

## Objectives

The annual performance appraisal process is intended to promote communication between employees and their supervisors about work expectations and goals. It is an opportunity for the supervisor to provide objective feedback to employees, and to coach for continued improvement.

The process also give employees the chance to ask questions about individual and organizational goals and to explore opportunities to improve job skills and pursue professional development.

## Zoom information sessions for staff and supervisors

This year ANR Human Resources will host webinars for staff, as well as supervisors. Please hold one of these dates/times on your calendar:

Employee Role: March 1, Thursday, 10-11am

Supervisor Role: March 23, Friday, 10-11:30am

Employee Role: March 14, Wed., 3-4pm

Supervisor Role: March 28, Wed., 1-2:30pm

If you are a supervisor, you only need to participate in a supervisor session.

## Performance Appraisal Tools

The following forms and resources are available at:

[http://ucanr.edu/sites/ANRSPU/Supervisor\\_Resources/Performance\\_Management/](http://ucanr.edu/sites/ANRSPU/Supervisor_Resources/Performance_Management/)

- 2017-18 Annual Call Staff Perf Appraisals
- 2017-18 Performance Appraisal Guidelines
- Summary of Accomplishments Form
- Employee Performance Appraisal Form
- ANR Performance Standards

### Additional Resources

- Career Planning Tools
- People Management Learning Resources

## Need Help?

If you have questions regarding the appraisal process, please contact Mary Vlandis at [maroberts@ucanr.edu](mailto:maroberts@ucanr.edu) or Jodi Rosenbaum at [jrosenbaum@ucanr.edu](mailto:jrosenbaum@ucanr.edu).

# Timeline for 2018 Appraisal Process

Mar 1-23

➤ **Employee prepares a Summary of Accomplishments (SOA)**

Describe your progress and achievements in relation to the goals and/or performance expectations established at the beginning of the review period. Identify additional information, knowledge, skills, or resources you need to master your job and accomplish your goals. This form may be attached as a supplement to the appraisal. Supervisors have the option to have the employee complete the performance appraisal form (EPAR) as a self-appraisal in lieu of the SOA.

Mar 23-May 11

- **Supervisor meets with employee to review SOA**
- **Supervisor drafts the Employee Performance Appraisal**
- **Supervisor confirms agreement on proposed rating with second level supervisor**

Provide objective feedback to employees on job elements and accomplishments. Use the **ANR Performance Standards** (available on the HR website) as a baseline for ratings. Review future goals and discuss opportunities to improve job skills and pursue professional development. It is strongly recommend that supervisors meet with employees to review the summary of accomplishments prior to drafting the appraisal.

After drafting the appraisal, the supervisor consults with the second-level supervisor regarding the employee's annual performance and proposed overall rating. The proposed overall rating should then be provided to the location's director/department head. **Human Resources will collect the *proposed* overall ratings by May 14, 2018.**

May 14

➤ **PROPOSED RATINGS AND DRAFT APPRAISALS DUE TO ANR HUMAN RESOURCES**

At this stage, the Unit Director submits to HR the proposed overall ratings for all staff employees using the roster provided by HR. HR also collects draft appraisals for any staff with a proposed overall rating of Exceptional, Does Not Meet Expectations or Partially Meets Expectations. These particular appraisals should include the second level supervisor's signature.

May 14-Jun 1

➤ **HR reviews proposed ratings for consistency, and confirms final ratings**

The calibration review, facilitated by Human Resources, is intended to ensure consistency in performance ratings across ANR. The calibration review will occur ***before the overall rating has been shared with the employee.*** Human Resources will communicate the outcome of the calibration review to the unit directors/ department heads by **June 1, 2018.**

Jun 1-Jul 31

- **Supervisor meets with employee to communicate overall rating**
- **Collect signatures and submit final documents to HR**

After the calibration review is complete, supervisors meet with their employees to communicate the overall rating and finalize the performance appraisal process. The employee signs the appraisal form and has an opportunity to add comments. The final appraisal is then forwarded *electronically* to Mary Vlandis at [maroberts@ucanr.edu](mailto:maroberts@ucanr.edu) with copy to Jodi Rosenbaum at [jrosenbaum@ucanr.edu](mailto:jrosenbaum@ucanr.edu) by **July 31, 2018.**

## Frequently Asked Questions

### What period of time does the performance appraisal cover?

The annual review period is **April 1, 2017-March 31, 2018**. SX represented employees at our Research and Extension Centers (RECs) were previously reviewed on a calendar year basis. In order to transition into this annual review period, these employees will be reviewed from January 1, 2017-March 31, 2018.

### I am an ANR employee, but I am based at the Office of the President. Do I follow ANR's timeline and process?

ANR employees based at the Office of the President (OP) will follow the OP process and timeline. Performance appraisal information for OP is available at: <http://www.ucop.edu/local-human-resources/your-career/performance-management/index.html>.

### Do I have to complete a performance review for all my staff employees?

Each manager and supervisor is required by UC policy and by the applicable labor contract to conduct performance appraisals. Annual performance appraisals are required for career employees, and contract employees with at least 6 months of service as of March 31, 2018.

An annual appraisal is not required for probationary employees who have not attained "regular" career status as of March 31, 2018. Please follow the probationary procedures for the probationary employees. Limited term employees employed for 12 months or more should be evaluated, but it is not required for the annual review process. No annual appraisal is required for per diem employees.

County-paid employees follow the County process. Academic appointees follow the Academic process. (See the [Academic HR website](#) for details.)

### I'm a new supervisor, and I haven't conducted performance reviews before. Is there training available to help me prepare?

Yes, People Management trainings are available at the [UC Learning Center](#). Available courses include:

- Setting Expectations and Individual Performance Goals
- Giving & Receiving Feedback
- Conducting Performance Appraisals
- Coaching for Performance

You can find more information at

[http://ucanr.edu/sites/Professional\\_Development/All\\_Trainings/People\\_Management/](http://ucanr.edu/sites/Professional_Development/All_Trainings/People_Management/).

### Who is the 'second-level supervisor'?

The second-level supervisor is the supervisor of the individual who signs the employee's appraisal as the reviewing supervisor.

### I am a UCCE County Director or a REC Director. Who is serving as the second-level supervisor for my staff performance appraisals?

For the 2017-18 performance appraisal process, John Fox, Executive Director for Human Resources, is serving as the second-level supervisor reviewer for the UCCE County offices and the RECs. Joan Taylor Warren is the contact point to collect and track the information for these offices ([jtwarren@ucanr.edu](mailto:jtwarren@ucanr.edu)).

## Who is responsible for managing the performance appraisal for a staff employee with dual reporting relationships?

If you have an employee who has a dual reporting relationship, you should ensure that a joint and signed review has been submitted by each supervisor with one overall rating for the employee determined by the “home” department director.

## Should a supervisor include a review of their staff’s position descriptions in this process?

This is an appropriate time to review the position descriptions of eligible employees to ensure accuracy. If there have been any changes in responsibilities or reporting relationships the position description should be updated and submitted to the [HR Help Center](#). If there has been a significant change in responsibilities a revised position description should be submitted for review to determine if the position is properly classified.

## Who is responsible for submitting the proposed overall ratings to Human Resources?

The Unit Directors are responsible for managing the performance appraisal process for the staff in their area, including the submission of the proposed overall ratings. This includes UCCE County Directors, REC Directors, Statewide Program Directors, and Directors of Administrative Units.

## When are the proposed overall ratings due to Human Resources?

The deadline to submit the proposed overall ratings is May 14, 2018.

## When should the supervisor share the overall rating and final appraisal with the employee?

The supervisor should not share the proposed overall rating and final appraisal with the employee until Human Resources completes the calibration review. Human Resources will notify the supervisors in early June, instructing them to meet with the employee to share the final appraisal and overall rating.

## What is the Calibration Review process?

“Calibration Review” refers to the steps UC ANR takes to ensure consistency in the performance appraisal process. Ratings should be based on objective feedback, ANR Performance Standards, and achievement toward individual and organizational goals. Before ratings are finalized, second-level supervisors review ratings with supervisors to insure consistency within units, and Human Resources reviews the draft appraisals for all employees with a PROPOSED OVERALL RATING of “Exceptional”, “Partially Meets Expectations”, and “Does Not Meet Expectations” to ensure the appraisal includes objective documentation to support the rating. In some cases, HR may ask supervisors for clarification or may direct that the performance ratings change to be consistent with ANR Performance Standards.

## Does UC ANR Human Resources impose a quota on the number of “Above Expectations” or “Exceptional” overall performance ratings?

No, UC ANR does not impose a quota or a forced distribution of ratings.

## What are the criteria to receive an overall “Exceptional” performance rating?

First, the employee must have been in their current role during the entire 12-month review period. To achieve an Exceptional performance ratings during the review period, an employee should be above expectations or higher on each performance element/job competency based on ANR Performance Standards. If the employee supervises others, performance as a people manager is also expected to be exceptional. The employee’s work should consistently exceed quality, quantity, and timing for performance goals established by the employee and supervisor during the review period. The individual is a role model for others in ANR. Finally, in addition to exceeding performance goals, the employee is

expected to have made a significant, transformational impact: the workgroup, unit, or program is fundamentally better as a result of the employee's contributions. Another factor that could merit an exceptional rating would be if the employee overcame significant obstacles during review period.

It would be unusual for an individual to receive an Exceptional overall rating each year. The rating should reflect special contributions during the past year.

### What can an employee do if they disagree with their performance rating?

We recommend that an employee first meet with their manager and ask for clarification. The employee should be provided with examples of the differences between expected and actual performance. It's important for employees to work with their manager on a development plan to improve performance. Employee and Labor Relations is available if additional support is needed.

### Does an employee have to sign the performance appraisal?

An employee is not required to sign the appraisal. An employee may not agree with all of the content, but providing a signature acknowledges that the employee has met with their supervisor and discussed their performance for the year. There is a place for employee comments on the review as well.

### What is the final deadline for the performance appraisal process?

The deadline for submitting the final performance appraisals is **July 31, 2018**.

### Who do I contact if I have questions about the performance appraisal process?

If you have questions regarding the appraisal process, please contact Mary Vlandis at [maroberts@ucanr.edu](mailto:maroberts@ucanr.edu) or Jodi Rosenbaum at [jrosenbaum@ucanr.edu](mailto:jrosenbaum@ucanr.edu).