

**Performance Management System: Quarterly Performance and
Strategic Plan Review**

**Standards and Inspections Division,
North Carolina Department of Labor**



Deputy Commissioner for Standards and Inspections

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Date

Quarterly Review
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1.0 Purpose and Scope

This procedure establishes a method for conducting a Quarterly Performance and Strategic Plan Review hereinafter known as the Quarterly Review. The purpose of the review is to monitor progress in implementing the bureau's strategic plan and if warranted, take corrective action if any of the objectives are not being met. The Quarterly Review also monitors operational objectives and other anecdotal management information for decision making. The Quarterly Reviews are held in the months of October, January, April-May and July.

2.0 Personnel Responsibilities

- 2.1 The bureau chief has responsibility for preparing and presenting all required data for the Quarterly Review.
- 2.2 The Deputy Commissioner for Standards and Inspections has responsibility for assigning the role of scribe.
- 2.3 The Executive Assistant to the Deputy Commissioner for Standards and Inspections has responsibility for pre-scheduling the Quarterly Reviews for each bureau a year in advance.

3.0 Health and Safety Issues

Refer to the *Employee Safety and Health Program Policies*, as well as the *Additional Resources* information section, on the DOL Intranet for all information related to safety matters affecting DOL personnel, including workplace violence, tornadoes, fires, slip and fall hazards, etc. To access this information, visit the DOL Intranet and click on the *Safety and Health Program* link on the homepage.

4.0 Procedure

- 4.1 The date, time and place for the Quarterly Reviews for the upcoming fiscal year are scheduled in advance during the months of May-June by the Executive Assistant to the Deputy Commissioner for Standards and Inspections.
- 4.2 The presentation of data and other information during the Quarterly Review must be electronic. The presentation must be emailed to the Chief of Staff, Deputy Commissioner for Standards and Inspections and the Executive Assistant to the Deputy Commissioner for Standards and Inspections.
- 4.3 Minutes are taken by the scribe for every Quarterly Review and record the following:
 - 4.3.1 Date and time of the meeting;

- 4.3.2 Meeting participants and who did not attend;
 - 4.3.3 Any meeting decisions or actions including --
 - a. Actions taken or to be taken and by whom,
 - b. Important anecdotal information not included in the presentation,
 - c. Questions, comments and/or decisions made by the Chief of Staff, Deputy Commissioner for Standards and Inspections (which are recorded and yellow-highlighted) and the Bureau Chief, and
 - d. Next meeting date, time and place;
 - 4.3.4 Personnel decisions or action related to an employee or any critical comments made regarding an employee are excluded from meeting minutes;
 - 4.3.5 A draft of the meeting minutes is reviewed by the Bureau Chief or the Deputy Commissioner for Standards and Inspections for clarification and editing.
 - 4.3.6 Meeting minutes are finalized and circulated to all participants within five (5) work days.
- 4.4 The Quarterly Review meeting begins with a review of the Year-To-Date (YTD) report.
- 4.4.1 The YTD report includes the following:
 - a. The first column ("Goal #/Obj #") lists the goal number and the objective number for each strategic objective.
 - b. The second column ("Objective") delineates the exact wording of each strategic objective.
 - c. The "Standard" column lists each objective's numerical (or qualitative) target.
 - d. The "YTD Actual" column shows the current data on each objective's numerical (or qualitative) target.
 - e. The "YTD Status."
 - f. The "Comments" column is provided to allow for additional information on each strategic objective.
 - g. See Exhibit.
 - 4.4.2 Each strategic objective is color-coded under the "YTD Status" column accordingly --
 - a. Green only if the objective's target is met or exceeded year-to-date,
 - b. Red if the objective's target is not met year-to-date, and
 - c. Yellow if the objective is on hold or no longer valid;
 - 4.4.3 The YTD is printed in hardcopy for posting.
- 4.5 Quantitative data is presented as follows:
- 4.5.1 All data presented is for the bureau's performance appraisal year either beginning April 1 or May 1 and ending March 31 or April 30;
 - 4.5.2 Strategic and operational indicators are presented in historical context for at least the previous two years to enable trend analysis;
 - 4.5.3 Key strategic and operational indicators are presented for each employee;

- 4.5.4 Graphs are to be used (e.g., bar charts, line charts, pie charts) in presenting data.
- 4.6 The Quarterly Review for April-May provides a final YTD report for the performance appraisal year as well as data for all other operational objectives.
- 4.7 The Quarterly Review for July provides two YTD reports: one for the current performance appraisal year and the other for the entire fiscal year. The YTD for the performance appraisal year is based on the bureau's current strategic plan. The YTD for the fiscal year is based on the previous strategic plan in effect for the fiscal year being reported.

5.0 Customer Service Requirements

- 5.1 Meeting minutes are clear, self-explanatory, objective and written in the same tense.
- 5.2 The minutes are completed within five (5) working days and forwarded to the Chief of Staff, Deputy Commissioner for Standards and Inspections and Bureau Chief.
- 5.3 All data must be presented electronically.
- 5.4 All data reported must be reliable and valid.

6.0 Data and Record Management

- 6.1 The most current YTD report is posted on the bulletin board on the 6th floor of the Old Revenue Building.
- 6.2 Meeting minutes must be archived on the bureau's intranet page by date and year.
- 6.3 All data presented including the YTD report may be archived on the bureau's intranet page by date and by year.