basis.	7/1/2015	6/30/2016	60%	0%
Conduct Shift Line-ups to include the approval of post assignments and seeing that staff is properly trained and prepared to fulfill daily responsibilities	7/1/2015	6/30/2016	20%	0%
Ensure corrective action is taken if any violations or discrepancies are found	7/1/2015	6/30/2016	10%	0%
Ensure staff are in compliance with applicable policies.	7/1/2015	6/30/2016	10%	0%

At the bottom of the screenshot, a yellow box contains the text: "This is an example of Goals, Percentages, and Tasks".

# NCVIP Values Example

**FY 2014 - 2015 Performance Plan**

**Annie Barboe**  
Human Resources Consultant  
7/1/2014 - 6/30/2015

**50%**

**Organizational Core Values (50% of Overall Rating)**

Your Performance Plan will include organizational values. Values are behavioral attributes that document how work should be accomplished. In addition, values reflect core organizational beliefs that guide and motivate actions supporting the accomplishment of the agency mission and goals.

The core organizational values are standard for all state of NC employees subject to this policy. Agency-specific values are selected and/or assigned, as determined by leadership at your agency.

**Statewide Core Value - Diversity & Inclusion**

Demonstrates an open-minded approach to understanding people, regardless of their gender, age, race, national origin, religion, ethnicity, disability status, or other characteristics; treats all people fairly and consistently and with dignity and respect; effectively builds an inclusive work environment, composed of people from diverse backgrounds and with diverse perspectives, where everyone feels welcomed and valued and is allowed the opportunity to use his or her skills, abilities, and knowledge to succeed.

Comments:

B I G U [ ] [ ] [ ] [ ] [ ] [ ]

**Agency Value - Accountability**

Accepts full responsibility for oneself and for one's contribution as a team member; displays honesty and truthfulness; confronts problems quickly; displays a strong commitment to organizational success and inspires others to commit to goals; demonstrates a commitment to delivering on his/her public duty and presenting oneself as a credible representative of the agency and state, to maintain the public's trust.

Comments:

B I G U [ ] [ ] [ ] [ ] [ ] [ ]

**Agency Value - Organizational Effectiveness & Efficiency**

Leadership Value: Effectively plans, prioritizes, organizes, and aligns human, financial, material, and information resources to meet one's unit and organizational goals. Efficiently deploys resources when, where, and how they are needed. Communicates expectations clearly, provides performance-based feedback and coaching, and consistently measures progress. Deals effectively with performance problems.

Comments:

B I G U [ ] [ ] [ ] [ ] [ ] [ ]

Back

Save and Exit

Save and Continue

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## Accountability

Accepts full responsibility for oneself and for one's contribution as a team member; displays honesty and truthfulness; confronts problems quickly; displays a strong commitment to organizational success and inspires others to commit to goals; demonstrates a commitment to delivering on his/her public duty and presenting oneself as a credible representative of the agency and state, to maintain the public's trust.

### Items

- Does Not Meet Expectations - Inconsistently meets commitments to others or delivers on commitments late. Occasionally "bends the rules" when faced with pressure from customers or other agency/state stakeholders. Fails to take ownership of personal or team performance; refrains from coaching team members to improve performance. Dismisses the importance of his/her responsibilities and the connection between his/her job and public perceptions. Occasionally presents oneself in a way that is inconsistent with the image the agency/state wants to portray. Fails to complete assigned tasks efficiently. Does not use resources effectively. Rarely follows established policies and procedures. Takes excessive unscheduled absences or is excessively tardy.
- Meets Expectations - Follows through and meets personal commitments to others on time. Holds self and others accountable for making ethical decisions; addresses unethical behaviors head-on. Commits to the agency's/state's goals and finds ways to get team members more involved toward accomplishing agency/state objectives. Takes his/her responsibilities seriously and consistently meets the public's expectations for quality, service, and professionalism. Consistently presents a calm, competent, and professional image to the public and other agency/state employees. Can be counted on to complete assigned tasks in an efficient manner. Works well under pressure. Uses resources effectively. Consistently follows established policies and procedures. Follows attendance and punctuality policy.
- Exceeds Expectations - Exceeds his/her commitment to others by frequently delivering work early. Lives the agency's/state's values and maintains his/her ethical principles, even in the most challenging circumstances. Generates enthusiasm among team members for accomplishing shared goals that elevates the team and ensures the agency's/state's success. Holds a strong commitment to exceeding the public's expectations for how the agency/state should provide service to its customers. Presents oneself as a polished professional who exemplifies success and credibility; inspires others to be more professional.

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## Stage Two: Feedback



Feedback is utilized to:

- Reinforce positive behavior(s)
- Learn a new behavior(s) or skill(s)
- Touch base, check in, update
- Record accomplishments toward goals and values
- Correct behavior(s)

Feedback should:

- Be provided frequently
- Can be informal (verbal conversation) or formal (documented in the system or written down for documentation)
- Provide an avenue for discussion between employees and managers
- Provide information to determine if the Performance Plan needs to be refined or adjusted

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Manage Goals

**Details**

**General**

Goal Title: DPS2>PRI>CO>Maintain Facility Security  
 Goal Description: Maintain facility security by following security procedures.  
 Progress:   
 Start Date: 7/1/2015  
 Due Date: 6/30/2016  
 Status: Not Started  
 Perspective: State of NC  
 Goal Category(s): Safety, Inspection & Compliance

**Comments**

Tony Gibson 5/8/2015 9:04 AM

OBSERVATION DATE: 05/07/2015(MM/Gn a vehicle fire on I-40 west bound at the  
 RATING:  
 Meets Expectations (2) ACTION TAKEN:

**Attachments**

**Comments** ←

**Historical Activity**

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## Interim Review

- Conducted near the midpoint of the performance cycle and requires feedback from Manager/Supervisor and Employee

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## Addressing Poor Performance

Discussion

- Between manager and employee to identify the root cause of the performance issue
- Identify potential solutions, action items and next steps
- If employee corrects behavior/work toward goal, meets and sustains expectations, no further action is necessary

Documented Coaching

- Documented discussion between manager and employee; use the Documented Coaching Session Form in the NCVIP system. Form is signed by both parties (as well as the indirect manager), acknowledging a conversation and understanding of expectations
- Identify the problem/issue, action steps and associated dates, and progressive disciplinary action if the behavior/work is not corrected
- If employee corrects behavior/work toward goal, meets and sustains expectations, no further action is necessary and the Documented Coaching Form can be deleted at the request of the manager/supervisor

PIP

- Manager/Supervisor must contact his/her HR representative because the PIP functions as the First Written Warning in the progressive disciplinary process
- Documented discussion between manager and employee; use the Performance Improvement Plan in the NCVIP system; Form is signed by both parties (as well as the indirect manager), acknowledging a conversation and understanding of expectations
- PIP identifies the problem/issue, action steps and associated dates, and progressive disciplinary action if the behavior/work is not corrected
- If employee successfully completes and corrects behavior or performance issue during the defined time frame (which will be listed in the PIP), then meets and sustains expectations, the manager/supervisor can petition HR to have the PIP inactivated

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### Documented Coaching Session Form – Example

Documented Coaching Session

**What's Wrong?**

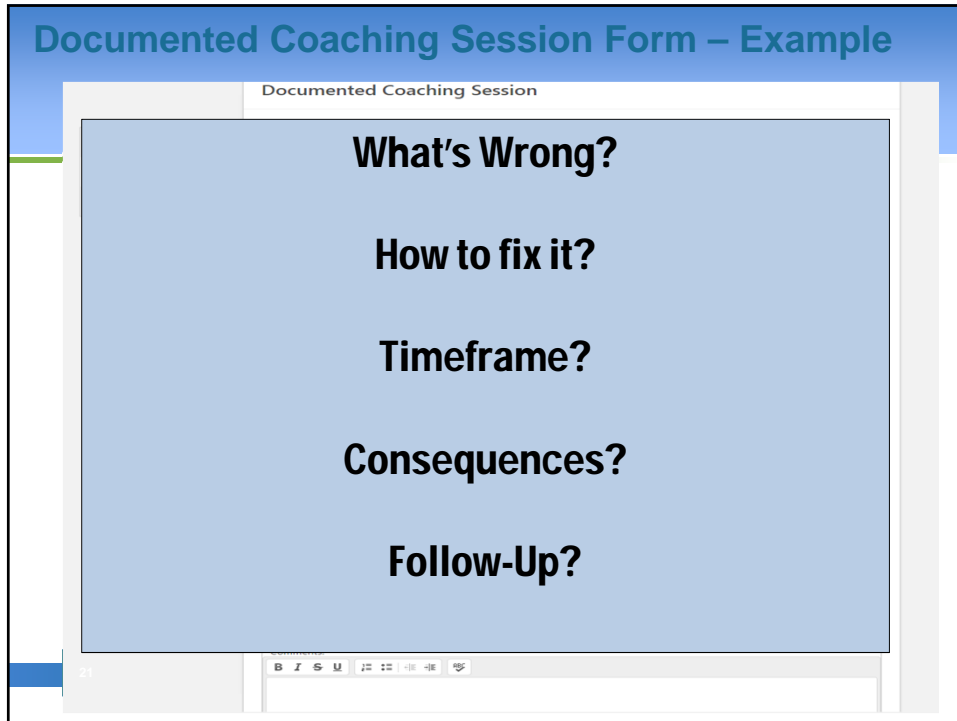
**How to fix it?**

**Timeframe?**

**Consequences?**

**Follow-Up?**

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### Performance Improvement Plan Form – Example

Performance Improvement Plan Section

Using the template provided, specify and discuss the performance problem with the employee. Outline the steps to be taken to improve performance, including the specific timeframe for improvement. Identify the consequences, including progressive corrective action, of failure to improve, and define a follow-up date(s). If performance improves to the "Meets Expectation" level during the agreed upon timeframe and performance is maintained, no further action is necessary.

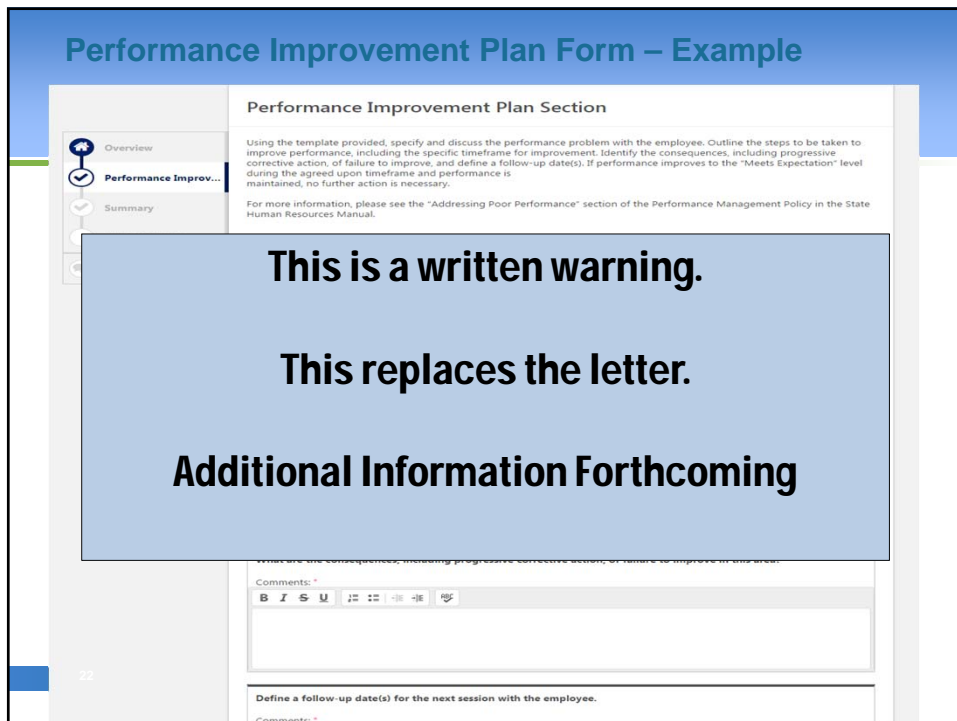
For more information, please see the "Addressing Poor Performance" section of the Performance Management Policy in the State Human Resources Manual.

**This is a written warning.**

**This replaces the letter.**

**Additional Information Forthcoming**

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## Addressing Poor Performance (2)

- Some performance issues are so serious, the manager/supervisor can move directly to the PIP or further progressive disciplinary action
- It is not necessary to have a PIP in place prior to beginning the progressive disciplinary process
- PIPs can be initiated for responsibilities in the position description, even if they are not contained in the Performance Plan
- At the end of the PM cycle, if employee does not satisfy the terms of the PIP or has another active performance based disciplinary action, the employee will not meet expectations for associated goal/value

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## Annual Performance Evaluation

**STAGE 3: EVALUATION**  
This stage reflects the year's work. With continuous dialogue throughout the year, this stage shouldn't hold any surprises.

	<b>Exceeds Expectations</b> Employee continuously performs <i>above and beyond</i> the performance plan goals.
	<b>Meets Expectations</b> Employee continuously meets plan goals. This is a positive rating to receive.
	<b>Does Not Meet Expectations</b> Employee is not meeting performance plan goals.

**Finished with Stage 3?**  
Time to start the Planning Stage for the coming year!

### Three-Point Scale:

3. Exceeds Expectations
  2. Meets Expectations
  1. Does Not Meet Expectations
- Most Employees Perform at the "Meets Expectations" level, which is where goals/values are written.
  - To receive an "Exceeds Expectations" rating, an employee must repeatedly make exceptional or unique contributions to the organization that are above the requirements of his/her duties and responsibilities.
  - If an employee receives a "Does Not Meet Expectations" rating on any goal or value, that employee cannot receive an overall "Exceeds Expectations" rating.
  - Overall ratings will be calibrated
  - Must have a Performance Plan in place for at least 6 months to receive an overall performance rating.
  - There is an option to issue insufficient time/LOA for employees that have not worked 6 months or are absent from work

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## Annual Performance Evaluation – Example

- Overview
- Goal Rating (50% of ...)**
- Organizational Core ...
- Summary
- Sign Off/Approve

### Goal Rating (50% of Overall Rating)

Rate each individual goal and value using the standardized scale:

**(3) – Exceeds Expectations:** Performance consistently exceeds documented expectations and measurements and the employee consistently does work going far beyond what is expected in terms such as quantity, quality, timeliness, cost, and customer satisfaction. An overall rating of "Exceeds Expectations" must be supported by thoroughly documented results and demonstrated adherence to organizational values. To receive an overall "Exceeds Expectations" rating, an employee must at a minimum "Meet Expectations" on all organizational values, regardless of level of results achieved on the goals. An employee who receives a "Does Not Meet" on any goal shall not be awarded an overall rating of "Exceeds Expectations" regardless of the level of results achieved or adherence to values.

**(2) – Meets Expectations:** Performance consistently meets and occasionally exceeds the defined job expectations and measurements where the employee does the job at the level expected for this position and consistently meets what is expected in terms such as quantity, quality, timeliness, cost and customer satisfaction.

**(1) – Does Not Meet Expectations:** Performance does not meet job expectations and measurements and the employee is performing the job at an unacceptable level in terms such as quantity, quality, timeliness, cost, and customer satisfaction.

**N/A - Insufficient Time to Evaluate / LOA**  
**Insufficient Time to Evaluate** – Performance information about the employee has been available for less than six months and thus, a performance rating cannot be assigned at this time.  
**Leave of Absence (LOA)** – Employee is on a paid or unpaid leave of absence and thus, is not available to discuss performance ratings for the Annual Performance Review.

**Performance Management**

Develop and implement a consistent and robust Performance Management system which empowers manager and employees to positively impact organizational performance by creating a continuous dialogue, rewarding and incentivizing high performers and effectively and expeditiously addresses poor performers.

Progress:  80%

Status: On Track

Start Date: 7/1/2014

Due Date: 6/30/2015

more...

Select +

Comments:

**B I S U** | **¶** | **☰** | **☒** | **☒** | **☒** | **☒** | **☒** | **☒**

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## Annual Performance Evaluation – Example (2)

- Overview
- Goal Rating (50% of ...)
- Organizational Core ...**
- Summary
- Sign Off/Approve

### Organizational Core Values (50% of Overall Rating)

Your Performance Plan will include organizational values. Values are behavioral attributes that document how work should be accomplished. In addition, values reflect core organizational beliefs that guide and motivate actions supporting the accomplishment of the agency mission and goals. The core organizational values are standard for all state of NC employees subject to this policy. Agency-specific values are selected and/or assigned, as determined by leadership at your agency.

**Collaboration**

Establishing and maintaining positive partnerships and teamwork among internal divisions, state agencies, universities and other public and private entities to better promote and deliver effective and excellent services to our clients.

Select +

Comments:

**B I S U** | **¶** | **☰** | **☒** | **☒** | **☒** | **☒** | **☒** | **☒**

**Customer Service**

Consistently demonstrates a strong commitment to providing value-added services to external and internal customers. Proactively identifies customer needs and requirements, delivers quality service, and continuously improves performance of self and others. Develops, implements, and evaluates work processes which are both efficient and effective from the customer's perspective.

Select +

Comments:

**B I S U** | **¶** | **☰** | **☒** | **☒** | **☒** | **☒** | **☒** | **☒**

**EEO, Diversity, and Inclusion**

Demonstrates an open-minded approach to understanding people regardless of their gender, age, race, national origin, religion, ethnicity, disability status, or other characteristics. Treats all people fairly and consistently. Effectively works with people from diverse backgrounds by treating them with dignity and respect. Builds an inclusive work environment, composed of people from diverse backgrounds and with diverse perspectives, where everyone feels welcomed and valued.

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## Annual Performance Evaluation System Calculation

<u>Overall Ratings between:</u>	<u>Will Receive an Overall Annual Performance Evaluation Rating of:</u>
1.0 – 1.6	Does Not Meet Expectations
1.7 – 2.6	Meets Expectations
2.7 – 3.0	Exceeds Expectations

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## Transfer of Employees

When an employee moves from one job to another job within the same agency or from one agency to another agency and a Performance Plan is in place:

- If within 30 calendar days of the end of the Interim Review or Annual Performance Evaluation:
  - Existing Manager/Supervisor shall complete, discuss with employee and sign the Interim Review or Annual Performance Evaluation
  - If within 30 calendar days of the end of the Interim Review the Manager/Supervisor will also provide written documentation (this can be done in the NCVIP system) on employee's progress/achievement regarding goals and values
- If more than 30 calendar days prior to the Interim Review or Annual Performance Evaluation the existing Manager/Supervisor must provide written progress/achievement regarding goals and values

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## Change in Manager/Supervisor

- Prior to departure, the manager/supervisor must:
  - Provide written documentation in the electronic system of record regarding employee's progress/achievement of goals and values
  - If within 30 or fewer days of the Interim Review or Annual Performance Evaluation, the manager/supervisor must complete the Interim Review or Annual Performance Evaluation.

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## Remember....

PROCESS

EVENT

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# More Information

Welcome **NC Learning Center**

Home Learning Leadership Training Reports Performance Admin

Hello, DPS, let's get started.

My Training and Transcript | Browse for Training | Connect | Cybersecurity Online Learning | Microsoft Office Training offered by the Office of ITS | VIP VALUING INDIVIDUAL PERFORMANCE | Learn More | Event Calendar | My Task List

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# More Information

**VIP** VALUING INDIVIDUAL PERFORMANCE

THE PERFORMANCE MANAGEMENT PROCESS

- STAGE 1 PERFORMANCE PLANNING
- STAGE 2 PERFORMANCE FEEDBACK
- STAGE 3 ANNUAL PERFORMANCE EVALUATION

Introducing NCVIP

MANAGERS | EMPLOYEES

INTRODUCING **VIP**

VIP ROLLOUT TIMELINE

2014 → 2015

PM POLICY | PM POLICY OVERVIEW

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## Contact Information

NCVIP Website:

<http://www.oshr.nc.gov/Guide/PerformanceMgmt/index.htm>

NCVIP Training:

Log into BEACON and select the “Learning” tab to access the NC Learning Center. Training will be assigned.

DPS\_NCVIPHELP@ncdps.gov