SKILLS AND COMPETENCIES WORKBOOK 2024

APPENDICIES

Appendix 1

Sample Organizational Competencies

Adaptability/Flexibility – Adapts well to changes in assignments and priorities. Adapts behavior or work methods in response to new information, changing conditions, or unexpected obstacles. Approaches change positively and adjusts behaviors accordingly.

Communication – Clearly conveys and receives information and ideas, through a variety of media, to and from individuals and groups in a manner that engages the listener, helps them understand and retain the message, and invites response and feedback. Keeps others informed as appropriate. Demonstrates applicable job-related written, oral, listening and interpersonal skills.

Customer Engagement – Identifies and responds to current and future client needs and provides excellent service to internal and external clients.

Diversity and Inclusion - Works effectively in an inclusive workplace where individual differences and perspectives are respected and leveraged to achieve organizational goals.

Ethics and Integrity – Exhibits trustworthiness and ethical behavior, with consideration of the impact and consequences.

Innovative Mindset - Demonstrates curiosity, develops new insights, considers creative approaches and applies novel solutions.

Relationships – Builds and maintains relationships internally and externally. Works collaboratively with others.

Safety – Provides a safe environment for employees and the public to live and work.

Stewardship – Is responsible and accountable for managing resources well, choosing to use influence to serve the long-term collective good of the public. Places public interests above self-interests and focuses on the larger purpose or mission of the organization.

Teamwork - Participates as an active and contributing member of a team to achieve team goals. Works cooperatively with other team members, involves others, shares information as appropriate and shares credit for team successes.

Work Standards/Quality Orientation – Sets high quality work standards and well-defined, realistic goals for oneself. Displays a high level of effort and commitment towards completing assignments in a timely manner with thoroughness and accuracy. With minimal supervision, monitors and checks work to ensure they meet standards. Is motivated to achieve.

Sample Occupational Competencies

Accounting - Knowledge of traditional accounting practices including accrual, obligations, and cost methods.

Auditing - Knowledge of generally accepted auditing standards and procedures for conducting financial and compliance, economy and efficiency, and program audits.

Chemical Engineering - Knowledge of the concepts, principles, and theories related to the chemical composition or physical characteristics of materials for the design, construction, operation, and improvement of processes or systems.

Civil Engineering - Knowledge of the concepts, principles, theories, and methods required to plan, design, construct, operate, and maintain facilities such as buildings, transportation systems, water and sanitary systems, and other public works systems.

Clerical - Knowledge of filing, typing, entering data, maintaining records, taking shorthand, and using and completing forms.

Electrical Engineering - Knowledge of the concepts, principles, theories, and methods related to the design, analysis, test, and integration of electrical systems; energy conversion; electrical power generation; and energy transmission, control, distribution or use.

Grants Management - Knowledge of requirements, practices, and procedures for soliciting, receiving, reviewing, and processing proposals, and awarding and administering grants and agreements.

Labor Law - Knowledge of state and Federal employment laws, regulations, guidelines, and legal precedents related to hiring practices, equal employment opportunity, and wage and hour restrictions.

Mechanical Engineering - Knowledge of concepts, principles, theories, and methods related to planning, designing, developing, testing, or evaluating thermodynamic, mechanical, electromechanical, pneumatic, hydraulic, or structural equipment, systems, models, tools, or specialized mechanical devices.

Project Management - Knowledge of the principles, methods, or tools for developing, scheduling, coordinating, and managing projects and resources, including monitoring and inspecting costs, work, and contractor performance.

Surveying - Knowledge of the concepts, principles, theories, and methods used in the measurement or determination of land boundaries, distances, elevations, areas, angles, and other features of the earth's surface

Sample Job Specific Competencies

Decision Making - Makes sound, well-informed, and objective decisions; perceives the impact and implications of decisions; commits to action, even in uncertain situations, to accomplish organizational goals; causes change.

Attention to Detail - Is thorough when performing work and conscientious about attending to detail.

Change Management - Knowledge of change management principles, strategies, and techniques required for effectively planning, implementing, and evaluating change in the organization.

Decisiveness - Makes well-informed, effective, and timely decisions, even when data are limited, or solutions produce unpleasant consequences; perceives the impact and implications of decisions.

Influencing/Negotiating - Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.

Initiative – Identifies and deals with issues proactively and persistently, seizing opportunities that arise.

Leadership - Influences, motivates, and challenges others; adapts leadership styles to a variety of situations.

Listening - Receives, attends to, interprets, and responds to verbal messages and other cues such as body language in ways that are appropriate to listeners and situations.

Oral Communication - Expresses information (for example, ideas or facts) to individuals or groups effectively, taking into account the audience and nature of the information (for example, technical, sensitive, controversial); makes clear and convincing oral presentations; listens to others, attends to nonverbal cues, and responds appropriately.

A comprehensive list of competencies can be found in the United States Office of Personnel Management's "Multipurpose Occupational Systems Analysis Inventory - Close-Ended (MOSAIC) Competencies."[1]

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[1] *Multipurpose Occupational Systems Analysis Inventory -Close-Ended (MOSAIC) Competencies a New Day for Federal Service*. (2013). https://www.opm.gov/policy-data-oversight/assessment-and-selection/competencies/mosaic-studies-competencies.pdf

Appendix 2

Sample Competency Surveys and Assessments

Sample All Staff Survey Competency Assessment

Communication
Listens, writes, and presents ideas, opinions, and information in diverse situations.

Key Skills
Listening | Speaking | Writing

Proficiency Level Behavior Indicators:

Listening	
Level 1: Novice	Seeks first to understand. Asks clarifying questions.
Level 2: Basic	Receptive to feedback. Uses active listening skills.
Level 3: Intermediate	Encourages feedback from others. Incorporates feedback for improvement.
Level 4: Advanced	Provides feedback based on listening. Models active listening in interactions with others. Coaches others on the art of listening.
Level 5: Expert	Creates an environment that encourages and supports active listening and feedback throughout the organization.

1. On a scale of 1 to 5, with 1 being Novice and 5 being Expert, please select the level that best describes your consistent behavior or ability.

Level 1 – Novice	Level 2 – Basic	Level 3 – Intermediate	Level 4 – Advanced	Level 5 - Expert
☐	☐	☐	☐	☐

This rating will help you establish a baseline and/or track the current level of proficiency in your organization.

2. On a scale of 1 to 5, with 1 being Novice and 5 being Expert, please rate the level of proficiency you wish you consistently had for this behavior or ability in your current position.

Level 1 – Novice	Level 2 – Basic	Level 3 – Intermediate	Level 4 – Advanced	Level 5 - Expert
☐	☐	☐	☐	☐

This rating will help you determine where employees desire to be developed.

Speaking	
Level 1: Novice	Uses appropriate tone in one on one communication. Language is appropriate and respectful. Avoids distracting mannerisms.
Level 2: Basic	Uses appropriate tone in group communication. Speaks in clear and simple language. Speaks with clarity on own area of expertise; technically complex topics.
Level 3: Intermediate	Incorporates diverse information into clear, cohesive message. Messaging is well organized, relatable and informs audience. Checks for understanding.
Level 4: Advanced	Persuades and influences audience. Represents program with credibility, authority, and confidence.
Level 5: Expert	Speaks with confidence on complex and sensitive matters. Addresses most senior executive and legislative audiences. Speaks inspirationally. Publicly recognizes excellence in individual and team performance.

3. On a scale of 1 to 5, with 1 being Novice and 5 being Expert, please rate your level of proficiency for this behavior.

Level 1 – Novice	Level 2 – Basic	Level 3 – Intermediate	Level 4 – Advanced	Level 5 - Expert
☐	☐	☐	☐	☐

4. On a scale of 1 to 5, with 1 being Novice and 5 being Expert, please rate the level of proficiency you wish you had for this behavior your current position.

Level 1 – Novice	Level 2 – Basic	Level 3 – Intermediate	Level 4 – Advanced	Level 5 - Expert
☐	☐	☐	☐	☐

Sample Competency Assessment Survey from California Department of Public Health

CDPH Competency Assessment Survey

Introduction

The Purpose of this Survey

Competencies are critical to the success of our work to achieve the mission of CDPH. This survey will help identify gaps and opportunities in our collective competencies.

The Human Resources Division (HRD) will use the survey results to determine departmental training priorities and workforce needs.

The competencies in this assessment were adopted from the Department of Human Resources' (CalHR) Statewide Competency Model and include the core and leadership competencies. Core competencies are fundamental to all employees.

You will be asked to self-assess your current and desired proficiency levels for several skills categorized by competencies.

- Be honest in your assessment of your current proficiency levels.
- For each skill select the set of behaviors and abilities that you consistently practice.
- Consider how your supervisor, mentor, peers or others would assess your competency.

Note: Only employees in positions that manage staff will be asked to self-assess their leadership competencies in addition to their core competencies.

Confidentiality

This is a self-assessment and all responses will remain anonymous. Your individual responses will not be traced back to you and will not be used by the department for rating your job performance.

Questions

Please contact the Workforce Planning Unit at cdphwfdevelopment@cdph.ca.gov, if you have any questions about the survey or its use.

CDPH Competency Assessment Survey

* 1. Please select your center/division/office:

>

* 2. Choose the category that best represents your current position/classification

* 3. How long have you been in your current position?
- Less than six months
- Six months to less than one year
- 1-2 years
- 3-5 years
- 6-10 years
- Over 10 years

CDPH Competency Assessment Survey

Competency: Collaboration | Skill: Teamwork

Teamwork Proficiency Levels				
Level 1 - Novice	Level 2 - Basic	Level 3 - Intermediate	Level 4 - Advanced	Level 5 - Expert
I seek assistance, information, and support from others.	I provide assistance, information, and support to others to build a basis for reciprocity.	I use SMART (Specific, Measurable, Achievable, Results-oriented, Time-bound) goals. I share vision to accomplish goals and objectives.	I foster mutually beneficial relationships by creating collaborative networks to achieve organizational goals. I ensure alignment with vision and strategic goals.	I inspire teams to accomplish long-term strategic goals and objectives. I acknowledge contributions, recognize accomplishments, celebrate achievement; actively monitor team morale, seek to engage team with meaningful work.

Tip: Be honest in your assessment of your current proficiency levels. Consider how your supervisor, mentor, peers or others would assess your competency.

4. Competency: Collaboration | Skill: Teamwork

	Level 1 - Novice	Level 2 - Basic	Level 3 - Intermediate	Level 4 - Advanced	Level 5 - Expert
Please select the level that best describes your consistent behavior and ability.	○	○	○	○	○
Please select the level that you desire to be at in your current position.	○	○	○	○	○

CDPH Competency Assessment Survey

Competency: Collaboration | Skill: Building Relationships

Building Relationships Proficiency Levels				
Level 1 - Novice	Level 2 - Basic	Level 3 - Intermediate	Level 4 - Advanced	Level 5 - Expert
I maintain working relationships within the workgroup.	I build relationship outside of workgroup. I attend communities of practice or special interest groups.	I build and maintain mutually beneficial relationships by working collaboratively with stakeholders, diverse groups or teams. I contribute to communities of practice or special interest groups.	I assist others within and outside the organization in the development of collaborative networks in order to meet shared business objectives. I organize communities of practice or special interest groups.	I establish business-to-business relationships. I create policy and memos to memorialize relationships. I sponsor communities of practice or special interest groups.

Tip: Be honest in your assessment of your current proficiency levels. Consider how your supervisor, mentor, peers or others would assess your competency.

5. Competency: Collaboration | Skill: Building Relationships

	Level 1 - Novice	Level 2 - Basic	Level 3 - Intermediate	Level 4 - Advanced	Level 5 - Expert
Please select the level that best describes your consistent behavior and ability.	○	○	○	○	○
Please select the level that you desire to be at in your current position.	○	○	○	○	○

CDPH Competency Assessment Survey

Competency: Collaboration

6. Please select and rank the following skills for *Collaboration* by how necessary they are for your position. Drag and drop or use the arrows to place the skills in order: first or second level ranking.

≡ [⬍] Teamwork

≡ [⬍] Building relationships

CDPH Competency Assessment Survey

Additional Competencies/Skills

* 64. If you could further develop in three skill areas for your **current** position to ensure you are successful and can better support program needs, what would they be?

- [ ] Writing
- [ ] Active listening
- [ ] Presentation skills
- [ ] Problem-solving
- [ ] Adaptability
- [ ] Critical thinking
- [ ] Analytical thinking
- [ ] Creativity and innovation
- [ ] Inclusive leadership
- [ ] Collaboration skills
- [ ] Customer-centric
- [ ] Emotional intelligence

- [ ] Data analytics/visualization
- [ ] Cybersecurity
- [ ] Teamwork
- [ ] Policy development
- [ ] Community engagement
- [ ] Resilience
- [ ] Negotiation skills
- [ ] Developing and coaching others
- [ ] Strategic thinking
- [ ] Decision-making
- [ ] Personal accountability
- [ ] Change management

- [ ] Interpersonal relationship skills
- [ ] Time management
- [ ] Motivating others
- [ ] Performance management
- [ ] Quality improvement
- [ ] Cognitive flexibility
- [ ] Engagement
- [ ] Innovation
- [ ] Influencing others
- [ ] None
- [ ] Other

* 65. If you could further develop in three skill areas for your **future** position to ensure you are successful and can better support program needs, what would they be?

- [ ] Writing
- [ ] Active listening
- [ ] Presentation skills
- [ ] Problem-solving
- [ ] Adaptability
- [ ] Critical thinking
- [ ] Analytical thinking
- [ ] Creativity and innovation
- [ ] Inclusive leadership
- [ ] Collaboration skills
- [ ] Customer-centric
- [ ] Emotional intelligence

- [ ] Data analytics/visualization
- [ ] Cybersecurity
- [ ] Teamwork
- [ ] Policy development
- [ ] Community engagement
- [ ] Resilience
- [ ] Negotiation skills
- [ ] Developing and coaching others
- [ ] Strategic thinking
- [ ] Decision-making
- [ ] Personal accountability
- [ ] Change management

- [ ] Interpersonal relationship skills
- [ ] Time management
- [ ] Motivating others
- [ ] Performance management
- [ ] Quality improvement
- [ ] Cognitive flexibility
- [ ] Engagement
- [ ] Innovation
- [ ] Influencing others
- [ ] None
- [ ] Other

Sample CalHR Readiness Assessment of Leadership Competencies

Business Acumen

Understands and demonstrates sound judgment, fiscal competence, and organizational business knowledge to optimize the quality of operations and services.

Skill	Behavioral Indicators-Business Acumen	Score	Strengths	Development Opportunities
Financial Management	**1 = Novice:** Adheres to all financial and budgetary rules and procedures. **2 = Basic:** Demonstrates the ability to read, interpret, and use budgets and projections to execute financially related activities. **3 = Intermediate:** Works with others to generate and manage financial allocations in support of strategic priorities after having analyzed their impact on the organization and with a demonstrable awareness of opportunity costs. **4 = Advanced:** Guides others in financial decision making and management regarding the expenditure of resources consistent with strategic initiatives and with a full understanding of opportunity costs and risk awareness. **5 = Expert:** Establishes systems to monitor expenditures, financial processes, and risk management within the organization to ensure that financial resources are effectively allocated to achieve goals and objectives.		Click here to enter text.	Click here to enter text.

Full Readiness Assessment can be found here.[2]

Sample Private Sector Employee Skill Evaluation Matrix[3]

Employees	Skills				
	Digital Fluency	Written Communication	Project Management	Customer Focus	Organizational Awareness
Steve	1	2	3	3	3
Anna	3	3	3	4	3
Bob	5	2	5	3	2
John	4	3	1	2	1
Kari	2	5	3	4	4

Skill Key

1	Training Required
2	Currently Trained
3	Basic
4	Skilled
5	Can Coach

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[2] Readiness Assessment -Leadership Competencies When should a department use the Readiness Assessment? Who should use the Readiness Assessment? (n.d.). Retrieved September 6, 2024, from https://www.calhr.ca.gov/workforce-planning/Documents/wfp-readiness-assessment-leadership-competencies-rev-nov-2023.pdf#search=competencies%20assessment

[3] Athuraliya, A., & Creately. (2024, January 31). Skills Matrix Templates to Optimize and Manage Your Workforce. Creately. https://creately.com/guides/skills-matrix-templates/

Basic Insights

- o Although Customer Focus has the highest overall proficiency, no one could serve as a coach in this area.
- o Organizational Awareness could use further development.
- o Steve could user further development in all skills.
- o Kari could be further developed as a Lead.
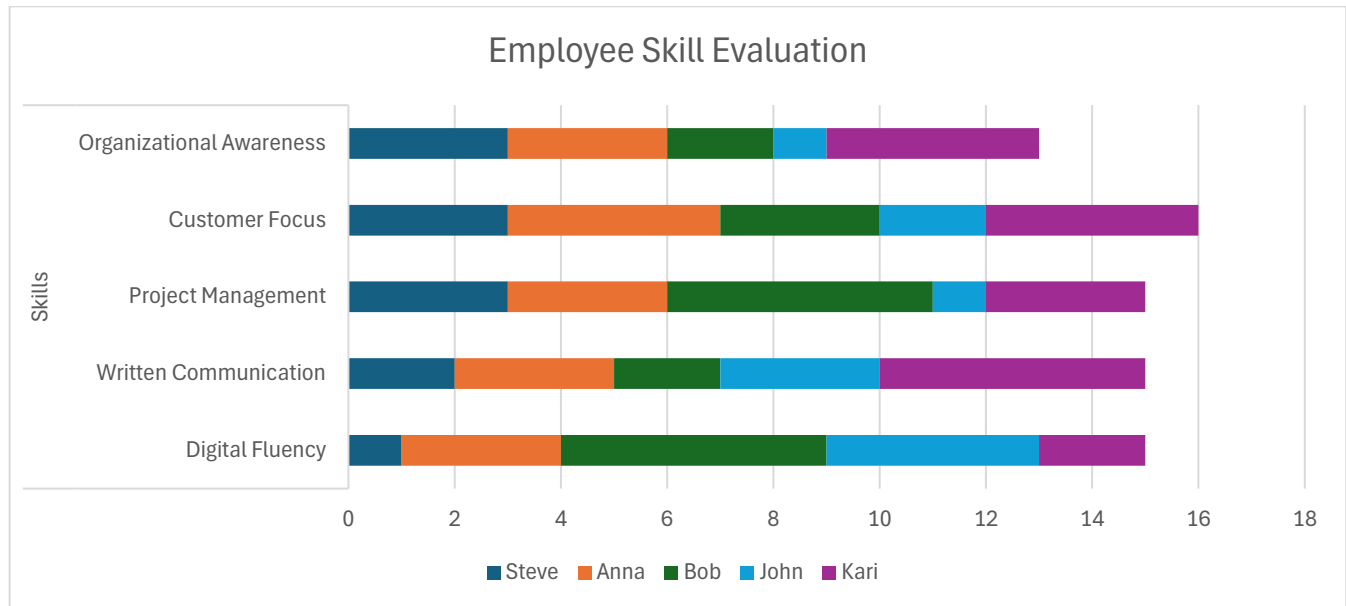
Sample Employee Evaluation Tool from CalSTRS

Staff
Performance Evaluation Competencies

CALSTRS
HOW WILL YOU SPEND YOUR FUTURE?

*Applies to Attorney IV and V and classifications in the following Class Family Groupings: Specialist, Associate Specialist and Senior Specialist.

STANDING

Improve	Focus	Maintain	Share	Mentor
Performance is *consistently unsatisfactory* in most essential areas of responsibility. Significant improvement is needed in one or more areas.	Performance *occasionally* needs improvement in essential area of responsibility.	Performance *consistently* meets expectations in most essential areas of responsibility.	Performance *occasionally* exceeds expectations in most essential areas of responsibility.	Performance *consistently* exceeds expectations in all essential areas of responsibility.

COMPETENCIES

Adaptability and Change Participation

Adapts to changes in a positive manner by being receptive and adjusting behaviors and work methods accordingly. Actively participates in and supports the process of change and transition.

Communication and Relationship Development

Demonstrates self-awareness, empathy, compassion, and adjusts communication accordingly to clearly convey information and ideas as appropriate to a broad range of situations and audiences, including peers, leadership, business partners, etc. Engages the listener, keeps them informed as appropriate, and invites response and feedback. Collaborates to gain others' support for ideas, proposals, projects and solutions. Develops, maintains and strengthens positive relationships with others.

*Additionally, High-Level Experts: Leverages strong communication skills that strengthen internal and external relationships with a focus on division and branch goals and objectives.

Customer Focus and Program Performance

As an individual contributor or subject matter expert/lead, identifies and provides recommendations to current and future customer needs both internally and externally.

Ethical Decision Making and Risk Management

Provides recommendations to solve problems innovatively that involve varied levels of complexity, ambiguity and risk. Identifies, assesses, and provides recommendations to manage risks while striving to attain objectives; exhibits trustworthiness and ethical behavior with consideration of the impact and consequences; and approaches situations with composure and equanimity under pressure to make sound decisions.

Knowledge and Organizational Awareness

Demonstrates knowledge of the laws, rules, policies and practices as they relate to the program's workings, structure, and culture of the organization, and provides recommendations to ensure alignment and swift adoption of changes.

*Additionally, High Level Experts: Demonstrates knowledge of the political, social, and economic issues affecting the business area, and demonstrates knowledge of Local, State, National, and/or Global perspectives potentially impacting the business area and provides recommendations to incorporate into business plans.

Quality Work Standards and Initiative

Sets high quality work standards with well-defined and realistic goals. Displays a high level of effort and commitment towards completing assignments in a timely manner with thoroughness and accuracy. Identifies and provides recommendations to proactively address issues, seizing opportunities that arise, and leveraging current and new technology to produce better outcomes.

Strategic Thinking and Implementation

Staff Check-In Conversation Tool

CALSTRS
HOW WILL YOU SPEND YOUR FUTURE?

Employee Name: (Last, First)	Classification:
Click or tap here to enter name.	Click or tap here to enter classification.
Frequency:	Date:
Click or tap to select frequency.	Click or tap to enter date of your conversation.

COMPETENCIES

Using the competencies below, identify performance in current position by selecting the standing and action.

1. Adaptability and Change Participation

Click or tap her to select Standing and Action. ▼

Choose an item.

Improve - To be successful, improve in this competency.
Focus - To be successful, focus on developing and sustaining this competency.
Maintain - Continue to develop competency for mastery.
Share - Seek opportunities to share expertise in this competency with others to develop to mastery.
Mentor - Mentor others in this competency to support the growth of others.

5. Quality Work Standards and Initiative

Click or tap her to select Standing and Action.

6. Ethical Decision Making and Risk Management

Click or tap her to select Standing and Action.

7. Strategic Thinking and Implementation

Click or tap her to select Standing and Action.

8. Knowledge and Organizational Awareness

Click or tap her to select Standing and Action.

Considerations for meeting the objectives above:

Provide career development feedback below (i.e. the employee is interested in a different career path or promotional opportunities) and encourage an IDP* to monitor development:

Sample Report of Probation from CalSTRS

Below you will find the Report of Performance for Probationary Employee (STD 636) used by most State Agencies.

STATE OF CALIFORNIA - DEPARTMENT OF HUMAN RESOURCES

REPORT OF PERFORMANCE
FOR PROBATIONARY EMPLOYEE

STD. 636 (REV. 10/2019) (Page of)

☐ FIRST
☐ SECOND
☐ THIRD

READ INSTRUCTIONS ON BACK BEFORE COMPLETING THIS FORM

NAME (Last)	(First)	(MI)	SOCIAL SECURITY NUMBER (LAST 4 DIGITS)	REPORT DATE

CIVIL SERVICE TITLE	POSITION NUMBER	DATE PROBATION ENDS

DEPARTMENT NAME	DIVISION / UNIT	EMPLOYEE'S HEADQUARTERS

YOUR WORK PERFORMANCE WILL DETERMINE WHETHER YOU OBTAIN PERMANENT CIVIL SERVICE STATUS

QUALIFICATION FACTORS	RATINGS ARE INDICATED BY "X" MARKS			
	UNACCEPTABLE	IMPROVEMENT NEEDED	STANDARD	OUTSTANDING
1. **SKILL**–Expertise in doing specific tasks; accuracy; precision, completeness, neatness, quantity.				
2. **KNOWLEDGE**–Extent of knowledge of methods, materials, tools, equipment, technical expressions and other fundamental subject matter.				
3. **WORK HABITS**–Organization of work; care of equipment; punctuality and dependability; industry; follows good practices of vehicle and personal safety.				
4. **RELATIONSHIPS WITH PEOPLE**–Ability to get along with others; effectiveness in dealing with the public, other employees, patients or inmates.				
5. **LEARNING ABILITY**–Speed and thoroughness in learning procedures, laws, rules and other details; alertness; perseverance.				
6. **ATTITUDE**–Enthusiasm for the work; willingness to conform to job requirements and to accept suggestions for work improvement; adaptability.				
7. **COMMUNICATION**–Exhibits aptitude toward good writing and verbal skills, can give concise information in working situations.				
8. **ABILITY AS SUPERVISOR**–Proficiency in training employees and planning, organizing, assigning and expediting work; leadership; understanding of and effectiveness in implementing departmental and State Personnel Board (SPB) personnel management policies including equal employment opportunity and affirmative action.				
9. **ADMINISTRATIVE ABILITY**–Promptness of action; soundness of decision, application of good management practices; understanding and effective implementation of departmental and SPB personnel management policies related to equal employment opportunity and affirmative action.				
10. **FACTORS NOT LISTED ABOVE** (Use additional sheets if more space is needed.)				
OVERALL RATING–The overall rating must be consistent with the factor ratings and comments, but there is no prescribed formula for computing the overall rating.				

COMMENTS TO EMPLOYEE–(Supervisor should include factual examples of exceptional or poor work and give suggestions as to how performance can be improved. Factor and overall ratings of unacceptable and overall ratings of outstanding must be substantiated. Use additional sheets if more space is needed).

This can be compared to the Report of Performance for Probation Employee used by CalSTRS which has been tailored to better align with their organizational competencies.

REPORT OF PERFORMANCE
FOR PROBATIONARY EMPLOYEE

CALSTRS

☐	FIRST
☐	SECOND
☐	THIRD

RATER – Before marking this report, please read instructions.

LAST NAME	FIRST NAME	MIDDLE INITIAL	REPORT DATE
CIVIL SERVICE TITLE		POSITION NUMBER 815- - -	PROBATION END DATE
DEPARTMENT NAME CalSTRS	BRANCH/DIVISION	EMPLOYEE'S HEADQUARTERS WEST SACRAMENTO	

YOUR WORK PERFORMANCE WILL DETERMINE WHETHER YOU OBTAIN PERMANENT CIVIL SERVICE STATUS

RATINGS ARE INDICATED BY X MARKS

QUALIFICATION FACTORS/CORE COMPETENCY/CORE VALUE	IMPROVEMENT NEEDED	MEETS STANDARDS	EXCEEDS STANDARDS
1. QUALITY OF WORK/QUALITY ORIENTATION/ACCOUNTABILITY: Consider the extent to which completed work is accurate, on-time, neat, well-organized, thorough and effective.	☐	☐	☐
2. WORK HABITS/WORK STANDARDS/STEWARDSHIP: Consider the employee's effectiveness in organizing and using work tools and time, in caring for equipment and materials, in following good practices of fund stewardship and vehicle and personal safety, etc.	☐	☐	☐
3. RELATIONSHIPS WITH PEOPLE/TEAMWORK/STRENGTH: Consider the extent to which the employee works cooperatively with others, recognizes the needs and desires of other people and treats them with respect and courtesy. Displays these qualities in dealing with the public, other employees, members and internal customers.	☐	☐	☐
4. TAKING ACTION INDEPENDENTLY/ADAPTABILITY/LEADERSHIP: Consider the extent to which the employee shows initiative in making work improvements, identifying and correcting errors, initiating work activities to enhance efficiency and effectiveness, etc.	☐	☐	☐
5. KNOWLEDGE/COMMUNICATION/STRENGTH: Consider the extent of knowledge of methods, materials, tools, equipment, technical expressions, rules, laws, policies, practices and other fundamental object matters, including the speed with which new concepts, laws, rules and procedures, etc., are adopted.	☐	☐	☐
6. ANALYZING SITUATIONS AND MATERIALS/FLEXIBILITY/TRUST: Consider the extent to which the employee applies consistently good judgment in analyzing work situations and materials, draws sound conclusions, accepts responsibility for decisions and actions, and demonstrates willingness to modify strongly held positions in the face of contrary evidence.	☐	☐	☐
7. COMMUNICATION/RESPECT: Consider the extent to which the employee exhibits aptitude toward good writing and verbal skills that engage and inform the audience, gives concise information in working situations and gives and receives constructive feedback.	☐	☐	☐
8. QUALITY SERVICE/CUSTOMER/CLIENT FOCUS/CUSTOMER SERVICE: Consider the extent to which the employee displays responsiveness to customers' current and future needs and expectations, achieves quality end products, seeks on-going opportunities to provide and improve service, finds ways to measure and track customer satisfaction, and presents a positive attitude toward customers.	☐	☐	☐
9. SUPERVISING THE WORK OF OTHERS/ADAPTABILITY/ACCOUNTABILITY: Consider the extent to which the employee understands and applies good personnel management practices, including effectiveness in planning and controlling work activities, motivating and developing subordinates, improving work methods and results, encouraging and supporting employee suggestions for work improvement, applying policies, and selecting and developing subordinates in accordance with State and departmental policies.	☐	☐	☐
10. FACTORS NOT LISTED ABOVE: (Additional sheets may be used.)	☐	☐	☐
11. OVERALL RATING – The overall rating must be consistent with the factor ratings and comments.	☐	☐	☐

COMMENTS TO EMPLOYEE – Supervisor should include factual examples of exceptional or poor work and give suggestions as to how performance can be improved. Factor and overall ratings of improvement needed and/or exceeds standards must be substantiated. Please use additional sheets and attach to this form.

You may also compare the Performance Appraisal Summary of Past Job Performance of Permanent Employees (STD. 638) to the tailored Performance Appraisal Summary of Past Job Performance of Permanent Employees for CalSTRS.

STATE OF CALIFORNIA - DEPARTMENT OF HUMAN RESOURCES

PERFORMANCE APPRAISAL SUMMARY
OF PAST JOB PERFORMANCE OF PERMANENT EMPLOYEES

STD. 638 (REV. 10/2019)

EMPLOYEE LAST NAME	FIRST NAME	MI	DATE OF LAST PAS DISCUSSION

CIVIL SERVICE TITLE	POSITION NUMBER	EMPLOYEE'S HEADQUARTERS

STATE DEPARTMENT NAME	DEPARTMENT SUBDIVISION

The supervisor may make "comments" only, or may use rating categories only, or may use either or both methods of appraisal on any performance factor, as he or she prefers. The rating categories are:
- I - Improvement needed for performance to meet expected standards
- M - Performance fully meets expected standards
- E - Performance consistently exceeds expected standards.

☐ I

☐ M

☐ E

1. QUALITY OF WORK: Consider the extent to which completed work is accurate, neat, well-organized, thorough, and effective.

PERFORMANCE REVIEW SUMMARY
FOR PAST JOB PERFORMANCE OF PERMANENT EMPLOYEES

CALSTRS

The supervisor must use rating categories and must add comments to justify any performance factor rated as (I) or (E). Use additional sheets as needed. The rating categories are: **I** – Improvement needed for performance to meet expected standards; **M** – Performance fully meets expected standards; or, **E** – Performance consistently exceeds expected standards.

PERFORMANCE FACTOR/CORE COMPETENCY/CORE VALUE	I	M	E	COMMENTS
1. **QUALITY OF WORK/QUALITY ORIENTATION/ACCOUNTABILITY:** Consider the extent to which completed work is accurate, on-time, neat, well-organized, thorough and effective.	☐	☐	☐	
2. **WORK HABITS/WORK STANDARDS/STEWARDSHIP:** Consider the employee's effectiveness in organizing and using work tools and time, in caring for equipment and materials, in following good practices of fund stewardship and vehicle and personal safety, etc.	☐	☐	☐	
3. **RELATIONSHIPS WITH PEOPLE/TEAMWORK/STRENGTH:** Consider the extent to which the employee works cooperatively with others, recognizes the needs and desires of other people and treats them with respect and courtesy. Displays these qualities in dealing with the public, other employees, members and internal customers.	☐	☐	☐	
4. **TAKING ACTION INDEPENDENTLY/ADAPTABILITY/LEADERSHIP:** Consider the extent to which the employee shows initiative in making work improvements, identifying and correcting errors, initiating work activities to enhance efficiency and effectiveness, etc.	☐	☐	☐	
5. **KNOWLEDGE/COMMUNICATION/STRENGTH:** Consider the extent of knowledge of methods, materials, tools, equipment, technical expressions, rules, laws, policies, practices and other fundamental object matters, including the speed with which new concepts, laws, rules and procedures, etc., are adopted.	☐	☐	☐	
6. **ANALYZING SITUATIONS AND MATERIALS/FLEXIBILITY/TRUST:** Consider the extent to which the employee applies consistently good judgment in analyzing work situations and materials, draws sound conclusions, accepts responsibility for decisions and actions, and demonstrates willingness to modify strongly held positions in the face of contrary evidence.	☐	☐	☐	
7. **COMMUNICATION/RESPECT:** Consider the extent to which the employee exhibits aptitude toward good writing and verbal skills that engage and inform the audience, gives concise information in working situations and gives and receives constructive feedback.	☐	☐	☐	
8. **QUALITY SERVICE/CUSTOMER/CLIENT FOCUS/CUSTOMER SERVICE:** Consider the extent to which the employee displays responsiveness to customers' current and future needs and expectations, achieves quality end products, seeks on-going opportunities to provide and improve service, finds ways to measure and track customer satisfaction, and presents a positive attitude toward customers.	☐	☐	☐	
9. **SUPERVISING THE WORK OF OTHERS/ADAPABILITY/ ACCOUNABILITY:** Consider the extent to which the employee understands and applies good personnel management practices, including effectiveness in planning and controlling work activities, motivating and developing subordinates, improving work methods and results, encouraging and supporting employee suggestions for work improvement, applying policies, and selecting and developing subordinates in accordance with State and departmental policies.	☐	☐	☐	
10. **FACTORS NOT LISTED ABOVE:** *(Additional sheets may be used.)*	☐	☐	☐	
11. **OVERALL RATING:** The overall rating must be consistent with the performance factor ratings and comments.	☐	☐	☐	

GENERAL COMMENTS:

Appendix 3

Sample Development Tools

Check out how CalSTRS cleverly tweaked the Individual Development Plan to focus on building higher proficiency in organizational competencies.

Standard State Form

Individual Development Plan for Future Job Performance of Permanent Employees (STD 637)

STATE OF CALIFORNIA - DEPARTMENT OF HUMAN RESOURCES

INDIVIDUAL DEVELOPMENT PLAN

FOR FUTURE JOB PERFORMANCE OF PERMANENT EMPLOYEES

STD. 637 (Rev. 10/2019)

EMPLOYEE LAST NAME	FIRST NAME		MI	DATE OF LAST IDP DISCUSSION
CIVIL SERVICE TITLE		POSITION NUMBER		EMPLOYEE'S HEADQUARTERS
STATE DEPARTMENT NAME		DEPARTMENT SUBDIVISION		

PERFORMANCE OBJECTIVES - Goals for further improvements in job performance during the next year in order to meet or exceed standards for the employee's present job or to develop employee skills.

PLANS FOR ACHIEVING OBJECTIVES - Specific methods by which the employee can work toward accomplishing his or her performance objectives (in-service training courses, college courses, rotation, special work assignments for training purposes, etc.)

CalSTRS Individual Development Plan

INDIVIDUAL DEVELOPMENT PLAN

CalSTRS
HOW WILL YOU SPEND YOUR FUTURE?

Employee Name: (Last, First, Middle Initial)	Classification:	Position Number:	IDP Year
Branch/Division:	Supervisor's Name:	Office Location:	Is Employee Serving Probation? ☐ Yes ☐ No

Competency:		**Competency Guide:** Here is where you will find the specific competency for your classification.

Learning Opportunity:	Objective:	Goal:	Date:	Cost:
Ex. Attend Completed Staff Work	Ex. Demonstrate a seven-step approach in creating analytical solutions	Ex. Use Completed Staff Work to create work products for my Supervisor	04/01/2017	$0.00

Appendix 4

Sample Franchise Tax Board Organizational Change Management Communication Strategy

	Competency Marketing Roadmap				
	Action Item	Current Status	Due Date	Notes	Individual/Team
Backlog	Tools, Content & Marketing Development				
Backlog	Promote Competency Guides Create 1 page marketing "Competency Use Guides"		Mar-25	Sprint I Deliverable	CCST, LCST & JSCST
Q1 & Q2	Develop Presentation for GC: Goal to gain endorsement	Complete -- need to schedule when all backlog is complete	Direction in ODAC Nov.	Sprint I Deliverable	Michelle Smith
Date	Develop Facilitations scalable for leadership levels: Intro to Competencies CBT Comprehensive Competency Based Culture Curriculum Practical Applications Workshops/Clinics	In Progress	Oct-24 Jun-25 Mar-25	Sprint I Deliverable Sprint IV Deliverable Sprint II Deliverable	Sarah Tomlinson Michelle Smith Michelle, Hector, CCST, TSD
	Create posters, TV advertisements, carry brochure about Competencies		Jan-25	Sprint I & III Deliverable	Hector, CCST
	ID Tools incorporating competencies into employee lifecycle			Sprint I Deliverable: Dependent on tools availability on supervisor portal: job opp, interviewing guide, IDPs, course catalogues	CCST, Meghan
	Create 1 page marketing "Competency Tool Guides"		Jan-25	Sprint I Deliverable	Hector, CCST

	Action Item	Current Status	Due Date	Notes	Individual/Team
	ID Current Competency Matrix & assess current course content		Jan-25	Sprint I Deliverable	Hector, Michelle, TSD
	Incorporate standard slides into training for competency alignment		Jan-25	Sprint I Deliverable	Hector, TSD

	Action Item	Current Status	Due Date	Notes	Individual/Team
Sprint I: Awareness & Desire Q3 Date	Inform Highest Levels				
	Present to GC: launch competency campaign and toolkits		Jan-25		Michelle & Hector
	Inform appropriate service teams and educate		Jan-25		Hector, Michelle, CCST, JSCT
	Roll out posters, advertisement, carry brochure campaign		Mar-25		Hector, Michelle, CCST, JSCT
	Roll out refresh of training content aligned to competency matrix		Mar-25		Hector
	Develop tools and communication for service team members to assist in section level competency communication		Mar-25		Hector & Michelle, CCST, JSCT
	Present to Senior Staff: Intro High level practical application & Toolkits		Jan-25 Mar-25		Hector & Michelle Hector & Michelle

	Action Item	Current Status	Due Date	Notes	Individual/Team
Sprint II: Desire, Knowledge, Ability Q4 Date	Educate Mid Levels				
	Prepare Service team members to assist in facilitation at a section level Check for confidence in competencies & practical application concepts Provide talking points and marketing toolkits				
	Facilitate to BDs and invite ST members for observation				

	Action Item	Current Status	Due Date	Notes	Individual/Team
Sprint III: Knowledge, Ability, Reinforcement Q4 Date	Equip Supervisor Level				
	Facilitate to Section Managers with assistance of ST members				
	Intro to Competencies				
	How to use in employee lifecycle				
	Toolkit guides				
	Workshop on how to apply Ideal timing: Evaluation season: Using competencies in LEARN for evaluations and IDPs				

	Action Item	Current Status	Due Date	Notes	Individual/Team
Sprint IV: Ability & Reinforcement Q1 Date	Monitor & Support				
	Provide ongoing marketing and workshop support				
	Continuous Learning and reference				
	xcheck for use in LEARN and create a feedback loop				