

UCR

Performance Management Faculty Briefing

Revised February 2017

Mission | *We provide HR leadership and expertise to create and support a high-performing, inclusive workplace which advances UCR's mission and strategic objectives.*

Vision | *UCR HR is the benchmark in higher education for visionary and innovative HR strategies and exemplary service delivery.*

Briefing Agenda

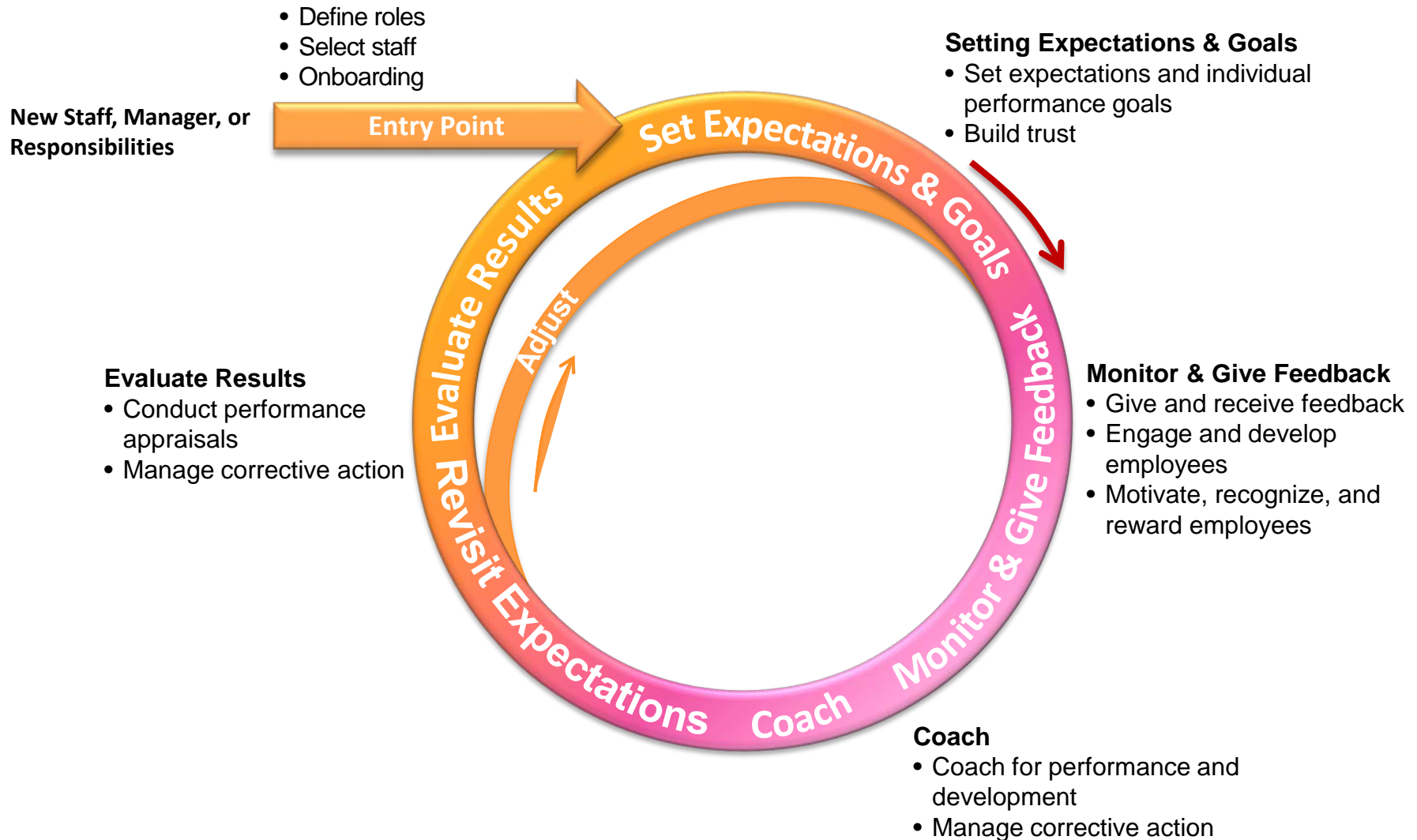
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Why Conduct Performance Appraisals?

Why Conduct Performance Appraisals?

- Establish Performance Expectations
 - Identify Successes
 - Identify Performance Problems
- Establish Goals and Objectives
- Identify Training Needs
- Establish Personal and Professional Development Plans
- Salary Administration
- Encourage performance accountability
- To Positively Impact Future Performance

UC Performance Management Cycle



Performance Planning

Performance Planning

- ▶ Define Job Responsibilities
 - ▶ Ensure position description is current, including the position purpose and essential job functions.
- ▶ Set and Communicate Performance Expectations
 - ▶ Performance expectations should link to the organization's mission, values and goals
 - ▶ Performance expectations should define "how well" each function or task must be performed (i.e., what 'success' looks like for that position)
 - ▶ Performance expectations provide a benchmark against which to evaluate work performance

Performance Planning

- ▶ Set & Communicate Goals
 - ▶ A statement describing a condition/result needing to be achieved
 - ▶ A target to aim for, but that has not yet been hit
- ▶ Consider the Types of Goals
 - ▶ **Development Goals** - Goals established for personal/professional growth
 - ▶ **Innovation Goals** – Goals established for creating a new process, function or program; higher level of service
 - ▶ **Improvement Goals** – Goals established to correct performance that is below standards and requirements

Managing and Coaching

Managing and Coaching

- Year-round/continuous processes
- Monitor performance
 - 1:1 meetings
 - Conduct quality checks
 - Observe performance
 - Solicit input from clients/others
 - Measure results
- Is performance meeting position expectations?
- Is employee making progress toward goals?

Managing and Coaching

- ▶ Give and receive feedback
 - ▶ Make course corrections, as necessary
 - ▶ Provide training, tools, resources, coaching
 - ▶ Recognize and reinforce successful performance
 - ▶ Motivate and reward exceptional performance

- ▶ Manage corrective actions
 - ▶ Where other interventions not successful, initiate formalized improvement plan or corrective action

Coaching Model

- › Purpose: Focus on the purpose of the meeting
- › Objectives: Describe the desired performance in behavioral statements
- › What's Happening Now: Describe the gaps in performance you have observed, and the impact of that performance
- › Employee Response: Obtain employee's response to concerns and empower the employee to develop their own solutions to close the gap
- › Summarize and document the go-forward plan
- › Review: Set a follow-up date to review performance

Capturing Performance

Capturing Performance

- Observe: Gather observations related to:
 - Trends in performance
 - Steadily improving or declining
 - Has performance reached plateau, even though the employee is capable of more complex or difficult work?
 - Is successful performance consistent/sustained or sporadic
 - Critical incidents
 - Outstanding successes or failures
 - Atypical performance events

Capturing Performance

- > Document what you have seen (personally) and heard (i.e., feedback provided by clients)
 - > Maintain a structured diary
 - > Weekly documentations of performance
 - > Use behavioral terms
 - > Assessment of performance expectations of goals
 - > Skills exhibited
 - > Results of behavior (positive and negative)
 - > Unstructured diary – periodic notes of performance events
 - > Work samples
 - > Email folder with emails, documents that illustrate performance
- > Categorize: What level of performance is being demonstrated in the rating factors

UCR's New Performance Management Program

Performance Rating Levels and Descriptions

Beginning with the 2016/17 performance review period, a new rating scale with different level names and descriptions was adopted. For administrative ease on the performance appraisal form, each level is associated with a number, as indicated below.

| Exceptional Performance (5) | Exceeds Performance Expectations (4) | Successfully Meets Performance Expectations (3) | Performance Needs Improvement (2) | Unsatisfactory Performance (1) |
|---|--|---|---|--|
| <p>Performance consistently exceeds goals, job requirements and expectations, resulting in an overall quality of work that was superior and either 1) included the completion of a major goal or project or 2) made an exceptional or unique contribution in support of unit, department, or University objectives. This rating is achievable by any employee though given infrequently.</p> | <p>Performance frequently exceeds goals, job requirements, and expectations. Frequently generates results above those expected of the position.</p> | <p>Performance consistently meets goals, job requirements and expectations. Employee makes a solid, reliable, and meaningful contribution to the department.</p> | <p>Performance did not consistently meet goals, job requirements, and expectations – performance failed to meet expectations in one or more essential areas of responsibility and/or, one or more of the most critical goals were not met.</p> | <p>Unacceptable performance, which does not meet minimum position requirements. Situation requires immediate review and action. Continued performance at this level will result in termination.</p> |

Performance Factors & Elements

- Beginning with the 2016/17 performance review period, all staff employees are rated on 7 Universal Factors. Supervisors and managers are also rated on 4 Supervisory Factors (next slide)
- Each Factor is comprised of 4-6 Elements (weighted equally)
- Each Element is rated using the 5-point scale in the [Performance Factors and Behavior Indicator \(PFBI\) Guide](#)
- The Element ratings are used to determine the Factor rating

Performance Factors

➤ Universal Factors

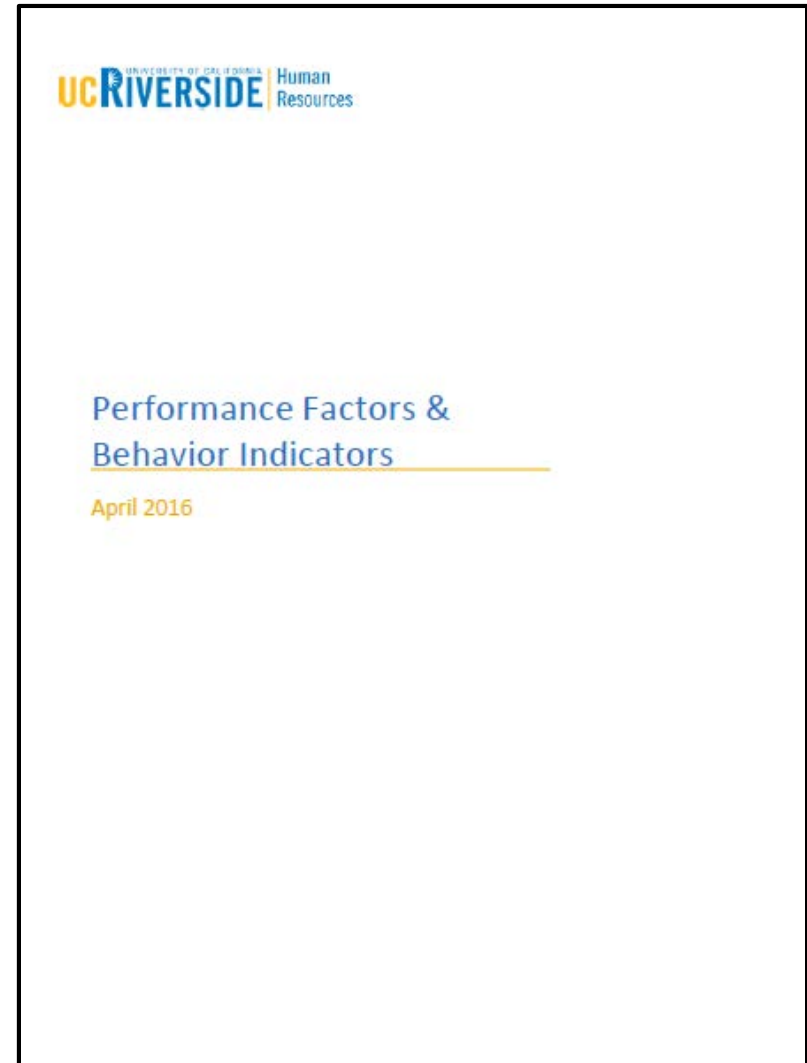
- Functional & Technical Skills
- Communication Skills
- Client Service
- Problem Solving & Decision Making
- Inclusiveness
- Commitment to Quality
- Collaboration/ Teamwork

➤ Supervisory Factors

- Developing Direct Reports
- Managing & Measuring Work
- Managing Employee Performance
- Motivating Direct Reports

Performance Factors & Behavior Indicator (PFBI) Guide

- › [Available on-line](#)
- › Each factor has its own page
- › Provides clarity and transparency for supervisors and employees about:
 - › What each Factor measures: What are the various Elements being assessed in each Factor.
 - › What performance or behavior is expected at each rating level for every Element of each Factor.
- › Enables consistency of ratings across supervisors for same level of performance
- › Enables differentiation of ratings for employees based on their performance as measured against the standards for each Factor



Performance Factors & Behavior Indicator (PFBI) Guide

Factors

Rating Elements for Each Factor

Rating Levels for each Element

Behavior Indicators Associated with Each Rating Level

1.0 Functional and Technical Skills: The effectiveness with which the employee applies the required skills and knowledge to the job.

- Behaviors**
- 1.1 Demonstrates and applies the knowledge and skills necessary to perform the job effectively.
 - 1.2 Chooses appropriate tools or technology for tasks.
 - 1.3 Understands and complies with position procedures, University policies, external laws, and regulations.
 - 1.4 Remains current on new developments in area of responsibility.
 - 1.5 Acts as a resource upon whom others rely on for assistance and actively shares knowledge to improve performance of the team.

| Element | Rating | Behavior |
|---------|--------|--|
| 1.1 | 5 | Possesses and applies advanced functional or technical knowledge to his or her job, and processes information and complex problem solving; demonstrates an exemplary level of accomplishment in job performance. Demonstrates an active interest in continuously enhancing current skills and learning new ones. |
| | 4 | Possesses and applies advanced functional or technical knowledge to do his or her job at a high level of accomplishment. Demonstrates an active interest in enhancing current skills and learning new ones. |
| | 3 | Possesses and uses the required knowledge skills and abilities to perform the job effectively. |
| | 2 | Lacks some of the required functional and technical knowledge and skills to perform the job effectively. |
| | 1 | Does not exhibit the required functional and technical knowledge and skills necessary to perform the job effectively. |
| 1.2 | 5 | Thoughtfully selects, combines, or invents appropriate technology for tasks; improves or redesigns processes, tools, or technologies. |
| | 4 | Chooses appropriate tools or technology for tasks; and researches, experiments with, improves or redesigns processes, tools, or technologies to determine applicability and improve work product. |
| | 3 | Chooses appropriate tools or technology for tasks. |
| | 2 | Does not effectively utilize available tools and technology in performance of duties. |
| | 1 | Does not have adequate understanding of available tools and technology. |
| 1.3 | 5 | Understands and complies with all applicable procedures, University policies, laws and regulations; and consistently seeks information about pending changes in law and other regulations that impact duties. Shares information within network. Researches and proposes changes to policies and procedures to improve products, services, and efficiencies. |
| | 4 | Understands and complies with all applicable procedures, University policies, laws and regulations; and regularly reviews professional and technical publications and other news sources for information that may impact performance of job and keeps others informed of developments. |
| | 3 | Understands and complies with all applicable procedures, University policies, laws and regulations. |
| | 2 | Sometimes relies on outdated procedures, University policies, laws and regulations. |
| | 1 | Performs duties with little regard for applicable and relevant procedures, University policies, laws and regulations. |
| 1.4 | 5 | Keeps abreast of developments in applicable University policies, regulations and/or technological advances and proactively engages stakeholders to strategize appropriate responses. |
| | 4 | Keeps abreast of developments in applicable University policies, regulations and/or technological advances, assesses impact, and identifies necessary changes in work practices to ensure compliance and improve service. |
| | 3 | Remains current on new developments in area of responsibility. |
| | 2 | Not attentive to changes to applicable policies and regulations; needs to be reminded of changes. Does not adapt their work practices in a timely manner. |
| | 1 | Lacks awareness or concern of changes in applicable policies and regulations; relies on others to correct his/her work. |
| 1.5 | 5 | Is sought out by others for technical expertise and knowledge and for troubleshooting of complex issues. |
| | 4 | Consistently shares expertise with others, teaching skills, and explaining concepts. |
| | 3 | Acts as a resource upon whom others rely on for assistance and actively shares knowledge to improve performance of the team. Provides opportunities for others to learn technical skills and concepts. |
| | 2 | Has the capability and knowledge base to share knowledge and technical skills with others, but does not routinely share. |
| | 1 | Skills and knowledge are insufficient to provide assistance to others. |

Performance Appraisal Form

- [Available on-line](#)
- Same form used for all staff employees
- Everything is included in a single form/document:
 - Employee self-assessment of performance, goals and accomplishments
 - Employee professional development plan
 - Supervisor rating of employee in all performance factors
 - Supervisor assessment of employee compliance with campus-wide performance standards and training requirements
 - Supervisor rating of employee's overall annual performance
- Boxes expand as necessary to capture all comments

UNIVERSITY OF CALIFORNIA
UCRIVERSIDE Human Resources

Performance Appraisal Form

EMPLOYEE INFORMATION

Name: Title:

Dept.: UC Date:

Review Period: From Through

GOALS AND ACCOMPLISHMENTS

Comment on the extent to which goals agreed upon for this review period were achieved. Highlight significant accomplishments and include any special recognition received throughout the year. Identify areas that should be targeted for improvement. Employees may include self-assessment comments on the key performance factors in this section. See guidance online for assistance.

Self-Assessment

Reviewer Comments/Appraisal on Goals and Accomplishments
(Key Performance Factors Reviewed Below)

PROFESSIONAL DEVELOPMENT PLAN

Identify professional development opportunities pursued last year (e.g., on-the-job learning such as projects and special assignments, certifications obtained/maintained). Describe what is needed for professional development in the upcoming performance period. See guidance online for assistance.

Self-Assessment

Reviewer Guidance

KEY PERFORMANCE FACTORS

RATING GUIDELINES/DESCRIPTIONS

Use this section to indicate to what extent the key performance factors were demonstrated in accomplishing goals and job responsibilities.

Employees who consistently demonstrate behaviors that Successfully Meet Performance Expectations ("3" rating) in all rating elements of a given factor should be rated as Successfully Meeting Performance Expectations for that specific factor.

Performance Management - Performance Appraisal Form (11.23.16)
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Performance Appraisal Form "How-To" Guide

- [Available on-line](#)
- Provides instructions for staff and supervisor in completion of each section of the Performance Appraisal Form
- Provides guidelines for supervisor in determining factor ratings and overall rating

UC RIVERSIDE Human Resources Performance Appraisal Form

EMPLOYEE INFORMATION

Name: _____ Title: _____
 UC Hire Date: _____
 Through _____

PERFORMANCE AND ACCOMPLISHMENTS

_____ need upon for this review period were achieved. Highlight significant achievement received throughout the year. Identify areas that should be targeted for improvement in the upcoming year. Assessment comments on the key performance factors in this section. See

Self-Assessment

STAFF: Demonstrate your self-awareness by writing a balanced assessment of your performance highlights.

1. Summarize progress on goal achievement. Clarify which goals were attained.
2. Include only your proudest accomplishments and omit routine responsibilities – less is more.
3. Highlight special recognition you received throughout the year.
4. Identify areas that should be targeted for improvement.
5. Share a few examples of how demonstrating key performance factors enabled your performance.

REVIEWER: Provide your evaluation, recognition, and recommendations by commenting on the self-assessment.

1. If you disagree with any self-assessment comments, be sure to indicate your concern(s) in this section.
2. Recognize in your comments when expectations were exceeded.
3. Avoid using vague language (e.g., "bad attitude" or "good performance") and making assumptions.
4. Be objective by using facts and examples.
5. Acknowledge goal achievement. For unattained goals, include suggestions to improve in the year ahead.
6. Clarify your expectations by describing what the employee needs to continue doing and what needs to change.

REVIEWER COMMENTS/APPRaisal OF (Key Performance Factors)

PROFESSIONAL DEVELOPMENT PLAN

STAFF: Your development matters. Take care in this section to highlight progress and ask for what you need to develop.

1. Summarize what you learned last year using brief examples.
2. Highlight areas you want to improve in and strengths you want to build on.
3. Recommend learning opportunities that will provide growth in your current job and/or support your career aspirations.
4. Link learning opportunities to goal completion for the upcoming year to validate your suggestions.
5. Consider your learning preferences and suggest a mix of options (e.g., training, reading, networking, and on-the-job learning).

REVIEWER: Acknowledge development from the previous year and confirm the employee's professional development plan for the next review cycle.

1. Recognize developmental activities achieved last year.
2. Add comments that clarify what development is needed to help the employee enhance their proficiencies on Key Performance Factors.
3. If you agree with the recommendations in their self-assessment, add comments to indicate your endorsement.
4. Recommend professional development that will help the employee achieve their goals in the next year.
5. Identify one or two on-the-job learning opportunities (e.g., a new assignment, cross-training).

REVIEWER GUIDANCE

Performance Management - Performance Appraisal Form (4.12.16) 1 | Page

Appraising Performance

Appraising Performance

- Who should evaluate performance?
 - Immediate Supervisor/Principal Investigator
 - Department Chair (if applicable)
 - Co-Supervisor/Team Leader (if applicable)

Appraising Performance

- ▶ Gather and review:
 - ▶ Position description
 - ▶ Previously established performance expectations and goals
 - ▶ Informal review notes and other supporting materials
 - ▶ Supplemental feedback received from others
 - ▶ *Performance Factors and Behavior Indicators Guide*
 - ▶ Employee's Self-Assessment

Preparing the Performance Appraisal Form

Preparing the Performance Appraisal Form

- > Goals and Accomplishments Section
 - > Enter comments/appraisal of employee's performance toward/achievement of goals and noteworthy accomplishments

- > Professional Development Plan Section
 - > Enter comments/recommendations for professional development

Preparing the Performance Appraisal Form

- Key Performance Factors Section
 - For each applicable **Factor**, using the behaviorally anchored rating scales in the [*Performance Factors and Behavioral Indicator*](#) guide, evaluate the employee's performance on each **Rating Element**
 - Determine overall rating for each Factor
 - Elements are weighted equally
 - Preponderance of ratings for Elements generally determines rating for Factor, but:
 - To receive "Exceptional" ("5") rating on a Factor, all Elements **MUST** be rated "Exceptional" ("5")
 - If employee is rated as "Needs Improvement" ("2") in one or more Elements of a Factor, the Factor rating cannot exceed "Successfully Meets Performance Expectations" ("3")
 - If employee is rated as "Unsatisfactory" ("1") in one or more Elements of a Factor, the Factor rating cannot exceed "Needs improvement" ("2")
 - Add comments providing examples of performance supporting rating given

Preparing the Performance Appraisal Form

- ▶ Campuswide Performance Standards
 - ▶ Using the [Campuswide Standards Guidelines](#), determine if employee met standards on ALL campuswide performance standards
 - ▶ If employee did not demonstrate satisfactory performance in all standards, include suggestions for development in the comments section
- ▶ Compliance with Cyber Security Training Requirement
 - ▶ Indicate whether employee has completed the UC Cyber Security training requirement

Preparing the Performance Appraisal Form

➤ Overall Rating Section

- Overall rating is determined by
 - Performance ratings on Factors
 - Relative importance of Factors
 - Each Factor need not be of equal weight but comments should justify significant differences impacting on the overall rating.
 - Assessment of goal achievement
- Preponderance of ratings for Factors generally determines overall rating, but, employee receiving an rating of “unsatisfactory” (“1”) rating, in ANY performance Factor, should be given an overall rating of no greater than “Needs Improvement” (“2”)

Preparing the Performance Appraisal Form

- > Overall Rating Section
 - > Check box that corresponds with overall rating
 - > Add comments supporting the rating
- > Goals/Action Plan Section
 - > Attach [Goal Agreement Form](#) for next review period
 - > If overall rating is Successfully Meets Performance Expectations ("3") or greater, but one or more Factor required improvement, describe performance improvement or actions plans to improve performance.
 - > If overall rating is less than Successfully Meets Performance Expectations ("3"), prepare a formal Performance Improvement Plan in consultation with Human Resources

Calibration of Performance Appraisals

Calibration of Performance Appraisals

- ▶ Calibration is a process by which the organizational unit ensures
 - ▶ Consistent application of performance standards in the rating of employees, no matter the supervisor
 - ▶ Meaningful differentiation in ratings provided to employees, supported by comments of supervisor
- ▶ Calibration encourages a common understanding of performance standards and expectations across the organization for supervisors, managers and organization heads for rating employees

Calibration of Performance Appraisals

- ▶ Calibration Process
 - ▶ Submit draft evaluation to reviewers' supervisor for review and calibration with like employees to ensure consistent application of performance standards
 - ▶ Participate in calibration discussions as required by your organization head
 - ▶ Finalize performance review in accordance with outcome of calibration session

The Performance Appraisal Meeting

The Performance Appraisal Meeting

- ▶ Performance appraisals are most productive when they are collaborative, both people are prepared ahead of time and there have been discussions about performance throughout the year. The performance appraisal meeting should be a two-way conversation
- ▶ Setting the Tone
 - ▶ Be prepared –know the objectives and goals of the meeting.
 - ▶ Time and place – choose a quiet, private spot limited interruptions.

The Performance Appraisal Meeting

- Put the employee at ease by acknowledging that these sessions can cause anxiety but the purpose is to improve performance and to gather information on how you can help in these efforts.
- Approach the employee you are appraising as a partner rather than a judge. Tell the employee that the performance appraisal meeting is a two-way discussion, not one-way.
- Maintain a positive focus. If an employee's overall performance successfully meets performance expectations, focus on the factors that led to that success. If an employee's overall performance is not meeting expectations, focus on problem-solving rather than fault finding.

The Performance Appraisal Meeting

| | |
|--|--|
| <p>Explain the purpose of the meeting</p> | <p>To discuss the employee's performance over the past year, the job expectations and the organization's expectations.</p> |
| <p>Explain the process of the meeting</p> | <ol style="list-style-type: none"> a. Review past performance. <ul style="list-style-type: none"> • Allow employee to share how they view their performance over the past year. • Allow employee to share ideas they have for strengthening their performance. • Supervisor shares their evaluation. • Discuss differences and come to a common understanding. b. Set performance expectations for the next appraisal period. c. Discuss developmental plans and activities that should be conducted during the next appraisal period. |
| <p>Ask the employee if they have any questions</p> | |

The Performance Appraisal Meeting

| | |
|--|---|
| <p>Allow the employee to share their assessment of their performance</p> | <ul style="list-style-type: none"> a. Listen carefully to the employee's self assessment. b. Focus the employee on specific behaviors, actions and results related to his/her performance. |
| <p>Share your appraisal and overall rating</p> | <ul style="list-style-type: none"> a. Provide effective performance feedback. b. Focus on behaviors, actions, and results. c. Reinforce positive performance results. d. Direct critical performance feedback toward performance improvement |
| <p>Guide the discussion of similarities and differences in the performance appraisal (self appraisal and supervisor's appraisal)</p> | <ul style="list-style-type: none"> a. Show interest in what the employee has to contribute. b. Ask questions to clarify and to gather information. c. Focus the conversation on performance improvement. d. Seek to understand why the employee chose the behaviors he/she did. e. Arrive at a common understanding on how you and the employee view his/her performance. f. When disagreements occur, ask questions to uncover the underlying reasons for this difference of opinion |

The Performance Appraisal Meeting

Receive feedback and suggestions from the employee

- a. Focus on the performance issues reported, not the person or personality.
- b. Carefully listen; take notes.
- c. Acknowledge the employees concern.
- d. Welcome suggestions.
- e. Remain open to feedback on your own behavior as a manager.
- f. Clarify any feedback that you receive from the employee on your own leadership.

Set performance expectations for the next appraisal period

Discuss development activities for the next appraisal period

Close the meeting

- a. Acknowledge your appreciation of the employee's efforts.
- b. Review the performance expectations and developmental activities.
- c. Clarify the roles that you and the employee will take in regard to performance expectations and developmental activities and determine the next steps.

Allow the employee to make written comments on the appraisal. Ensure they receive a copy of the completed appraisal

Performance Management Resources

Performance Management Resources

- › [Performance Management Website](#)
- › [Performance Factors & Behavior Indicators](#) Guide
- › [Campus-wide Standards Guide](#)
- › [Supervisor's Guide to Performance Appraisals](#)
- › [Performance Appraisal Form – "How To" Guide](#)
- › [Calibration Resource Guide](#)
- › Performance Management Training
- › [Performance Appraisal Timeline](#)

Performance Management Forms

Performance Management Forms

- › [Performance Appraisal Form](#)
- › [Goal Agreement Form](#)
- › [Position Linkage Worksheet](#)
- › [Supplemental Performance Feedback Form](#)
- › [UCR Individual Development Plan](#)

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