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

UCR Performance Management Process

Version 2.0 – Revised for 2017-2018
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 Process

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

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

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
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 Process 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
   - Clarifies descriptions of types of inclusive behavior
6. Commitment to Quality and Quantity of Work (formerly Commitment to Quality)
7. Collaboration/Teamwork
Changes to UCR’s PM Process 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 Process v2.0

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.

#### Factor Rating

<table>
<thead>
<tr>
<th>Factor</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1.1</td>
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<tr>
<td></td>
<td>1.2</td>
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<td>1.3</td>
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<tr>
<td></td>
<td>1.4</td>
</tr>
<tr>
<td></td>
<td>1.5</td>
</tr>
</tbody>
</table>

#### Factor Rating

<table>
<thead>
<tr>
<th>Factor</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</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 upon which others rely for assistance and actively shares knowledge to improve performance of team.

#### Factor Rating

<table>
<thead>
<tr>
<th>Factor</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

### Communication Skills

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.

#### Factor Rating

<table>
<thead>
<tr>
<th>Factor</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

### Reviewer Comments:

Enter comments for each factor.
Changes to UCR’s PM Process 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 Process 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
Changes to UCR’s PM Process v2.0

Performance Factor and Behavioral Indicator Guide (PFBI) Revised

- 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

<table>
<thead>
<tr>
<th>Factor</th>
<th>Rating element for each factor</th>
<th>Rating levels for each element</th>
<th>Behavior indicators associated with each rating level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 Functional and Technical Skills: The effectiveness with which the employee applies the required skills and knowledge to the job.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 1.0 Functional and Technical Skills

<table>
<thead>
<tr>
<th>Rating Element</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Demonstrates and applies the knowledge and skills necessary to perform the job effectively.</td>
<td>5</td>
</tr>
<tr>
<td>1.2 Chooses appropriate tools or technology for tasks.</td>
<td>5</td>
</tr>
<tr>
<td>1.3 Understands and complies with position procedures, University policies, external laws, and regulations.</td>
<td>5</td>
</tr>
<tr>
<td>1.4 Remains current on new developments in area of responsibility.</td>
<td>5</td>
</tr>
<tr>
<td>1.5 Acts as a resource upon whom others rely for assistance and actively shares knowledge to improve performance of the team.</td>
<td>5</td>
</tr>
</tbody>
</table>

### Behavioral Indicators

- Possesses and applies advanced functions or technical knowledge to his or her job, and process innovation and complex problem solving; demonstrates an exemplary level of accomplishment. Demonstrates a vivid interest in continually enhancing current skills and learning new ones.
- Possesses and applies advanced functions or technical knowledge to his or her job at a high level of accomplishment. Demonstrates an active interest in enhancing current skills and learning new ones.
- Possesses and uses the required functional skills and abilities to perform the job effectively. Acknowledges the knowledge and skills to perform the job effectively.
- Does not exhibit the functional and technical knowledge and skills necessary to perform the job effectively.
- Insightfully selects, combines, or invents appropriate tools or technology for tasks; improves or redesigns processes, tools, or technologies.
- 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.
- Chooses appropriate tools or technology for tasks.
- Does not effectively utilize available tools and technology in performance of duties.
- Has adequate understanding of available tools and technology.
- 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.
- 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.
- Sometimes relies on outdated procedures, University policies, laws and regulations.
- Performs duties with little regard for applicable and relevant procedures, University policies, laws and regulations.
- Keeps abreast of developments in applicable University policies, regulations and technological advances and proactively engages stakeholders to strategize appropriate responses.
- Keeps abreast of developments in applicable University policies, regulations and technological advances; assesses impact, and identifies necessary changes in work practices to ensure compliance and improve service.
- Remains current on new developments in area of responsibility.
- 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.
- Lacks awareness or concern of changes in applicable policies and regulations; relies on others to correct higher work.
- Consistently shares expertise with others, teaching skills, and explaining concepts.
- Is sought by others for technical expertise and knowledge and for troubleshooting of complex issues.
- Act as a resource upon whom others rely for assistance and actively shares knowledge to improve performance of the team. Provides opportunities for others to learn technical skills and concepts.
- Has the capability and knowledge base to share knowledge and technical skills with others, but does not routinely share.
Changes to UCR’s PM Process V2.0

PFBI has been simplified and revised by the elimination of the rated elements

**Version 1.0 (2016-17)**

**Version 2.0 (2017-18)**

**2. Communication Skills:** To the extent required by the position, the effectiveness of the employee in transmitting information, including facilitating participation in sharing information, and oral and written expressions.

**Behavioral Indicators:**

1. **Written and oral communication is of the highest quality, clear, plausible, correct, and complete.**
   - Demonstrates effective written and oral communication skills.
   - Encourages open communication and appropriately shares information with others.
   - Listens attentively and seeks to understand others.
   - Adapts communication to diverse audiences.

2. **Written and oral communication is clear, timely, and accurate.**
   - Encourages open communication and appropriately shares information with others.
   - Listens attentively and seeks to understand others.**

3. **Oral and written communication is clear, timely, and accurate.**
   - Encourages open communication and appropriately shares information with others.
   - Listens attentively and seeks to understand others.

4. **Oral and written communication is timely, clear, and accurate.**
   - Encourages open communication and appropriately shares information with others.
   - Listens attentively and seeks to understand others.

5. **Oral and written communication is clear, timely, and accurate.**
   - Encourages open communication and appropriately shares information with others.
   - Listens attentively and seeks to understand others.

**Factor Rating:**

- 1: Oral and written communication is often unclear, inaccurate, or poorly constructed.
- 2: Oral and written communication is sometimes unclear, inaccurate, or poorly constructed.
- 3: Oral and written communication is usually clear and accurate, but may contain occasional errors.
- 4: Oral and written communication is clear, timely, and accurate.**
- 5: Oral and written communication is clear, timely, and accurate.**

**Rating:**

- 1: Oral and written communication is often unclear, inaccurate, or poorly constructed.
- 2: Oral and written communication is sometimes unclear, inaccurate, or poorly constructed.
- 3: Oral and written communication is usually clear and accurate, but may contain occasional errors.
- 4: Oral and written communication is clear, timely, and accurate.
- 5: Oral and written communication is clear, timely, and accurate.
Changes to UCR’s PM Process 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

<table>
<thead>
<tr>
<th>Goal</th>
<th>Due Date</th>
<th>Key Milestones</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter goal here</td>
<td>Enter due date</td>
<td>Enter key milestone here</td>
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<td>Enter goal here</td>
<td>Enter due date</td>
<td>Enter key milestone here</td>
</tr>
</tbody>
</table>
Changes to UCR’s PM Process v2.0

Individual Development Plan (IDP)

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

的方向s 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

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

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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 2018/2019 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.
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

To access any of these forms and guides, please visit the HR > Forms & Documents webpage > Performance Management.
IV. Performance Management Resources

Version 2.0

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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 learned in this presentation, 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