

Attachment A

**California Institute of Regenerative Medicine**  
**PERFORMANCE MANAGEMENT REVIEW**  
**CHAIRMAN, GOVERNING BOARD, CIRM**

**Instructions:** Please complete this form based on your personal experience with, and observation of, the subject of this evaluation (the “incumbent”). **If you do not feel qualified to assess the incumbent in a particular area, please leave the space blank.** In order to protect the confidentiality of this review and to permit a full and frank assessment, your comments will be summarized, along with other responses, without reference to the source of the comments. **Please return this form within 30 days of receipt. Thank you for your participation.**

<b>Incumbent’s Name:</b>	Robert N. Klein	<b>Incumbent’s Position:</b>	Chairman, Governing Board, California Institute of Regenerative Medicine
<b>Performance Year:</b>	2009	<b>Time in Position:</b>	December 2005 -- present

- 1. PERFORMANCE ACHIEVEMENT:** Evaluate the incumbent’s top value added accomplishments and contributions over this review period (e.g., goals accomplished, problems solved, value added program changes). Identify examples of performance in the areas of the Leadership Competencies and Achievements addressed under Section 2, below.

**Goals Achieved** – Evaluate the incumbent’s achievements during the period of review.

*Assessment:*

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

\_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.

\_\_\_\_\_ **Satisfactory Performance**- consistently fulfills expectations.

\_\_\_\_\_ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.

\_\_\_\_\_ **Unsatisfactory Performance** - is the failure to achieve the majority of expectations. Deficiencies should be specifically addressed in the performance appraisal.

*Comments:*

**2. LEADERSHIP COMPETENCIES AND ACHIEVEMENTS:** Evaluate incumbent's leadership attributes, accomplishments and contributions as they related to the following competencies.

**Strategic Vision** – Effectively provides strategic leadership and insight regarding CIRM's bond financing, cash flow, and financial leverage opportunities by: identifying risks and opportunities for the agency and acting on them; ensuring stability of funding for CIRM operations and grant and loan programs; and providing leadership as a member of the Stem Cell Research and Cures Finance Committee. Demonstrates record of effectively setting, translating, and communicating CIRM's strategic financial vision.

**Assessment:**

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

\_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.

\_\_\_\_\_ **Satisfactory Performance**- consistently fulfills expectations.

\_\_\_\_\_ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.

\_\_\_\_\_ **Unsatisfactory Performance** - is the failure to achieve the majority of expectations. Deficiencies should be specifically addressed in the performance appraisal.

**Comments:**

**Board Leadership** – Effectively manages the Board's agenda, including the flow of information and the timeliness of Board decisions. Effectively and efficiently utilizes Board members' skills and abilities in furtherance of CIRM's mission, including through the work of Board subcommittees and taskforces. Exercises analytical skills to provide guidance to CIRM staff regarding the Board's policy decisions. Effectively represents the Board as a member of CIRM's working groups.

**Assessment:**

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

\_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.

\_\_\_\_\_ **Satisfactory Performance**- consistently fulfills expectations.

\_\_\_\_\_ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.

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**Comments:**

**Collaboration** – Consistently demonstrates ability to work as effectively through influence as through direct authority, initiating collaborations, sharing responsibility and engaging others in successfully arriving at joint decisions. Recognizes sources of conflict and has ability to constructively manage the issues with staff, Board members, and stakeholders in order to arrive at mutually beneficial outcomes. Shows comfort with and tolerance in managing diverse and conflicting opinions and input. Successfully overcomes cultural, historical, or political barriers in forging new relationships or teams, and takes a leadership role in aligning disparate stakeholders in establishing innovative partnerships. Works effectively with the Vice Chairs, fellow Board members, the President, and CIRM staff as a whole to reach consensus in support of CIRM’s mission.

**Assessment:**

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

\_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.

\_\_\_\_\_ **Satisfactory Performance**- consistently fulfills expectations.

\_\_\_\_\_ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.

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**Comments:**

**Communication** – Effectively communicates regarding CIRM’s mission and progress to both professional and non-technical audiences. Serves as a national and international leader in the patient advocacy community in pursuit of CIRM’s mission. Demonstrates record of effectively communicating CIRM’s mission and accomplishments to stakeholders and public.

**Assessment:**

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

\_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.

\_\_\_\_\_ **Satisfactory Performance**- consistently fulfills expectations.

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**Comments:**

**People Leadership & Performance Management** – Recruits the highest level staff to CIRM’s leadership, working groups, and the Office of the Chair. Creates and inspires high-performance teams by identifying, developing and retaining top-tier talent, removing barriers to success, providing resources to accomplish agreed-upon objectives, and using a variety of techniques to facilitate the subordination of individual needs in order to achieve common goals. Breaks down barriers between and among teams and team members to ensure a unified, integrated effort to achieve CIRM’s mission.

**Assessment:**

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

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\_\_\_\_\_ **Satisfactory Performance**- consistently fulfills expectations.

\_\_\_\_\_ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.

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**Comments:**

**Government Affairs and Legal Oversight** – Works effectively with California’s constitutional officers, members of the Legislature, and other state and local officials to maximize CIRM’s effectiveness and to ensure on-going support of CIRM. Provides leadership on state and federal legislation, intellectual property regulations, financial programs involving private sector loan recipients, and complimentary state and federal economic programs supporting biotech development of stem cell therapies. Provides oversight of legal issues and strategies in furtherance of CIRM’s mission, including litigation, regulatory issues, and intellectual property.

**Assessment:**

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

\_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.

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**Comments:**

**Financial Leadership** – Effectively translates CIRM’s strategic financial goals into tangible plans and programs to achieve vision and public mandate of CIRM with accountability and efficient stewardship of resources. Plans, directs, and implements CIRM’s bond financing plans, cash flow plans, and financial leverage opportunities, including pursuing additional resources to further

CIRM's mission, including matching funds and gifts. Demonstrates innovation and foresight in financial and strategic cash flow planning.

**Assessment:**

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**Comments:**

**Diversity** – Demonstrates an active and engaged commitment to diversity. Works to establish a climate that welcomes, celebrates and promotes respect for diversity and the recruitment, development and retention of CIRM's staff and board members from underrepresented elements of California's population in the field of medical research. Actively supports equal opportunity in search and recruitment processes by ensuring diverse representation on boards, subcommittees, and search committees. Supports and participates in advancement and development of innovative programs to expand opportunity and access to stem cell research for all Californians across the diversity spectrum.

**Assessment:**

\_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.

\_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.

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\_\_\_\_\_ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.

_____	<b>Unsatisfactory Performance</b> - is the failure to achieve the majority of expectations. Deficiencies should be specifically addressed in the performance appraisal.
<b>Comments:</b>	
<b>Public Accountability</b> – Effectively manages compliance with CIRM's public accountability requirements, including (1) the annual public report (2) the independent financial audit; (3) the Citizens' Financial Accountability Oversight Committee; (4) public meeting and records laws; (5) competitive bidding; (6) conflicts of interest; and (7) intellectual property standards.	
<b>Assessment:</b>	
_____	<b>Exceptional Performance</b> - is significant overachievement of expectations.
_____	<b>Above Expectations Performance</b> - is often beyond expectations.
_____	<b>Satisfactory Performance</b> - consistently fulfills expectations.
_____	<b>Improvement Needed Performance</b> - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.
_____	<b>Unsatisfactory Performance</b> - is the failure to achieve the majority of expectations. Deficiencies should be specifically addressed in the performance appraisal.
<b>Comments:</b>	

3. **GOALS FOR NEXT PERFORMANCE YEAR:** Suggest goals that are specific, measurable, relevant, time-based, and beyond normal work duties (i.e., “stretch” goals). Goals and objectives are intended to help encourage growth and development of the individual, and aligned with higher level objectives and strategies established by CIRM’s Governing Board.

Goals: *Include [or attach] performance goals for upcoming year.*

Overall performance summary: *Summarize assessments contained in body of executive performance review.*

Overall Appraisal Rating: *Provide overall rating.*

- \_\_\_\_\_ **Exceptional Performance** - is significant overachievement of expectations.
- \_\_\_\_\_ **Above Expectations Performance** - is often beyond expectations.
- \_\_\_\_\_ **Satisfactory Performance**- consistently fulfills expectations.
- \_\_\_\_\_ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.
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**Reviewer:**

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date

**Relationship to Incumbent, if any:**  
\_\_\_\_\_