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I. REFERENCES AND RELATED POLICIES
A. UC SPP 2 - Definition of Terms
B. UC SPP 12 - Nondiscrimination in Employment
C. UC SPP 14 - Affirmative Action
D. UC SPP 22 - Probationary Period
E. UC SPP 23 - Performance Appraisal
F. UC SPP 30 - Salary
G. UC SPP 50 - Professional Development
H. UC SPP 60 - Layoff and Reduction in Time for Professional and Career Staff Support Positions
I. UC SPP 62 - Corrective Action
J. UC SPP 64 - Termination of Career Employees--Professional and Support Staff
K. UC SPP 65 - Termination of Career Employees--Managers and Senior Professionals
L. The Guide to Performance Management

II. CORE VALUES
The Performance Appraisal Core Values are central to the development of a consistently fair and flexible UCSD Performance Management and Appraisal model. It is essential that all performance appraisal processes used at UCSD conform to the following Core Values:

A. Accurately assess and reflect differences in performance.
Variations in the performance of employees must necessarily be acknowledged in appraisals. Failure to make appraisal distinctions between dissimilar performance erodes the intent of UCSD’s merit-based system.
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B. *Enable two-way communication between supervisors and employees.*
Performance appraisals are strengthened when they are the culmination of a process that has included both supervisor and employee with ample opportunity to understand each other’s perspectives about performance through consistent two-way communication.

C. *Establish mutually understood performance expectations.*
The standards by which performance is measured must be clearly articulated by supervisors and comprehended by employees.

D. *Provide supervisors with training to assess and manage performance.*
Consistent, appropriate, and effective use of performance management techniques and processes are dependent upon providing supervisors with training that fully equips them for the task.

E. *Emphasize employee development.*
Performance appraisals should make a significant contribution to the development of employees by recognizing and underscoring the importance of building and enhancing appropriate skills and knowledge.

F. *Permit flexible approaches to performance appraisals.*
Within the campus community, work assignments and organizational cultures vary significantly. No single, uniform performance appraisal model can serve all segments of the campus equally well.

G. *Promote a relationship between pay and performance.*
Merit increases and incentive awards are to be based primarily on performance. The decisions regarding compensation should be in alignment with performance appraisal.

III. **PROCEDURES**

A. **Performance Appraisal Process**
The formal performance appraisal process is one of assessing, summarizing and developing the work performance of an employee. The performance appraisal process should include at least two meetings convened by the supervisor with the employee.
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During the first meeting that precedes drafting the appraisal, the supervisor and employee should strive for mutual understanding of the performance appraisal process. The employee should be encouraged to complete the Employee Self-Appraisal form and submit it to the supervisor for consideration in the development of the employee’s appraisal.

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

### UCSD Performance Appraisal Ratings

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>E = Exceptional</td>
<td>Performance well exceeds expectation and is consistently outstanding.</td>
</tr>
<tr>
<td>A = Above Expectations</td>
<td>Performance is consistently beyond expectations.</td>
</tr>
<tr>
<td>S = Solid Performance</td>
<td>Performance consistently fulfills expectations and at times exceeds them.</td>
</tr>
<tr>
<td>I = Improvement Needed</td>
<td>Performance does not consistently meet expectations.</td>
</tr>
<tr>
<td>U = Unsatisfactory</td>
<td>Performance is consistently below expectations. Deficiencies should be addressed as noted in the performance appraisal.</td>
</tr>
</tbody>
</table>

The process of assessing, summarizing and developing the work performance of the employee are defined as follows:

1. **Assessing** - This involves discussions at the beginning of each review cycle during which the supervisor and employee shall: review the employee’s major job responsibilities; establish or confirm and reach agreement on the supervisor’s expectations for performance and the employee’s achievement of these expectations or standards; and conduct periodic meetings during which the immediate supervisor and the employee should review and discuss the employee’s performance and progress toward any specific goals to ensure accomplishment of the performance expectations or standards.

2. **Summarizing and Developing** - The supervisor has primary responsibility to coordinate the summarizing and developing phase of the performance
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appraisal process. The supervisor must: prepare for the formal performance appraisal meeting; write the performance appraisal; deliver and discuss the performance appraisal with the employee in the formal performance review meeting; and produce the completed performance appraisal form.

Preparation for summarizing and developing involves the following:

a. Data gathering, review, and a preliminary meeting with the employee are essential to summarizing and developing the appraisal. The employee may complete the Employee Self-Appraisal form and provide it to the supervisor in advance of the supervisor writing the final performance appraisal. Therefore, the supervisor should convene a preliminary meeting with the employee to encourage and explain the importance of the employee’s participation in the performance appraisal process and the intent of the UCSD Standards. During the preliminary meeting, the supervisor should give the employee a copy of the Employee Self-Appraisal form, explain the significance of self-appraisal and encourage the employee to complete the form, and identify or propose possible professional or career development needs.

b. One of the four UCSD Performance Appraisal and Development Models must be used to document the employee’s performance for the period of the appraisal and to identify goals and performance development for the coming year. Consistent use of the same UCSD Model must be maintained for all similar occupational categories (e.g., Accountant, Buyer, Development Engineer, Programmer) or in a department or unit.

3. UCSD Performance Appraisal and Development Models

The UCSD Performance Appraisal and Development Models are as follows:

**Model One**

Model One emphasizes and recognizes behaviors and activities that are
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especially germane to the development of the department and its staff. A high value is placed on improving the work of the unit, and the skill base and versatility of its staff. This Model might be viewed as especially applicable to work environments that are interactive and goal-oriented. Prominent features of Model One include:

- Opportunities and mutual participation by supervisors and employees in establishing the criteria by which employees will be appraised;
- Goals established and recognized according to their measurable and observable accomplishment(s);
- Skills and competencies identified that are important to the work of the unit and recognize employees who develop or enhance those skills; and
- Opportunities for employees to improve their appraisal outcomes from year to year and how to make it happen.

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 the 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 appraisal(s). It requires a standardized overall rating that relates to the merit increase.

The instructions for Model Two must be provided to both the supervisor and the employee. Similar to other UCSD Performance Appraisal and Development Models, two-way communication and feedback related to performance issues are encouraged.

Model Three
Model Three offers flexibility as different modules can be selected from a “menu of options” to create the annual performance appraisal model. It also
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provides the options of using one and/or any combination of Module Two’s components:

(A) Review of Essential Functions and Projects;

(B) Significant Performance Dimensions such as Communication, Quality, Decision-making, Initiative/Innovation, Teamwork/Collaboration, and Productivity. Three additional categories, Strategic Planning, Performance Management, and Fiscal Management are applicable to managers and supervisors only; and

(C) Goal Accomplishment to appraise the employee’s performance.

Significant features of Model Three include:

- A focus on future development activity for the employee which may be addressed and documented using Exhibit A - Employee Performance Development for Coming Year;

- A separate Employee Comments sheet, which is provided as Exhibit B; and,

- A separate Employee Self–Appraisal form which is provided as Exhibit C.

A department or unit, in conjunction with its Vice Chancellor, has a choice of Modules that may be used to review and appraise employees’ work performance.

While any combination of Module Two (A), (B), and/or (C) can be selected, this approach requires that the same Module(s) be applied consistently to all employees by specific classification categories or in a department or unit, depending on the degree of flexibility adopted by a Vice Chancellor area.

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

*Model Four*

Model Four offers a structured approach to performance appraisal that can be used by a variety of departments across the campus. Significant features of this Model include:

- Performance dimensions that directly relate to the functions, projects and/or goals being appraised;
- Emphasis on future developmental activity for all employees;
- Encouragement of employee participation by completing and submitting the Employee Self-Appraisal form to the supervisor for consideration in the assessment of the employee’s performance; and
- Employee Comments sheet.

Section Two provides for the Review of Essential Functions, Goals and Projects. Supervisors are asked to consider performance dimensions including Initiative/Innovation, Teamwork/Collaboration, Leadership, Decision-making, Communication, Quality, Dependability and Productivity as they review employees’ performance.

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

The UCSD Performance Appraisal and Development Models are provided as Appendices A through D.
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If a Vice Chancellor wishes to use a Performance Appraisal Model or form other than those identified previously, approval must be requested of the Assistant Vice Chancellor - Human Resources in advance of implementing alternative performance appraisal approaches.

Consistency in the use of other models or forms must be in accordance with the respective Vice Chancellor’s Performance Appraisal Guidelines and UCSD Implementing Procedures 23/Performance Appraisal.

4. Signatures
Each of the Performance Appraisal and Development Models includes a signature section. The significance of signature on the completed form indicates the following:

Immediate Supervisor’s Signature
The signature of the immediate supervisor on the completed form indicates that this is the immediate supervisor’s appraisal of the employee’s performance and that the immediate supervisor has communicated the intent of the UCSD Standards to the employee.

Endorsing Supervisor’s Signature
Signatures of the endorsing supervisor and department head on the completed form indicate that: the appraisal is the immediate supervisor’s accurate assessment of the employee’s performance.

Department Head’s Signature
The department head’s signature indicates acceptance of the supervisor’s assessment of the employee’s performance for the review period noted, and the performance review conducted is timely.

Employee’s Signature
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 read the appraisal, and the supervisor and employee have discussed the UCSD Standards and appraisal.
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5. **Employee Comments**
A separate Employee Comments sheet has been developed and incorporated into each of the UCSD Performance Appraisal and Development Models. The supervisor shall allow time outside of the performance appraisal meeting for the employee to review the written performance appraisal and prepare comments. The Employee Comments sheet shall become a part of the Performance Appraisal document.

6. **Completing The Appraisal Process**
Completing the appraisal process requires:

   a. Producing a final version of the performance appraisal document using one of the UCSD Performance Appraisal and Development Models or a model or form approved by the Assistant Vice Chancellor - Human Resources;

   b. Acquiring all required and appropriate signatures;

   c. Giving a copy of the signed document to the employee; and

   d. Placing a copy of the signed document in the employee’s departmental personnel file.

Department heads and supervisors should follow their Vice Chancellor’s Performance Appraisal Guidelines and their department’s Performance Appraisal Process to produce and complete the appraisal.

B. **Timing and Number of Appraisals**
1. UC Personnel Policies for Staff Members 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.” The supervisor shall conduct written performance appraisals, as follows:

   a. At least once a year for each employee in a career position who has attained regular status (completed a probationary period, if required). The annual performance appraisal should be completed a few months prior to the employee’s annual salary review date.
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b. At least once during the probationary period for employees who have not attained regular status. Such appraisals should be conducted at least thirty calendar days prior to completion of the probationary period. More frequent performance appraisals may be conducted whenever circumstances indicate that an assessment of an employee’s performance would be of value.

c. For all other employees, on the basis of each employee’s performance and progress, as determined by the supervisor, and prior to receiving a casual increase, if appropriate.

2. Supervisors should review an employee’s performance when there is a question concerning the employee’s performance or conduct.

3. When an employee’s performance has been appraised, rated and documented as “Improvement Needed” or “Unsatisfactory” using any of the Performance Appraisal and Development Models or a model approved by the Assistant Vice Chancellor - Human Resources, a reappraisal must be conducted. The reappraisal must be completed within three months of the date of the previous performance appraisal. If the employee’s performance continues to be rated as “Improvement Needed” or “Unsatisfactory,” the supervisor and department head should consider alternative actions as defined in the UC Personnel Policies for Staff Members, UCSD Implementing Procedures, or the appropriate Collective Bargaining Agreement. The supervisor and/or department head should consult with the Employee Relations Division of the Human Resources Department regarding appropriate action.

C. Records and Reports

Performance appraisal forms shall be retained for five years following an employee’s separation.

1. Campus -- The original signed performance appraisal form shall be confidential and shall be retained in the employee’s file in the department’s personnel records.
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2. **UCSD Healthcare** -- Completed performance appraisals are maintained in the Human Resources Department.

IV. RESPONSIBILITY

A. **The Chancellor**
   Issues an annual notice to reaffirm the campus’ commitment to the UCSD Performance Management and Appraisal Policies, Procedures, and Process.

B. **The Vice Chancellor**
   Develops Performance Appraisal Guidelines for all areas of responsibility, communicates the Performance Appraisal and Development Model(s) to be used, and the related resources identified to support training and development.

C. **The Department Head**
   1. Ensures compliance with the Vice Chancellor’s Performance Appraisal Guidelines.
   2. Develops and communicates performance appraisal processes, timelines, and resources for all areas of responsibility.
   3. Assures that supervisors conduct timely performance appraisals of accomplishments of functions, projects and expectations for all employees supervised in accordance with UCSD Implementing Procedures and their Vice Chancellor’s and Department’s Guidelines.

D. **The Supervisor**
   1. Implements and follows the Vice Chancellor’s Performance Appraisal Guidelines and the Department Head’s Performance Appraisal Process and Timelines.
   2. Supports the employee’s participation in the performance appraisal process by explaining its importance, procedures and forms, the employee’s role and responsibilities, the Vice Chancellor’s and Department Head’s Performance Appraisal Guidelines and the intent of the UCSD Standards.
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3. Reviews and discusses with the employee essential job-related functions, projects, and expectations; and career and professional development, and training.

4. Drafts standards and goals in collaboration with the employee or explains them to the employee.

5. Determines and schedules meetings and/or feedback points with the employee to discuss progress toward specific goals.

E. Human Resources Department
Provides guidance, procedures and training to support the campus in the implementation of the UCSD Performance Management and Appraisal Process.

APPENDICES

UCSD PERFORMANCE APPRAISAL AND DEVELOPMENT MODELS
Appendix A - Performance Appraisal and Development Model One
Appendix B - Performance Appraisal and Development Model Two
Appendix C - Performance Appraisal and Development Model Three
Appendix D - Performance Appraisal and Development Model Four

UCSD PERFORMANCE APPRAISAL PROCESS AND CYCLE
Appendix E - UCSD Performance Appraisal Process
Appendix F - Performance Appraisal Cycle (an example)