

*Indicates required field



Regents of the University of California Office of the General Counsel

2019/2020 Performance Appraisal – Counsel Job Family

Name: Manager Name: Job Title: Division: Hire Date: Department: Last Review Date: 

Performance Appraisal Steps

1. Employee opens and completes self-appraisal in Halogen
2. Manager completes employee appraisal in Halogen
3. Manager reviews with second level manager; divisional review
4. Manager delivers appraisal to employee via Halogen / Employee-Manager discuss appraisal
5. Employee reviews appraisal and adds final comments in Halogen
6. Final manager sign-off in Halogen/ process complete

Rating Definitions

Outstanding - Exceptional outcomes generated responding to unforeseen or changing circumstances; Consistently highest level of performance impact.

Exceeds Expectations - Very high level of contribution; Consistently performed above and beyond all defined expectations.

Successfully Meets Expectations - Strong, solid achievement of performance expectations, and at times possibly exceeding expectations. High level of contribution.

Development Needed/New and Learning - Performance expectations partially met; moderate level of contribution; Some critical goals completed; achievement below expectations. Improvement needed in the position.
New in position, developing appropriately; performance was good given time in the position.

Does Not Meet Expectations - Performed significantly below defined expectations; did not achieve organizational results. Immediate improvement action required.

Instructions for Assessing Goals

For each of the goals listed, provide a brief detailed description of how you have progressed towards each SMART goal. Select a rating that best reflects your assessment of your performance utilizing the ratings definitions.

1. Goals from your personal pages in Halogen that were created or edited after June 1st, 2019 will automatically populate to the appraisal form.
2. If a goal is no longer applicable, and you do not wish to rate it. Select "Delete Goal/Goal not from current year" on the ratings scale.
3. If you are missing a goal on your appraisal form, or have any further questions please refer to the job aids under Learning Resources on the [Performance Appraisal Process homepage](#).

Current Goals

Goals

Comments:



Employee: N/A

N/A

Title:

Due:

- Rating:
- ☐ Outstanding
 - ☐ Exceeds Expectations
 - ☐ Successfully Meets Expectations
 - ☐ Development Needed/New and Learning
 - ☐ Does Not Meet Expectations
 - ☐ Deleted Goal/Goal not from current year

Attach Feedback

Add Past Goal



Instructions for Rating Competencies

For each of the competencies listed, select a rating that best reflects your assessment of your performance on your competencies utilizing the ratings definitions. Note: Any rating above or below "Successfully Meets Expectations" must be supported by narrative comments and examples in the Competency Comments section at the end.

Collaboration and Communication

Builds partnerships and works collaboratively with others to meet shared objectives.

Collaboration, Influence and Impact

Managing Counsel

Tailors professional development plans for all direct reports.

Senior Counsel

Develops solid independent written work product and provides guidance and meaningful editorial assistance to attorneys and clients in their written work. Displays commanding knowledge of material and clear and convincing articulation of arguments in all oral advocacy and other oral presentations. Delivers difficult messages/news without jeopardizing relationships. Understands when to bring in other resources to bear on the issue.

Counsel

Manager

- ☐ Outstanding
- ☐ Exceeds Expectations
- ☐ Successfully Meets Expectations
- ☐ Development Needed/New and Learning
- ☐ Does Not Meet Job Expectations

Self

- ☐
- ☐
- ☐
- ☐
- ☐

Expresses information clearly, both orally and in writing. Effectively informs, advises, advocates, persuades and negotiates based on audience and purpose. Keeps constituencies apprised of matters with appropriate level of detail. Effectively facilitates meetings with diverse constituencies. Thoroughly investigates issues to the extent required for a full and balanced assessment. Identifies patterns, trends or missing pieces. Delivers confident and articulate presentations in all situations and to all audiences that influence thinking and drive effective decision-making.



[Attach Feedback](#)

Communication

Manager

Self

Managing Counsel

Builds lasting professional relationships with relevant client groups and provides strategic leadership to help the University achieve long-term goals. Provides opportunities for team members to participate in group discussions and offer advice. Mediates conflicts among different business groups advocating different business objectives; consistently able to build consensus among broad and diverse groups of clients.

Senior Counsel

Has a strong network of credible relationships. Takes initiative to develop professional and personal relationships with key internal clients. Identifies ideal outcome for each stakeholder in a working group and provides options that address stakeholder priorities. Considers the long-term business and strategic consequences of possible outcomes and counsels clients accordingly. Is willing to challenge the client to serve the best needs of the University.

Counsel

Builds consensus and gains cooperation from others in a thoughtful, deliberate way that builds trust and support. Builds positive, cooperative and productive formal and informal working relationships and information channels with a variety of people at all levels across the organization. Applies legal knowledge to clients' specific business need or concern. Gathers information from multiple sources and primary stakeholders and seeks input from others as necessary, before offering suggestions for resolution. Actively participates in meetings to offer advice and counsel during the decision-making process, keeps stakeholders apprised of developments as appropriate and readily shares information.

- ☐ Outstanding
- ☐ Exceeds Expectations
- ☐ Successfully Meets Expectations
- ☐ Development Needed/New and Learning
- ☐ Does Not Meet Job Expectations



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Customer/Client Service Focus

Dedicated to meeting the expectations and requirements of internal and external customers; gets first-hand customer information and uses it for improvements in products and services; acts with customers in mind; establishes and maintains effective relationships with customers and gains their trust and respect.

Service**Manager****Self****Managing Counsel**

Creates a climate where others can improve their skills in client service. Acts as a resource to others with respect to specific developments and problems. Mediates conflicts and builds consensus among diverse business and client groups. Develop systems and processes to ensure critical and relevant business information is ready in advance of need.

Senior Counsel

Anticipates problems and takes corrective actions where possible. Identifies client needs that are not currently being met and creates plans for meeting those needs. Demonstrates an advanced understanding of time management by proactively setting reasonable expectations and timeframes with the client.

Counsel

Provides solutions-oriented advice that supports clients' accomplishment of key objectives. Recognizes the unique styles, interests and needs of clients and provides personalized service. Clearly and concisely describes legal issues and options to client. Anticipates key questions and prepares answers in advance. Thinks in business scenarios, developing alternatives to facilitate efficient decision-making. Is available and accessible, and responds to clients promptly. Prioritizes tasks and meets all reasonable deadlines or communicates with clients when deadlines are not realistic or will not be met.

- ☐ Outstanding
- ☐ Exceeds Expectations
- ☐ Successfully Meets Expectations
- ☐ Development Needed/New and Learning
- ☐ Does Not Meet Job Expectations

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[Attach Feedback](#)

Innovation, Creativity and Change

Creates new and improved ways for the organization to be successful. Develops new and unique ideas; makes connections among previously unrelated ideas or concepts; tends to be seen as original and value-added in brainstorming settings. Supports change initiatives by defining measurable outcomes, energizing others at all levels, and ensuring continuing commitment when faced with new initiatives; confronts and works through concerns of various stakeholders.

Innovation and Change Management**Manager****Self****Managing Counsel**

Sets standards of excellence and best practices, and initiates and champions innovative means of handling multiple tasks that can advance the entire legal program.

Senior Counsel

Identifies opportunities and takes the initiative to create new products, services, systems, processes, etc. Contributes to learning and building the knowledge the legal function needs, encouraging knowledge sharing across the legal function. Develops and improves models, processes and frameworks to support the business, predict trends and respond to change. Works with Office of the General Counsel and Campus leadership to champion new ideas; improve upon policy or practices; and inspire others.

- ☐ Outstanding
- ☐ Exceeds Expectations
- ☐ Successfully Meets Expectations
- ☐ Development Needed/New and Learning
- ☐ Does Not Meet Job Expectations

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Counsel

Changes plans, goals, or priorities to deal with unpredictable or unexpected situations. Anticipates change, capitalizes on opportunities, and develops innovative ideas that further Office of the General Counsel's and client's strategic directions. Champions change that strengthens Office of the General Counsel's and client's abilities to meet its goals, and energizes others to do so. Utilizes strategies to proactively avoid or mitigate problems or risks. Develops service tools and resources to handle legal questions. Develops alternative approaches to streamline or improve processes. Exhibits resilience and flexibility in handling all levels of change.



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Job Mastery/Learning Agility

Demonstrates technical competence and job knowledge when completing job duties; possesses the skills and knowledge to successfully perform all parts of the job effectively and in a timely and efficient manner.

Job Mastery

Manager

Self

Managing Counsel

Demonstrates exceptional expertise in areas of assigned responsibility; provides strategic and tactical direction and oversight to attorneys and clients on complex problems.

Senior Counsel

Fashions practical, creative and effective solutions to complex and novel legal issues. Understands the nature of the University's complex structure and the possibility of having multiple stakeholders with varying interests.

Counsel

Exhibits strong legal research and drafting skills. Organizes, prioritizes and manages multiple tasks in a timely way. Continually strives to update skills and knowledge. Aggressively expands own knowledge of the organization by reaching out to colleagues within Office of the General Counsel and across the system.

☐ Outstanding

☐ Exceeds Expectations

☐ Successfully Meets

☐ Development Needed/New and Learning

☐ Does Not Meet Job Expectations



[Attach Feedback](#)

Principles of Community

Models and promotes equitable, fair, and inclusive behaviors. Fosters a positive working and learning environment by maintaining a climate of collaboration, fairness, cooperation, ethical behavior, and professionalism. Practices and integrates these basic principles in all interactions. Demonstrates an active and engaged commitment to OGC Values:

- As service providers, we are dedicated to delivering exceptionally high quality, timely and responsive solutions to our clients.
- As team members, we are collaborative, supportive, respectful of differences and committed to fairness and diversity in all our interactions, both inside and outside the team.
- As individuals, we are engaged in our mission, accountable for results and subscribe to the highest standard of integrity and ethics in everything we do.

Professionalism

Manager

Self

Managing Counsel

Acts as a resource to colleagues - including other Office of the General Counsel attorneys, outside counsel and senior management - to advise on conflict situations. Supports appropriate decisions of lawyers in resolving conflicts in the face of client complaints.

Senior Counsel

Accepts responsibility for outcomes. Anticipates and resolves conflict between client interests and system-wide interests. Delivers difficult messages/news without jeopardizing client relationship; supports ultimate decision, even if personal viewpoint does not prevail.

Counsel

Defines areas of disagreement and finds solutions that satisfy needs of all parties. Maintains a broader institutional perspective while managing divergent client interests to achieve a positive outcome. Uses discretion and inspires trust. Deals effectively with pressure; remains optimistic and persistent. Demonstrates growth and development based on coaching feedback. Models and promotes Office of the General Counsel's Values. Identifies when it is necessary to incorporate additional stakeholders or senior management into the decision making process due to potential system-wide impact of actions.

- ☐ Outstanding
- ☐ Exceeds Expectations
- ☐ Successfully Meets Expectations
- ☐ Development Needed/New and Learning
- ☐ Does Not Meet Job Expectations



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Problem Solving/Decision Making

Makes good decisions based upon a mixture of analysis, wisdom, experience, and judgment; most of his/her solutions and suggestions turn out to be correct and accurate when judged over time; sought out by others for advice and solutions.

Self Management

Sets and manages priorities. Demonstrates execution of goals and objectives that support the overall success of the strategic objectives of the department. Completes work on schedule; produces work that has few if any errors; utilizes resources available to maximize efficiency.

Note: No attorney specific competencies for this section.

Manager

- ☐ Outstanding
- ☐ Exceeds Expectations
- ☐ Successfully Meets Expectations
- ☐ Development Needed/New and Learning
- ☐ Does Not Meet Job Expectations

Self



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Stewardship - Financial/Resource Management

Interprets and applies understanding of key financial indicators and priorities to make better organizational decisions. Demonstrates accountability, discretion, and sound judgment utilizing University resources.

Resource Utilization

Managing Counsel

Actively evaluates and builds attorney proficiencies in coaching and delegating work to the legal support team. Continually assesses knowledge/skills of team members to

Manager

- ☐ Outstanding
- ☐ Exceeds Expectations

Self



determine gaps (substantive legal, technology, coaching/mentoring) of each team member; provides opportunities for team members to develop in targeted areas.

Senior Counsel

Effectively manages University resources by maximizing the use of internal resources and minimizing the use of outside counsel. Negotiates fee reductions and alternative billing arrangements with outside counsel. Develops criteria for selecting outside counsel and vendors and evaluation of their performance. Leads major projects in an efficient manner; accurately estimates required resources and delivery time on a consistent basis.

Counsel

Identifies and uses available internal resources (staffing, technology, information, financial) to efficiently achieve results. Demonstrates accountability, discretion and sound judgment to use and manage external resources productively. Effectively manages outside counsel fees, budgets, and communications. Accurately scopes out the length, difficulty and requirements of tasks and projects. Provides mentoring and effective direction to the legal support team. Delegates appropriately and/or acquires other needed resources to get the job done.

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|-----------------------|-------------------------------------|-----------------------|
| <input type="radio"/> | Successfully Meets Expectations | <input type="radio"/> |
| <input type="radio"/> | Development Needed/New and Learning | <input type="radio"/> |
| <input type="radio"/> | Does Not Meet Job Expectations | <input type="radio"/> |



[Attach Feedback](#)

Management Leadership/Vision (Managing Counsel ONLY)

Uses an integrated approach to envision future possibilities and articulates a clear and compelling vision that inspires people to achieve strategic and organizational goals. Identifies and capitalizes on opportunities, assessing and managing risk in alignment with the University's mission and vision priorities. Models behaviors expected of others and inspires others to undertake challenging tasks and projects.

Leadership/ Management-Strategy and Vision

Managing Counsel

Articulates a clear and compelling strategic vision. Inspires and motivates others to succeed, including overcoming setbacks and obstacles. Understands need for change; identifies strategic issues, future opportunities and risks. Supports, promotes, and clearly communicates alignment with the University's and Office of the General Counsel's mission, vision and values. Aligns University and Office of the General Counsel priorities with work unit's goals. Generates enthusiasm for commitment to actions that support University initiatives. Promotes teamwork and collaboration. Creates new approaches to developing and leveraging resources as is appropriate for the legal issues at hand. Offers new perspectives. Develops, identifies and incorporates "best practices" to enhance the strategic use of information. Leads and contributes significantly to process improvement efforts.

Manager

Self

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|-----------------------|---------------------------------------|-----------------------|
| <input type="radio"/> | Outstanding | <input type="radio"/> |
| <input type="radio"/> | Exceeds Expectations | <input type="radio"/> |
| <input type="radio"/> | Successful Meets Expectations | <input type="radio"/> |
| <input type="radio"/> | Development Needed/New and Learning | <input type="radio"/> |
| <input type="radio"/> | Does Not Meet Job Expectations | <input type="radio"/> |
| <input type="radio"/> | Not Applicable - Not Managing Counsel | <input type="radio"/> |



[Attach Feedback](#)

Management of People (Managing Counsel ONLY)

Fosters an environment of individual growth and career development, recognizing and utilizing the skills of others through clear, specific, and timely performance feedback; recruits, mentors, and retains a talented diverse team; provides effective coaching, delegates effectively, and rewards superior performance. Maximizes organizational results and individual effectiveness through delegation of tasks and supervision of work; clearly outlines expectations and measures of success.

Leadership/ Management-People Management

Managing Counsel

Effectively recruits and retains high-performing teams across disciplines (inside or outside the University). Provides clear specific, and timely performance feedback; sets clear and consistent performance standards; handles problems decisively and objectively. Removes obstacles and provides team members with opportunities, guidance and resources for professional development. Effectively plans and deploys adequate resources in terms of staffing, equipment and technology. Performs effective administrative managerial functions, e.g., personnel planning, defining quality standards and budget management. Promotes diversity and respect and draws upon individual creativity, talents, and abilities. Recognizes and rewards successful performance and contributions. Establishes environment allowing expression and effectively managing conflict. Demonstrates commitment to University values and code of conduct. Delegates authority as needed to effectively accomplish tasks.

Manager

Self

- | | | |
|-----------------------|---------------------------------------|-----------------------|
| <input type="radio"/> | Outstanding | <input type="radio"/> |
| <input type="radio"/> | Exceeds Expectations | <input type="radio"/> |
| <input type="radio"/> | Successfully Meets Expectations | <input type="radio"/> |
| <input type="radio"/> | Development Needed/New and Learning | <input type="radio"/> |
| <input type="radio"/> | Does Not Meet Job Expectations | <input type="radio"/> |
| <input type="radio"/> | Not Applicable - Not Managing Counsel | <input type="radio"/> |



[Attach Feedback](#)

Competency Comments

Note: Ratings above or below Successfully Meet Expectations must be supported by examples.

Employee: N/A



Compliance Training Verification

Please fill in the Expiration date of the UC Required Training (if applicable)

To review the status of required training courses, please log into the [UC Learning Center](#)

Employees:

To review the status of your required training courses, please log into the [UC Learning Center](#)

(1) From the home page, select **Required Training**

Managers:

To review the status of your employee's required training courses, please log into the [UC Learning Center](#)

(1) From the menu bar at the top of the screen, select **My Team**



(2) Select **Manager Dashboard**

(3) On the **Exception Report** click the blue complete/incomplete box for each employee.

(4) Select **show all assignments** in the left corner

Enter Expiration Date

Employee:	N/A
Sexual Harassment	<input type="text"/>
Employee:	N/A
Cyber Security	<input type="text"/>
Employee:	N/A
Other (type in name of course)	<input type="text"/>
Employee:	N/A
Other (type in name of course)	<input type="text"/>

Proposed Personal Development Opportunities for 2020-2021

This section will not be rated.

In the space below, outline any personal developmental objectives you would like to take on for the next year to help improve your performance.

If/When approved by your manager, this goal should be manually added to your goal pages

Employee: N/A



Overall Performance Appraisal Rating

Select an overall appraisal rating for the employee performance and accomplishments towards goals achieved during this review period. Consider all rated factors. Provide additional comments to support your selected rating.

Overall Performance Rating

Select an overall appraisal rating (which is a combination of the overall goal rating and overall competency rating). Provide additional comments to support your selected rating.
Select **Complete and Submit** to complete form.

Manager

- ☐ Outstanding
- ☐ Exceeds Expectations
- ☐ Successfully Meets Expectations
- ☐ Development Needed/New and Learning
- ☐ Does Not Meet Job Expectations

Self

- ☐
- ☐
- ☐
- ☐
- ☐

Employee: N/A**Comments:**

Attach Feedback

Manager Comments on Employee's Overall Performance**Employee Final Comments on Overall Appraisal**

Your electronic signature indicates neither agreement nor disagreement with this evaluation. It indicates you have read the evaluation and that it has been discussed with you.