

DEPARTMENT OF CONSUMER AFFAIRS

EXECUTIVE OFFICER PERFORMANCE EVALUATION GUIDE

INSTRUCTIONS:

This Guide is intended to help conduct evaluations of Executive Officers using the State of California Leadership Competency Model (Leadership Competency Model) described in the attached Appendix. The Leadership Competency Model describes the general competencies required for successful performance as an executive with the State of California. These competencies have been incorporated into training provided by SOLID Training Solutions at DCA. This guide has been designed to apply to Career Executive Appointments (CEA). For an overview on the California Merit Principle, please access <http://www.dpa.ca.gov/hr-modernization/competency-based-hr-tools/merit-system-principles.ppt>.

Behavioral-based evaluation is based on the concept that the best predictor of a candidate's future performance is his or her past performance. Therefore, behavioral competencies are measured against observed performance and interaction. The Performance Evaluation process is based on the principle that performance should be evaluated on a regular basis in order to provide recognition of effective performance and as a tool to provide guidance in improving future performance.

The Performance Evaluation may also be used relative to salary issues. For example, when a General Salary Increase is approved by the Governor and the Legislature, or if the Executive Officer is not at the maximum range of salary, the Board may be empowered to grant a pay-for-performance (PFP) salary increase for the Executive Officer. To qualify for such increases, the Executive Officer must meet performance expectations, as determined by the Board. This form can thus also document the Board's recommendation to grant or deny a salary increase.

Before the evaluation:

- The Board will request the Deputy Director, Board/Bureau Relations to initiate the evaluation process with the DCA Office of Human Resources (OHR).
- OHR will provide the following materials to the Board:
 - Executive Officer Performance Evaluation Guide
 - Current Executive Officer Duty Statement
 - Previous Executive Officer Evaluations
 - Current Executive Officer salary and available salary increases
 - Current salary of the top two highest paid Board staff
 - Turnover and/or grievance data
 - Training Resources; such as links to Cooperative Personnel Services, Sacramento State University Continuing Education Leadership series, SOLID Training Solutions training calendar.

Conducting the evaluation:

- ◆ The chair/president of each Board is responsible for initiating the evaluation process. The form should be sent to all board/committee members as well as to the DCA Director and/or Deputy Director of Board/Bureau Relations. The report should also be sent to the Executive Officer to complete a self evaluation and provide the opportunity to give examples of his/her self ratings. The report is available in electronic format. The chair/president should compile the results and discuss them in a closed session and prior to review with the Executive Officer. Specific comments and/or recommendations should be included in the final report
- ◆ You must provide comments to justify your rating level. Ratings of Below Average Performance or Unacceptable Performance will not be considered unless specific examples are provided. Comments to the Executive Officer should:
 - include factual examples and give suggestions on how performance can be improved
- ◆ The Overall Ratings must be consistent with the factor ratings and comments, but there is no prescribed formula for computing the overall rating.
- ◆ Overall Comments provided on Page 11 may consist of a summary of comments from specific competencies, general comments or comments on other job-related factors which the rater wishes to discuss. Additional pages may be attached.

- ◆ The Rater(s) (Board President and/or members or designee) will discuss the evaluation with the Executive Officer and give him/her a copy. If the Board determines that board members will be present, no more than two members shall attend unless the discussion is conducted in a closed session. In signing the evaluation, the Executive Officer merely acknowledges that s/he has seen the evaluation and has discussed it with the rater. His/her signature does not indicate agreement with the ratings or comments.

After the interview:

- ◆ Forward the original copy of the evaluation to the Department of Consumer Affairs Office of Human Resources (OHR). The document will be placed in the Executive Officer's Official Personnel File.
- ◆ OHR will provide notification of any approved salary increases by returning a copy of the compiled results page to both the Board Chair/President and the Executive Officer.

PERFORMANCE EVALUATION RATING SYSTEM

The rating system consists of six (6) Rating Categories, as defined below:

☞ Exceptional Performance

Performance *consistently* far exceeds expectations due to exceptionally high quality of work performed in all essential areas of responsibility resulting in an overall quality of work that is superior.

☞ Highly Successful Performance

Consistently strong level of performance; meeting and often exceeding the performance goals of the job; goals are consistently achieved, many times overcoming significant challenges. Work that is characterized by a consistently high level of accomplishment; independently demonstrates fully proficient knowledge, skills, abilities, and personal characteristics for the required work.

☞ Appropriate Performance

Performance that meets expectations.

☞ Below Average Performance

Performance *does not consistently meet expectation*, showing the need for improvement; requires more than average guidance.

☞ Unacceptable Performance

Performance is consistently below expectations in most essential areas of responsibility, and/or fails to meet reasonable progress towards critical goals.

☞ Not Observed

Rater is unable to assess the Executive Officer in this area, or the area is not applicable to the employee's job.

Evaluation

FOSTERING A TEAM ENVIRONMENT CLUSTER

Competencies: Communication, Interpersonal Skills	Examples of Successful Behavioral Indicators
<ul style="list-style-type: none"> • Keeps Board members and others informed in a timely manner • Orients newly appointed Board members • Expresses clear and concise ideas • Effectively approaches others with sensitive information • Makes others feel respected and heard 	<ul style="list-style-type: none"> ◆ Board packet is complete and sent in a timely manner ◆ Board website is kept up to date and provides transparency to the public ◆ Provides Board with complete, clear, and accurate reports, minutes, etc. in a timely manner ◆ Demonstrates support for final decisions and outcomes of the Board ◆ Coaches/mentors the management team on identifying the most effective and appropriate method to convey information based on the sensitivity and complexity of the information and the intended audience ◆ Established organizational expectations for the delivery of error free communications ◆ Monitors the organization's performance against expectations and holds staff accountable for accurate and timely communications ◆ Fosters an environment that encourages feedback from internal and external sources ◆ Is readily available to Board members ◆ Has identified the strengths and weaknesses within the organization and developed plans to maximize the strengths and minimize the weaknesses ◆ Develops staff to meet the strategic objectives of the organization

RATING:

Exceptional Performance	Highly Successful Performance	Appropriate Performance	Below Average Performance	Unacceptable Performance	Not Observed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Rating Justification – Include specific examples that justify the rating:

CREATING ORGANIZATIONAL TRANSFORMATION CLUSTER Continued

Competencies: Global Perspective, Organizational Awareness, Vision and Strategic Thinking	Examples of Successful Behavioral Indicators				
<ul style="list-style-type: none"> • Demonstrates a knowledge of external issues impacting organizational goals and objectives • Negotiates Board interests to mitigate external influences • Partners with external stakeholders and others that have shared purpose or program impact • Implements and complies with Board laws and regulations • Expresses vision and Influences others to translate vision into action 	<ul style="list-style-type: none"> ◆ Maintains a professional awareness of cultural, economic and political issues ◆ Has been cognizant of both DCA and the Board's interests and goals ◆ Uses effective communication skills and persuasion to represent departmental interests before industry associations to provide information regarding Board laws, regulations, programs and policies ◆ Manages Board's public relations efforts ◆ Directs consumer outreach efforts ◆ Acts as liaison with educational institutions ◆ Tracks legislative trends and keeps the Board members apprised of legislation of interest ◆ Has considered the organization's strategic goals and objectives when making decisions ◆ Has demonstrated an understanding of the major concerns of the organization by keeping open communication with staff, managers, and other executives ◆ Stays informed of issues and trends by building networks with stakeholders and professional organizations ◆ Has initiated the implementation of the vision and strategic plan ◆ Has ensured that the organization's tactical business plan is in line with it's strategic plan ◆ Has established an environment where individuals are recognized for putting the strategic vision into action ◆ Has established or adjusted the department's strategic plan, goals and objectives to align with global changes, organizational changes, or input from key stakeholders 				
RATING:					
Exceptional Performance	Highly Successful Performance	Appropriate Performance	Below Average Performance	Unacceptable Performance	Not Observed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Rating Justification – Include specific examples that justify the rating:</i>					

MAXIMIZING PERFORMANCE RESULTS CLUSTER

Competencies: Analytical Thinking, and Decision Making	Examples of Successful Behavioral Indicators
<ul style="list-style-type: none"> • Identifies causes • Approaches problems by breaking them down • Recognizes actions and underlying issues • Makes critical and timely decisions • Makes tough and appropriate decisions 	<ul style="list-style-type: none"> ◆ Has identified causes for highly sensitive problems which may affect the organization, other departments and/or outside stakeholders ◆ Has considered politics, socio-economics, media interest, policy impact, cross-organizational impact, risk and legal implications when breaking down highly sensitive and complex problems ◆ Has synthesized information provided by the management team, board members and stakeholders ◆ Has considered the strategic goals and objectives of the organization when setting key priorities ◆ Has anticipated highly sensitive organizational key actions (policy changes, legislative changes) and recognized underlying issues and the impact to the organization and stakeholders ◆ Has made mission critical and/or politically sensitive decisions with limited information under tight deadlines ◆ Has kept abreast of department policies, priorities and of internal and external factors in order to make decisions which may affect the organization, other departments and/or outside stakeholders ◆ Has encouraged and supported innovative ideas and approaches to improve public service and/or deliverables ◆ Has exercised critical judgment with confidence in consideration of the range of impact to all affected parties

RATING:

Exceptional Performance	Highly Successful Performance	Appropriate Performance	Below Average Performance	Unacceptable Performance	Not Observed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Rating Justification – Include specific examples that justify the rating:

MAXIMIZING PERFORMANCE RESULTS CLUSTER Continued

Competencies Continued: Forward Thinking and Results Oriented	Examples of Successful Behavioral Indicators
<ul style="list-style-type: none"> • Anticipates problems and develops contingency plans • Anticipates how individuals and groups will react to situations and information and plans accordingly • Develops challenging but achievable goals • Finds or creates ways to measure performance against goals • Keeps Board apprised of examination, enforcement and licensing trends and issues 	<ul style="list-style-type: none"> ◆ Has collaboratively developed contingency plans and alternatives ◆ Has anticipated continual changes in the environment (e.g., industry, workforce, political, etc.) ◆ Has developed plans to prepare for opportunities or problems ◆ When problems arise, presents potential solutions along with the problems ◆ Has discussed plans with staff and/or stakeholders as appropriate and made adjustments as necessary ◆ Has developed program goals based on the organization's vision, mission and strategic goals and objectives ◆ Has considered the impact of fiscal constraints in meeting organizational goals and setting realistic priorities (e.g., considered mandatory versus discretionary workloads) ◆ Has communicated the impact of fiscal constraints to board and stakeholders as appropriate ◆ Has developed realistic, quantifiable milestones and measurements that encouraged raising organizational performance and measured return on investment ◆ Ensures effective and efficient management of enforcement programs ◆ Maintains security of the examination process ◆ Monitors validity/defensibility of examinations and provides appropriate recommendations for action ◆ Monitors and identifies trends in candidate qualifications, pass/fail rates, etc. ◆ Resolves problems which arise in the exam process ◆ Keeps Board apprised of exam and licensing programs and process developments

RATING:

Exceptional Performance	Highly Successful Performance	Appropriate Performance	Below Average Performance	Unacceptable Performance	Not Observed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Rating Justification – Include specific examples that justify the rating:

BUILDING TRUST AND ACCOUNTABILITY CLUSTER

Competencies: Ethics, Integrity and Personal Credibility	Examples of Successful Behavioral Indicators
<ul style="list-style-type: none"> • Treats others with respect • Takes responsibility • Uses applicable professional standards and establishes procedures • Identifies ethical dilemmas and takes action • Displays honesty and is forthright with people • Follows through on commitments • Respects concerns shared by others 	<ul style="list-style-type: none"> ◆ Has established an environment where different styles and approaches are valued ◆ Has recognized the value of diverse opinions and approaches ◆ Has established expectations for ethical behavior in the workplace ◆ Has held oneself and others accountable ◆ Has recognized and valued ethical behavior ◆ Has fostered an environment of openness and transparency ◆ Has ensured that a high level of professional standards, procedures and policies are adhered to throughout the organization ◆ Has created an environment that consistently emphasizes integrity and respect for people at all levels within and outside the organization ◆ Provides Board with advice during consideration of issues ◆ Has defended the organization and staff in adverse situations ◆ Has personally accepted consequences for the organization ◆ Has strived to meet commitments to internal and external stakeholders while maintaining a balance between organizational goals and political directives ◆ Has established a culture of respect at all levels of the organization ◆ Has set expectations that diverse views will be considered ◆ Has coached others on the ability to respectfully express or listen to divergent viewpoints ◆ Remains impartial and treats all Board members in a professional manner ◆ Maintains respect and trust of Board members

RATING:

Exceptional Performance	Highly Successful Performance	Appropriate Performance	Below Average Performance	Unacceptable Performance	Not Observed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Rating Justification – Include specific examples that justify the rating:

PROMOTING A HIGH PERFORMANCE CULTURE CLUSTER

Competency: Fostering Diversity and Workforce Management	Examples of Successful Behavioral Indicators					
<ul style="list-style-type: none"> • Fosters and values an environment in which people who are diverse can work together cooperatively and effectively in achieving organizational goals • Maintains a work environment that is free of sexual harassment and discrimination • Hires and retains appropriate staff, conducts workforce and succession planning • Provides feedback on employee performance • Addresses employee problems • Is a resource for career development 	<ul style="list-style-type: none"> ◆ Has fostered an inclusive work environment where diversity and individual differences are valued and used positively to achieve the mission and strategic goals of the organization ◆ Has established a work environment that is free of sexual harassment and discrimination ◆ Has ensured that there are appropriate policies, processes and procedures established to respond expeditiously to complaints of sexual harassment or discrimination ◆ Has ensured that a workforce and succession plan and planning process is in place to recruit and retain valuable talent in order to meet the organization's long and short term strategic goals and objectives ◆ Has initiated regular discussions of the workforce planning process with the management team. ◆ Has ensured that policies and procedures are implemented to hire and retain staff with the skills required for the organization to achieve its strategic goals and objectives ◆ Has established an environment where staff receives consistent feedback on performance, regular and effective performance reviews and the guidance to carry out work activities effectively ◆ Has established expectations that corrective action will be taken when necessary ◆ Has modeled career development by maintaining his/her own high level of professional expertise ◆ Has mentored others to gain experiences which will assist them to achieve their career goals and objectives ◆ Has demonstrated an understanding of the organization's financial and budget management process in order to secure sufficient funding for staff training and development needs 					
RATING:						
Exceptional Performance	Highly Successful Performance	Appropriate Performance	Below Average Performance	Unacceptable Performance	Not Observed	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p><i>Rating Justification – Include specific examples that justify the rating:</i></p>						

BUILDING COALITIONS CLUSTER

Competencies: Influencing Others and Relationship Building	Examples of Successful Behavioral Indicators
<ul style="list-style-type: none"> • Demonstrates the ability to influence others • Knows when to bring issues to the attention of the Board • Develops and maintains relationships inside and outside the organization • Provides assistance and support to others in the development of collaborative networks 	<ul style="list-style-type: none"> ◆ Has gained the support and buy-in of others by effectively articulating the organization’s position and forming alliances ◆ Has used good judgment to identify stalemates and when issues needed to be brought to the attention of the Board ◆ Has anticipated key objectives and potential resolutions ◆ Has actively assisted others within and outside the organization in the development of collaborative networks in order to meet shared business objectives ◆ Keeps the Department of Consumer Affairs informed of Board issues, problems, and accomplishments. ◆ Maintains a positive working relationship with other State Agencies ◆ Manages sunset review process ◆ Manages Board legislative program and efforts. ◆ Represents the Board before the Legislature.

RATING:

Exceptional Performance	Highly Successful Performance	Appropriate Performance	Below Average Performance	Unacceptable Performance	Not Observed
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Rating Justification – Include specific examples that justify the rating:

Overall Rating

The overall rating must be consistent with the competency ratings and comments, but there is no prescribed formula for computing the overall rating. Please provide a justification for your overall rating including examples and recommendations for improvement if necessary. The rating system is described on page 2.

- Exceptional Performance
- Highly Successful Performance
- Appropriate Performance
- Below Average Performance
- Unacceptable Performance
- Not Observed

OVERALL COMMENTS *(Attach additional pages, if necessary)*

I HAVE PARTICIPATED IN A DISCUSSION OF OVERALL JOB PERFORMANCE

Signature of Executive Officer: _____ Date: _____

Signature of Rater: _____ Date: _____

Title: _____

Salary Increase recommendation (if applicable):

- No increase
- Increase to _____ (insert amount in accordance with the information provided by OHR)

For OHR Use Only:		
Action:	Date:	Completed by: (Insert Name)
Evaluation Received		
Salary Increase Processed		
Effective Date of Increase		
Copy Sent to Rater, Executive Officer and Official Personnel File		

LEADERSHIP COMPETENCY MODEL

Executive Competencies

FOSTERING A TEAM ENVIRONMENT CLUSTER

Communication: The ability to listen to others and communicate in an effective manner. The ability to communicate ideas, thoughts, and facts in writing. The ability/skill to use correct grammar, correct spelling, sentence and document structure, accepted document formatting, and special literary techniques to communicate a message in writing.

Interpersonal Skills: The ability to get along and interact positively with coworkers. The degree and style of understanding and relating to others.

CREATING ORGANIZATIONAL TRANSFORMATION CLUSTER

Change Leadership: The ability to manage, lead, and enable the process of change and transition while helping others to deal with their effects.

Flexibility: The ability to adapt to and work with a variety of situations, individuals and groups. The ability to be open to different and new ways of doing things. The willingness to modify one's preferred way of doing things.

Global Perspective: The ability to recognize and address the impact of the Board decisions. The ability to view issues without any pre-set biases or limitations. The ability to see the "big" picture.

Organizational Awareness: The ability to understand the workings, structure, and culture of the organization as well as the political, social, and economic issues affecting the organization.

Vision & Strategic Thinking: The ability to support, promote, and ensure alignment with the organization's vision and values. The ability to understand how an organization must change in light of internal and external trends and influences.

MAXIMIZING PERFORMANCE RESULTS CLUSTER

Analytical Thinking: The ability to approach a problem by using a logical, systematic, sequential approach.

Decision Making: The ability to make decisions and solve problems involving varied levels of complexity, ambiguity, and risk.

Forward Thinking: The ability to anticipate the implications and consequences of situations and take appropriate action to be prepared for possible contingencies.

Results Oriented: The ability to focus personal efforts on achieving results consistent with the organization's objectives.

BUILDING TRUST & ACCOUNTABILITY CLUSTER

Ethics & Integrity: The degree of trustworthiness and ethical behavior of an individual with consideration for the knowledge one has of the impact and consequences when making a decision or taking action.

Personal Credibility: Demonstrating concern that one be perceived as responsible, reliable, and trustworthy.

PROMOTING A HIGH PERFORMANCE CULTURE CLUSTER

Fostering Diversity: The ability to promote equal and fair treatment and opportunity for all. The ability to effectively promote equal opportunity in employment and maintain a work environment that is free of discrimination and harassment. The ability to demonstrate the knowledge of a supervisor's responsibility for promoting equal opportunity in hiring and employee development and promotion.

Workforce Management: The ability to effectively recruit, select, develop, and retain competent staff; includes making appropriate assignments and managing staff performance.

BUILDING COALITIONS CLUSTER

Influencing Others: The ability to gain others' support for ideas, proposals, projects, and solutions.

Relationship Building: The ability to develop, maintain, and strengthen relationships with others inside or outside of the organization who can provide information, assistance, and support.