

**CONFIDENTIAL**

**California Institute for Regenerative Medicine**

**PERFORMANCE MANAGEMENT ASSESMENT PRESIDENT, CIRM**

**DIRECT REPORTS**

**Instructions:** Please complete this confidential survey based on your personal experience with, and observation of, the President’s performance, no later than **May 31, 2021**. In order to protect the confidentiality of this assessment 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. If you wish to complete the survey on-line, please go to <http://www.----.com>

**If you wish to complete a hard copy of the survey, please send it to James Harrison, Olson Remcho, LLP, 1901 Harrison Street, Suite 1550, Oakland, CA 94612. Thank you for your participation.**

<b>Incumbent’s Name:</b>	Maria Millan	<b>Incumbent’s Position:</b>	President, California Institute for Regenerative Medicine
<b>Performance Year:</b>	2020 and Q1 2021	<b>Time in Position:</b>	July 2017 – present

In evaluating the President’s performance during 2020 and Q1 2021, for each evaluation area listed below please indicate the assessment that you believe best exemplifies the President’s level of performance in that particular area.

***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.

Please complete an assessment of all seven qualities identified in this assessment and provide at least one comment for each of the seven qualities that supports the assessment score you provided. The purpose of this assessment is to help inform Maria of areas where her performance is strong and areas in which she could improve her performance.

1. **Leadership and Leadership Style**

- Sets a good example; is ethical with high standards of conduct and expects same of others in CIRM?
- Is inspirational and motivates others; encourages and influences others to do their best?
- Has a clear, understandable vision for CIRM and sets goals commensurate with that vision?
- Demonstrates courage and is able to address adversity?
- Is empathetic and humble?
- Has in-depth knowledge and understanding of CIRM's operations as well as the field of stem cells and regenerative medicine generally?

**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. Management

- Focused on CIRM's mission and promotes a great place to work?
- Supports employee development and assures that direct reports have development plans?
- Wants to see her direct reports succeed?
- Supports succession planning?
- Meets regularly with direct reports and encourages feedback without retaliation?
- Recognizes employee achievements?
- Encourages reporting of misconduct or other complaints, respects confidentiality of source, and assures complaints are investigated and appropriate remedial action taken?
- Strongly discourages retaliatory behavior at all levels?
- Helps assure compliance with State regulations and procedures?

### **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. Decision-making Style

- Enlists feedback from others, including those impacted by a decision, before making a decision?
- Doesn't make decisions in haste that need to be undone or significantly modified?
- Makes clear, understandable, studied and good decisions?
- Is able to and does articulate the decision and where appropriate, the rationale for major decisions?
- Takes ownership of decisions, whatever the outcome?
- Is not afraid to take a risk in making a decision?
- Is able to make difficult decisions?
- Exercises good judgment?

#### **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:**

4. **Delegation**

- Willing to delegate decisions to reports without interference or recall absent a compelling reason?
- Trusts her reports to make good decisions?
- Ensures her reports delegate where appropriate?

**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:**

5. **Diversity**

- Supports and encourages a diverse workforce and workplace?
- Respects and rewards employees for the contributions they make?
- Is fair in treating employees with respect and with no favoritism?

**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:**

## 6. Communication

- Effective communicator, clear and concise?
- Explains important decisions and changes and the rationale for them?
- Is transparent in communicating?
- Is personable, respectful and positive when speaking with reports?
- Listens well to others and respects what they have to say?

### **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:**



7. **Organizational Health**

- Ensures that the Leadership Team functions cohesively as a team?
- Encourages open and direct feedback without retaliation?
- Builds morale, especially among Leadership Team?
- Provides clear communication and direction?
- Offers continued training and growth opportunities for Leadership Team members?

**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:**

Overall performance summary: *Summarize assessments contained in body of President's performance assessment.*

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

(00436458-2)