A Report by a Panel of the

NATIONAL ACADEMY OF PUBLIC ADMINISTRATION
for the **University of California**

A Model and Process for the

CERTIFIED ASSESSMENT OF HUMAN RESOURCES SYSTEMS:
A Pathway to Assurance

STANDARDS

CERTIFICATION

READINESS REVIEW

**CERTIFIED ASSESSMENT
OF
HR SYSTEMS**
A Pathway to Assurance

PEER REVIEW

SELF-ASSESSMENT

July 2007

**NATIONAL ACADEMY OF
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A Pathway to Assurance

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FOREWORD

"A world class educational and scientific institution deserves a world class human resources program to support the acquisition, retention and development of its human talent."

With these words, a University of California (UC) executive captured the essence of the work in which the National Academy of Public Administration and UC have been engaged for the last two years. The university wanted its human resources operations to exhibit the same level of excellence that it has achieved in its primary mission areas of education, medical care and research. The Academy was proud to partner with UC, one of the nation's most prestigious and respected public universities, to advance that goal.

The result of this groundbreaking effort, the *Certified Assessment of Human Resources Systems (CAHRS)*, is described in this report. The *CAHRS* standards and related assessment process allow an organization to evaluate its human resources policies and programs against a set of nationally validated standards, and then have that assessment reviewed and certified through an independent peer review process. The Academy Panel believes that the *CAHRS* model could benefit many organizations, both public and private, and it is committed to promoting its widespread adoption as a best practice in human capital management.

The Academy extends its appreciation to the members of the Project Panel for their excellent leadership and keen insights, and to the project team for its innovative work. We also wish to thank the UC Regents, leadership and HR professionals—as well as the many subject matter experts, thought leaders, academics and practitioners throughout the human capital community—who generously contributed their time and expertise in support of this project's important objectives.

Jennifer L. Dorn
President and Chief Executive Officer

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ACRONYMS

Academy	National Academy of Public Administration
CAHRS	*Certified Assessment of Human Resources Systems*
CHEA	Council for Higher Education Accreditation
CHRO	Chief Human Resources Officer
DOE	Department of Energy
EEO	Equal Employment Opportunity
GAO	Government Accountability Office
HR	Human Resources
HRCI	Human Resources Certification Institute
HRIS	Human Resources Information System
IPMA–HR	International Public Management Association for Human Resources
ISO	International Organization for Standardization
JCAHO	Joint Commission on the Accreditation of Healthcare Organizations
OPM	Office of Personnel Management
SHRM	Society for Human Resources Management
UC	University of California
UCOP	Office of the President
UCOP–HR&B	UCOP–Human Resources and Benefits Department
UCSF	UC San Francisco

EXECUTIVE SUMMARY

As one of the nation's most prestigious and respected public universities, the University of California (UC) needs high quality human resources (HR) policies and programs to support its world class academic and research operations. In addition, the UC Board of Regents requires assurances that HR policies are applied appropriately and consistently throughout the ten campuses, five medical centers and two national laboratories that comprise the UC system. To satisfy these needs, UC leadership sought validated HR standards to measure performance; assessment processes that compare performance against the standards and identify any necessary remedial actions; and external validation that certifies compliance with the standards.

No off-the-shelf HR standards or existing assessment models matched UC requirements. Despite recent advances, "human resources" remains a relatively ill-defined practice, with little overall consensus on a universal set of standards against which HR can be measured. Also, while there are programs to certify individual HR professionals on the basis of their credentials or expertise, no program exists to certify HR systems as a whole. Thus, UC looked to the National Academy of Public Administration for assistance given the Academy's strong reputation, large body of HR-related work, and deep reservoir of talent and expertise within its Academy Fellowship and staff.

This joint UC-Academy partnership produced the *Certified Assessment of Human Resources Systems* (*CAHRS*). Designed for UC, *CAHRS* is sufficiently flexible to be transferable to other organizations, both public and private, with relatively minor modification.

CAHRS consists of five components:

1. **Validated HR Standards** against which HR performance can be measured

2. **Readiness Review** to prepare an organization for Self-Assessment

3. **Self-Assessment** to formally compare HR operations to the Standards

4. **Peer Review** to ensure the integrity of the Self-Assessment by producing an independent expert Opinion on the extent to which the Standards have been met

5. **Certification** which occurs when the Peer Review Opinion attests or certifies that an organization has successfully met <u>all</u> of the Standards

Validated HR Standards

The *CAHRS* HR Standards balance both strategic and operational HR dimensions. They reflect the Academy Panel's view that, while service delivery remains the threshold issue for establishing HR credibility, the HR function is evolving and playing a more strategic and enabling role in enhancing organizational performance and achieving mission accomplishment.

The seven *CAHRS* HR Standards are:

1. **System-wide Management,** which sets forth performance expectations for corporate level HR, including setting strategic direction, formulating policies, designing systems, communicating with and representing the organization, consulting and advising, demonstrating overall system-wide accountability, and carrying out functions best handled at the corporate level

2. **HR Strategic Management**, which describes such performance elements as collaboratively developing HR strategic plans, playing a leadership/enabling role in the management of the organization, identifying current and emerging workforce needs, and promoting commitment to ethical values and diversity

3. **HR Operations and Program Assurance,** which addresses performance elements involving assurance and evaluation, HR metrics and continuous improvement, HR staff management, HR systems and infrastructure, and HR consultation and assistance

4. **Employment and Talent Management**, which describes performance expectations for acquiring the talent needed to achieve mission goals and objectives, and for effectively managing employees to enhance organizational capacity and to improve individual performance through effective performance management and rewards and recognition

5. **Total Compensation and Benefits,** which focuses on managing compensation and benefits to attract, retain and motivate a highly qualified and diverse workforce, and exercising appropriate stewardship of public funds consistent with established compensation philosophy and policies

6. **Training and Development**, which describes performance expectations for equipping employees with the requisite competencies to achieve current and future mission requirements and to improve individual and organizational performance

7. **Work Environment and Employee/Labor Relations,** which focuses on providing a productive work environment by dealing with employees and recognized bargaining units fairly and constructively and promoting a safe and supportive work environment

The Academy Panel developed these Standards with extensive input from subject matter experts, thought leaders, HR practitioners, UC stakeholders, Academy experts, academics, representatives of HR professional associations and professionals from federal and state agencies and non-profit organizations. The Standards were validated at several stages and tested at multiple UC Locations.

Readiness Review

A Readiness Review is an informal self-help activity designed to prepare an organization for formal Self-Assessment. It entails studying the HR Standards, informally assessing HR

performance against those Standards and identifying remedial actions in preparation for the more rigorous Self-Assessment.

Self-Assessment

Self-Assessment is a process in which an internally selected team compares its own operations to the HR Standards and reaches conclusions about the extent to which the Standards are being achieved. Unlike a Readiness Review, a Self-Assessment requires documentation to support the conclusions, results in a formal report, and is subject to external Peer Review.

Peer Review and Certification

Peer Review is a quality assurance process widely used in accounting, auditing and other professions; it is a familiar concept in academic, medical, research and evaluation communities. In *CAHRS*, Peer Review is a top level review by independent external experts to ensure the integrity of an organization's Self-Assessment, provide advice and suggestions for improving HR operations, and identify best practices suitable for emulation elsewhere.

The end product of the Peer Review is a formal Peer Review Opinion that determines the extent to which an organization meets the HR Standards. Certification is based on a Peer Review Opinion's formal attestation that <u>all</u> Standards are met.

The Academy Panel has prepared guidelines and instructions for carrying out each phase of the *CAHRS* process. These are contained in the *Readiness Review Guide,* the *Assessor Guide* and the *Peer Review and Certification Guide.*

Conclusions and Recommendations

In its report, the Panel recommends that UC adopt the *CAHRS* model for its non-academic staff employees, who combined with the national laboratory employees account for approximately two thirds of its total employment. Fundamentally, the Panel believes that *CAHRS* can be an effective means for providing the assurances that the UC Regents seek about HR operations. Other potential benefits include bolstering accountability and transparency; mitigating risks associated with non-compliant actions; promoting appropriate consistency in the interpretation and application of policies throughout the system; strengthening HR capacity and improving performance; targeting resources to priority needs; sharing best practices; and reducing the time and effort devoted to responding to internal and external oversight mechanisms.

At UC's request, the Panel is recommending actions needed to implement *CAHRS* system-wide. The Academy's expertise and experience suggest that large organizational changes such as *CAHRS* require leadership commitment, effective change management and communication strategies, sufficient resources, supportive information systems and clearly defined roles and responsibilities. Implementing *CAHRS* will be a challenge given UC's size, its breadth of operations and shared governance structure. Of particular importance is the need for a comprehensive HR Information System, something that UC currently lacks.

Accordingly the Panel recommends that:

- **The Regents of the University of California and the President of the University clearly express their support for *CAHRS*, and require its implementation throughout the University.**

- **The Regents and the President ensure that *CAHRS* is integrated and aligned with all related Regental/UC initiatives designed to promote sound management and responsible public stewardship.**

- **The President affirm that UC Office of the President's Human Resources and Benefits department (UCOP-HR&B) will be accountable for the implementation and ongoing administration of *CAHRS* and provide that department with the authority, staff resources and infrastructure needed to successfully manage the implementation and administration of *CAHRS*.**

- **UCOP-HR&B develop a comprehensive communication and education implementation plan for *CAHRS*, with emphasis on engaging, and obtaining support from, Location leadership and other key stakeholders.**

- **UCOP-HR&B implement *CAHRS* according to a phased plan and timeline, endorsed by the Regents, with specific Location adoption of *CAHRS* being guided by overall Location readiness.**

- **The Regents and the President take steps to ensure the development of a comprehensive Human Resources Information System.**

- **The President, in consultation with key Location stakeholders, clarify authorities, roles and responsibilities for the full range of HR functions and activities, especially in Locations where HR responsibilities are shared.**

- **UCOP-HR&B develop training and share best practices and successful approaches for building collaborative, consultative, cooperative relationships and partnerships with others performing HR roles.**

- **The Regents, President and UCOP-HR&B ensure that *CAHRS* remains a "continuous improvement" effort to strengthen HR practice at UC.**

- **Over time, UCOP–HR&B work collaboratively with the Locations to identify a system-wide set of core HR performance metrics beyond the illustrative examples incorporated in the Standards.**

CHAPTER 1
INTRODUCTION

In 2005, the University of California (UC) and the National Academy of Public Administration (Academy) forged a partnership to design and implement an assessment and assurance system for the University's human resources (HR) operations. The goal was to develop a system that would:

- Strengthen UC HR performance system-wide and at each of its campuses, medical centers and laboratories.

- Assure the UC Regents, leaders and other stakeholders that HR policies and programs are operating effectively and consistently with established Regental Standing Orders and policies, other UC requirements and applicable legal and regulatory mandates.

As one of the nation's most prestigious and respected public universities, UC was seeking a means for providing assurances that its HR activities were on par with its world class academic and research operations. UC's sheer size, breadth of operations and shared governance structure presented enormous management challenges. UC wanted widely accepted

> …*"human resources" is a relatively ill-defined practice; there exists little overall agreement on a "universal" set of standards…*

HR standards that would enhance performance and promote appropriately consistent HR practices throughout the UC system. UC also wanted help in designing self-assessment and independent review processes that would bolster accountability, improve transparency and public trust and at the same time encourage continuous improvement. UC found the Academy well suited for this project given its considerable body of work in the HR arena and its deep reservoir of talent and expertise among Academy Fellows and staff.

For the Academy, the UC project presented an unprecedented opportunity to play a leading role in defining and validating HR standards. Despite recent advances, "human resources" is a relatively ill-defined practice; there exists little overall agreement on a "universal" set of standards against which HR performance can be measured. Through numerous HR studies in the public sector, Academy Panels have advocated enhancing organizational performance and mission accomplishment using modern, strategic HR practices. Developing comprehensive validated HR standards would perform an important service for both federal and state governments while assisting UC, an important national asset.

The *Certified Assessment of Human Resources Systems (CAHRS)* is the result of the joint UC-Academy effort. This chapter provides the genesis of *CAHRS*, as well as the approach and methodology that guided its development. Chapter 2 describes *CAHRS*, including its validated HR Standards, Assessment processes, and Peer Review and Certification components. Chapter 3 addresses the UC environment and sets forth the Academy Panel's recommendations for implementing *CAHRS* throughout the UC system.

Genesis of *CAHRS*

This project dates back to 2002 at the Lawrence Berkeley National Laboratory, a Department of Energy (DOE) research laboratory managed by UC. The newly arrived Chief Human Resources Officer, Randolph R. Scott, initiated discussions with DOE about alleviating the reporting burden associated with its contract performance oversight. He reasoned that DOE might be able to reduce its oversight requirements if generally accepted HR standards and a system for evaluating performance against them were in place.

DOE welcomed this proposal because it long had been interested in establishing standardized means for monitoring HR practice and performance at its 17 national laboratories and 23 other contractor-managed production facilities. As a first step in developing a performance oversight model, DOE certified the Lawrence Berkeley National Laboratory's compensation system. The proposal to develop broad-based HR standards and a system for certifying compliance would advance DOE's efforts to streamline contract provisions, management and oversight.

In 2003, a DOE Contractors HR Council Task Force, chaired by Mr. Scott, began to design a system with defined standards and measures, a self-assessment process and periodic peer review. The task force started by developing draft standards, and sought assistance from the Academy to validate them. Later, UC retained the Academy to design, test and deliver a model and process, including validated standards, self-assessment and peer review, using the DOE-Contractors HR Task Force's work[1] as a starting point.

At about the same time, several HR issues were reported in the California news media. Key issues involved lack of adherence to, and inconsistent application of, Regental executive compensation guidelines at several campuses. The Board of Regents and UC leadership realized that they needed a system that answered a key question: *How can we assure that HR is functioning appropriately at all levels in UC?* The UC Office of the President's Human Resources and Benefits department (UCOP-HR&B) viewed the recently initiated UC-Academy HR standards and assessment project as a potential option to resolve this question.

As added impetus, in 2005 DOE awarded UC a new management contract for the Lawrence Berkeley National Laboratory. This seven-year contract included working toward certification of the Laboratory's HR organization as a contract performance measure.

Project Approach and Methodology

CAHRS was jointly developed by UC and an Academy Panel composed of six distinguished government and academic leaders. The Panel guided the work of an Academy study team of HR experts and consultants who performed extensive research and analytic work in developing the

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[1] DOE Contractors Task Force Report, May 2004.

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CAHRS model[2] Appendix A includes the biographies of the Academy Panel and study team members.

The UC perspective was provided by the UC Advisory Group, composed of Chief Human Resources Officers (CHROs) and their principal deputies who manage the central HR operations at the pilot Locations.[3] Using an iterative process, the group collaborated with the Panel and the study team in developing the HR Standards and testing and revising related assessment processes. UC leaders and other stakeholders provided input on their challenges and priorities, thus ensuring that the Standards would be relevant to the UC environment.

Throughout the *CAHRS* project, the Academy worked closely with officials in UCOP-HR&B, the department with system-wide (corporate) responsibility for HR. UCOP-HR&B chaired the UC Advisory Group and was accountable for UC's participation in all phases of the development and testing of *CAHRS*. Looking to the future, it will be responsible for introducing *CAHRS* to all UC Locations. Because providing assurances to UC's Regents is a key *CAHRS* objective, UCOP-HR&B and Academy representatives briefed the Regents and held individual discussions with several Regents to ensure that their issues were appropriately addressed.

At almost every phase, the Academy Panel and study team drew upon the expertise of numerous HR executives, thought leaders, practitioners and other subject matter experts, individuals and associations—at the national and state levels and in the private sector. Appendix B lists UC Advisory Group members, UCOP-HR&B officials, UC stakeholders, and participants in the validation process.

CAHRS Standards Focus on All HR Functions and Activities

The Academy Panel and UC decided from the outset that the *CAHRS* HR Standards should define the desired state and quality of HR operations, unconstrained by UC practices, organizational charts or reporting relationships. As a result, the Standards address the quality and appropriateness of HR practice at a Location, and sometimes go beyond the activities managed directly by the central HR offices. For example, some HR-related functions - EEO and health and safety among them - are carried out by organizations outside the central HR organization. In other cases, meeting the Standards involves management actions that central HR does not control. One example is performance management since managers and supervisors outside HR's purview carry out many of the required actions. Still another example is recruiting, where most of the key decisions affecting the process are made by department management, not by the Location's central HR office. At highly decentralized UC Locations, many HR activities actually are performed by staff that work for other departments and units.

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[2] Study team research is described in Chapter 2.
[3] In addition to the UC Advisory Group, one of the Panel members is a professor at the University of California at Los Angeles.

While recognizing these circumstances, UC leadership nonetheless believes that the Chief Human Resources Officers in the central HR offices should retain HR leadership and responsibility for the quality and appropriateness of HR operations at their Location. This means knowing what is going on throughout the organization, working collaboratively with others to ensure quality HR services, taking steps to avert or correct problems when possible, or elevating them to a higher level for attention. Chapter 3 contains the Panel's recommendations for implementing *CAHRS* in a decentralized environment.

CAHRS Pilot Locations

UC is an exceedingly large and complex organization; it has ten campuses, five medical centers and two national laboratories,[4] all of which are referred to as "Locations". At the outset of the project, UC initially identified four pilot Locations to test *CAHRS*: the UC San Francisco Campus, UC San Francisco Medical Center, Lawrence Berkeley National Laboratory and selected units in UCOP-HR&B. UC Davis subsequently joined, adding a large campus with a significant undergraduate population and a variety of professional schools such as law and medicine.

- **UC San Francisco**. The UC San Francisco campus is devoted solely to health and biomedical sciences; almost all of its 4,326 students are graduate and professional students. Its schools of dentistry, medicine, nursing and pharmacy and its division of biological sciences rank among the nation's top professional programs. UCSF has 13,648 employees, spread over multiple locations.

- **UC San Francisco Medical Center**. With approximately 7200 employees, the UC San Francisco Medical Center is consistently ranked among the top ten hospitals nationwide. It is a nationally designated Comprehensive Cancer Center in Northern California and the only designated Center for Excellence in Women's Health, which offers specialized care and health education for women. Its Children's Hospital has more than 150 pediatric specialists practicing in more than 50 areas of medicine. In neurology and neurosurgery, the Medical Center is among the top five hospitals in the nation, and the only comprehensive center for memory disorders and epilepsy in Northern California. In addition, it is one of the nation's largest centers for kidney and liver transplants; its AIDS program is the most comprehensive in the nation and its surgical eye care program is the largest in Northern California.

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[4] As of October 1, 2007, the Lawrence Livermore National Laboratory will be managed be a joint venture including UC, similar to the arrangement currently in place for Los Alamos National Laboratory. After that date, UC will directly manage only the Lawrence Berkeley National Laboratory.

- **Lawrence Berkeley National Laboratory.** The Lawrence Berkeley National Laboratory, founded in 1931 as an interdisciplinary research center, is the oldest of the DOE national laboratories. Located on the Berkeley campus, it is a multi-program laboratory whose approximately 3,500 employees conduct unclassified research across a wide range of scientific disciplines, including studies of the universe, quantitative biology, nanoscience, new energy systems and environmental solutions. Eleven Nobel Laureates are associated with the Laboratory.

- **UC Office of the President's Human Resources and Benefits.** UCOP-HR&B provides system-wide leadership and support for UC's HR and benefits programs. Most of its 263 staff are involved in benefits planning and administration for the entire UC community. Other key functions include negotiating agreements with system-wide bargaining units, developing system-wide HR policies, providing advice and consultation on compensation, administering programs and benefits for senior managers, and managing system-wide affirmative action, equal employment opportunity and diversity programs.

- **UC Davis**. UC Davis, one of the nation's top research universities, has four colleges (Agriculture and Environmental Sciences, Biological Sciences, Engineering, and Letters and Science) and five professional schools (Education, Law, Management, Medicine and Veterinary Medicine). It is a leader in research funding, ranked twelfth among public universities in the country. For the 2006-2007 academic year, UC Davis had 30,475 enrolled students. It has 2,459 full- and part-time faculty and 20,883 staff.

CHAPTER 2: THE *CAHRS* MODEL AND PROCESSES

> *Our vision is to have competent HR professionals, acting as operating partners to UC management; thereby enabling them to meet, through self-assessment, corrective actions, and peer review, the HR policy, operations and assurance requirements of the Board of Regents of the University of California.*
>
> *UC Vision Statement for CAHRS*

As part of its research to identify the appropriate system of assurance for the UC Board of Regents, the Academy examined accreditation systems for medical and educational institutions, such as the Joint Commission on the Accreditation of Healthcare Organizations (JCAHO) and Council for Higher Education Accreditation (CHEA), individual certification systems such as those provided by the Society for Human Resources Management (SHRM) and the Human Resources Certification Institute (HRCI), peer review systems and audit processes. Additional systems reviewed included the federal government's President's Management Agenda and Executive Scorecard for the Strategic Human Capital Management Initiative and the U. S. Office of Personnel Management's Human Capital Assessment and Accountability Framework. These systems provided a benchmark for UC to consider, but they did not fully provide a robust model and process to certify that HR systems were operating in an effective and compliant manner. As a result, the Academy Panel developed a hybrid certification model consisting of five key components:

1. **Validated HR Standards** against which HR performance is measured

2. **Readiness Review** to prepare an organization for Self-Assessment

3. **Self-Assessment** to formally compare HR operations to the Standards

4. **Peer Review** to ensure the integrity of the Self-Assessment by producing an independent expert Opinion on the extent to which the Standards have been met

5. **Certification** which occurs when the Peer Review Opinion attests (certifies) that an organization has successfully met all of the Standards

Figure 1: *CAHRS* Model Process

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Several important aspects of *CAHRS* warrant emphasis:

- ***CAHRS* is a continuous improvement process**. *CAHRS* emphasizes remedial actions and improved performance, and it encourages corrective actions to the extent possible prior to moving forward. Realistically, an HR organization should expect to see some areas that need improvement, especially in the early implementation period. *CAHRS* is not a report card and it does not rank organizations or compare one to another. Instead, it helps an organization benchmark its own progress in achieving the quality HR operations set forth in the Standards.

- ***CAHRS* is flexible with benefits available at each stage**. An organization would not have to commit to the entire model in order to realize an improvement in HR performance. For example, the HR Standards alone could be very useful in guiding policy development, training, staffing and structure. Similarly, the Readiness Review and Self-Assessment can be powerful self-help activities to improve HR operations and provide enriching developmental experiences for those involved. Implementing the entire model through Peer Review and Certification offers external validation and expert advice and guidance.

- ***CAHRS* is designed to be transferable to organizations other than UC**. Although there has been some customization for UC use, the *CAHRS* Standards and processes can be applied to other organizations, with relatively minor modification.

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HR Standards

The HR Standards are the cornerstone of *CAHRS* against which the effectiveness and compliance of HR operations are assessed. The goal was to develop "generally accepted" standards that would describe first class HR operations in today's world. The *CAHRS* Standards were developed with input from various experts (including subject matter experts, thought leaders and practitioners), validated at several stages and tested and refined through application at various pilot Locations.

Standards Development

Starting with the draft standards developed by the task force of DOE Contractor HR Council representatives, the Academy researched standards and measures suggested by the U. S. Office of Personnel Management (OPM),

> *The goal was to develop "generally accepted" standards that would describe first class HR operations in today's world.*

International Organization for Standardization (ISO), Malcolm Baldridge Award criteria and Saratoga Institute, among others. Input also was obtained from UC stakeholders, Academy Panel members and other Academy experts, academics, representatives of such HR professional associations as SHRM and the International Public Management Association for Human Resources (IPMA-HR), as well as practitioners and HR professionals from such federal and state agencies as the U. S. Government Accountability Office (GAO) and the Commonwealth of Virginia, and such non-profit organizations as the National Association of Schools of Public Affairs and Administration and Partnership for Public Service. The Standards were refined and clarified through a year-long collaborative and iterative process.

The Standards balance both strategic and operational dimensions. They recognize that service delivery remains the threshold issue for establishing HR credibility. At the same time, they draw

> *Because the Standards encompass strategic HR, they can help organizations move beyond transactional proficiency.*

heavily from a strategic human resources management model[5], which suggests that the evolving role of the HR office is "to support the strategic mission of the organization by serving as full members of the management team and linking personnel and HR policy to agency mission, goals and policy."[6] Throughout the development process, the study team met with UC managers and other public sector managers to identify management challenges to ensure appropriate alignment of the HR Standards as they were developed. The cross-cutting Standards and functional Standards are the result of a rigorous effort to fully define the elements, attributes and indicators of successful performance of the complex and diverse HR practice within centralized and decentralized environments.

The *System-wide Management Standard* describes the elements, success attributes and indicators that comprise roles, responsibilities, policies and activities of the corporate level HR function.

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[5] Ban, Carolyn, "The Changing Role of the Human Resource Office", Handbook of Human Resource Management in Government, Jossey-Bass.
[6] *Ibid*, p. 19.

The *HR Strategic Management Standard* introduces the components of modern, strategic HR practices, which focuses senior leadership attention on managing important people resources associated with high performing organizations. The *Assurance and HR Operations Management Standard* describes the elements, success attributes and indicators for the HR role in compliance and the management of HR operations. The remaining Standards describe the elements, success attributes and indicators of basic HR service delivery, the threshold issue for establishing HR credibility. These functions include *Employment and Talent Management, Total Compensation and Benefits, Training and Development,* and *Work Environment and Employee/Labor Relations.* These four Standards are designed to enable specific outcomes measured by Location specific metrics. The following section provides an overview of the seven Standards, defined in terms of the desired results, elements, success attributes and illustrative measures.

Standards Structure

Six Standards cover the functions performed by typical HR offices (such as those at UC campuses, medical centers and laboratories), and the remaining one addresses the system-wide functions performed at the corporate level (in UC's case, UCOP-HR&B). Figure 2 depicts the seven Standards and their associated core components, called Key Contributing Elements.

Figure 2: *CAHRS* HR Standards
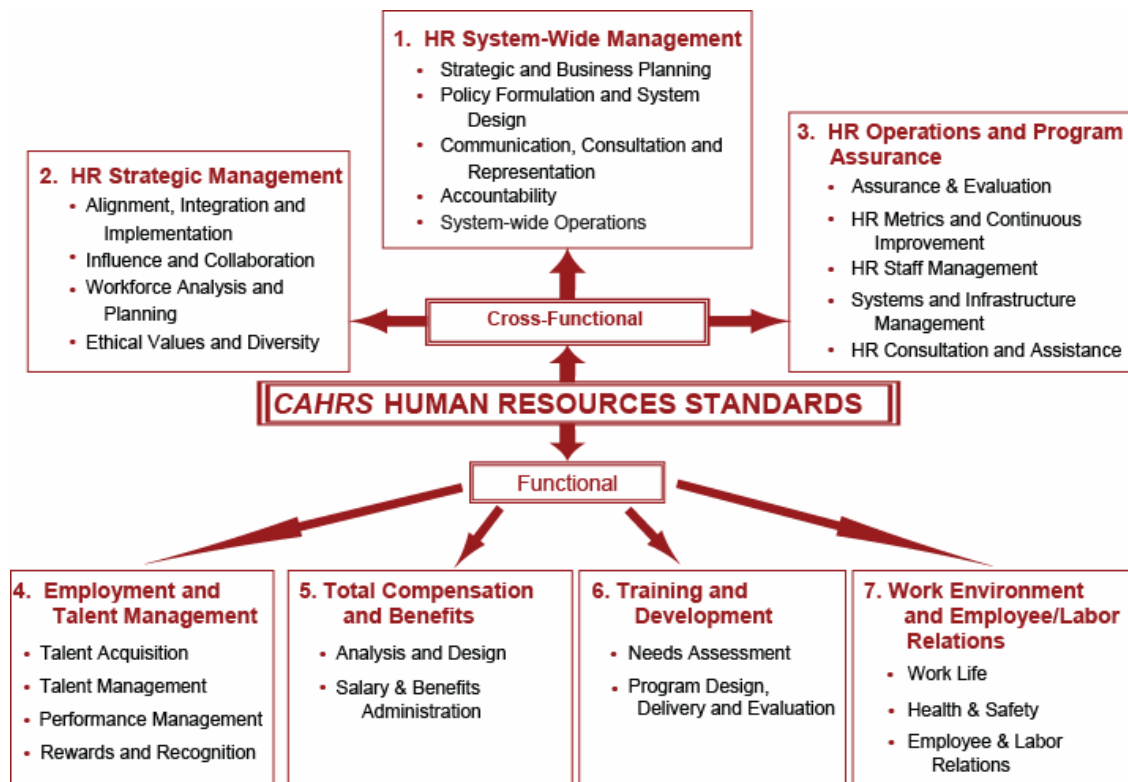
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Each Standard is defined in terms of expected quality, actions and/or outcomes and further defined by multiple Success Attributes that provide more detailed performance expectations. All

Success Attributes are considered critical and must be met in order to "pass" the Standard successfully. Each Success Attribute, in turn, has a number of Success Indicators, the building blocks necessary to achieve Success Attribute requirements. Certain Success Indicators are designated[7] "essential" and must be met; there is some flexibility in applying the others. The Panel expects that an organization may wish to expand the number of essential Success Indicators, and believes that is entirely appropriate to do so given circumstances and priorities. Table 1 is an excerpt from the Employment and Talent Management Standard which depicts the relationship and structure of Success Attributes and Success Indicators for the Talent Acquisition key contributing element (essential indicators are in **bold *italics***):

Table 1: Excerpt from the Employment and Talent Management Standard

Key Contributing Elements	Success Attributes/Indicators
Talent Acquisition	**1. Success Attribute:** The Location's talent acquisition policies, programs and/or activities provide an effective framework for expeditiously acquiring the talent needed to achieve mission goals and objectives, consistent with UC policies. **Success Indicators:** a. ***These policies, programs and/or activities are current and consistent with UC policies, ethical values, standards of conduct and related principles, and comply with other appropriate contracts, laws, rules and regulations.*** b. ***Relevant policies, programs and/or activities are linked to and facilitate the Location's achievement of its mission, goals and objectives.*** c. These policies, programs and/or activities are effectively communicated to employees and managers. **2. Success Attribute:** The Location acquires a sufficient number of highly skilled, diverse and competent employees when needed to meet priority mission needs. **Success Indicators:** a. ***The Location recruits qualified and diverse candidates based on identified needs and recruitment plans.*** b. Vacancies are filled within a timeframe collaboratively set by the HR Department and its clients. c. Recruitment strategies identify underrepresented groups and reflect the diversity of the Location, community and customer base. d. Marketing, recruitment material and interviews inform candidates of UC mission, goals, objectives, culture, employment contract and total compensation and benefits packages and include an emphasis on attracting well qualified candidates for hard-to-fill positions. e. The Location develops relationships with recruitment sources to ensure candidate pipelines especially for hard to fill positions.

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[7] The Academy Panel, Academy experts, and the UC Advisory Group participated in identifying essential Success Indicators.

Appendix C provides the full text of the Standards. Abbreviated "one page" versions of each Standard follows:

CAHRS Standard for HR System-wide Management

Definition

As the University of California's primary spokesman on HR matters and a key initiating source of HR policy, the Office of the President (UCOP) and its HR and Benefits Department (HR&B) help UC accomplish its missions by setting the strategic direction for HR, identifying and championing resource and infrastructure needs, effectively and efficiently managing functions best handled at a centralized level, and overseeing and consulting on HR operations at Locations throughout the system.

Key Contributing Elements and Success Attributes

Strategic and Business Planning
- A collaboratively developed and effectively managed system-wide HR strategic plan helps UC address its mission environment and meet its current and future needs.
- HR&B identifies system-wide HR resources and infrastructure needs and advocates for their inclusion in UCOP's and the Locations' budgets.

Policy Formulation and System Design
- HR&B supports mission accomplishment by creating responsive, efficient and effective HR policies and programs consistent with all relevant UC Regental requirements.
- Within established guidelines, HR&B creates total compensation and benefits programs and plans which promote UC as an employer of choice.

Communication, Consultation and Representation
- HR&B communications deliver consistent, timely, accurate, and clear information.
- Through consultation and advice, HR&B helps UC managers, Location HR staff and others understand HR policies, programs, procedures, laws and regulations to ensure compliant and appropriately consistent implementation.
- As the authoritative source on HR benefit programs and policies, HR&B represents UC and serves as the point of contact in responding to both internal and external inquiries concerning system-wide HR matters.

Accountability
- HR&B's strategic initiatives are undertaken to identify opportunities to assure that HR policies, programs and activities are operating in a manner consistent with UC Regental Standing Orders and other policy requirements.
- A system of reporting from UC Locations facilitates information exchange, identifies best practices and improvement opportunities, and assures appropriately consistent implementation of policies and programs.
- Employee information is appropriately protected.
- Continuous improvement initiatives, such as *CAHRS*, for system-wide HR programs and services are developed, implemented and evaluated.

System-wide Operations
- System-wide programs and activities (such as Labor Relations, Direct Service Activities, Risk Management, Diversity/Affirmative Action, Training and Development) enhance and strengthen the UC capacity to achieve its mission.

Illustrative Measures

Benchmark comparison with other universities; cost effectiveness measures concerning system-wide programs and activities; satisfaction at all employee levels with compensation and benefits program and working conditions; completion rate of improvement initiatives; timeliness in negotiating bargaining unit agreements; Locations' feedback regarding satisfaction with HR&B communications and consultation; extent to which HR&B has achieved its priority objectives.

CAHRS Standard for HR Strategic Management

> ### *Definition*
>
> *In pursuing its mission goals and objectives, the Location collaboratively develops aligned and integrated HR strategic plans; identifies current and emerging workforce needs, and promotes commitment to UC ethical values and diversity.*

Key Contributing Elements and Success Attributes

Alignment, Integration and Implementation
- The HR strategic planning activities identify an integrated set of HR priorities and actions that are clearly linked to the Location's goals and objectives.

- Planned actions are supported, implemented and achieved.

Influence and Collaboration
- The Chief HR Officer and key staff members play a leadership and/or enabling role in the strategic management of the Location.

Workforce Analysis and Planning
- The Location periodically analyzes current and projected workforce needs and identifies critical current and/ future gaps and surpluses.

- The Location develops strategies to address identified gaps and surpluses.

Ethical Values and Diversity
- The Location demonstrates commitment to UC's ethical values, standards of conduct and related principles of community.

- The Location develops and delivers HR policies, programs and/or activities that promote the values of diversity and inclusiveness and related principles of community.

> ### *Illustrative Measures*
>
> *Employee/Manager/Location leadership satisfaction with HR strategic plans and workforce analysis; feedback on value of HR involvement in Location management; proportion of strategic planning actions accomplished within designated timeframes; evidence of gap closure; feedback from employees on Location's commitment to diversity and inclusiveness.*

CAHRS Standard for HR Operations and Program Assurance

Definition

Through exemplary management practices, the HR Department assures UC leadership that it is a value-added part of the organization, providing high quality, responsive and efficient services.

Key Contributing Elements and Success Attributes

Assurance and Evaluation
- The HR Department conducts assurance and evaluation activities to determine the consistency/compliance, quality and efficiency of the Location's HR policies, programs and activities.

HR Metrics and Continuous Improvement
- The HR Department defines a comprehensive set of metrics by which HR programs and services are measured.

- HR performance demonstrates a culture and practice of continuous improvement.

HR Staff Management
- The HR Department employs, or has ready access to, sufficient numbers of fully competent staff to carry out its mission successfully.

Systems and Infrastructure Management
- The Location has the needed infrastructure and resources to accomplish priority HR work in a cost effective manner.

HR Consultation and Assistance
- The HR Department provides guidance and support that assists managers, supervisors and employees in solving problems in a timely, responsive manner.

Illustrative Measures

Frequency of assurance and evaluation activities, proportion of HR functions covered by review activities; comprehensiveness of published metrics; actual performance against targets, including trend data; customer, manager, supervisor and employee satisfaction with delivery, content and effect of HR programs; feedback on value of advice and assistance provided by HR; expense and FTE ratios.

CAHRS Standard for Employment and Talent Management

Definition

The Location acquires the talent needed to achieve mission goals and objectives and effectively manages its employees to enhance organizational capacity and improve individual performance.

Key Contributing Elements and Success Attributes

Talent Acquisition
- The Location's talent acquisition policies, programs and/or activities provide an effective framework for expeditiously acquiring the talent needed to achieve mission goals and objectives, consistent with UC policies.

- The Location acquires a sufficient number of highly skilled, diverse and competent employees when needed to meet priority mission needs.

Talent Management
- The Location designs and classifies its work and helps employees manage their careers in order to strengthen organizational and individual performance.

- The Location effectively uses approaches and tools to retain critically needed talent consistent with UC guidelines.

- The Location responds effectively and responsibly to new conditions which require changes in workforce composition and/or deployment.

Performance Management
- The Location's managers and employees demonstrate a commitment to performance improvement and accountability.

Reward and Recognition
- The Location's rewards and recognition actions result in sustained employee and organizational performance.

Illustrative Measures

Fill rates, i.e. times to fill compared to established targets; hire offer acceptance rates; manager/supervisor satisfaction with quality of hires; competency gap closure as a result of hiring actions; cost per hire; employee satisfaction with career management, performance management and rewards; effectiveness of retention offers in preventing loss of critical employees; percent of appraisals completed on time.

CAHRS Standard for Total Compensation and Benefits

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Definition

Within the scope of its delegated compensation and benefits responsibilities, the Location manages these functions so as to attract, retain and motivate a highly qualified diverse workforce, at the same time exercising stewardship of public funds consistent with UC total compensation philosophy and policies.

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Key Contributing Elements and Success Attributes

Analysis and Design
- The Location's compensation decisions are guided by relevant UC total compensation philosophy and policies, linked to the Location's mission goals and objectives, and result in a highly qualified diverse workforce.

- The HR Department analyzes data and proposes changes to increase the effectiveness of its compensation and benefits package in attracting, retaining and motivating a high quality and diverse workforce.

Salary and Benefits Administration
- Compensation and benefits responsibilities are carried out in a timely, efficient and responsive manner.

- Managers, employees and applicants receive sufficient information about the components of UC's total compensation and benefits programs to understand its intent and appreciate its value.

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Illustrative Measures

Market compensation rate comparison data; percentage of employees who decline employment due to dissatisfaction with compensation and/or benefits; percent of actions or services provided within established timeframes; employee/supervisor/manager satisfaction with compensation and benefits; expenditure data; cost per employee; frequency of internal compliance reviews and error percentage.

</div>

CAHRS Standard for Training and Development

Definition

The Location's training and development programs equip employees with the requisite competencies to achieve current and future mission requirements and improve individual and organizational performance.

Key Contributing Elements and Success Attributes

Needs Assessment
- The Location periodically identifies the training, development, and/or education required to meet mission goals and objectives, fill critical skill gaps and help employees fulfill their job expectations.

Program Design, Delivery and Evaluation
- Training, development and/or education policies, programs and/or activities are designed to improve individual and organizational performance to accomplish current and future mission and leadership requirements.

- Appropriate strategies and approaches are used to assure effective, efficient programs and/or activities to help employees improve performance and enhance career development.

- The Location delivers sufficient and timely training to meet priority needs.

- Training and development programs and/or activities are evaluated to improve content, delivery and timing**.**

Illustrative Measures

Accomplishments against training targets; percentage of competency gap closed; total training costs over headcount; percentage of employees/supervisors or managers trained; training days or hours; employee overall satisfaction with training; supervisor/manager overall satisfaction with training; cost per trainee; training expenditures as a percent of total budget.

CAHRS Standard for Work Environment and Employee/
Labor Relations

Definition

The Location provides a productive work environment by dealing with employees and recognized bargaining units in a fair and constructive manner and promoting a safe and supportive work environment.

Key Contributing Elements and Success Attributes

Work Life
- The Location's work life policies, programs and/or activities provide a framework for a supportive work environment necessary to achieve UC's mission, goals, and objectives consistent with UC policies.

- The Location's work life policies, programs and/or activities promote work and family balance and contribute to UC as an employer of choice.

Health and Safety
- The Location's health and safety policies, programs and/or activities provide a framework which promotes a safe and healthy working environment.

- The Location mitigates employee on-the-job injuries, minimizes worker compensation costs and absenteeism, and provides reasonable accommodation to employees with disabilities.

Employee and Labor Relations
- The Location's employee and labor relations philosophy, policies, programs and/or activities pertaining to dispute resolution, conduct and discipline, work life enhancements and collective bargaining provide an effective framework for creating and maintaining a constructive work environment consistent with UC policies, values and other requirements.

- The Location's employee and labor relations policies, programs and/or activities result in a fair, constructive and supportive work environment.

Illustrative Measures

Voluntary separation rate; contract negotiation timeliness; dispute processing timeliness; absenteeism; dispute resolution outcome ratio; employee satisfaction with work environment and work life programs; supervisor/manager satisfaction with employee/labor relations; grievance resolution ratio, complaints, disciplinary actions; proportion resolved informally; injury loss time factor.

Standards Validation

The Academy validated the clarity, completeness, importance and appropriateness of the Standards through multiple activities, including:

- a validation survey completed by the Academy Panel, UC Advisory Group, Chief Human Resources Officers at various UC Locations, other key UC stakeholders, representatives of selected federal agencies and professional organizations and individual experts

- an Academy-sponsored Executive Forum, composed primarily of HR executives and professional associations

- an Academy-sponsored Performance and HR Consortia, which drew measurement and HR experts

In each of these development and validation exercises, participants were asked specific questions regarding the clarity, completeness and importance of the Standards and their appropriateness for assessing HR contributions to mission accomplishment. Appendix B contains a complete list of the individuals and organizational participants in these development and validation exercises.

Most important, the Readiness Reviews and Self-Assessments conducted at the pilot UC Locations provided extensive feedback, which was used to refine and clarify the Standards. These "dry runs" of the Standards were important steps in the validation process, as well.

In the end, the Academy Panel had final responsibility for defining the HR Standards. In doing so, it recognized that the Standards likely will evolve over time as experience is gained in applying them in the "real world." The Panel expects that some organizations may wish to expand definitions or add new areas of emphasis, based on individual circumstances and priorities.

Readiness Review

A Readiness Review is an informal self-help activity designed to prepare an organization for formal Self-Assessment. The Panel strongly recommends that organizations complete a Readiness Review prior to launching a formal Self-Assessment.

The Readiness Review entails:

- Studying the HR Standards.

- Informally assessing HR performance against those Standards.

- Identifying remedial actions in preparation for more rigorous Self-Assessment.

Unlike the Self-Assessment, a Readiness Review does not require documentation of conclusions, its results are not subject to Peer Review and there is minimal reporting.

An HR organization has considerable latitude in deciding how to carry out the Readiness Review. For example, it could choose to create assessment teams for detailed data gathering and analysis; forego extensive data collection and instead rely on the informed conclusions of HR managers and experts based on their in-depth operational knowledge; or use a combination of data collection and professional judgment. Guidelines for conducting Readiness Reviews are contained in the *CAHRS Readiness Review Guide.*

Most Readiness Reviews will uncover areas that need improvement; the HR organizations will want to take reasonable steps to improve their operations prior to starting formal Self-Assessment. This may call for development of detailed action plans to bring HR operations more in line with the Standards. Or it simply may be a matter of documenting processes that have never been written down or obtaining necessary information to support a conclusion.

In keeping with the "continuous improvement" focus of *CAHRS*, sufficient time should pass between the Readiness Review and Self-Assessment in order to make progress. Experience at the UC pilot Locations suggests a four month interval would provide time to take some remedial steps, yet still keep the *CAHRS* process moving forward. Based on their experience during the development phase, the pilot Locations all showed significant improvement from Readiness Review to Self-Assessment.

Self-Assessment

Self-Assessment is a process in which an internally selected team compares its own operations to the HR Standards and reaches conclusions about the extent to which the Standards are being achieved. Unlike the Readiness Review, Self-Assessment:

- Requires support and documentation to back-up conclusions.

- Results in a formal report.

- Is subject to external Peer Review.

The *CAHRS Assessor Guide* contains rules and guidelines for assessing performance and summarizing results to determine the extent to which the Standards have been met. After the first Self-Assessment, subsequent assessment teams will be responsible for following-up on the remedial plans resulting from prior Self-Assessments, especially those designated as priority improvement efforts.

An important difference between Self-Assessment and the Readiness Review is the extent of organizational leadership involvement. During the Readiness Review, HR departments are encouraged to communicate about review activities and obtain guidance from leadership on improvement priorities. The leadership role in Self-Assessment, however, is more defined,

extensive and formal because the Self-Assessment report is an organizational product, not simply an HR exercise. In Self-Assessment, a leadership representative[8] is expected to:

- Work with HR to define HR challenges and priorities.

- Assure that the Self-Assessment report accurately reflects leadership views.

- Identify the high priority improvement efforts.

- Sign the Self-Assessment Report, along with the Chief HR Officer and Self-Assessment Team Leader.

Following Self-Assessment, *CAHRS* moves to Peer Review and Certification, at least during the initial cycle. After an organization has been certified as having met Standards, these steps would be necessary only for recertification or if other circumstances warrant.

As with the move from Readiness Review to Self-Assessment, an organization has options regarding when to move forward to Peer Review. For example, if a Self-Assessment reveals serious concerns or weaknesses, the organization may decide to take corrective actions prior to requesting a Peer Review. The Location then would redo the relevant segments of the Self-Assessment report, while ensuring that other parts remain current and accurate. The subsequent Peer Review would be based on the revised Self-Assessment Report.   As a general guideline, Peer Review should commence within two months of the completion of the original or revised Self-Assessment Report.

Peer Review and Certification

Peer Review is a quality assurance process widely used in accounting, auditing and other professions. Also it is a familiar concept in academic, medical, research and evaluation communities. In *CAHRS*, Peer Review is a top level review by independent experts which:

- Ensures the integrity of an organization's Self-Assessment by verifying the adequacy and accuracy of its conclusions.

- Provides advice and suggestions for improving HR operations.

- Identifies best practices.

- Forms the basis for a Certification decision.

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[8] Designating this representative is a judgment call. At UC, the representative will likely be comparable to a Vice Chancellor for Administration at a campus or COO at a medical center or laboratory.

The end product of the Peer Review is a formal Peer Review Opinion which determines the extent to which an organization meets the *CAHRS* HR Standards. Certification is based on a Peer Review Opinion's formal attestation that all applicable Standards have been met.

After considering alternatives for performing the Peer Review and Certification functions, including drawing on a pool of individual HR experts, the Panel concludes that the most effective and efficient option would be to have a nationally recognized organization known for its managerial and HR expertise perform both roles. The Panel believes that an organizational opinion/certification would carry more weight and be more widely recognized than one rendered by a collection of individuals. Also, having the same organization perform both the Peer Review and Certification steps streamlines the process and reduces costs. Further, the organizational approach avoids the administrative issues involved in scheduling, compensating, training and ensuring consistency among individuals.

The selected Peer Review/Certification organization would be responsible for the composition, leadership and training of the Peer Review teams.[9] That organization would ensure that the team is composed of individuals who understand HR issues and appreciate the challenges inherent in managing complex organizations. Capability, credibility, trust and independence in fact, as well as appearance, are core requirements.

When a Peer Review team determines that a Location has not met all applicable Standards, the resulting Peer Review Opinion will identify, on a Standard-by-Standard basis, those that substantially meet requirements and those that need improvement. This will encourage continuous improvement and eliminate redundancy because, to achieve Certification, subsequent Peer Reviews would involve in-depth examination only of those Standards previously found to need improvement. Those which passed during a previous Peer Review need only be surveyed and tested to ensure continued compliance.

Understandably, Certification reflects conditions that exist at the time of the Peer Review. The organization being certified is responsible for ensuring that it remains in compliance with the Standards. Therefore, if an organizational, functional or other major change occurs which could affect compliance with the Standards in a material way, the organization must schedule a Peer Review to ensure that its Certification remains valid. Absent this or other circumstances warranting a shorter timeframe, the Panel believes recertification should occur every five years.

The Academy has prepared a *CAHRS Peer Review and Certification Guide* that provides greater detail, including guidelines for conducting the site visit and drafting the Peer Review Opinion.

The *CAHRS* Cycle

There is no pre-determined timeline for stipulating how a Location will move from Readiness Review through Self-Assessment to Peer Review and Certification. The length of time will vary by Location, and depends primarily on the amount of remedial work undertaken between the

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[9] During the pilot project, Academy HR experts not associated with the actual development of *CAHRS* performed the Peer Review function.

CAHRS phases. However, based on the experiences of the pilot Locations, the Academy Panel estimates that, when first implemented, the entire *CAHRS* process will take approximately 12 months from Readiness Review to the issuance of a Peer Review Opinion. Table 2 sets forth the Panel's assumptions.

Table 2: CAHRS Process Cycle Time

CAHRS Process Estimated Initial Cycle Time	
Readiness Review, including preparation	2 months
Remedial actions in preparation for Self-Assessment	4 months
Self-Assessment, including the Report	1.5 months
Remediation and preparation for Peer Review	2 – 3 months
Peer Review and issuance of Opinion	1.5 months

After the initial cycle, Locations no longer will do Readiness Reviews but will continue to perform Self-Assessments needed to obtain and sustain Certification. A Location will schedule Self-Assessments and associated Peer Reviews for those Standards that had not yet received an unqualified Peer Review Opinion[10]. Once all Standards have received an unqualified Opinion and the Location's HR operations have been certified, the Location need not seek recertification for five years, unless, as previously stated, circumstances warrant a shorter timeframe. However, to retain certification during this five-year window, a Location must conduct a formal Self-Assessment at the mid-point (two to three years).

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[10] Peer Review Opinions are stated as an Unqualified Opinion—meaning that the Location meets the Standard requirements in all material respects; a Qualified Opinion—meaning that the Location partially meets the Standard requirements; or as an Adverse Opinion—meaning the Location has serious shortcomings relating to the Standard and must improve significantly to meet requirements.

CHAPTER 3: STRATEGIC IMPLEMENTATION OF *CAHRS* AT UC

With more than 200,000 graduate and undergraduate students, UC is the nation's largest public university. Dedicated to education, research and public service, it prides itself on its academic excellence, distinguished faculty in almost every field, and world-renowned research facilities. Its ten campuses include some of the largest and most famous in the nation, with UCLA alone having 38,000 students and Berkeley following closely with 36,000. Its newest campus, Merced, opened its doors in 2005.

UC also is a major player in the health arena. Its five medical centers support the clinical teaching programs of UC medical and health sciences schools; collectively they receive more than 3.3 million outpatient visits and 250,000 emergency room visits annually and provide cutting edge medical care in dozens of specialty areas. UC also directly manages two national laboratories and shares management of a third.[11] More information about the UC organization and its Locations is provided at http://www.universityofcalifornia.edu/.

Shared Governance Structure.   UC is governed by a 26-member *Board of Regents*. Established as a separate constitutional entity, the Board is independent and is a co-equal constitutional partner that does not report to either the Governor or the State legislature. Eighteen of the Regents are appointed by the Governor for 12-year terms; seven are ex officio members, including the Governor, Lieutenant Governor, Speaker of the Assembly, Superintendent of Public Instruction, president and vice president of the Alumni Associations of UC and the UC president; and one is a student appointed by the Regents to a one year term. In addition, two faculty members – the chair and vice chair of the Academic Council – sit on the Board as non-voting members. The Board sets broad policies and guidelines and appoints all other major University officers including the system-wide President of the University, the Chancellors who oversee the campuses and associated medical centers, and the Laboratory Directors. Reporting directly to the Regents are Principal Officers of the Regents including the General Counsel to the Regents–Vice President of Legal Affairs; Chief Investment Officer; Senior Vice President - Audit and Chief Compliance Officer; Secretary of the Regents; and Chief of Staff.

The *Academic Senate* represents the faculty and is empowered by the Regents to exercise direct control over academic matters. The Academic Senate authorizes, approves and supervises courses and determines conditions for most admissions, certificates and degrees.

The *President* and other key UC administrators are appointed by the Regents to manage the entire UC system. The UC Office of the President (UCOP) serves as the system headquarters and corporate office; it is located in downtown Oakland.

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[11] Effective October 1, 2007, the Lawrence Livermore National Laboratory will be managed by a joint venture including UC, similar to the arrangement in place for the Los Alamos National Laboratory.

Figure 3. UC Organization Chart

University Organization

Regents of the University — — — Academic Senate

Office of the President

President of the University

| Executive Vice President - Provost | Executive Vice President – Chief Financial Officer | Executive Vice President – Chief Business Officer | Executive Vice President – University Affairs |

Laboratory Management | Agriculture and Natural Resources

Campuses

Medical Centers

Laboratories

Each campus (along with any associated medical center) is headed by a *Chancellor,* who is appointed by the Board of Regents but reports to the UC President. Like many higher educational institutions, UC is highly decentralized with each campus exhibiting a deeply ingrained and often unique culture. Chancellors operate with considerable autonomy in managing day-to-day campus and other Location operations. This two-layered top management structure—the system-wide President and the Chancellor at each campus—creates a management environment that operates largely through consultation rather than "mandates and directives from above." Figure 4 describes the leadership framework for the implementation and ongoing administration of *CAHRS*.

Figure 4. Leadership Framework for *CAHRS* Implementation and Administration
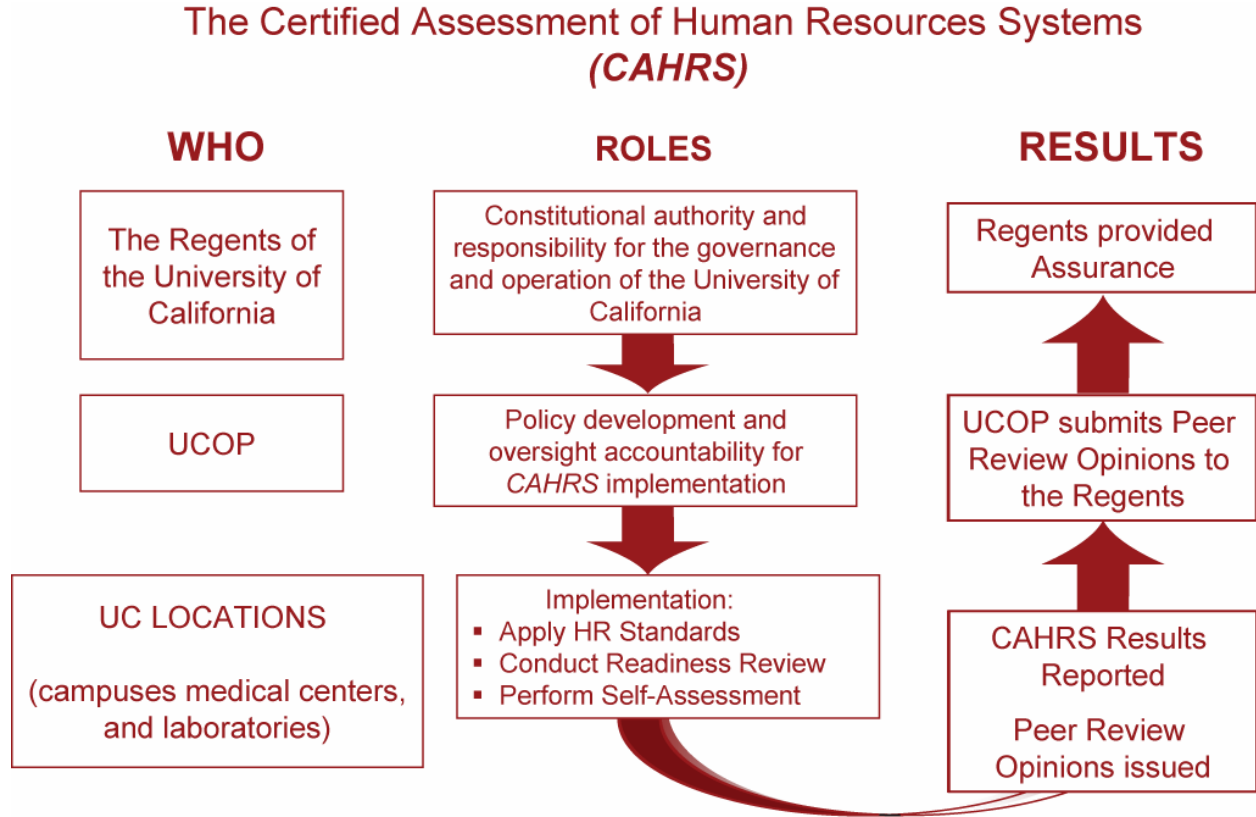
As shown, UCOP and the Locations are jointly responsible for implementing *CAHRS* and transmitting their assessment results in the form of a Peer Review Opinion to the Regents. Although the Peer Review Opinion will flow through UCOP, it will not be summarized or changed in any way. Thus, the Regents will be able to rely upon the document to represent the views of independent experts about HR operations at UC.

Employees. UC has more than 185,000 faculty and staff, making it the second largest employer in California after the state government. The diversity of this workforce reflects the scope and complexity of UC activities: it includes Nobel Laureates, physicians, nurses, professors and lecturers in thousands of subjects, researchers, laboratory technicians, benefits administrators, computer scientists, accountants, administrative assistants and human resources specialists. Approximately 39 percent of total employees are members of collective bargaining units.

The major staffing categories are *Academic employees* who include tenured Faculty as well as lecturers, researchers, librarians and others; the *Senior Management Group, Managers and Senior Professionals*, and *Non-Academic Staff,* who account for the bulk of the employees.

Table 3. UC Employment Categories

UC EMPLOYEES

TYPE	NUMBER
Academic	54,100
Senior Management Group	300
Managers and Senior Professional	7,800
Non-Academic Staff	112,900
Employees at DOE Labs	11,000
Total	186,100

CAHRS will apply to HR operations for the Non-Academic Staff who, combined with the DOE laboratory employees, account for slightly more than two-thirds of all UC employees. The Panel understands that in the future UC may extend *CAHRS* to other employee categories, as appropriate. For example, once the current Regental study of policies applicable to the Senior Management Group is completed, UC intends to extend *CAHRS* to that employee category.

University Challenges.   Like many public university systems, funding complexities and restrictions top the list of issues facing UC. As of 2006, a relatively small portion of UC's total budget (29 percent) came from the state's general funds. As these general funds shrink, UC becomes more dependent on funds from other sources—the federal government, increased tuition, hospital revenue, grants, contracts, gifts and endowments. Additional challenges include the following:

- Potential modifications to the UC retirement program which propose having employees make contributions for the first time in 17 years, are causing significant employee turmoil.

- The expected 43 percent surge in undergraduate enrollment and mushrooming patient care workloads at the medical centers are creating expansion pressures.

- Health care is becoming an increasingly complex issue for the University since UC is a major health care *provider,* an *employer* and *educator* of thousands of health care professionals and a *purchaser* of health services and benefits for its 200,000-plus employees and retirees.

- Management of the national laboratories is in a state of flux. One (Los Alamos) is now managed by a joint venture including UC. Another (Lawrence Livermore) will be managed by a joint venture including UC as of October 1, 2007.

- UC is facing intense competition for staff from private industry, exacerbated by the high cost of living in UC campus locales. (Despite this, UC currently reports that it successfully recruits its top faculty pick 89 percent of the time.)

Nonetheless, UC remains a premier institution, a global powerhouse in the realms of education, medical care and research. UC's interest in developing a system like *CAHRS* stems from its desire to ensure that its human resources operations exhibit that same level of excellence.

How HR is Carried Out at UC

In 1996, the UC President delegated increased authority and responsibility for managing UC human resources functions to the Chancellors and Laboratory Directors. This action formalized the mixed centralized-decentralized HR model that exists today. UC HR activities take place at three distinct organizational levels:

> *UC remains a premier institution, a global powerhouse in the realms of education, medical care and research. UC's interest in developing a system like CAHRS stems from its desire to ensure that its human resources operations exhibit that same level of excellence.*

- At the **system-wide (corporate***)* level, UCOP-HR&B provides system-wide HR leadership, with specific responsibility in such key areas as defining benefits, negotiating labor agreements, formulating UC policies and overseeing senior management recruitment and compensation programs.

- At the **location** level (that is, campuses, medical centers and laboratories), the Chief Human Resources Officers (CHROs) in central HR departments implement policies and provide a range of HR programs and services, under the direction of their Vice-Chancellors/Directors. In doing so, the CHROs are guided by local priorities and conditions.

- At the **departmental** level (that is, schools, departments or other units at a Location) substantial numbers of staff carry out HR and HR-related activities under the direction of their respective departmental chairs or other unit managers. The total number of employees or amount of time spent on departmental level HR activities is not known. Many of these staff are administrative generalists and perform other functions in addition to HR. Some consider them to be "shadow" staffs who interface between departments and the central HR office.

The 1996 delegations resulted in a lack of formal reporting relationships from one level to the next, and little systematic monitoring and oversight of one level by another. Except for its highly centralized functions, UCOP-HR&B does not get involved in day-to-day HR operations at the campuses, medical centers or laboratories nor does it periodically monitor Location activities. Similarly, the CHROs do not oversee the work of the staffs performing HR functions in the academic and other departments. Essentially, UC has relied on the various HR players to self-report compliance along with using periodic audits or complaint investigations to surface problems.

The relationship among the three levels frequently is described as "consultative". UCOP-HR&B and the CHROs meet regularly to coordinate actions, share information and partner on various initiatives (*CAHRS* is one example). For programs with a strong central component (such as

benefits or labor relations), working relationships and interactions are well developed and frequent, including regular teleconferences, considerable advice and guidance and even some training. For other functions, such as recruiting and performance management, Location HR staff operate more independently. UCOP-HR&B is taking steps to improve its services to Locations. For example, until recently, UCOP-HR&B formulated policies but left implementing procedures up to the campuses. At the request of the Chair of the Committee on Compensation of the Board of Regents, UCOP-HR&B now develops procedures to accompany all new policies.

> *…a system-wide HR information system is critical to focusing accountability, promoting compliance and consistency and sharing information.*

At the campus level, interactions between central HR and decentralized staffs in academic and other departments are mixed. One *CAHRS* pilot Location appeared to have good working relationships between the central and decentralized HR components, based on the existence of a strong HR coordinating committee. Another *CAHRS* campus evidenced more episodic interaction; as a result, the central HR office representatives were not always able to offer assurances about the quality and/or consistency of the work done by the decentralized staff.

In a decentralized multi-tier structure having a system-wide HR information system is critical to focusing accountability, promoting compliance and consistency and sharing information. At UC, however, only the benefits and payroll systems contain system-wide data. The recent report of the Task Force on UC Compensation, Accountability and Transparency[12] described UC data systems as "antiquated, decentralized and inadequate." The lack of a comprehensive system was the most frequently cited complaint heard during the development of *CAHRS*. Understandably, some Locations have invested in their own systems, further complicating centralized data collection efforts.

HR at the CAHRS Pilot Locations

The pilot Locations reflected both highly centralized and highly decentralized service delivery models:

- With the exception of training and development, the UCSF Medical Center operates under a highly centralized HR model. To improve accessibility to services, two separate HR sites are located at the major Medical Center locations, but they both report to the Executive Director, Patient and Staff Services.

- HR on the UCSF Campus is highly decentralized, with the function shared with HR managers, generalists and administrative staff reporting to independent departments throughout the organization.

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[12] Task Force on UC Compensation, Accountability, and Transparency Report, April 2006.

- At the Lawrence Berkeley National Laboratory, all HR functions report directly to the CHRO. However, HR Service Centers are located on-site with customer divisions; they are the point of contact for all HR services.

- At UC Davis, there is a mixed HR environment with HR services provided by both central HR and decentralized units. Specifically, central HR professionals are collocated in some departments, schools and colleges. At the same time, Assistant Deans and management support officers also perform HR work, but do not report directly to central HR. To enhance coordination and consistency, central HR established a campus-wide HR Committee that brings together all individuals who perform HR work including those who report directly to central HR and those who do not. This committee meets on a monthly basis.

The pilot Locations also varied in the numbers and types of services provided. Some had responsibility for functions not traditionally viewed as HR functions. For example, central HR at the UCSF Medical Center oversees patient relations and security; at the Lawrence Berkeley National Laboratory, HR handles foreign visitor processing.

Understandably, a Location's strategies, goals and resource allocations can affect HR priorities. Workforce planning is a good example. At the UCSF Medical Center, it is a top priority given the shortage of nurses and allied health care workers exacerbated by the high cost of living in the Bay area. The Lawrence Berkeley National Laboratory, on the other hand, says it does not do much long-term workforce planning due to its complex funding arrangements. Most funds come from grants for specific principal investigators to do research; the grants usually are awarded in one or two year increments, thus inhibiting long-term workforce planning.

Despite the differences, the experiences of the pilot Locations indicate that *CAHRS* can work effectively in a variety of HR environments. The more centralized UCSF Medical Center and the Lawrence Berkeley National Laboratory have an easier time implementing *CAHRS*. The decentralized campuses need to take additional steps to obtain the same level of confidence in the total HR operations at their Locations.

Panel Conclusions and Recommendations

UCOP-HR&B endorses implementing *CAHRS* system-wide in order to improve performance and enhance oversight. The Academy Panel concurs in this decision because it believes that *CAHRS* offers major benefits for UC.

The Academy Panel believes that *CAHRS* can provide the assurances the Regents are seeking about UC HR practices and programs. The Self-Assessment and external review processes will bolster performance, accountability and transparency, inspire trust and confidence and mitigate the risks associated with non-compliant actions.

CAHRS also will promote appropriate consistency in the interpretation and application of policies across the relatively autonomous UC Locations by providing a common language. Even in a decentralized environment, the Regents, UC employees and the public expect a reasonable

amount of consistency across the system. *CAHRS* will help achieve this goal by defining generally accepted Standards and expectations for HR and ensuring periodic assessments of compliance with the Standards.

> *. . . large organizational changes require leadership commitment, effective change management and ongoing communications strategies, sufficient resources, supportive information systems, and clearly defined roles and responsibilities.*

As a continuous improvement process, *CAHRS* will build HR capacity and strengthen performance. By focusing on needed improvements and encouraging remedial actions, it targets resources to priority needs and facilitates sharing best practices. Because the Standards encompass strategic HR, they can help organizations move beyond transactional proficiency. The implementation of *CAHRS* provides numerous opportunities for HR leaders to educate UC stakeholders about the capacity of HR to be an enabling contributor to organizational success.

The pilot Location experiences consistently have shown implementing *CAHRS* requires extensive cooperation, collaboration and consultation. By enhancing these skills, *CAHRS* can strengthen the HR community, promote teamwork and increase interactions among those who provide various HR services, especially in decentralized environments. Participating in *CAHRS* activities can yield personal benefits by fostering professional development and career growth.

Once implemented, *CAHRS* can reduce the time and effort devoted to responding to audits and other internal or external oversight mechanisms. As the UC community and the public become comfortable with *CAHRS,* the Self-Assessment Reports and the Peer Review Opinions should be an acceptable substitute for other reviews. Medical centers will find *CAHRS* fully supportive, but not duplicative, of HR requirements for hospital accreditation. Further, the Lawrence Berkeley National Laboratory should be able to meet its DOE contractual HR performance requirements for a certified HR system.

Lastly, the Panel believes that C*AHRS* can bolster the confidence and pride of HR staffs in their work to support the UC mission. This should result in the HR function achieving a level of excellence necessary to support UC's excellence in education, research and public service.

UC asked the Academy Panel to recommend actions necessary to accomplish the strategic implementation of *CAHRS* system-wide and ensure its ongoing administration. The Academy's expertise and experience suggest that large organizational changes require leadership commitment, effective change management and ongoing communications strategies, sufficient resources, supportive information systems, and clearly defined roles and responsibilities.

Focusing on providing leadership, managing implementation, and ensuring essential conditions for success, the Academy Panel recommends that:

Providing Leadership

- **The Regents of the University of California and the President of the University clearly express their support for *CAHRS*, and require its implementation throughout the University.**

  Without top level commitment and support, *CAHRS* will not succeed. The Regents and the President must communicate their expectations regarding *CAHRS* to the Chancellors and Laboratory Directors, whose support is essential for successful implementation of *CAHRS* at the UC Locations.

- **The Regents and the President ensure that *CAHRS* is integrated and aligned with all related Regental/UC initiatives designed to promote sound management and responsible public stewardship.**

  For *CAHRS* to be taken seriously, it must be appropriately linked to other important university initiatives. It cannot be redundant or out of sync with other efforts, such as the newly established office of the Senior Vice President-Audit and Chief Compliance Officer, the ongoing comprehensive Senior Management Group HR policy review and the recently announced UCOP organizational restructuring of administrative and financial operations and functions. The UCOP reorganization project is an opportunity to rethink functions performed by UCOP and the various UC Locations. *CAHRS* is designed to provide assurance to the Regents that HR is functioning appropriately and in accordance with Regental policies and all legal and regulatory requirements.

Managing Implementation

- **The President affirm that UC Office of the President's Human Resources and Benefits department (UCOP-HR&B) will be accountable for the implementation and ongoing administration of *CAHRS* and provide that department with the authority, staff resources and infrastructure needed to successfully manage the implementation and administration of *CAHRS*.**

  UCOP-HR&B as the organizational leader must serve as the catalyst for assuring system-wide and Location HR performance and effectiveness through its oversight of the *CAHRS* process. Significant resources will be needed to introduce *CAHRS* system-wide. Among the required implementation tasks are working with Location leadership, providing orientation, training, and assistance, and overseeing implementation. Key ongoing administrative requirements include monitoring Location remedial action plans to ensure continuous improvement and reviewing Location Self-Assessment Reports and Peer Review Opinions to identify trends.

To avoid *CAHRS* becoming an unfunded mandate, a dedicated centrally-managed account should be used to cover Peer Review, Certification and other costs at the Locations. The President also may, on occasion, need to intervene with Chancellors to facilitate its implementation and ongoing administration. As it gains experience in implementing *CAHRS,* UCOP-HR&B will be able to help identify and propose modifications or revisions needed to the *CAHRS* HR Standards and processes.

- **UCOP-HR&B develop a comprehensive communication and education implementation plan for *CAHRS* with emphasis on engaging and obtaining support from Location Leadership and other key stakeholders.**

Implementing *CAHRS* is a major change management activity and should be approached as one. Appendix D contains change management principles that have been used extensively by organizations to help gain acceptance for major new initiatives. This requires continuous and multi-faceted communications that flow up, down and across organizational lines. Of particular importance is educating Location leaders and other stakeholders regarding how *CAHRS* can help them meet their HR assurance obligations. Engaging Location leaders will be a challenge because such administrative functions as HR are a secondary priority, while maintaining and enhancing academic and research operations is the top priority. Nevertheless, getting Location leadership support is critical because they determine HR priorities and resources. Moreover, Location leadership support is required to ensure necessary cooperation.

- **UCOP-HR&B implement *CAHRS* according to a phased plan and timeline, endorsed by the Regents, with specific Location adoption of *CAHRS* guided by overall Location readiness.**

The Panel estimates that implementing *CAHRS* at the remaining UC Locations will take about two years. Readiness will vary by Location; some may need much more start up time than others. This is understandable. Prior to initiating a formal external review process like Peer Review, most organizations would engage in extensive preparation. UCOP-HR&B should consult with Location leadership to reach agreement on the scope, timing and level of resources to be devoted to implementing *CAHRS.* Additionally, UCOP-HR&B should periodically report to the Regents on the progress made toward meeting the implementation timetable and ongoing process improvement from the participating Locations.

Ensuring Essential Conditions for Success

- **The Regents and the President take steps to ensure the development of a comprehensive Human Resources Information System.**

The Academy Panel wishes to echo the Task Force on UC Compensation, Accountability and Transparency Report which recommended that the University "…invest in a modern comprehensive integrated human-resources information system that enables data to be quickly examined and analyzed—at campuses, medical centers, national laboratories, and

system-wide –so that UC can meet its obligation of public accountability."[13] In doing so, UC should follow a disciplined approach to defining system requirements, avoid costly customization to the extent possible, and ensure compatibility with existing UC systems. The Panel recognizes that this will entail a large investment of time and money and it will require setting priorities and phasing in the most important capabilities first. The Panel understands that steps are being taken to define needs and basic architecture and urges moving ahead with utmost speed.

- **The President, in consultation with key Location stakeholders, clarify authorities, roles and responsibilities for the full range of HR functions and activities, especially in Locations where HR responsibilities *are shared.***

  More clarity around HR roles, responsibilities and expectations is needed. UC, like other universities, has a strong tradition of departmental leadership resulting in shared governance of numerous functions, including HR. It is important that both the central and decentralized HR delivery elements be mutually supportive. A clearer articulation of Location CHRO responsibilities and responsibilities of decentralized HR functions and activities could foster improved working relationships and more effective collaboration. In this regard, the CHRO, with active support of Location leadership, should lead efforts to improve working relationships and stimulate more effective collaboration.

- **UCOP-HR&B develop training and share best practices and successful approaches for building collaborative, consultative, cooperative relationships and partnerships with others performing HR roles.**

  Given the complexity of its organization and the centralized and decentralized nature of its HR community, UC has an opportunity to enhance communications and improve shared responsibilities, authority and accountability for HR services in a decentralized environment. An opportunity exists to provide strategies, training, resources and tools for the CHROs to influence and coordinate work not under their direct control. Representative strategies may include establishing consultative relationships; reaching out to HR and administrative staff working in other departments; sharing knowledge across organizational lines; assessing the training needs of decentralized HR staff; establishing councils and committees to collaborate on policy development and implementation; building productive working relationships; partnering with other academic and administrative departments and sharing best practices worthy of emulation.

- **The Regents, President and UCOP-HR&B ensure that *CAHRS* remains a "continuous improvement" effort to strengthen HR practice at UC.**

  To provide positive reinforcement and encourage continuous improvement under *CAHRS,* UC should identify a range of incentives such as increased flexibilities, delegations of authority, reduced burdensome oversight, professional recognition and

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[13] Task Force on UC Compensation, Accountability, and Transparency Report, April 2006, pg 12.

rewards, and additional resources for HR performance improvement. The focus should be on continuous improvement, which is why the Panel has adopted a Standard-by-Standard Peer Review Opinion.

- **Over time, UCOP–HR&B work collaboratively with the Locations to identify a system-wide set of core HR performance metrics beyond the illustrative examples incorporated in the Standards.**

As a comprehensive HR information system is developed, consistent data and performance indicators across the UC system will provide assurance to the Board of Regents that HR services are being delivered in an efficient, effective and economic manner, consistent with UC policies, ethical values, standards of conduct and related principles, and comply with other appropriate contracts, laws, rules and regulations in targeted areas. These metrics should be based on the Locations' individual and collective experience in executing the *CAHRS* model and process.

ACADEMY PANEL AND STAFF

PANEL

Frank J. Thompson[*]—*Chair.* Acting Provost, Former Dean, Nelson A. Rockefeller College of Public Affairs and Policy, and Professor of Public Administration and Policy, Political Science and Public Health, State University of New York at Albany. Former Executive Director, National Commission on the State and Local Public Service (Winter Commission); Professor and Department Head, University of Georgia; Program Analyst, U.S. Public Health Service; Assistant Professor of Political Science, California State University at Long Beach.

Edie N. G. Goldenberg[*]—Professor of Political Science and Public Policy, Gerald R. Ford School of Public Policy, University of Michigan. Former Dean, College of Literature, Science, and the Arts, and Director, Institute of Public Policy Studies, University of Michigan. Former Chief, Civil Service Reform Evaluation Management Division, U.S. Office of Personnel Management; Life Member, Corporation of the Massachusetts Institute of Technology; Academic Advisory Committee Member, Yeshiva University.

Curtis J. Smith[*]—Malcolm R. Meyers Distinguished Chair in Public Service, Wilson Center for Leadership, Hampden-Sydney College; Adjunct Faculty, School of Public and Environmental Affairs, Indiana University. Former positions with the U.S. Office of Personnel Management: Associate Director for Retirement and Insurance; Director, Federal Executive Institute; Associate Director for Career Entry; Policy Advisor to the Director; Deputy Assistant Director for Pay and Benefits Policy, Compensation Group; Special Assistant to the Associate Director; Legislative Assistant.

David M. Walker[*]—Comptroller General of the United States. Former positions include Partner and Global Managing Director, Arthur Andersen, LLP; Public Trustee, U.S. Social Security and Medicare Trust Funds; Assistant Secretary of Labor for Pensions and Welfare Benefits Programs, U.S. Department of Labor; Acting Executive Director, Pension Benefit Guaranty Corporation.

Joel D. Aberbach[*]—(**University of California Representative**): Distinguished Professor of Political Science and Public Policy and Director, Center for American Politics and Public Policy, Institute for Social Science Research, University of California, Los Angeles. Former positions with University of California, Los Angeles: Director, Program for the Study of American Institutions, Politics and Policy; Professor, Department of Political Science, Department of Public Policy. Former positions with University of Michigan: Research Scientist and Professor of Public Policy, Department of Political Science; Associate Research Scientist. Former Research Associate, Institute of Public Policy Studies, Yale University.

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[*] *Academy Fellow.*

Jeff T.H. Pon—(Department of Energy Representative): Chief Human Capital Officer, U.S. Department of Energy. Former E-Government Deputy Director, U.S. Office of Personnel Management; Director, Brandsoft; Corporate Organizational Development Consultant, Seagate Technology.

STAFF

J. William Gadsby*—*Vice President for Academy Studies*, National Academy of Public Administration. Former Director, Management Studies Program, National Academy of Public Administration. Former positions with U.S. General Accounting Office: Senior Executive Service; Director, Government Business Operations Issues; Director, Federal Management Issues; Director, Intergovernmental and Management Issues. Former Assistant Director, Financial Management Branch, U.S. Office of Management and Budget.

Alethea Long-Green—*Program Area Director,* Human Capital Studies, National Academy of Public Administration; former Director of Human Capital Planning and Management, U.S. Department of Commerce; Director of Human Resources, Chief of the Workforce Effectiveness Division, U.S. Patent and Trademark Office; President, Strategic Technical Resources, Inc.; Vice President, Tech International, Inc.; Consultant with various contractors to the Department of Defense.

Patricia Cornwell Johnson—*Project Director,* National Academy of Public Administration. Former Senior Executive Service; Director, Office of Human Resources, U.S. Equal Employment Opportunity Commission. Positions with Washington Metropolitan Area Transit Authority (WMATA); Labor Relations Counsel, McDonald's Corporation; Regional Field Attorney, National Labor Relations Board.

Joan M. Dodaro—*Senior Advisor*, National Academy of Public Administration. Former Senior Executive Service; Assistant Comptroller General for Operations, U.S. Government Accountability Office; Deputy Assistant Comptroller General for Human Resources, U.S. Government Accountability Office.

Allan Heuerman—*Senior Advisor*, National Academy of Public Administration. Former Senior Executive Service; Associate Director for HR Systems Service, U.S. Office of Personnel Management; various executive and management positions, U.S. Office of Personnel Management and Civil Service Commission.

Kenneth Hunter—*Senior Advisor*, National Academy of Public Administration. Former Deputy Director of the Center for Human Resources Management, National Academy of Public Administration; Business Development Executive, Oracle Services Inc.; Deputy Assistant Secretary of State for Passport Services, Executive Director of Foreign Service Institute (FSI), Deputy Assistant Secretary of State for Human Resources, U.S. Department of State.

Joanna Lange—*Senior Advisor*, National Academy of Public Administration and consultant with emphasis on strategic human capital planning, workforce analysis, workforce planning, recruitment, succession, and restructure analysis and planning. Ms. Lange has over 25 years of Federal Service as a Human Resources (HR) practitioner.

Pamela Creek Welch—*Senior Advisor*, National Academy of Public Administration focusing on human capital planning, organizational analysis/design, reengineering/automation, and alternative personnel system development/ implementation. Former executive positions with Departments of Defense and Veterans Affairs and numerous human resources management positions with Department of the Army.

Joseph P. Mitchell, III—*Senior Research Analyst*, National Academy of Public Administration. Project staff on past Academy studies including Airport Security; Federal Bureau of Investigation; National Marine Fisheries Service; Patent and Trademark Office; Wildfire Mitigation; National Aeronautics and Space Administration; and National Institutes of Health. Adjunct Professor, Center for Public Administration and Public Policy, Virginia Polytechnic Institute and State University.

Christine Sterling—*Senior Research Analyst*, National Academy of Public Administration. Project staff on past Academy studies including The 21st Century Federal Manager Series; The Transforming Power of Information Technology: Making the Federal Government an Employer of Choice for IT Employees; and NASA Human Capital Flexibilities for the 21st Century Workforce.

Élan Martin—*Research Associate*, National Academy of Public Administration. Graduate Student, The George Washington University in Public Policy and Public Health (expected graduation Dec. 2007), formerly: Assistant Project Manager for hydrogen and alternative fuels projects at Sparber & Associates, Inc.; Americorps Team Leader; Research Intern at the American Cancer Society; Research and Administrative Intern for Congressman Mark Udall. B.A. in Political Science from the George Washington University, 2006.

Mary M. Appah—*Research Associate* and Staff Liaison to the Standing Panel on Social Equity in Governance, National Academy of Public Administration. Former Associate Staff Analyst, NYC Department of Housing Preservation and Development. National Urban Fellow 2004 - NYC Department of Youth and Community Development, City University of New York, Bernard M. Baruch College, School of Public Affairs. Program Associate, State Department International Visitors Program, Meridian International Center.

Martha S. Ditmeyer, *Senior Administrative Specialist*—Staff for a wide range of Academy studies. Former staff positions at the Massachusetts Institute of Technology and the Communication Satellite Corporation.

ADVISORY TEAM

Richard Keevey—Director, National Academy of Public Administration. In the federal government Mr. Keevey served as the Chief Financial Officer for the Department of Housing and Urban Development and as the Deputy UnderSecretary of Defense for Financial Management and the Director of Finance and Accounting. At the state government level Mr. Keevey was the State Budget Director and Comptroller for the State of New Jersey. Mr. Keevey is also currently a Visiting Professor at the Woodrow Wilson School at Princeton University teaching a course on budget and finance.

Myra Howze Shiplett—President, RandolphMorgan Consulting LLC. Prior to forming her own consulting firm, Ms. Shiplett was the Director of the National Academy of Public Administration's Center for Human Resources Management. Prior to joining the Academy in 1999, Ms. Shiplett spent more than 30 years as a federal executive working for both the executive and judicial branches of the federal service.

Edward Stephenson—*Senior Advisor,* National Academy of Public Administration. Human capital management senior advisor on previous Academy studies including the National Aeronautics and Space Administration; guest lecturer on human capital management for the University of Maryland's Institute for Global Chinese Affairs; more than 35 years experience with management and human capital issues at the U.S. Government Accountability Office and the District of Columbia Control Board.

UC PARTICIPANTS, VALIDATORS & STAKEHOLDERS

The following individuals participated in various capacities as outlined below over the course of the development of the *CAHRS* system. We wish to recognize and acknowledge their individual participation, expertise, and insights in the development and pilot of *CAHRS.*

LOCATION LEADERSHIP

Senior leaders across the University of California Locations were asked to review and provide feedback as to whether the proposed Standards will assist in strengthening UC HR performance system-wide and assure that the HR policies and programs are operating effectively and consistently with established Regental and UC requirements and other legal and regulatory mandates. Their comments and input were carefully reviewed and used to refine the HR Standards.

Regents of the University of California

Judy Hopkinson, Regent of the University of California and Chair Committee on Compensation, University of California

Eddie Island, Regent of the University of California and Vice Chair Audit Committee, University of California

Monica Lozano, Regent of the University of California and Vice Chair Committee on Compensation, University of California

Fred Ruiz, Regent of the University of California and Chair Audit Committee, University of California

UC Leadership

Judy Boyette, Associate VP for Human Resources and Benefits, University of California, Office of the President

Bruce Darling, Executive VP for University Affairs, University of California, Office of the President

Joseph Mullinix, Former Senior VP for Business and Finance,   University of California, Office of the President

Randolph R. Scott, Executive Director Human Resources & Benefits, Policy and Program Design, University of California, Office of the President

UC ADVISORY GROUP

The University of California Advisory Group, chartered to assist in the development of the *Certified Assessment of Human Resources System (CAHRS)* provided seasoned technical review and assistance by serving as a "sounding board" and technical reviewers in the development of

the HR Standards as well as other system components. Among other outcomes, the input of this team ensured that the HR Standards "fit" the UC environment.

Randolph R. Scott, Chair, UC Advisory Group; Executive Director Human Resources & Benefits, Policy and Program Design, University of California, Office of the President
David Moers, Special Assistant to the Associate Vice President for Human Resources and Benefits, University of California, Office of the President
Christopher Simon, Director, Human Resources and Compensation Policy, University of California, Office of the President
Vera Potapenk, Chief Human Resources Officer, Lawrence Berkeley National Laboratory
Larry Hanson, Former Acting Chief Human Resources Officer,   Lawrence Berkeley National Laboratory
Cynthia Coolahan, Manager, Human Resources Information System, Lawrence Berkeley National Laboratory
Nancy Talcott, Senior Human Resources Manager, Lawrence Berkeley National Laboratory
Mike Tyburski, Chief Human Resources Officer, University of California, San Francisco
Larry Hickey, Assistant Director, Human Resources, University of California, San Francisco
David Odato, Executive Director, Patient and Staff Services, University of California, San Francisco Medical Center
Quita Keller, Manager, Development and Training, University of California, San Francisco Medical Center

VALIDATION SURVEYS

In addition to the UC Advisory Group and Location Leadership members listed above, a select group of nationally recognized individuals in the areas of performance measures, human resources, and customer service were invited to review and comment on the HR Standards. These individuals completed a survey that asked questions about the appropriateness of the functions included in each Standard, the clarity of the Standard language and whether or not the Standards were complete. The comments and insights from these individuals were used to further refine and adjust the Standards.

Frank Thompson, Project Panel Chair, Acting Provost, State University of New York at Albany
Joel Aberbach, Project Panel, Professor, University of California, Los Angeles
Edie Goldenberg, Project Panel, Professor, University of Michigan
Jeff Pon, Project Panel, Chief Human Capital Officer, Department of Energy
Curtis Smith, Project Panel, Professor, Hampden-Sydney College
David Walker, Project Panel, Comptroller General of the United States, Government Accountability Office

Sallyanne Harper, Chief Administrative Officer, Government Accountability Office
Chris Mihm, Managing Director, Strategic Issues, Government Accountability Office

Doris Hausser, Former Senior Policy Advisor to the Director and Chief Human Capital Officer, Office of Personnel Management

John Palguta, Vice President for Policy and Research, Partnership for Public Service
John Shamely, Chief, Policy Management Division, Private Sector Council

Rich Keevey, Director, Performance Consortium, National Academy of Public Administration
Bruce McDowell, Fellow, National Academy of Public Administration
Myra Howze Shiplett, Senior Advisor, National Academy of Public Administration
Hannah Sistare, Fellow, National Academy of Public Administration
Ed Stephenson, Senior Advisor, National Academy of Public Administration

Gail Brooks, Former Chief Human Resources Officer, University of California, Irvine
John Daly, Former Chief Human Resources Officer, University of California, Merced
Roger Davis, Former Chief Human Resources Officer, University of California, San Diego
Lubbe Levin, Chief Human Resources Officer, University of California, Los Angeles
Steve Lustig, Associate Vice Chancellor – Health and Human Services and Executive Director, University Health Services, University of California, Berkeley
Willeen McQuitta, Chief Human Resources Officer, University of California, Santa Cruz
Dennis Shimek, Former Chief Human Resources Officer, University of California, Davis
Jeri Simpson, Director of SM-UCLA HR & Director of Leadership & Staff Development, University of California, Los Angeles
Pat Thatcher, Chief Human Resources Officer, University of California, Irvine Medical Center
Art Wong, Manager, Staffing and Employee Development, Lawrence Livermore National Laboratory

VALIDATION FORUMS

A select group of nationally recognized individuals from government, private sector, academia, and not-for-profit organizations in the areas of human resources and performance measures were invited to participate in one of two forums designed to assist in the validation of the HR Standards structure and content. The comments and insights from these individuals were used to further refine and adjust the HR Standard structure and content.

Toni Samuel, American Society of Public Administration

Raymond Limon, Corporation for National Community Service

Carl Metzger, Government Results Center

Tina Chiappetta, International Public Management Association for Human Resources
Neil Reichenberg, International Public Management Association for Human Resources (Executive Director)

Laurel McFarland, National Association of Schools of Public Administration and Public Affairs

Gail Aldrich, Society for Human Resources Management
Deb Cohen, Society for Human Resources Management

Benita Anderson, DC Government

Sara Wilson, Commonwealth of Virginia (Director Department of Human Resource Management)

Moizzal Chan, Department of Agriculture Farm Service Agency
Dik Saalfeld, Department of Agriculture
George Sundstrom, Department of Agriculture

Laveen Ponds, Department of Commerce

Donna Brown, Department of Defense
Robert Christiansen, Department of Defense
Denise Michel, Department of Defense

Donna Butler, Department of Education
Heather Noiwan, Department of Education

Napoleon Avery, Department of Energy
Sunny Choi, Department of Energy
Dale Stubenrauch, Department of Energy

Nathan DePillo, Department of Homeland Security
John Shannon, Department of Homeland Security
Thomas M. Tedesco, Department of Homeland Security

Debra Edmond, Department of the Navy

John Taylor, Department of Transportation

Mike Serlin, Department of the Treasury

Paul Twohig, Federal Aviation Administration

Nancy Spurlin, Federal Energy Regulatory Commission

Gloria McDonald, General Services Administration

Thomas Beall, Government Accountability Office
Sallyanne Harper, Government Accountability Office
Jessie Hoskins, Government Accountability Office
Bill Doherty, Government Accountability Office
Stephanie Shipman, Government Accountability Office

Cheryl J. Oros, Health and Human Services

Gary Slayen, Internal Revenue Service

Steve Nelson, Merit Systems Protection Board

Belinda Lavalle, National Intelligence

Michael Culpepper, Nuclear Regulatory Commission

Theresa Prych, U.S. Senate

Phil Rutledge, National Academy of Public Administration (Former Fellow, deceased)

Robin Rojas Ashbey, Capital P LLC

LOCATION LEADERSHIP, HR READINESS REVIEW AND SELF-ASSESSMENT TEAM(S)

The Location HR Readiness Review and Self-Assessment Teams were asked to apply the HR Standards to their Location's HR operations. The experiences of these teams were used to further refine and adjust the Standards.

University of California Office of the President Leadership, Readiness Review and Self-Assessment Team(s)

Judy Boyette, Associate Vice President for Human Resources and Benefits
Grace Crickette, Chief Risk Officer
Kay Miller, Executive Director, Human Resources/Benefits – Client Relations & Diversity
Patrick Reed, University Auditor
Susan Thomas, University Counsel
Kevin Confetti, Risk Manager, Workers' Compensation
Linda Glasscock, Associate Director, Labor Relations
Joe Lewis, Director, Retirement Administration and Customer Service
Joan Manning, Coordinator, Health and Welfare Policy and Program Design
David Moers, Special Assistant to the Associate Vice President
David Olson, Director, Financial Services
Ron Oshima, Director, Systemwide Training
Lily Pang, Director, Health and Welfare Administration
Randolph R. Scott, Executive Director, Human Resources & Benefits, Policy and Program
    Design
Christopher Simon, Director, Human Resources and Compensation Policy
Richard Townsend, Coordinator, Human Resources and Benefits, Retirement Policy and
    Program Policy

Lawrence Berkeley National Laboratory Location Leadership, Readiness Review and Self-Assessment Team(s)

David McGraw, Chief Operating Officer
Vera Potapenko, Chief Human Resources Officer
Tracy Bigelow, HR Center Manager, Physical Sciences Center
Rachel Carl, HR Supervisor, Engineering
Cynthia Coolahan, Manager of HR Systems and Services
Chris Diesch, HR Center Manager, General and Computing Sciences Center
William Elkins, Manager of Employee and Labor Relations
Kamala Green, Manager of Equal Employment Opportunity and Affirmative Action
Karen Ramorino, Manager of Employee Development
Richard Takahashi, Manager of Benefits
Nancy Talcott, HR Center Manager, Life and Energy Sciences Center
Chris Watchmaker, HR Center Manager, Operations Center
Dave Wiedrick, Manager of Compensation and Benefits

University of California San Francisco Campus Location Leadership, Readiness Review and Self-Assessment Team(s)

Randy Lopez, Vice Chancellor for Administration
Mike Tyburski, Chief Human Resources Officer
Larry Hickey, Assistant Director, Human Resources
Prem Bajaj, HR Analyst, Temporary Employment Program
Tim Booher, Sr. Analyst, Staffing and Compensation
Don Diettinger, Manager, Development and Training
Yvette Guerrero, Manager, Faculty and Staff Assistance Program
Pam Hayes, Manager, Benefits and Financial Planning
Luke Hones, Programmer Analyst, Supervisor, Business and Information Technology Services
Crystal Morris, Manager, Temporary Employment Program
Stephanie Nip, Principle Analyst, Labor and Employee Relations
Judy Rosen, Sr. Analyst, Disability Management
Susan Wright, Manager, Compensation
Pat Severson, Manager, Business and Information Technology Services
Frank Tastevin, Manager, Staffing
Guy Zuzovsky, Manager and Advocate, Labor and Employee Relations

University of California San Francisco Medical Center Location Leadership, Readiness Review and Self-Assessment Team(s)

Tomi Ryba, Chief Operating Officer
David Odato, Executive Director, Patient & Staff Services
Judy Frates, Director, Employee/Labor Relations & Disability Mgmt.
Jennifer Hermann, Director, Workforce Planning
Jeffrey Chiu, Manager, Employment and Processing

Michael Coleman, Manager, Disability Mgmt & Workers' Compensation
Nannette Diokno, Analyst III/Assistant to David Odato
Simon Jang, Manager, Human Resource Information Systems
Quita Keller, Manager, Development and Training
Leslie Liscano, Manager, Compensation
Shirley Nakamura, Manager, Benefits

University of California, Davis Location Leadership and Readiness Review Team

Stan Nosek, Vice Chancellor for Administration
Dennis Shimek, Former Senior Associate Vice Chancellor–HR
Betsy Archer, Fiscal Officer–HR
Bill Brooks, Interim Director, Benefits - HR
Lucy Bunch, Assistant Dean, College of Letters & Sciences–Humanities, Arts & Cultural
    Studies
Rita Bunch, Assistant Dean/ Chief Operations Officer, UC Davis Extension
Linda Fairfield, Manager & Senior Professional (MSP)/Management Services Officer (MSO)
    Coordinator–HR
Cherie Felsch, Personnel Analyst, School of Veterinary Medicine
Doreen Franke, Executive Assistant Dean, School of Veterinary Medicine
Ricardo Freeman, HR Manager, Facilities: Operations & Maintenance
Michele Fulton, Assistant Dean, College of Engineering
Irene Horgan-Thompson, Director, Compensation, Benefits & Employment–HR
Debbra Irish, HR Director, UC Davis Extension
Perry King, Administrative Assistant to Senior Associate Vice Chancellor–HR
Terri McGann, HR Manager, Veterinary Medicine Teaching Hospital
Elizabeth Meyer, Director, Academic & Staff Assistance Program (ASAP) and Disability
    Management–HR
Carina Celesia Moore, Director, Staff Development & Professional Services–HR
Anne Muenster, Director, Human Resources–College of Agricultural & Environmental Sciences
Kathy Olsen, Assistant Dean, College of Letters & Sciences–Math & Physical Sciences
Donna Olsson, Executive Assistant Dean, College of Biological Sciences
Michele Platten, Director, HR Information Services (HRIS)
Marion Randall, Administrative HR Specialist, Office of Administration
Susan Sainz, Management Services Officer, College of Biological Sciences
Mike Sheesley, Director, Employee & Labor Relations - HR

UNIVERSITY OF CALIFORNIA, OFFICE OF THE PRESIDENT

Human Resources and Benefits staff and other administrative staff of the University of California, Office of President, reviewed the HR Standards to ensure that overarching HR system components were appropriately addressed and represented within the Standards and that the Standards will assist in providing assurance to the Board of Regents and other stakeholders that UC HR policies and programs are operating effectively and consistently with established Regental and UC requirements and other legal and regulatory mandates.

Judy Ackerhalt, Deputy to the Associate Vice President (VP) and Executive Director of System-wide Human Resources and Benefits (HR&B) Strategy
David Avakian, Director of Point Services/Service Excellence
Kim Blodgett, Sr. Administrative Analyst, Human Resources & Benefits, Policy and Program Design
Michael Coleman, Manager, Workers Compensation
Grace Crickette, Chief Risk Officer
Joe Epperson, Director, Human Resources and Benefits Client Relations and Diversity
Linda Glasscock, Associate Director Labor Relations
Simon Jang, Human Resources Information System Manager
Dennis Larsen, Director, Senior Management Compensation
Joe Lewis, Director, Retirement Administration and Customer Service
Mona Litrownik, Coordinator, Human Resources and Compensation Policy
Kay Miller, Executive Director Client Relations and Diversity
David Moers, Special Assistant to Associate VP
Bill Neff, Special Assistant to Associate VP
David Olson, Director, Financial Services
Lily Pang, Director, Health and Welfare Administration
Carol Parkinson, Former Director, Retirement Administration
Howard Pripas, Executive Director Labor Relations
Patrick Reed, Internal Auditor
Randolph R. Scott, Executive Director Human Resources & Benefits, Policy and Program Design
Christopher Simon, Director, Human Resources and Compensation Policy
Richard Townsend, Coordinator, Human Resources and Benefits, Retirement Policy and Program Policy

PEER REVIEW TEAM

Three members of the Academy staff who were not directly involved in the development of *CAHRS* piloted the Peer Review process and process tools. Their recommendations and insights were used to further refine the process and adjust the tools.

Myra Howze Shiplett, Team Lead, Senior Project Advisor, National Academy of Public Administration
Ed Stephenson, Senior Project Advisor, National Academy of Public Administration
Ruth Zaplin, Project Director, National Academy of Public Administration

CAHRS HR STANDARDS

1. ***CAHRS*** *Standard for HR System-Wide Management*

2. ***CAHRS*** *Standard for HR Strategic Management*

3. ***CAHRS*** *Standard for HR Operations and Program Assurance*

4. ***CAHRS*** *Standard for Employment and Talent Management*

5. ***CAHRS*** *Standard for Total Compensation and Benefits*

6. ***CAHRS*** *Standard for Training and Development*

7. ***CAHRS*** *Standard for Work Environment and Employee/Labor Relations*

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CAHRS *Standard for HR System-Wide Management*

Definition of Standard: As the University of California's primary spokesman on HR matters and a key initiating source of HR policy, the Office of the President (UCOP) and its HR and Benefits Department (HR&B)[14] help UC accomplish its missions by setting the strategic direction for HR, identifying and championing resource and infrastructure needs, effectively and efficiently managing functions best handled at a centralized level, and overseeing and consulting on HR operations at Locations throughout the system. Key contributing elements are:

- Strategic and Business Planning
- Policy Formulation and System Design
- Communication, Consultation and Representation
- Accountability
- System-wide Operations

Key Contributing Elements	Success Attributes/Indicators
Strategic and Business Planning	1. **Success Attribute:** A collaboratively developed and effectively managed system-wide HR strategic plan helps UC address its mission environment and meet its current and future needs. **Success Indicators:** a. ***HR&B's strategic direction and plans are clearly linked to short and long-term needs of the University.*** b. ***Financial requirements for strategic initiatives are effectively communicated to UC leadership for inclusion in UCOP's and the Locations' budgets.*** c. ***The HR&B strategic plan is developed in collaboration with the Board of Regents and other key stakeholders such as UC leadership and the faculty***. d. The Associate Vice President for HR&B and key staff serve as strategists and enabling partners in developing solutions to current and future HR challenges. e. The strategic rationale for changes to HR policies and programs are communicated to stakeholders in a timely manner.

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[14] Within UCOP, the Human Resources and Benefits Office (HR&B) establishes system-wide policies and programs across the spectrum of HR functions and activities. In addition, HR&B designs compensation and benefits programs and plans, negotiates labor agreements, oversees senior management remuneration, manages affirmative action and diversity programs and some training and development initiatives, as well as some processing and counseling responsibilities.

Essential Indicators = Success Indicators **that must be met** in order to Substantially Meet the Standard are displayed in **bold italics** text.
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Key Contributing Elements	Success Attributes/Indicators

	f. The HR&B strategic plan is effectively managed.
	
	2. **Success Attribute:** HR&B identifies system-wide HR resources and infrastructure needs and advocates for their inclusion in UCOP's and the Locations' budgets.
	
	    Success Indicators:
	    a. ***HR infrastructure needs (systems and technology; facilities; staff numbers, competencies, and development; consultant and contractor support) are linked to business needs.***
	    b. ***Critical system-wide HR Information System (HRIS) needs are identified and effectively presented and communicated to UC leadership.***

Policy Formulation and System Design	1. **Success Attribute:** HR&B supports mission accomplishment by creating responsive, efficient and effective HR policies and programs consistent with all relevant UC Regental requirements.
	
	    Success Indicators:
	    a. ***HR&B policies, programs and services comply with UC requirements including Regental requirements, accounting and actuarial standards, and relevant laws, rules, regulations, and contractual requirements.***
	    b. ***HR policies and programs are designed in consultation with UC and Location leadership to meet needs.***
	    c. ***HR&B policy development is timely, responsive and cost effective***.
	    d. HR&B policies and programs incorporate evidence of accountability and transparency.
	    e. Policy implementation at UC Locations is appropriately consistent and timely.
	    f. HR&B policies are easily accessible, consistent with each other, and communicated in appropriate ways to all.
	    g. Policies and programs are periodically evaluated, audited, and/or reviewed to identify improvement opportunities, and they are systematically and timely updated.
	
	2. **Success Attribute:** Within established guidelines, HR&B creates total compensation and benefits programs and plans which promote UC as an employer of choice.
	
	    Success Indicators:
	    a. ***The total compensation and benefits programs and plans are consistent with Regental guidelines, UC compensation philosophy, and other relevant mandates.***

Key Contributing Elements	Success Attributes/Indicators
	b. ***Total compensation and benefits programs and plans support UC's strategic direction and priorities and enable fair, reasonable and competitive compensation.*** c. ***Total compensation and benefits programs and plans are fiscally responsible***. d. In designing compensation and benefits programs and plans, HR&B considers changing economic environment, comprehensive market and comparator analyses, and best practices used by others. e. Total compensation programs and plans are implemented in a cost-effective manner.

Communication, Consultation, and Representation	1. **Success Attribute:** HR&B communications deliver consistent, timely, accurate and clear information.
	
	  Success Indicators:
	  a. ***Appropriate HR information is readily available, in multi-media, to all users including University leadership, managers, employees, the State of California legislature and the general public.***
	  b. ***Accurate information is communicated completely and when needed.***
	  c. Best practices inform communication practices.
	  d. Evaluation of communication practices indicates users are satisfied with the timeliness, relevance, use of media, quality, and frequency of communication about HR programs and services.
	
	2. **Success Attribute:** Through consultation and advice, HR&B helps UC managers, Location HR staff and others understand HR policies, programs, procedures, laws and regulations to ensure compliant and appropriately consistent implementation.
	
	  Success Indicators:
	  a. ***HR&B staff responds promptly to requests for assistance and are proactive in identifying alternative approaches to resolving HR issues.***
	  b. HR&B continually seeks to implement best practices and improve its relationships with managers, HR providers at Locations and others who would benefit from its consultation and advice.
	  c. Customer feedback indicates satisfaction with the timeliness, relevance, quality of consultation and advice.
	
	3. **Success Attribute:** As the authoritative source on HR programs and policies, HR&B represents UC and serves as the point of contact in responding to both internal and external inquiries concerning system-wide HR matters.

Key Contributing Elements	Success Attributes/Indicators
	Success Indicators: a. ***HR&B provides requested information to the Board of Regents, UC leadership and other stakeholders in a timely manner.*** b. ***The provided information promotes understanding of HR policies, programs and practices.*** c. HR&B serves as the information liaison between a variety of external groups on compensation, benefit and retirement policy matters. d. Information requests and responses are coordinated with relevant HR Location staff to ensure accuracy and timeliness. e. Customer feedback indicates that information is provided timely and accurately.
Accountability	1. **Success Attribute:** HR&B's strategic initiatives are undertaken to identify opportunities to assure that HR policies, programs and activities are operating in a manner consistent with UC Regental Standing Orders and other policy requirements. **Success Indicators:** a. ***HR&B designs and oversees the implementation of a systematic approach for assuring the Board of Regents and UC leadership that HR operations are appropriately consistent with UC guidelines and legal mandates.*** b. ***A comprehensive risk-based assessment program is in place to assure the integrity of HR programs and services.*** c. Risks are mitigated by prompt identification of deficiencies and the formulation of recommendations for corrective action. d. HR&B develops a systematic approach for determining that HR operations are efficient and effective. 2. **Success Attribute:** A system of reporting from UC Locations facilitates information exchange, identifies best practices and improvement opportunities, and assures appropriately consistent implementation of policies and programs. **Success Indicators:** a. ***HR&B establishes and implements a schedule of reports and report formats, as appropriate.*** b. Report information is used to formulate plans, strategies and actions that improve HR program operations.

Key Contributing Elements	Success Attributes/Indicators

	3. **Success Attribute:** Employee information is appropriately protected.
	
	    Success Indicators:
	    a. ***There is sufficient policy and guidance to instruct HR professionals on handling and protecting sensitive employee data.***
	    b. ***HR&B periodically assesses the sufficiency of its information protection policies and practices to prevent inappropriate release of employee data.***
	    c. Training and information on the requirements of FOIA, HIPPA, Privacy Act, and other similar mandates is regularly provided.
	    d. Corrective actions are taken as indicated.
	
	4. **Success Attribute:** Continuous improvement initiatives such as *CAHRS* for system-wide HR programs and services are developed, implemented and evaluated.
	
	    Success Indicators:
	    a. ***HR&B oversees the use and implementation of the Certified Assessment of HR Systems (CAHRS).***
	    b. Appropriate HR metrics and scorecards are used, reported upon, and evaluated.

System-wide Operations	1. **Success Attribute:** System-wide programs and activities (such as Labor Relations, Direct Service Activities, Risk Management, Diversity/Affirmative Action, Training and Development) enhance and strengthen the capacity of UC to achieve its mission.
	
	    Success Indicators
	    a. ***Labor Relations negotiations, consultations and other activities encourage collaboration and problem solving.***
	    b. ***Direct services delivery activities, such as retirement payments and workers compensation are cost effective and efficient.***
	    c. ***Periodic audits of HR benefit programs are used to ensure appropriate stewardship of public funds and compliance with accounting requirements.***
	    d. ***Inclusiveness, diversity, equal opportunity and non-discrimination are encouraged and reflected in HR policies, programs and activities, consistent with UC policy statements.***

Key Contributing Elements	Success Attributes/Indicators
	e. Risk management activities promote a healthy and safe environment and contribute to "loss prevention" and "loss control" systems and processes. f. Training and development programs and activities promote continuous learning. g. HR&B effectively oversees contractor and vendor- administered services and activities.

Illustrative Measures*:* Benchmark comparison with other universities; cost effectiveness measures concerning system-wide programs and activities; satisfaction at all employee levels with compensation and benefits programs and working conditions; completion rate of improvement initiatives; timeliness in negotiating bargaining unit agreements; Locations' feedback regarding satisfaction with HR&B communications and consultation; extent to which HR&B has achieved its priority objectives.

CAHRS Standard for HR Strategic Management

Definition of Standard: In pursuing its mission goals and objectives, the Location collaboratively develops aligned and integrated HR strategic plans, identifies current and emerging workforce needs, and promotes commitment to UC ethical values and diversity.

- Alignment, Integration, and Implementation
- Influence and Collaboration
- Workforce Analysis and Planning
- Ethical Values and Diversity

Key Contributing Elements	Success Attributes/Indicators
Alignment, Integration, and Implementation	1. **Success Attribute:** The HR strategic planning activities identify an integrated set of HR priorities and actions that are clearly linked to the Location's goals and objectives. **Success Indicators:** a. ***HR strategic planning addresses the priority human resources management needs identified by Location leadership.*** b. HR strategic planning includes integrated implementation strategies and activities designed to satisfy priority Location HR needs. 2. **Success Attribute:** Planned actions are supported, implemented and achieved. **Success Indicators:** a. ***The HR Department manages and monitors planned actions by establishing timelines, identifying accountable officials, periodically reviewing status of planned actions and modifying plans to address delays and changed circumstances.*** b. HR requirements and resources are included in Location strategic, financial and business planning. c. Plan results are documented and incorporated into new or modified policies, programs, and/or procedures.

Key Contributing Elements	Success Attributes/Indicators

Influence and Collaboration	**Success Attribute:** The Chief HR Officer and key staff members play a leadership and/or enabling role in the strategic management of the Location.
	
	Success Indicators:
	  a. ***The Chief HR Officer actively participates in the Location's strategic planning and in relevant decision-making meetings and forums, such as those involving strategic studies, reorganizations, and financial plans.***
	  b. ***The HR Department provides proactive leadership in addressing issues requiring HR expertise.***
	  c. The Chief HR Officer and other key HR staff have developed collegial relationships with organizational stakeholders, thus enabling them to quickly assess problems, strategize, and resolve issues.

Workforce Analysis and Planning	**1. Success Attribute:** The Location periodically analyzes current and projected workforce needs and identifies critical current and future gaps and surpluses.
	
	Success Indicators:
	  a. ***Quantitative and qualitative analysis of key workforce indicators such as attrition, retirements, competency gaps, knowledge loss and skills obsolescence is conducted/updated for critical occupations on a timely basis.***
	  b. Location leaders are informed on a timely basis about the key results or workforce analysis.
	
	2. Success Attribute: The Location develops strategies to address identified gaps and surpluses.
	
	Success Indicators:
	  a. ***The Location identifies specific strategies, such as recruiting, training, succession planning, or restructuring options to deal with critical gaps or surpluses.***
	  b. The planned actions are monitored to ensure desired results are achieved.
	  c. Strategies are modified to reflect changed circumstances.

Key Contributing Elements	Success Attributes/Indicators

Ethical Values and Diversity	1. **Success Attribute:** The Location demonstrates commitment to UC's ethical values, standards of conduct, and related principles of community.
	
	Success Indicators:
	  a. ***HR policies, programs and/or activities reflect and reinforce UC's ethical values, standards and related principles.***
	  b. Through periodic reviews, the HR Department ensures that UC's ethical values, standards and related principles are communicated to employees and managers and inculcated throughout HR policies, programs and activities.
	
	2. **Success Attribute:** The Location develops and delivers HR policies, programs, and/or activities that promote the values of diversity and inclusiveness and related principles of community.
	
	Success Indicators:
	  a. ***HR policies, programs and/or activities reflect and reinforce the value of diversity, inclusiveness, equal opportunity and non-discrimination.***
	  b. Through periodic reviews, the HR Department ensures that the values of diversity and inclusiveness are communicated to employees and managers and inculcated throughout HR policies, programs, and activities.

Illustrative Measures: Employee/Manager/Location leadership satisfaction with HR strategic plans and workforce analysis; feedback on value of HR involvement in Location management; proportion of strategic planning actions accomplished within designated timeframes; evidence of gap closure; feedback from employees on Location's commitment to diversity and inclusiveness.

CAHRS *Standard for HR Operations and Program Assurance*

Definition of Standard: Through exemplary management practices, the HR Department assures UC leadership that it is a value-added part of the organization, providing high quality, responsive and efficient services. Key contributing elements are:

- Assurance and Evaluation
- HR Metrics and Continuous Improvement
- HR Staff Management
- Systems and Infrastructure Management
- HR Consultation and Assistance

Key Contributing Elements	Success Attributes/Indicators
Assurance and Evaluation	**Success Attribute:** The HR Department conducts assurance and evaluation activities to determine the consistency/compliance, quality and efficiency of the Location's HR policies, programs and activities. **Success Indicators:** a. ***HR assurance activities are designed and implemented to affirm that centralized and decentralized HR policies, programs, and/or activities are consistent with UC policies and guidelines, and comply with legal, regulatory and contractual requirements.*** b. ***Specific evaluations are undertaken in response to problems highlighted by metrics, complaints or feedback, or findings of other internal or external assessments.*** c. ***Both assurance and evaluation activities result in timely corrective actions when necessary, including appropriate changes to policies and procedures.*** d. Providing assurance is a HR departmental priority. e. Evaluations examining the efficiency and effectiveness of key HR programs and services are conducted on a recurring basis, ensuring that all HR functional areas are reviewed periodically. f. Evaluations cover a sufficient proportion of services/actions to reliably measure technical work quality. g. Both assurance and evaluation activities complement other internal and external assessments, thus avoiding redundancy.

Key Contributing Elements	Success Attributes/Indicators

HR Metrics and Continuous Improvement	1. **Success Attribute:** The HR Department defines a comprehensive set of metrics by which HR programs and services are measured.
	
	Success Indicators:
	  a. ***HR Department metrics include both quantitative and qualitative indicators, which are used to guide improvements (illustrative measures are shown below).***
	  b. ***HR metrics are coordinated with Location stakeholders to assure that they are meaningful, responsive and linked to mission priorities.***
	  c. The HR Department periodically obtains manager, supervisor and workforce feedback to measure satisfaction with HR program and services.
	  d. HR metrics compare Location data against appropriate benchmarks and peer service providers.
	
	2. **Success Attribute:** HR performance demonstrates a culture and practice of continuous improvement.
	
	Success Indicators:
	  a. ***Needed improvements to HR programs and services are initiated and completed in a timely manner.***
	  b. Staff affirms that continuous improvement is a cultural value and a performance expectation within the HR Department.
	  c. The HR Department researches best practices and benchmarks its operations as a means to identify more effective approaches.

Key Contributing Elements	Success Attributes/Indicators
HR Staff Management	**Success Attribute:** The HR Department employs, or has ready access to, sufficient numbers of fully competent staff to carry out its mission successfully. **Success Indicators:** a. ***HR staff numbers and competencies are periodically assessed, gaps are identified and actions taken to assure needed competencies are present.*** b. ***The importance of adherence to ethical standards and legal requirements (for example, privacy and confidentiality) is communicated to staff members.*** c. HR recruiting and training plans remedy competency shortcomings. d. HR systematically determines the feasibility and cost-effectiveness of acquiring competencies/services through contracting or outsourcing.
Systems and Infrastructure Management	**Success Attribute:** The Location has the needed infrastructure and resources to accomplish priority HR work in a cost effective manner. **Success Indicators:** a. ***The HR Department determines its requirements for staff, facilities, training, systems, and other resources to ensure an effective HR operation.*** b. ***In communicating its resources needs to Location leaders, the HR Department describes how added resources will improve HR operations and help achieve Location goals and objectives.*** c. The HR Department analyzes the optimal way to accomplish HR work, including process reengineering options, outsourcing, cross-servicing and automation. d. The HR Department has taken steps to ensure continuity of HR operations in the event of local or national emergencies.

Key Contributing Elements	Success Attributes/Indicators
HR Consultation and Assistance	**Success Attribute:** The HR Department provides guidance and support that assists managers, supervisors and employees in solving problems in a timely, responsive manner. **Success Indicators:** a. ***The HR Department analyzes HR related problems, helps managers and supervisors set priorities and defines options and alternatives for solutions, which includes information on cost and likely organizational impact.*** b. ***The HR Department takes the initiative of identifying emerging issues and offers assistance to customers before being asked.*** c. The HR Department builds and maintains collaborative and consultative relationships with its customers. d. The HR Department implements, or helps implement, approved solutions. e. HR Staff promptly and accurately responds to questions about HR issues and concerns. f. The HR policies and guidance are easy to understand and follow.

Illustrative Measures: Frequency of assurance and evaluation activities; proportion of HR functions covered by review activities; comprehensiveness of published metrics; actual performance against targets, including trend data; customer, manager, supervisor and employee satisfaction with delivery, content and effect of HR programs; feedback on value of advice and assistance provided by HR; expense and FTE ratios.

CAHRS *Standard for Employment and Talent Management*

Definition of Standard: The Location acquires the talent needed to achieve mission goals and objectives and effectively manages its employees to enhance organizational capacity and improve individual performance. Key contributing elements are:

- Talent Acquisition
- Talent Management
- Performance Management
- Rewards and Recognition

Key Contributing Elements	Success Attributes/Indicators

Talent Acquisition	2. **Success Attribute:** The Location's talent acquisition policies, programs, and/or activities provide an effective framework for expeditiously acquiring the talent needed to achieve mission goals and objectives, consistent with UC policies.
	
	    Success Indicators:
	    a. ***These policies, programs, and/or activities are current and consistent with UC policies, ethical values, standards of conduct, and related principles, and comply with other appropriate contracts, laws, rules and regulations.***
	    b. ***Relevant policies, programs, and/or activities are linked to and facilitate the Location's achievement of its mission, goals, and objectives.***
	    c. These policies, programs, and/or activities are effectively communicated to employees and managers.
	
	3. **Success Attribute:** The Location acquires a sufficient number of highly skilled, diverse and competent employees when needed to meet priority mission needs.
	
	    Success Indicators:
	    a. ***The Location recruits qualified and diverse candidates based on identified needs and recruitment plans.***
	    b. Vacancies are filled within a timeframe collaboratively set by the HR Department and its clients.
	    c. Recruitment strategies identify underrepresented groups and reflect the diversity of the Location, community, and customer base.

Key Contributing Elements	Success Attributes/Indicators
	d. Marketing, recruitment material, and interviews inform candidates of UC mission, goals, objectives, culture, employment contract, and total compensation and benefits packages and include an emphasis on attracting well qualified candidates for hard to fill positions. e. The Location develops relationships with recruitment sources to ensure candidate pipelines especially for hard to fill positions.
Talent Management	1. **Success Attribute:** The Location designs and classifies its work and helps employees manage their careers in order to strengthen organizational and individual performance. **Success Indicators:** a. ***Job design and classification encourage career growth and retention, thus ensuring a sufficient number of qualified candidates to fill leadership and mission critical positions.*** b. Jobs are designed, structured and classified to facilitate the accomplishment of current and future work. c. The position classification system provides clear and consistent position descriptions and titles, facilitates internal classification equity, and promotes career paths for critical positions. d. HR policies, procedures, and/or practices encourage managers/supervisors to balance employee career development needs and organizational needs when making assignment decisions. e. HR provides assistance and guidance to managers/supervisors to help them mentor employees. 2. **Success Attribute:** The Location effectively uses approaches and tools to retain critically needed talent consistent with UC guidelines. **Success Indicators:** a. ***Based on data and retention problems, the Location proposes and implements, to the extent possible, policies and programs to retain needed competencies.*** b. The HR Department gathers information from employees about the pros and cons of working at UC, and uses this information to modify programs and policies as appropriate. c. Exit interviews are conducted to determine why employees leave, and this information is used to modify programs and policies as appropriate.

Key Contributing Elements	Success Attributes/Indicators
	3. **Success Attribute:** The Location responds effectively and responsibly to new conditions which require changes in workforce composition and/or deployment. **Success Indicators:** a. ***The Location determines the need for workforce transitions based on current or emerging redundancies and skill gaps in terms of work, occupations, or specific skill categories, and analyzes their implications for the size and composition of the workforce.*** b. The Location manages workforce transitions in a way that minimizes adverse workforce impact by, for example, providing benefits counseling, reemployment programs, and placement assistance. c. The Chief HR Officer ensures that the Location leadership is aware of any transition issues, and proposes strategies for dealing with these issues.
Performance Management	**Success Attribute:** The Location's managers and employees demonstrate a commitment to performance improvement and accountability. **Success Indicators:** a. ***The Location ensures that performance assessments are conducted in accordance with UC policies and procedures.*** b. Managers and supervisors are accountable for providing meaningful and ongoing performance feedback to the workforce. c. Performance feedback includes linking an employee's performance to the Location's mission, goals, and objectives. d. Managers establish performance expectations that provide a basis for making meaningful distinctions in the performance of employees. e. Employee surveys and other feedback demonstrate that employees feel they are accountable for delivering quality performance which meets or exceeds expectations. f. Location managers identify training and development needs to help employees improve their performance. g. Performance appraisal is integrated as appropriate with promotion, compensation, and rewards and recognition decision making.

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Key Contributing Elements	Success Attributes/Indicators

Rewards and Recognition	**Success Attribute:** The Location's reward and recognition actions result in sustained employee and organizational performance.
	
	Success Indicators:
	  a. ***Reward programs recognize both specific and sustained contributions that result in achievement of organizational objectives and priorities.***
	  b. Rewards and recognition are consistently administered and fairly distributed among categories and levels of employees.
	  c. Rewards and recognition are integrated as appropriate with other HR programs such as performance appraisal, compensation, and promotion.

Illustrative Measures: Fill rates i.e., times to fill compared to established targets; hire offer acceptance rates; manager/supervisor satisfaction with quality of hires; competency gap closure as a result of hiring actions; cost per hire; employee satisfaction with career management, performance management and rewards; effectiveness of retention offers in preventing loss of critical employees; percent of appraisals completed on time**.**

CAHRS *Standard for Total Compensation and Benefits*

Definition of Standard: Within the scope of its delegated compensation and benefits responsibilities, the Location manages these functions so as to attract, retain and motivate a highly qualified diverse workforce, at the same time exercising stewardship of public funds consistent with UC total compensation philosophy and policies. Key contributing elements are:

- Analysis and Design
- Salary and Benefits Administration

Key Contributing Elements	Success Attributes/Indicators
Analysis and Design	**1. Success Attribute:** The Location's compensation decisions are guided by relevant UC total compensation philosophy and policies, linked to the Location's mission, goals and objectives, and result in a highly qualified diverse workforce. **Success Indicators:** a. *Location compensation actions are consistent with current Regental guidelines and/or other UC compensation policies, laws and regulations, including adherence to internal equity requirements.* b. *Compensation policies and actions support achievement of the Location's mission, goals and objectives.* c. The HR Department periodically collects data regarding the extent to which the total compensation and benefits package helps attract and retain a highly qualified and diverse workforce. **2. Success Attribute:** The HR Department analyzes data and proposes changes to increase the effectiveness of its compensation and benefits package in attracting, retaining and motivating a high quality and diverse workforce. **Success Indicators:** a. *HR monitors attrition rates, obtains information on causes of turnover, and considers difficulties in filling vacancies and other indications of problems attracting and retaining employees to determine if compensation and benefit changes are warranted.* b. *As appropriate, the Location proposes changes and provides other feedback regarding UC compensation and benefits policies and programs.*

Key Contributing Elements	Success Attributes/Indicators
	c. HR considers cost impact of proposed compensation and benefit changes. d. HR conducts, as appropriate, wage, salary and benefits surveys, analyzes market trends, considers appropriate benchmarks, and reviews other relevant data affecting the workforce to determine how UC compares with appropriate comparators.
Salary and Benefits Administration	**1. Success Attributes:** Compensation and benefits responsibilities are carried out in a timely, efficient, and responsive manner. **Success Indicators:** a. ***Pay determinations and relevant documentation are complete, accurate and timely.*** b. ***Appropriate internal controls are in place to safeguard public funds and ensure compliance with eligibility requirements.*** c. ***Pay and benefits information is handled in accordance with appropriate confidentiality guidelines.*** d. Payroll processing systems enable easy extraction of periodic, annual and historical data necessary to support required reporting requirements. e. Benefits counseling for current employees and retirees is accurate, timely and efficient. **2. Success Attributes:** Managers, employees and applicants receive sufficient information about the components of UC's compensation and benefits programs to understand its intent and appreciate its value. **Success Indicators:** a. ***Compensation and benefits information is effectively communicated to managers, supervisors, employees, and applicants.*** b. By widely disseminating information on the value of its compensation and benefits package, the Location's ability to recruit and retain highly qualified employees is enhanced. c. Informational materials (such as recruiting brochures) are updated as warranted to remain current.

Illustrative Measures: Market compensation rate comparison data; percentage of employees who decline employment due to dissatisfaction with compensation and/or benefits; percent of actions or services provided within established timeframes; employee/supervisor/manager satisfaction with compensation and benefits; expenditure data; cost per employee; frequency of internal compliance reviews and error percentages.

Essential Indicators = Success Indicators **that must be met** in order to Substantially Meet the Standard are displayed in ***bold italics*** text

CAHRS *Standard for Training and Development*

Definition of Standard: The Location's training and development programs equip employees with the requisite competencies to achieve current and future mission requirements and improve individual and organizational performance. Key contributing elements are:

- Needs Assessment
- Program Design, Delivery and Evaluation

Key Contributing Elements	Success Attributes/Indicators
Needs Assessment	**Success Attribute:** The Location periodically identifies the training, development and/or education required to meet mission goals and objectives, fill critical skill gaps and help employees fulfill their job expectations. **Success Indicators:** a. ***Core competencies and skills needed to perform current and future mission critical and leadership work are identified and documented (for example through a skills inventory process).*** b. ***Gaps between needed and available competencies and skills are identified.*** c. ***Appropriate training and education solutions are identified.*** d. Training and development needs are prioritized to ensure that the most critical shortfalls are addressed.
Program Design, Delivery and Evaluation	**1. Success Attribute:** Training, development and/or education policies, programs and/or activities are designed to improve individual and organizational performance to accomplish current and future mission and leadership requirements. **Success Indicators:** a. ***These policies/procedures, programs, and/or activities are current and consistent with UC policies, ethical values, standards of conduct and related principles, and comply with other appropriate contracts, laws, rules, and regulations.*** b. ***Relevant policies/procedures, programs, and/or activities are aligned with and facilitate the Location's achievement of its mission, goals and objectives.*** c. ***These policies/procedures, programs, and/or activities are effectively communicated to employees and managers.***

Key Contributing Elements	Success Attributes/Indicators
	2. Success Attribute: Appropriate strategies and approaches are used to assure effective, efficient programs and/or activities to help employees improve performance and enhance career development. **Success Indicators:** a. ***In developing its training strategies, the HR Department considers a variety of available training options (such as external courses, in-house design, commercial off the shelf), and incorporates approaches appropriate for various learning styles.*** b. As appropriate, training programs and/or activities incorporate a variety of techniques such as group or distance learning, computer-aided, instructor-led, etc. c. Training participants are provided information on the link between their training and their duties and responsibilities. **3. Success Attribute:** The Location delivers sufficient and timely training to meet priority needs. **Success Indicators:** a. ***Locations provide mandated training (e.g. sexual harassment and ethics) as well as needed technical and non-technical training.*** b. ***Training and development needs are prioritized to ensure that the most critical gaps are addressed***. c. Priority training programs are implemented to the extent funding is available. d. The timing and quantity of training efforts are based on Location priorities. e. Training programs and/or activities promote the development of internal pipelines for leadership and mission critical positions. **4. Success Attribute:** Training and development programs and/or activities are evaluated to improve content, delivery and timing. **Success Indicators:** a. ***Course evaluations and/or other data are used to continually improve training programs.*** b. Training programs/or activities are evaluated to determine their impact on competency levels and gap closures. c. Data is collected from participants and supervisors regarding the impact of training on performance, its timeliness, course content and delivery, and the accessibility of training.

Illustrative Measures: Accomplishments against training targets; percentage of competency gap closed; total training costs over headcount; percentage of employees/supervisors or managers trained; training days or hours; employee overall satisfaction with training; supervisor/manager overall satisfaction with training; cost per trainee; training expenditures as a percent of total budget.

CAHRS Standard for Work Environment and Employee/Labor Relations

Definition of Standard: The Location provides a productive work environment by dealing with employees and recognized bargaining units in a fair and constructive manner and promoting a safe and supportive work environment. Key contributing elements are:

- Work Life
- Health and Safety
- Employee and Labor Relations

Key Contributing Elements	Success Attributes/Indicators

Work Life	1. **Success Attribute:** The Location's work life policies, programs, and/or activities provide a framework for a supportive work environment necessary to achieve UC's mission, goals and objectives consistent with UC policies.
	
	   Success Indicators:
	   a. *Work life policies, programs and/or activities are current and consistent with UC policies, ethical values, standards of conduct, and related principles, and comply with relevant laws, regulations and contractual requirements.*
	   b. *Work life policies, programs and/or activities contribute to the achievement of Location mission, goals and objectives.*
	   c. Work life policies and programs are effectively communicated to employees and managers.
	
	2. **Success Attribute:** The Location's work life policies, programs, and/or activities promote work and family balance and contribute to UC as an employer of choice.
	   a. *Work life programs are designed to respond to organizational and employee needs.*
	   b. Work life programs are effective and available.
	   c. Programs are sufficiently funded to maintain their viability.
	   d. Workforce input is solicited and used in designing and/or modifying work life programs.

Key Contributing Elements	Success Attributes/Indicators

Health & Safety	1. **Success Attribute:** The Location's health and safety policies, programs, and/or activities provide a framework which promotes a safe and healthy working environment.
	
	Success Indicators:
	  a. *Health and safety policies, programs and/or activities are current and consistent with UC policies, ethical values, standards of conduct, and related principles and comply with relevant laws, regulations and contractual requirements.*
	  b. *Health and safety policies, programs and/or activities facilitate the achievement of Location mission goals and objectives.*
	  c. Health and safety policies and programs promote employee wellness.
	  d. The HR Department has developed emergency responses for dealing with the workforce impact of such occurrences as workplace violence, natural disasters, outbreaks of epidemics, etc.
	  e. Health and safety policies and programs are effectively communicated to employees and managers.
	
	2. **Success Attribute:** The Location mitigates employee on-the-job injuries, minimizes worker compensation costs and absenteeism, and provides reasonable accommodation to employees with disabilities.
	
	Success Indicators:
	  a. *Managers and supervisors are provided sufficient information to carry out their health, reasonable accommodations and safety-related responsibilities.*
	  b. On-the-job injury cases are monitored to determine the status of injured employees and to facilitate their return to work.
	  c. Managers and supervisors are provided with timely information and training regarding their responsibilities for authorizing and managing reasonable accommodations.
	  d. Reasonable accommodations enable the Location to retain employees in a productive capacity.

Employee and Labor Relations	1. **Success Attribute:** The Location's employee and labor relations philosophy, policies, programs and/or activities pertaining to dispute resolution, conduct and discipline, work life enhancements and collective bargaining provide an effective framework for creating and maintaining a constructive work environment, consistent with UC policies, values and other requirements.

Key Contributing Elements	Success Attributes/Indicators

	Success Indicators:
	   a. *Employee and labor relations policies, programs and/or activities are current and consistent with UC policies, ethical values, standards of conduct and related principles, and comply with relevant laws, regulations and contractual requirements.*
	   b. *Employee and labor relations policies, programs and/or activities promote a constructive work environment, which facilitate the achievement of Location mission, goals and objectives.*
	   c. *Employee and labor relations policies and programs are effectively communicated to employees and managers.*
	
	 2. Success Attribute: The Location's employee and labor relations policies, programs, and/or activities result in a fair, constructive and supportive work environment.
	
	 Success Indicators:
	 Dispute Resolution
	   a. *Internal and external complaints (grievances, EEO complaints, unfair labor practices, impasses, whistleblower or other third party complaints) are processed and resolved in a timely manner in accordance with UC policies and other legal requirements.*
	   b. Managers and supervisors are provided assistance, training, and consultative support in dispute resolution, including such topics as relationship-building and problem-solving.
	   c. Informal settlements of disputes are achieved to the extent possible.
	
	 Conduct and Discipline
	   a. *Managers and supervisors are sufficiently aware of standards of conduct and discipline processes to enable them to take prompt and appropriate action and/or seek assistance when cases arise.*
	   b. *Disciplinary actions are processed in a timely manner and are procedurally correct.*
	   c. The employee discipline processes include both immediate and progressive discipline.

Key Contributing Elements	Success Attributes/Indicators
	Collective Bargaining and Contract Administration a. ***Within the scope of its delegated authority, the Location's negotiations, collaborations and other interactions are conducted in good faith as outlined in UC's labor relations philosophy and principles.*** b. ***The HR Department ensures that timely training and/or information is provided to Location leaders, managers, and supervisors on the content of collective bargaining agreements and their related roles and responsibilities.*** c. Contract negotiations and collaborations result in timely agreements, where possible. d. Comprehensive information is provided to the entire workforce (i.e., management, union, and employees) regarding the contract provisions.

Illustrative Measures: Voluntary separation rate; contract negotiation timeliness; dispute processing timeliness; absenteeism; dispute resolution outcome ratio; employee satisfaction with work environment and work life programs; supervisor/manager satisfaction with employee/labor relations; grievance resolution ratio, complaints, disciplinary actions; proportion resolved informally; injury loss time factors.

EIGHT STEPS FOR CHANGE MANAGEMENT IMPLEMENTATION

John Kotter, a leading change expert, developed eight steps to implement change successfully. Done well and in sequence (this is a must), the steps engender the power and motivation needed to deal with the inertia and resistance that often accompany large-scale change. The steps are:

Eight Steps for Change Management Implementation	
1. Create a sense of urgency	It is important for leadership to create a sense of urgency and develop a bold message that provides compelling reasons to do things differently.
2. Build a guiding team	Because major change is so difficult to accomplish, an organization needs sponsors, people with clout and influence, to make things happen. The second step in the change process calls for creating a guiding team composed of high-performing leaders who have a record of achieving results through others.
3. Create the vision and action plan	Once issues are identified and related to key business objectives, it is possible to incorporate them in a vision statement -- the "to be" state of the organization.
4. Communicate for buy-in	Communicating the vision, action plan and expected benefits for the initiative(s) is essential before, during and after the launch of any effort.
5. Empower action	The purpose of empowering everyone is to ensure that a broad base of people can take action.
6. Create short-term wins	Leading organizations focus and create short-term wins, victories that nourish faith in the change effort, emotionally reward the hard workers, keep the critics at bay and build momentum.
7. Don't let up	The challenge is that changed practices can be very fragile until they have been embedded into the culture. In successful situations, people build on the momentum of short-term wins to make the vision a reality and sustain the urgency.
8. Make the changes last	Anchoring change in an organizational culture happens at the end of the transformation process. Whether the change lasts or not depends on: (1) results - new approaches usually sink into an organizational culture only after it is very clear that they work and are superior to old methods; (2) requires a lot of talk - without verbal instruction and support, people often are reluctant to admit the validity of new practices; and (3) may involve turnover. Sometimes the only way to really change is to change key people.

Note - Implementation of needed changes in any large-scale initiative implementation is challenging and requires time. If an organization is too constrained by limited staff resources and a limited budget, it is better to break initiative implementation into several parts by selecting one or two key areas needing the greatest improvement and focusing on them.