



COMMISSION_{ON}
DIVERSITY_{AND}
INCLUSION

Recommendations for Diversifying Staff

Submitted to:
Chancellor Mark S. Wrighton
Provost Holden Thorp

September 22, 2016

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Last year the chancellor and provost charged the Commission on Diversity & Inclusion with making recommendations to implement a 12-point action plan designed to make Washington University in St. Louis a more diverse and inclusive community. The Commission requested a working group explore and consider how to best implement action item number 3: “Deans, leaders, and managers will review and assess hiring, promotion, and retention practices for the purpose of promoting greater staff diversity and inclusion...” In consultation with the working group, the Commission on Diversity and Inclusion makes the following recommendations.

BACKGROUND

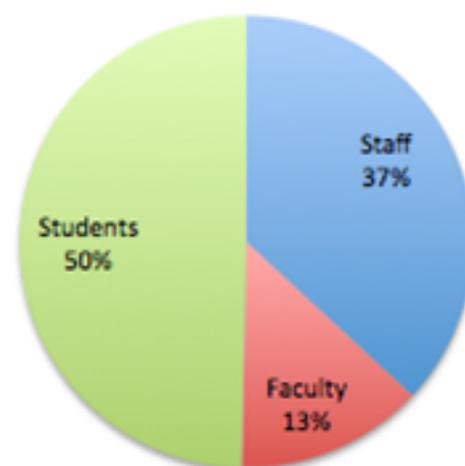
The University employs more than 10,000 non-faculty staff members across its multiple St. Louis campuses and unit locations — accounting for nearly half the total University population. Our non-faculty employees, who are not senior administration, are colloquially known as our “staff.” These employees run the gamut from administrative assistants to lab technicians to senior managers on all of our campuses. Our staff provides critical leadership, vision, and support every day of the year to execute on the University's commitment to excellence in teaching, research, patient care, and service to society. These employees are at all stages of career development in a wide range of professions from administration and research management to student services and medical care delivery.

The University's staff has a multitude of mission-critical roles. They work closely with our undergraduate population to deliver advising and support for campus life. Our professional and graduate students also depend on staff in their schools and departments for career services, academic advising, research

opportunities, and financial aid guidance. Essential central University departments are staff-led and driven, including alumni and development, accounting, investment, information technology, grants/contracts, human resources, facilities and maintenance, libraries and legal operations. Our staff works with faculty members to develop and test hypotheses in both research laboratories and in translational research clinical trial settings. They serve as the frontline in terms of providing compassionate patient care in both outpatient and inpatient situations. In sum, our staff bring immense intellectual and social capital to the University and its mission.

all of our campuses. Our staff provides critical leadership, vision, and support every day of the year to execute on the University's commitment to excellence in teaching, research, patient care, and service to society. These employees are at all stages of career development in a wide range of professions from administration and research management to student services and medical care delivery.

Washington University Community
According to the 2015 Annual Report



The University states in its mission that it intends to "attract people of great ability from diverse backgrounds." Certainly, we have made noteworthy recent strides in recruiting and nurturing more diverse faculty members and student body. However, there have not been similarly focused efforts to broadly diversify our staff.

For years, the corporate world has placed strong emphasis not only on the importance of its workforce, but also on the incredible value of workforce diversity. Diversity brings enhanced

creativity and innovation, ensures stronger decision-making, increases productivity, and strengthens outcomes by drawing on a wide range of experiences and perspectives. Diversity of staff also ensures better capacity for working with a diverse student, faculty, alumni, and community population.

Beyond hiring a diverse staff, it is imperative that the University creates a culture that is inclusive of employee diversity and cultivates diverse talent from within. To this end, it is important that we carefully consider the development and retention of staff and whether the policies and practices that are currently in place provide equitable access and opportunity to all. Importantly, career development cannot be reduced to solely promotion. While career advancement comprises a key set of recommendations, the report gives equal emphasis to ensuring that career and professional development,

or a “developmental mindset,” becomes our cultural norm. By being intentional and aggressive about our institutional support for staff, we not only ensure that we attract a stellar and diversified staff, but also, we retain these excellent employees and develop them as leaders working toward a shared mission.

The Staff Working Group met with the Vice Chancellor for Human Resources, who shared many of the innovations and new initiatives and policies that Human Resources has developed to support diversity and inclusion among the University’s staff. The Working Group also reviewed many Human Resources policies and benefits already in place or that are in progress. Human Resources has been ambitious and innovative, especially in benefits, training, and developing connections with the St. Louis community. In other areas, policies that would enhance

diversity and inclusion exist, but are not applied consistently across the University or not well publicized to their respective constituencies. We recognize that a lot of progress has been made, especially with respect to deepening the University’s infrastructure and capacity to recruit, retain, and develop a diverse and inclusive staff. Our recommendations highlight areas in which the University can further support Human Resources’ vision and efforts. Also, where appropriate, we suggest opportunities to align our recommendations with Human Resources’ existing or pending initiatives.

For the purposes of the report, we are focusing on full-time staff employed directly by the University. For all of the below recommendations, elaborations and examples are included in the Appendix.

RECOMMENDATION #1

Identified Need: The University must deepen its stated commitment to carry out annual and consistent performance evaluations across all areas of the University.

Employee performance management is a critical tool for engaging in constructive feedback, developing plans for professional development, and ensuring that every employee has ongoing dialogue with their supervisor. It is particularly critical that diverse staff participate in performance evaluations to ensure a level playing field. These groups may be at greater risk for delayed advancement in the institution; the opportunity to have an annual evaluation using the same process as all other staff can help ensure that no one is unintentionally overlooked for meaningful career opportunities. Tying pay to performance can also ensure that women and underrepresented groups are on a level playing

field for compensation.

Annual evaluations are an important element required in the internal job search process at the University, and the absence of annual evaluations leaves an employee with less information and fewer professional options. It is also evident that performance management can be used as a means to encourage diversity and inclusion activity and professional development. Finally, there are inherent risks in any subjective evaluation process, and the University should minimize bias in the evaluation process by developing deep expertise in performance management at the University level and investing in manager training.

Human Resources has been working to deepen the culture and institutional commitment to performance management and evaluation (see Appendix for statement and appraisal form).

We therefore recommend that the University¹:

1. Require new and existing managers to attend performance management training, ensuring that time to do so is built into their portfolios. Ensure the training emphasizes the expectation that every employee will receive an annual evaluation.
2. Develop and deepen a set of practical, consistent performance management and evaluation tools, appropriate for carrying out the important staff management function across distinct jobs.
3. Support Human Resources efforts to partner with University College to develop an intentional, consistent, required training.
4. Encourage University College to develop more courses to respond to the needs and desires of staff members.
5. Clarify and make transparent the role annual evaluations play in decisions regarding retention, advancement, and compensation.
6. Ensure manageable and valuable evaluations for staff and supervisors by defining a clear process drawing on logistical best practices.
7. Use a pilot system to test a new process and rapidly build in improvement for launch to the entire University community.
8. Continue to cultivate deep in-house expertise in the area of performance management.
9. Leverage the annual evaluation process to encourage advancement in areas of diversity and inclusion and provide incentives to motivate professional development in this area.

RECOMMENDATION #2

Identified Need: The University benefits, policies, and employee services should more equitably serve and represent our diverse employee community.

The thousands of individuals who make up our workplace community are deserving of benefits and services that are inclusive and expansive. In recent years, Human Resources has made substantial progress in benefits and policies, including robust recognition of domestic partnership benefits, insurance coverage for gender reassignment surgery, and the new sick leave policy. Human Resources is currently exploring adding an infertility benefit. More policies in this spirit are needed and existing ones can be better showcased and reviewed for enhancement. In addition, some policies have been developed but are not consistent across

all campuses. Even when looking at the language used in policies the University can work to create a more inclusive culture and tone. One example of this is the existing benefits definition of “family,” which is based on the traditional nuclear family. Many of our existing policies are generous, but limiting, especially when family structures vary widely among diverse cultures.

Employee benefits are essential to attracting and retaining talented professionals with diverse backgrounds and experiences. Most major employers offer vacation and sick time, health insurance and retirement savings incentives. A thoughtful and innovative approach to these offerings can be the deciding factor for individuals considering the University as a potential workplace. When our benefits reflect a commitment to diversity and inclusion, we will

¹Please see the Recommendation #1 Appendix of this report for a more comprehensive description of each of the evaluation recommendations.

more effectively recruit those who embody and share these values. One example where the University could stand out is by revisiting our pricing structure for WUSTL Childcare so that it acknowledges the vast range of incomes our employees receive.

Progressive benefits may also help mitigate turnover and ultimately lead to cost savings. As we strive towards improvement, our status as an employer will become even more competitive, and we will become a leader in attracting and retaining diverse talent.

We therefore recommend that the University²:

1. Review thoroughly University services and benefits pricing to see if they may be made more accessible to employees of lower socioeconomic means, e.g., parking. We note some key benefits are already priced in an income sensitive way, e.g., health benefits.
2. Examine and revise time off policies to better fit the values of a diverse community with various cultural and religious backgrounds. WUSM currently offers more flexibility for religious holidays; this policy could be scaled across both campuses and better publicized.
3. Expand, wherever possible, the definition of “family” in order to accommodate non-traditional family structures.
4. Provide paid parental leave in accordance with emerging best practices among our peers.
5. Adopt additional ways to make our culture warm, welcoming, and inclusive as a way to retain a diverse pool of talent and encourage loyalty and productivity in the long-term.

RECOMMENDATION #3

Identified Need: Bias and discrimination information and resources are neither easily accessible nor user- friendly for employees.

Access to consistent, uniform information regarding bias and discrimination information, staff ombudsperson resources, and statements of cultural expectations would drastically enhance the culture and environment for University employees. The University has recently “developed a system through which students, faculty, staff and community members who have experienced or witnessed incidents of bias, prejudice or discrimination involving a student can report their experiences to the University’s Bias Report and Support System (BRSS) team.”³ While this system has been extremely informative on the student experience, we lack a

parallel support system for University employees.

In addition, the University currently limits bias and discrimination reporting practices by defining what should not happen and what practices should be put in place when an incident occurs. The University is building a robust training infrastructure, including 1.0-4.0 and Safe Zones (see <https://diversity.wustl.edu/training/>). This training helps community members behave our values and prophylactically reduce bias.

The following recommendations propose an approach that fosters a culture of safety and respect that encourages best practices in bias and discrimination reporting are effectively implemented.

² Please see the Recommendation #2 Appendix of this report for a more comprehensive description of each of the benefits and work/life balance recommendations.

³ <https://diversityinclusion.wustl.edu/brss/>

We therefore recommend that the University⁴:

1. Ensure that all bias and discrimination policy are easily accessible on the WUSTL website and written in a format that can be understood regardless of educational level.
2. Make a consistent, pervasive commitment to requiring managers to attend anti-bias training.
3. Increase the marketing presence of Ombuds (University and departmental levels) – e.g., website, targeted emails, campus posters, digital monitors, etc.
4. Create a “Statement of Community Expectations” to be publicized throughout the University and community, including visitors to campus.
5. Broadly publicize and enforce the University’s Abusive Conduct Policy developed by Human Resources.
6. Develop ongoing, required training modules for managers to ensure productive and less biased evaluations.
7. Create specific and mandated training on skill building for having difficult conversations.
8. Develop a 6-12 month University-wide mentorship program that trains all new managers on soft leadership skills. This should include those who have responsibilities to supervise others.
9. Deepen University capacity by developing model Employee Relations skill set in diversity and inclusion, including anti-bias and anti-discrimination.
10. Enhance Human Resources existing capacity by increasing resources and considering joint accountability from all existing Human Resources staff to central Human Resources. With this additional capacity and alignment, encourage Human Resources Employee Relations Specialists to create a monthly/quarterly schedule of office hours within the departments they are assigned.

RECOMMENDATION #4

Identified Need: There are a limited number of resources available to staff, particularly staff of diverse backgrounds, to develop the foundational skills necessary to matriculate into management and leadership positions that are both professionally fulfilling and that will ultimately influence hiring decisions. Current access to professional development funds may be contingent not on potential or interest, but on the vagaries of the resources and values of individual units. A fundamental part of the management role is to foster career development; yet managers do not receive consistent training and support in learning how to develop their teams.

In order to build a more diverse and inclusive work environment, we need to target all our programs for

developing and preparing staff (particularly diverse staff) to better provide them with skills and knowledge (including financial and technical) that enable them to be considered for leadership and management opportunities in the operations of the University. Effective programming and training must also build skills in diversity and inclusion.

One of Human Resources top priorities is creating a career development program and suite of services designed to increase staff potential to advance in the institution. An example would be acquiring the financial and business management skills requisite for some promotions and managerial roles. Another is to provide more support to supervisors in their managerial roles.

⁴ Please see the Recommendation #3 Appendix of this report for a more comprehensive description of each the bias and discrimination recommendations.

Human Resources pre-existing efforts align with our overall goal of cultivating a culture and mindset of career and professional development and learning. More acutely, we recommend identifying targeted areas of opportunities to narrow the disparities in employment outcomes among diverse and underrepresented populations and to increase

the diversity of candidates who are competent across a range of skills, including cultural, technical, and financial competence. Moreover, we recommend building a pipeline of individuals who can directly influence the recruitment, retention, development, and advancement of other diverse candidates on campus or in the community.

We therefore recommend that the University:

1. Support Human Resources' current efforts to create a career development program.
2. Develop an internal management development program for all staff through a diversity and equity lens. The program would be stratified and tailored to the appropriate level of job responsibilities with a focus on both hard and soft key skills. The program would also provide an avenue for the University to reinforce institutional values, goals and objectives.
3. Provide incentives to management and leadership to foster staff career and professional development and inspire a culture of learning. Reward and publicly acknowledge exemplary managers.
4. Develop a PLAN (Professional Leadership Academy and Network) track for junior staff. PLAN has been an important and transformational staff initiative but is aimed at mid to senior level staff.
5. Support Human Resources efforts to identify current employees who are applying for lateral moves or promotions and to make grades and career tracks more transparent and accessible, including the necessary skill set associated with each position.
6. Regularly evaluate career development programs for usage, satisfaction, and relevance.
7. Revise the University's current budgetary model to build a small, roll-over professional development account into each staff budgetary line. This will provide staff with the opportunity to participate in professional development conferences, trainings, and networking organizations.
8. Create a central diversity and inclusion fund for staff to provide them with the opportunity to participate in professional development around diversity and inclusion as well as networking organizations that promote diversity. Staff could apply for these funds with the support of their respective management.
9. Establish a staff leadership service award, where one of the components would be a demonstrated impact on the culture and climate of the University community.

See Recommendation #4 Appendix for supporting details.

RECOMMENDATION #5

Identified Need: Staff currently have limited opportunities to develop new skills through experiential learning. Formal opportunities for experiential learning and opportunities to gain new perspectives on the University's mission and organization are rare.

Formal experiential learning programs help diversity in that they offer opportunities to develop and cultivate high performing staff, including those who may not have access to informal institutional networks and mentorship opportunities. Experiential learning may be especially culturally appropriate for a University whose mission is dedicated to teaching and learning.

The School of Medicine has developed a signature management fellowship program designed to offer a comprehensive view of the medical school and University

leadership structure. The fellowship includes rotations in academic departments (by invitation) and exposure to board of trustee meetings. (<https://medicine.wustl.edu/executive-management-fellowship/>) The Office of the Executive Vice Chancellor for Administration has a similar fellowship opportunity

On-the-job learning, rotations assignments, projects task forces, "flow-through" or developmental positions like these should go hand in hand with the identification and cultivation of high performance. Programs like the "Fellow Program" which is currently in operation in the Office of the Executive Vice Chancellor for Administration, the Office of the Provost, and the Office of the Vice Chancellor for Students are stellar examples of how experiential learning can be used to develop strong leadership and management skills within talent pool.

We therefore recommend that the University:

1. Explore creating a signature fellowship to cultivate a high-impact pipeline for senior administrative positions, including at the University. Such a fellowship could be both a recruitment and retention tool.
2. Explore creating opportunities for PLAN graduates to shadow senior administrators and participate in deeper experiential learning.
3. Further enhance experiential learning opportunities by offering on-the-job learning, rotation assignments, project taskforces, and/or "flow-through" developmental programs.

RECOMMENDATION #6

Identified Need: The University generates significant amounts of data regarding staff demographics, retention, and advancement. Yet this data largely is unavailable to individual managers, which hinders their efforts to make use of it in strategic planning or daily decision-making. Moreover, we lack the institutional resources to convert this employee data into useful, usable information.

Data helps identify disparities and track the progress of underrepresented groups. More broadly, real and insightful information is needed in order to drive effective, equitable management. Knowledge of hiring and advancement trends will help the University target areas and strategies to increase equity amongst staff. Making data publicly available, where appropriate, also builds institutional trust. While Human Resources has recently created a Compliance and Research unit, it lacks dedicated resources to fully execute its purpose.

We therefore recommend that the University:

1. Enhance the capacity of the Human Resources Compliance and Research unit to turn identified trends into useful information that can effectively assist with hiring, development, and managerial decisions and planning that will reduce disparities as well as track the progress of underrepresented groups. This includes implementing and tracking the targeted interventions recommended in this report.
2. Identify opportunities to make transparent, to the extent possible, staff data trends.

RECOMMENDATION #7

Identified Need: Currently staff hiring practices may or may not yield a diverse pool of applicants. Human Resources has identified this as a barrier to our goals of diversifying our staff across all levels of employment.

A strong best practice for diversifying organizations is to ensure a diverse pool of applicants for hires. Developing consistently diverse pools requires good tools and

processes. Human Resources has made this a priority. They are exploring tools and processes that will support hiring managers in developing consistently diverse pools of strong, qualified candidates⁵. Human Resources also has recently increased its bandwidth to generate diverse hiring pools by creating a dedicated position focused on building strategic connections and cultivating networks in the St. Louis community.

We therefore recommend that the University:

1. Ensure Human Resources has sufficient resources to continue developing innovative and effective tools and processes.
2. Ensure that Human Resources has sufficient capacity to monitor new systems and tools and to assist units in identifying and developing a diverse pool.
3. Require managers to participate in anti-bias training, specifically focused on hiring and selection.
4. In keeping with hiring, explore ways to better leverage the probationary period by explicitly conceiving it as a time of employee onboarding that is reciprocal in evaluation and celebrates employees' decisions to come to the University.

RECOMMENDATION #8

Identified Need: Human Resources has been a leader in driving the University's progress in diversity and inclusion. Yet it lacks the human and technological bandwidth to

publicize, communicate, and market their ever-increasing benefits, workshops, and training opportunities. As other University communications become more vibrant and robust, Human Resources continues to lose employees' attention.

We therefore recommend that the University:

1. Increase Human Resources capacity for more widespread and effective communication and marketing of new and existing benefits, workshops, and trainings.
2. Invest in a new more comprehensive, user-friendly website for Human Resources to meet the deep institutional interest in their offerings. Human Resources and the Staff Working Group independently identified Stanford's employee website as a model: <https://cardinalatwork.stanford.edu/>.
3. Explore development of internal social media platforms through which employees can post resumes, update their skills and experiences, and have those skills validated by peers and supervisors. Such a system could support internal recruitment and promotion opportunities; facilitate ongoing, positive, and timely University-wide acknowledgement; and assist in identifying staff to serve on committees or assist with programs or projects, whether formal or informal.

⁵ The Division of Student Affairs has created a form that hiring managers submit prior to extending offers (see Recommendation #7 Appendix).

RECOMMENDATION #9

The Staff Working Group appreciated deeply the opportunity to work with Human Resources, and especially the Vice Chancellor for Human Resources. We found the open dialogue and spirit of collaboration and engagement invaluable.

We therefore recommend that the University:

Identify a mechanism to maintain open, intentional

dialogue between Human Resources and the many campus community members invested in supporting their efforts, especially with regard to underrepresented groups. The Danforth Staff Council already provides such a forum for ongoing engagement. We recommend that additional ways of engaging our many dedicated employees be explored, e.g., an annual Town Hall with the Vice Chancellor for Human Resources.

SUMMARY

In summary, the Commission recommends that Washington University in St. Louis makes strategic and intentional changes to tackle diversifying our staff with the same ambition and commitment that we have brought to our students and the faculty. We believe that both interventions

targeting diversity and inclusion specifically and also broader ones, conceived to support Human Resources in enhancing processes and developing our managerial capacity, will support our goals. We have proposed focusing on seven main areas:

1. Ensure managers have the comprehensive set of tools needed to consistently develop and advance their staff, including through performance evaluation.
2. Benefits and work/life balance policy changes.
3. Consistent bias and discrimination reporting and training for staff.
4. Developing career tracks programs that applaud employee growth and foster retention of talent.
5. Creating a signature fellowship program, akin to the Medical School's, and developing other experiential career development opportunities.
6. Enhance mechanisms to develop diverse pools for staff hires.
7. Increase Human Resources' capacity for more widespread and effective communication and marketing of new and existing benefits, programs, and workshops.

RECOMMENDATION #1

APPENDIX:

1. Define a comprehensive University policy on staff performance management and the role annual evaluations play in decisions regarding retention, advancement, and compensation. Set an expectation that every employee will receive an annual evaluation and motivate managers to ensure that evaluations are completed.

Currently, there is very little written information on the University philosophy of performance management and the implementation of performance evaluations. While forms exist on the HR web site, this passage from the Employee Handbook seems to offer the only written documentation of the process:

Normally, an employee will receive performance feedback on or near the sixth month of employment and a performance evaluation at the completion of 12 months of employment. Thereafter, in most cases, a performance evaluation will be conducted once a year. The performance evaluation allows the supervisor to discuss an employee's overall performance and summarize both formal and informal performance discussions held throughout the review period. It will

review strengths and also point out ways to improve job performance.

We recommend a written policy that covers a philosophy of performance management, the roles and responsibilities employees and managers have in the process of evaluation, and importantly, the relationship that annual evaluations have with decisions on compensation, promotions, and other opportunities for advancement. Equally important, there should be discussion of the situation when an employee is not meeting expectations and how the review will be part of well- documented process that fairly moves an employee through a personal improvement plan or probationary period. Please see [Emory's Performance Management Policy](#) for an example of a succinct written document.

2. Commit to a culture of ongoing performance management between managers and employees.

The University should adopt a holistic approach to performance management that includes planning (discussion of responsibilities, goal setting), check-in (ongoing feedback and coaching), and assessment (annual evaluation and development plan). Managers should be encouraged to routinely recognize staff achievement as well as offer

constructive feedback. Managers should also be encouraged to establish strong ties to unit goals in implementing a performance management system. Success in the implementation of holistic performance management should be measured for all managers. See [University of California-Berkeley's performance toolkit for managers](#).

3. Ensure manageable and valuable evaluations for staff and supervisors by defining a clear process drawing on logistical best practices. Use a pilot system to test a new process and rapidly build in improvements for launch to the entire University community.

Managers and employees will not willingly engage in an annual evaluation process that is unclear or cumbersome. Consider adopting process best practices, including the following:

- Ongoing communication from HR to managers and employees about performance management and the specific annual evaluation process
- Clearly outlined annual schedule with clear and reasonable deadlines for self-evaluations and supervisor evaluations

- Intuitive, digital forms -- and eventually an integrated online platform
- Well-developed support tools such as online tutorials for the annual evaluations and checklists for employees and managers.
- Continual performance management process improvement through a system of feedback and annual improvements.

4. Cultivate deep in-house expertise in the area of performance management.

By developing or hiring staff with deep expertise in the area of performance management, the University can ensure that staff are afforded fair and meaningful evaluation by developing appropriate evaluation tools and implementing mandatory manager training in performance management. The evaluation tool itself is critical to the success of the program and a flexible tool or set of tools needs to be developed using best practices in this area. In addition, it is important to acknowledge that there are inherent risks for

bias in any subjective process and that bias in performance evaluations is common. This bias can be best mitigated through training. We recommend that HR should develop mandatory live or online performance evaluation training for managers that addresses bias and other factors for successful ongoing performance management. Written information should also be provided. [See Carnegie Mellon's performance review page including information on bias and best practices for managers.](#)

5. Leverage the annual evaluation process to encourage advancement in areas of diversity and inclusion and provide incentives for professional development in this area.

As a means to demonstrate its commitment to issues of diversity and inclusion, the University should adopt measures on the annual evaluation form to identify success in these areas. Questions might address how an employee has contributed to a diverse and inclusive community throughout the year or supported the University's diversity and inclusion goals. This is most critical for managers, who need to be held

to the highest possible standards and model these actions within their departments. We also see value in a system that mandates that every employee participate annually in some level in diversity and inclusion programming or professional development, with a wide range of activities fulfilling annual "credits" for diversity and inclusion.

10/7/2016

7.3 - Performance Management and Evaluation Guidelines

wustl.edu



Washington University School of Medicine in St. Louis Supervisors

Supervisors > Section 7: Employee Development and Performance Management > 7, 3 - Performance Management and Evaluation Guidelines

7.3 – PERFORMANCE MANAGEMENT AND EVALUATION GUIDELINES

Performance management programs assist in the documentation of job responsibilities, help define performance expectations, provide a framework for supervisors and staff members to communicate with one another, provide ongoing opportunities for coaching, and encouraging personal development and assist in aligning individual goals with unit goals.

Performance management should not be a once-a-year event, but rather an on-going process of reviewing an individual's performance, which should provide honest and realistic feedback and encouragement. The performance evaluation should summarize both formal and informal performance discussions held with employees throughout

the review period.

On-going assistance with performance management issues may be obtained from the Human Resources Consultant assigned to your department through the WUSM Human Resources Office.

The Career Development Department supports the University's performance management program by providing a supervisory training program, which focuses on goal setting, evaluating performance, and conducting the actual performance evaluation. Scheduled classes are listed on the WUSM Human Resources web site (<http://hr.med.wustl.edu>).

Performance Evaluation Guidelines

Timing. Regular full-time and part-time employees should receive an annual performance evaluation. Performance evaluation forms may be found on the WUSM Human Resources web site (<http://hr.med.wustl.edu>).

Preparation of Performance Evaluation. Evaluations should be prepared based on careful consideration of the employee's performance for the entire period in question. The performance evaluation is intended to evaluate an employee's performance as it relates to assigned job responsibilities and objectives. As a suggestion, a listing can be maintained for each employee indicating his or her accomplishments, problem areas, and overall performance.

This list should be updated regularly and will serve as a guide when completing the performance evaluation.

Approvals. Performance evaluations should be reviewed with the next level of management before a supervisor discusses the evaluation with the employee.

Employee Comments. The employee should be given the opportunity to examine the evaluation and respond with written comments. Employees should also be provided with a copy of the signed performance evaluation.

The Staff and Management Performance Evaluation forms are contained in Exhibits EE and FF. Exhibit GG is a short form.

School of Medicine > Human Resources

<http://supervisors.wusm.wustl.edu/EmployeeDevPerfMgmt/Pages/PerformanceManagementandEvaluationGuidelines.aspx>



Washington University in St. Louis
The School of Medicine
Washington University Physicians

Policies
Directories
Emergency
Facilities
Human Resources
Jobs

Maps & Directions
News
Security
Information for:
Faculty
Staff

Students
YouTube
Twitter
RSS
Facebook

RECOMMENDATION #2 APPENDIX:

1. The definition of “family” is expanded in order to accommodate a non-traditional family structure.

For example, currently WUSTL employees may take three days funeral leave for the death of a parent or sibling, and the day of the funeral for a grandparent, aunt or uncle, etc. Anecdotally, we know that some employees have family situations in which they were raised by a grandparent or aunt/uncle, etc. who they may view as the functional equivalent of a parent. Some employees have sole responsibility for caring for an elder family member who is not a parent. We suggest allowing an employee to petition for more than one day’s funeral leave in such cases.

Another way in which “family” as currently defined can be limiting applies to our existing structure of tuition benefits. The WUSTL website states that tuition benefits are only allowed for dependent children defined as “a blood descent

of the first degree, legally adopted or a stepchild of the eligible employee or domestic partner.” In a few instances, this may limit someone who has sole financial responsibility for raising a child who may be a niece, nephew, grandchild, etc. Our recommendation is to carefully expand this definition to extend the tuition benefit to such special cases in which there is a functional parent/child relationship.

One concern might be that employees would take advantage of a more relaxed policy. This is why we recommend thoughtful wording and a petition process enabling these cases to be properly reviewed for approval. One possibility may be to require documented dependent status or other evidence of a non-traditional functional parent/child relationship.

2. A thorough review of services and benefits pricing to see if they may be made more accessible to employees of lower socioeconomic means

Many Washington University benefits are provided to employees for free: metro passes, staff day, and departmental gifts of logoed items are appreciated perks. As to be expected, other services and benefits are available to employees for a cost. Pricing for offerings are standardized for all, but this does not take into account the wide variance in people's income which shapes their ability to access and make meaningful use of these key benefits and services. As we work toward having a welcoming environment for increased numbers of students from lower socioeconomic situations, we should strive for the same at the employee level.

For example, WUSTL Childcare remains in high demand, due to its quality and convenience. However, it is unaffordable to a certain segment of our staff. We feel that those who may benefit the most from having a stable source of childcare are the very ones who cannot access or afford it as the situation currently stands. Therefore, we recommend an investment by the University, through a price sensitive subsidy, to expand services so that more parents may benefit. The University should also review whether we need to expand the capacity of our high-quality childcare. We endorse subsidizing

it below a certain income (to be determined by Human Resources). Our working group found the peer institutions we investigated offer subsidized childcare for employees at a certain threshold. Washington University supports this for graduate students in a similar model, but has not yet taken that step for employees.

Another burden felt by employees is the cost of parking on campus. Although we have free metro passes, public transportation is not always a convenient or timely option for all. In such cases, we recommend either a parking subsidy or a sliding scale for fees. Such a measure would demonstrate a recognition that the parking fee may be significantly more difficult for some workers to pay than others, and be a step toward true inclusiveness.

Last, all Washington University employees should be able to access summer camp opportunities and other special programs for their children. Again, we recommend reexamining the current pricing structure to develop a sliding scale or subsidy at a certain income level. Such a change would enable all children of our employees to have access to some of the wonderful resources offered by our campus.

3. Revision of time off policies to better fit the values of a diverse community with various cultural and religious backgrounds

Human Resources has recently unveiled a more inclusive sick leave policy that allows employees to take time for preventative appointments and to support sick family members. This is a positive step that will certainly help our employees to protect their health and meet family needs while preserving earned vacation time for its intended purpose. However, we propose a further revision in the policy that would put us on par with our peers.

Currently an employee may earn two personal days if they do not take sick leave for an entire year. An unintended consequence of this policy is that it may encourage people to come to work when they are ill and possibly contagious. Once the expanded policy for sick leave is implemented, it is likely that most people with family obligations will not be able to earn these two days.

At the same time, we recognize that our official holidays

are based on an American, Christian calendar and people of different faiths and cultures must utilize vacation days in ways that others do not. For example, a large percentage of our workforce is Jewish and must use vacation days for Rosh Hashanah and Yom Kippur.

We suggest removing the caveat that you must not take sick leave to earn personal days. Instead, our recommendation is to allow each employee two personal days each year in addition to vacation earned and holidays. This would make good sense with the upcoming change in sick leave, bring our time off policy closer to our peers, and give employees time off that can be used diverse reasons.

We note that a version of this policy already exists on the medical campus; it may be possible to make that a consistent policy across all of our campuses.

4. Provide paid parental leave in accordance with best practices in human resources

Our existing human resources policy states that for the birth or adoption of a child, employees must first utilize their sick leave, followed by vacation leave, and then unpaid FMLA as needed. This policy can be very limiting for new parents and seems unsupportive of pregnant women who may need to use sick leave during the pregnancy itself.

We recommend some amount of paid parental leave for Washington University employees. This is a best practice benefit found at other universities such as [Emory University](#), Duke University and [Harvard University](#). Such a benefit would be family-friendly, progressive, and allow new parents to adjust to this big life change and come back ready to work without depleting their savings or earned time off.

5. Adopt additional ways to make our culture warm, welcoming, and inclusive as a way to retain a diverse pool of talent and encourage loyalty and productivity in the long-term

We pride ourselves on making diversity a priority and having a workplace that is welcoming of all. The culture and climate at Washington University can become even better if we continue to show care and concern for one another and are thoughtful of the many diverse backgrounds and needs we have within our community. The following recommendations fall under the umbrella category of enhancing climate:

- The School of Medicine has done great work in developing and implementing a lactation room program. We suggest that this program be expanded to all other parts of campus to accommodate new mothers.
- [Stanford University](#), among others, allows employees to donate unused vacation days to a community bank. Fellow employees can apply to use these extra days when facing catastrophic circumstances beyond their accrued vacation and sick leave. We hope that Washington

University will explore this kind of option for our campus further.

- Flex schedules and telecommuting are currently being offered depending on the department and supervisor. We recommend specifying these option more explicitly and training managers on how to implement them so that we can accommodate people who want to work from home or have a schedule outside the norm. A clear, standard policy that allows us to keep up with peers like [Harvard University](#) will help contribute to morale, productivity, and work/life balance.
- We understand the Human Resources website will be revamped in the future and endorse a more user-friendly format that collects our many resources in one place. See Stanford's website on [benefits](#), [staff groups](#), and [sweeteners](#) as one example.

RECOMMENDATION #3 APPENDIX:

1. All bias and discrimination policy should be easily accessible on the WUSTL website and written in a format that can be understood regardless of educational level.

Employees will be able to easily access information in often emotionally challenging times. Also, employees who may not possess the educational level to understand legal language will be able to more easily understand the reporting resources that Washington University has available to them.

2. Increased marketing presence of Ombuds (University and departmental levels) – website, targeted emails, campus posters, etc.

Being able to speak to a safe person about their concerns will increase employees' comfort in reporting concerns which could lead to greater retention, increased job satisfaction, and an increased feeling of trust towards the institution.

3. Create a “Statement of Cultural Expectations” to be publicized throughout the University, community, and shared with visiting presenters.

This statement will serve as a gentle reminder of what behaviors are unacceptable and may warrant reporting.

4. Specific and mandated training on skill building for having difficult conversations.

Managers will be able to reduce EEO claims and accompanying lawsuits through implementing effective conversation that increase employee comfort in reporting directly to them.

5. All new managers participate in a 6-12 month University-wide mentorship program that trains them on soft leadership skills.

Managers will be more equipped to effectively lead and address bias and discrimination concerns according to University standards. This could result in increased employee willingness to report directly to them and ultimately result in a reduction of EEO claims and law suits.

6. Deepen capacity of Human Resources Employee Relations Specialists and create a joint accountability structure.

Once capacity has been increased, create and implement a monthly/quarterly schedule of office hours within the departments they are assigned. With consistent, unified training in diversity and inclusion and anti-bias skills, Employee Relations Specialists’ regular presence will assist Human Resources in creating a healthier rapport with the WUSTL community which can result in early communication of concerns before they escalate as well as increased comfort of employees asking for guidance in addressing bias and discrimination concerns.

RECOMMENDATION #4
APPENDIX



Figure 1. Recommended Career Development Strategies



Figure 2. Recommended Target Population Categories (religious status and sexual orientation are not considered protected class).

This is just a subset of the many categories in which the University could track, however, given the sensitivity and difficulty of acquiring such data, we limited the recommendation to those listed.

RECOMMENDATION #5
APPENDIX:

A signature fellowship with senior administration might entail rotations, as the School of Medicine executive fellowship currently does, including potentially with academic departments.

RECOMMENDATION #6

APPENDIX:

A significant amount of data already is being collected through Human Resources, and analyzed through their new Compliance and Research unit. Ensure that it includes:

- Length of employment
- Compensation relative to mid-point & employment length
- Turnover ratio 0 – 5 years & 5 – 10 years
- By academic and business units
- # of years to promotion and/or # of promotions
- Average annual merit increase
- # placed in management positions
- # of management positions available & turnover ratio (by business unit)

In addition, resources are needed to not only collect, but analyze and apply data trends to drive daily and long- term operations and decision-making.

RECOMMENDATION #7

APPENDIX

STUDENT AFFAIRS

Overview:

The Division of Student Affairs is committed to supporting the University's focus on diversity and inclusion in all aspects of our work, including recruiting and hiring diverse student affairs staff members. Toward that end, this form provides an opportunity for our Division and Hiring Managers to reflect that our interview pools for our various positions are broadly diverse and in accordance with the

University's statement on non-discrimination: "Washington University encourages and gives full consideration to all applicants for admission, financial aid, and employment. The University does not discriminate in access to, or treatment or employment in, its programs and activities on the basis of race, color, age, religion, sex, sexual orientation, gender

identity or expression, national origin, veteran status, disability or genetic information."

Diversity is one of Washington University's "deepest values and highest priorities.... Diversity strengthens our sense of community and is vital to our knowledge creation, problem solving and productivity—all of which are essential to our mission as a world-class University. Enhancing our diversity, while making Washington University a more inclusive place, is not an option. It is an imperative." (Chancellor Mark W. Wrighton as quoted from the Washington University Diversity and Inclusion website):

<https://diversity.wustl.edu/framework/chancellor-statement/>

This summary form must be completed and submitted and approved by those listed as signatories prior to an offer being extended to a candidate.

SEARCH SUMMARY FORM

RECOMMENDED CANDIDATE		
Name:	Preferred Gender Pronoun:	Race:
Salary (Exempt):	Hourly Rate (Non-Exempt):	Proposed Start Date:
JOB DATA		
Job Title:		Minimum:
Job Code:		Midpoint:
Job Grade:		Maximum:
ADVERTISING (How was this position advertised?)		
REVIEW OF APPLICATIONS/RESUMES		
Total# of Applicants/Resumes Received:		
:		
Total# of Applicants/Resumes Received by Priority Consideration Date:		
What was the minimum education requirement used in this posting?		
What was the minimum experience requirement used in this posting?		
Of the resumes viewed, how many applicants met the minimum education and experience requirements?		
SELECTION CRITERIA USED TO IDENTIFY CANDIDATES		
Education:	Required	Preferred
Experience:	Required	Preferred
1.	Required	Preferred
2.	Required	Preferred
3.	Required	Preferred
4.	Required	Preferred
5.	Required	Preferred
6.	Required	Preferred
7.	Required	Preferred
8.	Required	Preferred

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PRE-SCREENED CANDIDATES:

Candidates who had a phone interview or were sent an email screen.
(If more than 17, please complete and attach Additional Candidates Form)

#	Applicant ID	Name	Date	How was the candidate contacted?
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

SEARCH SUMMARY FORM (Page 2)

PRE-SCREENED CANDIDATES (continued) :

#	Applicant ID	Name	Date	How was the candidate contacted?
11.				
12.				
13.				
14.				
15.				
16.				
17.				

INTERVIEWED CANDIDATES

(If more than 10, please complete and attach Additional Candidates Form)

#	Name	Date	<i>(to be completed by Hiring Manager)</i>	
			Race	Preferred Gender Pronoun
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

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SUMMARY OF RECOMMENDED CANDIDATE

SEARCH SUMMARY FORM (Page 2)

SEARCH COMMITTEE/INTERVIEW TEAM MEMBERS				
#	Name	Job Title	Race	Gender
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
APPROVALS/SIGNATURES				
Director:			Date:	
Associate Vice Chancellor:			Date:	
Student Affairs Business Manager:			Date:	
Vice Chancellor or Chief of Staff:			Date:	

Please attach the following items to this Search Summary Form:

- * A printed copy of the completed Search Summary Form
- * Additional Candidates Form (if applicable)
- * Interview Questions from each search committee member
- * Candidate information for all candidates contacted:
 - Resume
 - Phone Interview Form / Email Screen Responses (where applicable)
 - Candidate Interview Evaluation Form (where applicable)
 - References & Reference Check Forms (only for top candidate(s))
 - Skills Assessment Results (where applicable)

This form adopted from a similar form used by the Human Resources Department at Southern Methodist University.

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RECOMMENDATION #8 APPENDIX

We recommend the re-design include focus groups and close work with employees, especially with the many staff who are the main targets of workshops and trainings. Because website design is time intensive and Human Resources does not have a dedicated web team, the design might be most easily completed by a third-party vendor.

DIVERSIFYING STAFF WORKING GROUP

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Vice Provost; William M. Van Cleve Professor of Law, School of Law

Julia Macias, Co-Chair

Assistant Dean, Scholars Program; Director, Annika Rodriguez Scholars Program

Nicole Allen

Assistant Dean, Sam Fox School of Design and Visual Arts

Divya Babbula

Undergraduate Student, School of Arts & Sciences; Class of 2017

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Anna Shabsin

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Diversity and Inclusion Leader, Office of Human Resources

Alison Whelan

Professor of Medicine, School of Medicine

Lilly Leyh-Pierce, staff

Working Group Coordinator

To view the full report click [here](#);
to view the Executive Summary of the report, click [here](#).