

**Staff Appreciation and Recognition (STAR) Plan
Achievement and Spot Awards - UC Berkeley
Effective July 1, 2017**

These guidelines serve as a framework for implementation of cash recognition awards for employees under the Staff Appreciation and Recognition Plan (the “STAR Plan”) at Berkeley. The Berkeley Campus offers Achievement and Spot Awards under this UC Plan.

Purpose of Achievement and Spot Awards

Achievement and Spot awards are intended to provide rewards that highlight exemplary performance and contributions. It is important that UC Berkeley reward excellent employee performance and provide managers with the opportunity to recognize employees (individuals or teams) for exemplary contributions, creating role models, and communicating the type of accomplishments the campus values.

What are the criteria for the Achievement and Spot Awards?

The Berkeley Operating Principles are the criteria for both the Achievement and Spot Awards. Staff participate in activities throughout the year that contribute to the mission of the university and the goals of their units. In some cases, the activity rises to the level of a major achievement as part of a big project, in other cases a staff member engages in a sustained effort to take responsibility for professional development in an area that adds value to his or her work and results in a significant improvement in their unit, or contributed to the unit's achievement of a broader goal.

Whatever the contribution that is being recognized, at either the Spot or Achievement Award level, it should reflect at least one of the Operating Principles:

- **We include and excel, together**
We cultivate trust, treat one another with respect and assume good intentions. We actively include different perspectives and work cooperatively within and across departments. We thrive when we celebrate the diversity in our community and our common commitment to equity, inclusion and equal access to all.
- **We imagine and innovate**
We develop sustainable solutions that help us meet campus goals. We are willing to take intelligent risks, make mistakes, and learn from our experience.
- **We simplify**
We reduce unnecessary steps and make it easier to get things done. Our solutions are common where they can be, custom where it counts.
- **We are accountable to each other**
We measure supervisor, individual and team performance, make transparent decisions, and follow through on our commitments. We recognize excellence, and give and receive constructive feedback at all levels to help us improve.
- **We focus on service**
We provide timely, excellent service to students, staff, faculty, alumni and other stakeholders. We emphasize service over bureaucracy whenever possible.

What are the differences between Achievement and Spot Awards?

The threshold for granting an Achievement Award is significantly higher than for a Spot Award, and the level of approval has been set higher.

Achievement Awards are designed to recognize sustained, exceptional performance and/or significant contributions over an extended period of time which represents a major portion of the employee's area of responsibilities, including performance or project goals above and beyond normal performance expectations. An award at this level may also represent an employee's sustained commitment to professional development resulting in a significant improvement in their unit, or contributing to the unit's achievement of a broader goal.

Spot Awards are designed to recognize special contributions, as they occur, for a **specific project or task**. Spot Awards are generally for a special contribution accomplished over a relatively short time period. A Spot Award lets employees know that someone has noticed their noteworthy contribution. At the same time, it recognizes and reinforces the behaviors and values that are important at UC Berkeley.

Plan Eligibility

Employees eligible for **Achievement Awards** must meet all of the following requirements:

- PPSM (PSS or MSP) or an employee in the Clerical (CX) bargaining unit in one of the following appointment types:
 - Career
 - Partial-Year Career
 - Contract (where eligibility is incorporated into the terms of the contract)
- have successfully completed their probationary period, if applicable;
- are on active pay status or on an approved unpaid leave; and,
- received a "meets expectations" or better overall rating on their most recent annual performance evaluation (PPSM 23 requires that written performance evaluations be completed annually).
Employees who have not yet received an annual performance evaluation may be eligible for an award if their manager confirms on the nomination form that they are "meeting expectations."

Employees eligible for **Spot Awards** must meet all of the following requirements:

- PPSM (PSS or MSP) or an employee in the Clerical (CX) bargaining unit in one of the following appointment types:
 - Career
 - Partial-Year Career
 - Contract (where eligibility is incorporated into the terms of the contract)
 - Limited
 - Casual Restricted (student employees)
 - Per Diem
- have successfully completed their probationary period, if applicable;
- are on active pay status or on an approved unpaid leave; and,
- received a "meets expectations" or better overall rating on their most recent annual performance evaluation (PPSM 23 requires that written performance evaluations be completed annually).
- Employees who have not yet received an annual performance evaluation may be eligible for an award if their manager confirms on the nomination form that they are "meeting expectations."

Policy-covered and CX represented employees with the appointment types listed in the above Plan Eligibility are eligible to participate in the STAR Plan at UC Berkeley. All other exclusively represented employees are not eligible for recognition awards under the STAR Plan.

An employee may not receive an award under the STAR Plan if the employee is a participant in an incentive award plan that prohibits the receipt of a recognition award.

An employee's receipt of an award under the STAR Plan does not establish any right or guarantee that the employee will be eligible for or entitled to an award in any subsequent Plan year.

Senior Management Group (SMG) members are not eligible for Spot or Achievement awards.

Award Amounts and Restrictions

Achievement Awards may range from \$2,000-\$10,000. No single Achievement Award may exceed 10% of the employee's base salary or \$10,000, whichever amount is less. The award is taxable. Part-time employees are eligible for the full amount of the award, if all other eligibility criteria are met. Achievement Awards may not be less than \$2,000 unless the award is part of a team award, in which case, each team member may receive \$1,000.

Spot Awards are \$500 regardless of the percentage of time of the employee's assignment. Part-time employees are eligible for the full amount of the award, if all other eligibility criteria are met. Spot Awards may not be less than \$500. The award is taxable.

No exceptions will be made to the above monetary award limits.

STAR Plan cash awards are strictly discretionary and may not be promised or guaranteed in advance.

Across the board type awards (e.g. awards to a category of employees without regard to a recipients' performance or relative contribution) are not allowed under the STAR Plan. Awards must be based on the recipient's achievement as an individual or as part of the team.

Award Frequency

Employees may receive up to **one Achievement Award and two Spot Awards** with a cumulative amount that may not exceed \$10,000 or 10% of the employee's annual (full-time equivalent) base salary, whichever amount is lower per fiscal year.

Nomination Process

The attached STAR Award Nomination Form must be used for every nomination

- **Individual Award Nominations**
Individual employees may be nominated for Achievement or Spot awards based on one or more of Berkeley's Operating Principles. Input will be required from the manager/supervisor if different than the nominating individual.
- **Team Award Nominations**
Team Awards may be granted to teams of employees who meet one or more of the performance standards set forth in the STAR Plan for work on a project within the same department or for work on the development and/or implementation of inter-departmental projects. Input will be required from the team leader and supervisor/manager if different than the nominating individual. If a team receives an Achievement Award, individual team members may receive \$1,000 each (not the \$2,000 minimum for an individual Achievement Award).

Recognition Award Administrators

Units should designate one or more Recognition Award Administrators who will be the point of contact for questions regarding the Unit's Achievement and Spot Award Program. They are also responsible for facilitation of the review process. For example, that individual may be the Control Unit Administrator, a HR Partner, the Chief Administrative Officer, or someone in the Campus Shared Services (CSS) HR/APS.

Achievement Award and Approval Authority

Managers, Supervisors, peers, or other campus individuals may nominate staff for Achievement awards; but because of the sustained, exceptional performance requirements aligned with performance or project goals, it is more likely that nominations will be made by the employee's manager. Nominations for Achievement awards must be approved by the employee's supervisor/manager and the Vice Chancellor or Dean.

Nominations should be submitted via the Berkeley STAR Nomination Form located at:

<http://hrweb.berkeley.edu/compensation/recognition>. The form should be submitted to the Recognition Award Administrator (for the nominated employee's department). Nominations for Achievement Awards normally are submitted during the second half of the fiscal year or near the end of a major project.

- The employee's department head must approve the employee's nomination.
- Completed nomination forms are submitted to the Recognition Award Administrator for the applicable unit.
- The Recognition Award Administrator reviews the nomination for eligibility.
- If the employee meets the eligibility criteria, the Recognition Award Administrator will notify the nominator that the nomination is being forwarded to the Award Review Committee (if applicable) or the Vice Chancellor or Dean for review and decision based on timeframes established by each unit.
- The Vice Chancellor or Dean, in consultation with the Award Review Committee (if applicable) has approval authority for Achievement Awards. If the Vice Chancellor or Dean approves the Achievement Award, an award letter and a certificate will be prepared for the nominee's manager to be presented to the recipient. A one-time payment should be processed via OPTRS to be paid the following month. It is recommended that the Achievement Award be paid to employees via a direct deposit. The Recognition Award Administrator and supervisor should ensure that communication to the employee is coordinated so the recipient is informed of the award before it is deposited to their bank account.
- Awardees receive an award letter, a certificate, and the award (less taxes) in a direct deposit. These documents should be presented to the employee at the same time.

Spot Award Review and Approval Authority

Managers, Supervisors, peers, or other campus individuals may nominate staff for Spot Awards. Nominations should be submitted via the Berkeley STAR Nomination Form located at:

<http://hrweb.berkeley.edu/compensation/recognition>

Nominations will be accepted throughout the fiscal year. Nominations should generally be submitted within three months of the accomplishment.

- The signatures of the supervisor and next level manager on the Berkeley STAR Nomination Form represent an endorsement of the nomination.
- Completed nomination forms should be submitted to the Recognition Award Administrator (for the nominated employee's unit) to review for eligibility.
- The decision maker(s) designated by the Dean and VC have approval authority for Spot awards.
- Following the decision, the Recognition Award Administrator notifies the nominator that the award nomination:
 - is approved
 - is denied
- If the award is approved, the Recognition Award Administrator provides an award letter template and a certificate to the nominee's supervisor to be presented to the recipient. A one-time payment should be processed via OPTRS to be paid the following month. It is recommended that the Spot Award be paid to employees via direct deposit. The Recognition Award Administrator and supervisor should ensure that communication to the employee is coordinated so the recipient is informed of the award before it is deposited to their bank account.
- Awardees receive an award letter, a certificate, and the \$500 award (less taxes) in an upcoming direct deposit. These documents should be presented to the employee at the same time.

Note: If the nominator is not the supervisor or manager OR the nomination is for an employee in another unit, the completed nomination form should be submitted to the Recognition Award Administrator for the nominated employee's home unit. The Recognition Award Administrator will contact the employee's supervisor so the nomination can be reviewed for eligibility. If the nomination is for an employee in another unit, please consult with the employee's home unit regarding how the award cost will be covered.

Spot Award Nominations for Student Employees

Student employees (Casual/Restricted staff) in Work-Study and non-Work-Study positions in non-Academic jobs are eligible to receive Spot Awards, but not Achievement Awards.

Timing and Processing of Achievement and Spot Award Payments

Awards may be presented at any time during the Plan year and should be awarded as soon as possible after the accomplishment or event in order to provide immediate recognition to employees. The Recognition Award Administrator and supervisor should ensure that communication to the employee is coordinated so the recipient is informed of the award before it is deposited to their bank account. Providing an employee the award along with a Thank You Letter and an Award Certificate will reinforce UC Berkeley's appreciation for the special achievement.

The assigned Description of Service (DOS) code XSL, specific to the STAR Plan, **must** be used when paying awards to employees.

Funding for Achievement and Spot Awards

Units will receive an allocation for Achievement and Spot Awards at the beginning of each fiscal year.

In the new fiscal year, Deans and VCs will receive a supplemental annual allocation to "top off" last year's remaining funds (if any) in order to provide a total allocation appropriate for the unit as of the end of the previous fiscal year.

Allocation of Unit's Achievement and Spot Award Funds by Time Period

VCs and Deans have the discretion to determine how funds will be used within their unit. It is recommended that funds be held at a high enough level to allow for variation in the number and amount of the awards provided to sub-units from year to year.

Availability of Berkeley Campus Achievement and Spot Award Information

For employees who do not have access to a computer to view the Recognition website, Units should ask HR Managers to make a hard copy of the information on the Achievement and Spot Awards available.

Award Funding May Not Be Supplemented

The award funds may not be supplemented by department, division or college funds.

Achievement and Spot Award Forms That Have Been Processed

Achievement and Spot Award forms which have been processed (approved or denied) must be kept in a central file (or easily available) at each Unit. A copy of the approved form and award letter should be placed in the award recipient's personnel file. Future assessment of Berkeley's Staff Appreciation and Recognition (STAR) Award Plan may require a review of these forms.

Achievement and Spot Award Program under STAR are Subject to Change

UC Berkeley reserves the right to change or revise this program.

Berkeley Operating Principles

OPERATING PRINCIPLES

Reimagine your world

WE INCLUDE AND EXCEL, TOGETHER

We cultivate trust, treat one another with respect and assume good intentions. We actively include different perspectives and work cooperatively within and across departments. We thrive when we celebrate the diversity in our community and our common commitment to equity, inclusion and equal access to all.

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We develop sustainable solutions that help us meet campus goals. We are willing to take intelligent risks, make mistakes, and learn from our experience.

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WE FOCUS ON SERVICE

We provide timely, excellent service to students, staff, faculty, alumni and other stakeholders. We emphasize service over bureaucracy whenever possible.

OperatingPrinciples@berkeley.edu

Berkeley
UNIVERSITY OF CALIFORNIA

Examples of Distinctions between Achievement Awards and Spot Awards

Spot Awards "In-the-moment contributions"	Achievement Awards - "Substantial change over time"
<ul style="list-style-type: none"> • We include and excel, together <i>Example: Instead of updating a lobby directory for just one department, an Administrative Assistant reaches out to all the building's occupants to gather their updates, resulting in a better, more inclusive sign.</i> • We imagine and innovate <i>Example: Student Services Advisor creates a comprehensive, informative matrix on the college website of financial aid sources for students, including eligibility criteria and other pertinent factors.</i> • We simplify <i>Example: A team of Financial Analysts works within a college over a short period of time to develop a standard budget process for a department within the college. Good leadership and teamwork results in a successful outcome.</i> • We are accountable to each other <i>Example: Human Resources Manager creates a culture for continuous feedback in the workplace by encouraging staff to mentor each other, recognize each other's achievements, and offer constructive solutions when things aren't going well.</i> • We focus on service <i>Example: Financial Analyst enrolls in a class to increase her financial modeling knowledge and, as a result, makes improvements in the financial modeling process in her department.</i> 	<ul style="list-style-type: none"> • We include and excel, together: resulting in the accomplishment of significant departmental or divisional goals and objectives <i>Example: Project/Policy Analyst drafts an insightful, comprehensive proposal and assists with implementation to reconfigure the units within the Library, thereby breaking down silos, and enhancing resource sharing while retaining the specific functions of each library unit.</i> • We imagine and innovate: resulting in one-time or sustained time/dollar/environmental savings, revenue enhancement, productivity improvement; and/or ongoing innovative/creative activities that benefit organizational systems, protocols, and/or procedures. <i>Example: Applications Programmer facilitates the replacement of the unit's legacy system by modifying and enhancing an application from another campus unit. The modified system improves and secures systems operations and costs significantly less than projected replacement costs.</i> <i>Example: External Relations Specialist takes responsibility for her professional development and keeps abreast of best practices in external constituent outreach through continuing education. She conceives, designs, and implements an innovative method to identify and contact alumni who have a high probability of supporting UC Berkeley, with significant impact for both fundraising and political support for the campus.</i> • We simplify <i>Example: Student Services Advisor leads the design and implementation of a program that developed valuable information, streamlined processes and systems for supporting students and their well-being. This work is not only enthusiastically adopted by the Berkeley Campus, but has become a go-to model of the UC System as a whole.</i>

Frequently Asked Questions

- Question:** How will the Berkeley Campus Achievement and Spot Award program be monitored?
Answer: The campus will seek feedback from supervisors, staff, and administrators to ensure the program is achieving outcomes that benefit the campus, departmental operations and individual employees. Control Unit Administrators will also review usage of Achievement and Spot Awards to ensure colleges, divisions, and departments are encouraged to utilize the program funds. Central HR will evaluate and monitor usage of funds on a regular basis.
- Question:** Can a unit develop an alternative form of nomination?
Answer: Although a nomination form may work for many areas of campus, for some areas, it may not be the most effective means to determine who may deserve an Achievement or Spot Award. If a unit feels another method of nomination may be more appropriate, an alternative approach may be used, provided it is reviewed with the Control Unit Administrator and the Compensation Unit to ensure the method meets the guidelines of the Achievement and Spot Award program.
- Question:** What happens if a Unit does not spend all of its Achievement and Spot Award funds in a given fiscal year?
Answer: Units will receive an allocation for Achievement and Spot Awards at the beginning of each fiscal year based on the proportion of annual payroll of eligible staff. In the new fiscal year, Deans and VCs will receive a supplemental annual allocation to “top off” last year’s remaining funds (if any) in order to provide a total allocation appropriate for the unit as of the end of the previous fiscal year. If a Dean or VC spent more than their allocated amount their allocation for the new fiscal year will be reduced by the amount overspent from the past year.
- Question:** Can departments, divisions, or colleges supplement the Achievement Award or \$500 Spot Award amounts with additional funds if they are available?
Answer: The award funds may not be supplemented by department, division or college funds.
- Question:** Can Achievement or Spot Awards be provided to teams?
Answer: Employees who are part of a team may be considered for Achievement and Spot Awards. Teams that are recognized via Spot Awards will receive \$500 per team member. Teams recognized via Achievement Awards may receive \$1,000 per team member (not necessarily the \$2,000 minimum individual Achievement Award amount due to the higher total costs for team Achievement Awards).
- Question:** Can staff that will soon be departing UC Berkeley be nominated (i.e. retirees)?
Answer: Any employee who is eligible (based on the published criteria) may be nominated for an Achievement or Spot Award. However, the employee must be on active pay status or on an approved unpaid leave at the time of payout.
- Question:** How are the Berkeley Campus Achievement and Spot Awards funded?
Answer: The program is funded centrally based on the unit’s proportion of annual payroll for eligible employees. Funds are distributed to the Vice Chancellors or Deans accordingly.
- Question:** Are student employees (Casual Restricted staff) eligible for this recognition program and, if so, what student populations are eligible to receive an Achievement or Spot Award?
Answer: Students are NOT eligible to receive Achievement Awards, which are limited to Career, Partial Year Career, and Contract employees. Student employees ARE eligible to receive Spot Awards. Both Work Study and non-Work Study student employees in non-academic positions are eligible to receive Spot Awards.

9. **Question:** How are Spot and Achievement Award fund allocations determined for the eligible populations?
Answer: Award funds are allocated based on the annual payroll of PPSM staff employees in the following appointment types: Career, Partial-Year Career, Contract, Limited, and Per Diem. The population is based on figures as of July 1st of the new fiscal year.
10. **Question:** Is there a recommended pay cycle to process the one-time payment for the Achievement or Spot Award?
Answer: No, the Achievement or Spot Award may be paid to employees via a direct deposit as soon as reasonably possible. Providing employees with the award along with a Thank You Letter and an Award Certificate will reinforce the campus' appreciation for the special achievement.
11. **Question:** Can a campus department or unit offer a non-cash award which is available for all employees?
Answer: Yes, a campus unit may offer a **non-cash** award valued at \$75 or less to any employee. The criteria for the award may be established by the campus unit. The non-cash award (gift certificate or card, merchandise etc.) must be valued at \$75 or less so the employee does not incur any taxes, unlike the campus-wide Spot Award which is \$500 and taxed).

Reference from: University of California Employee Non-Cash Awards and Other Gifts Policy BFB-G-41 <http://policy.ucop.edu/doc/3420353/BFB-G-41> (pages 3-5).

Instructions for Processing Awards using OPTRS One Time Payment (EDFT) Screen

Following is a guide to assist users in processing this one-time payment including the *appropriate chart string*.

Achievement and Spot Award recipients may receive their monetary awards via a PayCard. Please email payhelp@berkeley.edu (before the close of cycle in which the XSL is processed) for more information.

Key the One Time Payment (EDFT) payment line as follows:

Bus (B) = 1 or J (Berkeley or UCOP)

BFS Acct (BFSAc) = 51231

Fund = 69741

DeptID (formerly Org) = The Department ID where funds reside (it may not be the same as where the employee works)

Program (Pr) = Your Department Prog

ChartField1 (formerly Proj) = CF1

ChartField2 (formerly Flex) = CF2

Title Code (Ttl) = Title Code of Employee receiving Award

Description of Service (DOS) = XSL

Amount (Amount of Award) = 2,000 - 10,000 if Achievement Award, 500.00 if Spot Award

Period End Date (PerEnd) = mmddyy (the previous period month End Date is recommended)

Note: Your keyed chart string should be 1/J-51231-69741-DeptID-Prog-CF1-CF2 where Bus, DeptID where funds for the award reside in your division, Prog, CF1 and CF2.

These instructions are for OPTRS users. Please see sample below. The following OPTRS One Time Payment Screen with filled in Account, Fund, Description of Service and Amount. Complete instructions for keying general One Time payments can be found on the FS Payroll website under Services and Resources/OPTRS Reference materials.

NOTE: *Spot Award payments made to Work-Study students are not eligible for Work-Study funding by the state, therefore a **WORK-STUDY PROGRAM CODE MUST NOT BE USED** when processing the award payment.* Students are NOT eligible for Achievement Awards.

The report is run in the same way that that information is obtained on Regular Payroll Expense in BAIRS. Select the columns you would like: Unit Number, Org, DeptNm, ID, Name, Gross, Benefits and use the relevant selection criteria i.e. specific Dept ID. Achievement and Spot Awards may be differentiated based upon the amount. The data can then be copied to Excel for analysis. Data can be run for any past monthly period. Contact Payroll if there are any questions or if you need assistance.

Plan Contact for Questions

Questions regarding the STAR Plan should be directed to the Compensation Unit.

Achievement or Spot Award Thank You Letter Template and Award Certificate

After Achievement and Spot Awards are approved, Recognition Award Administrators should provide an award letter to the nominee's supervisor (to be signed by the supervisor or appropriate level manager) along with an Award Certificate. These documents should be presented to the recipient and copies placed in the employee's personnel file. All units should use these templates to ensure consistent communication across the campus. At the time the award letter is presented, a one-time payment should be processed. Sample text for the Achievement or Spot Award Thank You Letter template can be found below. The letter is also provided as a separate attachment to be given to supervisors and managers of award recipients.

[Use department letter head]

Date

Dear _____,

I am pleased to inform you that you have received a Berkeley [Achievement or Spot] Award. Thank you for (provide 1-2 sentences summarizing specific achievement). *Optional:* You were nominated by _____ for this award.

The UC Berkeley [Achievement or Spot] Award recognizes your exemplary achievement and demonstrated commitment to our Operating Principles.

You will receive your award of [\$n] (less taxes) in an upcoming direct deposit. Your contributions help UC Berkeley maintain its position as a leading institution of higher education.

Thanks for a job well done – congratulations!

Sincerely,

Supervisor/Manager Name

cc: Personnel File

STAFF APPRECIATION AND RECOGNITION (STAR) Berkeley STAR Nomination Form

Name of Nominee:	Employee ID:	
Job Title:	Job Title Code:	
Unit/Department Name:		
Type of Award: <input type="checkbox"/> Achievement Award <input type="checkbox"/> Spot Award		
Provide a brief description (1-3 paragraphs) of the specific reason for nomination and linkage to one or more of the UC Berkeley Operating Principles. If nomination for an Achievement Award , describe the sustained, exceptional performance aspects that warrant an Achievement Award. If the nomination is for an employee in another unit, please consult with the employee's home unit regarding how the award cost will be covered.		
Eligibility for award (both boxes must be checked): <input type="checkbox"/> The nominee is a non-represented employee or a represented employee in the Clerical (CX) represented bargaining unit. <input type="checkbox"/> The nominee has a rating of "meets expectations" or above and has no outstanding disciplinary actions.		
Nominator Name:	Signature:	Date:
		mm/dd/yyyy
<i>(For Achievement Award, usually Employee's Supervisor or Manager)</i>		
Nominator's Unit:	Contact address:	
E-mail address:	Phone:	
Supervisor: <i>(if other than Nominator)</i>	Signature:	Date:
Next Level of Authority Name:	Signature:	Date:

VC or Dean (only required for Achievement Awards)	
Name:	Signature: Date:
Office Use Only:	
<input type="checkbox"/> Award Approved Award amount: (copy to be placed in nominee's Personnel File)	Guidelines: \$2,000-\$10,000 for Achievement Award (less taxes) (if a team award is provided each member receives \$1,000) \$500 for Spot Award (less taxes)
<input type="checkbox"/> Achievement Award Denied, but approved for Spot Award Award amount: Reason for change from Achievement Award to Spot Award:	
<input type="checkbox"/> Award Denied Reason for Denial:	
Recognition Award Administrator Name:	Signature:
Job Title:	Date:

June 2015

Please complete this form and return to your Recognition Award Administrator.

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