

A photograph of three people sitting at a conference table. On the left, a man with short grey hair is smiling broadly. In the center, a woman with dark hair and glasses is smiling. On the right, a man with dark hair is looking towards the camera with a slight smile. They are all wearing business casual attire. The background shows a window with blinds and a wooden wall.

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Staff Engagement

Performance Management
Workgroup

January 13, 2014

Executive Summary

This workgroup was tasked with developing recommendations around **performance management**, which are laid out in the following pages. This effort was undertaken by a diverse group of Office of the President (OP) employees of varying seniority, tenure, and departmental affiliation who volunteered their time and energies for this project. Our aim was to provide actionable and practical recommendations based on research, data, individual interviews, and listening sessions with OP employees, including appropriate topic experts.

The Staff Engagement Survey administered in 2012 by Towers Watson sought to understand the current state of engagement of the UC workforce¹ and what drives engagement at UC specifically. Key survey findings included the following:

- Just 53% of surveyed employees had favorable ratings around performance management (which was 11% below benchmark).
- 39% of employees felt that their supervisor “effectively deals with poor performers.”
- 56% of employees felt that their supervisor “does a good job of building teamwork.”

The survey also offered some encouraging data points about OP’s culture, which also factored into our recommendations:

- Most employees felt favorably about their relationship with their supervisor.
- Most employees indicated they feel treated with respect and have a clear understanding of how their job contributes to departmental objectives.

The survey’s key metrics led to a focus on three main areas for improvement, with a workgroup appointed in each area to address:

- Career Planning and Development
- Performance Management
- Communications

Effective performance management filters into the very fiber of an organization. The efficiency of our initiatives and operations, and overall effectiveness at OP, are significantly affected by effective synergies and investments in performance management.²

Our workgroup recognizes there may be institutional barriers (i.e., cultural barriers) to the implementation of new approaches within OP. In particular, the 2012 survey results showed that UC was 26% below benchmark on points related to organizational change. With this metric in mind, we formulated recommendations that are as straightforward, flexible, and actionable as possible to overcome potential obstacles and achieve measurable improvements for OP and its staff.

¹ The survey was sent to non-represented employees and employees outside of the Senior Management Group with tenure of one year or greater.

² Performance management affects job satisfaction, which, in turn, has an impact on employee retention. Replacing workers can be costly with recruitment, hiring and training costs incurred each time an organization must replace a key worker. The process can be time-consuming, leading to a loss in productivity and other costs. Retention of key talent — those employees who are the strongest performers, have high potential or are in critical jobs — is even more important during economic recoveries when organizations compete aggressively for talent. Key talent disproportionately contributes to current organization performance and to future performance since key employees often become leaders within the organization. Estimates suggest that the cost of employee turnover often ranges from 50% to 200% of the employee’s annual salary based on the type and level of job he or she holds.

Recommendations Overview

1. **Expand and enrich training for people-managers** on performance management overall, but especially with regard to managing underperformers.
 - Cultivate a unified vision of performance expectations and best practices for performance management across OP.
 - Provide training for people-managers at every level that focuses on the benefits of initiating productive dialogue with direct reports, emphasizing and encouraging regular goal-setting, and becoming more skilled in sharing constructive feedback and developmental coaching.
 - Use existing training resources more effectively.
2. **Continually improve the performance measurement process**, including performance standards, performance objectives, and the annual performance evaluation such that measures include anchors to specific competencies important to the employee's department, based on the department's definition (and refinement) of what performance excellence means.
3. **Increase staff recognition** by directly communicating and demonstrating appreciation for quality performance and extraordinary contributions.

Process of Inquiry

Our workgroup formed two study groups to dive more efficiently into the project, while convening as a whole on a frequent basis and sharing data and preliminary findings. Study group members and the workgroup facilitators met with various individuals and content experts, both internal and external to UCOP, and reviewed best practices. Each study group also met with interested employees at OP who wished to share their own experiences or suggestions. One study group looked at **performance reviews** and the other addressed **pay for performance**. Our process of inquiry included:

- Research of best practices within OP as well as the University of California system
- Outreach to select experts
- Individual and small group interviews with UCOP Human Resources, Training and Compensation
- Individual informal interviews with OP employees, including members of our workgroup
- Public feedback sessions with OP employees and the UCOP Climate Council

Highlights of Workgroup Findings

Performance Reviews

The 2012 Staff Engagement Survey found that only 39% of UCOP employees felt their supervisor "effectively deals with poor performers," and only 56% felt their supervisor "does a good job of building teamwork." These results are lower than both the overall UC benchmark and the benchmarks for U.S.-based organizations and universities established by Towers Watson, who administered the survey.

While effective performance management may come naturally to some UCOP supervisors, the survey results suggest that many supervisors are failing to be effective managers of employee performance, at least in some respects, in the eyes of their direct reports. It is clear that all supervisors, even those with years of experience, need some amount of training to ensure that they possess the skills and confidence to be successful people-managers. In particular, such managers should possess the skills to initiate dialogue with their supervisees, encourage individual and team goal-setting, manage underperformers, and offer ongoing constructive performance feedback and developmental coaching.

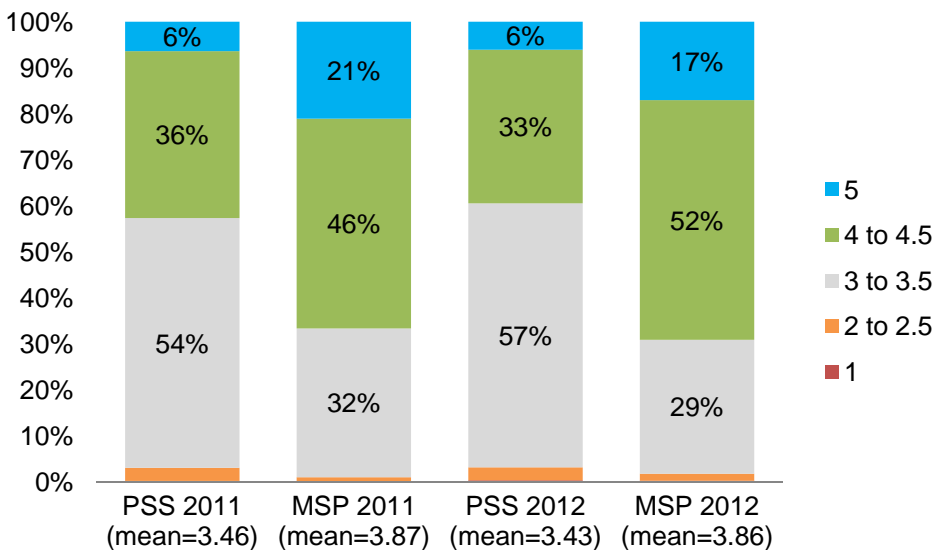
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Our research also suggests that UCOP people-managers as a whole lack a unified vision of performance management expectations and best practices.³ We have found little consensus at UCOP about what a “1,” “2,” “3,” “4,” or “5” rating really means during the annual employee performance appraisal process. Departments apply performance review standards differently across the organization, and some even discourage high performance ratings regardless of merit, due to the perception that “too many” high marks will fall under scrutiny. Naturally, it hurts morale when there is “grade inflation” in one department, while employees performing at the same level are evaluated more harshly in another or their ratings are subject to an “artificial” ceiling.

Tension exists between the Staff Engagement Survey results referenced in this section’s first paragraph and the actual distribution of completed performance evaluations of employees in the different job classification levels. For example, in 2012, 69% of employees classified as Managers and Senior Professionals (MSP) received an overall performance evaluation score of “4” (“exceeds expectations”) or higher. In comparison, only 39% of employees in the Professional and Support Staff (PSS) category were rated at a “4” level or above. Though there is not 100% overlap between employees in supervisory positions and the MSP category, the discrepancy between the lower percentage ratings in the Staff Engagement Survey for successfully dealing with poor performers and building teamwork may be a sign that performance management is not appropriately emphasized in the job description or in the performance evaluations of employees in supervisory roles.

Furthermore, the Staff Engagement Survey found that 70% of UCOP employees felt that their “performance on the job is evaluated fairly” and 65% of employees had a favorable response to the statement “My supervisor gives me regular feedback on my performance.” Both responses, however, were below the Towers Watson benchmark for national comparators. And notably, the average overall performance evaluation score for PSS employees in 2011-12 was significantly lower than that of MSP employees (3.43 vs. 3.86). A similar variation held for 2010-11 (see Figure 1). Together, these findings point out there may be inconsistency in how the rankings are applied to employees.

Figure 1. Average Overall Performance Evaluation Scores for PSS and MSP Employees, 2011 & 2012



³ UC maintains distinct Performance Management policies for policy-covered staff, represented staff, and members of the Senior Management Group.

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UCOP offers a variety of [learning resources](#) for managers and supervisors related to performance management topics, including how to conduct performance appraisals, set expectations, and coach employees. Yet the trainings are not mandatory and are somewhat sparsely attended. (Between 2010 and 2013, approximately 115 managers/supervisors have participated in each of the two key performance management sessions, Setting Performance Expectations and Conducting Performance Appraisals.)⁴ The frequency of such offers, length (half or all day sessions), and prioritization of such training in the face of other workload priorities all may be factors that impact attendance. While it is difficult to measure the actual impact of the training sessions on managers and employee supervision, the Staff Engagement Survey suggests that the classes may not be working as well as they could in terms of synching performance review standards across UCOP and coaching supervisors to be effective people-managers. Moreover, some managers believe the trainings do not align well with the standard UCOP performance evaluation tool and are therefore not sufficiently practical.

Pay for Performance

Notably, just 24% of respondents to the Staff Engagement Survey felt that UC matches pay and performance well. This single statistic underscores the importance of linking the issues of overall compensation to staff performance. Therefore, we attempted to address to some degree the staff concern about pay for performance, but avoided delving deeply into a comprehensive study of compensation levels at OP in order to maintain a reasonable scope for our project. As such, we opted to research only key salary data points before focusing on other means of rewarding quality staff performance via staff recognition opportunities.

According to 2013 UCOP salary data, a significantly higher percentage of PSS employees fall below the Career Track's salary midpoint, compared to MSP employees. As Table 1 illustrates, 52% of MSP employees are equal to or above midpoint, versus only 31% of PSS employees (with 69% below midpoint). These divergent percentages clearly illustrate a need to investigate the current compensation levels of staff across all classification levels, as well as to resolve compensation inequities.

Figure 2. Percent of MSP and PSS Employees Equal to or Above Salary Midpoint⁵

	<i>Equal to or Above Midpoint</i>	<i>Below Midpoint</i>
<i>Managers & Senior Professionals</i>	52%	48%
<i>Professional & Support Staff</i>	31%	69%

Moving on to the topic of employee recognition, we discovered at least two points of conflict between the idea of rewarding high performance and the reality of doing so at OP. Recognition awards, such as the "spot" awards and the more generous Staff Appreciation and Recognition (STAR) Program awards, are discretionary cash (or non-cash) awards intended to recognize and reward excellence in University service, significant achievements and contributions, and/or outstanding individual and team performance. The amount of the recognition award is determined by the manager at his or her discretion, subject to local guidelines.⁶

First, a major limitation of the STAR Program for many UCOP departments is that there is not presently any central source of funding for the program, which means awards must be paid from existing division and department budgets. According to a communication to OP employees in April 2013, "UCOP is

⁴ UCOP has approximately 330 employees categorized as either managers or supervisors.

⁵ Notes: Data represents total 1,369 UCOP employees and does not include represented employees, the Senior Management Group, Treasurer Office and Academic Staff whose salary grade information was unavailable at the time of analysis. Percentage calculations were based on current salaries that reflect the July 2013 3% across-the-board salary increases.

⁶ The STAR, or [Staff Appreciation and Recognition Program](#), allows managers and supervisors to give one-time cash awards to their staff to recognize exemplary performance that promotes operational and administrative improvements at UCOP. Awards may be made in amounts of up to 10 percent of the employee's base salary or \$5,000 (whichever is lower) and may be given at any time during the year.

working to create a pool of funding for FY 2013-14 for departments that may have insufficient funds to cover such awards.” The program has been approved for UCOP through June 2014.

Second, an infrequent occurrence with respect to STAR awards appears to be that when they are given, many are given “in secret” – that is, in a low-publicity fashion to downplay the act of recognition and/or the reason for recognition. If excellent performance is considered an important goal to aim for and to achieve, then the culture of recognition at OP must undergo a decisive shift.

Recommendations

The points presented above, along with dozens of staff comments, the collective experiences of our workgroup, and our research informed the following recommendations.

Recommendation 1: Expand and Enrich Supervisory Training for People-Managers

Effective performance management improves morale for the entire team, thereby increasing retention of strong performers and minimizing administrative burdens (and costs) resulting from staff turnover.

- We recommend that UCOP invest in developing a new and, in some cases, expanded series of training classes for new and existing people-managers related to effective management skills. The trainings should communicate concrete examples of how effective management benefits the manager and his or her entire team and empowers participants with helpful ideas and approaches that can be put into practice immediately. Trainings should encourage ongoing dialogue between employees and supervisors beyond the annual exchange. They should focus on the benefits of initiating dialogue with their reports, emphasizing and encouraging goal-setting, managing underperformers, and becoming more skilled and confident in providing constructive performance feedback and developmental coaching.
- We recommend making performance management trainings a mandatory part of all people-managers’ annual obligation, regardless of their level in the organization. Non-supervisory employees should be strongly encouraged to take available performance management training as well.
- We suggest organizing the trainings by department so that all managers in a department take the training together and/or calibrating the trainings to the level of manager and the kind of employees they manage.
- Finally, training and education about managerial best practices should not be confined to a UCOP classroom. We recommend making better use of existing technology to enhance communications among managers in a way that allows them to share best practices and support each other. One initial step to doing this would be to further develop the managers HR listserv, of which all people-managers are not currently members, as an information clearinghouse and training resource.

Recommendation 2: Improve Performance Management Process

We developed the detailed recommendations below with the goal of providing both employees and supervisors with more clarity around the entire performance evaluation process. Setting clear expectations for both employee performance and supervisor performance management will increase morale and the quality of staff performance. In [Appendix B](#), we provide a case study of how the Research Grants Program Office (RGPO) effectively developed performance evaluations to address performance issues.⁷ Our recommendations also aim to improve the overall culture around performance

⁷ We also provide the tables used by RGPO, which specify how performance is linked to the numbered rankings.

management and provide more support to supervisors in this aspect of their jobs. Supporting the time investment of supervisors in performance management efforts will have significant returns in employee performance and morale.

- We recommend that each department develop a set of specific anchors and competencies for each category in the performance evaluation tailored for the department. These anchors and competencies will help employees connect their day-to-day duties with the mission and goals of UCOP. In producing these specifics, departments should also clearly lay out what performance is necessary to receive a ranking of “3,” “4,” or “5.” Communication of these standards and expectations will increase the transparency of the performance evaluation process. It may also reduce the need for artificial limits on the number of “4” and “5” ratings awarded.
- We recommend that the evaluations of supervisors include an assessment of how well they manage (and coach) their direct reports. In addition, we recommend that performance evaluation be an ongoing process, rather than a once-yearly event (which, in our evaluation of best practices, is uniformly cited as a subpar approach). Quarterly “check-ins” between supervisors and employees will improve communication and help supervisors identify poor performance at an earlier stage. This increased emphasis on performance management will help UCOP create a culture that values performance management.
- We encourage all departments to develop vision, mission, and values statements aligned with UCOP goals and to support employees’ in identifying individual annual goals that support departmental initiatives. Establishing clearer links to these various structural and cultural elements within a department and throughout OP relates critically to performance management, especially given the importance for employees to understand how their efforts contribute to the overall success of the organization.

Recommendation 3: Increase Staff Recognition Opportunities

We firmly believe an organization that embraces and expects high-quality performance from its employees, and recognizes staff for performance excellence, will see improved performance and morale levels. Identifying and offering more opportunities for staff recognition, whether by one-time discretionary awards or increases in compensation, will provide strong motivation for continued solid performance.

- We recommend broadly and consistently communicating to staff in general, as well as to people-managers and senior leadership in particular, the existing opportunities to grant spot or STAR awards to deserving employees. When such awards are made, they should be publicized and celebrated to help create a culture that values and nurtures excellent performance. To this end, we recommend that award announcements highlight the reason the employee received the award.⁸
- To sustain the current recognition programs, we recommend creating a central pool of funding that could be available for such awards with the understanding that departments will be required to have a stake in supporting such programs, through budgetary contributions and/or time dedicated to reviewing award nominations.
- We support the use of small spot awards to recognize excellence and accomplishments immediately. We were impressed by the UCSF “bear hug” program⁹ and think it could be one potential model for UCOP.

⁸ We are not recommending that the amount of each STAR award be announced.

⁹ UCSF Bear Hugs are administered by Campus Life Service and offer a quick and convenient way to purchase non-cash awards for on-the-spot recognition and appreciation gifts for UCSF employees. The non-cash awards must be valued at \$75 or less to remain exempt from taxes, and these employee recognition awards are meant to be occasional and therefore must be presented to an employee on an infrequent basis. An employee is limited to receiving no more than three such awards in a calendar year.

Conclusion

We hope the performance management recommendations outlined in this report will provide value to OP, and that the collective implementation of some or all of them lead to more positive OP staff engagement survey scores in the future, and ultimately to a more effective and well-run organization.

Appendix A: Staff Engagement Performance Management Workgroup

Over a three-month period, the following individuals undertook this project and worked together to develop its recommendations. The facilitators sincerely appreciate and thank each member of our workgroup.

Primary Workgroup

Garen Corbett (Facilitator)	Director, California Health Benefits Review Program Health Sciences and Services
Ryan Chan (Co-Facilitator)	Institutional Research Analyst Institutional Research and Academic Planning
Pei-Ru Chao	Budget Development System Administrator Office of the President Budget Office
Michael LaBriola	Principal Policy Analyst Academic Senate
Stephanie Leider	Senior Counsel – Labor, Employment & Benefits Office of the General Counsel
Monica Lin	Associate Director of Undergraduate Admissions – Articulation Student Affairs
Rebecca Stanek-Rykoff	Senior Analyst, Innovation Alliances and Services Office of Research & Graduate Studies

Contributors

Paul Lechner	Senior Event Planner Business Resource Center
Doris Parham	Human Resources Coordinator Office of the President Local Human Resources
Lynn Tierney	Associate Vice President – Communications University Affairs – Strategic Communications

Appendix B: Case Study of Research Grants Program Office

The Research Grants Program Office (RGPO) in the Office of Research and Graduate Studies (ORGS) provides a case study for how performance evaluations can be used to improve overall staff performance and staff morale. When Mary Croughan took over as Executive Director of RGPO in 2009, there was a need for improvements in professional performance and behavior. After attending a UCOP performance management training session that used examples from UC Irvine, Dr. Croughan and Dr. Bart Aoki developed a detailed rubric for use in performance evaluations. Not only were the standards for the numbered scores clearly laid out, but the evaluation was weighted such that 60% of the total score came from behavioral competencies and 40% from job performance competencies.

After instituting this performance evaluation system, RGPO saw significant improvement in the performance and climate of the department. In the following years, the weighting of the behavior competency shifted from 60% of the total score to 45% of the total score.

In order to align with the rest of UCOP, in 2013 RGPO switched over to the standard form used for performance evaluation. Even with a full year's notice of the changeover, the use of the general form was not well received by RGPO staff. With the detailed RGPO form and descriptive "anchors" for scores, an employee's self-evaluation score was typically in line with the evaluation score given by his or her supervisor. When RGPO used the general UCOP form, disparities were seen between an employee's self-evaluation scores and the scores by the supervisor. This result shows that increasing the clarity of the benchmarks for a score can result in an employee having a higher self-awareness of how his or her performance meets expectations.

As of late 2013, RGPO is seeking permission by UCOP HR to go back to their detailed form for performance evaluations.

There are other practices that RGPO employs around performance management that we may want to consider implementing more broadly at UCOP. Informal performance evaluations occur on a quarterly basis, and are generally done orally – results only need to be in writing if the employee had received a "2" on a recent evaluation. In addition, budget resources for "Star Awards" are contained within the RGPO operational budget, illustrating performance management and recognition as a high priority.

GPO Competencies and Performance Standards - Non-Supervisory Managers and Senior Professionals & Professional Staff
(Ver. August 10, 2010)

PRODUCTIVITY AND PERFORMANCE (50% of Overall Rating)	PERFORMANCE STANDARDS				
	Exceptional Performance	Above Expectations	Meets Expectations	Improvement Needed	Unsatisfactory
<ul style="list-style-type: none"> 2a. Accuracy 	Work is free of errors and omissions even in the most difficult and complex situations and under the most strenuous time pressures.	Work is virtually free of errors.	Work and work product is consistently accurate. Errors and omissions, if any, are not significant.	Work occasionally contains errors or omissions that are significant.	Work consistently contains error or omissions of significance.
<ul style="list-style-type: none"> 2b. Volume 	Performs at peak efficiency. Constantly produces more than is expected.	Is fast and productive. Quantity or work is consistently high.	Effectively expends energy. Produces an appropriate volume of work in relation to the amount of work requiring completion or attention.	Completes most of the work requiring attention, but volume may not be at acceptable levels. Makes attempts to handle volume, but may fall behind for extraneous reasons.	Does not produce acceptable volume of work in relation to the amount of work requiring completion or attention.
<ul style="list-style-type: none"> 2c. Timeliness 	Work is always completed ahead of schedule in order to allow for contingencies. Is able to assist others in meeting their deadlines.	Keeps comfortably ahead of work schedule.	Completes work within given or reasonable time limits. Informs supervisor and affected staff when valid circumstances cause delays. Notice is given in sufficient time to make alternative plans.	Manages time poorly to meet required deadlines.	Does not complete work within given or reasonable time limits.
<ul style="list-style-type: none"> 2d. Self-Management 	Serves as an example to others in setting well-defined and realistic work goals. Is a leader within the unit or team in motivating others to take initiative and in being highly committed towards completing assignments in a timely manner. Serves as a model of reliability and responsibility.	Proactively develops well-defined and realistic work goals; displays a high level of initiative, effort and commitment towards completing assignments in a timely manner; works with minimal supervision; is highly motivated to achieve and consistently demonstrates reliable and responsible behavior.	Works with supervisor to set well-defined and realistic work goals; displays effort and commitment towards completing assignments in a timely manner; works with minimal supervision; is motivated to achieve; demonstrates responsible behavior.	Has difficulty defining and setting realistic work goals. Occasionally lacks follow through on completing assignments and may require reminders and more supervision than is appropriate for level of independence associated with	Does not define and set work goals. Frequently fails to follow through and complete assignments on a timely basis. Demonstrates unreliable or irresponsible behavior.

PRODUCTIVITY AND PERFORMANCE (50% of Overall Rating)	Exceptional Performance	Above Expectations	PERFORMANCE STANDARDS Meets Expectations	Improvement Needed	Unsatisfactory
<ul style="list-style-type: none"> 2e. Problem Solving 	<p>Exerts leadership in anticipating and proactively dealing with new problems and/or contingencies.</p>	<p>Demonstrates initiative and independence in identifying problems and proposing solutions. Proposes creative and comprehensive solutions to unusual and complex problems</p>	<p>Demonstrates ability to recognize problems, gather information, propose solutions, and identify possible tools and resources. Performs analyses to find appropriate solutions and applies these effectively.</p>	<p>position. Occasionally needs prompting to recognize problems, gather information, propose solutions, and identify possible tools and resources. Conclusions could be better-thought out, and may result in unanticipated or negative outcomes.</p>	<p>Does not demonstrate ability to recognize problems, gather information, and propose solutions, identifying possible tools and resources. Data gathering and analyses are incomplete; conclusions can be illogical or inconsistent with RGPO goals and objectives; and appropriate alternatives are not proposed.</p>
<ul style="list-style-type: none"> 2f. Decision-making and Judgment 	<p>In the most complex and difficult situations, exercises initiative and independent judgment to interpret the situation correctly and make sound evaluations as demonstrated by practical and timely decisions and their results.</p>	<p>Exercises independent judgment and makes appropriate and timely decisions within policies. Identifies other options and consequences of all decisions.</p>	<p>Interprets situations correctly. Makes sound and appropriate judgments and/or decisions and outcomes are frequently anticipated. Knows when to consult supervisor and when to ask for help.</p>	<p>Judgments and decisions are sometimes faulty or show lack of understanding or forethought.</p>	<p>Makes inappropriate judgments or decisions. Does not take advantage of assistance of others in decision-making. Makes decisions that are beyond the scope of job authority.</p>
<ul style="list-style-type: none"> 2g. Professional and Technical Knowledge 	<p>Exhibits expertise, superior job knowledge, and outstanding skills in even the most difficult and complex aspects of the job.</p>	<p>Demonstrates initiative to augment and improve skills, knowledge, and abilities applicable to the job through external training and education. Demonstrates initiative in sharing new information with team members.</p>	<p>Demonstrates a working knowledge of and competency in the skills and duties of the position. The term competency implies a solid knowledge of terminology in the field/subject and being able to perform all job functions. Integrates individual job components with a clear understanding of how each relates to the whole job.</p>	<p>Demonstrates gaps in knowledge of and competency in skills and duties required to perform job functions effectively. Knowledge and skills may also be weak and require strengthening. Needs additional work or effort to meet job needs.</p>	<p>Does not demonstrate a working knowledge of and competency in the skills and duties required to perform job functions effectively. Makes little effort to obtain new/current information.</p>

<u>PRODUCTIVITY AND PERFORMANCE (50% of Overall Rating)</u>	Exceptional Performance	Above Expectations	<u>PERFORMANCE STANDARDS</u> Meets Expectations	Improvement Needed	Unsatisfactory
			Keeps current in the working field and exhibits evidence of some continuing effort to increase knowledge. Applies knowledge in a consistent and reliable manner. Demonstrates a general overall knowledge of the workings of the organization, other units in RGPO and, when appropriate, other units in UCOP and the campuses.		

<u>BEHAVIORAL (45% of Overall Rating)</u>	Exceptional Performance	Above Expectations	<u>PERFORMANCE STANDARDS</u> Meets Expectations	Improvement Needed	Unsatisfactory
<ul style="list-style-type: none"> 2h. Trust Building and Collaboration 	Inspires and develops trust and collaboration within RGPO and between RGPO and its stakeholders. Provides leadership in creating key values and a shared vision within RGPO and uses these principles to guide the development of processes and initiatives. Consistently demonstrates a collaborative attitude and a commitment to shared responsibility across RGPO. Energizes others at all levels and ensures continuing commitment when faced with challenges.	Promotes an environment conducive to trust and collaboration across RGPO. Works collaboratively to integrate and implement good conceptual ideas with practical applications. Successfully develops creative collaborations and directly supports full implementation of collaborative processes and initiatives.	Consistently identifies and supports opportunities for collaboration across RGPO. Encourages and allows others to explore new cross-unit collaborations. Makes time and resources available for new collaborative projects and initiatives.	Is only minimally involved in or supportive of RGPO-wide collaborative initiatives. Does not consistently allow time for new collaborative projects or provide consistent support for follow-through and implementation of initiatives.	Does not provide or contribute to a work environment that supports collaboration. Does not encourage others to explore new projects or collaborative RGPO initiatives. May promote distrust within the unit or undermine others collaborative efforts.

BEHAVIORAL (45% of Overall Rating)	PERFORMANCE STANDARDS				
	Exceptional Performance	Above Expectations	Meets Expectations	Improvement Needed	Unsatisfactory
<ul style="list-style-type: none"> • 2i. Interpersonal Relations 	In the most difficult or challenging interpersonal situations, exhibits leadership in finding ways to create positive results across RGPO.	Anticipates and works to avoid problems before they arise. Proactively initiates dialogue concerning appropriate issues. Consistently provides positive input in relationships across RGPO. Consistently makes an extra effort to provide assistance to all staff.	Interacts well with others in all RGPO units. Communicates both verbally and non-verbally, in a direct, cooperative, patient, and courteous manner. Incorporates effective listening skills. Is diplomatic and strives to be helpful in all situations, and to provide excellent customer service.	Demonstrates occasional unwillingness to show respect for others' ideas, perspectives, and circumstances. Has been abrupt, confrontational, or blaming in interactions.	Does not develop and maintain successful relations with others across other RGPO units. Is unduly and consistently critical and/or uncooperative.
<ul style="list-style-type: none"> • 2j. Team Participation and Contributions 	Consistently takes the lead in involving other employees and in promoting a spirit of mutual support across all of RGPO. As a leader or member of RGPO teams, actively motivates others, generates excitement, and acknowledges individual and team accomplishments.	Promotes teamwork and demonstrates a high level of involvement with co-workers in all RGPO units. Facilitates harmonious working relationships. Volunteers to lead and/or participate in work groups and contributes and completes tasks. Actively participates in the development of team goals.	Interacts well with other team members across RGPO. Actively and effectively participates and contributes in a positive manner. Places team's objectives above individual agendas. Shares ideas; listens to others; prioritizes tasks and follows through; does one's share; maintains a positive attitude. Supports team decisions and goals even when they may be at odds with personal preferences.	Has occasional difficulty interacting well with other RGPO team members. Demonstrates minimal involvement with other RGPO team members to resolve issues of mutual concern. Behavior may be unresponsive or negative and contributions negligible.	Interacts poorly with other RGPO team members and fails to develop and maintain successful interactions across all RGPO units. Does not make positive contributions to RGPO teams or attempt to achieve beneficial solutions to issues of mutual concern across RGPO. May undermine others ability to develop effective teams.
<ul style="list-style-type: none"> • 2k. External Relations and Service 	Consistently engages constituents and clients to build effective working relationships with the University characterized by trust and common purpose. Develops innovative and collaborative ways to engage constituents and clients, frequently taking the lead to remove barriers to collaboration and service	Is proactive in anticipating external constituent or client concerns and needs. Communicates University goals, plans, and processes and assumes responsibility for constructively and collaboratively addressing external concerns and achieving shared objectives.	Develops effective working relationships with constituents and clients external to RGPO. Identifies constituent and client needs and establishes ongoing communications in order to resolve concerns and/or service problems promptly and professionally. Communicates University	Is occasionally ineffective in identifying and constructively addressing constituent or client concerns or needs. May neglect to sustain ongoing communication to resolve concerns and engender trust and collaboration with the University.	Does not make an effort to identify and address constituent or client concerns or to answer questions. Abdicates communication responsibilities to others or fails to make an effort to obtain information. May undermine others efforts to resolve external concerns.

BEHAVIORAL (45% of Overall Rating)	PERFORMANCE STANDARDS				
	Exceptional Performance	Above Expectations	Meets Expectations	Improvement Needed	Unsatisfactory
	provision.		goals, plans, and processes with clarity and commitment.		
<ul style="list-style-type: none"> 2l. Initiative and Innovation 	Consistently provides the most viable, well thought out, and extensive innovations that carry significant benefit to the RGPO, ORGS, or the University. Proposes recommendations that demonstrate both breadth and depth of understanding and reflect innovative trends and approaches from multiple sources and sectors.	Makes regular and valuable recommendations for improving own and/or the RGPO's work and processes including developing creative and specific plans for implementation.	Regularly analyzes current processes, seeks alternatives if appropriate, and suggests new methods/processes. Demonstrates clear knowledge and understanding of own work and how it relates to RGPO, ORGS and/or UCOP operations.	Shows little initiative in making suggestion or recommendations for improving own and/or RGPO's work. Takes short cuts often without positive results.	Expresses disinterest and/or resistance to improving own and/or RGPO's work. Any suggestions made are critical or negative and may undermine others' attempts at improvement.
<ul style="list-style-type: none"> 2m. Flexibility and Adaptability 	Exerts leadership in managing change and demonstrates exemplary skills in adapting to continually evolving organizational circumstances and demands. Demonstrates enthusiasm and initiative in engaging others to accept and adopt new ideas and approaches to the work of RGPO and ORGS.	Offers constructive and positive suggestions to facilitate self and others' adaptation to change. Readily volunteers to be an early adopter in assuming new and/or different work assignments within RGPO and with ORGS and/or other UCOP units.	Demonstrates an open mind and positive attitude in reacting to new ideas and approaches to work, even if at odds with own ideas. Is willing to engage in new processes. Demonstrates a willingness to assume new and/or different work assignments or to modify work methods/schedule in concert with changing needs and the evolving interface with other RGPO, ORGS, and UCOP units.	Resists new ideas and approaches to work. Demonstrates negativity and an unwillingness to proceed once a decision has been made. Is negative or reluctant to assume new and/or different work assignments or to modify work methods/schedule in concert with changing needs.	Opposes new ideas and approaches to work. Is unwilling to assume new and/or different work assignments or to modify work methods/schedule in concert with changing needs. May seek to negatively influence others to resist such change.

BEHAVIORAL (45% of Overall Rating)	PERFORMANCE STANDARDS				
	Exceptional Performance	Above Expectations	Meets Expectations	Improvement Needed	Unsatisfactory
<ul style="list-style-type: none"> 2n. Diversity 	<p>Exhibits leadership in engaging diverse individuals in resolving conflicts and building strong partnerships under the most challenging situations. Takes initiative to recommend, develop, and implement creative and innovative diversity efforts and programs in the unit. Strives to eliminate barriers to diversity; ensures that new barriers to diversity are not built.</p>	<p>Promotes and assists in the development of a more diverse workforce and a climate that embraces and appreciates diversity. Actively seeks different points of view and leverages diverse perspectives in the development of unit priorities, processes, and activities.</p>	<p>Supports and contributes to a work climate that welcomes, celebrates and promotes respect for diversity of race, color, national origin, religion, sex, gender identity, pregnancy, physical or mental disability, medical condition, ancestry, marital status, age, sexual orientation, citizenship, or status as a veteran. Supports fair treatment and equal opportunity for all. Listens to and objectively considers the ideas/input of others. Respects the talents and contributions of all individuals.</p>	<p>Has difficulty or avoids interacting with others who differ on the basis of race, color, national origin, religion, sex, gender identity, pregnancy, physical or mental disability, medical condition, ancestry, marital status, age, sexual orientation, citizenship, or status as a veteran. Reluctant to participate in unit efforts that celebrate and promote diversity.</p>	<p>Has had a pattern of conflicts with others who differ on the basis of race, color, national origin, religion, sex, gender identity, pregnancy, physical or mental disability, medical condition, ancestry, marital status, age, sexual orientation, citizenship, or status as a veteran. Opposes or does not participate in unit efforts that celebrate and promote diversity.</p>
<ul style="list-style-type: none"> 2o. Principles of Community 	<p>Makes an exceptional or unique contribution towards developing or promoting UCOP principles of community. Clearly seen as an exemplar of these principles in all aspects of performance, interpersonal relationships, and decision making.</p>	<p>Viewed by others as one who consistently strives to raise awareness and encourage the practice of UCOP principles of community. Demonstrates high standards of respect, cooperation, professionalism, and fairness.</p>	<p>Actively strives to practices UCOP principles of community. Contributes to creating a work environment that supports every person in an atmosphere of mutual respect, cooperation, professionalism, and fairness.</p>	<p>Occasionally does not behave with mutual respect, cooperation, professionalism and/or fairness in interacting with others in the workplace or in relation to external constituents or clients.</p>	<p>Consistently expresses resistance to adhering to principles of mutual respect, cooperation, professionalism, and/or fairness in interactions with others. May negatively influence others attempt to create a work environment consistent with principles of community.</p>

OTHER (5% of Overall Rating)	PERFORMANCE STANDARDS				
	Exceptional Performance	Above Expectations	Meets Expectations	Improvement Needed	Unsatisfactory
<ul style="list-style-type: none"> 2p. Health and Safety 	Is an exceptional champion of health and safety in the workplace, recommending, developing, and implementing creative ways to increase employee awareness of and adherence to all workplace safety laws, regulations, standards, and practices.	Proactively seeks out and shares most current information about workplace and safety laws, regulations, standards, and practices. Actively checks for and reports potential health and safety hazards while in the workplace or in the field. Encourages and supports others to be safe while at work.	Adheres to all workplace and safety laws, regulations, standards, and practices. Avoids shortcuts that increase health and safety risks to self or others. Organizes personal workspace to minimize the likelihood of an accident or other unsafe situations. Responds positively to safety oriented feedback and participates consistently and constructively in monthly RGPO safety training sessions and drills.	May not be knowledgeable of workplace safety laws, regulations, standards, and practices; is inconsistent or reluctant to participate in monthly RGPO safety training sessions and/or drills. May occasionally take shortcuts that increase health and safety risks to self or others.	Expresses disinterest or resistance to adhering to workplace safety laws, regulations, standards, and practices. Reacts negatively to safety oriented feedback. Takes shortcuts that pose serious increase health and safety risks to self or others.
<ul style="list-style-type: none"> 2q. Resource Management and Financial Budget 	Excels in controlling costs, maximizing resources of staff, materials, funds, and time; and eliminating waste.	Ensures that budgets and expenditures are responsible and in the best interests of the University. Allocates and manages project resources transparently. Proposes, develops, and implements strategies to achieve operational efficiencies and value for money.	Makes sound, responsible budget decisions and uses resources effectively. Adheres with all budgeting and financial management procedures. Participates in and implements strategies to achieve operational efficiencies.	Budget decisions and expenditure requests are not always well thought out. Occasionally lapses in adhering to rigorous budgeting and financial management procedures.	Wastes resources; invests or expends resources in outmoded or unsuccessful programs or activities. Does not integrate financial and management information into plans and processes. Does not practice rigorous financial management procedures.

Appendix C: List of Resources

BlessingWhite Research. Employee Engagement Report, 2011. Beyond the numbers: A practical approach for individuals, managers, and executives. Global Highlights. Available at: www.blessingwhite.com/research

Corporate Executive Board Human Resources. Managing 360 degree Feedback, A Guidebook for Managers. 2012.

Daniels, Aubrey (4th edition, July 2004). *Performance Management: Changing Behavior that Drives Organizational Effectiveness*.

Pearce, JL: Chapter 5 Managing Performance from Organizational Behavior Real Research for Real Managers, Third Edition. University of California, Irvine Melvin. 2012.

The Retention of Key Talent and the Role of Rewards. A report by WorldatWork, Dow Scott, Ph.D., Loyola University Chicago, Tom McMullen, Hay Group, Mark Royal, Ph.D., Hay Group June 2012. Available at: <http://www.worldatwork.org/waw/adimLink?id=62016>

Nielsen, Poul A. 2013. Performance Management, Managerial Authority, and Public Service Performance. *Journal of Public Administration Research and Theory*.

Swiss, James E. 2005. A framework for assessing incentives in results-based management. *Public Administration Review* 65:592–602.

UCOP 2012/2013 Self-Appraisal – Non-Supervisory Employee Performance Evaluation Template

UCOP 2012/2013 Self-Appraisal – Supervisory Employee Performance Evaluation Template

A Handbook for Measuring Employee Performance, by the US Office of Personnel Management

Zaffron, Logan, Steve, David (1st edition, Feb, 2009). *Performance Management: The Three Laws of Performance: Rewriting the Future of Your Organization and Your Life*.