

## UCOP Performance Evaluation Process and Merit Salary Program for Policy Covered Employees and SMG 2 Guidance #1 – February 28, 2020

### Important Information about the Performance Process

The FY 19/20 Performance Evaluation process begins on March 9, 2020. Feedback is an ongoing process and should not be limited to one time per year. This annual performance evaluation process allows managers<sup>1</sup> to provide feedback on employee performance over the past 12 months and set business and development goals for the year ahead. We appreciate your time and dedication to this important activity.

### Timeline for the 2019-20 UCOP Annual Performance Evaluation Process

Dates	Tasks
March 9	Halogen e-appraisal tool opens for the 2019 - 2020 Annual Performance Evaluation Process.
March 9 – March 27	Employees complete self-evaluations in Halogen. For departments using multi-rater feedback, the feedback forms can be launched as soon as the employee self-appraisal is completed.
By May 1	Managers complete written performance reviews and enter ratings in Halogen.
May 1 – May 8	1 <sup>st</sup> level review: Managers review individual/team ratings with next-level manager(s).
May 11 – May 22	2 <sup>nd</sup> level review: Division leaders review division-wide ratings with department and HR business partners; UCOP HR, Operations review division ratings.
May 25 – May 29	3 <sup>rd</sup> level review: Chief Operating Officer and President’s Office; UCOP HR, Operations review division ratings and UCOP distribution.
June 1 – June 2	Halogen closes for merit process data collection.
June 3-June 28	Halogen reopens. Communication to managers to begin delivering evaluations to employees. Managers and employees complete final sign-off on performance evaluations; all ratings complete in Halogen.
June 30	All final sign offs by employees and managers completed – Halogen closes to complete the FY17/18 Performance Evaluation Process.

*All reviews and ratings must be in Halogen by **May 1** to prepare the data for the 2<sup>nd</sup> Level and 3<sup>rd</sup> Level reviews.* If you have extenuating circumstances that prevent you from completing the ratings and written evaluations in Halogen by these dates, please notify your business partner and division leader.

<sup>1</sup> “Managers” refers to managers and supervisors

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The **Successfully Meets Expectations** rating is the standard for an employee performing well in his/her current job. The case for ratings above or below this level must be clearly articulated by managers, department heads and division leaders. Clear justifications for **any rating other than Successfully Meets Expectations** will help to ensure ratings consistency for our highest performers and those whose performance needs improvement.

As a reminder, the **Development Needed/New and Learning** rating may be appropriate for a new employee who is meeting expectations given the time in the position. Clearly delineate in the evaluation when an employee is in this phase and trending towards successfully meeting expectations as these employees may be eligible to receive a proportionate amount of merit increase. Refer to guide below for this rating:

<b>Development Needed/New and Learning</b>	<b>Merit Eligible?</b>
New in position; Learning	Yes, based on performance
Partially met goals; Performance is trending up	Yes, based on performance
Partially met goals; Performance is trending down	Not eligible

This year, UC Cyber Security Awareness Training and Sexual Violence and Sexual Harassment Prevention Training are mandatory required trainings as part of this performance cycle. ***These trainings must be completed by the required date to be eligible for merit within the April 1, 2019 – March 31, 2020 performance appraisal period. In order to be considered compliant for the purpose of merit eligibility, trainings due during the review period must be completed no later than March 31, 2020.***

**The performance rating distribution:**

The key to effectively implementing a merit-based salary increase is truly differentiating performance and achieving an appropriate normalization of ratings. Per the matrix below, we have made significant progress over the past few years in effectively balancing the performance rating distribution to ensure ratings are consistent with expectations.

This year we should continue our progress and meet our target distribution, particularly for **Exceeds Expectations** and **Outstanding** ratings. Prior year distributions will be taken into consideration during the review process and managers should be aware of the distribution trend in their areas. Divisions are advised against continually exceeding distribution guidelines.

Building a common language around ratings through training and supporting consistency will help us achieve our goals. Therefore, it is critical that we work together to reinforce the expectation that a **Successfully Meets Expectations** reflects a solid performance.

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Distribution targets for 2020 are noted below. We have combined the targets for **Does Not Meet Expectations** and **Development Needed/New & Learning** again this year; therefore, more departments should be able to achieve the 5% target. Additionally, we have reviewed the historic trends and are reducing the target for **Successfully Meets Expectations** from 75% to 70% and increasing the target for **Exceeds Expectations** from 15% to 20%.

Performance Rating	Does Not Meet Expectations	Development Needed/New & Learning	Successfully Meets Expectations	Exceeds Expectations	Outstanding
<b>2020 Target % of Population</b>	<b>5.00%</b>		<b>70%</b>	<b>20%</b>	<b>5%</b>
2019 Actual % of Population	2.36%		68%	26%	3.41%
2018 Actual % of Population	0.32%		69.97%	23.68%	3.17%
2017 Actual % of Population	4.12%		74.29%	19.55%	1.83%
2016 Actual % of Population	4.20%		70.30%	22.90%	1.70%
2015 Actual % of Population	2.20%		55.50%	38.60%	3.70%
2014 Actual % of Population	0.40%		43.20%	43%	6.90%

Ratings should not be shifted upwards in an effort to ensure an employee a higher merit increase, but should accurately reflect the quality of the employee’s work. Similarly, employee ratings should not be artificially suppressed to meet the target percentages if there are truly meritorious accomplishments to be recognized. The merit pool is sufficient to differentiate increases, assuming the distribution of rating aligns with the recommendations above.

The specific distribution will depend upon the number of department employees and the nature of the work from year to year. In very small departments it may be difficult to achieve this distribution, but every effort should still be made to differentiate performance appropriately. Calibration sessions within divisions will provide an opportunity to ensure consistency in ratings across the division prior to the 2<sup>nd</sup> and 3<sup>rd</sup> level review with UCOP HR, Operations and the Chief Operating Officer and President’s Office. Please note that represented employees are not included in the distribution matrix.

**Merit Process:**

The merit process will begin immediately following the performance evaluation process. Merits are subject to the approval of the UCOP budget by the Regents and cannot be paid until the Regents have approved the UCOP FY20/21 budget. More information about the merit process will be forthcoming as we move through the performance evaluation process.

For questions, please contact your Human Resources Business Partner or Executive Director, UCOP Human Resources, Nancy Pluzdrak at (510) 987-0840 or [nancy.pluzdrak@ucop.edu](mailto:nancy.pluzdrak@ucop.edu).