UC San Diego

STAFF PERFORMANCE APPRAISAL PROJECT
FOR POLICY COVERED STAFF (NON-REPRESENTED)

Melani Roberson, Project Manager
Joanne Tolbert-Wells, Project Champion
PROJECT BACKGROUND

• IdeaWave campaign, December 2015 sponsored by Human Resources

• Staff ideas:
  o Electronic process
  o Dynamic system to be used throughout the year – more frequent feedback
  o Improve ratings – more meaningful
  o Make rating level advancement clear
Governance structure:

- Thought Leadership Team
- Steering Committee
THOUGHT LEADERSHIP TEAM

Cathy Ledford, Assistant Vice Chancellor of HR / VC CFO - Project Sponsor
Joanne Tolbert-Wells, Senior Director of HR Organizational Effectiveness - Human Resources; Project Champion
Melani Roberson, IdeaWave Program Manager - Office of Strategic Initiatives; Project Manager
Kathy Hay, Director/Org Development - Vice Chancellor - Academic Affairs
Russell King, Associate Director/Strategic Initiatives - Housing Dining & Hospitality
Garry MacPherson, Associate Vice Chancellor - Environment Health & Safety
Steven Gallagher, Assistant Vice Chancellor - SIO/DO
Caprece Speaks-Toler, Director of Compensation / Interim Director of Benefits - Human Resources
Ashley Gambhir, Director of Operations & Innovation - Office of Strategic Initiatives
Pearl Trinidad, Executive Director, PMBI
Brian Lorentz, Director HR-IT - ITS- Business Tech Services
Jude Poole, Director IT, Division of Biological Sciences
STEERING COMMITTEE

Stacey McDermaid, HR Manager - Vice Chancellor Research
Linda Thai Schlossman, PR HR Analyst/HR Contact - Vice Chancellor Academic Affairs
Stephanie Wong, Principal HR Analyst - Vice Chancellor Student Affairs
Amber Fehling, Sr. Admin. Analyst - Vice Chancellor Marine Sciences
Missie Jacobs, HR- Advancement
Mira Dover, RMP-HR Officer - Resource Management & Planning Human Resources
Patricia Arnett, PR Admin Analyst - Chancellor’s Office
Barbara Danner, HR Contact - Vice Chancellor CFO
Patty Camacho, Business Officer - Division of Biological Sciences
Glynda Davis, Senior Diversity Officer - Vice Chancellor EDI
Linda Veliz, Principal Personnel Analyst, Human Resources
Bernadette Han, Principal Consultant, Human Resources
Pedro Scotto, Assistant Dean - Provost - Eleanor Roosevelt College
Ji Song, Fiscal/HR Manager - Nanoengineering
Mercedes Munoz, Executive Director/Financial Management - Chancellor’s Office
Margaret Nagase, Associate Director/HR – Housing, Dining & Hospitality
Davyda Johnson, HR Manager - BFS-Controller/Admin
Tammy Blevins, Associate Director/Annual Giving and Pipeline Development, Advancement; Treasurer, Black Staff Association
Ebonee Williams, Executive Director/Gordon Center - Jacobs School of Engineering; Chair-Elect, Staff Association
Melanie Doyle, Staff HR and Payroll Manager, Division of Biological Sciences
Luis Legaspi, Student Affairs Officer - Student Affairs / International Education; Chair for the LGBT Staff and Faculty Association
Danrussell Angeles, Senior Talent/Organization Development Consultant - Health Sciences Human Resources
Danielle Schulte, Employee Relations Specialist – Human Resources
PROJECT OBJECTIVES AND DELIVERABLES

• Standardization - one process and tool to be used across all VC areas
• Meaningful performance standards and measurement criteria and more frequent feedback
• Simplified rating scale with clearer metrics and progression
• Appraisal cycle choice
• Training for supervisors
• Electronic form - 2 to 3 pages
• Campus-wide Communication - transparency and adoption
STANDARDIZATION

CURRENT STATE

7 models for evaluation

Each model uses different standards and competencies for evaluation criteria

Inconsistent tool usage - paper and electronic

FUTURE STATE

1 model for evaluation

1 set of core values for evaluation, incorporates key competencies

Electronic tool
# MEANINGFUL PERFORMANCE STANDARDS AND CRITERIA

## CURRENT STATE

*Standards:*

- Customer Service
- The UCSD Principles of Community
- Diversity
- Health and Safety
- Supervision
  - 4 criteria

## FUTURE STATE

*Renamed Core Values:*

- Customer Service
- Principles of Community
- Health and Safety
- Leadership, Management & Supervision
  - 7 criteria
# Meaningful Performance Standards and Criteria

## Supervision: Current State
- Resource Management and Planning
- Leadership
- Organizational Accountability
- Performance Management

## Leadership, Management & Supervision: Future State
- Stewardship of Resources
- Program/Project/Process Management
- Organizational Insight/Business Judgment
- Communication
- Relationship-building
- Performance Management
- Valuing Equity, Diversity & Inclusion
CORE VALUE DEFINITIONS AND KEY PERFORMANCE INDICATORS
A customer is everyone that a UC San Diego employee interacts with, including but not limited to students, fellow staff members, parents, faculty, academics, patients, vendors, affiliates, visitors, and community members. Effective customer service is the ability to meet the needs of others in a timely, efficient, accurate, resourceful, innovative, caring and respectful manner. To be customer-service oriented is to place customer care at the core and the forefront of our business decisions, to be able to recognize and anticipate customer needs and make every effort to meet and exceed customer expectations.

Key performance indicators:

- respectful engagement
- effective communication
- cooperation
- collaboration
- application of resources
- availability
- timeliness
- responsiveness
- courtesy
- follow through
- effort to understand customer needs and requirements
- accuracy of information
- degree of knowledge
- effort to recognize and seek opportunities to make positive changes
- willingness to meet the needs of others
PRINCIPLES OF COMMUNITY

To foster the best possible working and learning environment, UC San Diego strives to maintain a climate of equity, fairness, cooperation, and professionalism. All of us are expected to positively contribute to a climate of integrity marked by mutual respect for each other; celebrate diversity and adapt responsibly to cultural differences; seek to foster understanding and acceptance; promote awareness through education; engage in constructive dialogue and strategies for engaging and resolving conflict; reject any and all acts of discrimination of any kind and appropriately confront and respond to such acts; affirm the right to freedom of expression; maintain and promote an atmosphere free of abusive or demeaning treatment, and commit to adherence and enforcement of all UC San Diego policies and procedures that promote the fulfillment of these principles.

Key performance indicators:

- communicate with dignity and respect
- engage in efforts to learn and understand the culture of higher education in general and the UC San Diego culture in particular so that we interact in a manner that supports the overall mission of higher education and directly aligns with the UC San Diego mission, values, and organizational climate expectations
- constructively engage in teamwork and collaboration
- work with others in a spirit of cooperation regardless of racial, ethnic, religious, age, cultural, gender, sexual orientation, or other differences
- take proactive measures to promote more respectful interactions in the workplace
- treat and respond to others equitably and fairly
- recognize – within ourselves and others – conversations or activities that could serve to make others feel isolated, ostracized, or harassed
- participate in diversity-related activities, events and/or training
Safety and environmental issues are essential elements of ensuring the continued success of UC San Diego and its employees. As with any progressive organization, UC San Diego’s primary strength is its people, the many individuals that comprise the faculty, staff, and student populations. To ensure that everyone has an opportunity to contribute to the University’s mission, each of us must be afforded a safe, healthy, and environmentally sound workplace. We are all responsible for ensuring that policies, practices, services, and behaviors support accepted and current safety, health, and environmental standards.

Key performance indicators:

- practice safe behaviors
- report hazardous conditions and threatening or violent behaviors
- participate in required campus emergency and safety trainings and other initiatives
- promote personal and occupational safety within the work unit
- initiate action and influence others to improve physical work environment and working conditions
- participate in non-required safety trainings and initiatives at least once during the year
- take initiative to participate in non-required trainings and initiatives frequently throughout the year
- take initiative to get an ergonomic assessment and practice the components of ergonomic safety on a routine basis (e.g., take breaks looking away from the computer; ensure head, hands, feet and equipment are positioned appropriately)
LEADERSHIP, MANAGEMENT & SUPERVISION

UC San Diego managers and designated supervisors play a crucial leadership role ensuring the effectiveness and productivity of their respective units. Through data analysis and strategic thinking and decision-making regarding current and future use of resources, coaching, mentoring, and day to day communication and interface with direct reports and other key stakeholders, the primary role and function of the supervisor is to enable achievement of the mission and goals of the department and University. This is accomplished through extending their knowledge, skills, and subject matter expertise in efforts to support and inspire employees to fully achieve and exceed performance standard expectations and/or results.

Key performance indicators:

- take ownership of role as an agent of the organization and representative of the University
- create a culture supportive of staff, one that fosters high levels of motivation, collaboration, productivity, and quality of services
- recruit, promote, and retain a diverse work team
- model the Principles of Community
- maintain high ethical standards and demonstrate integrity, honesty and trustworthiness in all endeavors and communications.
LEADERSHIP, MANAGEMENT & SUPERVISION

This section is intended for designated UC San Diego staff whose positions are charged with supervising others, as well as those who manage programs, projects and processes. With the exception of Performance Management, all of the leadership, management, and supervision performance criteria should be applied to all policy-covered staff whose positions are charged with managing programs, projects or processes as well as other policy-covered staff. The Performance Management criteria should also be applied to positions charged with supervising others.

Depending on the type and level of position, effective leadership, management, and supervision contains some or all of the following seven (7) criteria:
LEADERSHIP, MANAGEMENT & SUPERVISION

Stewardship of Resources

• Engage in data analysis and strategic thinking, planning and decision-making when determining or making recommendations pertaining to current and future use of staff, financial, materials, technology, space and equipment resources; demonstrate flexibility and agility in reassessing and reallocating resources when needs, priorities or other circumstances change.

• Learn, follow and uphold the University’s policies in regard to use of all staff, financial, information, electronic data, technology, and physical resources. Model responsible application of what is learned in order to ensure that all resources are used in accordance with department and organization mission and needs.

• Initiate practices which conserve resources; recognize waste and the need to use resources responsibly.

• Ensure confidential information is maintained and disposed of in accordance with records disposition policies and procedures, protocols and schedule.

• Encourage sense of ownership of work processes and outcomes that include responsible planning and management of resources, including time and work efforts.

• Encourage others to safeguard the University’s staff, financial, information, electronic data, technology, and physical assets; create an atmosphere that promotes a desire to contribute to the overall excellence of the University.
LEADERSHIP, MANAGEMENT & SUPERVISION

Program / Project / Process Management

- Engage in data analysis and strategic thinking, planning and decision-making when determining or making recommendations pertaining to current and future use of staff, financial, materials, technology, space and equipment resources; demonstrate flexibility and agility in reassessing and reallocating resources as circumstances change.
- Manage work product and process improvement initiatives and projects through effective use of staff, budget, materials, technology, space and equipment.
- Develop and monitor metrics to identify gaps, measure success and identify areas for improvement; utilize change management principles and strategies throughout.
- Delegate tasks and responsibilities in accordance with time, skill, and resource constraints.
- Effectively and equitably identify key stakeholders for input.
- Cultivate an environment of trust in which team members readily contribute ideas and concerns.
- Seek ways to continuously improve and innovate work processes.
LEADERSHIP, MANAGEMENT & SUPERVISION

Organizational Insight / Business Judgment

- Align planning and decision-making efforts in direct support of current and future organizational and/or department strategic plan goals and objectives.
- Incorporate knowledge of organizational culture, realities and challenges into staff supervision, communication, and work process implementation strategies.
- Recognize and adhere to decision-making structures and communication protocols.
- Identify key stakeholders across the organization who may need to be engaged or consulted in order to achieve goals and objectives.
- Recognize and address areas where diversity of opinion, approach, and/or cultural background may negatively impact work productivity.

- Proactively identify and constructively address past, current, or anticipated areas of concern or disagreement between individuals and groups to ensure that work efforts and projects continuously move forward.
- Accurately assess and consider others’ capabilities and constraints before delegating or involving in sensitive situations.
LEADERSHIP, MANAGEMENT & SUPERVISION

Communication

• Provide essential information and respond to requests for assistance and information in a timely manner; convey oral and written communications effectively and respectfully.
• Provide clear instruction and on-going direction; summarize key points and confirm understanding.
• Anticipate informational needs and be prepared to provide as needed.
• Make efforts to keep everyone informed of impending changes or issues that may impact working conditions or terms and conditions of employment.
• Demonstrate openness to feedback and ideas by maintaining a positive response.
• Encourage creativity and innovation in problem-solving.
• Constructively mediate and engage in difficult or sensitive conversations.
• Use active, reflective listening; listen when others are speaking without interruption.
LEADERSHIP, MANAGEMENT & SUPERVISION

Relationship-building

- Promote and foster teamwork and collaboration; encourage cooperation within and between individuals, units and departments.
- Build rapport through engaging staff in the examination, development and planning of work tasks and processes; support and incorporate others’ suggestions whenever possible to develop shared solutions.
- Verbalize and demonstrate confidence and trust in others’ abilities to achieve desired results.
- Manage workflow and communications effectively among individuals and groups that may have divergent goals and conflicting or competing interests or priorities.

- Address challenges and sensitive topics in a non-confrontational manner, with a focus on maintaining a positive work relationship; prevent personal opinions and relationships from interfering with workplace interactions and decisions.
- Acknowledge and take ownership of mistakes or errors; verbalize and demonstrate what has been learned from them.
LEADERSHIP, MANAGEMENT & SUPERVISION

Performance Management

• Provide performance-based concrete examples, thoughtful feedback, and coaching designed to facilitate full achievement of performance expectations and results.

• Demonstrate knowledge of what is important to customers and the issues that may impact them in efforts to help others understand how meeting customer needs is central to department and organizational mission and goals.

• Assign work equitably; determine and prioritize amount of time, effort and resources to be allocated in direct correlation with department priorities and needs.

• Consistently and equitably recognize accomplishments and, in accordance with position, provide support to allow for appropriate and sufficient level of autonomy and independent decision-making.

• Administer rewards and/or recognition in a fair and consistent manner.

• Support career advancement and professional development in an equitable manner; identify and seek opportunities to further train, motivate, and develop others’ knowledge, skills and abilities.

• Coach and counsel team members who are having difficulty and/or not accomplishing tasks/goals. Take necessary steps to motivate and enable improvement where needed. Provide timely corrective action in a constructive manner where appropriate.

• Proactively address and resolve differences among team members.

• Maintain confidentiality of personal issues and work performance concerns.

• Promote work/life balance and demonstrate flexibility when feasible.

• Complete timely performance appraisals in accordance with UC Policy/UC San Diego Implementing Procedures.
LEADERSHIP, MANAGEMENT & SUPERVISION

Valuing Equity, Diversity & Inclusion

- Treat everyone equitably and fairly. Actively build a climate of trust, appreciation, and openness to differences in thoughts, styles, and backgrounds; encourage acceptance of individual differences.
- Seek input and participation equitably among all genders and racial/ethnic backgrounds; acknowledge everyone’s perspective.
- Communicate with respect and take proactive measures to promote respectful interactions.
- Recognize the need for self and others to refrain from conversations or activities that could reasonably serve to make others feel isolated, ostracized, offended or harassed; intervene appropriately when others engage in behaviors that do not promote harmony or engagement.
- Demonstrate support and consideration when personal issues arise; maintain confidentiality of personal information.
- Make efforts to hire and promote from a diverse candidate pool; be aware of and address staffing areas of underrepresentation.
- Promote and support participation in diversity-related training, events and programs.
# RATING SCALE

## CURRENT STATE

Alpha/abbreviated ratings reduce meaningfulness

<table>
<thead>
<tr>
<th>Letter</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>E</td>
<td>Exceptional</td>
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<tr>
<td>A</td>
<td>Above Expectations</td>
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<tr>
<td>S</td>
<td>Solid Performance</td>
</tr>
<tr>
<td>I</td>
<td>Improvement Needed</td>
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<tr>
<td>U</td>
<td>Unsatisfactory</td>
</tr>
</tbody>
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## FUTURE STATE

The rating scale is under senior leadership review and will be shared at a later date once finalized.
### CYCLE OPTIONS

#### CURRENT STATE

- One cycle option for all VC areas
- May 1 through April 30, due mid-June.
- Conflicts with other administrative/academic activities

#### FUTURE STATE

- Two options available, selected by the VC area
- May 1 through April 30, due mid-June
- AND
- January 1 through December 31, due mid-February
FORM AND ELECTRONIC TOOL

CURRENT STATE

Paper and electronic tool

Paper versions are between 10 and 15 pages

Inconsistent decentralized tracking and monitoring capabilities

FUTURE STATE

Electronic tool

2 to 3 pages

Centralized and standardized workflow; allows for compliance tracking and monitoring
SUPERVISORY TRAINING AND COACHING

- New appraisal metrics and performance categories
- Navigating through new tool
- How to conduct and document the formal and informal performance conversations
- Other (examples include unconscious bias, how to factually document observations and link to performance standards)
CAMPUS-WIDE COMMUNICATION

- Town hall presentations
- VC area presentations
- Supervisor only presentations
- Blink Campus Performance Appraisal page
- FAQ document
- Campus-wide email notifications
PERFORMANCE APPRAISAL PROPOSED ADMINISTRATIVE PROCESS (FOR DISCUSSION PURPOSES ONLY – PENDING FINAL REVIEW AND APPROVAL)
ADMINISTRATIVE RULES

- Appraisals for all UC San Diego policy-covered staff across all VC areas, with the exception of Health Sciences, are to be administered in accordance with the new performance standard definitions, rating scales, processes, and tools effective with the performance appraisal cycles beginning May 1, 2017. The new tool would be used and submitted starting May 1, 2018.

- All UC San Diego staff who are charged with conducting performance appraisals are expected to engage in supervisory training associated with the new performance standard definitions, rating scales, processes, and tool. Training should be completed by May 1, 2018 or before an appraisal is administered, whichever comes first.
Two appraisal cycle options will be offered. Each VC area will have the opportunity to choose the cycle that best serves their operational needs.

May 1 through April 30 – appraisals must be submitted by mid-June.

January 1 through December 31 – appraisals must be submitted by mid-February.

Appraisals will be administered in accordance with the one cycle option selected by the VC area. All departments or units within the VC area must use the same cycle.

Regardless of cycle option selected or actual date appraisal is submitted, salary increases shall be effective on the first day of the first full payroll nearest to the first day of the month in which the increase occurs.
NEXT STEPS

• Communications plan implementation
• Tool design and implementation
• Training design and implementation
• Future phase considerations: Two-way appraisal process, represented staff