Appendix D
ONLINE COMPLETION OF UCSD PERFORMANCE APPRAISAL AND DEVELOPMENT – MODEL FOUR

To ensure the best results for the online completion of UCSD Performance Appraisal and Development Model Four, 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, Page 1 of 3:
   The Rating boxes will highlight when clicked on to insert a digit, but this will not affect the insertion of a rating.

3. SECTION TWO – Review of Essential Function, Goals and Projects, Page 2 of 3:
   Each Comments box will allow six lines of text to be inserted. If additional space is needed, please use the blank page at the end of Model Four. Navigate using the Enter and Arrow Keys.

4. EXHIBIT A – Employee Performance Development for Coming Year:
   Each box will allow eight lines of text to be entered. If additional space is needed, please use the blank page at the end of Model Four. Navigate using the Enter and Arrow Keys.
DESCRIPTION OF MODEL FOUR
Model Four offers a structured approach for 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 activities 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.

This Model provides the opportunity for the supervisor and employee to work collaboratively to build, improve, or sustain employee performance and to contribute to organizational effectiveness. The Model 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://www-hr.ucsd.edu/~qwl/policies/pdf/sp23.pdf) 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/sp23.html) and The Guide to Performance Management (http://www-hr.ucsd.edu/~staffeducation/guide) are comprehensive UCSD resources that describe the stages of conducting the performance appraisal.

INSTRUCTIONS
The 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. During the first meeting, which 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 (Exhibit C) and submit it to the supervisor for consideration in the development of the employee’s appraisal.

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.

UCSD STANDARDS
The UCSD Standards represent four areas of individual performance that are critical to the success of the UCSD organization: The UCSD Principles of Community, Diversity, Health and Safety, and Customer Service. The Performance Appraisal and Development form includes the task statements for the four 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 above the “solid performance” standard, rate according to the UCSD Performance Appraisal Ratings defined above. Provide one rating for each of the standards.
UCSD STANDARDS (SECTION 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 supervisor’s area of responsibility.**
  *For managers and supervisors only* Solid performance will be demonstrated when the manager and supervisor 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.**
  *For managers and supervisors only* Solid performance will be demonstrated when all employees participate in appropriate activities (e.g., training course, workshop, presentation, dialogue with supervisor) designed to foster awareness and assist employees to work safely without degrading the environment.
**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 supervisors only)* Solid performance will be demonstrated when managers and supervisors have an established process to support, recognize, and acknowledge employees for their customer service.
  Solid performance will be demonstrated when employees follow established customer service practices and show personal commitment to customer satisfaction.

**REVIEW OF ESSENTIAL FUNCTIONS, GOALS AND PROJECTS (SECTION TWO)**
This section provides the opportunity to assess an employee’s performance of job functions, unit goals, or special projects as related to previously defined expectations. Supervisors are asked to consider key performance dimensions including initiative/innovation, teamwork/collaboration, communication and quality of work in the performance appraisal process. Examples and descriptions of performance dimensions include:

- **Initiative/Innovation:** Self-starting ability, resourcefulness, creativity; introduces new concepts and processes using independent and original thought, ingenuity.
- **Teamwork/Collaboration:** Effectiveness in working together with colleagues at various levels to solve problems, improve work processes, or accomplish specific tasks.
- **Leadership:** Influences others to achieve department/unit and organizational goals, and promote ethical behavior.
- **Decision-making:** Defines problems/central issues, collects and evaluates significant or relevant data, evaluates options, and proposes and implements a sound solution.
- **Communication:** Expresses ideas clearly, makes effective oral and written presentation, listens effectively, and interacts with others in a helpful and informative manner.
- **Quality:** Degree of excellence in factors such as accuracy, completeness, and follow-through on work.
- **Dependability:** Punctuality, regularity in attendance, meeting deadlines, and performing assignments reliably.
- **Productivity:** Completion of sufficient volume of work, based on department/unit priorities and timeliness.
- **Optional Dimensions:** Supervisors may include other performance dimensions that are unique to their organizations.

**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 Review of Essential Functions, Goals and Projects (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.

Supervisors should provide narratives that describe the basis for the appraisal ratings. The narratives provide a description of the employee’s performance in specific, behavioral terms and should include statements of the impact of that performance. *The Guide to Performance Management* may be useful to understanding this aspect of the performance appraisal process.
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 FOUR

PERFORMANCE APPRAISAL EXHIBITS
- **Employee Performance Development for Coming Year (Exhibit A)**
  This Exhibit 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, 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.
Please rate the following organization-wide standards 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.
SECTION TWO: Review of Essential Functions, Goals and Projects – Model Four

Describe the functions, goals and projects that the employee has undertaken during this appraisal cycle. Please rate each considering performance dimensions such as initiative/innovation, teamwork/collaboration, leadership, decision-making, communication, quality, dependability, productivity and other related performance expectations. Provide supporting comments, as appropriate.

Insert the appropriate rating below:
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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Essential Functions, Goals and Projects</th>
<th>Comments</th>
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SECTION THREE: Overall Appraisal of Performance – Model Four

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 Four

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 and Competencies</th>
<th>Development Activities/Resources</th>
<th>Time Frame</th>
<th>Expectations</th>
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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>
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_____________________________  __________________________
Employee’s Signature  Date
EXHIBIT C: Employee Self-Appraisal – Model Four

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 communication 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