

## EMPLOYEE INFORMATION

**Name:**  Enter employee name **Title:**  Enter employee title  
**Dept.:**  Enter department **UC Hire Date:**  Enter UC hire date  
**Review Period:** **From**  Enter from date **Through**  Enter through date

## Section 1: Reviewing Past Performance (for 2020/2021 review period)

### Step 1: Employee assesses own performance

#### Self-Assessment Instructions

The supervisor sends the Performance Appraisal (PA) form to the employee. In the following self-assessment section, the employee comments on the following:

1. The extent to which goals agreed upon for this review period were achieved.
2. Major accomplishments for this review period (e.g., proposals, assignments completed, reports, presentations or other significant and/or high-quality results and achievements).
3. Special recognition received during the review period.
4. Problems or constraints that influenced the employee's performance during the review period, if applicable.

Upon completion of the self-assessment, the employee returns the PA form to their supervisor.

#### Self-Assessment

Employee enters self-assessment here

### Step 2: Supervisor rates employee on performance factors

#### Employee Rating Instructions – for supervisor

The supervisor will rate the employee on each of the following seven performance factors (*beginning on page 2*):

- |  |   |
|--|---|
| 1. Functional and Technical Skills     | 5. Inclusiveness                              |
| 2. Communication Skills                | 6. Commitment to Quality and Quantity of Work |
| 3. Customer Service                    | 7. Collaboration/Teamwork                     |
| 4. Problem Solving and Decision Making |   |

#### 1. Supervisor reviews the performance factors and their components

On the following pages, each of the seven performance factors listed above are broken down into bulleted components. The components should be used by the supervisor and employee to help further define or conceptualize the performance factor.

For example: performance factor 1 - *Functional and Technical Skills*: The effectiveness with which the employee applies the required skills and knowledge to the job." Note the five bulleted components associated with performance factor 1. The first two components are, "Demonstrates and applies the knowledge and skills necessary to perform the job effectively" and "Chooses appropriate tools or technology for tasks."

#### 2. Supervisor determines the appropriate rating for the employee on each performance factor

The supervisor opens the Performance Factor and Behavioral Indicators Guide (PFBIG) [Forms & Documents / Performance Management webpage](#) and uses it to determine the numerical rating of each performance factor. The supervisor selects the behavioral indicators that best describe the employee's performance in a given performance factor at the level of 5, 4, 3, etc., where:

- 5 = Exceptional Performance
- 4 = Exceeds Performance Expectations
- 3 = Successfully Meets Performance Expectations
- 2 = Performance Needs Improvement
- 1 = Unsatisfactory Performance

#### 3. Supervisor enters the appropriate numerical rating in the box labeled "Factor Rating"

The supervisor also provides supporting written statements in the "Reviewer Comments" section that accurately reflect the supervisor's observations of the employee's performance.

## PERFORMANCE FACTORS

### 1. **Functional and Technical Skills:** The effectiveness with which the employee applies the required skills and knowledge to the job.

- › Demonstrates and applies the knowledge and skills necessary to perform the job effectively.
- › Chooses appropriate tools or technology for tasks.
- › Understands and complies with position procedures and University policies; and with external regulations, if any.
- › Remains current on new developments in area of responsibility.
- › Uses knowledge and skills to assist others and shares knowledge to improve team performance.

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center; padding: 5px;"><b>Factor Rating</b></td> </tr> <tr> <td style="padding: 5px;">Enter rating here</td> </tr> </table>	<b>Factor Rating</b>	Enter rating here	Enter reviewer comments here
<b>Factor Rating</b>			
Enter rating here			

### 2. **Communication Skills:** To the extent required by the position, the effectiveness of the employee in transmitting information, including facilitation/participation in sharing information, and oral and written expressions.

- › Demonstrates effective written and oral communication skills.
- › Communicates clearly and knowledgeably.
- › Encourages open communication and appropriately shares information with others.
- › Listens attentively and seeks to understand others.
- › Adapts communication to diverse audiences.

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center; padding: 5px;"><b>Factor Rating</b></td> </tr> <tr> <td style="padding: 5px;">Enter rating here</td> </tr> </table>	<b>Factor Rating</b>	Enter rating here	Enter reviewer comments here
<b>Factor Rating</b>			
Enter rating here			

### 3. **Customer Service:** The effectiveness of the employee in providing quality service to internal and external customers, including demonstrated commitment to improvement of services.

- › Meets needs and expectations of customers.
- › Solicits and acts on customer feedback and explores creative approaches to enhance service and increase efficiency.
- › Solves problems at first point of contact whenever possible; if unable to do so, escalates to an appropriate resource.
- › Responds to customer requests in a timely manner.
- › Develops and manages effective customer relations.

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center; padding: 5px;"><b>Factor Rating</b></td> </tr> <tr> <td style="padding: 5px;">Enter rating here</td> </tr> </table>	<b>Factor Rating</b>	Enter rating here	Enter reviewer comments here
<b>Factor Rating</b>			
Enter rating here			

### 4. **Problem Solving and Decision Making:** The manner in which the employee completes job assignments, including judgment, problem solving and use of appropriate resources in decision making.

- › Approaches problem solving in a systematic manner.
- › Decisions are clear, consistent, and timely, and have positive results.
- › Identifies and implements effective solutions to problems while remaining sensitive to the needs of others.
- › Utilizes appropriate resources (e.g., people, tools, research, analysis) in seeking solutions.
- › Proactively solves problems.

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center; padding: 5px;"><b>Factor Rating</b></td> </tr> <tr> <td style="padding: 5px;">Enter rating here</td> </tr> </table>	<b>Factor Rating</b>	Enter rating here	Enter reviewer comments here
<b>Factor Rating</b>			
Enter rating here			

**5. Inclusiveness:** The manner in which the employee demonstrates commitment to diversity and inclusion as a core value governing all workplace behavior and interactions.

- › Skillfully performs job duties within an increasingly diverse campus environment.
- › Treats all others with courtesy, respect and dignity.
- › Includes and welcomes all others.
- › Encourages the expression of different points of view.
- › Seeks to understand the perspectives of all others.

<b>Factor Rating</b>
Enter rating here

Enter reviewer comments here

**6. Commitment to Quality and Quantity of Work:** The manner in which the employee drives quality and quantity of service in the employee's approach to work and completion of job assignments, including accuracy, innovation, effective use of resources, productivity and accountability.

- › Effectively applies time and resource management, priority setting and organizational skills to produce appreciable quantities of quality work.
- › Identifies and adopts innovative methods to improve the quality and quantity of work.
- › Demonstrates accountability that advances team efforts and results in successfully meeting productivity and quality goals.
- › Actively seeks to leverage resources to promote improved quality and optimal productivity.
- › Assesses and recommends improvements to work practices and systems to improve quantity and quality of service or products delivered.

<b>Factor Rating</b>
Enter rating here

Enter reviewer comments here

**7. Collaboration/Teamwork:** The effectiveness with which the employee works with others to achieve individual and unit goals.

- › Builds productive working relationships by effectively partnering with team members and others at work.
- › Helps resolve conflict among team members.
- › Seeks to understand the views of coworkers and other team members.
- › Balances individual and team goals.
- › Shares information and knowledge with others, as appropriate.

<b>Factor Rating</b>
Enter rating here

Enter reviewer comments here

**8. Optional:** Enter optional performance factor here

If applicable, please use the following section to list bulleted components of a performance factor that is important to this employee's job performance, but is not captured in performance factors 1-7. Please refer to the Performance Factors & Behavioral Indicators as a guide for creating and rating this performance factor.

Enter optional components here

<b>Factor Rating</b>
Enter rating here

Enter reviewer comments here

## SUPERVISOR PERFORMANCE FACTORS

This section is completed **only** if the employee is a supervisor or manager and has direct reports.

### 1. **Developing Direct Reports:** The manner and effectiveness with which the supervisor develops and implements plans to effect professional growth and development of direct reports.

- › Seeks information about each direct report's career goals and develops and executes effective development plans for them.
- › Provides stretch assignments; encourages direct reports to accept developmental assignments as appropriate for future professional growth.
- › Manages expectations appropriately and proactively communicates any potential problems or roadblocks to employee development.
- › Holds frequent development discussions and enables direct reports to grow and succeed through timely delivery of constructive feedback, instruction and encouragement.
- › Provides training opportunities to help grow and retain talented employees.
- › Prepares thoughtful and meaningful performance appraisals for direct reports. Creates and follows through on the employee's Goal Agreement Form and Performance Improvement Plans (PIP), if required.

<b>Factor Rating</b>	Enter reviewer comments here
Enter rating here	

### 2. **Managing and Measuring Work:** The manner and effectiveness with which the work is organized, assigned, monitored and measured to deliver the required results.

- › Understands and communicates strategic goals and plans to achieve them; sets clear objectives and measures; mobilizes resources to achieve shared strategic vision, goals and priorities.
- › Delegates well; clearly assigns responsibility for tasks and decisions. Sets clear expectations, monitors progress and holds direct reports equally accountable for results. Adjusts priorities when appropriate.
- › Plans and organizes workloads; establishes courses of action, timelines and milestones to ensure work is completed as required.
- › Develops and implements metrics to measure results using key performance indicators (e.g., quality, quantity, cost, timeliness and frequency of completion of assigned tasks).

<b>Factor Rating</b>	Enter reviewer comments here
Enter rating here	

### 3. **Motivating Others:** The manner and effectiveness with which the supervisor creates an environment that encourages and enables direct reports to be engaged and motivated to perform to the best of their ability.

- › Leads and motivates by example.
- › Creates a climate in which people want to do their best; promotes confidence and optimistic attitudes; empowers others; pushes tasks and decisions down.
- › Assesses each person's strengths and uses it to get the best out of each employee.
- › Invites input from each person and shares ownership and visibility; is someone people like to work with.
- › Rewards and recognizes accomplishments. Differentiates reward given to employees based on their levels of performance.

<b>Factor Rating</b>	Enter reviewer comments here
Enter rating here	

**4. Optional:** Enter optional Performance Factor here

If applicable, please use the following section to list bulleted components of a performance factor that is important to this supervisor's organization, but is not captured in Supervisor Performance Factors 1-4. Please refer to the Performance Factors & Behavioral Indicators as a guide for rating this performance factor.

Enter optional components here

Enter reviewer comments here

**Factor  
Rating**

Enter rating  
here

## CAMPUS WIDE PERFORMANCE STANDARDS

The UCR Campuswide Performance Standards include: UCR Principles of Community; UC Ethical Values and Standards of Ethical Conduct; Diversity; Health & Safety; Service Orientation; and Management/Supervision (Managers and Supervisors only). Please refer to the Campuswide Standards Guidelines ([Forms & Documents / Performance Management webpage](#)) for a detailed description of each standard. Unsatisfactory performance in any area must be addressed. Select one box below. If appropriate, include suggestions for development in the comments section.

<input type="checkbox"/>	<b>Yes, satisfactory performance <i>has been</i> demonstrated in all UCR campuswide performance standards</b>
<input type="checkbox"/>	<b>No, satisfactory performance <i>has not been</i> demonstrated in all UCR campuswide performance standards</b>

Enter reviewer comments here

## MANDATORY TRAINING CERTIFICATION

### UC Cybersecurity Training

Supervisors are required to make the UC Cybersecurity training course an annual goal for policy-covered staff who access UC computers or systems. Compliance is reflected below as "*met/not met*," and noncompliance will impact an individual's merit award.

<input type="checkbox"/>	<b>Yes, has met the UC Cybersecurity Training requirement</b>
<input type="checkbox"/>	<b>No, has <i>not</i> met the UC Cybersecurity Training requirement</b>
<input type="checkbox"/>	<b>Employee does not have access to UC computers or systems</b>

### UC Sexual Harassment Prevention Training

Supervisors are required to make compliance with assigned UC Sexual Harassment Prevention training courses a goal for policy covered staff. Compliance is reflected in the written performance review as "*met/not met*," and noncompliance will impact an individual's merit award.

<input type="checkbox"/>	<b>Yes, has met the UC Sexual Harassment Prevention Training requirement</b>
<input type="checkbox"/>	<b>No, has <i>not</i> met the UC Sexual Harassment Prevention Training requirement</b>

## OVERALL RATING

### REVIEWER SUMMARY ASSESSMENT

Assess the employee's overall performance based on demonstrated performance as provided by the comments and factor rating in the performance factors and on goal achievement – where a department or organization unit has established goals. Please select one rating. Preponderance of ratings for performance factors generally determines overall rating, but, employees who are rated as “Unsatisfactory” (“1” rating), in any performance factor, should be given an overall rating of no greater than “Needs Improvement” (“2” rating).

<input type="checkbox"/> <b>Exceptional Performance</b> <b>(5)</b>	<input type="checkbox"/> <b>Exceeds Performance Expectations</b> <b>(4)</b>	<input type="checkbox"/> <b>Successfully Meets Performance Expectations</b> <b>(3)</b>	<input type="checkbox"/> <b>Performance Needs Improvement</b> <b>(2)</b>	<input type="checkbox"/> <b>Unsatisfactory Performance</b> <b>(1)</b>
Performance <b>consistently exceeds</b> goals, job requirements and expectations, resulting in an overall quality of work that was superior and made an exceptional or unique contribution. This rating is achievable by any employee though given infrequently.	Performance <b>frequently exceeds</b> goals, job requirements, and expectations. Frequently generates results above those expected of the position.	Performance <b>consistently meets</b> goals, job requirements and expectations. Employee makes a solid, reliable and meaningful contribution to the department.	Performance <b>did not consistently meet</b> goals, job requirements and expectations – performance failed to meet expectations in one or more essential areas of responsibility and/or one or more of the most critical goals were not met. A plan to improve performance, including timelines, must be outlined and monitored to measure progress.	Unacceptable performance, which <b>does not meet minimum position requirements</b> . Situation requires immediate review and action. Continued performance at this level will result in termination. A plan to correct performance, including timelines, must be outlined and monitored to measure progress.
Enter reviewer comments here				

**EMPLOYEE COMMENTS/RESPONSES  
(optional)**

Enter comments here.

**SIGNATURES**

**(1) Supervisor**

**Name:** Enter name here

**Title:** Enter title here

**Signature:**

**Date:** Enter date here

**(2) Next Level Approver**

**Name:** Enter name here

**Title:** Enter title here

**Signature:**

**Date:** Enter date here

**(3) Department Head Review**

**Name:** Enter name here

**Title:** Enter title here

**Signature:**

**Date:** Enter date here

**(4) Employee**

**Employee Signature:** \_\_\_\_\_

*By signing above, the employee acknowledges receipt of this review and that it was discussed with the employee. Signature does not indicate the employee's agreement or disagreement with the content of this review. The employee may attach comments.*

**This review was discussed with me on this date:** Enter date here

## Section 2: Setting Goals

(for 2020/2021 review period)

To be completed shortly **after** appraisal discussion.

Supervisor and employee complete the Goal Agreement form.

### Purpose:

The purpose of the Goal Agreement form, located on the [Forms & Documents / Performance Management webpage](#), is to document the agreement between the supervisor and the employee on 3-5 goals or objectives which, if achieved by the employee during the upcoming review period (April 1, 2020 – March 31, 2021), will significantly benefit the employee's unit, department or organization. The goals should be developed in the Smart Goals format.

The supervisor and employee should follow the directions for completing the Goal Agreement form, which are found on the form itself. A copy of the finalized Goal Agreement form will be attached to this signed, completed Performance Appraisal form in the employee's file. The supervisor and employee each retain a copy of the finalized Goal Agreement form for their records and future discussion.