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.
<table>
<thead>
<tr>
<th></th>
<th>Briefing Agenda</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>Why Conduct Performance Appraisals?</td>
</tr>
<tr>
<td>II</td>
<td>Performance Planning</td>
</tr>
<tr>
<td>III</td>
<td>Managing &amp; Coaching</td>
</tr>
<tr>
<td>IV</td>
<td>Capturing Performance</td>
</tr>
<tr>
<td>V</td>
<td>UCR’s New Performance Management Program</td>
</tr>
<tr>
<td>VI</td>
<td>Appraising Performance</td>
</tr>
<tr>
<td>VII</td>
<td>Preparing the Performance Appraisal Form</td>
</tr>
<tr>
<td>VIII</td>
<td>Calibration of Performance Appraisals</td>
</tr>
<tr>
<td>IX</td>
<td>The Performance Appraisal Meeting</td>
</tr>
<tr>
<td>X</td>
<td>Performance Management Resources</td>
</tr>
<tr>
<td>XI</td>
<td>Performance Management Forms</td>
</tr>
</tbody>
</table>
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

**Entry Point**
- Define roles
- Select staff
- Onboarding

**Setting Expectations & Goals**
- Set expectations and individual performance goals
- Build trust

**New Staff, Manager, or Responsibilities**

**Coach**
- Coach for performance and development
- Manage corrective action

**Evaluate Results**
- Conduct performance appraisals
- Manage corrective action

**Monitor & Give Feedback**
- Give and receive feedback
- Engage and develop employees
- Motivate, recognize, and reward employees
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.

<table>
<thead>
<tr>
<th>Exceptional Performance (5)</th>
<th>Exceeds Performance Expectations (4)</th>
<th>Successfully Meets Performance Expectations (3)</th>
<th>Performance Needs Improvement (2)</th>
<th>Unsatisfactory Performance (1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance <strong>consistently exceeds</strong> 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.</td>
<td>Performance <strong>frequently exceeds</strong> goals, job requirements, and expectations. Frequently generates results above those expected of the position.</td>
<td>Performance <strong>consistently meets</strong> goals, job requirements and expectations. Employee makes a solid, reliable, and meaningful contribution to the department.</td>
<td>Performance <strong>did not consistently meet</strong> 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.</td>
<td>Unacceptable performance, which does not meet minimum position requirements. Situation requires immediate review and action. Continued performance at this level will result in termination.</td>
</tr>
</tbody>
</table>
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
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
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
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:
    - 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

<table>
<thead>
<tr>
<th>Explain the purpose of the meeting</th>
<th>To discuss the employee’s performance over the past year, the job expectations and the organization’s expectations.</th>
</tr>
</thead>
</table>
| Explain the process of the meeting | a. Review past performance.  
• 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. |

Ask the employee if they have any questions
## The Performance Appraisal Meeting

| Allow the employee to share their assessment of their performance | a. Listen carefully to the employee’s self assessment.  
b. Focus the employee on specific behaviors, actions and results related to his/her performance. |
| --- | --- |
| **Share your appraisal and overall rating** | 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 |
| **Guide the discussion of similarities and differences in the performance appraisal (self appraisal and supervisor’s appraisal)** | 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 employee's 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. |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Set performance expectations for the next appraisal period</td>
<td></td>
</tr>
<tr>
<td>Discuss development activities for the next appraisal period</td>
<td></td>
</tr>
</tbody>
</table>
| 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
Contact Information

» Seana M. Nunez-Grider
  » (951) 827-1442
  » seana.nunez@ucr.edu

» Mary E. White
  » (951) 827-2622
  » mary.white@ucr.edu