

# POLICY CONCERNING PERFORMANCE MANAGEMENT

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## PURPOSE

This Performance Management Policy is intended to support the success of every member of the organization. It applies to all employees at every level and is designed to promote clear expectations, constructive feedback, and continuous improvement. By working together within these guidelines, the organization and its employees can maintain a professional, respectful, and productive workplace.

<b>PURPOSE</b> .....	<b>1</b>
<b>WHO SHOULD KNOW THIS POLICY</b> .....	<b>1</b>
<b>DEFINITIONS</b> .....	<b>2</b>
<b>STANDARDS</b> .....	<b>2</b>
<b>1. PERFORMANCE APPRAISALS</b> .....	<b>2</b>
a. Planning.....	2
<b>2. CHECK-IN</b> .....	<b>3</b>
a. Formal check-ins .....	3
b. Informal check-ins.....	3
c. Effective Coaching.....	3
d. Key Elements of Coaching .....	3
<b>3. ANNUAL PERFORMANCE REVIEW</b> .....	<b>3</b>
a. Review of ASI Staff.....	4
b. Review of the ASI Associate Vice President and Executive Director.....	4
c. Timing of Reviews .....	5
d. Employee Role and Responsibilities .....	5
e. Preparation for the Performance Review and Planning Process .....	5
f. Supervisor's Role and Responsibility .....	5
<b>4. PROBATIONARY PERIOD</b> .....	<b>6</b>
<b>5. PROGRESSIVE DISCIPLINE</b> .....	<b>6</b>
a. Progressive Discipline Steps .....	6
<b>6. AT WILL EMPLOYMENT</b> .....	<b>8</b>

## WHO SHOULD KNOW THIS POLICY

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|--|--|
| <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 | <input checked="" type="checkbox"/> Students |

## DEFINITIONS

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

Terms	Definitions
<b>Performance Objectives</b>	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.
<b>Development Goals</b>	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.
<b>Coaching</b>	Performance guidance is an ongoing process in which supervisors and employees communicate about expectations, performance, and opportunities for improvement. Through regular discussions, employees receive feedback, support, and direction that help them strengthen skills, address concerns, and continue to develop professionally
<b>Performance Review</b>	Performance reviews are an opportunity for an employee and their supervisor to sit down and discuss their performance objectives, development goals, and provide performance coaching.
<b>Performance Improvement Plan</b>	A Performance Improvement Plan is a plan aimed at helping employees improve their job performance.
<b>Payroll Action Form</b>	A Payroll Action Form is a form used to make changes to an employee's payroll profile.
<b>Student Assistants</b>	Currently enrolled CSUF students
<b>Professional Staff</b>	Non-student regular staff members

## STANDARDS

### 1. PERFORMANCE APPRAISALS

#### a. *Planning*

##### **Setting Performance Goals**

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

- Specific
- Measurable
- Attainable
- Relevant
- Timely

Performance goals 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 no more than 10 goals which may be carried forward from the previous year, revised, or new goals added during the review period as necessary.

##### **Creating Development Goals**

Supervisors and employees should work together to create development plans as part of the annual performance review 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.

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.

## **2. CHECK-IN**

ASI recognizes that employees have a right to know how they are performing and it is the responsibility of supervisors to provide this information. Formal and informal check-ins allow supervisors and employees to meet regularly to discuss performance.

### *a. Formal check-ins*

One formal check-in is required for each employee, to be completed by the end of January each year. This check-in should review any progress made on performance goals and review accomplishments and concerns of the employee's performance to that point in the review cycle. This check-in can also be used to discuss performance and areas where improvement is needed. This check-in should be documented by the supervisor and shared with ASI Human Resources.

### *b. Informal check-ins*

Informal check-ins can occur more frequently, such as weekly or monthly, depending on individual needs and preferences. These check-ins can focus on immediate tasks, priorities, and well-being.

### *c. 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 review.

### *d. 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.

## **3. ANNUAL PERFORMANCE REVIEW**

Performance reviews at ASI align individual work with strategic goals and job expectations, fostering development, recognizing achievements, and providing actionable feedback. These formal meetings serve as a crucial, documented dialogue between supervisors and employees to clarify performance standards and explore career advancement opportunities. The formal meeting between the supervisor and employee serves many purposes such as:

- 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 the 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 jointly identify the employee's:
  - Skills, knowledge and attitude that are adequate, exceptional, or those that need improvement
  - Opportunities for growth through changes in the position description or short-term assignments
  - Allow for collaboration in developing and implementing a development plan that identifies training and other learning opportunities to assist the employee in attaining his or her job and goals, as well as expected levels of performance
  - If appropriate, review identified performance and behavior problems for which coaching were received throughout the year. The process will document specific performance and behavior improvements that are expected. (The Performance Review Process is not intended to be used to initiate disciplinary action)
  - 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 providing inputs for succession planning

*a. Review of ASI Staff*

Depending on how well actual performance meets or exceeds objectives which have been set with clear performance standards and expectations, the supervisor will be able to apply one of the following ratings when conducting a staff member's annual performance review:

5. Exceeds Expectations

- This rating signifies exceptional performance that consistently surpasses expectations and requirements of the role. The employee demonstrates initiative, problem-solving skills, and consistently delivers high-quality work exceeding deadlines and goals. They actively seek opportunities to contribute beyond their assigned tasks and may even mentor or train colleagues.

4. Meets and Frequently Exceeds Expectations

- This rating indicates consistently strong performance that meets and often surpasses expectations. The employee consistently delivers high-quality work on time, demonstrates initiative, and actively participates in team projects. They may occasionally exceed expectations by taking on additional tasks or completing them ahead of schedule.

3. Meets Expectations

- This rating signifies satisfactory performance that meets the established requirements and expectations of the role. The employee completes assigned tasks on time and to an acceptable standard. They demonstrate good teamwork and communication skills but may not consistently go above and beyond expectations.

2. Needs Improvement

- This rating indicates performance that falls below expectations in some areas. The employee may occasionally miss deadlines, deliver work of inconsistent quality, or require additional guidance to complete tasks. They may struggle with specific skills or knowledge required for the role.

1. Does Not Meet Expectations

- This rating signifies performance that consistently falls short of expectations and requirements of the role. The employee may frequently miss deadlines, deliver work of poor quality, or lack essential skills or knowledge. They may display unprofessional conduct or negatively impact team dynamics.

*b. Review of the ASI Associate Vice President and Executive Director*

The review of the ASI Associate Vice President and Executive Director shall take place in March and April in the Spring Semester and be submitted to the ASI Board of Directors no later than the 14th week of the Spring Semester of each academic year. The review committee that will evaluate the ASI Associate Vice

President and Executive Director shall consist of the Chair of the Board of Directors, the ASI President, and the ASI Vice President. The ASI Board of Directors will be provided a questionnaire to provide feedback and respond to specific skill sets as it relates to the performance of the ASI Associate Vice President and Executive Director. The information received from the questionnaire will be used by the review committee to form the ASI Associate Vice President and Executive Director's review.

Using the ASI Performance Review form and focusing primarily on the ASI Strategic Plan, the ASI Associate Vice President and Executive Director's review shall be completed by the committee and then shared with the Vice President of Student Affairs and Strategic Enrollment Management. The Board of Directors, in a closed session, will review, discuss, and approve the ASI Associate Vice President and Executive Director's performance evaluation. This confidential meeting shall include the ASI Associate Vice President and Executive Director and key executive leadership, including the Director of Human Resources.

The ASI Associate Vice President and Executive Director's goals for the year shall be the execution of the organizational strategic plan. Following the ASI Board of Directors' approval, the review will be signed by the Chair of the Board of Directors. The final report shall be forwarded to the President of the University. The review shall then be placed in the ASI Associate Vice President and Executive Director's employment file.

*c. Timing of Reviews*

**Professional Employees**

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

**Student Employees**

Performance reviews will be conducted for student employees at the completion of the introductory period in any capacity or classification (student assistant, temporary and grad assistant). The introductory period is defined as 3 months of employment.

The annual performance review must be conducted within the first quarter of each calendar year (from January 1 to March 31). The rating period is from February 1 to January 31 of the previous year. The performance review must be completed by March 31.

An annual review will not be required if a student employee has not been employed more than 90 days.

*d. Employee Role and Responsibilities*

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

*e. Preparation for the Performance Review and Planning Process*

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

*f. 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 reviews, 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 current performance objectives and standards to ensure they align with the current job responsibilities and goals of the department and organization. Supervisors must then review the completed training received and identify areas of needed development to be documented in an Individual Development Plan. Completed

performance reviews should be submitted to the Human Resources department with all required signatures.

#### **4. PROBATIONARY PERIOD**

All professional staff shall participate in a probationary period for the first one year of employment. Student assistants shall participate in a probationary period for the first 90 days of employment. This probationary period allows the supervisor time to assess the employee's qualifications, performance, and general suitability to successfully meet position requirements and standards. It likewise provides the employee with the opportunity to experience ASI, the department, and the position and to determine whether the position meets their expectations.

To successfully complete the probationary period, the employee must attend work as scheduled during their probationary period. Any absences or non-work periods, whether paid or unpaid, foreseen or unforeseen, may not count toward completion of the probationary period at the sole discretion of the supervisor. The supervisor will notify the employee in writing of any changes to their probationary period end date.

Initial probationary periods of greater than the minimums stated may be established for certain classifications with the prior approval from the Human Resources Department and ASI Associate Vice President and Executive Director. In this case, the employee will be provided written notice of a longer probationary period.

In the event the employee does not meet job requirements and/or performance standards during the promotion/transfer probationary period, the supervisor will issue a performance improvement plan as early in the probationary period as possible that contains the following:

- Specific nature of the problem(s), including specific examples
- Corrective action(s) required, including the specific and reasonable standards related to the problems
- Notice that failure to remedy the performance problems will result in termination of employment on or before the end of the promotion/transfer probationary period

If sustained satisfactory performance is not achieved following the performance improvement plan, the supervisor may terminate the employment relationship during the promotion probationary period as a probationary termination. The supervisor must consult with the Human Resources Department prior to termination.

Following the probationary period, the employee's status will be 'at-will.' As such, both the employee and ASI retain the right to terminate employment at any time, for any reason, with or without cause or prior notice, in compliance with company policies and legal requirements.

#### **5. 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 step-by-step 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 have sustained improvement while on progressive discipline.

a. *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 or other mistakes 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 the employee; however, some one-time incidents may be severe enough to merit a formal written warning, suspension (without pay), final warning or termination. The seriousness of the offense and the employee's disciplinary and performance history will be considered when determining the level of discipline to be applied. All decisions to escalate disciplinary action to a higher level of discipline should be made in consultation with the Human Resources Department.

**Step 1- Verbal Warning:**

In many situations a verbal warning/counseling is sufficient. The purpose of a verbal warning is to 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 occurred, keeping in mind the significance of the impact of the act or omission. The supervisor should also draft a performance improvement plan to provide the employee with coaching to avoid similar issues in the future.

**Step 2 – First Written Warning:**

If the conduct addressed by a verbal warning is repeated or additional problems occur within 12 months of a verbal warning, the supervisor should follow up with a written warning in the form of a letter. On the other hand, if a single incident is more serious than is appropriate for a verbal warning, the supervisor should issue 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 within 12 months. The supervisor should also draft a performance improvement plan to provide the employee with coaching to avoid similar issues in the future.

**Step 3 – Second Written Warning:**

If the conduct addressed by a first written warning is repeated or additional problems occur within 12 months, the supervisor should follow up with a second written warning in the form of a letter. On the other hand, if a single incident is more serious than is appropriate for a written warning, the supervisor should issue 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 within 12 months. The supervisor should also draft a performance improvement plan to provide the employee with coaching to avoid similar issues in the future.

**Step 4 - Final Written Warning (which may include a suspension without pay or demotion):**

If the conduct addressed by the written warnings is repeated or additional problems occur within a 12-month period, discipline may progress to a final written warning, which may include an unpaid suspension or position demotion. However, a single incident may be so severe as to merit an immediate final warning and suspension without pay or demotion. As noted above, the supervisor should work in consultation with the Human Resources Department prior to taking disciplinary actions at higher levels, such as written warnings, final written warnings (with or without unpaid suspension) and termination. The supervisor should also draft a performance improvement plan to provide the employee with coaching to avoid similar issues in the future.

**Step 5 - Termination of Employment:**

Employment may be terminated based on progressive discipline within a 12-month period or based on the severity of a single incident. Misconduct that involves theft, fraud, 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.

## **6. AT WILL EMPLOYMENT**

Employment with ASI is **at will**. This means that either the employee or ASI may terminate the employment relationship at any time, with or without notice, and with or without cause, so long as the reason is not unlawful.

Nothing in this policy or any other ASI document or communication is intended to create a contract of employment, express or implied, or to guarantee employment for any specific duration.

Only the ASI Associate Vice President and Executive Director or the Board of Directors, and only in a written agreement signed by both the employee and the ASI Associate Vice President and Executive Director or Board of Directors, has the authority to enter into any agreement that alters the at-will employment relationship. No supervisor, manager, employee, or other representative of ASI has the authority to make any such agreement.

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