Appendix B
ONLINE COMPLETION OF UCSD PERFORMANCE APPRAISAL AND DEVELOPMENT – MODEL TWO

To ensure the best results for the online completion of UCSD Performance Appraisal and Development Model Two, please read and/or use the following guidelines:

1. Please position cursor within framed boxes or on each line requiring text to be inserted. **Please do not tab**, nor go beyond box limits, as this will move all text onto next page throughout document.

2. **SECTION ONE – UCSD Standards (pages 1 and 2).**
   The Rating boxes will highlight when clicked on to insert a digit, but this will not affect the insertion of the rating.

3. **SECTION TWO – Performance of duties, (pages 3 and 4).**
   Each Comment box will allow three lines of text to be inserted. If additional space is needed, please use the blank page at the end of Model Two. Navigate using the Arrow keys.

4. **EXHIBIT A – Employee Performance Development for Coming Year (page 5):**
   Each box will allow eight lines of text. If additional space is needed, please use the blank page at the end of Model Two. Navigate using the Arrow keys.
DESCRIPTION OF MODEL TWO

Model Two has been designed to provide a narrative approach to the Performance Appraisal Process. This Model should be selected as an alternative to using a generic form. This approach mirrors, as closely as possible, the academic model of appraisals while maintaining the essential elements required in the staff appraisal process. Thus, this Model takes advantage of the skills of supervisors who prefer and are accustomed to writing narrative appraisals. It requires a standardized overall rating that relates to the merit increase.

Model Two also provides opportunities for the supervisor and employee to work collaboratively to build, improve, or sustain employee performance and to contribute to organizational effectiveness. Model Two facilitates the formulation of a performance development plan by asking the supervisor and employee to identify specific activities, resources, time frames and expectations for the results of participating in development activities.

REFERENCES

UC Personnel Policies for Staff Members (http://atyourservice.ucop.edu/employees/policies/staff_policies/spp23.html) state that, “The performance of each employee shall be appraised annually in writing, or more frequently, by the employee’s immediate supervisor in accordance with local procedures.” UCSD Implementing Procedures 23/Performance Appraisal (http://www-hr.ucsd.edu/~qwl/policies/pdf/sp23.pdf) and The Guide to Performance Management (http://www-hr.ucsd.edu/~staffeducation/guide) are comprehensive resources that describe the stages of conducting the performance appraisal.

INSTRUCTIONS

The instructions to prepare this appraisal must be provided to both the employee and the supervisor by the Department Business Officer. Similar to other UCSD Performance Appraisal and Development Models, two-way communication and feedback related to performance issues are encouraged.

Please provide a written performance appraisal for the employee’s performance for the period noted below. There is no required format. Please consider the Employee’s Self-Appraisal (Exhibit C) in the appraisal of the employee’s performance.

<table>
<thead>
<tr>
<th>Name of Employee</th>
<th>Performance Period</th>
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</table>

Model Two has been designed in a narrative format with an overall rating at the conclusion. However, the appraisal must include the following key components as they apply to your employee’s job responsibilities:

- An overall assessment of the staff member’s contributions and level of performance. Consider initiative, dependability, cooperation, teamwork, leadership, productivity and quality as they relate to the job functions (e.g., Laboratory/Project Management, Research Support, and Administrative Support). Assessment of supervisory and managerial employees should include strategic planning, performance management and fiscal management, if appropriate.

- Identify significant accomplishments such as special projects, goal achievements, and scientific and other contributions.

- Please establish goals and plans for the next performance period. Include employee training and development, project goals, and improvement needed. A guide to identify training and development is provided as Exhibit A, Employee Performance Development for Coming Year.
UCSD STANDARDS

The UCSD Standards represent four areas of individual performance that apply to all staff and are critical to the success of the UCSD organization: The UCSD Principles of Community, Diversity, Health and Safety, and Customer Service. In addition, there are standards for effective supervision which apply to designated supervisors and managers. The Performance Appraisal and Development form includes the task statements for the UCSD Standards (e.g., under Diversity, “Ensures policies, practices, services, and behaviors that support and accept diversity”). The instructions below indicate the standard for “solid performance.” If an employee achieves a level of performance above the “solid performance” standard, rate according to the UCSD Performance Appraisal Ratings defined above. Provide one rating for each area.

UCSD STANDARDS (MODULE ONE) APPLY TO ALL UCSD EMPLOYEES

Rating

The UCSD Principles of Community: “...to foster the best possible working and learning environment, UCSD strives to maintain a climate of fairness, cooperation, and professionalism. UCSD faculty, staff, and students are expected to support, integrate and practice these basic principles as individuals and in groups...” (stated in part)

- Understands the significance of The UCSD Principles of Community.
  Solid performance will be demonstrated when each employee’s behavior reflects The UCSD Principles of Community.

- Ensures that the significance of The UCSD Principles of Community is integrated into operational activities within the manager’s and supervisors’ area of responsibility.
  {For managers and supervisors only} Solid performance will be demonstrated when managers and supervisors communicate and affirm, verbally and in writing, The UCSD Principles of Community to employees and others, as appropriate.

Diversity: A general term for indicating that many people with many differences are present, welcome, and productive in an organization. Diversity refers to culture, race, ethnicity, language, national origin, religion, gender, age, disability, and sexual orientation.

- Ensures that policies, practices, services, and behaviors support and accept diversity.
  {For managers and supervisors only} Solid performance will be demonstrated when the manager reviews, assesses, modifies, applies and monitors policies, practices, services, and behaviors to ensure that they benefit diversity.

- Ensures that all employees participate in training that supports diversity.
  Solid performance will be demonstrated when, during the performance review cycle, all employees participate in an activity (e.g., training course, workshop, presentation, dialogue with supervisor, cross cultural program) designed to foster awareness and assist employee performance in a culturally diverse environment.

- Ensures a diverse work force.
  Solid performance will be demonstrated when the conduct of outreach and recruitment and the development of employees support diversity. Additionally, when given the opportunity, the composition of staff, supervisors and managers, and/or the formation of work project teams support diversity.

Health and Safety: Safety and environmental issues are essential elements of ensuring the continued success of UCSD and its employees. As with any progressive organization, UCSD’s primary strength is its people, the many individuals that comprise the faculty, staff, and student populations. To ensure that these individuals have a chance to contribute to the University’s mission, each must be afforded a safe, healthy and environmentally sound workplace.

- Ensures that policies, practices, services, and behaviors support accepted safety, health, and environmental standards.
  Solid performance will be demonstrated when employees observe safety and environmental compliance standards by practicing safe behaviors and by reporting hazardous conditions.

- Managers and supervisors ensure that all employees participate in safety, health, and environmental protection, and receive appropriate training.
**Customer Service:** UCSD is a large, complex organization with many internal and external customers. UCSD has an organizational philosophy to provide the best possible products and services.

- **Identifies Customer:** Everyone is a customer who directly and indirectly receives knowledge, services, products, and information from the UCSD community.
  
  Solid performance will be demonstrated when employees identify their customers.

- **Ensures Customer Satisfaction:** At UCSD, we foster positive partnerships with our customers that recognize their perceptions of urgency and preferences, understand their expectations, and respond consistently with the highest possible levels of service.
  
  Solid performance will be demonstrated when employees respond to their customers’ requests or provide alternatives and referrals in a timely manner.

- **Demonstrates the Valuing of Employees:** At UCSD, we value, recognize, and acknowledge our employees. We encourage the alignment of employee values and job performance to support customer satisfaction. Therefore, employee morale and job satisfaction are essential to outstanding customer service.

(For managers and supervisors only) Solid performance will be demonstrated when managers and supervisors have an established process to support, recognize, and acknowledge employees for their customer services.

Solid performance will be demonstrated when employees follow established customer service practices and show personal commitment to customer satisfaction.

**Leadership:** Creating a climate of trust and mutual respect; increasing the potential for employees to be productive and to feel welcome, valued, and motivated. Solid performance will be demonstrated when supervisors or managers:

- Align their practices with the mission and values of their organizations, and discuss them with their employees at least annually
- Exhibit ethical leadership and model the conduct they expect from those they lead
- Perform their duties with honesty, accountability, fairness, and professionalism
- Undertake efforts to create a workplace climate consistent with the UCSD Principles of Community
- Exhibit caring, responsiveness, flexibility, and effective communication skills

**Performance Management:** Managing employee performance in alignment with the mission and goals of the department or unit and consistent with relevant policies and collective bargaining agreements. Solid performance will be demonstrated when supervisors or managers:

- Include employees in these processes
- Develop and communicate the goals of the unit or department and strategies for achieving them
- Clarify the roles of their employees in current job descriptions
- Develop and clearly explain performance expectations
- Provide timely and objective feedback about performance
- Conduct constructive annual performance appraisals
- Discuss learning and development options with their staff at least annually
- Provide reasonable support for professional development in accord with university policy, collective bargaining agreements, and the UCSD Values for Learning and Professional Development
- Encourage employee growth by supporting responsible initiative and innovation as appropriate learning experiences
Address employee performance problems in consultation with the appropriate UCSD authorities, consistent with university policies and collective bargaining agreements.

Organizational Accountability: Delegating authority consistent with the UCSD Principles of Accountability. Solid performance will be demonstrated when supervisors or managers:
- Delegate tasks to qualified employees and create structures to ensure oversight and accountability without conflict of interest
- Review delegations regularly to confirm that records kept are accurate, complete, current, and secure

Resource Management and Planning: Managing available resources efficiently to provide the best services possible while enabling employees to achieve their work goals. Solid performance will be demonstrated when supervisors or managers:
- Analyze and project needs effectively
- Allocate and manage resources efficiently
- Assign work equitably according to the priorities of the unit or department

**UCSD PERFORMANCE APPRAISAL RATINGS**

To assess the employee’s performance, the following UCSD Performance Appraisal Ratings must be used:

- **E** = Exceptional. Performance well exceeds expectations and is consistently outstanding.
- **A** = Above Expectations. Performance is consistently beyond expectations.
- **S** = Solid Performance. Performance consistently fulfills expectations and at times exceeds them.
- **I** = Improvement Needed. Performance does not consistently meet expectations.
- **U** = Unsatisfactory. Performance is consistently below expectations. Deficiencies should be addressed as noted in the performance appraisal.

**PERFORMANCE APPRAISAL NARRATIVE SHEET (SECTION TWO)**

To support you with the appraisal, the performance appraisal process has been explained to your employee. The employee has been encouraged to complete and provide to you the Employee Self-Appraisal (Exhibit C). When you have received the completed Employee Self-Appraisal, please proceed with the following steps:

1. Prepare the performance appraisal using the Performance Appraisal Narrative Sheet. Please consider the Employee Self-Appraisal in your appraisal of the employee’s performance.
2. Schedule a meeting with the employee to discuss and agree upon goals and performance development for the next appraisal period.
3. Give the employee a copy of the appraisal and the opportunity to comment on, sign and return the appraisal to you.
4. Sign, date, and submit the appraisal to the Department Business Officer for the Department Head’s signature and distribution.

**OVERALL APPRAISAL OF PERFORMANCE (SECTION THREE)**

An overall rating of the employee’s performance must be provided and consistent with the ratings assigned for the UCSD Standards (Section One), and the statements provided on the Performance Appraisal Narrative Sheet (Section Two). These sections reflect the employee’s performance for its overall impact on the employee’s job. Comments that support the overall rating may be provided as appropriate. The supervisor shall allow time outside of the performance appraisal meeting for the employee to review the written performance appraisal and prepare comments.
SIGNATURES
The signature of the immediate supervisor on the completed form indicates that this is the immediate supervisor’s fair and accurate appraisal of the employee’s performance and that the immediate supervisor has communicated the UCSD Standards to the employee. Signatures of the endorsing supervisor and department head on the completed form indicate that: the appraisal is the immediate supervisor’s fair and accurate assessment of the employee’s performance; the department head has accepted the supervisor’s assessment of the employee’s performance for the review period noted; and the performance review conducted is timely. The employee’s signature indicates neither agreement nor disagreement with the appraisal. It does indicate that: the supervisor has reviewed the UCSD Standards with the employee; the employee has reviewed the UCSD Standards and read the appraisal; and the supervisor and employee have discussed the UCSD Standards and appraisal.

EXHIBITS FOR MODEL TWO

PEFORMANCE APPRAISAL EXHIBITS

- **Employee Performance Development for Coming Year (Exhibit A):**
  Exhibit A should be used to identify development that sustains, improves and builds performance, and enables the employee to contribute to organizational effectiveness. The supervisor and employee may use this Exhibit to identify and plan career development activities.

- **Employee Comments (Exhibit B):**
  At the completion of the final appraisal discussion, the employee may use the Employee Comments sheet to provide written statements about his/her performance, career development opportunities, and address other aspects of the performance appraisal and/or the process. The completed sheet should be signed, dated and returned to the supervisor by the employee. The Employee Comments sheet shall become a part of the performance appraisal document.

- **Employee Self-Appraisal (Exhibit C):**
  The Employee Self-Appraisal provides a tool for the employee’s participation in the appraisal process. Statements about past assignments, performance and career development goals, and special projects and major accomplishments may be communicated using the Employee Self-Appraisal. The completed Self-Appraisal will also prepare the employee for the performance appraisal discussion with the supervisor. A copy of the completed Employee Self-Appraisal sheet should be provided to the supervisor prior to the performance appraisal discussion at a mutually agreed-upon time. The Employee Self-Appraisal will be attached to the completed Performance Appraisal document.
University of California, San Diego
PERFORMANCE APPRAISAL AND DEVELOPMENT

MODEL TWO

<table>
<thead>
<tr>
<th>(1) Employee’s Name</th>
<th>(2) Department</th>
<th>(3) Division</th>
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<tr>
<th>(4) Payroll Title (Class)</th>
<th>(5) Most Recent Date of Hire</th>
<th>(6) Date Assigned Present Classification</th>
<th>(7) Period Covered By This Appraisal</th>
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<tr>
<th>(8) Supervisor’s Name</th>
<th>(9) Supervisor’s Payroll Title</th>
<th>(10) Length of Time Employee Has Been In This Job</th>
<th>(11) Length of Time You Have Supervised This Employee</th>
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**APPRAISAL RATINGS**

- **E = Exceptional.** Performance well exceeds expectations and is consistently outstanding.
- **A = Above Expectations.** Performance is consistently beyond expectations.
- **S = Solid Performance.** Performance consistently fulfills expectations and at times exceeds them.
- **I = Improvement Needed.** Performance does not consistently meet expectations.
- **U = Unsatisfactory.** Performance is consistently below expectations. Deficiencies should be addressed as noted in the performance appraisal.

**SECTION ONE: UCSD Standards**

Please rate the following organization-wide standards of performance according to the appraisal ratings indicated above and definitions provided in the instructions.

**Rating**

- **The UCSD Principles of Community:** “…to foster the best possible working and learning environment, UCSD strives to maintain a climate of fairness, cooperation, and professionalism. UCSD faculty, staff, and students are expected to support, integrate and practice these basic principles as individuals and in groups…” (stated in part)
  - Understands the significance of The UCSD Principles of Community.
  - Ensures that the significance of The UCSD Principles of Community is integrated into operational activities within the manager’s and supervisor’s area of responsibility.

- **Diversity:** A general term for indicating that many people with many differences are present, welcome, and productive in an organization. Diversity refers to culture, race, ethnicity, language, national origin, religion, gender, age, disability, and sexual orientation.
  - Ensures that policies, practices, services, and behaviors support and accept diversity.
  - Ensures that all employees participate in training that supports diversity.
  - Ensures a diverse work force.

- **Health and Safety:** Safety and environmental issues are essential elements of ensuring the continued success of UCSD and its employees. As with any progressive organization, UCSD’s primary strength is its people, the many individuals that comprise the faculty, staff, and student populations. To ensure that these individuals have a chance to contribute to the University’s mission, each must be afforded a safe, healthy and environmentally sound workplace.
  - Ensures that policies, practices, services, and behaviors support accepted safety, health, and environmental standards.
  - Managers and supervisors ensure that all employees participate in safety, health, and environmental protection, and receive appropriate training.

- **Customer Service:** UCSD is a large, complex organization with many internal and external customers. UCSD has an organizational philosophy to provide the best possible products and services.
  - Identifies Customer: Everyone is a customer who directly and indirectly receives knowledge, services, products, and information from the UCSD community.
• **Ensures Customer Satisfaction**: At UCSD, we foster positive partnerships with our customers that recognize their perceptions of urgency and preferences, understand their expectations, and respond consistently with the highest possible levels of service.

• **Demonstrates the Valuing of Employees**: At UCSD, we value, recognize, and acknowledge our employees. We encourage the alignment of employee values and job performance to support customer satisfaction. Therefore, employee morale and job satisfaction are essential to outstanding customer service.

**Supervision**: *(For managers and supervisors only)* UCSD managers and designated supervisors play a crucial leadership role ensuring the effectiveness and productivity of their units. Their job is to inspire and support employees to achieve the mission and goals of the university. Supervisors demonstrate effective supervision by performance consistent with campus-wide standards for the **UCSD Principles of Community**, diversity, health and safety, and customer service, and for the following:

**Leadership**: Creating a climate of trust and mutual respect; increasing the potential for employees to be productive and to feel welcome, valued, and motivated. Solid performance will be demonstrated when supervisors or managers:

- Align their practices with the mission and values of their organizations, and discuss them with their employees at least annually
- Exhibit **ethical** leadership and model the conduct they expect from those they lead
- Perform their duties with honesty, accountability, fairness, and professionalism
- Undertake efforts to create a workplace climate consistent with the **UCSD Principles of Community**
- Exhibit caring, responsiveness, flexibility, and effective communication skills

**Performance Management**: Managing employee performance in alignment with the mission and goals of the department or unit and consistent with relevant **policies** and **collective bargaining agreements**. Solid performance will be demonstrated when supervisors or managers:

- Include employees in these processes
- Develop and communicate the goals of the unit or department and strategies for achieving them
- Clarify the roles of their employees in current job descriptions
- Develop and clearly explain performance expectations
- Provide timely and objective feedback about performance
- Conduct constructive annual performance appraisals
- Discuss learning and development options with their staff at least annually
- Provide reasonable support for professional development in accord with university **policy**, **collective bargaining agreements**, and the **UCSD Values for Learning and Professional Development**
- Encourage employee growth by supporting responsible initiative and innovation as appropriate learning experiences
- Address employee performance problems in consultation with the appropriate UCSD authorities, consistent with university **policies** and **collective bargaining agreements**

**Organizational Accountability**: Delegating authority consistent with the **UCSD Principles of Accountability**. Solid performance will be demonstrated when supervisors or managers:

- Delegate tasks to qualified employees and create structures to ensure oversight and accountability without conflict of interest
- Review delegations regularly to confirm that records kept are accurate, complete, current, and secure

**Resource Management and Planning**: Managing available resources efficiently to provide the best services possible while enabling employees to achieve their work goals. Solid performance will be demonstrated when supervisors or managers:

- Analyze and project needs effectively
- Allocate and manage resources efficiently
- Assign work equitably according to the priorities of the unit or department
SECTION TWO: Performance Appraisal Narrative Sheet – Model Two

Employee’s Name: ________________________________

Please add additional sheets if necessary.
SECTION THREE: Overall Appraisal of Performance – Model Two

APPRAISAL RATINGS

E = Exceptional. Performance well exceeds expectations and is consistently outstanding.
A = Above Expectations. Performance is consistently beyond expectations.
S = Solid Performance. Performance consistently fulfills expectations and at times exceeds them.
I = Improvement Needed. Performance does not consistently meet expectations.
U = Unsatisfactory. Performance is consistently below expectations. Deficiencies should be addressed as noted in the performance appraisal.

Provide an overall appraisal rating. This is a composite of the ratings for the foregoing Sections One and Two.

I acknowledge that I have reviewed this appraisal with the employee and that I have communicated the UCSD Standards.

SIGNATURES:

IMMEDIATE SUPERVISOR  DATE

ENDORsing/next level of supervision  DATE

DEPARTMENT HEAD  DATE

My signature indicates neither agreement nor disagreement with the appraisal, but it does indicate that I have reviewed the UCSD Standards, read the appraisal, and both have been discussed with me. I understand that I may complete the Employee Comments sheets as part of this appraisal.

EMPLOYEE’S SIGNATURE  DATE
**EXHIBIT A: Employee Performance Development for Coming Year – Model Two**

Please use this section to identify development that sustains, improves and builds performance, and enables the employee to contribute to organizational effectiveness. This section should be used to identify career development activities, and should be completed by the supervisor in collaboration with the employee.

<table>
<thead>
<tr>
<th>Performance Development That Applies to Functions/Projects/Goals/Competencies</th>
<th>Development Activities/Resources</th>
<th>Time Frame</th>
<th>Expectations</th>
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EXHIBIT B: Employee Comments – Model Two

- At the completion of the final appraisal discussion between the supervisor and employee, the employee may use this Employee Comments sheet to discuss aspects of the appraisal.
- The employee’s name should be included at the top of any additional sheets used.
- After writing comments, the Employee Comments sheet should be returned to the supervisor so that it can become a part of the performance appraisal document.

<table>
<thead>
<tr>
<th>Employee’s Name</th>
<th>Period Covered By This Appraisal:</th>
</tr>
</thead>
</table>

______________________________  ________________________________  
Employee’s Signature  Date  

UCSD Performance Appraisal and Development: Model Two  6
EXHIBIT C: Employee Self-Appraisal – Model Two

Your supervisor will soon be requested to provide a written appraisal of your performance including an overall appraisal rating based on the following scale:

- **E** = Exceptional. Performance well exceeds expectations and is consistently outstanding.
- **A** = Above Expectations. Performance is consistently beyond expectations.
- **S** = Solid Performance. Performance consistently fulfills expectations and at times exceeds them.
- **I** = Improvement Needed. Performance does not consistently meet expectations.
- **U** = Unsatisfactory. Performance is consistently below expectations. Deficiencies should be addressed as noted in the performance appraisal.

Please describe your major job-related accomplishments, and the status of last year’s and future performance goals. You may include a statement regarding job-related training needs and future career plans. The objective of this summary is to provide an opportunity for you to reflect upon actual work, ensure agreement with your supervisor regarding accomplishments, and foster effective communications between you and your supervisor. You may provide supporting documents. When completed, please submit the Employee Self-Appraisal to your supervisor. The Employee Self-Appraisal will be attached to the completed Performance Appraisal document.

**Employee’s Name:**

**Period Covered by This Appraisal:**

**To be completed by the employee just prior to the formal appraisal**

<table>
<thead>
<tr>
<th>Functions/Goals/Projects</th>
<th>Employee’s Accomplishments and Comments</th>
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</thead>
<tbody>
<tr>
<td>I was expected to accomplish the following:</td>
<td>I accomplished the following:</td>
</tr>
</tbody>
</table>

Please include your name at the top of any additional sheets used.

**Employee’s Signature:**

**Date**