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

Mission

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

Vision
Agenda


II. Preparing the Revised Performance Appraisal Form – Version 2.0

III. Performance Management Forms and Guides – Version 2.0

IV. Performance Management Resources
Goals of 2017-2018 Revision

- To retain campus-identified successful portions of the program
- To use campus feedback and focus groups to guide changes
- Improve communication and engagement efforts
- Balance improvement needs with campus’ change fatigue
- Strategically structure changes in anticipation of 2018-2019
- Electronic Performance System (E-Performance)
I. Changes to UCR’s Performance Management System

Introducing Version 2.0 for 2017-2018
Changes to UCR’s PM System v2.0

Feedback Forums – April/May 2017
› “Open forums” held by HR to gather feedback on Version 1.0 of the Performance Management (PM) System
› Participants asked to “tell us what you liked and what you didn’t; what worked and what didn’t,” regarding the new system

Results
› Many users appreciated effort to differentiate between levels of employee performance; but they also said:
   › Too complicated
   › Too long to complete – they disliked having to rate 37+ separate “elements” of performance
   › Elements not relevant to all campus organizations
   › Too many separate forms
   › Instructions and terminology not clear; needed 3½-hour training session to learn
   › Confusion between “Goal Setting” and “Individual Development Plan” (IDP)
   › Geared too much to “office” environment – difficult for others to achieve higher/highest ratings
Changes to UCR’s PM System v2.0

We Heard You!
In response to feedback, v2.0 is shorter, simpler and much less time consuming:

- **Performance Appraisal form now provides clear, step-by-step directions for each section of the process** – no lengthy training required
- **Eliminates individual rating of 37+ “elements”** – elements are now only used to help define the seven performance factors; only factors are rated
- **Eliminates or consolidates other forms used in Version 1.0**
- **Clarifies different purposes of the Goal Setting form versus the IDP** – provides clear directions for the use of each form
- **Language describing performance factors is more inclusive** – less “office-oriented”
- **Reduces the number of supervisory performance factors from four (4) to three (3)**
Changes to UCR’s PM System v2.0

We Heard You!

All seven performance factors (for all employees) have been streamlined for 2017-18 and have been made more inclusive of other working environments:

1. Functional and Technical Skills
2. Communication Skills
   - Now rates written/oral communications “to the extent required by the position”
   - The references, “confidentiality” and “protects private and confidential information,” have been eliminated as well as the requirement to rate them.
3. Customer Service (formerly Client Service)
4. Problem Solving and Decision Making
5. Inclusiveness
6. Clarifies descriptions of types of inclusive behavior
7. Commitment to Quality and Quantity of Work (formerly Commitment to Quality)
8. Collaboration/Teamwork
Changes to UCR’s PM System v2.0

Performance Appraisal Form revised

- New look and function (as shown): thoroughly revised to streamline process and increase clarity
- Clear distinction between processes of reviewing past performance vs. setting future goals (see section labels as shown)
- New clear, step-by-step directions to supervisor and employee throughout (see step labels as shown), eliminating need for extensive training
- Clear descriptions and definitions of the 7 revised performance factors
- Eliminates need to rate 37+ separate “elements”
- Eliminates supervisor comment on employee self-assessment

changes to UCR’s PM System v2.0: Performance Appraisal Form revised

1. New look and function (as shown): thoroughly revised to streamline process and increase clarity
2. Clear distinction between processes of reviewing past performance vs. setting future goals (see section labels as shown)
3. New clear, step-by-step directions to supervisor and employee throughout (see step labels as shown), eliminating need for extensive training
4. Clear descriptions and definitions of the 7 revised performance factors
5. Eliminates need to rate 37+ separate “elements”
6. Eliminates supervisor comment on employee self-assessment

Performance Appraisal Form

**Employee Information**

- Name: Enter employee name
- Title: Enter employee title
- Dept.: Enter department
- Review Period: From: Enter from date, Through: Enter through date
- UC Hire Date: Enter UC hire date

**Section 1: Reviewing Past Performance**

**Step 1: Employee assesses own performance**

Self-Assessment Instructions

The supervisor sends the Performance Appraisal (PA) form to the employee. In the following self-assessment section, the employee comments on the following:

1. The extent to which goals agreed upon for this review period were achieved.
2. Major accomplishments for this review period (e.g., projects, assignments completed, reports, presentations or other significant and/or high-quality results and achievements).
3. Special recognition received during the review period.
4. Problems or constraints that influenced the employee’s performance during the review period. (If applicable)

Upon completion of the self-assessment, the employee returns the PA form to their supervisor.

Self-Assessment

Employee enters self-assessment here.

**Step 2: Supervisor rates employee on performance factors**

Employee Rating Instructions – for supervisor

The supervisor will rate the employee on each of the following seven performance factors (beginning on page 2):

1. Functional and Technical Skills
2. Communication Skills
3. Customer Service
4. Problem Solving and Decision Making
5. Initiative
6. Commitment to Quality and Quantity of Work
7. Collaboration and Teamwork

1. Supervisor reviews the performance factors and their components

On the following pages, each of the seven performance factors listed above are broken down into bulleted components. The components should be used by the supervisor and employee to help further define or conceptualize the performance factor. For example, performance factor 1 - Functional and Technical Skills: The effectiveness with which the employee applies the required skills and knowledge to the job. Note the five bulleted components associated with performance factor 1. The first two components are: Demonstrates and applies the knowledge and skills necessary to perform the job effectively; and "Chooses appropriate tools or technology for tasks."

2. Supervisor determines the appropriate rating for the employee on each performance factor

The supervisor enters the Performance Factor and Behavioral Indicators Guide (PF/BIG), Rates & Documents / Performance Management, and uses it to determine the numerical rating of each performance factor. The supervisor selects the behavioral indicators that best describe the employee’s performance in a given performance factor at the level of 0, 4, 3, etc., where:

- 5 = Exceptional Performance
- 4 = Exceeds Performance Expectations
- 3 = Successfully Meets Performance Expectations
- 2 = Performance Needs Improvement
- 1 = Unsatisfactory Performance

3. Supervisor enters the appropriate numerical rating in the box labeled "Factor Rating."

This supervisor also provides supporting written statements in the "Reviewer Comments" section that accurately reflect the supervisor’s observations of the employee’s performance.
Elimination of Rating Elements

Version 1.0 (2016-17)

1. Functional and Technical Skills: The effectiveness with which the employee applies the required skills and knowledge to the job.
   - 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 for assistance and actively shares knowledge to improve performance of team.

<table>
<thead>
<tr>
<th>Factor Rating</th>
<th>Reviewer Comments:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Enter reviewer comments</td>
</tr>
<tr>
<td>1.2</td>
<td></td>
</tr>
<tr>
<td>1.3</td>
<td></td>
</tr>
<tr>
<td>1.4</td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td></td>
</tr>
</tbody>
</table>

2. Communication Skills: The effectiveness of the employee in transmitting information, including confidentiality, facilitation/participation in sharing information, and oral and written expressions.
   - 2.1 Demonstrates effective written and oral communication skills
   - 2.2 Communicates clearly and knowledgeably.
   - 2.3 Encourages open communication and appropriately shares information with others.
   - 2.4 Practices active listening, encouraging communication for understanding.
   - 2.5 Adapts communication to diverse audiences.
   - 2.6 Protects private and confidential information.

<table>
<thead>
<tr>
<th>Factor Rating</th>
<th>Reviewer Comments:</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>Enter reviewer comments</td>
</tr>
<tr>
<td>2.2</td>
<td></td>
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<tr>
<td>2.3</td>
<td></td>
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<td>2.4</td>
<td></td>
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<tr>
<td>2.5</td>
<td></td>
</tr>
<tr>
<td>2.6</td>
<td></td>
</tr>
</tbody>
</table>

Version 2.0 (2017-18)

1. Functional and Technical Skills: The effectiveness with which the Employee applies the required skills and knowledge to the job.
   - Demonstrates and applies the knowledge and skills necessary to perform the job effectively.
   - Chooses appropriate tools or technology for tasks.
   - Understands and complies with position procedures and University policies, and with external regulations, if any.
   - Remains current on new developments in area of responsibility.
   - Acts as a resource that others can rely on for assistance and actively shares knowledge to improve performance of team.

<table>
<thead>
<tr>
<th>Factor Rating</th>
<th>Reviewer Comments:</th>
</tr>
</thead>
</table>

2. Communication Skills: To the extent required by the position, the effectiveness of the Employee in transmitting information, including facilitation/participation in sharing information, and oral and written expressions.
   - Demonstrates effective written and oral communication skills.
   - Communicates clearly and knowledgeably.
   - Encourages open communication and appropriately shares information with others.
   - Listens attentively and seeks to understand others.
   - Adapts communication to diverse audiences.

<table>
<thead>
<tr>
<th>Factor Rating</th>
<th>Reviewer Comments:</th>
</tr>
</thead>
</table>
Changes to UCR’s PM System v2.0

Performance Appraisal Form Revised (continued: page 2 as shown)

- Ratings are only provided for each performance factor and for employee’s overall rating
- The 37+ “elements” within the performance factors no longer rated individually
- The former elements are now used only to further define the revised performance factors
- The Performance Factor and Behavioral Indicators (PFBI) Guide has been radically simplified
Changes to UCR’s PM System v2.0

Performance Appraisal Form Revised
(continued: page 4 as shown)

Supervisor Performance Factors

› Performance factors used to rate employees who are supervisors reduced from four to three
› Supervisor performance factors have been simplified, clarified and are less redundant
The need to rate individually 37+ elements is eliminated in Version 2.0.

The PFBI has been greatly simplified

To view the revised PFBI, please [click here](#)
The PFBI in Version 1.0 is now gone

Factor

Rating element for each factor

Rating levels for each element

Behavior indicators associated with each rating level
PFBI has been simplified and revised by the elimination of the rated elements

Version 1.0 (2016-17)

2.0 Communication Skills: The effectiveness of the employee in transmitting information, including confidentiality, facilitation/workshop, and oral and written expression.

Rating Elements
2.1 Demonstrates effective written and oral communication skills.
2.2 Communicates clearly and knowledgeably.
2.3 Encourages open communication and appropriately shares information with others.
2.4 Practices active listening and use of language that promotes understanding.
2.5 Adapts communication to diverse audiences.
2.6 Protects and uses private and confidential information.

Behavioral Indicators

Version 2.0 (2017-18)

2. Communication Skills: To the extent required by the position, the effectiveness of the Employee in transmitting information, including facilitation/workshop participation and sharing information, oral and written expression.

Behavioral Indicators

1. Demonstrates effective written and oral communication skills.
2. Communicates clearly and knowledgeably.
3. Encourages open communication and appropriately shares information with others.
4. Listens attentively and seeks to understand others.
5. Adapts communication to diverse audiences.

Factor Ratings

1. Written and oral communication is of the highest quality, clear, precise, complete, and complete. Facilitates effective written and oral communication with peers, colleagues, and others. Provides clear and concise, relevant, and appropriate information. Encourages others to share knowledge and actively participates in discussions.
2. Communicates effectively with peers, colleagues, and others. Provides clear and concise, relevant, and appropriate information. Encourages others to share knowledge and actively participates in discussions.
3. Communicates effectively with peers, colleagues, and others. Provides clear and concise, relevant, and appropriate information. Encourages others to share knowledge and actively participates in discussions.
4. Listens attentively and seeks to understand others.
5. Adapts communication to diverse audiences.
Changes to UCR’s PM System v2.0

Goal Agreement Form Revised

- Purpose of goal setting clearly differentiated from that of the Individual Development Plan
- Directions for the use of the Goal Agreement form clarified, including how and when to complete it.
- Directions for the use of the Goal Agreement form now cross-referenced with directions on the revised Performance Appraisal form

To access the Goal Agreement form, please [click here](#).[15]
Changes to UCR’s PM System v2.0

Individual Development Plan (IDP)

Purpose of the IDP is now clearly differentiated from the Goal Setting Agreement

_DIRS

Directions for use of the IDP has been clarified including how and when to complete it

_DIR

Directions to use the revised IDP has been cross-referenced with directions on the revised Performance Appraisal form

_DIR

To access the IDP form, please click here

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Changes to UCR’s PM System v2.0

Individual Development Plan (IDP)

Purpose of the IDP is now clearly differentiated from the Goal Setting Agreement

Directions for use of the IDP has been clarified including how and when to complete it

Directions to use the revised IDP has been cross-referenced with directions on the revised Performance Appraisal form

To access the IDP form, please click here
II. Preparing the Revised Performance Appraisal Form

Introducing Version 2.0 for 2017-2018
Preparing the Revised (v2.0) Performance Appraisal Form

Take the time to familiarize yourself with changes on the revised Performance Appraisal form.

For example

- Two main sections of the form now separate reviewing the “past” review period (p.1) from setting goals for the “next” review period (p.7):

  **Section 1: Reviewing Past Performance**  
  *(for 2017/2018 review period)*

  and

  **Section 2: Setting Goals & Development Plans**  
  *(for 2017/2018 review period)*
  *To be completed shortly after appraisal discussion.*

- Read the directions in each section for steps 1 and 2

  **Step 1: Employee Assesses Own Performance**

  and

  **Step 2: Supervisor Rates Employee on Performance Factors**
Preparing the Revised (v2.0) Performance Appraisal Form – Section 1

Section 1 provides clear, specific directions to guide supervisors through the rating of employee performance during the past review period:

Step 1
- Supervisor gives the Performance Appraisal (PA) form to the employee for completion of employee’s self-assessment
- Employee completes Self-Assessment and returns PA form to supervisor

Step 2
- Supervisor rates the employee on the 7 revised performance factors using the revised PFBI
- Supervisor selects the set of behavioral indicators in the PFBI that best describes the employee’s performance in each performance factor, using scale from “5” (exceptional performance) down to “1” (unsatisfactory Performance)
- Supervisor enters the selected numerical rating into the “Factor Rating” box on the PA form. All factor ratings should be supported by “reviewer comments” in the adjoining box
- Supervisors are also rated on the 3 supervisory performance factors
- Supervisor gives the employee an overall rating, using the rating scale (on p.6 of PA form). Rating should be supported by “reviewer comments” in the adjoining box
- Rating of 37+ “elements” has been eliminated in v2.0
Performance Rating Levels and Descriptions *(revised)*

The following revised overall rating scale for v2.0 can be found on p.6 of the PA form. Some criteria that applied mostly or solely to office environments has been removed.

<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 made an exceptional or unique contribution. 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. A plan to improve performance, including timelines, must be outlined and monitored to measure progress.</td>
<td>Unacceptable performance, which <strong>does not meet minimum position requirements</strong>. Situation requires immediate review and action. Continued performance at this level will result in termination. A plan to correct performance, including timelines, must be outlined and monitored to measure progress.</td>
</tr>
</tbody>
</table>
Performance Appraisal Form – Section 2

Section 2 focuses on the next (upcoming) review period:

Step 1 provides:
- the purpose of the Goal Agreement form
- a link to the Goal Agreement form where specific directions for completion are found

Step 2 provides:
- the purpose of the IDP
- a distinction between the respective purposes of the IDP and Goal Agreement
- To access the IDP form and view the specific directions for completion, please [click here](#)
Preparing the Performance Appraisal Form

Campuswide Performance Standards & Mandatory Training Certification

- On p.6 of the revised PA form, use the Campuswide Standards Guidelines to determine if the employee has demonstrated satisfactory performance on all campuswide performance standards.
- If appropriate, include suggestions for development in the “reviewer comments” section.
- Also on p.6, the supervisor indicates whether the employee has or has not met the UC Cybersecurity Training requirement.
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III. Performance Management Forms and Guides

Version 2.0
Performance Management Forms and Guides v2.0

- Performance Appraisal Form
- Performance Factors and Behavioral Indicators (PFBI) Guide
- Individual Development Plan (IDP)
- Goal Setting Agreement Form
- Probationary Appraisal Form
- Rehire/Recall Appraisal Form
- UCR Campuswide Standards and Guidelines
- Performance Appraisal Addendum
- Supplemental Performance Feedback Form
- Probationary Period Completion Form
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IV. Performance Management Resources

Version 2.0
Performance Management Resources

› Your supervisor and/or organizational leader
› Your department Human Resources (HR)
› Your HR Business Partner (HRBP)
› Employee and Labor Relations at PerformanceManagement@ucr.edu
› New resources coming in February/March on the Performance Management (PM) link to help you engage with version 2.0:
   › Version 2.0 helpline
   › HR helpful hints
   › Videos on selected components of PM process
   › Optional, in-person, one-hour PM Information Sessions
› Additionally at the PM link:
   › Process timeline
   › PM FAQs
What We Request from You, Our Partners

› Based on what you’ve seen and heard today, what suggestions do you have for more effectively integrating version 2.0 into UCR?

› Call your organization’s attention to HR’s Daily Digest announcement introducing version 2.0.

› Schedule ELR to present version 2.0 in a high-level organizational meeting before the end of February if feasible.

› Make sure your organization knows where to find version 2.0 forms and resources.

› Be our eyes and ears as the PM process unfolds. Tell us about:
  › Schedule a time to do a brief organizational PM SWOT (strengths, weaknesses, opportunities and threats) analysis
  › PM issues or problems you see or hear about
  › Submit suggestions for upcoming FAQ’s, “HR Helpful Hints,”
  › Utilize and encourage use of “Version 2.0 Hotline.” for questions you cannot answer

› Participate in future feedback sessions and workgroups for continuous quality improvement