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 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.

This policy establishes a performance management system for ASI 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.

ASI adheres to this policy for each department and team performance management. This system is based on the importance of managing each individual’s work and maintaining continuous communication between employees and their supervisors.

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WHO SHOULD KNOW THIS POLICY

□ Budget Area Administrators
■ Management Personnel
■ Supervisors
■ Elected/Appointed Officers
□ Volunteers
□ Grant Recipients
■ Staff

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

<table>
<thead>
<tr>
<th>Terms</th>
<th>Definitions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Objectives</td>
<td>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.</td>
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<tr>
<td>Development Goals</td>
<td>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.</td>
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<tr>
<td>Coaching</td>
<td>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.</td>
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<tr>
<td>Performance Evaluation</td>
<td>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.</td>
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<tr>
<td>Performance Improvement Plan</td>
<td>A Performance Improvement Plan is a plan aimed at helping employees improve their job performance.</td>
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<tr>
<td>Payroll Action Form</td>
<td>A Payroll Action Form is a form used to make changes to an employee’s payroll profile.</td>
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<tr>
<td>Student Assistants</td>
<td>Currently enrolled CSUF students</td>
</tr>
<tr>
<td>Professional Staff</td>
<td>Non-student regular staff members</td>
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</tbody>
</table>

STANDARDS

1. PERFORMANCE APPRAISALS

a. Planning

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 no more than 15 objectives which may be carried forward from the previous year, revised, or new objectives 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 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.

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
   a. Communicating Expectations
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 monthly 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 and 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.

3. 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 listed below:
   • 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:
  o Skills, knowledge and attitude that are adequate, exceptional, or those that need improvement
  o Opportunities for growth through changes in the position description or short-term assignments
  o 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
  o 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 Evaluation Process is not intended to be used to initiate disciplinary action)
  o Identify opportunities for feedback throughout the year
  o Provide a framework for promoting a culture of responsibility, accountability and transparency
  o Provide a basis for equitable reward and recognition, as well as providing inputs for succession planning

a. **Rating Scale Definition**
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:

5 – Fully Achieved- Surpasses targets and standards beyond 75% of the time
4 – Substantially Achieved - Surpasses targets and standards at least 50% of the time
3 – Partially Achieved- Meets expected targets and standards at least 50% of the time
2 – Minimally Achieved - Meets expected targets and standards less than 50% of the time
1 – Not Achieved - Fails to meet targets and standards

b. **Timing**

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

**Student Employees**
Performance evaluations 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 evaluation 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 evaluation must be completed by March 31.

An annual evaluation will not be required if a student employee has not been employed more than 3 months.

c. **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 strategic plan of the organization. Finally, all employees must completed the self-assessment portion of the performance evaluation to provide reference to achievements, past performance, and challenges.
d. 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/Supervisor, Department Director, and HR Coordinator/HR Director.

e. 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 did the employee contributes 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 evaluations should be submitted to the Human Resources department with all required signatures along with a Payroll Action Form if applicable.

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 1000 hours 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.

Upon successful completion of the probationary period, employee shall be considered an “at will employee” 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 the policy of ASI.

Initial probationary periods of greater than the minimums stated may be established for certain classifications with the prior approval from the Human Resources Department. 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.
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 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 Department. Examples of serious misconduct can be found in the Policy Concerning Conduct.

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<tr>
<th>DATE APPROVED:</th>
<th>10/17/2017</th>
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<tbody>
<tr>
<td>DATE REVISED:</td>
<td>12/03/2019</td>
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