SMG Policy 505
Performance Management Review Process

Policy 505: Performance Management Review Process

Policy Category: Professional Development

Who Is Covered: All employees whose position is designated to be in the Senior Management Group (SMG), inclusive of Officers of the University per Regents Standing Order 100.1.a, and also including Deans.

Deans are excluded from the Five-Year Senior Leadership Development Assessment portion of this policy at this time since they are subject to the regular academic review process. Subject to review and approval by The Regents, Principal Officers of The Regents may be included in this policy at a future date with a similar review process being developed after consultation with The Regents.

Responsible Officer: Associate Vice President–Human Resources and Benefits

Responsible Office: Senior Management Compensation, Policy & Executive Recruiting

Effective Date: September 1, 2008

Next Review Date: To be determined

I. Policy Summary and Objective

This policy provides the direction and authority for a performance review process that establishes goals and expectations, and reviews the accomplishments of the Senior Administrators of the University.

II. Policy Definitions

Executive Officer: The President, Chancellor, or Laboratory Director.

Exceptions: Actions that exceed what is allowable under current policy or that are not expressly provided for under policy. Any such actions must be treated as exceptions.

Top Business Officer: Executive Vice President - Business Operations, Vice Chancellor for Administration, or the position with overall responsibility for the location's Senior Management Group human resources function as designated by the Executive Officer.

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III. Policy Text

A. Five-Year Senior Leadership Development Assessment

A Leadership Development Assessment will be conducted once every five years. The purpose of this assessment is to provide the Senior Manager with feedback from a broader perspective than is usual with an annual performance evaluation. This is a managerial coaching and development exercise, rather than an evaluation of achievement toward specific goals. Individuals who have direct and specific knowledge of a Senior Manager's performance and contribution will be consulted to collect their input and feedback relevant to the person's performance. Those consulted should include individuals, as appropriate, from among the following constituents: the Academic Senate, academic unit heads, staff (including subordinates), deans, other administrators within UC, and other pertinent external groups.

The process for conducting the leadership development assessment, the format and any related materials may be developed by each location. The official document of record will reside with each location; however, a copy of the document should be provided to the Office of the President. The Chancellor will determine the appropriate contributors to the assessment. The Leadership Development Assessment will be initiated by the direct supervisors at each location. As processes are developed proper consultation with the Academic Senate should occur, where appropriate. For those positions reporting to the President, the Office of the President will be responsible for establishing a process consistent with these guidelines.

B. Annual Performance Evaluation

Performance evaluations will be conducted annually by the direct supervisor for each administrator. For campus positions, the Chancellor shall determine the key components in the performance evaluation process, which may include self-appraisals; internal and external sources of information, including client feedback; and input from key stakeholders. The official document of record will reside with each location; however, a copy of the document should be provided to the Office of the President and the overall rating should be recorded in the Senior Leadership Information System (SLIS).

Goals and objectives will be established for each employee holding a position which has been designated as a participant at the commencement of or during the performance period. Goals and objectives should clarify and delineate accountability, create opportunity for the individual to add value to the work of the unit and/or campuses, be aligned with higher level objectives and strategies established by University leadership, and encourage growth and development of the individual. Performance will be measured relative to the attainment of the stated goals and objectives, and significant accomplishments related to the strategic goals and objectives of the University.

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C. Annual Performance Review Standards and Competencies

These standards and competencies will be incorporated into the annual performance management and review process.

- Accountability and Governance: Demonstrates execution of goals and objectives which provide opportunities for growth of the individual and supports the overall success of the strategic objectives of the organization, both locally and Systemwide. These goals and objectives will include compliance with applicable regulatory and university requirements. Adheres to University principles of transparency and openness in working with all constituents.

- Collaboration and Communication: Demonstrates a proactive approach to establishing effective relationships with key internal (local and Systemwide) and external constituencies; understands the diverse needs and agendas of various stakeholder groups; creates and fosters an environment that ensures collegiality and information sharing, while recognizing the need for timely decision making. Effectively communicates with leadership, faculty and staff.

- People Leadership: Provides an environment of individual growth and career development, recognizing and utilizing skills of others through clear, specific and timely performance feedback; recruits, develops and retains talented managers and employees; provides effective coaching, delegates effectively and rewards superior performance.

- Inspiring Innovation and Leading Change: Inspire and develop opportunities for new and innovative approaches in the disciplines covered, better ways of teaching students, and greater contributions to research and dissemination of the knowledge developed at the University. Drives change initiatives by defining measurable outcomes, energizing others at all levels and ensuring continuing commitment when faced with new initiatives; confronts and works through resistance with various stakeholders.

- Resource Management and Financial Budget: Develops strategic goals and objectives to achieve accountability and efficient stewardship of University resources (operational, financial, and human), in a manner consistent with Systemwide objectives and initiatives.

- Diversity: Demonstrates an active and engaged commitment to diversity. Works to establish a 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 (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or stats as a covered veteran in the University. Ensures

equal opportunity in search and recruitment process by ensuring diverse representation on search committees, supplemental outreach efforts, etc. Promotes equity in advancements by describing review process for new staff and administrators, encouraging participation in career advising or mentoring programs, etc.

- Client Service: Understands that UC is a large, complex organization with many internal and external clients. Carries out UC's organizational philosophy to provide the best possible services in support of its mission: teaching, research and public service.

- Health and Safety: Understands that safety and environmental issues are essential elements of ensuring the continued success of UC and its employees. Maintains a safe, healthy and environmentally sound workplace.

- Principles of Community: Fosters a positive working and learning environment, by maintaining a climate of collaboration, fairness, cooperation, and professionalism. Practices and integrates these basic principles in all interactions.

D. Standardized Overall Performance Rating

To provide a standard University-wide format and rating system for Senior Administrators, the following scale will be incorporated into the review:

Overall Performance Rating:

- **Exceptional Performance** is significant overachievement of expectations.

- **Above Expectations Performance** is often beyond expectations.

- **Satisfactory Performance** consistently fulfills expectations.

- **Improvement Needed Performance** is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.

- **Unsatisfactory Performance** is the failure to achieve the majority of expectations. Deficiencies should be addressed in the performance appraisal.

IV. Approval Authority

A. Implementation of the Policy

The Associate Vice President – HR & Benefits is the Responsible Officer for this policy and has the authority to implement the policy.

B. Approval of Actions – Within Policy

The Regents will delineate the respective authority of The Regents, the President, and the chancellors in approving individual actions within policy limits. The Regents will also specify the extent to which approval authority may be delegated.

C. Approval of Actions – Exceptions to Policy

A proposed action that exceeds what is allowed under current policy or that is not expressly provided for under any policy is an exception to policy.

The Regents will delineate the respective authority of The Regents, the President, and the chancellors in approving exceptions to policy. The Regents will also specify the extent to which approval authority may be delegated.

D. Revisions to the Policy

The Regents is the Policy Approver for this policy and has the authority to approve any policy revisions upon recommendation by the President.

The Responsible Officer has the authority to initiate revisions to the policy, consistent with approval authorities and applicable *Bylaws* and *Standing Orders* of The Regents.

The Executive Vice President of Business Operations has the authority to ensure that policies are regularly reviewed and updated, and are consistent with the *Senior Management Group Compensation Policy Principles* and other governance policies.

V. Compliance

A. Compliance with the Policy

The Responsible Officer is accountable for monitoring compliance with the policy.

The following roles are designated at each location to implement compliance monitoring responsibility for this policy:

Local Resources are designated at each location by the Top Business Officer and/or the Executive Officer to be responsible for the ongoing reporting of policy compliance, including collecting and entering all relevant details into the Senior Leadership Information System (or relevant HRIS), and creating any specified regular compliance reports for review by the location's Top Business Officer.

The Top Business Officer establishes procedures to collect and report information, review any specified regular compliance reports for accuracy, review policy exceptions and/or anomalies to ensure appropriate approval has been obtained, and submit a copy of the compliance report to the Executive Officer for signature.

The Executive Officer is accountable for monitoring and enforcing compliance mechanisms, ensuring monitoring procedures are in place, approving the specified regular compliance reports, and sending notice of final approval for the reports to the Senior Management Compensation Office, Top Business Officer, and Local Resources.

The Responsible Officer is accountable for reviewing the administration of this policy. The Senior Vice President and Chief Compliance and Audit Officer will periodically audit and monitor compliance to these policies, and results will be reported to senior management and The Regents.

B. Noncompliance with the Policy

Noncompliance with the policy is handled in accordance with The Regents' *Guidelines for Corrective Actions Related to Compensation Practices* and *Guidelines for Resolution of Compensation and Personnel Issues Resulting from the Findings of Audits and Management Reviews.*

Noncompliance is reported in the monthly compliance report from each location as approved by the Executive Officer and reviewed by the Senior Vice President and Chief Compliance and Audit Officer and The Regents at each Regents' meeting.

Revision History

Implementation Procedures

Links to Related Policies

Frequently Asked Questions (FAQ)