June 9, 2015

To: Principal Officers, Divisional Deans, Senior Managers
From: Associate Chancellor Ashish Sahni
Re: Performance Appraisal Guidance for Senior Leadership, Managers, and Supervisors for Diversity and Inclusion Standards

UCSC performance appraisal templates for staff employees include diversity performance standards for managers and supervisors. The purpose of this communication is to provide guidance to principal officers and senior managers regarding evaluation of diversity-related performance of their employees.

Exceptional diversity-related performance includes, but goes beyond, compliance; what is required by University policy, and state and federal equal employment and affirmative action regulations. It involves exercising leadership in creating a campus climate that is inclusive and welcomes diversity, holding staff accountable for diversity and inclusion related performance and achievements, and taking proactive steps to promote the Principles of Community and institutional diversity goals and initiatives understanding that diversity and inclusion are inextricably linked with institutional excellence. Evaluating performance in the area of diversity and inclusion will be particularly important going forward as the campus implements new federal regulations regarding outreach, hiring, retaining and promoting applicants and employees with disabilities and protected veteran status.

**Fulfilling Basic Diversity and Inclusion Performance Standards**

For senior leadership, managers, and supervisors to adequately fulfill minimum diversity-related performance requirements, the following may be considered:

**Equal Employment Opportunity/Affirmative Action and Title IX Compliance**

- The employee and those under his/her supervision are compliant with the provisions of AB 1825 and University of California policy, which require completion of UC Office of the President hosted Sexual Harassment Prevention Training every two years.

- The employee and those under his/her supervision are compliant with the UCSC fair hiring training requirement.

- The employee demonstrates adherence to fair hiring procedures, best practices, and UC employment policies ensuring that hiring and employment decisions are based on job-related criteria and factors.

- The employee demonstrates knowledge of reasonable accommodation obligations, policies, and procedures including appropriate engagement in the interactive process with employees with disabilities seeking reasonable accommodations.

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1 The language is as follows: "Please rate the supervisor's conduct based on the UCSC Standards according to the appraisal ratings. Provide supporting comments as appropriate. [For managers and supervisors only.] Diversity: Ensures that policies, practices, services, and behaviors support and accept diversity; Ensures that all employees participate in training that supports diversity; Ensures a diverse workforce." While these templates are not used for appraising the performance of employees in senior leadership positions; diversity and inclusion related criteria should be elements of such appraisals.
The employee meets his/her responsibilities related to UCSC affirmative action planning and reporting efforts.

The employee and those under his/her supervision comply with current Section 503 of the Rehabilitation Act and Vietnam Era Veterans’ Readjustment Assistance Act (VEVRAA) rules as set forth by the Office of Federal Contract Compliance Programs (OFCCP).

**Diversity and Inclusion**

- The employee participates in divisional and campus-related diversity efforts and initiatives (e.g. Staff Diversity Group).
- The employee is pro-active and participates in the UC Campus Climate Study related efforts, recommendations, and initiatives.
- The employee periodically pursues non-mandatory diversity and inclusion professional development opportunities (for self and staff).
- Appropriate to his/her role, the employee fully cooperates and participates in investigations related to complaints of discrimination, sexual assault, dating violence, domestic violence, stalking or sexual harassment and promptly reports related allegations to the Office for Diversity, Equity, and Inclusion’s (ODEI) Harassment, Discrimination Prevention and Investigation Unit (HDPIU)/Title IX Office, as appropriate. The employee demonstrates understanding of prohibition of retaliation against employees who have filed complaints and/or made protected disclosures.

**Exceeding Basic Diversity and Inclusion Performance Standards**

*For managers and supervisors to exceed minimum diversity performance requirements, the following may be considered:*

**Equal Employment Opportunity/Affirmative Action and Title IX Compliance**

- The employee excels in employing fair hiring best practices and such efforts are evidenced by results. Units under employee’s supervision consistently include diversity, inclusion, and cultural competency related requirements in job descriptions.
- The employee demonstrates commitment to and success in recruiting, retaining and supporting a diverse workforce as a pathway to excellence.

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2 Section 503 of the Rehabilitation Act of 1973 prohibits employment discrimination against individuals based on disability. VEVRAA, as amended requires employers to take affirmative action to recruit, hire and promote protected veterans. For information about the recent changes in federal regulations, see ODEI – Fair Hiring Best Practices in Staff Recruiting - 2014 Section 503 and VEVRAA Rules Fact Sheet: [http://diversity.ucsc.edu/eeo-aa/images/vets_disability_factsheet.pdf](http://diversity.ucsc.edu/eeo-aa/images/vets_disability_factsheet.pdf)

3 From the fall of 2012 through the spring of 2013, the University of California surveyed its faculty and other academic appointees, student, staff, and post-doctoral scholars about their experiences and perceptions of campus or workplace climate. For information about the UC Santa Cruz’s campus climate study results: [http://campusclimate.ucop.edu/results/index.html](http://campusclimate.ucop.edu/results/index.html)
• The employee provides leadership in his/her division by taking proactive steps to address underutilization and meet affirmative action goals.

• The employee demonstrates success in attracting applicants with disabilities and protected veteran status and in hiring, retaining and promoting employees with disabilities and protected veteran status.

• The employee’s commitment to equal opportunity is evident in assignments of career-enhancing training, providing access to professional development opportunities and in other personnel decisions.

• The employee is proactive in initiating consultations with ODEI HDPIU/Title IX, and/or the campus conflict resolution program to address diversity, identity or culturally-related conflicts as they arise.

• The employee monitors and takes proactive steps to address issues identified during the course of ODEI HDPIU/Title IX investigations or consultations and initiates actions resulting in solutions or resolutions.

• The employee demonstrates significant knowledge of Title IX and related policies and procedures and unit staff exceed mandated training requirements by participation in sexual harassment prevention workshops and online training for non-supervisory staff and student employees.

**Diversity and Inclusion**

• The employee takes proactive steps to ensure that he/she and his/her staff receive diversity-related training including but not limited to:
  
  o Participation in and completion of ODEI Diversity and Inclusion Certificate Program or equivalent.
  o Supervision and/or management training with diversity, inclusion, cultural competency, and managing across differences components.
  o Disability awareness and accommodation training.
  o Participation in the UC Santa Cruz Leadership Academy or equivalent.
  o Sponsoring or hosting diversity-related events and trainings.
  o Attending diversity-related regional and national conferences.

• The employee serves as an effective mentor and provides professional development opportunities for students and employees from diverse backgrounds.

• The employee takes substantive measures to create and maintain an inclusive environment, free of bias, which welcomes diversity and enables students and employees to succeed.

• The employee supports staff participation in cultural and celebratory events on campus that enhance diversity and inclusion awareness and greater understanding across differences.

• The employee furthers the field of diversity through publications and/or presenting at diversity-related or other conferences.
• The employee serves as a diversity leader, actively promotes and supports campus and Chancellor’s diversity initiatives through extraordinary service to campus committees such as: Chancellor’s Advisory Council on Campus Climate, Culture and Inclusion, Staff Diversity Group, Black Experience Team and other efforts.

• The employee or employee’s unit or program receives a Chancellor’s Achievement Award for Diversity or other diversity and inclusion related recognition.

Related Links

• Chancellor Blumenthal’s diversity and inclusion message: http://diversity.ucsc.edu/diversity/index.html

• University of California diversity statement endorsed by the Academic Senate and Regents: http://diversity.ucsc.edu/diversity/images/regents_policy_4400.pdf

• UC Santa Cruz Principles of Community: http://www.ucsc.edu/about/files/princecommprint.pdf

• Diversity and Inclusion Certificate Program: http://diversity.ucsc.edu/training/certificate_courses.html

• Office for Diversity, Equity and Inclusion - 2014 Section 503 and VEVRAA Rules Fact Sheet: http://diversity.ucsc.edu/eeo-aa/images/vets_disability_factsheet.pdf