

## Performance Management

January 2018

### I. Summary

Local guidance on Personnel Policies for Staff Members (PPSM) 23: Performance Management is to ensure supervisors conduct appropriate performance management activities and prepare written performance appraisals of staff employees. Such activities are intended to foster a high performance workplace, contribute to achievement of department and unit goals and objectives, and provide for professional development of UCR's staff employees.

### II. Related Polices and References

[Personnel Policy 2](#) - Definition of Terms

[Personnel Policy 12](#) - Nondiscrimination in Employment

[Personnel Policy 22](#) - Probationary Period

[Personnel Policy 30](#) - Compensation

[Personnel Policy 50](#) - Professional Development

[Personnel Policy 60](#) - Layoff and Reduction in Time from Professional and Support Staff Career Positions

[Personnel Policy 62](#) - Corrective Action

[Personnel Policy 64](#) - Termination of Job Abandonment

[Performance Management Webpage](#)

[Performance Appraisal Form](#)

[Performance Factors and Behavior Indicators Guide](#)

[UCR Campuswide Standards and Guidelines](#)

[Goal Agreement Form](#)

[Individual Development Plan \(IDP\) Form](#)

[Performance Appraisal Addendum Form](#)

[Supervisor Guide for Supplemental Performance Feedback Form](#)

[Calibration Resource Guide](#)

### III. Scope

As part Managers & Senior Professionals (MSP) and Professional & Support Staff (PSS)

### IV. Procedures

#### A. Performance Management Process

The performance management process is one of planning, monitoring and providing feedback, coaching, and evaluating the work performance of an employee.

1. Planning Process – At the beginning of each evaluation period, the employee and supervisor should review the job's essential functions, management's performance expectations, and establish job-related goals and objectives for the evaluation period. Goals should be documented in accordance with the directions on the *Goal Agreement form*. Plans for the development of the employee should be documented in accordance with the directions on the *Individual Development Plan (IDP) form*.
2. Monitoring and Providing Feedback – Supervisor and employee meet periodically throughout the year to discuss and reassess the employee's progress towards achieving goals and objectives, and in meeting management's performance expectations. Periodic check-ins on goal accomplishment should be documented on the *Goal Agreement form*.

Progress toward the employee's individual development should be documented on the *Individual Development Plan (IDP) form*. Any subsequent need for modification of goals or individual development plans may be documented on the respective forms.

3. Coaching – Supervisor reinforces good performance, and provides direction/assistance and appropriate resources to employee to improve or perfect performance.
4. Evaluating - The supervisor (with input from the employee's self-assessment on the appraisal form) summarizes and appraises performance that has occurred throughout the evaluation period.

## **B. Performance Factors and Behavior Indicators**

1. UCR staff employees are to be appraised on their performance in seven (7) Performance Factors.
2. UCR staff employees in supervisory and management level positions are to be appraised also on each of the three (3) Supervisory Performance Factors.
3. The *Performance Factors and Behavior Indicators Guide* defines what each factor measures and provides a behaviorally-anchored rating scale that identifies employee performance expected at each rating level for each performance factor.
4. If any additional/custom performance factors are established for the employee at the start of the appraisal period, the employee may be rated on those factors:
  - a. Custom performance factors should be submitted to Employee & Labor Relations (ELR) for review and approval before providing them to the affected employee(s).
  - b. If the custom performance factor(s) will apply to represented employees, ELR will provide appropriate notice to the affected bargaining unit representatives.

## **C. Performance Appraisal Forms**

A single, standard *Performance Appraisal* form is used to evaluate all staff appointees (except those identified below in Section E., "Non-Standard Staff Performance Evaluations.") The standard Performance Appraisal form is used for both the employee's self-assessment and the supervisor's appraisal of the employee's performance. Alternatively, employees without a computer may submit their self-assessment using the *Performance Appraisal Addendum* form.

1. Employees use the self-assessment portion of the Performance Appraisal form (or the Performance Appraisal Addendum form) to discuss:
  - The extent to which goals agreed upon for this appraisal period were achieved.
  - Major accomplishments for this appraisal period, e.g., proposals, assignments completed, reports, presentations or other significant and/or high-quality results and achievements.
  - Special recognition received during the review period.
  - Problems or constraints that influenced the Employee's performance during the review period, if applicable.
2. Supervisors then use the form to:
  - a. Appraise the employee's achievement of goals and other accomplishments;
  - b. Rate the employee's performance in each of the seven (7) Performance Factors for all staff employees, and to rate employees who are supervisors on the three (3) Supervisory Factors. Where applicable, the supervisor may rate the employee on any additional/custom ("optional") performance factors.
  - c. Provide comments to support the rating given in each performance factor;
  - d. Assess the employee's compliance with campuswide Performance Standards and Guidelines;

- e. Identify whether or not the employee complied with mandated cybersecurity training expectations, if applicable; and
- f. Provide an overall performance rating, including comments supporting and justifying the rating given.

#### D. Performance Appraisal Process

1. Supervisor gives blank Performance Appraisal form to the employee. Supervisor asks the employee to complete the self-assessment portion of the form, and to return it to supervisor by the date set by organizational unit head.
2. Employee completes the self-assessment portion of the Performance Appraisal form (or the Performance Appraisal Addendum form) and returns the form to the supervisor.
3. Supervisor reviews, where available, the pre-established job-related goals and objectives for the evaluation period. Supervisor also reviews the employee's self-assessment and essential job functions, as well as any other records maintained about the employee's performance. Where applicable, other relevant materials may be reviewed such as customer/client satisfaction surveys, *Supplemental Feedback Forms*, etc.
4. Supervisor prepares a draft appraisal of the employee's performance, including an assessment of employee's achievement of goals (where established) and contributions to organizational objectives. Supervisor uses the *Performance Factors and Behavioral Indicators Guide* to determine a numerical rating for the employee in each applicable performance factor. The supervisor also provides a numerical overall performance rating.
5. Supervisor submits a completed draft performance appraisal, including the employee's self-assessment, for review and calibration per organizational unit head's direction.
6. Upon receipt of feedback from calibration review, supervisor finalizes performance appraisal and obtains senior departmental approval/sign off on appraisal.
7. Supervisor and the employee meet to discuss the written performance appraisal.
8. After the performance appraisal meeting, supervisor and employee follow directions on the *Goal Agreement form* and the *Individual Development Plan form*. They determine, respectively, the employee's organizational goals for the new review period, and the employee's individual development goals.
9. Supervisor and employee meet to discuss and agree upon performance goals and objectives for the next appraisal period (*Goal Agreement form*).
10. Supervisor and employee meet to discuss and agree upon the employee's individual development plan (*IDP form*.)
11. If employee has received an overall performance rating of two (2) or one (1), the supervisor must consult with departmental HR to prepare a Performance Improvement Plan (PIP), in lieu of completing *Goal Agreement* and *IDP forms*.

#### E. Non-Standard Performance Evaluations

As referenced above in Section C., a single, standard *Performance Appraisal* form is used to evaluate all staff appointees, **except for:**

1. An employee who is in probationary period: Supervisor evaluates employee using *Probationary Progress Appraisal form*.
2. An employee who is in recall or rehire review period: Supervisor evaluates employee using *Rehire/Recall Progress Appraisal form*.

#### F. Calibration

Each organizational unit is responsible for ensuring consistent application of the performance standards in rating staff performance, and accurate and meaningful differentiation of performance ratings. To this end, each organizational unit leader should identify and implement

a process to review and calibrate the ratings of employees in their organizational unit. The *Calibration Resource Guide* provides further direction on the process.

## **G. Timing and Number of Appraisals**

1. All Staff shall be provided a written performance appraisal:
  - a. On the basis of the employee's performance and progress, as determined by the supervisor.
  - b. When there is a question concerning an employee's performance or conduct.
  - c. Within three months of the date of the previous performance appraisal, if the employee's performance has been appraised and rated on the performance appraisal form as "Needs Improvement" (overall rating of 2) or "Unsatisfactory" (overall rating of 1). If the employee's performance continues to be rated as "Needs Improvement" or "Unsatisfactory," the supervisor and department head should consider alternative actions available under the Personnel Policies and consult with Employee and Labor Relations.
2. Probationary Career Staff shall be provided with a written performance appraisal, using the *Probationary Period Progress Report* form at the:
  - a. Midpoint of the probationary period (at or around the 3-month mark).
  - b. Conclusion of the probationary period (on or before the date the employee completes 6 months of service).
3. Limited Staff shall be provided with a written performance appraisal:
  - a. At the point the employee on a limited appointment reaches 1,000 hours. If the employee holds multiple limited appointments, a performance appraisal should be provided for each limited appointment.
  - b. If a department continues to retain an employee after 1,000 hours are reached, the supervisor should conduct performance appraisals as they would for regular career staff.
4. Regular Career Staff shall be provided with a written performance appraisal once each year. Unless specifically approved by the AVC-Human Resources, the performance review period for regular career staff is April 1 through March 31 of the following year. Annually, Human Resources will publish a timeline by which milestones in the annual appraisal process are to be completed.

## **H. Records and Reports**

1. The original, signed performance appraisal form shall be confidential and shall be retained in the employee's personnel file and maintained by the department for five (5) years following an employee's separation.
2. Completed Goal Agreement and IDP forms, should be retained in the supervisory file for reference and update throughout the applicable performance period. Both forms should be attached to the employee's completed performance appraisal form; employee should receive copy of all three forms.
3. If an employee transfers to another department, all performance appraisal documents shall be included in the employee's personnel file, which is forwarded to the employee's new department.
4. At the conclusion of the annual performance appraisal period, on a reporting tool provided by Human Resources, each organizational unit shall provide a summary of the annual performance appraisal given to all staff employees in the organizational unit, including overall ratings given.

## **V. Responsibility**

#### **A. Organization Unit Leaders**

1. Ensure that all staff employees are appraised as required.
2. Ensure performance standards are consistently applied (through a calibration process) in the rating of staff performance throughout the organizational unit.

#### **B. Department Heads**

Ensure that supervisors establish performance goals (Goal Agreement form) and developmental plans (Individual Development Plan form) for each of their direct reports; monitor and provide feedback throughout the performance period; and conduct timely written performance appraisals. Ensure also that supervisors establish improvement plans (Performance Improvement Plan (PIP), in lieu of a Goal Agreement and IDP) for employees who receive an overall rating of two (2) or one (1).

#### **C. Supervisors**

1. Establish goals and expectations for each direct report.
2. Monitor and provide feedback to direct reports on performance and goal achievement. Prepare and deliver timely written performance appraisal to each direct report as required by policy.
3. Establish goals and development plans--or improvement plans where applicable, for each employee, as appropriate.

#### **D. Employee and Labor Relations**

Provide training, advice and counsel to departments.

### **VI. Frequently Asked Questions**

#### **Q1. If a department has an employee with a 50% appointment in two departments/units, who will be responsible for completing the performance appraisal?**

- A1. If the employee has two separate and distinct appointments, the employee must receive a performance appraisal for each appointment. If it is one appointment that is split by budget or time in two departments/units, then it may be possible for the home department/unit to complete the performance appraisal with input from the other department/unit. The home department/unit is ultimately responsible for completing the review and all appointments must be included in the appraisal.