



## ***Appraisal Rubric Overview***

### **How to use the rubric –**

The appraisal rubric provides a set of measures to reflect employee performance during the appraisal period. Examples identify how specific performance behaviors align with established ratings as measured by:

1. Achievements and performance of key job functions
2. Progress in achieving goals
3. Behavior during the appraisal period

The ratings rubric provides rating criteria for each competency and as a collective allows for an overall performance appraisal rating.

### **Individual Competency Ratings:**

Far Exceeded Expectations (FEE): Performance in this area consistently exceeded expectations.

Successfully Met Expectations (SME): Fully achieved and at times may have even exceeded expectations.

Met Some Expectations (MSE): Performance in this area occasionally met expectations yet was not consistent.

Met Few Expectations (MFE): Performance in this area is lacking and immediate improvement is needed.

*Disclaimer: This rubric is provided as a tool to assist managers in evaluating performance based on individual competencies. It is intended as a guide and illustration only and should not be considered exhaustive or definitive. Managers retain the right to assess performance and weight competencies according to the specific requirements and expectations of the position, as well as organizational goals and values.*



## ***Achieving Results***

### **CONTINUOUS IMPROVEMENT**

Strives for high-quality performance in self and the organization. Takes initiative in an ongoing effort to improve products, services or processes to deliver optimum results. Is resourceful, seeks alternatives and broad input; measures outcomes.

**Core Behavioral Anchors –**

1. Adopts ideas, technology, and practices that increase efficiency, eliminate waste, and improve performance.
2. Is reflective; takes initiative to make improvements to current work.
3. Uses data, feedback, and input from others to improve the quality of products and services.

**Management Behavioral Anchors –**

1. Drives improvement, continually searching for new ways to position the organization for success.
2. Supports others who take calculated risks.
3. Recognizes and rewards initiative and innovation.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Change averse; prefers to continue to do things as they always have been do	Has a limited perspective and understanding of the importance of quality improvement.	Understands the value of quality improvement; identifies weaknesses that impede processes and recommends changes.	Clearly defines the value and imperative for continuous improvement; consistently offers original, inventive ideas for improving products and services.
Does not look for more efficient ways to get work done; consistently demonstrates resistance to change.	Occasionally suggests improvements to work processes; lacks initiative in terms of implementing changes to improve the quality of service.	Analyzes processes to identify redundancies and workflow inhibitors; restructures processes to improve quality of service.	Sought out as a trusted resource for quality improvement; quick to identify inefficiencies and suggest practical ways to mitigate or eliminate them.
Moves to next project before ensuring successful, sustainable implementation of previous projects.	Rarely monitors change initiatives after implementation.	Sustains change through clear documentation and regular monitoring.	Employs clear post- implementation strategies to ensure sustainability; encourages continuous improvement.
Unwilling/unable to create or track metrics.	Has difficulty defining and implementing appropriate metrics to measure success.	Conducts evaluations to measure success and determine how processes may be changed to improve quality and/or efficiency.	Develops and implements reliable, effective metrics to measure outcomes; identifies and recommends changes to improve efficiency and effectiveness.



## ***Achieving Results***

### **CONTINUOUS LEARNING**

Demonstrates responsibility and ownership for one’s job and career path by identifying and expanding skillsets needed to perform successfully on the job. Consistently works to learn and increase knowledge. Asks for help when needed, admits mistakes and is open to feedback.

**Core Behavioral Anchors –**

1. Takes responsibility for one's own development; maintains fluency in appropriate work applications, software, or tools.
2. Keeps up-to-date on current research, trends, and technology in one's field; identifies and pursues areas for development and training that will enhance job performance.
3. Seeks coaching and feedback to increase self-awareness and personal growth.

**Management Behavioral Anchors –**

1. Creates opportunities for learning and development throughout the organization.
2. Gives team members autonomy to determine how to complete work; delegates effectively.
3. Ensures that knowledge and learning is shared across the organization; recognizes staff who learn from each other.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Lacking in basic job skills and knowledge; teammates often ‘work around’ to accomplish goals.	Needs to develop job-specific skills and knowledge; performance sometimes does not reflect department and University goals and initiatives.	Is informed and knowledgeable about organizational initiatives; appropriately aligns skills with organizational initiatives.	Highly knowledgeable in operations; often consulted as an expert in field; leverages knowledge to successfully achieve quality outcomes.
Hinders sharing of knowledge and/or expertise; focused largely on own development.	Does not openly share expertise or information with others.	Assists others in developing skills and knowledge.	Inspires and helps others develop skills and competencies to perform at their best; is highly respected among peers and campus partners.
Not motivated to learn and grow; believes manager and University should assume responsibility for his/her development.	Often resistant to feedback on performance; rarely asks for help or feedback.	Self-aware and open to feedback from others.	Demonstrates a high degree of self-awareness; asks others for feedback on performance; is a continuous learner.



## ***Achieving Results***

### **PROBLEM SOLVING**

Anticipates and identifies problems; conducts appropriate analysis to understand stakeholder interests. Generates and evaluates alternative solutions. Takes thoughtful risks.

**Core Behavioral Anchors –**

1. Evaluates the pros and cons, risks and benefits of different solutions; prioritizes opportunities and challenges in order to solve urgent, high impact problems first.
2. Works effectively with others to solve problems and make decisions; seeks input from partners.
3. Identifies issues and addresses them in a timely, data driven and transparent manner to achieve sustainable and optimal results.

**Management Behavioral Anchors –**

1. Fosters an environment where employees feel safe raising issues, offering solutions and input.
2. Accountable for decisions and actions when solving problems.
3. Utilizes broad organizational knowledge to identify root causes and potential impacts of proposed solutions.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Has difficulty distinguishing between critical and noncritical issues; loses focus when resolving larger issues.	Needs help analyzing and prioritizing problems; tends to focus on simple operational issues.	Solves urgent, high impact problems first.	Analyzes and prioritizes critical problems accurately and quickly; maintains a sense of urgency in solving even complex problems.
Solutions are rarely innovative; ‘quick fixes’ do not yield lasting or quality results.	Solutions usually short-term; rarely transformative in terms of greater efficiency and/or improved quality.	Solutions effectively address issues and are easily sustainable.	Solutions consistently transform workplace; processes are more efficient; the quality of products and services improve significantly.
Does not show foresight and imagination to see possibilities, opportunities, and trends.	Inconsistently demonstrates foresight and imagination to see possibilities, opportunities, and trends.	Demonstrates foresight and imagination to see possibilities, opportunities, and trends.	Consistently demonstrates foresight and proactively seeks opportunities to expand knowledge of innovative solutions and ideas.



## ***Achieving Results***

### **SERVICE FOCUS**

Values and delivers high quality, professional, responsive, and innovative service to all customers. Establishes and maintains positive, long-term working relationships.

**Core Behavioral Anchors –**

1. Seeks and uses feedback from a variety of sources to improve service quality.
2. Meets and often exceeds expectations; ensures that stakeholder needs are fulfilled; honors commitments and keeps promises.
3. Adapts service delivery to meet the needs of diverse client base.

**Management Behavioral Anchors –**

1. Holds self and team members accountable for high quality work and stakeholder relationships.
2. Provides team members with clear direction and support in meeting their service-delivery objectives.
3. Ensures that service delivery roles, responsibilities and reporting lines are clearly defined, understood and accepted.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Views service from own perspective, not the customer's; not mindful of or focused on customer needs.	Doesn't understand or support the need for high quality service.	Understands the need for and benefits of quality service.	Values, supports, and inspires the highest quality of customer service.
Customer needs frequently not met; customers complain about poor service and unfulfilled commitments.	Customer's needs are not a priority; has difficulty following through on service commitments.	Meets and often exceeds customer expectations; ensures that customer needs are fulfilled.	Takes extraordinary measures to meet and exceed customer's expectations; follows through on commitments despite time pressures and obstacles.
Is defensive with difficult customers; blames gaps in service or errors on systems and campus partners.	Is often impatient with customers; unwilling or unable to adapt style to the unique needs of customer base.	Adapts service delivery to meet needs of diverse customer base.	Highly proficient in terms of adjusting and adapting service delivery to diverse customer needs and sensitivities.
Does not ask customers for feedback; deflects responsibility for negative feedback on others.	Sometimes asks customers for feedback; rarely suggests or implements changes that address customer concerns.	Seeks feedback from customers on quality of service; suggests improvements based on feedback.	Skillfully and regularly asks customers for feedback on services; shares feedback with team in order to continually improve quality of service.



## ***Building Relationships***

### **BELONGING AND COMMUNITY**

Models, fosters, and promotes the University of California Principles of Community. Demonstrates empathy and respect for all people regardless of differences; promotes fairness and equity. Cultivates, champions, embodies, embraces, and supports a culture of equity, inclusion, and belonging aligned with the University of Principles of Community.

**Core Behavioral Anchors –**

1. Engages others in a way that makes them feel valued and accepted.
2. Values a wide range of experiences and ideas; cultivates and maintains an environment of inclusion that empowers all team members to contribute ideas and achieve goals.
3. Is self-aware, understands one’s impact on others; treats all people with dignity, respect, and equity.

**Management Behavioral Anchors –**

1. Creates a positive work environment that is free from discrimination and harassment.
2. Draws on a wide variety of skills, backgrounds and knowledge of people to achieve more effective results.
3. Ensures that conflicts are resolved in ways that leave all team members feeling respected and heard.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Does not demonstrate inclusiveness; fails to recognize the value of differences.	Is often not aware of or interested in diverse backgrounds or points of view.	Respects, includes, and recognizes differences.	Highly inclusive; encourages, recognizes and incorporates a wide range of viewpoints.
Does not understand or promote the benefits University of California Principles of Community	Has minimal understanding of the benefits of University of California Principles of Community	Understands the benefits of University of California Principles of Community	Actively promotes the benefits of the University of California Principles of Community
Is not welcoming or respectful; coworkers and campus partners often ‘work around’ to avoid interaction.	Is reticent to include new people or ideas.	Inclusive and open to new people and ideas.	Actively creates an inclusive and welcoming environment for a wide range of individuals and groups across campus.
Discourages different points of view; becomes defensive when asked to consider new/different ideas.	Is not always open to different points of view.	Seeks to understand and incorporate different points of view.	Promotes equity and inclusion by actively seeking ideas and insights from a wide range of sources.



## **Building Relationships**

### **COLLABORATION**

Interacts with others in ways that demonstrate collaboration and cooperation. Builds partnerships with others to achieve organizational results. Cultivates, builds, and maintains positive relationships across the organization.

**Core Behavioral Anchors –**

1. Cooperates with others; shares information and knowledge to identify and implement solutions in which all parties can benefit.
2. Helps and supports fellow employees in their work to contribute to overall success.
3. Places the needs of the team above self-interest; builds and maintains effective working relationships.

**Management Behavioral Anchors –**

1. Fosters an open environment where employees feel safe providing constructive feedback.
2. Develops and cultivates mutually beneficial work relationships and alliances inside and outside the organization.
3. Encourages and assists others in building networks to improve relationships and maximize results.

Met Few Expectations (MFE)	Met Some Expectations (MSE)	Successfully Met Expectations (SME)	Far Exceeded Expectations (FEE)
Not a team player; often disrupts team process, jeopardizing progress toward common goals.	Has difficulty collaborating with others; often prefers to work independently.	Works effectively and cooperatively with others.	Models cooperation and teamwork; creates opportunities for self and others to improve working relationships and work outcomes.
Exhibits behaviors that negatively impact the morale and accomplishments of the team.	Sometimes displays behaviors inconsistent with workplace courtesy and respect.	Treats others with respect; encourages and appreciates individual contributions.	Is respectful and welcoming; Inspires collaboration by bridging gaps among diverse individuals and units.
Often avoids conflict; not prepared or willing to resolve conflict.	Unable to resolve or constructively manage conflicts.	Works effectively with others to resolve conflict.	Skillfully and proactively addresses conflict; seeks and achieves 'win-win' resolutions.



## ***Building Relationships***

### **COMMUNICATION**

Clearly and effectively shares information both orally and in writing. Uses the most appropriate and effective medium for communicating. Adapts and adjusts messages in line with audience experience, role and background. Seeks input and actively listens; checks for understanding of messages.

**Core Behavioral Anchors –**

1. Consistently shares accurate, timely information; takes into account audience and communication method.
2. States opinions honestly and in a straight-forward manner; maintains open dialogue with others; actively listens.
3. Written and verbal communications are consistently clear, concise and appropriate to the audience.

**Management Behavioral Anchors –**

1. Speaks honestly about issues; seeks the truth about a situation, no matter how unpleasant.
2. Listens to concerns and carries them up the organizational chart; shares senior management strategies and information with employees.
3. Sets and demonstrates high standards of integrity; practices discretion; demonstrates diplomacy and tact.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Reports and other documents are poorly written—unclear, overly simplistic, or grammatically incorrect.	Written and oral skills need development; often disorganized and/or not appropriate for audience.	Writes and speaks clearly, persuasively, and concisely; focuses on the needs of specific individuals and groups.	Communication is of the highest caliber; clear, persuasive, accurate, and focused on the needs of specific individuals and groups.
Often appears distracted or disinterested; frequently interrupts others; contributions are often unclear or inaccurate.	Interrupts others to express point of view; has difficulty getting to the point; facts not always accurate or relevant.	Effective communicator: knowledgeable and concise; actively listens to and synthesizes perspectives of others.	Highly proficient communicator; listens to and synthesizes others’ ideas; explains even complex issues clearly and succinctly.
Does not share information in a timely manner, creating problems for colleagues and customers.	Tends to ‘hold on’ to information; has difficulty distinguishing between critical and noncritical data.	Gives others the information they need in a timely manner.	Models openness and transparency in sharing information with campus partners and stakeholders.



## *Creating the Future*

### **CHANGE AGILITY**

Anticipates and adapts to change. Supports change initiatives by energizing others at all levels and ensuring continued commitment when faced with new initiatives. Demonstrates tolerance and adaptability when dealing with ambiguous situations. Effectively plans for change and deals with setbacks through flexibility and resilience.

**Core Behavioral Anchors –**

1. Adapts approaches as needed to address changing priorities; is flexible, open, and receptive to new approaches; willing to step outside of one’s comfort zone.
2. Seeks to understand context while navigating through organizational change.
3. Aware of own and others’ responses to change and responds in a way that is productive for the organization and its team members.

**Management Behavioral Anchors –**

1. Creates a supportive environment in which team members anticipate and are able to adapt to change.
2. Actively supports change initiatives; holds team members accountable to adopt change.
3. Actively builds awareness of change strategies and change impacts to team members; serves as a liaison between the team and change leaders.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Change averse; prefers to continue to do things as they always have been done.	Has a limited perspective and understanding of the importance of change.	Understands the value of change.	Clearly defines the value and imperative for change; consistently offers original, inventive ideas.
Resistant to change; maintains focus on immediate, routine tasks; work efforts do not align with unit and department goals.	Contributions and work efforts often do not reflect an understanding of unit and department goals.	Effectively aligns work efforts with organizational and department goals.	Encourages and leads changes that enhance organizational and workforce effectiveness.
Is unaware of organizational goals and fails to change usual patterns of behavior or performance in alignment with organizational priorities.	Is often unaware of organizational goals; demonstrates resistance in adjusting to changing situations, priorities and responsibilities.	Regularly demonstrates awareness of organizational goals; modifies one’s preferred way of doing things when it benefits the whole.	Thoroughly aware of organizational goals and strategic direction. Switches roles and procedures easily to facilitate change in line with organizational priorities.



## *Creating the Future*

### **MISSION AND VISION FOCUS**

Shows understanding of and commitment to the UC mission and vision.

#### **Core Behavioral Anchors –**

1. Uses the organization’s mission and vision as guideposts for decision-making.
2. Connects individual role and aligns goals in fulfillment of the UC mission and vision.
3. Inspires others to achieve the mission and vision of the organization and the University.

#### **Management Behavioral Anchors –**

1. Clearly communicates a team mission and vision that aligns with University goals.
2. Harnesses information and opportunities to more effectively achieve the mission and vision of the organization and the University.
3. Proactively builds an environment where all team members strive to excel.

<b>Met Few Expectations (MFE)</b>	<b>Met Some Expectations (MSE)</b>	<b>Successfully Met Expectations (SME)</b>	<b>Far Exceeded Expectations (FEE)</b>
Is not able to integrate multiple activities and resources into a cohesive, actionable project.	Has difficulty marshaling and informing resources to work together to achieve desired outcomes.	Organizes, informs and supports resources to achieve goals.	Effectively influences, informs, and mobilizes resources—staff, stakeholders, technical experts—to achieve shared vision, mission, and goals.
Fails to identify mobilize resources to achieve program goals.	Has difficulty identifying and aligning resources to achieve desired outcomes.	Aligns program goals with talent and resources needed to achieve them.	Thoughtfully selects the right people to execute project plans by aligning goals with the talent needed to achieve them. Identifies and addresses resource gaps.
Does not follow an orderly method of setting objectives, scoping out difficulties, detailing work, or planning for task co	Does not have a clear picture of unit or University goals; lacks perspective to pull elements into a strategic view; plans often lack substance and specificity.	Creates effective plans: defines purpose and outcomes; breaks complex tasks into process steps, prioritizes activities, itemizes resources and estimates costs.	Creates innovative, ambitious plans which align with unit and University goals and serve as reliable roadmaps to desired outcomes.



## Creating the Future

### STEWARDSHIP

Demonstrates accountability, discretion and sound judgment when utilizing tangible and intangible University resources to ensure the public trust.

**Core Behavioral Anchors –**

1. Acts in a manner consistent with the UC Standards of Ethical Conduct and other UC policies.
2. Utilizes available resources (people, processes and tools) to achieve organizational goals; models accountability.
3. Understands and adheres to safety guidelines; reports and corrects potential threats; models safe behaviors.

**Management Behavioral Anchors –**

1. Holds team members accountable for upholding the UC Standards of Ethical Conduct and other UC Policies.
2. Identifies ways to share resources, promoting greater efficiencies across the University and communities served.
3. Holds team members accountable for adhering to safety guidelines, reporting and correcting potential threats; and modeling safe behaviors.

Met Few Expectations (MFE)	Met Some Expectations (MSE)	Successfully Met Expectations (SME)	Far Exceeded Expectations (FEE)
Lacks organization, prioritization, and time management skills.	Often disorganized; has difficulty prioritizing projects and tasks.	Demonstrates effective organization, prioritization and time management skills.	Highly effective and efficient; models and shares organization, prioritization, and resource management skills.
Finds fault with others or makes excuses for lack of accountability; hinders growth and progress of team.	Lacks accountability for work responsibilities and actions.	Consistently meets obligations and deadlines; promotes and contributes to team progress.	Models accountability; thinks of innovative ways to move projects forward to accomplish goals and achieve quality results.
Expresses a lack of understanding or support for the UC policies (e.g. ethics, sexual harassment, licensure).	Is informed of UC policies, behavior is occasionally inconsistent with the policies (e.g. ethics, sexual harassment, licensure).	Is aware of and follows the UC policies.	Actively models and promotes the UC policies.
Engages in practices that violate safety standards putting self and others at risk.	Does not consistently adhere to health and safety standards, creating risks to self and others.	Understands and applies health and safety standards; reports and corrects potential threats.	Establishes innovative practices that uphold and improve health and safety standards; mentors others in safe practices.
Consistently fails to complete mandatory training within the specified timeframe.	Occasionally misses deadlines for completing required training modules.	Completes mandatory training within the specified timeframe.	Consistently completes mandatory training within the specified timeframe and proactively seeks out additional learning opportunities related to mandatory training topics.