

**UCOP Human Resources Procedures 23 – PERFORMANCE APPRAISAL**

- I. POLICY REFERENCES**
- UC-PPSM 2, Definition of Terms
  - UC-PPSM 12, Non-Discrimination in Employment
  - UC-PPSM 14, Affirmative Action
  - UC-PPSM 22, Probationary Period
  - UC-PPSM 23, Performance Appraisal
  - UC-PPSM 30, Salary Administration
  - UC-PPSM 50, Professional Development
  - UC-PPSM 60, Layoff and Reduction in Time for Professional and Support Staff Positions
  - UC-PPSM 62, Corrective Action
  - UC-PPSM 64, Termination of Career Employees – Professional and Support Staff
  - UC-PPSM 65, Termination of Career Employees – Managers and Senior Professionals
  - UCOP Employee Performance Evaluation Sample Form

**II. PURPOSE**

Performance appraisals are intended to help employees better understand their respective job responsibilities; improve job performance in relation to the division's or department's institutional goals; measure and enhance individual performance, recognize and reward employee contributions, and foster professional development and career growth. In addition, the process is intended to increase productivity, correct issues that, if left unattended, may lead to serious problems for the individual, and the division or the department, and meet the internal and external demands for documentation of individual performance.

The performance appraisal process is an essential part of an individual's employment experience with the Office of the President and serves as the basis for several UC-PPSM employment-related actions including, but not limited to, completion of probationary periods, determination of merit increases, promotions and transfers. In addition it serves as a tool for placing employees on notice of performance deficiencies that, if uncorrected, may lead to corrective actions, and performance-based terminations. *It should be noted that performance appraisals are non-disciplinary in nature and not intended to be a part of the corrective action process.*

**III. TIMING OF APPRAISALS**

The UC-PPSM states that each employee shall be appraised in writing at least annually by the employee's immediate supervisor. However, additional appraisals may be conducted at any time the supervisor, or employee, feels it would be of value.

**A. Probationary Employee**

Probationary employees should receive at least one written performance appraisal by their immediate supervisor during their probationary period.

**B. Employee in a Career Position Who Has Attained Regular Status**

Career employees should receive at least one written performance appraisal annually by their supervisor.

Where performance deficiencies exist, it is preferable to provide the employee with his or her performance evaluation at least thirty (30) to ninety (90) days or more prior to the employee's annual salary review date.

Performance appraisals should be given to all employees, whether or not such employees are eligible for a salary review or merit increase.

**C. Employee in a Limited or Contract Appointment**

Limited or Contract Appointment employees should also be given a performance appraisal, particularly those employees assigned to longer-termed appointments.

**IV. PERFORMANCE APPRAISAL REVIEW PROCESS**

**A. Performance Appraisal Review Process**

Divisions and Department Heads (or designees) should use standardized employee performance appraisal forms. These forms should include different sections in which the supervisor can record the employee's job-specific duties and responsibilities for the period of time covered by the performance appraisal. The performance appraisal form should also include additional sections for general comments regarding the employee's performance, the employee goals and objectives for the coming year, and the employee's comments. In addition, the performance appraisal should include spaces for the signatures of the employee, the supervisor, and the next reviewing level.

The supervisor should prepare the performance appraisal in "final draft" and schedule a date and time within which to meet and discuss with the employee his or her performance appraisal. The "final draft" is intended to allow for employee comments and input regarding information about his or her performance of which the manager or supervisor may be unaware. Alternatively, division or departments, at their discretion, may elect to have employees submit self-assessments prior to preparing the final performance appraisal and conducting the performance appraisal meeting.

**B. Performance Appraisal Meeting**

The performance appraisal meeting and discussion between the employee and his or her supervisor should take place in person. It is also strongly recommended that the meeting be based on an interactive exchange wherein the employee is encouraged to offer comments, ask questions, and/or make suggestions, as appropriate.

In cases where there are performance deficiencies, it is recommended that supervisors identify the specific performance areas that need improvement, provide the employee with feedback and advice regarding how to correct such deficiencies, inform the employee of the measurement criteria to be used in determining a satisfactory level of performance, and give the employee a timeframe within which to improve his or her performance. In addition, supervisors may, at their discretion, develop improvement plans, provide special performance appraisals, schedule weekly follow-up meetings, and/or offer suggestions for additional training and other resources, as needed. Performance appraisals are non-disciplinary in nature.

Where appropriate, the source of any information solicited or received and used by the supervisor in the performance appraisal may be identified to the employee upon her/his request.

**V. RECORDS AND REPORTS**

Once finalized and signed, the completed performance appraisal shall be filed in the employee's personnel file. A copy of the completed performance evaluation shall also be provided to the employee.

Supervisors should also note any instances where an employee refuses to sign the performance appraisal before sending it to file, with comments as appropriate.