BOARD OF TRUSTEES
THE UNIVERSITY OF NORTH CAROLINA AT GREENSBORO

September 6, 2012

ACTION ITEM: Policy on Evaluation of EPA Non-Faculty Employees

BACKGROUND INFORMATION: Each staff position at the University is classified as “Subject to the State Personnel Act” (SPA, which is employment under the State’s personnel system administered by the Office of State Personnel in Raleigh) or “Exempt from the Personnel Act” (EPA, with terms of employment established by the Board of Governors and Board of Trustees). The EPA classification includes EPA Faculty and EPA Non-Faculty. Faculty annual evaluations are prescribed by the Annual and Post Tenure Review Policy for Faculty as well as the Promotion, Tenure, Academic Freedom, and Due Process Regulations. UNCG’s policy on Employees Exempt from the State Personnel Act requires EPA Non-Faculty employees to undergo an annual performance evaluation, but the content and format of this evaluation is unspecified in the policy, and is consequently determined by individual supervisors.

Chancellor Brady and the Executive Staff seek to provide additional guidance to EPA supervisors and employees through the establishment of a formal policy that standardizes the purpose, scope, policy, and procedure related to the annual EPA Non-Faculty employee evaluation process. A cross-divisional team worked with the Office of University Counsel to develop the proposed policy, which is enclosed and has been endorsed by Chancellor Brady. Also, for information purposes, an optional performance evaluation template that may be used in the annual evaluation process is enclosed.

RECOMMENDED ACTION: That the Board of Trustees of The University of North Carolina at Greensboro approve the proposed Policy on Evaluation of EPA Non-Faculty Employees.

David H. Perrin
Provost and Executive Vice Chancellor
POLICY ON EVALUATION OF EPA NON-FACULTY EMPLOYEES

Approved by Board of Trustees, ________, 2012

1. PURPOSE
The University of North Carolina at Greensboro (the "University") is committed to the professional development and recognition of its employees in light of its mission as an inclusive, collaborative, and responsive institution. To that end, it is the policy of the University that all EPA Non-Faculty employees receive annual written performance evaluations in order to:

- Align goals and performance with the mission of the University and unit, department or division;
- Foster two-way communication regarding job performance on an on-going basis;
- Identify opportunities for professional growth and development;
- Recognize employee contributions and achievements; and
- Provide necessary feedback on areas for improvement or when performance does not meet expectations.

2. SCOPE
This Policy applies to all "EPA Non-Faculty," which means University employees, other than faculty, whose positions have been determined to be exempt from certain provisions of the "State Personnel Act" (North Carolina General Statutes, Chapter 126). The definition of “EPA Non-Faculty” includes the following types of employees:

a. Those employees covered by the University Policy on Employees Exempt from the State Personnel Act. See [insert link to policy]; and

b. Those employees designated as "Senior Academic and Administrative Officers"\(^1\) ("SAAO I" and "SAAO II") as defined in The UNC Policy Manual, Policy 300.1.1, sections I.A and I.B. See [insert link to policy].

3. POLICY AND PROCEDURE
3.1 It is the policy of the University that supervisors of all EPA Non-Faculty employees shall formally, and in writing, assess the performance of those employees on at least an annual fiscal year basis. Performance evaluations will be completed by June 30 and cover the period of time from July 1 through the following June 30.

3.2 At a minimum, evaluation instruments shall contain the following criteria:

3.2.1 Important performance achievements and deficiencies, if any, noted during the appraisal period.
3.2.2 Performance expectations/goals for the upcoming appraisal period, with specific metrics, if applicable;

\(^1\) Excluding the Chancellor, whose performance is reviewed at regular intervals by the Board of Trustees and the President. UNC Policy 200.4.IV.
3.2.3 Consequences for performance during the next appraisal period that does not meet expectations/goals/objectives, as appropriate and if necessary;
3.2.4 Opportunity for employee self-evaluation;
3.2.5 Employee professional development goals and plans;

3.3. Once completed, departments should retain one copy within the employee’s confidential personnel file and forward one copy to Human Resources Services. EPA Non-faculty employee evaluations shall be retained in accordance with University record retention policies.

4. EVALUATION INSTRUMENT
While the University does not mandate the use of a single template or form, supervisors that wish to do so may use the EPA Non-Faculty Evaluation Template “as-is,” amend it to suit their needs (so long as the amended form remains compliant with Section 3.2 above), or develop a completely different evaluation form (again, so long as it remains compliant with Section 3.2 above). See [insert link to optional template]

5. ENFORCEMENT
Any violation of this policy may be considered "misconduct" under EPA employee policies.

6. REVIEW
The Office of Human Resources Services will periodically review this policy as necessary.

7. POLICY ADMINISTRATOR
Comments or questions? Email the Policy Administrator at [insert email link to person in HRS who interprets the policy].
REVIEW PERIOD: July 1, through June 30, .

EMPLOYEE INFORMATION

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<th>Name:</th>
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INSTRUCTIONS:
Employee and supervisor will discuss each of the core competencies in light of the employee’s goals, performance and accomplishments during the rating period (Sections II and III). Supervisor should provide comments and examples of measurable, observable accomplishments and/or deficiencies in performance to support the assessment. A copy of the completed Performance Evaluation must be submitted to EPA-Human Resources in the Office of the Provost by June 30th each year.

SECTION I: CORE PERFORMANCE AREAS

LEADERSHIP & RESULTS ORIENTATION
Inspires and generates enthusiasm and commitment for the vision, mission and core values of the university and the unit, department or division. Makes effective decisions and produces results through strategic planning and development, implementation and evaluation of programs and policies. Sets goals and priorities that maximize the use of resources available to consistently deliver results.

Supervisor’s Comments:

DIVERSITY AND INCLUSION
Models inclusive excellence through specific actions that support the university’s diversity goals in the recruitment, hiring, and retention of talented and diverse faculty and staff. Fosters an environment in which people who are diverse can work together cooperatively and effectively in achieving organizational goals.

Supervisor’s Comments:

1 This form complies with the Policy on Evaluation of EPA Non-Faculty Employees [insert link]
### INNOVATION AND CREATIVITY

Successfully implements creative ideas to move the organization, processes, and systems forward. Introduces new concepts, models, practices and services that serve to enhance operations of the unit, department, or division.

**Supervisor’s Comments:**

### TEAMWORK AND COLLABORATION

Promotes quality teams that effectively forward the goals of the unit, department or division and establishes rapport with colleagues. Adjusts work style or approaches in a way that encourages or supports productive collaboration, and demonstrates respect for diversity and differing points of view among colleagues.

**Supervisor’s Comments:**

### CONTINUOUS IMPROVEMENT & QUALITY SERVICE ORIENTATION

Anticipates, identifies, diagnoses and consults on potential or actual problem areas relating to program implementation and goal achievement. Provides prompt, high quality service to (students, faculty, staff, outside organizations, others you provide service to) while striving for the highest ethical standards and social responsibility.

**Supervisor’s Comments:**

### RESOURCE MANAGEMENT & TECHNOLOGY

Efficiently and effectively employs technologies for the unit utilizing methods and strategies that create environments that are flexible and in furtherance of the mission of the unit, department or division. Plans, organizes and manages resources to bring about the successful completion of specific project goals and objectives. Ensures the effective use of university resources, implements fiscally sound practices and environmentally sustainable initiatives.

**Supervisor’s Comments:**
**INSTITUTIONAL EFFECTIVENESS, PLANNING & ACCOUNTABILITY**

Develops and leads the achievement and accomplishment of goals and objectives consistent with institutional effectiveness and the overall goals of the university.

**Supervisor’s Comments:**

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**SECTION II: GOALS AND ACCOMPLISHMENTS**

*(TO BE COMPLETED BY THE EMPLOYEE)*

<table>
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<th>List your major goals and accomplishments for the appraisal period.</th>
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<th>Identify any performance and/or professional development goals or plans you would like to achieve during the next appraisal period.</th>
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### SECTION III: PERFORMANCE SUMMARY AND FUTURE GOALS

(To be completed by supervisor)

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<tr>
<th>Employee’s Performance Summary and Recommendations (This section is for the supervisor to make any additional comments that may be relevant to the performance assessment, including, if not already addressed, identification of important performance achievements and deficiencies, if any, noted during the appraisal period.)</th>
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<th>Identify performance expectations and goals for employee to achieve during the next assessment period, with specific metrics, if applicable. If applicable, include any potential consequences for performance that does not meet performance expectations or goals.</th>
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### SECTION IV: SIGNATURES

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2 Employee signature confirms receipt of copy of completed form, but not necessarily agreement with statements or assessments of supervisor.