

Attachment B

California Institute of Regenerative Medicine
PERFORMANCE MANAGEMENT REVIEW
PRESIDENT, 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.**

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|--------------------------|------------------|------------------------------|--|
| Incumbent’s Name: | Alan O. Trounson | Incumbent’s Position: | President, California Institute of Regenerative Medicine |
| Performance Year: | 2009 | Time in Position: | December 2007 -- 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 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 in the rapidly evolving field of stem cell research and related vital research opportunities by: identifying early and important trends in research and development; driving success throughout CIRM, including its working groups; and embracing and adopting leading-edge programs and standards to enable successful research and development consistent with the highest ethical standards. Demonstrates record of effectively setting, translating, and communicating CIRM's 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:

Leadership – Exercises analytical skills to provide overall insight regarding future efficacy of CIRM programs; demonstrates courage to depart from traditional positions and processes in prioritizing promising research opportunities. Serves as a national and international leader in the scientific community in pursuit 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.

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

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. 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 Chair, Vice Chairs, and the Board 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.

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

Comments:

Communication – Effectively communicates scientific developments to both professional and non-technical audiences. Demonstrates record of effectively communicating matters relating to CIRM’s mission to stakeholders and public.

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:

People Leadership & Performance Management – Recruits and retains the highest level scientific, medical and administrative professional talent in the United States and from abroad to serve on the Working Groups and CIRM’s staff. 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. Creates and implements ongoing performance measurement and accountability systems. Participates in the process of supporting all working group requirements to develop recommendations on grants, loans, facilities, and standards as well as directing and supporting the Board’s evaluation of those recommendations. Effectively implements the Board’s policy decisions and decisions regarding grants and loans.

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:

Inspiring Innovation and Leading Change – Inspires and develops opportunities for new and innovative approaches that invoke greater contributions to research and dissemination of the knowledge developed at CIRM. Drives initiatives by defining measurable outcomes, energizing others at all levels, and ensuring continuing commitment when faced with new initiatives and the latest in scientific advancements; confronts and works through resistance with various stakeholders through effective application of influence skills.

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:

Operations Management & Budget – Effectively translates strategic 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 operational, financial, and human resources management systems in a manner that effectively supports the achievement of strategy, plans, and objectives. Creates climate of collaboration, fairness, cooperation, and professionalism. Practices and integrates these basic principles in all interactions. Is able to

grow and transition organization, including the development and management of the infrastructure to facilitate an innovative, high-functioning, and rapidly growing scientific enterprise. Effectively manages research and facilities grants and loans and other contracts pertaining to CIRM and the research it funds. Demonstrates innovation in the overall management of CIRM and in the accomplishment of its 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.

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

Comments:

Diversity – Demonstrates an active and engaged commitment to diversity. Works to establish a climate that welcomes, celebrates, and promotes respect for diversity. Actively supports equal opportunity in search and recruitment processes by ensuring diverse representation on search committees, supplemental outreach efforts, etc. Promotes equity in advancements by describing review process for new staff and administrators, encouraging participation in career advising or mentoring programs.

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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| _____ | Unsatisfactory Performance - is the failure to achieve the majority of expectations. Deficiencies should be specifically addressed in the performance appraisal. |
| Comments: | |
| Compliance & Public Accountability – Effectively manages compliance with all rules and regulations applicable to CIRM, including the performance of all grant and loan recipients. | |
| 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: | |

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.

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| Goals: <i>Include [or attach] performance goals for upcoming year.</i> |
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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.
- _____ **Unsatisfactory Performance** - is the failure to achieve the majority of expectations. Deficiencies should be specifically addressed in the performance appraisal.

Reviewer:

Name

Date

Relationship to incumbent, if any:

Name

Date