I. Policy

It is the policy of the University of North Carolina at Wilmington to establish, monitor, and evaluate organizational goals. These goals are established and communicated to employees to provide a basis for setting individual performance standards. Employees are provided with clear performance expectations, progress is monitored, and individual performance is evaluated. This policy applies to all university SPA employees having probationary, time-limited, or permanent appointments.

II. Goals and Components of the Program

A. The university will assure that each SPA employee is:

1. Instructed as to job expectations, assigned duties and responsibilities.

2. Provided with means for obtaining feedback about job performance.

3. Provided with opportunities for education, training and development to assure at least satisfactory performance on the job. In addition, opportunities for career development are provided where an employee shows interest and demonstrated ability.

4. Recognized for his/her contribution in a fair and equitable manner.

B. The program consists of the following components:


3. Conducting an interim review.
4. Conducting the performance evaluation.

III. Record Keeping

For permanent SPA employees, performance work planning and evaluation will be documented on the EPMP Work Plan and Performance Evaluation (UNCW Forms HR 6.30W and 6.30E, respectively) at least annually.

For probationary SPA employees, performance evaluation will be documented on the EPMP Probationary Employee Performance Review (UNCW Form HR 6.30P) at the end of 45 and 90 days from initial employment. After 90 days, evaluations must be performed each 30 days until permanent status is given or the employee is terminated. Probationary periods may not exceed nine months.

Performance evaluations will be treated in a confidential manner and filed in the employee's official performance evaluation file located in their department. Performance evaluations will be maintained for three years and disposed of according to North Carolina General Statutes.

IV. Training

UNCW recognizes the need for comprehensive training to effectively implement a performance management program. In order for the program to be applied fairly and consistently, managers and supervisors must possess those skills necessary to effective performance management which are the foundation of the EPMP.

The UNCW Human Resources Department has established an informational and skills-oriented training program for managers, supervisors, and employees. Training programs will be scheduled periodically to ensure that all supervisors conducting performance evaluations receive adequate training.

Individual consultation and technical assistance, as well as written guidelines, are available to assist supervisors in preparing performance plans and conducting performance evaluations.

V. Effects of EPMP on Personnel Administration

Information obtained during the performance management process may affect personnel management decisions such as promotion, performance-based disciplinary actions, performance salary increases, and reductions in force. Additionally, decisions on internal selection, staffing, discipline, training, and development may be influenced by performance management process results.
Any disciplinary action taken against an employee during the evaluation period must be noted in the Additional Comments section of the Overall Rating section of Form HR 6.30E and should be considered in determining the overall performance rating.

VI. Internal Consistency

To achieve internal consistency in personnel administration, the university requires the following:

A. A current performance evaluation (within the preceding twelve months) must be on file for an employee before any of the personnel actions noted above can be affected.

B. Any proposed personnel action will be consistent with the overall rating of the employee's performance. The same overall rating must be indicated on the form requesting an employee's performance salary increase.

C. In cases where the recommended personnel action appears inconsistent with the most recent overall rating, a written justification shall accompany the recommendation prepared by the employee's department.

VII. Dispute Resolution

A permanent SPA employee who is not satisfied with his or her performance evaluation or the associated performance increase may submit a grievance through the university's grievance and appeals procedure (See Policy 08.520).

A probationary employee may file a grievance regarding his or her performance evaluation only where personal discrimination is alleged.

VIII. Program Monitoring

Human Resources will establish, monitor, and evaluate the Employee Performance Management Program (EPMP) subject to approval by the Office of State Personnel. A report of UNCW's EPMP will be submitted to the Office of State Personnel by the Chancellor annually.

IX. Permanent SPA Employees and EPMP

A. Establishing the Evaluation Period

A performance work plan must be established for each permanent SPA employee at least annually. All employees within the department/unit must be evaluated using the same evaluation cycle. The department head or director may choose from the following evaluation cycles: Fiscal Year (ending June 30); Calendar
A performance work plan is a document that outlines an employee's significant responsibilities and duties for the evaluation period. These responsibilities and duties, referred to as job factors, must incorporate those on the employee's position description. (A position description must exist, or be established concurrently with the performance work plan, and should address "essential functions" of the position as required under the Americans with Disabilities Act.)

2. Performance Work Planning Session

At the beginning of the evaluation period, the supervisor and the employee will meet in a work planning session to discuss and establish: employee's responsibilities for the evaluation period, relative importance of those responsibilities, performance standards (the expectations that describe successful performance of each responsibility), and evaluation methods.

The supervisor will explain the performance management process, including the rating system, to the employee to ensure that the employee understands the assigned duties, including the relative importance of particular responsibilities. The following items should also be covered in the work planning session: additional training or development needs to help the employee perform satisfactorily and career development opportunities, if the employee indicates interest.


Form HR 6.30W, which is used in preparing an employee's work plan, is available through the Administrative Forms Directory.

When preparing the Work Plan (Form HR 6.30W):

a. The supervisor records the key responsibilities, their relative importance, expectations, and evaluation methods. Performance expectations must be established at the "Good" level, but may also indicate "Very Good" and "Outstanding" levels.

b. Ensure that the methods used to collect information and measure performance are relevant to the job being performed.
Where possible, methods should be applied consistently in evaluating like positions within a given work unit.

c. For each key responsibility, include a brief description, the relative importance of the factor as a percentage, an outline of expected results, and methods which will be used to evaluate performance. Attachments may be used as necessary.

d. The employee, the supervisor, and the supervisor's manager/reviewer must sign and date the work plan. Submit the original work plan to Human Resources. The supervisor should retain one copy and provide a copy to the employee.

e. Any changes that are made to the work plan during the cycle must be initialed and dated by each of these individuals prior to becoming effective. If any changes occur during this cycle, the supervisor retains a copy of the updated work plan and provides a copy to the employee.

4. Follow-Up Behavior.

The supervisor should model, coach, and reinforce performance throughout the evaluation cycle, as appropriate. Modeling means the supervisor demonstrates positive organizational and managerial behaviors. Coaching involves guiding employee job performance, when performance expectations are not being met. Reinforcing means praising and encouraging positive performance.

C. Interim Review

A supervisor must meet with each employee supervised at least once during the middle of the evaluation period for an interim review of performance. Informal in nature, this review should include a discussion of the employee's progress toward each of the established expectations.

The supervisor may document in the External Factors section of the EPMP Performance Evaluation (Form HR 6.30E) reasons why specific expectations could not be met and establish a plan to overcome deficiencies. Expectations which cannot be met as recorded should be rewritten or eliminated.

The employee's overall rating must be discussed but need not be recorded, unless it falls below the "Good" level, in which case it should be noted in the supervisor's comments. If an employee's rating is "Below Good," the supervisor must work with the employee in an effort to correct deficient performance. If the rating is "Unsatisfactory," the supervisor should begin corrective, progressive disciplinary action.
Both the supervisor and the employee must date and initial that the interim review has occurred at the top of Form HR 6.30E.

D. Conducting the Performance Evaluation

1. Preparation of the Performance Evaluation

At the end of the evaluation period, the supervisor must complete the EPMP Performance Evaluation (UNCW Form HR 6.30E). While the employee's signature on the performance evaluation acknowledges discussion of the evaluation, it does not denote agreement. If an employee refuses to sign the evaluation, it is management's responsibility to determine an alternative method of documenting that the evaluation has been completely discussed with the employee. Form HR 6.30E is available through the Administrative Forms Directory. When preparing the Performance Evaluation (Form HR 6.30E):

   a. The supervisor must indicate a rating for each job factor and record the actual results and improvement needed for each performance expectation.

   b. For each primary job factor (corresponding with the job factors shown on the Employee Work Plan, HR 6.30W, for the evaluation period), assign a performance rating and document actual results in the space provided. For those key responsibilities which require improvement, document the suggestions discussed in the Areas for Improvement section.

   c. Use the External Factors section to document any factors which would cause the evaluation to differ from what was originally anticipated or where normal evaluation methods may not apply.

   d. Do not complete the Training and Development section until the time the evaluation session is held with the employee.

   e. Use the Summary Evaluation to assign an overall performance rating and document any additional comment not noted elsewhere.

   f. The employee, the supervisor, and the supervisor's manager/reviewer must sign and date the performance evaluation.

   g. Send the original to Human Resources and a copy to the supervisor. Provide the employee with a copy of the signed and completed evaluation and inform the employee where this document is retained. (Human Resources will notify departments
if any variances in distribution are desired for an evaluation period.)


The supervisor will meet with the employee to discuss the performance evaluation, emphasizing how well work was performed, recognizing good performance, and identifying performance needing improvement. During the session, the performance improvement section must be completed, incorporating employee responses. Factors which would help the employee improve job performance and advance the employee's career should be discussed. Complete the Training and Development section and document any training discussed and agreed to, indicating an expected time frame. If necessary, a plan for improvement or career development may continue into the next evaluation period. (The overall performance rating will be discussed so the employee is aware of his performance throughout the evaluation period.)

3. Alterations to the Evaluation.

No changes will be made or comments added to the evaluation after discussion with the employee without the employee's knowledge (other than manager's review). If additional information is needed, it must be initialed and dated by the employee, the supervisor, and the supervisor's manager.

X. Probationary and Trainee SPA Employees and EPMP

A. Position Description

Within 30 days of employment, provide probationary and trainee employees with a position description and an explanation of work expectations.

B. Performance Evaluation.

At the time the employee is hired, copies of the EPMP Probationary Employee Performance Review (UNCW Form HR 6.30P) are provided to the supervisor. Additional forms may be obtained as needed in Human Resources. At the end of 45 and 90 days from initial employment, supervisors must complete the EPMP Probationary Employee Performance Review (UNCW Form HR 6.30P) to evaluate job performance. After 90 days, evaluations must be done each 30 days until permanent status is given or until the employee is terminated.
For training progressions in excess of three months, a performance evaluation must be conducted utilizing UNCW Form HR 6.30P prior to each scheduled salary increase within the progression. When preparing the Probationary Employee Performance Review (Form HR 6.30P):

1. Rate the employee, using the scale given, on job performance for items A-G. Include comments justifying the rating. Items F and G are utilized to rate employee performance based on factors determined by the manager. Items F and G must be included in the evaluation.

2. Document additional comments in section H, as needed.

3. Assign an overall performance rating to the employee based on the ratings given in items A-G.

4. If action is to be taken concurrent with this evaluation, indicate the appropriate action in section J.

C. Granting of Permanent Status

Prior to permanent status being awarded to an employee, the supervisor must develop a performance work plan. At the end of the 90-day probationary period (or when permanent status is given), the supervisor must complete UNCW Form HR 6.30W and submit it to the Department of Human Resources, along with the completed EPMP Probationary Employee Performance Review (UNCW Form HR 6.30P) requesting permanent status.

XI. SPA Employees With Changed Responsibilities

Employees whose responsibilities and duties are changed within their current position should have a new position description and performance plan established as soon as practical after the new assignment.

XII. Transferred Employees

Employees whose responsibilities and duties are changed due to transfer (lateral, promotion, or demotion) should have a new position description and performance plan established as soon as practical after the new assignment.

Transfer within State Government. Special rules apply when an employee is transferred within state government. Contact Human Resources for guidance as necessary.
XIII. Supervisor Changes Positions

To provide continuity and consistency in treatment when a supervisor changes positions, the next level manager and the supervisor should agree on each supervised employee's progress toward their performance plans. This interim evaluation should be documented by the next level manager and relayed to the succeeding supervisor. Results of such interim reviews may be shared with employees by the next level manager or the succeeding supervisor.