

POLICY CONCERNING PERFORMANCE MANAGEMENT

PURPOSE

The purpose of the Policy Concerning Performance Management is to enhance communication between supervisors and employees regarding employee performance and to link employee performance to the accomplishment of ASI’s organizational objectives. Performance Management involves giving staff timely, relevant, and effective feedback in an effort to promote job satisfaction, increase competence, and develop staff in their chosen profession. By adopting a performance management system, the Associated Students, CSUF, Inc. seeks to improve organizational performance by developing the effectiveness of its employees, both as individuals and as teams. The policy strives to encourage individual responsibility and work improvement, and seeks to cultivate partnerships built on trust, open communication, and mutual respect. To this end, the system seeks to ensure that all employees are aware of what is expected of them, are provided with continuous feedback about their performance, and are provided with opportunities for education, training, and development.

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POLICY STATEMENT

This policy establishes a performance management system for Associated Students, CSUF, Inc. and sets forth the performance management policies and procedures for the preparation, processing, and use of the performance evaluation process, and the linking of the performance reviews to other human resources decisions.

It is the policy of Associated Students, CSUF, Inc. that the management of each department and team adheres to the performance management system as described herein. This system is based on the importance of managing each individual’s work and maintaining continued communication between employees and their supervisors.

WHO SHOULD KNOW THIS POLICY

- | | |
|--|---|
| <input type="checkbox"/> Budget Area Administrators | <input type="checkbox"/> Volunteers |
| <input checked="" type="checkbox"/> Management Personnel | <input type="checkbox"/> Grant Recipients |
| <input checked="" type="checkbox"/> Supervisors | <input checked="" type="checkbox"/> Staff |
| <input checked="" type="checkbox"/> Elected/Appointed Officers | |

DEFINITIONS

For purpose of this policy, the terms used are defined as follows:

Terms	Definitions
Performance Objectives	A performance objective is a specific end result that contributes to the success of the organization and that an employee is expected to accomplish or produce.
Development Goals	Development goals are skills, knowledge and experiences the employee needs to either remain effective in their current job or support their ability to take on new responsibilities and grow in their career.
Coaching	Performance coaching is an ongoing process which helps build and maintain effective employee and supervisory relationships. Performance coaching can help identify an employee's growth, as well as help plan and develop new skills.
Performance Evaluation	Performance evaluations are an opportunity for an employee and their supervisor to sit down and discuss their performance objectives, development goals, and provide performance coaching.
Performance Improvement Plan	A Performance Improvement Plan is a plan aimed at helping employees improve their job performance.
Payroll Action Form	A Payroll Action Form is a form used to make changes to an employee's payroll profile.
Student Assistants	Currently enrolled CSUF students
Professional Staff	Non-student regular staff members

STANDARDS

1. PERFORMANCE APPRAISALS

Planning

a. Setting Performance Objectives

Employees and supervisors should meet to clarify expected outcomes for the year and set objectives that link the employee's job to department and organizational objectives. Objectives define what employees are expected to accomplish. Supervisors and employees should aim to define S.M.A.R.T. objectives.

- Specific
- Measurable
- Attainable
- Relevant
- Timely

Performance objectives should fit into and support the overall strategic objectives and goals of the organization, the advancement of the department and expectations of the position. Each employee should be assigned between 3 and 15 objectives which may be carried forward from the previous year, revised, or new objectives added during the review period as necessary.

b. Creating Development Goals

Supervisors and employees should work together to create development plans as part of the annual performance evaluation process. The plan can focus on meeting position expectations and gaining professional development skills. Meeting position expectations is necessary to successfully perform one's job. Professional development skills are the skills and knowledge that go beyond the scope of the employee's job description, although they may indirectly improve job performance. Development plans commonly include classes, but can also include elements such as cross-training and special project participation.

Check-In

a. Communicating Expectations

Once performance objectives are set, supervisors should check in regularly with employees to discuss the status of objectives and to provide feedback based on observations of an employee's performance. It is equally important to provide feedback on areas of success as on those requiring improvement. Check-ins also provide the opportunity to adjust objectives as the year unfolds.

ASI recognizes that employees have a right to know how they are performing and it is the responsibility of supervisors to provide this information. This should be done on a quarterly basis and documented through an Employee Check-In Form; however, overall performance is formally evaluated and documented on a yearly basis.

It is therefore mandatory for all supervisors to communicate and clarify expectations throughout the year. This is to be done by setting objectives and/or establishing clear standards of performance that are aligned with ASI corporate goals at the beginning of each performance evaluation cycle. It is against these expectations, objectives and standards that employee performance will be evaluated.

b. Effective Coaching

Coaching is a method of providing feedback. It helps shape performance and increases the likelihood that the employee's results will meet expectations. A coaching session generally focuses on one or two aspects of performance, rather than the overall review that takes place in a formal yearly performance evaluation.

c. Key Elements of Coaching

- Coach to focus attention on any specific aspect of the employee's performance
- Observe the employee's work and solicit feedback from others if appropriate
- Take the time to understand why performance is successful or needs improvement
- Advise the employee ahead of time on issues to be discussed
- Involve the employee in identifying successes and solutions
- Discuss alternative solutions
- Agree on action(s) to be taken
- Recognize successes and improvements

- Document key elements of the coaching session
- Schedule follow-up meeting(s) to measure results.

Review

The performance evaluation will have a direct correlation to ASI Strategic Goals, job expectations outlined in the job descriptions, offer the opportunity to explore career advancement and provide employees with feedback to improve performance. The formal meeting between the supervisor and employee serves many purposes:

- Provide a meaningful, sincere and well planned process that generates honest and open dialogue, including corrective and constructive feedback about performance and conduct, within which two-way feedback about the workplace can occur;
- Allow the employee and supervisor to create clear and concise performance standards that link directly to ASI's goals and priorities;
- Ensure that performance standards reflect key areas of the employee's responsibilities and duties as indicated in the position description;
- Use a combination of resources (which may include peers, customers, coworkers and the employee's supervisors) to gather data from which the employee and supervisor will:
 - Identify skills, knowledge and attitude that are exceptional, adequate, or those in need of improvement
 - Identify opportunities for growth through changes in the position description or short-term assignments
 - Develop a plan that identifies training and other learning opportunities to assist the employee in attaining their development goals, as well as expected levels of performance
 - Identify opportunities for feedback throughout the year
 - Provide a framework for promoting a culture of responsibility, accountability and transparency
 - Provide a basis for equitable reward and recognition, as well as input or succession planning

a. Timing

Each calendar year, every professional employee will be evaluated in the month of June. The evaluation cycle is July 1st – June 30th.

Student assistants will be evaluated after they have achieved one of the following evaluation milestones:

- 280 hours worked
- 680 hours worked
- 1000 hours worked
- Every additional 1000 hours worked thereafter

Two weeks prior to your review date, employees should receive notice from their supervisor of the meeting date as well as information on how to prepare for the performance evaluation.

b. Employee Role and Responsibilities

It is the responsibility of all employees to review their job description prior to their performance evaluation. In addition, all employees must review the goals of the department to ensure their work aligns with the strategic plan of the organization. Finally, all employees must complete the self-assessment portion of the performance evaluation to provide reference to achievements, past performance, and challenges.

c. Preparation for the Performance Review and Planning Process

Supervisors will have 30 days to prepare the performance evaluation for their employees. It is therefore critical to begin the process early to allow time for approval. Approval Routing is as follows: Supervisor, Department Director, and Human Resources Coordinator or Human Resources Director.

d. Supervisor's Role and Responsibility

It is the responsibility of the supervisor to review the employee's job description to determine if they fully or partially achieve the set performance standards outlined in the job description. Supervisors must review previous performance evaluations, self-assessment for achievements, past performance and challenges. Supervisors should then review the goals of the organization to evaluate how the employee contributed to the corporate goals. The supervisor should review the employee's performance objectives and standards to ensure they align with the current job responsibilities as well as goals of the organization. Supervisors must then review the completed training received and identify areas of needed development to be documented in a performance improvement plan. Completed performance evaluations should be submitted to the Human Resources department with all required signatures along with a Payroll Action Form if applicable.

2. INTRODUCTORY PERIOD

An introductory period is required for all new hires and employees assuming a new position due to reclassification, promotion, etc. The introductory period is intended to give employees the opportunity to demonstrate their ability to achieve a satisfactory level of performance and to determine whether the new position meets their expectations. ASI uses this period to evaluate employee capabilities, work habits, and overall performance. Either the employee or ASI may end the at-will employment relationship at any time during or after the introductory period, with or without cause or advance notice.

Non-exempt staff positions shall serve and successfully complete an introductory period of no less than ninety (90) days of full-time work. Part-time service does not count as time served toward Regular Employee Status.

Exempt, Administrative, and Executive positions shall serve and successfully complete an introductory period of no less than one (1) year of full-time work.

Student assistants shall serve and successfully complete an introductory period of no less than 280 hours of work.

Upon successful completion of the probationary period, the employee shall be considered "at will" and both ASI and the employee shall have the right to terminate the employment relationship at any time for any reason that does not violate ASI policy. Further explanation can be found in the ASI At-Will Employment Policy.

Temporary Service

Part-time temporary service shall not count as credited service toward the introductory period. Full-time temporary service approved by the Executive Director may count as credited service toward the introductory period.

Leave of Absence

Time spent on leave does not apply toward the completion of a required introductory period. The introductory period shall be extended by a period of time equal to the time spent on leave status.

Reduction in Time Base

A reduction in the time base during an introductory period interrupts the introductory period. If an employee is placed on a partial leave of absence (reduced hours), the Executive Director and the Human Resources Director may then determine whether or not there has been a break in the introductory period.

Reclassification

If an employee moves to a higher or lower classification in which they have not previously served, a full introductory period is required. If an employee is reclassified within the same level, a new introductory period is not required.

3. PROGRESSIVE DISCIPLINE

ASI expects all employees to be aware of and to follow workplace policies and procedures for the well-being of our students, staff, and customers. ASI employees are expected to comply with ASI policy and procedure as well as requirements from federal, state, and local law.

This policy defines the process for correcting single and repeat episodes of employee failure to comply with ASI policy or procedure and/or to meet specific workplace expectations for conduct. Corrections to unacceptable behavior will be addressed under this policy. Progressive Discipline is a process designed to modify unacceptable employee behaviors, which also allows for discipline to start at a higher step based on the severity and circumstances of the situation. An employee is expected to sustain improvement while on progressive discipline.

Progressive Discipline Steps

The purpose of progressive discipline is to assist employees by being clear and precise about problems and the consequences if the same performance issues or misconduct reoccur. It is important that discipline is applied in a fair and consistent manner. The supervisor has a critical role in conducting a fair and objective investigation of a situation. The supervisor must have an understanding of the facts and circumstances before assessing appropriate discipline. The supervisor should discuss the situation with the Human Resources Department to determine the appropriate level of disciplinary action. Many situations should be able to be resolved through verbal counseling or coaching; however, some incidents and behavior may be severe enough to merit a formal written warning, suspension, final warning or termination. The seriousness of the offense and the employee's disciplinary and performance history will be considered when determining the level to be applied. All decisions to escalate disciplinary action to a higher level of discipline should be made in consultation with Human Resources.

Step 1- Verbal Warning:

The purpose of a verbal warning is to clearly communicate an employee's behavior and clarify policies and expectations. The impact of the incident or violation should also be taken into consideration. The supervisor should document for their records that the conversation that occurred, keeping in mind the significance of the impact of the act or omission. The supervisor should also draft a performance improvement plan that outlines what performance is expected of the employee and any support, coaching, or training that will be provided by ASI.

Step 2 – First Written Warning:

If the conduct addressed by a verbal warning is repeated or additional problems occur, the supervisor should follow up with a written warning in the form of a letter. The letter should describe the unacceptable conduct, outline expectations, and state that further disciplinary action will occur if the behavior is repeated. The supervisor should also draft a performance improvement plan that outlines what

performance is expected of the employee and any support, coaching, or training that will be provided by ASI.

Step 3 – Final Written Warning:

If the conduct addressed by a first written warning is repeated or additional problems occur, the supervisor should follow up with a final written warning in the form of a letter. The letter should describe the unacceptable conduct, outline expectations, and state that further disciplinary action will occur if the behavior is repeated. The supervisor should update the performance improvement plan that further explains what performance is expected of the employee and any support, coaching, or training that will be provided by ASI.

Step 4 - Suspension or Demotion:

If the conduct addressed by the written warnings is repeated or additional problems occur, discipline may progress to a final warning, which may include a suspension or position demotion. However, a single incident may be so severe as to merit an immediate final warning and suspension or demotion. As noted above, the supervisor should work in consultation with the Human Resources Department prior to taking disciplinary actions at higher levels, which include written warnings, final warnings (including suspension or demotion) and termination. The supervisor should update the performance improvement plan that further explains what performance is expected of the employee and any support, coaching, or training that will be provided by ASI.

Step 5 - Termination of Employment:

Employment may be terminated based on progressive discipline and on the severity of a single incident. Misconduct that involves dishonesty, violation of the law, or significant risks to ASI's operations or to the safety or well-being of oneself or others is grounds for immediate termination of employment. However, the facts and circumstances of each case will determine what action, up to and including discharge from employment, is appropriate. Decisions to terminate employment should be made in consultation with the Human Resources Director and Executive Director. Examples of serious misconduct can be found in the Policy Concerning Employee Conduct.

4. ADMINISTRATIVE EVALUATION PROCESS

a. Evaluation of the ASI Executive Director

The evaluation of the ASI Executive Director shall take place no later than the 14th week of the Spring Semester of each academic year. The review committee that will evaluate the ASI Executive Director shall consist of the Chair of the Board of Directors who shall serve as chair, three (3) Members of the Board of Directors, the University President's Representative to the BOD, the ASI President, Vice President, Vice Chair/Secretary, and Vice Chair/Treasurer. The evaluation shall be completed by the Committee and then presented to the Vice President of Student Affairs for review. Within a closed session, the Board of Directors together with the ASI Executive Director will discuss the evaluation. Following the ASI Board of Directors' approval, the evaluation will be signed by the Chair of the Board of Directors. The final evaluation report shall be forwarded to the President of the University. The evaluation shall then be placed in the Executive Director's employment file.

Process for Evaluation

The review committee shall use the standard CSUF management performance evaluation forms in conducting the Executive Director's annual review. The review shall take into consideration progress made in meeting established goals. Additional criteria may include but not be limited to ASI/University relations, overall management of the TSU, student/staff relations, fiscal and human resources management, and adherence to State Education Codes, Title 5 of the California Code of Regulations, Executive Orders, and other policies regulating CSU auxiliaries.

b. Position Review for the ASI Executive Director

The ASI Executive Director position shall undergo a position review at least once every three years or as requested by the CSUF Vice President for Student Affairs, ASI President, or ASI Board of Directors Chair, and at any time a vacancy in the position occurs. This review shall be conducted for the purpose of establishing an appropriate salary range for the position. Additionally, job duties and/or responsibilities may be added, deleted or modified as required.

Job Duties & Responsibilities

Following consultation with the Vice President for Student Affairs, ASI President, and ASI Board of Directors Chair, proposed changes to the job duties and/or responsibilities of the position will be presented to the ASI Governance Committee by the ASI Human Resources Director. The ASI Governance Committee shall forward its recommendation and comments to the ASI Board of Directors for appropriate action.

Compensation

The ASI Human Resources Director shall conduct a compensation review to insure equity and comparability as outlined in California Education Code Section 89900. Recommended compensation adjustments shall be based on the following information:

- Salary comparison with similar positions within the Auxiliary Organization Association.
- Salary comparison to positions of similar scope and responsibility at CSUF.
- Salary comparison to positions of similar scope and responsibility within the surrounding communities.

Recommended adjustments to the Executive Director's salary shall be presented to the ASI Governance Committee by the ASI Human Resources Director following consultation with the ASI President, the ASI Board of Directors Chair, the Vice President for Student Affairs and the University President.

The Governance Committee shall forward its recommendation and comments to the ASI Board of Director for appropriate action.

DATE APPROVED: 10/17/17