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# **Nonrepresented Employee Performance and Reward Manual**

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**Pennsylvania's State System of Higher Education  
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# Nonrepresented Employee Performance and Reward Manual

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# Introduction

## *Historical Perspective*

In 1999-2000, Pennsylvania's State System of Higher Education (State System) engaged the Hay Group, a human resources consulting firm, to review the effectiveness of the System's nonrepresented employee performance assessment and compensation plan. The prior program plan, which had been in place since 1986, had not undergone a comprehensive review since its inception 13 years previous. The redesigned 2000 program plan was intended to support a System organizational reorientation, foster its business strategies over the next decade, and be an integral component in supporting the ongoing implementation of the State System's strategy in light of the rapidly changing environment in which the System must attract, retain and motivate nonrepresented employees. In addition, the program plan established a system of executive accountability, which cascaded down to each nonrepresented employee; a corresponding compensation design centered on merit; and an outcomes-based assessment of leadership and nonrepresented employee performance.

In 2022, the State System engaged Gallagher Associates to perform a compensation review of executive level positions—Presidents, Provosts, Vice-Presidents, and Deans. The primary objectives of the study were to ensure competitiveness with the external market for executive roles, ensure fair and equitable compensation relationships within the organization and across campuses, and ensure sustainable maintenance by the State System after implementation. As a result of this study, new executive pay ranges were developed (E2-E7) to replace the previous 220 and above ranges.

An “integrated total rewards” model is critical toward meeting the needs of both nonrepresented employees and the State System. This manual outlines the State System's integrated total rewards program, which builds upon the performance assessment and compensation plan. With the authority granted to the chancellor by the Board of Governors (see below), revisions to the Nonrepresented Employee Performance and Reward Program will be made periodically in accordance with the guidelines and objectives listed below.

## *Authority*

**Board of Governors Policy 1985-07-A: *Management Performance and Reward Program***, as amended on October 19, 2023, authorizes the chancellor to develop and maintain business processes and procedures for the effective administration and management of the Nonrepresented Employee Performance and Reward Program. The university presidents carry out these processes and procedures on their respective campuses.

## ***Guiding Principles for the Establishment of an Integrated Total Rewards Model for the Pennsylvania State System of Higher Education***

1. One size does not fit all. No two universities in the System are identical, nor are their human capital needs.
2. The economic challenges the Commonwealth and State System have been experiencing will not generate the financial resources necessary to rely solely on financial rewards programs.
3. Measured, focused modifications to the existing performance and reward program with sound internal controls will produce a desired result.
4. Changes to the existing compensation plan will occur over time and will be updated appropriately in this document.
5. State System universities are encouraged to develop nonfinancial rewards programs.
6. This manual will provide universities with a degree of flexibility except where specified by federal law, state statute, Board of Governors Policy and/or System Office procedures and standards.

## ***Nonrepresented Employee Performance and Reward Program Objectives***

1. To enable the universities and the System Office to attract and retain a well-qualified and diverse workforce.
2. To establish transparent policies and procedures that are sufficiently flexible and responsive to internal and external needs of the individual universities, ensuring fairness and consistency, and access and understandability to those who must use them or are affected by them.
3. To establish a structure of salaries and an accurate, regular means of establishing a competitive range of salaries for all positions based on jobs doing similar valuations of the work in the specific labor markets from which they are drawn.
4. To establish responsible, effective compensation planning tools which allow the universities and the System Office to set and adjust salaries to accurately reflect the relative value of each position in relation to others in the organization.
5. To create internal controls and audit tools to help decision-makers proactively manage internal equity issues for their organizations by periodically assessing the internal equity position of all nonrepresented employees and providing avenues for addressing them.
6. To ensure the universities and the System Office comply with state statutes, federal laws and related regulations.

# Integrated Total Rewards Philosophy

Integrated Total Rewards can be defined as all of an employer's available tools for attracting, motivating, developing and retaining great employees. Philosophically, it encompasses every investment an employer makes in its employees, both financial and nonfinancial; and everything its employees value in the employment relationship. Total Rewards is not new to the public sector or to the corporate business community. It is an established strategy for maximizing any employer's capacity to recruit, retain, energize, engage and grow excellent employees. Central to an integrated total rewards philosophy is the employee value proposition (EVP). The EVP is the unique blend of rewards programs, policies and work-life experiences offered, that contribute collectively to employees and applicants' perceptions of value they see in working for one organization over another.

A "positive" EVP is an applicant's or employee's perception that working for the State System, at one of the 10 universities or the System Office, is a better proposition than working elsewhere.

## ***Framework for the Integrated Total Rewards Philosophy***

**General Concept:** The State System expects to obtain an excellent organizational return from its nonrepresented employees by deploying an effective mix of financial and nonfinancial rewards within the context of a fiscally responsible investment.

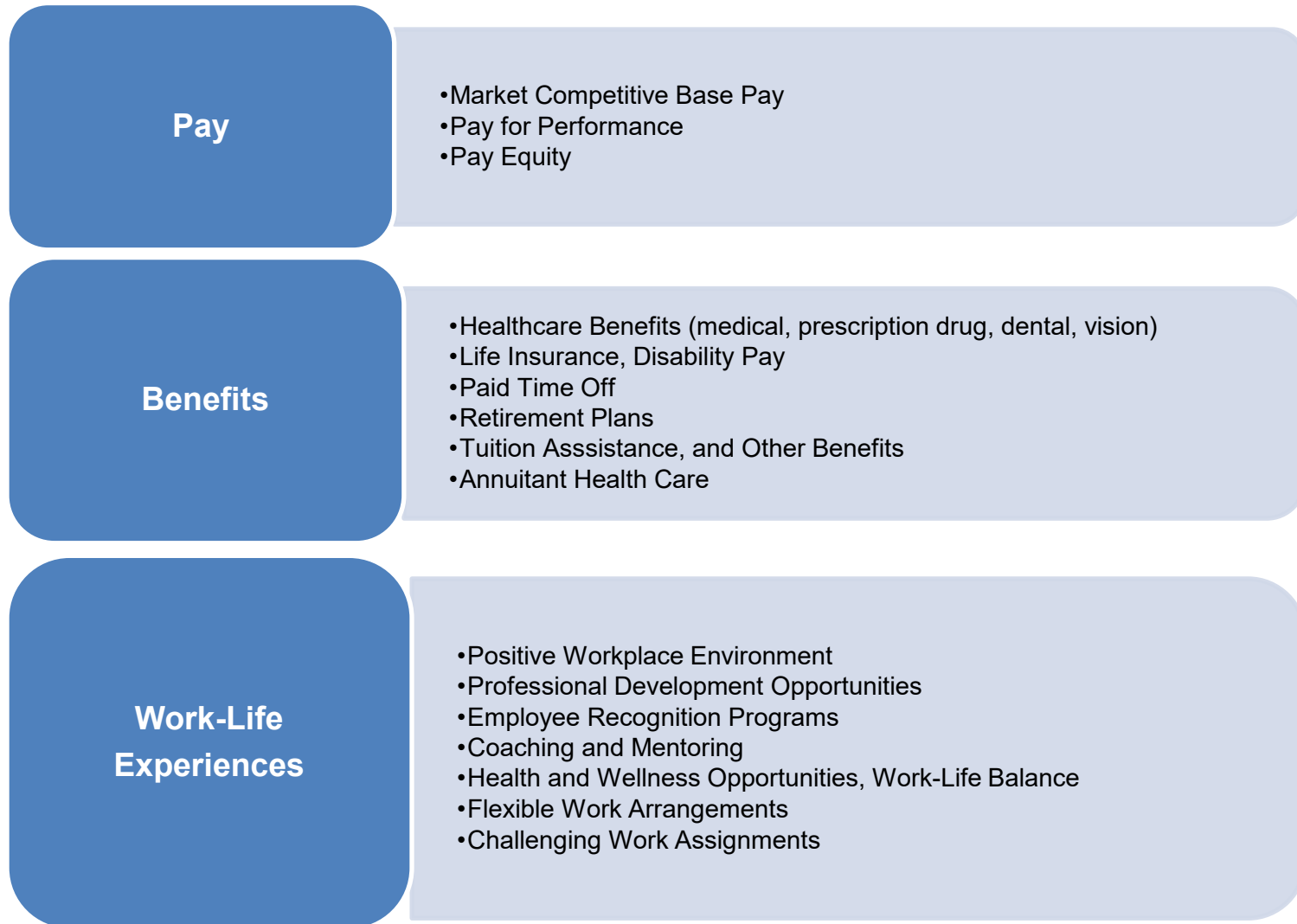
A. The Pay Philosophy: This philosophy is based on three components: market, merit and internal equity; and excludes longevity and cost of living considerations. It includes a periodic review of market for all positions through a qualified, comparative process using peer institution-based "benchmarks."

B. The Benefits Philosophy: This philosophy espouses a commitment to providing employee benefits comparable to those at peer institutions, incorporating a shared-cost proposition and a strong commitment to employee wellness.

C. The Work-Life Philosophy: This philosophy recognizes that employees who achieve high levels of performance thrive in environments offering nonfinancial rewards such as recognition, robust professional development opportunities, improved flexibility with respect to their time, and increased opportunities for engagement in the campus community, all of which lead to a broader sense of belonging, organizational value and greater capacity for retention.

The State System's investment in its nonrepresented employees will result in the employees' long-term commitment to their own success, as well as the success of the Pennsylvania State System of Higher Education and its universities.

## ***Components of the Integrated Total Rewards Philosophy***



# Classification and Compensation Structure

## ***Design Criteria and Core Program Elements***

The classification program has the following core elements:

- Nonrepresented Employee Job Evaluation Guide and accompanying benchmark jobs - A tool to guide job evaluation personnel System-wide in consistently evaluating and classifying jobs. The guide contains the System's customized evaluation approach that includes level definitions for each of the factors. With the changes to the executive pay bands, this job evaluation guide is now only appropriate for use for positions appropriate to paygrades 140-210. Given the age of this job evaluation guide, the relevance of this tool is limited. However, it is still an appropriate part of a classification review for positions within 140-210.
- Executive Pay Grade guidelines – classification guidelines for the jobs that are appropriate to each of the executive pay grades E2-E7
- Grade Structure - A structure that groups positions of similar scope and complexity into grades, and that reflects the full breadth and range of nonrepresented job content.
- Salary Structure - Salary ranges for each grade that reflects market-competitive levels of pay.

## ***Job Evaluation Overview***

Compensation design involves balancing internal and external factors. Job evaluation provides a structured approach to determine the relative internal value of work within the System. Balancing the internal value of work with external market demands is the ongoing challenge of the compensation program. This balance is influenced by the System's strategy, performance and reward philosophy, and the fiscal realities faced by the organization.

## ***Evaluation Methodology – Executive Pay Grades***

As part of the 2022 Gallagher study, a peer group of 35 institutions were identified as a target comparator group. This group consists of public universities, predominantly in the northeast, mid-Atlantic and southeastern United States. They include smaller, medium-sized and larger universities but in the aggregate the group has a similar average enrollment as compared to the State System average enrollment. There is representation from the same Carnegie classifications that exist in the State System and the peer group includes one HBCU.

At the time this study was completed, these universities participated in the annual CUPA-HR salary survey, and data from that annual survey was used to create the executive pay grades E2-E7. State System executive positions were matched with CUPA-

HR benchmark positions and the mid points of each executive pay grade were matched with the median salary (50<sup>th</sup> percentile) of the CUPA benchmarks. Below is a chart of State System positions that are appropriate to each executive pay grade. Individual positions that do not have a clear corresponding benchmark position within the CUPA-HR salary survey will be reviewed in accordance with this chart. All new positions classified at E2 and above must be submitted to the System Office HR for review to ensure consistency with the market and within the organization.

Executive Pay Grade	Representative Positions Mapped to this Proposed Grade
E7	Chancellor
E6	Presidents
E5	Provosts
E4	VP of Administration and Finance, VP of Advancement, Dean of Business
E3	Most Deans, VP of Student Affairs, VP of Enrollment Management, Chief Information Officer
E2	Dean of Graduate School, Dean of Honors College, VP of External Affairs

### ***Evaluation Methodology – Pay Grades 140-210***

The System's job evaluation methodology, as reflected in the Nonrepresented Employee Job Evaluation Guide, looks at the following three dimensions common to all jobs:

#### **I. Know-How**

- Depth and Breadth of Specialized/Technical Knowledge - how much about how many things the incumbent needs to know to perform at a competent level. Typically gained through education and experience.
- Organization and Integration Skills - the diversified functions involved in nonrepresented employee situations. Includes the integration of activities and functions across the university and System.

- Human Resource and Collaboration Skills - person-to-person skills that support effective working relationships.

## **II. Problem Solving**

- Thinking Environment - the environment (internal and external) in which the incumbent of the position faces problems.
- Thinking/Creative Challenges - the type, complexity, and diversity of problems or opportunities faced by the position. The original self-starting deliberation required for analyzing, evaluating, reasoning, etc., and reaching conclusions.

## **III. Impact and Accountability**

- Impact on the System/University - the measured effect of the job on the success and end results of the System or university, and the position's accountability for delivering that success.

Positions are assigned point scores for each dimension, which add up to a total score. The total score translates into a salary grade.

Extensive detail on the job evaluation methodology and tool is provided in the Nonrepresented Job Evaluation Guide, which is available through the human resources office.

## ***Position Description***

The position description is an official written statement of the duties and responsibilities of a position. A thoroughly documented position description is essential to the job evaluation process. At a minimum, all position descriptions need to have general responsibility statements, a detailed listing of the representative duties of the position and a description of both the position the job reports to and any subordinates reporting to the position. All position descriptions should be reviewed by the employee and the supervisor annually, or more frequently as changes occur to the work, to ensure they are an accurate and complete description of the duties and responsibilities assigned to the position and they are clearly and mutually understood. As a position's duties and responsibilities are reviewed, some may have changed so that the position description is no longer accurate or complete. It is the responsibility of the supervisor to see that such changes are reflected in a revised position description. It is recommended that the position description review be conducted in conjunction with the annual employee performance review.

## ***Levels of Contribution***

To assist in communicating the various levels of nonrepresented positions, a framework was developed to describe broad levels of contribution to the System's success. The resulting levels of contribution are designed as a communication tool to assist nonrepresented employees in understanding where their positions fit within the spectrum of work performed in the System.

<b>Levels of Contribution</b>	<b>Description</b>
Executive Leadership	Roles that provide mission, vision and strategic direction to the System. Responsible for the long-term growth and success of the System and its universities. Includes the Chancellor, University Presidents, and Vice Chancellors.
Strategic Leadership	Roles that manage the leadership of core functions, processes or initiatives that have a major impact on the operations and results of the System or its universities. Develop functional strategies and translate into tactical plans that may be achieved over the next one to two years. Includes positions such as Provosts, Vice Presidents, and Academic Deans.
Tactical Leadership/Senior Professional	Roles of leadership accountability for projects, processes, functional and/or organizational objectives with broad scope and impact at the university or System level. Highly seasoned professionals providing solutions that have a narrower, more defined impact on the organization. Includes a wide range of positions, such as Controller, Director of Admissions, and Senior Systems Analyst.
Operational Leadership/Professional	Roles that bring experienced and professional expertise to support a process, project, or function. They may be individual contributors or have managerial/supervisory accountability for a focused area of activity. Includes a wide range of positions, such as Manager of Campus Services, Systems Analyst, and Printing Manager.
Management Support Staff	Roles that provide specialized support or services to internal or external customers. These roles bring procedural expertise to support the daily operations of the organization. They are typically administrative or technical roles and represent the "core" management support of the organization. Includes positions such as the Executive Secretary/Staff Assistant.

## Grade Structure

Job evaluations result in each position being assigned to one of the System's 14 nonrepresented grades using the following table.

	<u>Levels of Contribution</u>	<u>Grade</u>
Senior Policy Executive	<i>Executive Leadership</i>	E7
		E6
	<i>Strategic Leadership</i>	E5
		E4
		E3
		E2
	<i>Tactical Leadership/Senior Professional</i>	210
		200
		190
Merit Principles	<i>Operational Leadership/Professional</i>	180
		170
		160
	<i>Management Support Staff</i>	150
		140

## ***Position Review Process***

Maintaining the job evaluation system as jobs change will be critical to the internal equity and overall effectiveness of the program. The campus human resources office should be the first point of contact in the position review process.

**New Positions** - The supervisor completes a position description that is submitted to the campus human resources office for review. If the position is graded below E2, only appropriate university review and approval is required. If the preliminary slotting appears to be pay grade E2 or above, the classification recommendation for the position must be sent to the System Office for review (all positions at or above pay grade E2 are managed at a System-wide level). All evaluations for newly created positions (regardless of pay grade) should be communicated to the System Office in order to maintain a central repository for all nonrepresented classifications in use across the State System.

**Requests for Reclassification** - Significant changes in the scope and complexity of a job may warrant a position review and reclassification. The nonrepresented employee and supervisor should clearly document the changes to the position including the key drivers of the change (reorganization, new services provided, etc.). The request for reclassification should be sent to the vice president for the functional area for review and validation. The position should be submitted to the human resources office and the review should follow a process similar to that for a new position.

**Appeals** - Any nonrepresented employee not in agreement with the salary grade assigned to their position should discuss the matter with their supervisor. If both the nonrepresented employee and the supervisor think the job has not been properly graded, the job description may be re-submitted to the human resources office for reevaluation along with written rationale for why the job should be reviewed. This request for re-evaluation should be supported by the concurrence of the senior manager of the function. After the job has been reevaluated, the human resources office will refer any continuing disagreement to the president of the university (to the chancellor for System Office positions). The human resources director or his/her designee will provide the president with a copy of the job description; the written rationale provided by the employee and the supervisor, and the analysis done by the human resources office, with appropriate documentation. The president or designee, after appropriate review and consultation, will render a final classification decision. This decision is not subject to appeal.

If the position is evaluated at pay grade E2 or above, the university president must send the classification appeal for the position to the System Office. After appropriate review and consultation, the System Office will render a classification decision. Unless it can be demonstrated that some pertinent information was not considered in the initial review, the decision is final. Under these narrow circumstances, the chancellor or designee may reconsider the initial decision.

**Periodic Audit** - Periodically, the System and/or universities will review the classification of positions to ensure ongoing equity and consistency within and across universities.

## ***Salary Schedule***

**Establishing Salary Ranges** - Salary ranges are established for each grade with the intent of providing a fair relationship to salaries being paid by similar organizations for comparable jobs in the marketplace. Based on competitive information from the College and University Professional Association for Human Resources (CUPA-HR) and other reputable sources, and on the strategic goals of the System, competitive salary ranges are developed by the System Office and reviewed on an annual basis.

**Range Minimum and Maximum** - To allow adequate room for recognition of differences in performance, a 60% salary range, from the minimum to the maximum, is established for most of the salary grades. Grade E6 has a 75% spread, and grade E7 has an 80% spread.

**Range Quartiles** - To assist supervisors in assessing the market competitiveness of a nonrepresented employee's pay, the salary ranges are expressed in quartiles. The first quartile is typically where employees working toward job competence are paid. The second and third quartiles represent the core market zone where fully competent employees are typically paid. The fourth quartile represents a clear premium to the market and is typically reserved for employees who have consistently performed at high levels over time. The midpoint of each pay range is the minimum of the third quartile.

**Range Updating** - The System Office is responsible for reviewing the salary ranges annually. The System Office compares regional and national salary information for comparable positions in comparable organizations with the current pay structure. Commonwealth of Pennsylvania employee pay practices and schedules also are reviewed. A revised salary range schedule is prepared and issued whenever appropriate and authorized (typically annually) by the System Office, in order to maintain competitive ranges consistent with the System's compensation philosophy.

The following page shows the current salary schedule through the current fiscal year. Salary schedules for subsequent years will typically be published by the System Office annually and will be inserted into this manual.

# PENNSYLVANIA'S STATE SYSTEM OF HIGHER EDUCATION

## Salary Scale for Nonrepresented Employees

Effective Date 7/1/2024

Grade	First Quartile		Second Quartile		Third Quartile		Fourth Quartile	
E7	\$371,495	\$445,793	\$445,794	\$520,092	\$520,093	\$594,391	\$594,392	\$668,691
E6	\$280,221	\$332,761	\$332,762	\$385,302	\$385,303	\$437,844	\$437,845	\$490,386
E5	\$219,546	\$252,477	\$252,478	\$285,409	\$285,410	\$318,341	\$318,342	\$351,274
E4	\$178,095	\$204,808	\$204,809	\$231,522	\$231,523	\$258,236	\$258,237	\$284,951
E3	\$148,412	\$170,673	\$170,674	\$192,935	\$192,936	\$215,197	\$215,198	\$237,459
E2	\$123,677	\$142,227	\$142,228	\$160,779	\$160,780	\$179,330	\$179,331	\$197,883
210	\$102,652	\$118,049	\$118,050	\$133,446	\$133,447	\$148,844	\$148,845	\$164,243
200	\$87,254	\$100,341	\$100,342	\$113,429	\$113,430	\$126,517	\$126,518	\$139,606
190	\$75,038	\$86,293	\$86,294	\$97,549	\$97,550	\$108,805	\$108,806	\$120,061
180	\$65,283	\$75,075	\$75,076	\$84,867	\$84,868	\$94,660	\$94,661	\$104,453
170	\$57,449	\$66,066	\$66,067	\$74,683	\$74,684	\$83,301	\$83,302	\$91,919
160	\$50,555	\$58,138	\$58,139	\$65,721	\$65,722	\$73,304	\$73,305	\$80,889
150	\$44,489	\$51,161	\$51,162	\$57,834	\$57,835	\$64,508	\$64,509	\$71,182
140	\$39,150	\$45,022	\$45,023	\$50,894	\$50,895	\$56,767	\$56,768	\$62,640

## ***Consideration for Scarce Resources***

### **Documentation and Approval Requirements Associated with Starting Salaries Exceeding Market for the Position Level**

#### **Starting Salaries:**

While the Compensation Plan Philosophy is grounded on a premise that salaries will be market competitive, there remains the reality that in a broad-banded classification system like the one employed for nonrepresented employees of the State System, market can be relative in certain practical instances. When a university, for instance, is trying to attract an exceptionally qualified professional to fill a critical nonrepresented position where there is a limited supply of applicants with required skills, and in a metropolitan market geographically, market salary can be influenced considerably.

The State System has established a pay structure and rules within this program manual that permit starting offers to exceed market by 25 percent under certain circumstances illustrated above: 1) exceptional skills of the candidate; 2) the position is critical to the success of the university or the System Office; 3) there is extreme difficulty in recruiting a competent employee because demand is out-stripping supply; or the cost of living proximate to the university or the System Office has caused the value of the existing market salary for the position to be devalued appreciably. High salary history shall not be the sole rationale for paying above market rate salaries.

In these circumstances, universities or the System Office must document the need to establish the justification for paying the higher than market salary, and there must be a responsible approval process to ensure fairness and consistency in the application of these rules. The chief human resources officer at the university or the System Office is responsible for certifying the need, based on sound and objective documentation. Documentation may include comparative cost of living studies, authoritative national higher education industry or occupationally specific salary surveys, prior failed searches due to low and weak applicant pools, or verification of experience far exceeding requirements and preferences identified in the position description and/or the recruitment advertisement. Such documentation shall remain on file in the successful candidate's personnel file. The president of each university or designee will have the authority to approve above-market salary.

## **Documentation and Approval of Equity-Based Salary Adjustments**

### Existing Employee Salaries:

Similarly, documentation requirements associated with the variety of potential equity adjustments available in the Compensation Plan must be certified by the human resources officer and approval is vested with the president or the designee. It is recommended that the universities and the System Office review data periodically to identify possible salary inequities. Nonrepresented employees' merit pools may be utilized to provide some capacity for equity adjustments. Caution should be taken when drawing down merit pools, to avoid dilution in the true purpose and value of incenting high performance.

# Performance Management

## ***Design Criteria and Core Program Elements***

The System's performance and reward philosophy design criteria are:

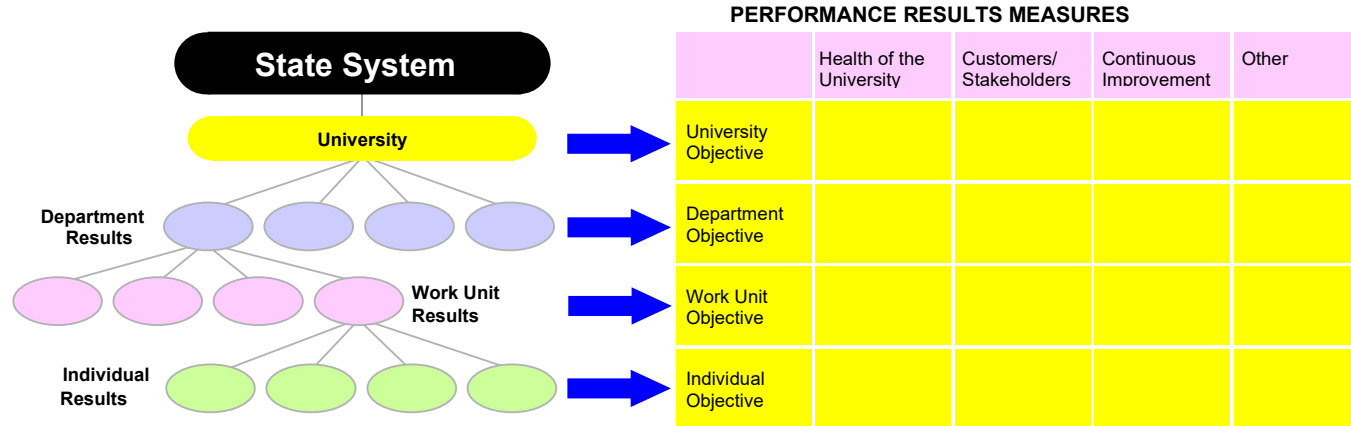
- A focus on results and the alignment of all nonrepresented employees with System/university goals.
- A focus on behaviors that support the System values and culture.
- A commitment to goal setting and assessment.
- Recognition and rewards for documented superior performance.

The core program elements of the performance management process include:

- Cascading objectives that align and link nonrepresented employee goals with System/university goals.
- A "performance equation" focused on results-based and behavioral-based goals.
- A four-phase approach to ongoing performance management.
- A comprehensive appraisal form (a sample Nonrepresented Performance Evaluation and Development Form is in the Appendices section of this manual).

## ***Alignment - Cascading Goals and Objectives***

In order to drive optimal performance, nonrepresented employee results and behavioral competencies must reflect the mission, vision, and goals of the System/university. The performance management process uses a model of cascading goals and objectives and core competencies to create a "line of sight" to the intended mission, vision, and goals.



Goals are set at the System level through strategic planning, accountability, performance funding, and other Board of Governors' actions. University goals integrate System goals with other initiatives addressing specific university needs. There is a process for the integration of university goals in the performance measures for every level of nonrepresented employee.

The success of the System's collective performance against key goals and measures is founded on the concept that all nonrepresented employees are working together on key performance measures that are linked to the System/university goals.

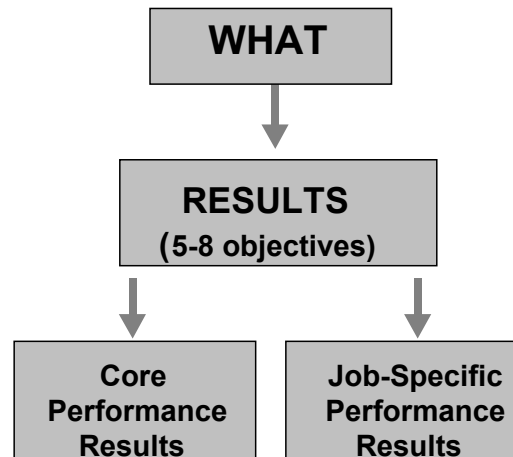
## ***Performance Evaluation Components***

The design of the performance management program is driven by the System's performance equation. True performance outcomes are a combination of "what" work is done (results) and "how" the work is done (behaviors). In essence, the performance equation highlights the importance of both "what" results are achieved and "how" employees do their jobs as key to overall performance.



The performance equation sets the stage for the two core components of the performance management program, results and competencies.

### **The Results Component**



## Core Performance Results Areas

Nonrepresented employees should have a goal with defined expected results in each key performance area driven by System/university goals that cascade down from executive leadership. There are three core performance areas linked to the System's strategy. Setting individual/team goals in each of the following core performance areas establishes a link between an individual nonrepresented employee's goals and objectives and System/university goals:

- **Health of the University** - Representing financial health. This is one of the three “pillars” of balanced performance considered for overall success. Measures for goals aligned to financial health include, but are not limited to, revenues, productivity, costs, asset utilization, budgetary flexibility, and financial audits.
- **Customers and Stakeholders** - Representing quality and value. This is the second pillar of balanced System success. Measures for goals aligned to quality and value include, but are not limited to, market share, retention, enrollment quality, student diversity, student success, and alumni and stakeholder satisfaction.
- **Continuous Improvement** - Representing operational efficiency and improvement, including employee development and student learning. The third pillar includes areas of measure such as the effectiveness of core processes, organizational learning and growth, program review, and accreditations.

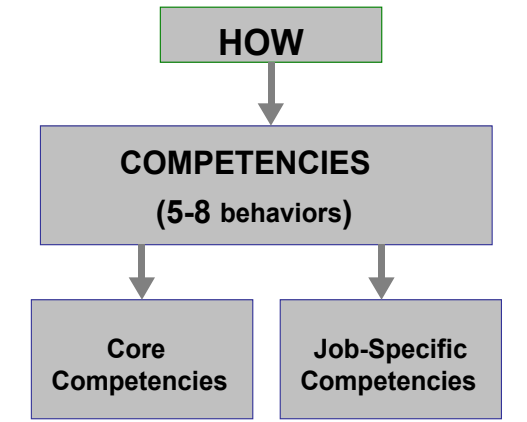
## Job Specific Performance Areas

Up to five additional goals are identified, that are driven by division/unit/department objectives and relate more specifically to the unique functions and responsibilities of an individual position.

## The Competency (Behavior) Component

### Definition of a Competency

A competency is an underlying characteristic of an individual that causes or predicts effective and/or superior performance in a job or situation. Competencies are behavioral measurements of how work is done. They are the ‘affective component’ of performance measurement, reflecting demonstrated behaviors, and they provide nonrepresented employees and executives with the characteristics, values, and skill sets that predict effective job performance.



### System Core Competencies

System competencies were developed based on the desired culture of the State System and its universities, and on the anticipated nonrepresented employee competencies that support the System's/universities planned strategic directions. These competencies are founded on Hay research concerning the behavioral drivers and characteristics typical of successful organizations. There are five System core competencies, as listed below along with abbreviated definitions of the competencies. More detailed definitions of these five and 14 additional job-specific competencies are described in the Competency Dictionary in the Appendices section of this manual.

**Continuous Improvement** - Taking a new or unique approach to how work is done and striving to continuously improve processes and quality.

**Customer Service Orientation** - Focusing one's efforts on discovering and meeting the customer's needs. (Customers can include associates, peers, colleagues, students, community members, faculty, etc.)

**Valuing Diversity** - The ability to understand and respect the practices, customs, and norms of other individuals, groups, and cultures. Includes the ability to respect and value different points of view.

**Teamwork and Collaboration** - The intention to work cooperatively with others, to be part of a team, to work together, as opposed to working separately or competitively ("Team" is defined as any task/process-oriented group of individuals).

**Results Orientation** - A concern for holding yourself and others accountable for achieving results or for surpassing a standard of excellence.

## Job-Specific Competencies

Following are additional behaviors that drive effective performance. One or more of these may be selected by the nonrepresented employee and supervisor as appropriate to represent desired behavior relative to a particular job or task.

- Analytical/Conceptual Thinking\*
- Change Leadership\*\*
- Developing Self and Others\*
- Flexibility/Adaptability
- Impact and Influence\*
- Initiative\*
- Interpersonal Understanding
- Organization Awareness
- Relationship Building
- Strategic Orientation\*\*
- System Thinking\*\*
- Team Leadership\*

\* May be more critical for supervisory roles

\*\* May be more critical for Strategic Leadership level positions

## ***Performance Management Process***

### **Overview of Performance Management Process Steps**

The performance management process is an on-going activity consisting of the following four key stages.

**Planning**—The planning stage provides for the linkage between System and university strategic goals, the establishment of performance expectations, and the commitment to the plan by the employee, as follows.

1. Executive/strategic leadership reviews System/university goals and works with division/department nonrepresented employees to set goals.
2. Division/department supervisors communicate System/university goals to nonrepresented employees.
3. Individual nonrepresented employees develop drafts of individual goals and expected results using the SMART format: Specific, Measurable, Attainable, Relevant, Time-based goals.
4. Supervisor and nonrepresented employee participate in planning discussion.
  - Agree on goals and expected results.
  - Discuss job-specific competencies applicable to the job or task.

- Establish expected behavioral levels for core and job-specific competencies.
- Discuss and agree on developmental goals.
- Discuss the meaning of the different performance ratings.

**Coaching**—The coaching stage provides for interim assessment of performance progress and reinforcement of expectations, as follows.

1. Supervisor tracks individual/team performance and reinforces/coaches.
2. Nonrepresented employee tracks individual/team results.
3. Nonrepresented employee asks supervisor for feedback.
4. Nonrepresented employee tells supervisor about any success/barriers to success.
5. Nonrepresented employee and supervisor assess the ongoing relevance of goals and make appropriate goal modifications.
6. Supervisor or nonrepresented employee initiates interim review meetings (mid-year at minimum) to discuss performance progress to date.

**Reviewing**—The reviewing stage provides for the annual assessment of actual performance compared to expected performance, as follows.

1. Performance for all non-probationary employees shall be evaluated annually using a standard form.
2. Nonrepresented employee provides information on actual results to supervisor.
3. Supervisor completes actual results column of the nonrepresented employee Performance Appraisal and Development Form, assigning ratings to each goal and an overall rating for the performance results component. The supervisor also provides appropriate comments. A sample Nonrepresented Employee Performance Evaluation and Development Form is in the Appendices section of this manual.
4. Supervisor completes the competencies sections of the form and assigns ratings to each of the competencies, and an overall rating to the competency component. The supervisor also provides appropriate comments.
5. Supervisor completes the accomplishments section of the development plan component of the form.
6. Supervisor completes overall performance summary and assigns overall performance rating, including appropriate overall performance rating comments.
7. Supervisor shares draft form with reviewing officer, who provides appropriate input.
8. Nonrepresented employee and supervisor meet to discuss and finalize performance appraisal.
9. Supervisor and nonrepresented employee set meetings for performance and developmental planning for the next cycle.
10. Supervisor and reviewing officer participate in development/succession planning discussion about top performers.

**Rewarding**—This final stage assesses performance levels and links performance to compensation.

1. Throughout the year, supervisor uses noncash recognition to reward/reinforce performance.
2. Supervisor uses pay guidelines to provide input regarding merit increases based on performance results.
3. Leadership recognizes meritorious employee performance with a merit increase.

**Rating System** - The performance rating system utilized in completing the nonrepresented employee performance evaluation consists of the following five levels:

- *Significantly and Consistently Exceeds Expectations* - The incumbent significantly exceeds planned results expectations and demonstrates all relevant competencies at or above target levels. This rating reflects exceptional performance where performance results for all major goals/objectives are surpassed, and all job requirements are exceeded. Achievers in this category markedly improve upon past practices and/or develop new and improved approaches.
- *Exceeds Expectations* - The incumbent commonly exceeds what is expected and demonstrates a very high level of performance in all areas of responsibility.
- *Fully Performing/Meets Expectations* - The incumbent meets all planned expected results and may exceed some while meeting all job requirements. In addition, they demonstrate all relevant competencies at target levels. An incumbent who meets all goals and objectives and job requirements.
- *Needs Improvement* - The incumbent's work performance is inconsistent and frequently does not meet minimum expectations.
- *Below Expectations* - The incumbent meets some planned results expectations and does not meet others or does not meet any planned results. In addition, they may demonstrate some relevant competencies at target levels and are below target in others or are below target in all competencies. The position holder may have required considerable and above-normal direction and guidance from their supervisor. In the worst-case scenario, the job is not getting done, and performance must improve markedly in the short term, or the incumbent should be terminated.

## Critical Importance of Fair and Consistent Ratings

University supervisors, reviewing officers, human resources offices, and senior management must work to ensure that evaluation ratings are fair, consistent, and that the ratings are a true reflection of a nonrepresented employee's performance in relation to the expected results for the position (as stated in the Nonrepresented Employee Performance Evaluation and Development Form). While there is no specified distribution of nonrepresented employees across the rating levels, supervisors, reviewing officers, and System/university leadership need to be certain that evaluations are not unnecessarily skewed to the top rating, or to a rating reflecting a performance level that is higher than earned during the appraisal period. Since the program is driven to reward nonrepresented employees with higher merit increases based on higher levels of performance, ratings at a level higher than warranted will unduly reward overrated nonrepresented employees and will serve to unfairly dilute the total percent increase available to remaining nonrepresented employees. As a result, significant numbers of nonrepresented employees rated at *Significantly and Consistently Exceeds Expectations*, could result in merit increases for these nonrepresented employees close to the actual amount of the total merit pool, and in an inability to properly distinguish them from nonrepresented employees performing at *Exceeds Expectations* or *Fully Performing/Meets Expectations*.

## Probationary Periods

The probationary period is a trial period of employment prior to the attainment of "regular" status. Nonrepresented positions at the 190 level and below normally have a six-month probationary period subsequent to appointment. Positions designated as "trainee" may have a 12-month probationary period at the department's discretion. Probationary periods allow the nonrepresented employee an opportunity to demonstrate their ability to perform the duties of the position satisfactorily and provide the department a period to evaluate the performance of an employee to determine their suitability for regular status employment. Probationary periods must be specified in writing at the time of the appointment.

All new nonrepresented employees at the 190 level and below must receive a probationary performance review within six months of their date of hire. If their performance is *Fully Performing/Meets Expectations*, the employee should become a regular nonrepresented employee. If their performance is below this level, the probationary period may be extended for up to six months or their employment terminated prior to the expiration of the probationary period.

The university or System Office human resources office must be involved whenever a probationary employee is performing below expectations in order to provide advice and counsel with regard to the appropriate next steps (i.e., extension of the probationary period, retention, termination, etc.).

# Compensation Plan

Although not the only component to a total rewards program, compensation is the largest and most expensive. The pay practices delineated below are intended to be flexible and responsive to the needs of the universities and the System Office. Sound investments in nonrepresented employees require wise pay practice choices to be made within the financial means of each university and the System Office.

## ***Nonrepresented Employee Compensation Plan Outline***

Pay Practice	Description	Pay Guidelines
<b>Starting Salary</b>	<ul style="list-style-type: none"> <li>Salary standard for newly appointed fully qualified employees who are not rehires.</li> </ul>	<ul style="list-style-type: none"> <li>Generally, the 2<sup>nd</sup> quartile of the appropriate level of the Salary Schedule represents an appropriate range for a starting salary.</li> <li>May hire above midpoint of the salary range but no more than the 75<sup>th</sup> percentile with human resources officer approval, based on exceptional qualifications, critical nature of the duties, low supply/high demand recruitment, or high cost of living index for university geographically. Above market rationale must be documented.</li> <li>Internal equities within the work unit must be taken into consideration when assigning starting salaries to help mitigate salary compression scenarios.</li> <li>Current nonrepresented employees and bargaining unit members who successfully compete for nonrepresented position vacancies should be treated as new appointees for salary determination purposes.</li> <li><b>Green-circled</b> – Employee’s starting salary must begin at the range minimum. Under no circumstances shall starting salaries be below the minimum salary for the level or exceed the maximum salary for level of the position.</li> <li>Universities are not prohibited from paying sub-market starting salaries based on insulation from market conditions, although the practice may exacerbate salary equity and salary compression issues if the practice is not consistent.</li> </ul>

Pay Practice	Description	Pay Guidelines
		<ul style="list-style-type: none"> <li>• A candidate's qualifications that are extraneous to a nonrepresented position vacancy's required and preferred qualifications should not be considered in making a salary valuation determination.</li> <li>• Market salary is based on salary studies of similar positions within the higher education industry, not public or private industry in general, as a rule. Exceptions may apply.</li> </ul>
<b><i>Merit Increases</i></b>	<ul style="list-style-type: none"> <li>• Performance-based salary increase in years when the chancellor recommends "merit pools" for nonrepresented employees, which are then reviewed and considered for approval by the Board of Governors.</li> <li>• A graduated increase based on achievement of a satisfactory level of performance or higher.</li> <li>• Employees in their probationary period of employment are ineligible for merit or other pay increases.</li> </ul>	<ul style="list-style-type: none"> <li>• Increases must be awarded; and must be based on guidelines issued by the chancellor (or designee) for the year of the increase.</li> <li>• Increases should not exceed the maximum for the level of the position. Portions of the increase in excess of the maximum should be paid as a lump sum payment not affecting base salary.</li> <li>• Merit increases for third- or fourth-quartile employees may be awarded as base pay changes or cash payments.</li> <li>• During the merit process, sub-minimum salaries will be brought up to the current minimum salary for the position's classification level, as necessary. Merit pools may also be used to address salary equity needs. Care should be taken to avoid diluting the value and intent of performance pay.</li> <li>• When possible, internal salary equity funds should be established to address equity issues.</li> </ul>
<b><i>Equity Adjustment</i></b>	<ul style="list-style-type: none"> <li>• A discretionary adjustment intended to manage sub-market and salary compression issues, as well as other equity adjustments based on analysis of disparities based on race, gender, ethnicity, age, etc.</li> <li>• Prerequisite of employee performing at a minimum of Fully Performing/Meets Expectations level.</li> <li>• Adjustment may not exceed the level of documented disparity.</li> </ul>	<ul style="list-style-type: none"> <li>• Recommendation of the human resources director and approval of the president or designee required. Documented analysis must accompany request.</li> <li>• Using funds from merit is discouraged, but not prohibited.</li> <li>• Adjustments may be made during years when merit increases are not provided.</li> </ul>
<b><i>Interim Appointment</i></b> (combines)	<ul style="list-style-type: none"> <li>• A temporary appointment outside a nonrepresented employee's regular duties to higher level work.</li> <li>• Faculty in interim nonrepresented positions.</li> </ul>	<ul style="list-style-type: none"> <li>• Minimum of the higher grade level or up to 15 percent above current salary.</li> <li>• Coverage of some of another higher-level manager position's duties while continuing to perform his/her own</li> </ul>

Pay Practice	Description	Pay Guidelines
categories of temporary assignment and Interim appointment)		<p>regular duties and responsibilities, up to 10 percent above current salary.</p> <ul style="list-style-type: none"> <li>• Duration of the assignment should also be considered when assigning the higher pay rate, with longer assignments receiving a higher percentage of increase.</li> <li>• Salaries for faculty in interim nonrepresented roles will be determined by first annualizing their 9-month faculty salary. Next, it must be recognized that the eventual salary must fall within the range for the position being filled. If the annualized salary is below the minimum of the range, place their salary at that minimum. If they are above the maximum for the range, place them at the maximum. If their annualized salary falls within the range for the job, place them at that salary. Additionally, up to 15 percent may be added to their initial annualized salary as long as their final salary is still within the range.</li> </ul>
<b>Rehire</b> (Including Annuitant Rehire)	<ul style="list-style-type: none"> <li>• Appointment of a former nonrepresented employee who had previously resigned or is currently retired.</li> <li>• Good standing at time of prior resignation or retirement is necessary.</li> </ul>	<ul style="list-style-type: none"> <li>• Former nonrepresented employees who have resigned, and less than 90 days has elapsed from date of resignation, and the individual wishes to return to his/her former nonrepresented position, he or she may be rehired at the previous rate of compensation at the time of the resignation, although this is not a requirement. If hired into a higher or lower level nonrepresented position, starting salary rules apply.</li> <li>• Annuitants may be rehired for a specific period, with the approval of the System Office. Justification required for rehire must be supported by emergency situations involving specific, unique, critical assignments not able to be staffed in another way.</li> <li>• Salaries for annuitant rehires should not simply be based on their final employee salary but should reflect the specific value of the work being performed in the assignment. The human resources officer will determine the salary rate, based upon an objective determination of the value of the work.</li> <li>• Annuitant rehire appointments may not be extended beyond the calendar year in which they were approved.</li> </ul>

<b>Pay Practice</b>	<b>Description</b>	<b>Pay Guidelines</b>
<b><i>In-Grade Salary Adjustment</i></b>	<ul style="list-style-type: none"> <li>Significantly increased, non-temporary responsibilities in a nonrepresented position that do not constitute higher classification work.</li> </ul>	<ul style="list-style-type: none"> <li>Up to 10 percent increase.</li> <li>In multi-incumbent classifications in a work unit, internal equities should also be taken into account so as not to create unnecessary salary compression in the unit.</li> </ul>
<b><i>Promotions</i></b>	<ul style="list-style-type: none"> <li>A promotion is defined as the movement of an employee from one position and grade to another position that is classified in a higher pay grade.</li> <li>Promotion rules generally apply when a manager is appointed to a vacant, higher-level position that he/she applied for and was the successful candidate.</li> <li>New management employees will not normally be considered for promotion until they have completed their initial probationary period (if applicable). Similarly, managers newly appointed or promoted to higher pay grade positions would normally also be expected to have served a successful probationary period in the new position before being eligible to be considered for further advancement.</li> </ul>	<ul style="list-style-type: none"> <li>Salary increases for promotions to positions in a higher grade should reflect the degree of change in the increased responsibilities.</li> <li>Promotional increases for an employee will normally range from 5 percent up to 15 percent, or the minimum of the pay range.</li> <li>Promotions in excess of 15 percent may be granted in exceptional situations. However, in these situations the upper limit for the promotional increase is 20 percent, or the minimum of the pay range.</li> <li>In all instances of promotion, the management employee's salary must be moved to at least the minimum of the salary range into which he/she is being promoted.</li> </ul>
<b><i>Non-competitive Promotion</i></b>	<ul style="list-style-type: none"> <li>Movement from one nonrepresented position level to a higher level nonrepresented position as a byproduct of a reclassification process.</li> <li>Reclassification upward.</li> </ul>	<ul style="list-style-type: none"> <li>0-15 percent above current salary level; or minimum salary for the new grade level, whichever is higher.</li> <li>16-20 percent when promotion is by two or more grade levels.</li> <li>In multi-incumbent classifications in a work unit, internal equities should also be taken into account so as not to create unnecessary salary compression in the unit.</li> </ul>
<b><i>Transfer/Voluntary Demotion</i></b>	<ul style="list-style-type: none"> <li><u>Transfer</u>: Movement from one nonrepresented position to another at the same university, when the two are of the same grade level.</li> <li><u>Voluntary Demotion</u>: Voluntary movement of a nonrepresented employee from a higher-level position to a position of a lower level as part of a nondisciplinary career change.</li> <li>Salaries for successful candidates who work at other State System universities in positions of the same grade should be used to set new hire starting salary standards.</li> </ul>	<ul style="list-style-type: none"> <li>0-10 percent salary adjustment upward for transfers, based on circumstances, not to exceed the maximum for the level.</li> <li>0-10 percent salary adjustment downward for voluntary demotions.</li> <li>In multi-incumbent classifications in a work unit, internal equities should also be taken into account so as not to create unnecessary salary compression in the unit.</li> </ul>

Pay Practice	Description	Pay Guidelines
<b><i>Involuntary Demotion</i></b>	<ul style="list-style-type: none"> <li>• Demotion caused by poor work performance, reclassification downward or reorganization-related reassignment.</li> </ul>	<ul style="list-style-type: none"> <li>• Disciplinary demotion: 0-10 percent reduction in salary based on specific disciplinary circumstances.</li> <li>• Demotion via downward reclassification or nondisciplinary reassignment retains current salary, even if it exceeds the maximum for the lower pay level. Position is then called <b>red-circled</b>. In addition, shall not be entitled to a pay increase until individual's salary is once again within the correct pay scale range.</li> </ul>
<b><i>Loaned Professionals</i></b>	<ul style="list-style-type: none"> <li>• When a nonrepresented employee of a university or the System Office is "borrowed" to perform services at another State System university, or at the System Office.</li> <li>• Written memorandum of understanding is required between gaining and losing organizations.</li> <li>• Should not exceed two years.</li> </ul>	<ul style="list-style-type: none"> <li>• Compensation should be based on the level of the work the borrowed professional will be doing. If it is the same level work, no increase will be normally warranted. Exceptions may apply. A salary increase may apply when the assignment is less a developmental opportunity and relates to a critical skill set being sought by the borrowing organization.</li> <li>• Duration of the assignment may also require travel, temporary housing or other considerations. If applicable, such considerations are subject to relevant policies and regulations.</li> </ul>

## Nonfinancial Rewards

The universities and the System Office are encouraged to develop nonfinancial rewards programs, which align with their individual cultures, their employees' needs, and the desired employee behavioral outcomes of recruitment, retention, development and motivation of well qualified nonrepresented employees. When such programs do not interfere with the administration of existing collective bargaining agreements, their applicability can be broader than nonrepresented employees. Examples of these types of programs are illustrated on page 6.

The three program dimensions of nonfinancial rewards are programs that encourage individual growth and career development; programs that facilitate a caring, fair, and positive workplace; and programs that actively engage employees as stakeholders in an organization with a compelling future, driven by effective supervisors and leaders.

University nonfinancial rewards programs may include the following:

- Training and professional development programs;
- Employee recognition programs; and,
- Flexible work schedules, where possible.

# Management Rights

Management employees of the Pennsylvania State System of Higher Education are covered by one of the following Board of Governors' Policies:

- Policy 1983-01-A: *Merit Principles*
- Policy 1984-14-A: *Terms and Conditions of Employment of Senior Policy Executives*

## Assigning Management Rights

Each university will:

- Determine the rights of management employees at their university using criteria established in Board of Governors' policies.
- Assign the appropriate employment rights to each manager.
- Ensure letters of appointment specifically state the employment rights of each manager.

## Management Rights Criteria

For appointments, either the management group of Merit Principles or Senior Policy Executives should be assigned. If the position is a classification management position of 190 and below, then the Merit Principles policy applies. If the position is a classification management position of 200 and above, then the Terms and Conditions of Employment of Senior Policy Executives policy applies.

The following table outlines management rights criteria.

Management Group	Definition	Rights
<b>Merit Principles Managers</b>	Applies to managers in positions classified 190 and below	Employee serves a stated probationary period of not less than six (6) months. Information concerning general personnel policy for these managers is contained in Board of Governors Policy 1983-01-A: <i>Merit Principles</i> .
<b>Senior Policy Executives</b>	Applies to managers in positions classified 200 and above.	Information concerning general personnel policy for these managers is contained in Board of Governors Policy 1984-14-A: <i>Terms and Conditions of Employment of Senior Policy Executives</i> .

# Appendices

## I. Glossary of Terms

<b>Annuitant</b>	A retiree
<b>BOG</b>	Board of Governors, the State System's governing body
<b>Broad-Band</b>	A position classification model, which groups like valued positions into common groupings. In the State System, these broad-bands range from 140 to E7 management levels
<b>CUPA</b>	The College and University Personnel Association
<b>Equity Pay Adjustment</b>	Permanent Salary Adjustment based on market, internal, or protected class inequity
<b>Green-Circled</b>	Employee's starting salary must begin at the minimum of the pay range
<b>In-Grade</b>	Occurring within the parameters of a management level
<b>Labor Market</b>	Pool of workers found within the geographic scope of a search for a particular position
<b>Lump Sum Payment</b>	A single cash payment made in lieu of an increase to base salary when a merit pay increase would exceed the maximum for the management level
<b>Market Salary Rate</b>	A salary level or range accepted as market competitive, based on analytical studies
<b>Merit Pay</b>	A salary increase based on job performance
<b>Merit Pool</b>	Total dollars available for merit pay distribution
<b>Nonrepresented Employees</b>	Employees absent a right to bargaining collectively
<b>Red-Circled</b>	Employee's current salary exceeds the maximum of the pay range (usually due to a demotion via a downward reclassification or non-disciplinary reassignment) and as a result, the employee is not eligible for a pay increase until the salary is once again within the pay range.
<b>Salary Compression</b>	The effect of reducing the separation in salaries between existing employees and newly hired employees caused by market rates increasing at a greater rate than internal salary increases.
<b>Salary Quartile</b>	Salary schedule reflecting the breadth of each salary range in fourths. For instance, a first quartile salary would be one reflecting the lowest one-fourth of salaries reported for that management level. The Fourth Quartile would reflect the highest one-fourth of salaries reported for that management level.
<b>Salary Schedule</b>	A schedule reflecting the full ranges of salaries for all management levels or broad-bands
<b>Submarket Salary</b>	A salary which falls below the market salary rate
<b>Total Rewards</b>	All of the tools available to the employer that may be deployed to attract, motivate, develop and retain employees. They generally include the following elements: pay, benefits, work-life balance, positive workplace and professional growth and career development programs.

## **II. Relevant Board of Governors' Policies**

- A. [Board of Governors' Policy 1983-01-A: Merit Principles](#)
- B. [Board of Governors' Policy 1984-14-A: Terms and Conditions of Employment of Senior Policy Executives](#)
- C. [Board of Governors' Policy 1985-07-A: Management Performance and Reward Program](#)

### **III. *Additional Resources***

- Nonrepresented Employee Performance Evaluation and Development Form
- Nonrepresented Employee Competency Dictionary

## **Nonrepresented Employee Performance Evaluation and Development Form**

### **Instructions for Nonrepresented Employees and Supervisors**

1. The manager and supervisor review the performance elements listed on page 2 and other targeted performance expectations that were established for and during the performance period under review. These performance expectations should have included particular behaviors, special assignments, specific goals or results, special training, etc., that would have ensured the expectations were valid for feedback purposes.
2. Each manager shall write a brief one page narrative summarizing his/her accomplishments. This narrative shall be provided to the manager's supervisor before the supervisor prepares his/her draft evaluation.
3. The supervisor drafts Parts I through III of the form. These comments should be based on observed performance in relation to the manager's duties and responsibilities, performance expectations and relevant performance elements. Performance expectations should be aligned to organizational goals as part of planning for the coming review cycle.
4. Only the manager completes Part IV of the form. This is the manager's opportunity to give the supervisor feedback as to what other support he/she feels is needed to foster effectiveness.
5. The supervisor will meet with his/her supervisor (reviewing officer) to discuss the tentative evaluation of the manager before meeting with the manager.
6. The manager and supervisor meet to review Parts I through III of the form. The goal is to have an open and constructive discussion that leads to a clear understanding of the manager's past performance as well as future expectations and development objectives. The manager is encouraged to share his/her response to Part IV of the form during the feedback session.
7. If the need arises, the reviewer (typically the second line supervisor) should function as a mediator upon the request of either the supervisor or the manager.
8. Following the feedback session, the supervisor prepares the final form, provides the performance rating and shares it with the manager. Ratings are: N/A – Not Applicable, 5 - Significantly and Consistently Exceeds Expectations, 4 – Exceeds Expectations, 3 – Fully Performing/Meets Expectations, 2 – Needs Improvement, 1 – Below Expectations, TNE – Too New to Evaluate. If the manager has not shared his/her response to Part IV of the form with the supervisor, it should now be included on the form.
9. The supervisor signs the form, gives it to the manager to sign, then gives the form to the reviewer along with the manager's narrative, whose signature indicates that the process has been followed appropriately. It is not the reviewer's role to make changes or comments relative to the manager's performance. The supervisor ensures that the manager receives a copy, and the original is placed in the manager's personnel file.

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## Performance Elements

The following "performance elements" should be considered, where applicable, in assessing employee performance (Part I) and determining future performance expectations and development needs (Parts II and III). Other performance elements may be added as needed.

### **Business Processes, Technology, Customer Service and Results**

- Provides services that consistently meet or exceed the needs and expectations of customers
- Recognizes that student success is the foundation of individual and organizational success
- Uses customer satisfaction as a key measure of quality
- Uses appropriate problem solving methods to improve processes
- Collects and evaluates relevant information to make decisions
- Uses good judgment
- Meets productivity standards, deadlines and work schedules
- Produces accurate and timely work with minimal supervision
- Achieves results
- Informs supervisor or appropriate others of problems identifying issues and alternative solutions
- Strives for continuous improvement; streamlines work processes and eliminates waste appropriately

### **Communication/Collaboration/Interpersonal Skills**

- Adapts communications to diverse audiences
- Delivers quality presentations
- Demonstrates verbal/nonverbal consistency
- Shares appropriate information internally and externally
- Manages meetings effectively
- Relates and works well with others
- Demonstrates trust, sensitivity and mutual respect
- Provides timely and honest feedback in a constructive and nonthreatening way
- Maintains confidentiality
- Accepts constructive criticism
- Possesses active listening skills
- Writes and speaks clearly and concisely

### **Policy and Decision Making**

- Takes calculated risks
- Uses a logical rational approach
- Makes timely/responsive decisions
- Takes responsibility for decisions

- Modifies decisions based on new information when appropriate
- Involves appropriate others in the decision-making process
- Demonstrates consistency and fairness

### **Leadership**

- Coaches and mentors, inspires and motivates
- Delegates responsibility with associated authority
- Demonstrates self-confidence
- Leads by example, serves as appropriate role model
- Promotes a cooperative work environment
- Sets clear, reasonable expectations and follows through
- Remains visible and approachable and interacts with others on a regular basis
- Demonstrates high ethical standards
- Gains support and buy-in through participation of others

### **Planning and Program/Project Management**

- Maintains a clear focus on internal and external customer needs
- Plans and budgets for future resource requirements
- Anticipates problems and develops contingency plans
- Sets priorities effectively
- Establishes challenging, attainable goals and objectives
- Identifies short- and long-range organizational needs
- Looks to the future with a broad perspective
- Responds effectively to unforeseen problems
- Understands customer needs and ensures customer satisfaction
- Sets and adheres to priorities

### **Resource Management**

- Uses resources efficiently and manages effectively within budget limits
- Pursues efficiency and economy in the use of resources (i.e. monetary, facilities, people, technology, etc.)

- Supports the State System's green initiative efforts
- Manages vendor relationships effectively
- 

### **Human Resources and Labor Relations Management**

- Recruits, selects and retains capable, productive employees
- Achieves affirmative action objectives
- Promotes employee safety and wellness
- Demonstrates knowledge of personnel policies, labor agreements and merit principles system rules
- Promotes inclusion and workforce diversity
- Recognizes and rewards good performance
- Assesses and provides for employee development and training
- Encourages and assists employees to achieve full potential
- Evaluates employees timely and thoroughly
- Takes timely, appropriate, corrective/disciplinary action
- Negotiates effectively
- Adheres to policy and collective bargaining agreements

### **Interacting with External Environment**

- Works effectively within the political environment
- Exhibits knowledge and shows cooperation regarding intra- and inter-agency programs, activities, and responsibilities
- Displays sensitivity to public attitudes and concerns
- Understands and cultivates stakeholder relationships
- Works collaboratively to achieve improved results

# Management Performance Evaluation and Development Form

- ☐
- ☐
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<b>Purpose of Appraisal:</b>	<b>Employee's Name:</b>	<b>Evaluation Period: From</b>
Probationary Review	<b>Job Title:</b>	<b>Organizational Unit:</b>
Other:	<b>Evaluator's Name:</b>	<b>Evaluator's Title:</b>

## Part I: Performance Evaluation

Assessment of manager's contribution in helping the organization to achieve its goals and be successful. Describe how well the manager has done in carrying out job responsibilities and performance expectations. Consider performance demonstrated with regard to the applicable Performance Elements from page 2 when conducting this assessment.

**Rating Scale:** N/A – Not Applicable, 5 - Significantly and Consistently Exceeds Expectations, 4 – Exceeds Expectations, 3 – Fully Performing/Meets Expectations, 2 – Needs Improvement, 1 – Below Expectations, TNE – Too New to Evaluate

### Rate and Provide Comments on the Specific Performance Elements Below:

*Business Processes, Technology and Results: N/A*

*Communication, Collaboration and Interpersonal Skills: N/A*

*Policy and Decision Making: N/A*

*Leadership: N/A*

*Planning and Program/Project Management: N/A*

*Resource Management: N/A*

*Human Resources and Labor Relations Management: N/A*

*Interacting with External Environment: N/A*

*Other:*

*Other:*

**Overall Performance Rating Based Upon Evaluation of Above Performance Elements : N/A** **Rating Scale:** N/A – Not Applicable, 5 - Significantly and Consistently Exceeds Expectations, 4 – Exceeds Expectations, 3 – Fully Performing/Meets Expectations, 2 – Needs Improvement, 1 – Below Expectations, TNE – Too New to Evaluate

## Part II: Future Performance Expectations

Identify any particular performance expectations, job duties, special assignments and/or skills upon which the manager should focus to reinforce his/her success and contribution to the organization. The Performance Elements listed on page 2 may help in identifying future expectations.

## Part III: Future Training and Development

Identify training and development opportunities in which the manager should participate to enhance future performance.

## Part IV: Organizational Support

**To be completed by the manager:** What suggestions do you have as to how your supervisor, co-workers, and/or management can support you in the present job and with future career goals?

## Part V: Comments and Signatures

This report is based on my best judgment.

**Evaluator's Signature:**

**Title:**

**Date:**

This report has been discussed with me.

**Employee's Signature:**

**Title:**

**Date:**

**Employee's Comments:**

**Reviewer's Signature:**

**Title:**

**Date:**

**Reviewer's Comments:**

**NOTE:** After the performance evaluation is completed and signed by all parties, it is the evaluator's responsibility to provide a copy to the manager and to ensure that the original is placed in the employee's personnel file.

## Nonrepresented Employee Competency Dictionary

Performance at the State System is based on an equation of results and behaviors. The following dictionary of competencies is based on research conducted by Hay/McBer on behaviors that support effective performance in individual contributor and supervisory/leadership roles. It is intended to provide management employees additional detail on a broad range of behaviors from which they can build performance and development plans.

Each competency has a definition and a scale of indicators that represent a range of behaviors.

- Typically, the behaviors build on each other or are cumulative. It would be difficult for someone to consistently demonstrate a high level behavior without a foundation at the lower levels.
- The purpose of the indicators is not to reach the highest level on each competency. Given a particular management role, it is expected that a certain "profile" of behaviors would lead to effective performance. That profile would likely be more complex for a Vice President than an entry-level manager. Each of the competencies has a coded scale to indicate the typical level of competency demonstration for various management positions. The bars overlap in some cases. The intent is not to identify a particular target, but to highlight a reasonable range of behavior for various management levels. The table below shows the typical linkage between salary grades and the levels of contribution.



Levels of Contribution	Grade
<b>Strategic/Executive Leadership</b> - leadership of core functions, processes or initiatives that have a major impact on the operations and results of the System or its universities. These senior positions develop functional strategies and translate them into tactical plans that may be achieved over the next one to two years.	E2-E7
<b>Tactical Leadership/Senior Professional</b> - leadership accountability for projects, processes, functional and/or organizational objectives with broad scope and impact at the university or System level. These are highly seasoned professionals who provide solutions that have a narrower, more defined impact on the organization than strategic leaders.	210 200 190
<b>Operational Leadership/Professional</b> - roles that bring entry to journey-level professional expertise to support a process or function. These positions may be individual contributors or have managerial/supervisory accountability for a focused area of activity.	180 170 160
<b>Management Support Staff</b> – roles that provide specialized support or services to internal or external customers. These positions bring procedural expertise to support the daily operations of the university or System. They are typically administrative or technical roles and represent the “core” management support of the organization.	150 140

## Analytical Thinking\*

*Analytical Thinking* is understanding a situation, issue, problem, etc., by breaking it into smaller pieces, or tracing the implications of a situation in a step-by-step way. Analytical Thinking includes organizing the parts of a problem, situation, etc., in a systematic way; making systematic comparisons of different features or aspects; setting priorities on a rational basis; and identifying time sequences, causal relationships, or if-then relationships.

**Breaks Down Problems:** Breaks problems into simple lists of tasks or activities without assigning values. Makes a list of items with no particular order or set of priorities.

**Sees Basic Relationships:** Identifies the cause-and-effect relationship between two aspects of a situation. Separates situations into two parts: pro and con. Sorts out a list of tasks in order of importance.

**Sees Multiple Relationships:** Makes multiple causal links, such as several potential causes of events, several consequences of actions, or multiple-part chains of events (A leads to B leads to C leads to D). Analyzes relationships among several parts of a problem or situation (e.g., anticipates obstacles and thinks ahead about next steps, in detail, anticipating multiple steps).

**Makes Complex Plans or Analyses:** Identifies multiple elements of a problem and breaks down each of those elements in detail, showing causal relationships between them. Peels back multiple layers of a problem. Uses several analytical techniques to break complex problems into component parts and identify several solutions and weighs the value of each.

\* May be appropriate for any management role but more critical for supervisory roles

## Change Leadership\*

Change Leadership is the ability to deliver the message of change in both words and actions and motivate people to change. It is the ability to exhibit a range of behavior from communicating and actively supporting the System's vision and strategy to taking dramatic action to reinforce new ways of thinking.

**Has Change Mindset:** Consistently thinks about whether an approach, process or service is inefficient, outdated or incomplete. Publicly defines a specific area where change is needed, but does not describe what those changes should be.

**Expresses Vision for Change:** Understands that change is a necessary requirement for the System to remain competitive. Defines an explicit vision for change. May simplify, modify, or redefine a previous vision in specific terms.

**Ensures Change Message is Heard:** Takes efforts to deliver the message or vision for change to everyone affected. Creates a sense of urgency around change and motivates employees to join change efforts. Repeats message wherever possible, and posts change messages as banners, plaques, or other physical reminders.

**Challenges Status Quo and Reinforces Change Vision:** Publicly challenges the status quo by comparing it to an ideal or a vision of change and takes a dramatic action (other than giving a speech) to enforce the change effort. Ensures repeated actions are taken to overcome obstacles and resistance to change. Acts as an advocate for employees who take actions consistent with change efforts. Personally exemplifies or embodies the desired change through strong, symbolic actions that are consistent with the change.

\* May be appropriate for any management role but more critical for Strategic Leadership roles

## Conceptual Thinking

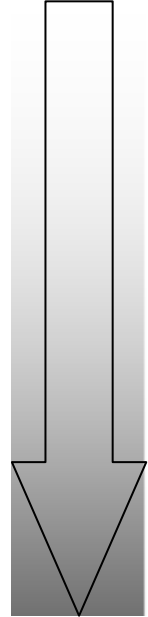
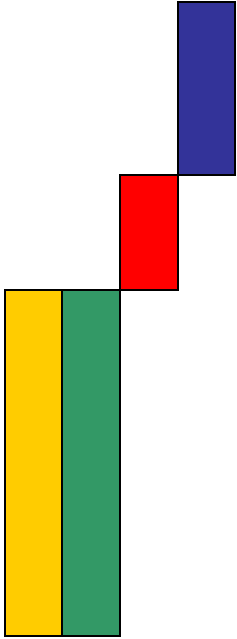
Conceptual Thinking is the ability to identify patterns or connections between situations that are not obviously related, and to identify key or underlying issues in complex situations. It includes using creative, conceptual, or inductive reasoning.

**Applies Basic Rules and Sees Patterns:** Applies simple rules, common sense, and past experiences to identify problems and sees patterns, trends, or missing pieces. Notices when a current situation is similar or dissimilar to a past situation, and identifies the similarities and/or differences.

**Applies Learned Complex Concepts:** Uses knowledge of theory or of different past trends or situations to look at current situations. Applies and modifies complex learned concepts or methods appropriately.

**Clarifies Complex Data or Situations:** Makes complex ideas or situations clear, simple, and/or understandable. Assembles ideas, issues, and observations into a clear and useful explanation. Restates existing observations or knowledge in a simpler fashion. Takes intricate data and puts it into lay terms; “boils down” information.

**Creates New Concepts:** Creates new concepts that are not obvious to others and not learned from previous education or experience to explain situations or resolve problems. Looks at things in a really new way – breakthrough thinking. Shifts the paradigm; starts a new line of thought.



## Concern for Order

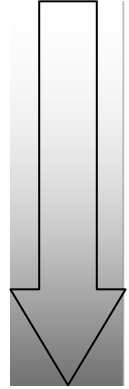
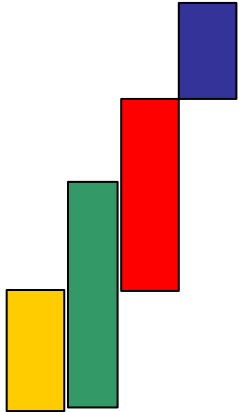
Concern for Order reflects an underlying drive to reduce uncertainty in the surrounding environment. It is expressed in such forms as monitoring and checking work or information, insisting on clarity of roles and functions, etc.

**Shows General Concern for Order and Clarity:** Works for clarity and wants working space, roles, expectations, tasks, and data to be crystal clear and often in writing.

**Checks Own Work:** Double-checks the accuracy of information or work.

**Monitors Own or Others' Work for Order:** Monitors quality of others' work, checks to see that procedures are followed and keeps clear, detailed records of own or others' activities.

**Monitors Data or Projects:** Monitors progress of a project against milestones or deadlines, monitors data and discovers weakness or missing data and seeks out information to keep order.



## Continuous Improvement (System Core Competency)

Continuous Improvement is taking a new or unique approach to how work is done and striving to continuously improve processes and quality.

**Questions Conventional Work Methodology:** Recognizes when a situation calls for or could benefit from a different approach or questions/challenges the regular approach or quality of conventional approaches. Is open to change when presented with a new perspective, and is able to pull together ideas, issues and observations. Is prepared to “try out” different solutions or takes a different approach.

**Has Innovative Ideas/Thinks to Identify New Solutions:** Looks beyond the facts and thinks “outside the box” or beyond traditional boundaries in order to suggest solutions, services or ways to improve that have not been used in the System before. This includes using and adjusting concepts, methods or ideas that have been used in other organizations in order to think about “out of the ordinary” solutions.

**Uses Change as an Opportunity:** Creates new concepts or modeling techniques that are not obvious to others. Is original and clever when responding to outside change. Adapts own thinking to meet changes or unexpected external constraints, and does things that are unique, leading-edge and new to the System.

**Fosters an Environment of Continuous Improvement:** Encourages new ideas from others. Generates and maintains a creative and change-oriented environment among or with staff and colleagues which leads to new and effective ideas that help to change the System.

## Customer Service Orientation (System Core Competency)

*Customer Service Orientation* is focusing one's efforts on discovering and meeting the customer's needs. This includes being able to develop trust in all relationships and add to the level of trust in the university or System. Customers include, but are not limited to internal and external associates, peers, colleagues, community members, students, faculty, external agencies or anyone that the person is trying to help.

**Maintains Clear Communication:** Communicates expectations and monitors customer satisfaction. Follows through on others' questions, requests, and complaints. Gives helpful information to others; gives friendly, cheerful service.

**Takes Personal Responsibility for Correcting Problems:** Takes personal responsibility for dealing with and/or correcting customer service issues and concerns. Makes self fully available and takes actions beyond normal expectations. Corrects problems promptly and not defensively, even if taking a loss is involved.

**Addresses Underlying Customer Needs:** Looks for information about the real, underlying needs of others, beyond those expressed initially. Matches those needs to available services.

**Uses a Long-Term Perspective/Acts as a Trusted Advisor:** Looks for long-term benefits to the customer and adjusts approach accordingly. Acts as a trusted advisor. Becomes involved in a customer's decision-making process. Builds an independent opinion on customer needs, problems, or opportunities and possibilities for implementation and may act on this opinion (e.g., recommends approaches which are new and different from those requested by the client).

## Developing Self and Others\*

*Developing Self and Others* is reflected in one's efforts to grow and apply one's expertise/knowledge (and a genuine interest in helping others do so) within and across specialized technical/functional areas. It includes taking initiative to keep up-to-date with key changes in higher education and process/technical trends and acquiring the knowledge and skills that will contribute to making the unit's operation an industry benchmark.

**Takes Initiative to Build Own Skills:** Attends training courses, reads books or professional/technical related materials. Spends time learning from team members and others to acquire knowledge or learn specific skills that have been identified as important or relevant to the operating unit. Takes specific actions to keep skills up-to-date with the most current requirements (including keeping one's professional license or certification up-to-date).

**Looks Beyond Own Specialty Area:** Actively seeks learning opportunities from other specialty areas in the function or unit in order to become a broader resource to the team or unit. Finds appropriate ways to use new ideas, approaches, and knowledge to more effectively address the challenges of the team or of the unit as a whole.

**Assesses and Coaches Others on Developmental Needs:** Objectively assesses an individual's strengths and areas for development. Coaches him/her by giving assessment feedback and general advice about leveraging strengths and overcoming performance gaps. Cites evidence of past performance to justify assessment and gives specific constructive feedback for developmental purposes.

**Pushes Down Decision-Making:** Pushes decision-making to lower levels with a developmental intent in mind. Gives decision-making authority to individuals who are capable and will be responsible for process improvements. Avoids taking charge or taking over unless good judgment indicates that doing so is necessary.

**Identifies and Makes Stretch Developmental Assignments:** Arranges specific assignments or projects to challenge others and stretch their abilities and self-confidence. Assesses and selects employees with appropriate skills and capabilities, then delegates full authority and responsibility. Gives others the autonomy to approach issues in their own way, including the opportunity to make and learn from mistakes.

\* May be appropriate for any management role but more critical for supervisory roles

## Flexibility/Adaptability

Flexibility/Adaptability is the ability to adapt to and work effectively within a variety of situations, and with various individuals or groups. Flexibility/Adaptability entails understanding and appreciating different and opposing perspectives on an issue, adapting one's approach as the requirements of a situation change, and changing or easily accepting changes in one's own organization or job requirements.

**Accepts Need for Flexibility:** Demonstrates willingness to change ideas or perceptions based on new information or contrary evidence. Understands other people's points of view.

**Applies Rules Flexibly:** Alters normal procedures to fit a specific situation to get a job done and/or meet university or System goals.

**Adapts Tactics:** Decides how to do something based on the situation. While maintaining the same overall goal or strategy, changes how to accomplish the goal. Acts to fit the situation or the person.

**Adapts Own Strategy:** Changes the overall plan, goal, or project (i.e., what you are trying to accomplish) to fit the situation. Makes small or temporary organizational changes to meet the need of a specific situation.

## Impact and Influence\*

*Impact and Influence* implies an intention to persuade, convince, influence, or impress others (individuals or groups) in order to get them to go along with or to support the speaker's agenda. The "key" is understanding others, since Impact and Influence is based on the desire to have a specific impact or effect on others where the person has his or her own agenda, a specific type of impression to make, or a course of action that he or she wants the others to adopt.

**States Intention but Takes No Action:** Intends to have a specific effect or impact. Expresses concern with reputation, status, appearance, etc., but does not take any specific actions.

**Takes an Action(s) to Persuade:** Uses direct persuasion in a discussion or presentation. May appeal to reason, data, or others' self interest. May use concrete examples, visual aids, demonstrations, etc. Makes no apparent attempt to adapt a presentation to the interest and level of the audience.

**Calculates Impact of Actions or Words:** Adapts a presentation or discussion to appeal to the interest and level of others. Anticipates the effect of an action or other detail on people's image of the speaker. Takes a well-thought-out dramatic or unusual action in order to have a specific impact. Anticipates and prepares for others' reactions.

**Uses Indirect Influence:** Uses chains of indirect influence: "get A to show B so B will tell C such-and-such." Takes two or more steps to influence, with each step adapted to the specific audience. Uses experts or other third parties to influence.

**Uses Complex Influence Strategies:** Assembles political or other coalitions. Builds "behind-the-scenes" support for ideas. Uses an in-depth understanding of the interactions within a group to move toward a specific agenda (e.g., may give or withhold information among individuals to have specific effects).

\* May be appropriate for any management role but more critical for supervisory roles

## Initiative\*

*Initiative* refers to the identification of a problem, obstacle or opportunity *and* taking action in light of this identification to address current or future problems or opportunities. Initiative should be seen in the context of proactively doing things and not simply thinking about future actions. The time frame of this scale moves from addressing current situations to acting on future opportunities or problems.

**Reacts to Short-Term Opportunities or Problems:** Recognizes and reacts to present opportunities. Reacts to present problems, including overcoming obstacles.

**Is Decisive in a Time-Sensitive Situation:** Acts quickly and decisively in a crisis or other time-sensitive situation. Acts with a sense of urgency when the norm is to wait, study the situation, and hope the problem will resolve itself.

**Acts Up to 12 Months Ahead:** Anticipates and takes action to create an opportunity or avoid future crisis, looking ahead within a twelve-month time frame.

**Acts Over a Year Ahead:** Anticipates and takes action to create an opportunity or avoid future crisis, looking over a year ahead.

\* May be appropriate for any management role but more critical for supervisory roles

## Interpersonal Understanding

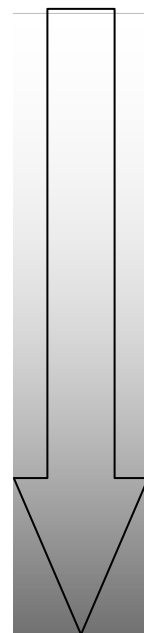
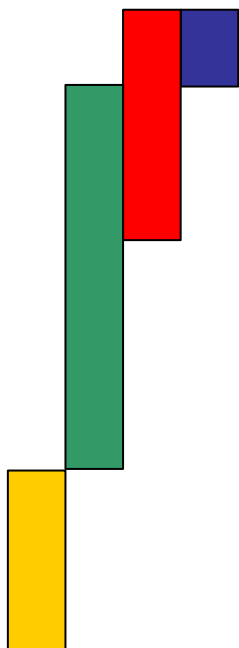
*Interpersonal Understanding* connotes wanting to understand other people. It is the ability to accurately hear and understand the unspoken or partly expressed thoughts, feelings, and concerns of others. It measures increasing complexity and depth of understanding of others and may include cross-cultural sensitivity.

**Recognizes Emotion:** Recognizes emotion by reading body language, facial expression, and/or tone of voice.

**Understands Emotion and Verbal Content:** Understands *both* emotion (by reading body language, facial expression, and/or tone of voice) *and* what the other person says about an issue (the other person's explicit content that goes beyond labeling their emotions).

**Understands Meanings:** Makes inferences that go beyond the explicit content and emotion. Understands current, unexpressed, or poorly expressed thoughts, concerns, or feelings. Identifies a single characteristic or the strengths of the other person (not enough for a "balanced assessment" and *not* simply a complaint about a negative characteristic).

**Understands Underlying Issues:** Displays an in-depth understanding of the ongoing reasons for a person's behavior or responses. Understands the longer-term reasons for behavior. Makes an assessment of a person's specific strengths and weaknesses based on a deeper understanding of the individual.



## Organizational Awareness

Organizational Awareness refers to the ability to understand and learn the power relationships in one's own organization or in other organizations. This includes the ability to identify the real decision makers; the individuals who can influence them; and to predict how new events or situations will affect individuals and groups within the university or System.

**Understands Formal Structure:** Recognizes and/or uses the formal structure or hierarchy of an organization. Understands chain of command, positional power, rules and regulations, policies and procedures, etc.

**Understands Informal Structure, Climate and Culture:** Recognizes and/or uses the informal structure of an organization. Recognizes key actors, decision-influencers, organizational limitations, etc. Recognizes and/or applies this knowledge when formal structure does not work as well as desired.

**Understands Organizational Politics:** Recognizes and/or uses ongoing power and political relationships within the university or System (alliances, rivalries) with a clear sense of organizational impact.

**Understands Underlying Issues:** Recognizes and/or addresses the reasons for ongoing organizational behavior. Recognizes underlying problems, opportunities, or external political forces affecting the university or System, such as demographic changes, national or historical issues that affect higher education, government legislation, etc.

## Results Orientation (System Core Competency)

*Results Orientation* is a concern for holding yourself and others accountable for achieving results or for surpassing a standard of excellence. It includes the process of setting measurable objectives, implementing change and then checking back to determine the effect of your efforts. The standard may be one's own past performance (striving for improvement); an objective measure (results orientation); outperforming others (competitiveness); challenging goals one has set, or even what anyone has ever done (innovation). Thus a unique accomplishment also indicates Results Orientation.

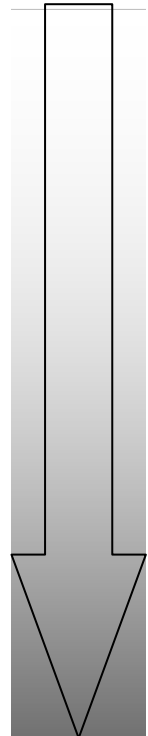
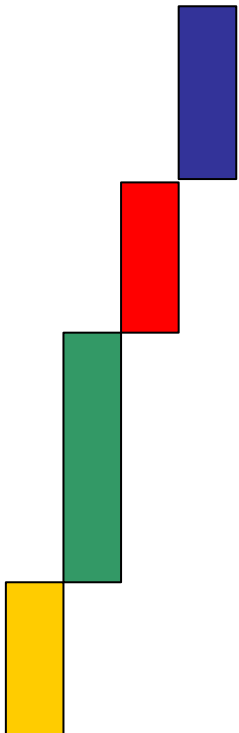
**Creates Own Measures of Excellence:** Keeps track of and measures outcomes against a standard of excellence not imposed by others. Expresses a desire to do better and may express frustration at waste or inefficiency. May focus on new or more precise ways of meeting goals set by management.

**Improves Performance:** Makes specific changes in the system or in own work methods to improve performance. Examples may include doing something better, faster, at a lower cost, more efficiently; or improving quality, customer satisfaction, morale, without setting any specific goal.

**Sets and Works to Meet Challenging Goals:** "Challenging" means it is a definite, but not unrealistic or impossible. Refers to specific measures of baseline performance compared with better performance at a later point in time. May include setting out to achieve a unique standard.

**Makes Cost-Benefit Analyses:** Makes decisions, sets priorities, or chooses goals on the basis of calculated inputs and outputs. Analyzes for organizational outcomes.

**Takes Calculated Entrepreneurial Risks:** Commits significant resources and/or time (in the face of uncertainty) to increase benefits to the university or System (i.e., improves performance, reaches a challenging goal, etc.)



## Self-Confidence

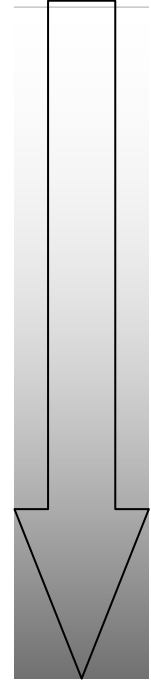
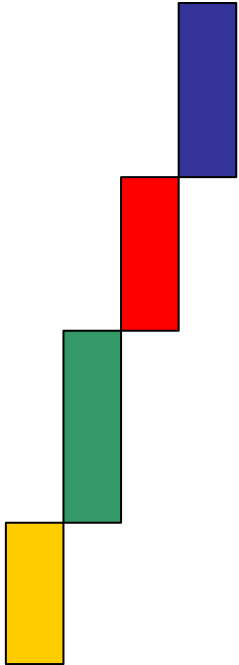
Self-Confidence refers to a belief in one's own capacity to accomplish a task and select an effective approach to a task or problem. This includes confidence in one's ability as expressed in increasingly challenging circumstances and confidence in one's decisions or opinions.

**Acts Confidently at the Limits or Slightly Beyond the Limits of Job Role:** Works without needing direct supervision, appears confident in person and presents self well. Makes decisions without asking others and even when others disagree. Acts outside formal authority and in uncertain circumstances.

**States Confidence in Own Ability:** Describes self as an expert, someone who makes things happen, a prime mover, or a source. Sees self as more expert than others and explicitly states confidence in own judgment or abilities.

**Takes On Challenges:** Likes challenging assignments, and is excited by a challenge. Looks for and gets new responsibilities. Speaks up when he or she disagrees with management, clients, or others in power, but disagrees politely, stating own view clearly and confidently – even in conflict.

**Chooses Extremely Challenging Situations:** Willingly takes on extremely challenging (i.e., very personally risky) tasks. Confronts management or customers in a direct fashion, without adversely affecting relationships.



## Strategic Orientation\*

*Strategic Orientation* relates to the integration of knowledge of higher education with an understanding of the university's or System's long-term vision to focus current activities on what is critical to achieving strategic objectives and eliminating non value-adding activities.

**Aligns Actions With Team's/Function's Strategy:** Understands own role in achieving team's organizational goals. Aligns day-to-day actions and assets with the team's organizational issues and opportunities. Changes activities to better address larger organizational strategies.

**Develops Own Strategy and Plans Based On the University's and System's Strategy:** Develops and articulates a concise, comprehensive department strategy that incorporates a System/university-wide perspective. Establishes and implements long-term objectives, goals, or projects that support the strategy. Considers the alignment of present assets, processes, and methods with the university's or System's strategy and identifies actions and changes needed to meet the strategy. Initiates redesign of processes or services to better meet the university's or System's long-term goals.

**Develops Contingency Strategy and Plans Based On University and System Strategies:** Proactively prepares, modifies and reviews contingency strategy; anticipates obstacles that could arise. Incorporates innovation. Examines radical strategic options and dramatic alternatives that drive the university's or System's culture and results.

**Develops and Contributes to the Creation of the University's and System's Strategy:** Takes initiative to collaborate with Leadership Team and Board members to shape the strategic direction of the university or System. Pushes oneself and encourages others to "think outside the box" in setting the future direction of the university or System.

\* May be appropriate for any management role but more critical for Strategic Leadership roles

## System Thinking\*

*System Thinking* is the orientation to think in System-wide terms with regard to the functions or campuses within the System. This includes spotting opportunities to connect with initiatives underway in other areas or proactively sharing information or resources that can be seen to have relevance and impact for others.

**Thinks and Acts Locally:** Thinks primarily about the impact of a project, process, and initiative on one's own team or function rather than the System at large.

**Responds Across Functions:** Willingly provides information and resources to other teams, functions, or universities. Assists them in their efforts, even if there is no immediate benefit to one's own area. Actively promotes cross-functional collaboration and understands the potential impact, uses, and consequences of own work for other functions.

**Makes Linkages:** Proactively offers own resources to others who can use it to add value to the System. Seeks out information or best practices and keeps abreast of others' work. Ensures timely information exchange and shared learning (e.g., sharing information about changes that led to dramatic change). Uses inter-function/campus linkages to raise performance to new levels.

**Identifies Cross-Group Opportunities:** Thinks in System-wide, cross-boundary terms *before* setting out on a project or problem-solving initiative. Adds significant value to projects by bringing diverse, high-impact resources, regardless of function or location, in early so that a more collaborative and integrated approach is taken to problem definition and action planning.

**Champions System-Wide Thinking:** Personally models a System perspective in his/her work and encourages and rewards it in others. Proactively shares information and resources across divisional, group, or university lines to better leverage the capabilities, people and processes.

\* May be appropriate for any management role but more critical for Strategic Leadership roles

## Team Leadership\*

Team Leadership is the intention to take a role as leader of a team or other group. It implies a desire to lead others. Team Leadership is generally, but certainly not always, shown from a position of formal authority. The “team” here should be understood broadly as any group in which the person takes on a leadership role, including the university or System as a whole.

**Manages Team Well:** In meetings, states agendas and objectives; controls time; makes assignments, etc. In a leadership role, lets people affected by a decision know what is happening, even if they are not required to share such information. Makes sure the group has all the necessary information and explains reasons for a decision.

**Promotes Team Effectiveness:** Takes specific actions with the intent of enabling the team to function optimally. Creates the conditions that enable the team to perform at its best (e.g., setting clear direction, providing appropriate structure, getting the right people). Uses complex strategies, such as hiring and firing decisions, team assignments, cross-training, etc., to promote team morale and productivity. Gets others’ input for purposes of promoting the effectiveness of the group or process. Acts to build team spirit for purposes of promoting the effectiveness of the group or process.

**Positions Self as the Leader:** Establishes norms for group behavior (“rules of engagement”) and imposes sanctions on people who violate these norms. Sets a good example by personally modeling desired behavior. Takes action to ensure that others buy into leader’s mission, goals, agenda, climate, tone and policy.

**Communicates a Compelling Vision:** Inspires confidence in the mission and generates excitement, enthusiasm and commitment to the group mission.

\* May be appropriate for any management role but more critical for supervisory roles

## Teamwork and Collaboration (System Core Competency)

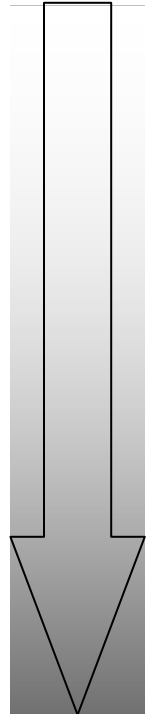
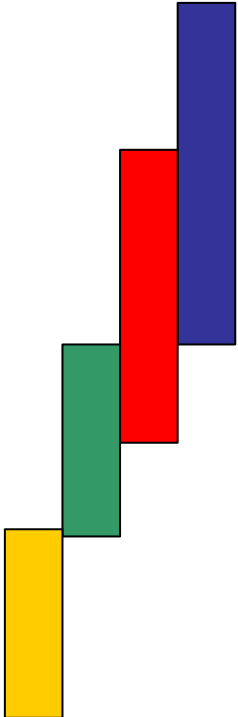
Teamwork and Collaboration implies the intention to work cooperatively with others, to be a part of a team, to work together, as opposed to working separately or competitively. Teamwork and Collaboration may only be considered when the subject is a member of a group of people functioning as a team, generally where he or she is not the leader. “Team” is broadly defined as any task or process-oriented group of individuals.

**Cooperates:** Supports team decisions, is a good team player, does his or her share of the work. Keeps other team members informed and up-to-date about what is happening in the group. Shares all relevant or useful information.

**Expresses Positive Attitudes and Expectations of Team and Team Members:** Expresses positive attitudes and expectations of others in terms of their abilities, expected contributions, etc. Speaks of team members in positive terms, either to the team member directly or to a third party.

**Solicits Inputs and Encourages Others:** Genuinely values others’ input and expertise. Displays willingness to learn from others, including subordinates and peers. Solicits ideas and opinions to help form specific decisions or plans. Publicly credits others who have performed well. Encourages and empowers others, making them feel strong and important.

**Works to Build Team Commitment:** Acts to promote good working relationships regardless of personal likes or dislikes. Builds good morale or cooperation within the team, including creating symbols of group identity or other actions to build cohesiveness. Encourages or facilitates a beneficial resolution to conflict.



## Valuing Diversity\* (System Core Competency)

*Valuing Diversity* is the ability to understand and value the practices, customs values and norms of other individuals, groups and cultures. It goes beyond what is required by state and federal equal employment opportunity (EEO) regulations to include the ability to value different points-of-view and recognize the improved outcomes that occur when individuals from different backgrounds or perspectives interact. It includes seeing others' differences as a positive part of the System. It also means being able to work well with a wide variety of people representing different backgrounds, cultures and socio-economic levels.

**Understands and Respects Diversity:** Understands and respects practices, customs, values, and norms of other individuals or groups. Behavior and actions show investment in the institution's commitment to diversity.

**Values Differences:** Seeks ways to gain new knowledge and understanding of individuals/groups through learning and participating in university and community activities. Demonstrates appreciation of the unique contributions of other individuals and groups.

**Monitors and Adjusts Own Behavior:** Evaluates personal behavior and beliefs. Adjusts behavior that suggests prejudice and bias. Practices behaviors that show an understanding and respect of differences.

**Promotes Inclusion:** Creates opportunities in the workplace that show an understanding and appreciation of differences. Supports initiatives and programs designed to increase and enhance the inclusion of individuals/groups from diverse backgrounds. Fosters a positive work climate that encourages and supports the inclusion of individuals/groups from diverse backgrounds.

**Provides Leadership:** Recognizes and attempts to reduce prejudices and systemic barriers that may exist within the current environment. Openly and directly addresses others whose behaviors/actions do not show an acceptance and appreciation of diversity. Aligns divisional/unit goals and resources with institutional diversity goals. Monitors progress toward diversity initiatives within the unit.

\*Valuing diversity is a learned or cultivated behavior that is similarly correlated to all skill levels.

Please note, valuing diversity leadership displayed by managers with wider ranges of control and greater levels of accountability expands to reflect the positions' responsibility.



# Pennsylvania's **STATE SYSTEM** of Higher Education

Cheyney University  
Commonwealth Bloomsburg  
Commonwealth Lock Haven  
Commonwealth Mansfield  
East Stroudsburg University  
Indiana University of Pennsylvania  
Kutztown University

Millersville University  
PennWest California  
PennWest Clarion  
PennWest Edinboro  
Shippensburg University  
Slippery Rock University  
West Chester University

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