

NC Employees Workplace Program Requirements for

Safety and Health

Performance Management Program

Purpose

To provide managers, supervisors and employees of North Carolina State Government with a firm understanding of the relationship of the Performance Management Program to the Workplace Requirements Program. To provide guidelines for incorporating safety and health standards into the performance appraisal process and to provide an appropriate process to meet this objective. To suggest ways to include Safety & Health expectations on an employee's work plan.

Scope

The State Personnel Director is responsible for developing a comprehensive State Employee's Workplace Requirements Program for Safety and Health. In addition, every department, agency, and university is required to develop, implement, and administer a Performance Management Program Policy and set administrative procedures which are consistent with the policy of the State Personnel Commission, the State Personnel Act, and pertinent Federal and State legal requirements.

General

Supervisors have a continuous responsibility to make integral decisions regarding performance salary increases, promotions, demotions, dismissals, reductions in force, training and development, affirmative action and safety and health for their personnel. These decisions, which affect the utilization, development, reward, and safety of employees require judgments about employee performance. The Performance Management Program Policy recognizes the importance of the inter-relationship of these personnel policies and practices and requires that other practices and actions be consistent with employees' performance appraisals. Since performance appraisals are a major tool in making personnel decisions, critical safety and health standards should be incorporated into performance appraisals, so that if violations occur, personnel actions taken (i.e. disciplinary procedures for violation of safety and health standards) will be consistent. Therefore, critical safety and health standards should be explained to each manager, supervisor and employee, then be included in their work plan.

Performance Appraisals

Agencies are responsible for insuring that either their Performance Management Program Coordinator or their Safety and Health Director incorporate safety and health standards into each work plan.

Managers and second-level supervisors: are responsible for the compliance and effectiveness of both programs. They are accountable to their own supervisors, by agreement of a work plan, for effectively incorporating safety and health standards into each employee's work plan and performance appraisal. They should include critical safety and health standards on appraisal forms. **First Level Supervisors:** are responsible for incorporating safety and health standards into employee's work plans where applicable; conducting performance appraisals with each employee at least once a year; reviewing all

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work plan items which include critical safety and health standards; developing and updating critical safety and health standards at least once each year; and coaching employees on the use of proper safety and health procedures and personal protection (exclusive of health problems).

Performance Management Coordinators: are responsible for providing staff support to the agency head in administering the Performance Management program and insuring that safety and health standards are incorporated into the performance appraisal process. They coordinate the development of these safety and health standards. They provide training to all supervisory staff in how to incorporate these safety and health standards into the performance appraisal process.

Safety and Health Directors: are responsible for assuring that an Agency's Workplace Requirements program for Safety and Health is implemented and maintained and incorporated into the Performance Management program. They coordinate the development of safety and health standards into the performance appraisal process; establish long-range safety and health performance goals, which will ultimately be incorporated into the performance appraisals of positions within the organization; hold managers, supervisors, and employees accountable via performance appraisal for safety standards; determine

Appropriate training for managers, supervisors and employees with the assistance of the Performance Management Program Coordinator regarding how to incorporate safety and health standards into the performance appraisal process.

Safety and Health Job Analysis

Management at all levels must insure that safety, health and personal security are prime considerations in the development and planning of all tasks to be performed by state employees. When jobs are analyzed, subsequent performance objectives and safety standards should be developed. Consideration should be given to the safety and health requirements for each activity or task. In addition to these considerations, for some positions, additional critical tasks/activities should be developed expressly for the primary job responsibility of safety and health. Below is an example of a Safety and Health job analysis for various positions within an agency.

<i>Position</i>	<i>Primary Job Responsibility (PJR)</i>	<i>Critical Tasks of Activities</i>
Director/Secretary	Safety and Health	Provide personnel and resources for the support of the program. Communicate the program into all levels of the organization.
Department Head/Safety & Health Professional	Safety and Health	Develop safety standards for equipment, work methods and workplace. Conduct safety inspections to identify potential hazards and health problems. Coordinate corrective action to eliminate health hazards. Evaluate and

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		measure potential health hazards. Provide targets for corrective action. Investigate accidents, incidents and near miss situations to determine further preventive action. Train in safety principles to provide employees with safety knowledge. Provide personal protective equipment. Provide safety publicity to promote program interest and participation.
Supervisors	Safety and Health	Observe employee to determine safety work habits. Investigate accidents, incidents and near miss situations to determine what happened, why, who was involved, and how to prevent similar recurrence. Correct existing safety and health hazards to insure safe and healthy work environment. Provide safety and health training to employees. Establish standard operating procedures.
Employee	Safety and Health	Notify immediate supervisor of a violation or deficiency in safe and healthful working conditions. Recommend corrective action to insure safe working environment. Follow safety and health policies, procedures and standards.

Performance Expectations

Since the work plan serves as the basis of communication between supervisors and employees, it is important to include safety and health expectations on all employees' work plans. In this way, managers, supervisors and employees can understand exactly what is expected of them in creating and maintaining a safe work environment for themselves and others.

The work plan should have the Results Expectations listed under the Key Responsibilities/ Results section of the work plan. Safety and health Behavioral Expectations are listed under the Dimensions section of the work plan. Safety and health behavioral expectation(s) should be included under Dimensions which are already listed on the work plan. No new Dimension(s) should be added to the work plan unless absolutely necessary.

The exception to this is the safety officer series. Work plans for positions in this series should have more safety and health expectations since safety and health is the whole purpose of the work being done. Further, the behavioral expectations for safety and health officers should be written under the Dimension, Safety Awareness.

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The position's total safety and health responsibility should be covered in these two expectations. For a detailed list see Appendix A and Appendix B.

Suggested Results Expectations (KRR's)

From the safety and health job analysis conducted earlier, determine the performance expectations for the critical aspects of safety and health. Only one safety and health Results Expectation should be used under the Key Responsibilities/Results section of the work plan whenever possible. Below are examples of Results Expectations for various positions within an agency. The expectations are written as examples only and may not adequately represent the safety and health function in your agency. They should be written more specifically to more accurately apply to the worksite, work environment, or conditions under which the safety and health responsibility is expected to be performed.

<i>Position</i>	<i>Key Responsibilities/Results (KRR)</i>	<i>Result Expectations</i>
Director/Secretary	Safety Administration	Budget reports reviewed quarterly to insure adequate resources are available for the Safety & Health program.
Safety & Health Professional	Safety inspections	Conduct safety inspections of entire worksite at least once annually to identify potential safety & health hazards.
Supervisor	Supervision of employees	Observe employees daily to insure standard operating procedures are followed for a safe and healthy work environment.
Employee	Equipment Maintenance and Safeguarding	Perform daily equipment maintenance to correct potential equipment malfunctions or deficiencies which would create safety hazards to operators.

Suggested Behavioral Expectations (Dimensions)

A behavioral expectation should be written for a Dimension already included on the work plan. Dimensions for which the safety and health behavioral expectation could be written are:

Attention to Detail, Coaching, Decisiveness, Equipment Operation, Information Monitoring, Judgment, Performance Stability (Dependability), Practical Learning, and Work Standards.

The following expectations are written as examples only and may not adequately represent the safety and health function in your agency. They should be written more specifically to more accurately apply to the worksite, work environment, or conditions under which the safety and health behavior is expected to be practiced.

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<i>Position</i>	<i>Dimension</i>	<i>Behavioral Expectations</i>
Director/Secretary	Judgement	Provides necessary resources to carry out safety and health program functions, delegates authority for implementing and evaluating the program annually and directs program improvement to reduce costs and prevent accidents.
Safety & Health Professional	Information Monitoring	Reinforces day-to-day operation of the safety and health program, monitoring its effectiveness monthly in his/her work unit.
Supervisor	Attention to detail	Enforces safety and health policy, reports accidents, advises management of any unsafe work environment, practice or condition, and communicate new safety information to employees within (1-3) working days.
Employee	Equipment operation	Performs work in a safe manner, notifies the supervisor of any accident or unsafe condition and takes action to protect others from accidents.

Note: The safety and health behavioral expectation should be written under the most appropriate Dimension in which the behaviors are observed. Please note that the expectation should be incorporated under a Dimension already on the work plan.

A work plan may have more than one of the Dimensions listed above. If so, check the definitions in the Dictionary of Dimensions to determine the most appropriate one for the safety and health behavioral expectation.

Conclusion

Incorporating safety and health standards into the performance appraisal process is simply a process of determining the critical safety and health tasks and/or activities for a position; developing safety and health performance expectations, and then evaluating the employee's agreed-upon expectations against actual performance.

It should be noted, however, that the level and degree of safety standards varies from position to position. When considering whether to include safety and health as a primary job responsibility, the immediate supervisor, the safety and health officer, and

The Workplace Requirements For Safety and Health Program Manual should be consulted for an explanation of safety and health roles and responsibilities of different positions within the organizational hierarchy.

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Appendix A: Sample Key Responsibilities and Results (KRR's)

<i>Key Responsibilities and Results</i>	<i>Results Expectations</i>	<i>Tracking Source / Frequency</i>
Hazard Identification	Analysis of risks coordinated during the first quarter by (date) to minimize accident exposure. Statistical analysis including all elements of loss history and recommendations completed and submitted based on applicable regulations and standards.	Self report, discussions as occur. Complaints, accident inspections as occur. Accident reports as occur.
Hazard Control	Policies and procedures evaluated and developed annually based on Federal, State and consensus standards to prevent or control losses. Plans and specifications for renovations or new construction reviewed for compliance with current safety/health and ADA codes where applicable. Safety/health inspections coordinated on 100% of workplaces. Report outlining findings submitted to responsible parties within 4-5 weeks of completion of inspection.	Quarterly updates. Self-reports as occur. Report on findings as occur. Meeting calendars annually. Inspections, documentation log quarterly. Complaints as occur. Report documentation quarterly.
Hazard Information	Required safety and health records and reports maintained and submitted within established time frames. Recommendations provided to managers and supervisors on pertinent safety and health issues with an action plan including options for resolution. Notification provided to management of significant policy changes or potential safety/health problems within 2-3 days of knowledge of event for routine information and 8-24 hours for critical situations. Training and information is coordinated based on required standards, identified risks and job assignment.	Date stamp monthly. Documentation, self report monthly. Correspondence, documentation, self report as occurs. Training records, attendance sheets, agendas quarterly.
Program Evaluation	Annual program summary composed of activities and statistical analysis prepared and submitted by January 30.	Program summary annually.

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Appendix B: Sample Dimensions

<i>Key Responsibilities and Results</i>	<i>Results Expectations</i>	<i>Tracking Source / Frequency</i>
Technical, Professional Knowledge	<p>Stays current in recent technology for injury/illness and/or hazard control and measurement.</p> <p>Maintains awareness of state-of-the-art technical advances, laws and standards.</p>	<p>Supervisor's random observation.</p> <p>Self reports each occurrence.</p>
Safety Awareness	<p>Identifies potentially unsafe practices / conditions and recommends corrective actions.</p> <p>Conducts safety/health inspections for compliance with applicable consensus standards.</p>	<p>Inspections, correspondence as necessary.</p> <p>Inspections quarterly.</p>
Planning and Organizing	<p>Follows up to ensure that accident reports and other reports are submitted in a timely manner.</p> <p>Distinguishes between urgent and non-urgent safety issues when setting priorities and making recommendations for corrective action.</p>	<p>Phone log, self report monthly.</p> <p>Calendar, self report quarterly.</p>
Analysis	<p>Presents data from statistical analyses and inspections in a logical format to support recommendation for corrective actions.</p> <p>Seeks the advice of specialists for consultation on safety issues when necessary.</p>	<p>Statistical analyses, risks semi-annually.</p> <p>Self report as necessary.</p>
Judgment	<p>Considers the positive and negative aspects of a solution before making a decision.</p> <p>Considers the short- and long-term impact of recommendations for corrective action.</p>	<p>Correspondence, self report as occurs.</p> <p>Inspection findings, self report as occurs.</p>
Decisiveness	<p>Implements or recommends immediate corrective action if the severity of the safety problem warrants.</p> <p>Proposes corrective action or makes recommendations based on the health/safety issues identified during inspection, employee reporting or complaints.</p>	<p>Self report as occurs.</p> <p>Inspection findings quarterly.</p>