

## Performance Management

February 2017

### 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 UCRs staff employees.

### II. Related Policies 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](#)

[UCR Campuswide Standards and Guidelines](#)

[Goal Agreement Form](#)

### 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 on a *Goal Agreement 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 meeting management's performance expectations or need for possible modification. Periodic check-ins on goal accomplishment should be documented on the *Goal Agreement Form*.
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) summarizes and appraises performance that has occurred throughout the evaluation period. Appraisal should summarize performance that has occurred throughout the review period.

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

1. All UCR staff employees, regardless of title/level, are to be appraised on their performance in seven (7) Universal Performance Factors.
2. UCR staff employees in supervisory and management level positions are also to be appraised on each of the four (4) Supervisory/Management Performance Factors.
3. The *Performance Factors and Behavior Indicators* guide defines what each factor measures, identifies the various elements that comprise the factor, and provides a behaviorally anchored rating scale that identifies employee performance expected at each rating level for each element.
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 factor(s) will apply to represented employees, ELR will provide appropriate notice to the affected bargaining unit representatives.

## **C. Performance Appraisal Forms**

There is a single *Performance Appraisal* form for use for all staff appointees. The form is used for both the employee self-assessment as well as the supervisor's appraisal of the employee's performance. Alternatively, employees 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:
  - a. Summarize major accomplishments and goal achievement within the review period;
  - b. List any educational and developmental activities accomplished during the review period;
  - c. Identify appropriate goals/objectives and developmental needs for the next review period; and
  - d. Address any other issues related to their performance.
2. Supervisors then use the form to:
  - a. Appraise the employee's achievement of goals and other accomplishments;
  - b. Acknowledge employee development occurring during the evaluation period and provide recommendations for development for the coming year;
  - c. Rate the employee's performance in each of the Universal Performance Factors for all staff employee's, regardless of title/level, and each of the Supervisory Factors for staff employees in supervisory and management level positions. Rate the employee on additional/custom performance factors, if applicable;
  - d. Provide comments to support the rating given in each factor;
  - e. Assess the employee's compliance with campuswide performance standards;

- f. Identify whether or not they complied with mandated cyber security training expectations, if applicable; and
- g. Provide an overall rating, including comments supporting and justifying the rating given.

#### **D. Performance Appraisal Process**

1. Employee completes the self-assessment portions of the Performance Appraisal form (or the Performance Appraisal Addendum form).
2. Supervisor reviews the established job-related goals and objectives for the evaluation period, employee's self-assessment, essential functions, records maintained about the employee's performance, and other relevant materials such as customer/client satisfaction surveys, supplemental feedback, etc.
3. Supervisor prepares draft appraisal of the employee's performance, including an assessment of employee's achievement of goals and contributions to organizational objectives, demonstrated performance in all applicable performance factors, and overall performance rating assessment.
4. Supervisor submits draft performance appraisal, including the employee's self-assessment for review and calibration per organizational unit head's direction.
5. Upon receipt of feedback from calibration review, supervisor finalizes performance appraisal and obtains senior departmental approval/sign off on appraisal.
6. Supervisor and employee discuss the written performance appraisal and make plans for training and development to enhance performance and professional development.
7. Supervisor and employee discuss and agree upon performance goals and objectives for the next appraisal period.
8. Supervisor and employee discuss and agree upon the employee's individual development plan, if appropriate.

#### **E. 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.

#### **F. 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" or "Unsatisfactory." 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 deadline by which annual appraisals are to be completed.

#### **G. 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. Goal Agreement forms should be retained in the supervisory file for reference and update throughout the applicable performance period. At the conclusion of the performance period, it should be placed in the employee's file.
3. If an employee transfers to another department, all performance appraisal documents shall be included in the 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 in the rating of staff performance throughout the organizational unit.

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

Ensure that supervisors establish performance goals and expectations for each of their direct reports, monitor and provide feedback throughout the performance period, conduct timely written performance appraisals, and establish developmental or improvement plans for employees, as appropriate.

##### **C. Supervisors**

1. Establish goals and expectations for each direct report.
2. Monitor and provide feedback to direct reports on performance and goal achievement.

3. Prepare and deliver timely written performance appraisal to each direct report as required by policy.
4. Establish development or improvement plans for employees, 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.