

EXHIBIT 1
NORTH CAROLINA DEPARTMENT OF LABOR
Standards and Inspections Division
Appraisal Period: May 1, 2013 through April 30, 2014

Employee:	Position:
Supervisor:	Position:
Performance Planning Discussion	
My supervisor has reviewed with me my work plan and I fully understand what is expected.	
Employee Signature:	Date:
Supervisor's Signature:	Date:
Interim Appraisal	
Overall Interim Performance Rating:	
Employee Signature:	Date:
Supervisor's Signature:	Date:
Final Appraisal	
Overall Final Performance Rating:	
Employee Signature:	Date:
Supervisor's Signature:	Date:
Chief of Staff's Signature:	Date:
<i>A written warning issued during the performance appraisal year will result in at least a one-step drop in the final performance appraisal rating. A final written warning issued during the performance appraisal year will result in a "Does Not Meet Expectation" for the final performance appraisal.</i>	
<i>"Employees wishing to grieve their overall performance rating of less than "Meets or Equivalent" must do so in writing to the Employee Development Specialist (EDS) or HR Director within 15 calendar days of the alleged event or action that is the basis of the grievance as stated in the Employee Grievance Policy."</i>	

DIGITALLY IMAGE FINAL APPRAISAL WITH SIGNATURES AND RETAIN ON SUPERVISOR'S AND BUREAU CHIEF'S COMPUTER HARD-DRIVE. PROVIDE EMPLOYEE WITH AN ELECTRONIC COPY. PROVIDE HUMAN RESOURCES WITH A PHOTOCOPY.

EXHIBIT 1
NORTH CAROLINA DEPARTMENT OF LABOR
Standards and Inspections Division
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KRR #1: Strategic and Operational Performance Objectives (40%)

State Overdue Inspections (30%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
>.09%	≤.09%	≤.08%

Objective: 0.9% or less state inspection backlog of items due 30 days after certificate of inspection expiration.

Combined Overdue Inspections (25%)

Below Expectation	Meets Expectation	Exceeds Expectation
>1.5%	≤1.5%	≤1.25%

Objective: 1.5% or less combined State and insurance inspection backlog of items due 30 days after certificate of inspection expiration.

Follow-Up Inspections (20%)

Below Expectation	Meets Expectation	Exceeds Expectation
<95% within 90 days	≥95% within 90 days	≥99% within 90 days

Strategic Objective: 95% or less follow-up inspections of pressure retaining equipment for which violations were identified by State inspectors.

Achievement of 6 Remaining 2013-14 Strategic Objectives (15%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
>5	5	6

Note: Other strategic objectives include objectives 1.4, 2.1, 3.1, 3.2, 3.3 and 3.4.

Dimensions (Number of Below Good/Unsatisfactory Performance Log Entries) (10%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
≥4	2-3	1

Dimensions: Attention-to-Detail, Efficient, Integrity, Judgment, Planning and Time Management, Professional Conduct, Safety, Service-oriented, Teamwork, Coaching, Innovation, Objective and Delegation.

RATING BY SUPERVISOR: EE

Supervisor's Comments:

Employee's Comments:

KRR #2: Bureau Performance Management System (35%)

Standard Operating Procedures (35%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
<ul style="list-style-type: none"> Failure to comply with a "Meets Expectation" Rating. 	<ul style="list-style-type: none"> Standard operating procedures have been written for all of the bureau's work processes according to the requirements found in the SOP Guidelines. 	<ul style="list-style-type: none"> Requirements for "Meets Expectations" rating; Each procedure includes the six sections and the numbering sequence outlined in the SOP Guidelines; An assessment instrument has been developed and used for training new employees; and, Each written procedure is tested for clarity and completeness before it is finalized.

NOTE: See the SOP Guidelines.

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Performance Appraisals (30%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
<ul style="list-style-type: none"> > 1 documented instance of failure to comply with the standard operating procedures for performance appraisals. 	<ul style="list-style-type: none"> Only 1 documented instance of failure to comply with the standard operating procedures for performance appraisals. 	<ul style="list-style-type: none"> No documented instance of failure to comply with the standard operating procedures for performance appraisals; and, A productivity report is provided to employees monthly.

NOTE: See standard operating procedure for Performance appraisals.

2013-14 Strategic Planning Process (10%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
<ul style="list-style-type: none"> Failure to comply with a "Meets Expectation" Rating. 	<ul style="list-style-type: none"> Complies with the standard operating procedures for SWOT Analysis and Strategic Planning. 	<ul style="list-style-type: none"> Requirements for "Meets Expectations" rating; A completed and approved revised strategic plan by April 1 or May 1; A revised SWOT Analysis by January 31, 2014; and, The data collection process for each measure is reviewed annually to make sure it is accurate, complete, timely and valid.

NOTE: See standard operating procedures for SWOT Analysis and Strategic Planning.

Quarterly Performance and Strategic Plan Review (10%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
<ul style="list-style-type: none"> > 1 documented instance of failure to comply with the standard operating procedures for Quarterly Performance and Strategic Plan Review. 	<ul style="list-style-type: none"> Only 1 documented instance of failure to comply with the standard operating procedures for Quarterly Performance and Strategic Plan Review. 	<ul style="list-style-type: none"> No documented instance of failure to comply with the standard operating procedures for Quarterly Performance and Strategic Plan Review.

NOTE: See Standard Operating Procedure for Quarterly Performance and Strategic Plan Review.

Management Meetings (5%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
<ul style="list-style-type: none"> Failure to comply with one or more items for a "Meets Expectation" Rating. 	<ul style="list-style-type: none"> 4 meetings of all managers/supervisors and key staff; Dates, place and time for management meetings are posted on Outlook calendar; and, Minutes or notes shared with entire bureau staff. 	<ul style="list-style-type: none"> Requirements for a "Meets Expectation" Rating; and, At least some management meetings utilize teleconferencing technology such as Skype.

NOTE: Minutes or notes shared with entire bureau staff can be accomplished at supervisor meetings with direct reports.

Management-By-Walking-Around (5%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
< 6 field visits.	6-9 field visits.	≥10 field visits.

NOTE: Field visits include working with employee(s) on assigned job duties, supervisor and team meetings.

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Fiscal Year-end Reporting (5%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
<ul style="list-style-type: none"> Failure to comply with one or more items for a "Meets Expectation" Rating. 	<ul style="list-style-type: none"> A report; Accurate data on key strategic/operational data compared w/previous year; posted by 10/1; All key measures are identified and operationally defined; and, Compared with the previous year. 	<ul style="list-style-type: none"> Requirements for "Meets Expectation" Rating; Compared with 2 previous years; and, Readability and presentation of final report.

NOTE: Data reported is for the fiscal year. "Posting" means that the final report has been posted on the Department's Internet Website and submitted to Communications for the Department's annual report. The final report should use appropriate graphics and photos. The report should be grammatically correct, make use of graphs and charts and professionally presented.

Dimensions (Number of Below Good/Unsatisfactory Performance Log Entries) (5%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
>4	2-3	1

Dimensions: Attention-to-Detail, Efficient, Integrity, Judgment, Planning and Time Management, Professional Conduct, Safety, Service-oriented, Teamwork, Coaching, Innovation, Objective and Delegation. (For further detail refer to Deputy Commissioner's page under Standards and Inspections at the NCDOL intranet website.)

RATING BY SUPERVISOR: EE

Supervisor's Comments:

Employee's Comments:

KRR #3: Budget and Administration (25%)

Fiscally Responsible (45%)

- Fiscally responsible in the management of all bureau appropriations and other funds.
- Spends no more than 99% of total annual appropriations for expenditure.
- Continues to seek and implement strategies for reducing costs including efficient use of state vehicles.
- Monitors the costs for each supervisory area and compares it to performance.
- Reviews and approves all staff expenses monthly (e.g., phone charges, mileage).
- Maintains an inventory control system including the surplus of unused or obsolete equipment and materials on a timely basis.
- Maintains a 3-year replacement plan for purchasing equipment, computers, software etc. An inventory of all equipment includes the make, model, date of purchase, software, software type.
- Available salary reserve is distributed according to salary equity.
- Complies with administrative support requirements from Budget for the timely completion of routine administrative functions.

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Results Expectations

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
≥ 3 documented occurrences of failure to comply.	1-2 documented occurrences of failure to comply.	No documented occurrence of failure to comply.

Administratively/Managerially Effective (45%)

- Effective delegation of responsibilities and holds subordinates accountable.
- Efficient, productive and timely management of all Bureau administrative processes.
- Satisfactorily completes action plan assignments. (If an objective's target is not met then its action plan needs to be reviewed to confirm that assignments were carried out as expected.)
- The bureau's hiring process incorporates the dimensions in interview questions and requires applicants to demonstrate at least some skills required to perform the job.
- Complies with Beacon requirements for completing and approving timesheets weekly.
- Complies with all applicable Federal and State statutes and regulations.
- Complies with all Department policies and procedures.
- Complies with all administrative support requirements (i.e., Information Technology, Human Resources, Legal, Communications) for the timely completion of routine administrative functions.
- Regularly maintains shared Calendar on Outlook.
- Regular distribution of NCDOL Labor Law Poster by field personnel.

Result Expectations

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
≥ 3 documented occurrences of failure to comply.	1-2 documented occurrences of failure to comply.	No documented occurrence of failure to comply.

Dimensions (Number of Below Good/Unsatisfactory Performance Log Entries) (10%)

Does Not Meet Expectation	Meets Expectation	Exceeds Expectation
≥4	2-3	1

Dimensions: Attention-to-Detail, Efficient, Integrity, Judgment, Planning and Time Management, Professional Conduct, Safety, Service-oriented, Teamwork, Coaching, Innovation, Objective and Delegation. (For further detail refer to Deputy Commissioner's page under Standards and Inspections at the NCDOL intranet website.)

RATING BY SUPERVISOR: EE

Supervisor's Comments:

Employee's Comments:

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INTERIM PERFORMANCE SUMMARY

(Please summarize employee's overall job performance based on information for each expectation)

The Letter Which Represents Interim Overall Summary Rating:

Employee's Comments:

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FINAL OVERALL PERFORMANCE SUMMARY

(Please summarize employee's overall job performance based on information for each expectation)

The Letter Which Represents Final Overall Summary Rating:

Employee's Comments:

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Scoring Sheet

Performance Objectives (40%)

Item	% of KRR	Evaluation Score	Weighted Evaluation Score
Achievement of Performance Objectives	90%		
Dimensions	10%		
Total Weighted Evaluation Score	100%		

Performance Management System (35%)

Item	% of KRR	Evaluation Score	Weighted Evaluation Score
Standard Operating Procedures	35.0%		
Performance Evaluation	30.0%		
Strategic Planning Process	10.0%		
Quarterly Performance/Plan Review	10.0%		
Fiscal Year-End Reporting	5.0%		
Dimensions	5.0%		
Team Meetings	2.5%		
Mgmt. -by-walking-around	2.5%		
Total Weighted Evaluation Score	100.0%		

Budget and Administration (25%)

Item	% of KRR	Evaluation Score	Weighted Evaluation Score
Fiscally Responsible	45%		
Administratively/Managerially Effective	45%		
Dimensions	10%		
Total Weighted Evaluation Score	100%		

OVERALL PERFORMANCE EVALUATION SCORE

KRR	% of KRR	Overall KRR Evaluation Score	Overall Weighted Evaluation Score
Performance Objectives	40%		
Performance Management System	35%		
Budget and Administration	25%		
Overall Performance Evaluation Score	100%		

Exceeds Expectation = 2.75 to 3.00

Meets Expectation = 2.00 to <2.75

Below Expectation = 1.00 to <2.00

Scoring Sheet