

UNIVERSITY OF CALIFORNIA MERCED PERFORMANCE MANAGEMENT GUIDELINES

REFERENCES AND RELATED POLICIES

- A. UC PPSM 2 -Definition of Terms
- B. UC PPSM 12 -Nondiscrimination in Employment
- C. UC PPSM 14 -Affirmative Action
- D. UC PPSM 22 - Probationary Period
- E. UC PPSM 23 - Performance Appraisal
- F. UC PPSM 30 - Salary
- G. UC PPSM 50 - Professional Development
- H. UC PPSM 60 - Layoff and Reduction in Time for Professional and Career Staff Support Positions
- I. UC PPSM 62 - Corrective Action
- J. UC PPSM 64 - Termination of Career Employees-Professional and Support Staff
- K. UC PPSM 65 - Termination of Career Employees--Managers and Senior Professionals

Performance Appraisal

The campus carries out its mission through the individual and collective contributions of its employees. In order to do their best, staff members need to know that their contributions will be recognized and acknowledged. Overseeing performance and providing feedback is not an isolated event, but rather an ongoing process that takes place throughout the year. The performance appraisal is part of that process, and provides an excellent opportunity for the manager to communicate with employee about past performance, to evaluate the employee's job satisfaction, and to make plans for the employee's future performance and development.

Remember that the performance appraisal summarizes the employee's contributions over the entire appraisal period (usually one year). It is not a step in the disciplinary process. It may occur as often as the manager believes is necessary to acknowledge the employee for accomplishments and to plan together for improved performance. Performance appraisal is a process of summarizing, assessing and developing the work performance of an employee. In order to be effective and constructive, the performance manager should make every effort to obtain as much objective information about the employee's performance as possible.

The goal of the performance appraisal process is to help the employee feel:

- Positive about the job
- Motivated to do well and to develop job skills
- Benefited by specific, constructive feedback
- Appreciated for specific contributions
- Informed about current and future performance objectives
- Involved as a participant in the process

The following are the steps of the performance appraisal process.

PREPARING

Typically, the performance appraisal for career employees is due one year from the end of the probationary period or before the merit cycle. Well before that date, begin to prepare for the appraisal. The preparation process involves review and data gathering, holding a preliminary meeting with the employee, and employee preparation of a self-appraisal. The following steps are suggested:

- Before meeting with the employee, review the job description and work record for the review cycle. Review performance observations, notes, and the previous performance appraisal. Obtain performance feedback from people with whom the employee has worked (including direct reports, if appropriate). This is important information to have when evaluating customer service and teamwork aspects of the employee's job. Where customer service is a key part of the job, feedback from customers may also be solicited.
- Locate and have ready any supporting information. If during the review cycle, the employee reported to more than one performance manager, it is appropriate to consult with the other performance managers for input into the appraisal. Before including any information in an appraisal that indicates there was a performance problem, ask the previous performance manager if the information about the problem has been shared with the employee.
- Give the employee advance notice of the performance appraisal so that there is an opportunity for the employee to review and prepare.
- Hold a preliminary meeting with the employee in private. The first meeting should take place before the manager writes or delivers the formal performance appraisal. At this meeting, explain or review what will happen during the appraisal process and review the Performance Appraisal form. This should be done even if the manager has appraised the employee's performance in the past. With the employee, review the job description and the department's strategic goals.
- Discuss and decide which essential functions and strategic initiatives (for which the employee is responsible) should be appraised for the period. Some functions or initiatives may not have figured prominently in the employee's role for the appraisal period, and appraisal in those areas may not be necessary or significant.
- Continue the momentum that has been established throughout the year with ongoing dialog about performance. The manager should set the tone for an open and productive discussion. Some steps the manager can take to make the discussion as successful as possible include the following:
 - Create a supportive environment by stating clearly the purpose of the discussion. Be as non-threatening and open as possible since the employee may be tense or uncomfortable.
 - Discuss key areas of responsibility and give examples of specific results. Have the employee go first, based on the self-appraisal or responses to the questions and ideas that were provided in advance. Ask lots of questions and get clarification to make sure the employee's point of view is understood.

- Discuss what could have been done better or areas for growth and development. Identify concerns, if any, and listen to the employee's explanations.
- Ask the employee for help in resolving problems. Focus on future performance and be sure the employee takes responsibility for improvement.
- Make sure that there is a mutual understanding of future expectations regarding performance.
- Give positive recognition for performance that reinforces the goals of the work unit and mission of the University
- Discuss the employee's interests and any potential new responsibilities. Discuss both the roles of the manager and the supervisor in achieving new goals.
- Conclude the meeting by scheduling a second meeting. Invite the employee to prepare a written self-appraisal. A self-appraisal may be used as the basis of discussion during the formal appraisal process.
- The manager has the option of
 - receiving the self-appraisal at the preliminary meeting, so that the manager will have it prior to preparing the draft; or
 - receiving the self-appraisal at the time the manager reviews the draft with the employee, for purposes of comparison, and after discussing it with the employee

Self-appraisal forms are included for each of the performance appraisal models. The self-appraisal is a valuable tool through which to discover the employee's perspective on their performance for the review cycle, as well as to identify interests related to goals and career development initiatives.

Writing The Appraisal

Performance appraisal time should not be the point at which the manager begins to document performance discrepancies or deal with performance problems. Ordinarily, no problems should be raised during the appraisal which the manager has not discussed with the employee during the annual review cycle. The appraisal of the employee's performance should be based upon performance standards.

Performance Standards

Performance expectations are the basis for appraising employee performance. Written performance standards enable the manager to compare the employee's performance with mutually understood expectations and minimize ambiguity in providing feedback.

Standards identify a baseline for measuring performance. From performance standards, managers can provide specific feedback describing the gap between expected and actual performance.

Effective performance standards:

- Serve as an objective basis for communicating about performance
- Enable the employee to differentiate between acceptable and unacceptable results

- Increase job satisfaction because employees know when tasks are performed well
- Inform new employees of expectations about job performance
- Encourage an open and trusting relationship with employees.

Standards describe the conditions that must exist before the performance can be rated satisfactory. A performance standard should:

- Be realistic, in other words, attainable by any qualified, competent, and fully trained person who has the authority and resources to achieve the desired result
- Describe the conditions that exist when performance meets expectations
- Be expressed in terms of quantity, quality, time, cost, effect, manner of performance, or method of doing
- Be measurable, with specified method(s) of gathering performance data and measuring performance against standards

The terms for expressing performance standards are outlined below:

- Quantity: specifies how much work must be completed within a certain period of time, e.g., enters 30 enrollments per day.
- Quality: describes how well the work must be accomplished. Specifies accuracy, precision, appearance, or effectiveness, e.g., 95% of documents submitted are accepted without revision.
- Timeliness: answers the questions, By when? , How soon? , or Within what period? , e.g., all work orders completed within five working days of receipt.
- Effective Use of Resources: used when performance can be assessed in terms of utilization of resources: money saved, waste reduced, etc., e.g., the computer handbook project will be completed with only internal resources.
- Effects of Effort: addresses the ultimate effect to be obtained; expands statements of effectiveness by using phrases such as: so that, in order to, or as shown by, e.g., establish inventory levels for storeroom so that supplies are maintained 100% of the time.
- Manner of Performance: describes conditions in which an individual's personal behavior has an effect on performance, e.g., assists other employees in the work unit in accomplishing assignments.
- Method of Performing Assignments: describes requirements; used when only the officially-prescribed policy, procedure, or rule for accomplishing the work is acceptable, e.g., 100A Forms are completed in accordance with established office procedures.

Performance Measurements

Since one of the characteristics of a performance standard is that it can be measured, the manager should identify how and where evidence about the employee's performance will be gathered. Specifying the performance measurements when the responsibility is assigned will help the employee keep track of progress, as well as helping in future performance discussions.

There are many effective ways to monitor and verify performance, the most common of which are:

- Direct observation
- Specific work results (tangible evidence that can be reviewed without the employee being present)
- Reports and records, such as attendance, safety, inventory, financial records, etc.
- Commendations or constructive or critical comments received about the employee's work

To assess the employee's performance based upon performance standards, the following UC Merced Performance Appraisal Ratings below must be used.

When completing the final performance appraisal form, take into consideration the dialogue with the employee. When the form is finalized share, the appraisal with the employee and ask the employee to sign the form, and explain that this signature acknowledges discussion of the contents, not necessarily agreement with them. Give a copy of the signed appraisal to the employee and provide a copy of the appraisal to Human Resources

Completing the Performance Appraisal Sections

The manager should select one of the following three forms.

- **Option One** is structured in a check-box format.
- **Option Two** is entirely narrative.
- **Option Three** allows for a review of essential functions and projects, significant performance dimensions, and goals accomplishment.
- **Self Appraisal** is to be used in conjunction with all three performance appraisal form options listed above. There is a version to match all three of the Performance Appraisal and Development Forms.

Performance Appraisal Content

- The three appraisal form options differ in content.
- It is important to read the description of each form to know what type of evaluation system each option provides.
- Each form has a corresponding Self appraisal form

Cover Sheet

- The cover sheet contains the overall rating, an appraisal summary and signature lines.
- The employee and the supervisor must sign this page.

The Performance Appraisal Rating System

The five rating categories are the same in all three performance appraisal form options and the categories are aligned with the campus merit rating system. The five categories are:

- = Outstanding. Performance exceeds expectations and is consistently outstanding.
- M = More than Satisfactory. Performance consistently fulfills the job requirements and exceeds expectations.
- S = Satisfactory. Performance consistently fulfills the job requirements.
- I = Improvement Needed. Performance does not consistently meet the job requirements.
- U = Unsatisfactory. Performance consistently fails to meet the job requirements.

The Development Plan

This section records goals, objectives and career development activities for the coming year.

Employee Comments

This section is optional.

The forms are available on the Human Resources Website.