

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 or electronic 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 University of California, Riverside's (UCR) staff employees.

Electronic performance appraisals are currently managed through ePerformance. ePerformance is a module within UCPATH that is being piloted for its compatibility and usability as a tool for future performance appraisals at UCR. For those that are part of the ePerformance Pilot program, please refer to Appendix A for further guidelines.

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 Guide](#)

[UCR Campus wide 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

The review and development of 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 the appraisal period were achieved.
 - Major accomplishments for the 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 an 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; assess the employee's compliance with campus wide Performance Standards and Guidelines;
 - d. Identify whether or not the employee complied with mandated training expectations, if applicable; and
 - e. 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 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 the 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.
 - c. Refer to Local Procedure 3: Types of Appointments (Limited Appointments) and Local Procedure 20: Recruitment and Promotion on the limitation of hours for limited appointments.
 4. Regular Career Staff shall be provided with a written performance appraisal once each year. Unless specifically approved by the AVC CHRO of Human Resources, the performance review period for regular career staff is April 1 through March 31 of the following year. Annually, Central Human Resources (CHR) will publish a proposed 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. Additionally, performance appraisal documents shall be available upon request of internal promotion consideration and once an employee is selected as a finalist for a position within the university.
 - a. A prospective hiring department has a right to review the personnel file of the individual prior to making the final offer.
 - b. The prospective hiring department should inform the employee of their intent to review the personnel file.

At the conclusion of the annual performance appraisal period, on a reporting tool provided by CHR, 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.

Q2. If a department has an employee who completed probation or transferred departments during the performance period will they need a new or annual performance appraisal?

A2. If an employee completes their probationary period or transfers departments between April 1 – March 31, they are required to have annual performance appraisal.

Additionally, in each circumstance, the department should note, if there was not enough time to properly assess the employee during the appraisal period, that “the employee completed their probationary period within the annual performance appraisal period and there has not been enough time to properly assess the employee’s performance.”

Appendix A: ePerformance Pilot Program

A. ePerformance 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 during the Define Criteria step. Goals should be documented on the ePerformance form.

Monitoring and Providing Feedback – Supervisor and employee meet periodically throughout the year during the designated Check-Ins to discuss and reassess the employee's progress towards achieving goals and objectives, and in meeting management's performance expectations. The check-ins on goal accomplishment should be documented in ePerformance. Any subsequent modification of goals or individual development plans may be documented in the comment fields as needed.

2. Coaching – Supervisor reinforces good performance, and provides direction/assistance and appropriate resources to employee to improve or perfect performance.
3. 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. ePerformance Factors and Behavior Indicators

1. UCR staff employees are to be appraised on their performance in four (4) shared standards/performance factors. UCR staff employees in supervisory and management level positions are to be appraised also on each of the three (3) Supervisory Performance Factors.
2. The Shared Standards /*Performance Factors 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.

C. ePerformance Appraisal Forms

1. The standard ePerformance form is used to evaluate all staff appointees within the Pilot (except those identified below in Section E., "Non-Standard Staff Performance Evaluations.") This will also be used for both the employee's self-assessment and the supervisor's appraisal of the employee's performance. Employees use the self-assessment portion of the ePerformance 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 summary space in ePerformance to:
 - a. Appraise the employee's achievement of goals and other accomplishments;
 - b. Rate the employee's performance in each of the four (4) shared standards/performance factors for all staff employees, and to rate employees who are supervisors on the three (3) Supervisory Factors. The supervisor will also rate the employee on any additional/custom) goals / performance factors;
 - c. Provide comments to support the rating given in each shared standard/performance factor and any additional goals. Assess the employee's compliance with campus wide Performance Standards and Guidelines;
 - d. Identify whether or not the employee complied with any mandated training expectations, if applicable; and
 - e. Provide an overall performance rating, including comments supporting and justifying the rating given.

D. ePerformance Appraisal Process

1. Supervisor and Employee meet by July 31 to establish the performance criteria for the annual performance review and complete the Define Criteria step.
2. Supervisor and Employee meet twice prior to the end of the performance review in the two established Check-ins.
3. Supervisor finalizes the performance criteria by March 31 of the performance review cycle.
4. Supervisor nominates additional participants to provide feedback to the employee's performance review, if desired.
5. Employee completes the self-assessment and shares it with their supervisor by the date set by organizational unit head.
6. 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, any mandatory trainings, and including any nominated additional participants' feedback.
7. Supervisor prepares the summary appraisal of the employee's performance, including an assessment of employee's achievement of goals (where established) and contributions to organizational objectives. The supervisor also selects a final overall performance rating.
8. Supervisor submits the completed draft ePerformance appraisal, including the employee's self- assessment, for review and calibration per organizational unit head's direction.
9. Upon receipt of feedback from calibration review, supervisor finalizes the ePerformance appraisal and obtains senior departmental approval/sign off on appraisal.
10. Supervisor and the employee meet to discuss the ePerformance appraisal.
11. 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.

12. Supervisor and employee meet to discuss and agree upon performance goals and objectives for the next appraisal period (Goal Agreement form).
13. Supervisor and employee meet to discuss and agree upon the employee's individual development plan (IDP form.)
14. If an employee has received an overall performance rating of improvement needed, 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 ePerformance Evaluations

As referenced above in Section C., the ePerformance form is used to evaluate all eligible staff appointees in the Pilot, **except for**:

- An employee who is in probationary period: Supervisor evaluates employee using the ePerformance Probation Forms.

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 *ePerformance Probation* forms 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. Regular Career Staff in the Pilot 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

The original, approved performance appraisal form is retained in the employee's records within UC Path and maintained by the department.

The following scenarios outline how to manage an ePerformance document if the employee's circumstances change.

Scenario	Policy
An employee's job does not change, but they have been assigned a new supervisor (e.g. former supervisor left or the department was restructured).	<ul style="list-style-type: none"> • ePer document is transferred to the new supervisor. • When possible, the prior supervisor should update notes and provide context for ratings prior to transferring. The weight given will depend on how far into the performance period we are in before the transfer occurs.
The employee leaves mid-cycle to a new job in a department that is NOT in the pilot.	<ul style="list-style-type: none"> • Previous supervisor and employee print the in-progress evaluation for their own records. • ePer document is canceled.
Employee starts a new job in a department that is IN the pilot mid-cycle from a department that was NOT in the pilot.	<ul style="list-style-type: none"> • The employee receives a new document in ePer, depending upon the date. • ex. The employee started on 11/1. Define Criteria is completed, first check-in is skipped. Employee and Supervisor complete Check-in #2 and continue through the process.
Employee is transitioned to a represented position from a 99 and was in the Pilot	<ul style="list-style-type: none"> • Supervisor and employee each print the in-progress evaluation for their own records. • ePer document is canceled.

At the conclusion of the annual performance appraisal period, on a reporting tool provided by CHR, 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.

VII. 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 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), for employees who receive an overall rating of two

(2) or one (1).

C. Supervisors

1. Establish goals and expectations for each direct report in the Define Criteria step of ePerformance.
2. Conduct two check-ins annually in order to 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.

VIII. 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, even if one or both departments are in the Pilot. 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.