Appendix C

ONLINE COMPLETION OF UCSD PERFORMANCE APPRAISAL AND DEVELOPMENT – MODEL THREE

To ensure the best results for the online completion of UCSD Performance Appraisal and Development Model Three, 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. MODULE ONE - UCSD Standards, Page 1 of 2:
The Rating boxes will highlight when clicked on to insert a digit, but this will not affect the insertion of a rating.

3. MODULE THREE - Overall Appraisal of Performance, Page 2 of 2:
Position your cursor on each line provided.

4. MODULE TWO (A) – Review of Essential functions and Projects:
Six lines of text are allowed in each box. If additional space is needed, please use the blank page at the end of Model Three. Navigate using the Arrow Keys.

5. MODULE TWO (B) - Significant Performance Dimensions:
Comments boxes will allow only two lines of text. If additional space is needed, please use the blank page at the end of Model Three. Navigate using the Arrow Keys.

6. MODULE TWO (C) - Goal Accomplishment for Period of This Appraisal:
Goals and Comments boxes will allow six lines of text. If additional space is needed, please use the blank page at the end of Model Three. Navigate using the Arrow Keys.

7. EXHIBIT A - Goal Accomplishment for Coming Year:
Goals and Comments boxes will allow six lines of text. If additional space is needed, please use the blank page at the end of Model Three. Navigate using the Arrow Keys.

8. EXHIBIT B - Employee Performance Development for Coming Year:
All boxes will allow eight lines of text. If additional space is needed, please use the blank page at the end of Model Three.
DESCRIPTION OF MODEL THREE
Model Three offers flexibility as different modules can be selected from a “menu of options” to create the annual performance appraisal. This Model provides the options of using one and/or any combination of Module Two’s components to appraise the employee’s performance. Therefore, the appraiser may choose: (A) Review of Essential Functions and Projects; (B) Significant Performance Dimensions; and/or (C) Goal Accomplishment for the Period of This Appraisal.

It is important to note that this approach requires that the same components of Module Two be applied consistently to all employees by specific classification categories or in a department, depending on the degree of flexibility adopted by a particular vice chancellor area.

Other significant features of Model Three include:
- A focus on goals for the next appraisal period (Goals for Coming Year, Exhibit A);
- A focus on future development activity for all employees (Employee Performance Development for Coming Year, Exhibit B);
- A separate Employee Comments sheet (Exhibit C); and
- Improvement of employee participation by inclusion of an Employee Self-Appraisal form (Exhibit D).

Model Three also provides opportunities 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://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 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 D) 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 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.**
  {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 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.

**APPRAISAL OF PERFORMANCE (MODULE TWO)**
The employee’s performance must be appraised by completing Module Two (A) Review of Essential Functions and Projects; and/or Two (B) Significant Performance Dimensions; and/or Two (C) Goal Accomplishment for Period Covered by This Appraisal or any combination of (A), (B), and (C).

**OVERALL APPRAISAL OF PERFORMANCE (MODULE THREE)**
An overall rating of the employee’s performance must be provided and consistent with the ratings assigned for the UCSD Standards (Module One) and Appraisal of Performance (Module Two). These modules 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 intent of 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.
MODULES AND EXHIBITS FOR MODEL THREE

PERFORMANCE APPRAISAL MODULES

MODULE TWO:

(A) REVIEW OF ESSENTIAL FUNCTIONS AND PROJECTS
Provides the opportunity to review the employee’s work by focusing on the employee’s performance of Essential Functions and Projects;

(B) SIGNIFICANT PERFORMANCE DIMENSIONS
The Significant Performance Dimensions presented are applicable for all employees, and include initiative/innovation, teamwork/collaboration, leadership, decision-making, communication, quality and productivity. Three additional Dimensions (strategic planning, performance management, and fiscal management) are provided and appropriate for supervisory and managerial employees only.

(C) GOAL ACCOMPLISHMENT FOR PERIOD COVERED BY THIS APPRAISAL
Module Two (C) provides the opportunity to address the employee’s accomplishment of strategic and operational goals for the period covered by this appraisal.

PERFORMANCE APPRAISAL EXHIBITS

- **Exhibit A - GOAL ACCOMPLISHMENT FOR COMING YEAR**
  Exhibit A should be used to appraise goal accomplishment(s) for the next performance appraisal period.

- **Exhibit B - EMPLOYEE PERFORMANCE DEVELOPMENT FOR COMING YEAR**
  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.

- **Exhibit C - EMPLOYEE COMMENTS**
  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.

- **Exhibit D - EMPLOYEE SELF-APPRAISAL**
  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, 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 THREE**

<table>
<thead>
<tr>
<th>Employee’s Name</th>
<th>Department</th>
<th>Division</th>
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<tbody>
<tr>
<td>Payroll Title (Class)</td>
<td>Most Recent Date of Hire</td>
<td>Date Assigned Present Classification</td>
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<tr>
<td>Supervisor’s Name</td>
<td>Supervisor's Payroll Title</td>
<td>Length of Time Employee Has Been In This Job</td>
</tr>
<tr>
<td>Most Recent Date of Hire</td>
<td>Date Assigned Present Classification</td>
<td>Period Covered By This Appraisal</td>
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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.

## MODULE ONE: UCSD Standards

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.
MODULE TWO: Appraisal of Performance – Model Three

Module Two offers the options of using one, all, and/or any combination of the Modules listed below to appraise the employee’s performance:

Two (A) Review of Essential Functions and Projects, and/or
Two (B) Significant Performance Dimensions, and/or
Two (C) Goal Accomplishment for Period of This Appraisal.

MODULE THREE: Overall Appraisal of Performance – Model Three

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 Modules 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
Describe the essential functions and projects that the employee has undertaken during this appraisal cycle. Provide a rating and supporting comments, as appropriate. Insert the appropriate rating:

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 and Projects</th>
<th>Comments</th>
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**MODULE TWO (B): Significant Performance Dimensions – Model Three**

Ratings: In appraising the performance dimensions below, consider how these apply to the functions and projects undertaken by the employee during this appraisal cycle. Please rate the employee according to the following and provide supporting comments, as appropriate.

- **E** = Exceptional
- **A** = Above Expectations
- **S** = Solid Performance
- **I** = Improvement Needed
- **U** = Unsatisfactory

<table>
<thead>
<tr>
<th>Rating</th>
<th>Applicable for All Employees</th>
<th>Comments</th>
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<tbody>
<tr>
<td>1.</td>
<td><strong>Initiative/Innovation:</strong> Assessment of self-starting ability, resourcefulness, creativity, introduces new concepts and processes using independent and original thought, ingenuity.</td>
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<td>2.</td>
<td><strong>Teamwork/Collaboration:</strong> Assessment of effectiveness in working together with colleagues at various levels to solve problems, improve work processes, or accomplish specific tasks.</td>
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<td>3.</td>
<td><strong>Leadership:</strong> Influences others to achieve department/unit and organizational goals, and promote ethical behavior.</td>
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<td>4.</td>
<td><strong>Decision-making:</strong> Assessment of problems/central issues defined, collection and evaluation of significant or relevant data, evaluation of options, solutions proposed and implementation of appropriate solution(s).</td>
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<td>5.</td>
<td><strong>Communication:</strong> Assessment of clarity of ideas expressed, effectiveness of oral and written presentations, effectiveness in listening and interacting with others in a helpful and informative manner.</td>
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<td>6.</td>
<td><strong>Quality:</strong> Assessment of excellence in factors such as accuracy, completeness, and follow-through on work.</td>
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<td>7.</td>
<td><strong>Productivity:</strong> Completion of sufficient volume of work, based on department/unit priorities and timeliness.</td>
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<td>8.</td>
<td><strong>Optional Dimensions:</strong> Supervisors may include other performance dimensions that are unique to their organizations (e.g., dependability).</td>
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**Applicable for Supervisory and Managerial Employees Only**

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<tr>
<th>Rating</th>
<th>Applicable for Supervisory and Managerial Employees Only</th>
<th>Comments</th>
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<td>1.</td>
<td><strong>Strategic Planning:</strong> Defines organization’s mission, formulates strategic goals, and develops specific strategies to meet goals.</td>
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<td>2.</td>
<td><strong>Performance Management:</strong> Uses an ongoing communication process that involves the employee, identifies and describes essential job functions and relates them to the mission and goals of the organization, develops realistic and appropriate standards, gives and receives feedback about performance, writes and communicates constructive performance appraisals, plans education and development opportunities to sustain, improve or build on employee work performance.</td>
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<td>3.</td>
<td><strong>Fiscal Management:</strong> Makes decisions about how funds are expended so that department/unit goals are met, resources are optimized and accountability requirements are achieved, all within budget.</td>
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</table>
State goals identified in the previous appraisal cycle and rate according to the following scale. Provide supporting comments as appropriate.

**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>Goal</th>
<th>Comments</th>
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EXHIBIT A: **Goal Accomplishment for Coming Year – Model Three**

State goals identified to be accomplished during the next or coming year’s appraisal cycle.

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<th>Goals</th>
<th>Comments</th>
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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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EXHIBIT C: **Employee Comments – Model Three**

- 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 D: Employee Self-Appraisal – Model Three

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.

<table>
<thead>
<tr>
<th>To be completed by the employee just prior to the formal appraisal</th>
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<tbody>
<tr>
<td><strong>Employee’s Name:</strong> ________________________________</td>
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<tr>
<td><strong>Functions/Goals/Projects</strong></td>
</tr>
<tr>
<td>I was expected to accomplish the following:</td>
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Please include your name at the top of any additional sheets used.

______________________________  ____________________________
Employee’s Signature                  Date