

UC Davis Personnel Policies for Staff Members

Employment

Section 23, Performance Management

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Responsible Department: Human Resources

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23.A. GENERAL

Note 1—Ongoing Communication. The supervisor and the employee share responsibility for ongoing, timely and productive communication throughout the year. Supervisors must clearly communicate goals and objectives, competency expectations and performance measures. The employee must provide the supervisor with timely information about both successes and challenges in meeting goals and objectives and seeking help when needed (e.g., additional resources necessary to be successful or prioritization of functions and tasks). The supervisor and the employee must be proactive and accountable in the communication and feedback process and take initiative to insure that communication is continuous and productive.

23.B. PERFORMANCE APPRAISAL

Note 1--Responsibility. Direct supervisors are required to evaluate employees annually, regardless of available funding or employee eligibility for merit increases and/or delays in merit delivery. When funding is available a completed satisfactory or better performance appraisal must be in the employee's file in order for the employee to be eligible to receive a merit increase. Limited, contract, per diem, and student employees are evaluated if they are expected to work a year or more.

Note 2--Annual Appraisal Forms.

The campus and Health System use electronic employee performance evaluation systems that are accessed at: <http://p4p.ucdavis.edu/employee/systems/index.html>.

Note 3--Other Forms. The supervisor uses the [Employee Development Worksheet](#) for evaluations that are not part of the annual performance appraisal process. It can be used for probationary and limited employees, and to evaluate career/regular status employees at a time other than the annual review. Any alternative form may be used. The employee is provided with a copy of the evaluation and the original is filed in the employee's department personnel file.

Note 4--Sources of Information.

The performance appraisal process is an important form of communication between the supervisor and employee. Goals and objectives should be clear so that the employee knows what performance is expected during the review period. Attention should be paid to both job competencies and specific job functions. There are many resources available at <http://www.hr.ucdavis.edu/> to assist both the employee and the supervisor in this ongoing process of both communicating and understanding performance expectations.

The source of any information or feedback provided in the written appraisal must be documented and if specifics are requested, must be made available to the employee upon request. Supervisors must provide timely feedback about areas of improvement during the course of the review period so that employees are not surprised by comments contained in the employee performance evaluation. It is inappropriate to include information in the final evaluation that has not been previously discussed with the employee. Questions about what information is appropriate to include in an appraisal and what is not appropriate to include should be directed to an Employee Relations Consultant in Human Resources.

Note 5--Mediation. Mediation Services can help resolve disputes about appraisals.

Note 6--Transfers. If an employee worked for more than three months of the appraisal period in another department or unit, the current supervisor shall ask the former supervisor to provide input to be included in the written evaluation. This input can be provided either by attaching the previous supervisor's appraisal or by incorporating the comments in appropriate areas of the appraisal and identifying the source of the comments as the previous supervisor's. However, the final evaluation is the responsibility of the direct supervisor on the day following the end of the review period. In cases where an employee transfers to another department immediately after the end of the review period, but the appraisal due date is not for several more months, it is the responsibility of the new supervisor to obtain the completed appraisal from the previous supervisor, and to submit it in accord with current department procedures.

Note 7--Signatures. The employee's signature means that he or she has read the appraisal. It does not mean that the employee agrees with the appraisal. If an employee refuses to sign the appraisal, the refusal should be noted on the employee's signature line by the supervisor, including the date that the appraisal was provided to the employee.

UCD PROCEDURE 23.1--APPRAISAL OF CAREER/REGULAR STATUS EMPLOYEES

- a. The supervisor discusses job duties and performance expectations with the employee on an ongoing basis, and provides performance feedback during the year.
- b. The Associate Vice Chancellor--Human Resources sends a call for appraisals. Deans, vice chancellors, and UCDHS executive directors add instructions and send the call to departments. Departments attach lists of eligible employees and send the call to supervisors.
- c. The employee writes a Summary of Accomplishments (if required).
- d. The supervisor reviews the employee's job description. If it is not accurate, the supervisor updates it via PeopleAdmin (Davis campus) or as described at http://www.ucdmc.ucdavis.edu/hr/hrdepts/compensation/classification_review.html (Sacramento campus).
- e. The supervisor drafts the appraisal and discusses it with the employee.
- f. The supervisor finalizes the appraisal, gets the employee's signature (and comments, if any). A copy of the Summary of Accomplishments and the employee's comments are attached to the appraisal. (See 23.B—Note 7 above).
- g. The department head signs the appraisal. The original is sent immediately to Human Resources to be placed in the employee's personnel file. A copy is routed to the employee and one copy is placed in the employee's department personnel file.

Forms completed through the online system will be uploaded electronically to Human Resources for the employee's personnel file. Consult the call for appraisals for current information about how the uploading process will take place during the current review period. Supervisors should still print a copy of the completed and electronically signed forms for inclusion in their department personnel file and one for the employee. In some cases it may be necessary to send a hard copy to HR.