



Administrative Procedure

Number:	322
Effective	2/28/06
Supercedes:	6/12/86
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SUBJECT: PERFORMANCE EVALUATIONS FOR MANAGEMENT EMPLOYEES

1.0. PURPOSE:

To establish the policy and procedure for conducting periodic performance evaluations of all management employees.

2.0. ORGANIZATIONS AFFECTED:

2.1. All organizational units of the University, excluding auxiliary organizations.

3.0. REFERENCES:

3.1. California Administrative Code, Title 5, Section 42722.

3.2. Office of the Chancellor memorandum, HR/Salary 2000-10 Title 5 Regulations for the Management Personnel Plan (MPP).

4.0. POLICY:

4.1. Management Personnel Plan employees shall be evaluated after six (6) months and after one (1) year of service, and subsequently at one (1) year intervals. The performance evaluations require standards of expectation for each grade level against which performance can be gauged and against which the amount of a pay increase, if any, can be determined. The performance evaluation requires criteria that will assure equity in pay based on merit factors, including quality, productivity, and the like. Performance evaluations shall also form the basis for recommendations for management development and upward mobility.

4.2. In order to update management skills periodically, managers shall be eligible to apply for professional leaves, administrative exchanges, and other such programs, to the extent funds are available for this purpose, and projects are deemed to be in the interest of both the individual and the campus. Professional self-development, improvement and maintenance of currency in the field, whether at campus expense or not, are normal requirements for retention and advancement in management positions.

Approved:

Date:

- 4.3. Performance evaluations shall be reviewed by the supervisor, the senior manager, and the appropriate executive prior to being reviewed with the employee and becoming a part of the employee's official personnel file. The exception is for those employees who are evaluated by the President.

5.0. DEFINITIONS:

- 5.1. Position Description (Appendix 8.1.) -- A detailed summary of the specific duties and responsibilities.
- 5.2. Performance Evaluation -- A written assessment of the employee's accomplishments during the rating period. The evaluation is completed using Performance Evaluation of Managers form HRM Rev. 2/13/02 (Appendix 8.2.).
- 5.3. Work Plan -- A written plan developed by the management employee which identifies goals and objectives he/she will perform during the performance evaluation period.
- 5.4. Supervisor -- The individual to whom the employee reports.
- 5.5. Senior Managers -- Those individuals reporting to the President or Vice Presidents.

6.0. RESPONSIBILITIES:

6.1. Management employees will:

- 6.1.1. Know and understand the duties and responsibilities of their positions as defined by the Position Description.
- 6.1.2. Meet with the supervisor on a periodic basis to discuss the progress in completing the duties and responsibilities of the position.
- 6.1.3. Maintain a current copy of their Position Description.
- 6.1.4. Develop an annual Work Plan that is approved by the supervisor.

6.2. Supervisors of managers will:

- 6.2.1. Determine the significant elements of the job at the beginning of the evaluation period. Use the Position Description form (Appendix 8.1.) to document the duties and responsibilities of the position.
- 6.2.2. Assign the duties and responsibilities to the employee at the beginning of the evaluation period. Give the employee a copy of the Position Description, establish criteria for measuring job performance, and set performance expectations.

- 6.2.3. Review the Work Plan with the management employee to establish goals and objectives that align with department projects and standards, and the University's goals and objectives for the performance evaluation period.
- 6.2.4. Monitor the employee's performance in performing the duties and responsibilities throughout the evaluation period and discuss problems or priority changes.
- 6.2.5. Complete a Performance Evaluation of Managers form for each manager supervised by August 1 of each year, provided that there has been a minimum of sixty (60) days of supervision by the supervisor. Evaluations completed on or after April 15 may be used to satisfy this requirement.
- 6.2.6. Ensure that confidentiality is observed throughout the process.

6.3. Senior Managers will:

- 6.3.1. Ensure that the evaluation process is conducted on an objective, consistent, and timely basis.
- 6.3.2. Provide supervisors of managers with guidance in preparing evaluations.
- 6.3.3. Review all Performance Evaluations and Work Plans of managers before they become a part of the individual's personnel file.
- 6.3.4. Resolve disagreements between supervisors of managers and managers related to performance evaluations.
- 6.3.5. Ensure that evaluations stress objective measures to the greatest extent possible.
- 6.3.6. Ensure that those being evaluated are fully informed of the procedures, timetables, and results.
- 6.3.7. Ensure that confidentiality is observed throughout the process.

7.0. PROCEDURES:

7.1. Supervisors of managers will:

- 7.1.1. Conduct evaluations of all newly appointed managers after six (6) months and one (1) year of service and annually thereafter. An evaluation must be completed on each manager by August 1 of each year, provided that there has been a minimum of sixty (60) days of supervision by the supervisor.
- 7.1.2. Prepare the evaluation in draft form.
- 7.1.3. Request and review the manager's work plan.
- 7.1.4. Route the evaluation forms and work plans to the senior manager for review, as required.

7.1.5. Discuss the final evaluation form and work plan with the employee.

7.1.6. Provide the employee with a copy of the evaluation form.

7.2. Senior Managers will:

7.2.1. Ensure that supervisors are conducting performance evaluations promptly.

7.2.2. Review all performance evaluations and work plans of managers for consistency, objectivity and timeliness.

7.2.3. Forward all managerial performance evaluations and work plans to Human Resources Management for inclusion in the official personnel file.

7.2.4. Meet with managers and managers' supervisors when disputes arise about performance evaluations and resolve such disputes.

7.3. Human Resources Management will:

7.3.1. Annually provide a status report to executive management on the timely completion of managerial performance evaluations.

7.3.2. Provide consultation to senior managers and supervisors on problem evaluations.

7.3.3. Monitor compliance in meeting evaluation due dates.

7.3.4. Treat all correspondence pertaining to the evaluation process in a confidential manner. Ensure proper recordkeeping.

8.0. APPENDICES:

8.1. Position Description.

8.2. Performance Evaluation of Managers.



Position Description

California State University, Los Angeles

Human Resources Management

Job Code classification

Incumbent

Working Title

Position Number

Department

Name/Title of Supervisor

Name/Title of Appropriate Administrator

Classification Approved By

___ Position Description for New Position ___ Updated Description of an Existing Position
___ Request Classification Review of Existing Position

JOB SUMMARY: Provide a short narrative to be used on the promotional announcement.

REQUIREMENTS:

SPECIAL QUALIFICATIONS: List required and/or desired qualifications.

EMPLOYMENT CONDITIONS: ___ Full Time ___ Part Time ___ Positive Attendance

___ Permanent Option A. ___ Appointment expires on or before _____
Month/Day/Year

___ Non-Tenurable (MPP) Option B. ___ Duration _____ months

___ Temporary: (If temporary, select Option A or B or C Option C. ___ 30-Day Appointment

Work Schedule: (List days & hours) _____ ___ 60-Day Appointment

_____ ___ 90-Day Appointment

_____ ___ 180-Day Appointment

EDUCATIONAL/TECHNICAL BACKGROUND REQUIRED:

- A. Certificates, license(s) or degree(s) required:
Certificate: _____
License: _____
Degree/Major: _____
- B. Machines, tools, equipment and motor vehicles used during job performance.
- C. Working Conditions: Outline the specific physical, mental and environmental conditions/requirements associated with the essential functions of this position using the "Working Conditions Demand" Form

ESSENTIAL FUNCTIONS: According to EOC regulations, essential functions are those job duties which must be performed by the employee with or without making a reasonable accommodation for a disability; they cannot be reassigned or restructured without changing the essence of the position, or seriously disrupting the operations of the unit. Estimate the percentage of time spent annual performing them, the skills and knowledge required, and the result or outputs expected. List in descending order, beginning with most important.

% of Time	Essential Functions (Attach if Necessary)	Skills & Knowledge Required	Results/Outputs Expected

OTHER FUNCTIONS: These functions may be currently assigned to the position, if necessary, "reasonable" accommodation may be made by restructuring the work or reassigning the responsibilities to other staff.

PURPOSE AND NATURE OF WORK RELATIONSHIPS: List and define the working relationships with people and/or entities on and off campus (other than the supervisor or persons supervised) with whom this employee interacts on a continuing basis, and how often these interactions occur, i.e., daily, monthly.

INDIVIDUALS SUPERVISED DIRECTLY BY THIS POSITION: Indicate their name, title and hours per week (list on organizational chart).

SIGNATURES: The signatures of supervisor/administrators authorize the assigned duties and responsibilities. The signature of the incumbent indicates he/she has received a copy of this position description, has read it, and discussed it with the supervisor.

Incumbent

Date

Supervisor

Date

Dean/Department head/Director

Date

Appropriate Administrator (if different from above)

Date



Performance Evaluation of Managers

Employee Name: _____ Division: _____

Position: _____

Date of Current Evaluation: _____ Length in Present Position: _____

Date of Last Evaluation: _____ Length under Evaluator's Supervision: _____

(yr./mo.)

Preparation of the Performance Evaluation

The Relative Value column on the right-hand side of the form is a weighting device to determine the value of the element as it may contribute to the total job. The rater should use this column for guidance and discretion to define the extent of the value (not the effort), which should be placed upon the contribution made. On the order of 0 to 5, of two positions in the same classification, one may entail significant supervisory responsibilities with a relative value of 4 or 5; whereas a second position, perhaps in a staff capacity with slight supervisory responsibilities, may obtain a relative value of 1 or 2. On the other hand, perhaps the relative value for the position with little supervisory responsibility may rate higher in managing financial and material resources. Likewise, a position with extensive public contact may rate high in managing information, but may have little or no relative value for managing human resources.

The merit of including this column is that it forces the rater to identify which parts of the job make the most important contribution to achieving the department goals and objectives. Both the relative value column and the overall comments help place the total job in perspective.

The Rating Scale column directly under the Relative Value column ranges from "Unsatisfactory" to "Outstanding."

While an employee may be rated **Unsatisfactory** in one of the eight elements he/she would normally not be rated Unsatisfactory in the Overall Evaluation section unless the employee had previously been advised of unsatisfactory performance. The employee rated Unsatisfactory in any one of the eight job elements would consistently fail to measure up to the requirements of that job element.

The employee rated **Marginal - Improvement Needed** sometimes fails to fulfill the work requirements of the unit for which he/she is responsible. The employee lacks consistency and may, at times, demonstrate ineffectual interpersonal relations, has difficulty communicating, occasionally fails to make proper use of his/her time, may neglect to make use of all available information, and is unable, at times, to be responsive to change.

The employee rated **Satisfactory** normally fulfills the work requirements of the unit for which he/she is responsible. For the most part, he/she is able to establish and meet reasonable goals and objectives. He/she sometimes falls short, but normally works as an effective member of the team, is responsive to changes, makes use of available information, and often utilizes human resources effectively and efficiently.

The employee rated **Commendable** consistently fulfills the work requirements of the unit for which he/she is responsible. He/she is responsive to change, handles emergencies or unanticipated problems well, makes creative use of time, is a responsible risk-taker, and utilizes human resources effectively and efficiently.

The **Outstanding** category should be reserved for the select few who are consistently and uniformly excellent in their level of performance. They frequently far exceed expected standards for the position. This individual's performance is invariably marked by: innovation; responsible risk-taking; prudent decisions; utilizing human resources effectively and efficiently; obtaining maximum savings in financial and material resources; high motivation and productivity among those he/she supervises.

1. Human Resources

Effectively recognizes and meets subordinate's technical teaching and career development needs; appraises performance, recognizes good and complete work and strengthens through action plans; secures trust and respect by developing teamwork among subordinates; confronts difficult interpersonal situations such as employee discipline, productivity; identifies and utilizes expertise of subordinates; provides fair and uniform treatment of subordinates; works toward meeting Equal Employment Opportunity commitments; implements precautionary safety measures and assures that potentially hazardous or unsafe conditions are inspected.

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

2. Financial and Material Resources

At level appropriate to job, demonstrates fiscal responsibility and efficient utilization of resources; plans and controls expenditures and materials; encourages and demonstrates cost-effective performance; effectively utilizes operational and performance data to substantiate resource allocation requests. Does this person meet work commitments within established budgetary limitations?

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

3. Administrative Operations Leadership

Plans and organizes necessary activities, programs, and objectives to meet goals; thinks through work barriers and keeps work advancing toward priority objectives; develops innovative and efficient organization and systems; roles and responsibilities are clearly defined among subordinates; effectively delegates and follows through. Handles conflict situations and crises without losing efficiency or composure. Does this person assemble information, materials, and people into a coherent, logical, and effective unit?

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

4. Information-Communication

Communicates effectively both orally and in writing; maintains courteous relations and coordinates work activities with concerned departments and divisions, listens and responds to co-worker's or subordinate's ideas, needs, and suggestions; effectively conducts and participates in meetings, keeps his or her manager informed; develops and implements computerized information systems for storage and retrieval.

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

5. Professional Standards

Meets technical or professional standards of work in an efficient manner; uses methods which enhance quality; work is accurate and thorough; amount of work completed meets or exceeds standards; completes work on schedule. Does the work performance of this person result in consistently high quality and quantity of professional work?

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
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- Outstanding

6. Problem Solving

Develops alternatives and implements practical and effective solutions; appropriately responds to new and different situations; overcomes resistance and gains acceptance for changes in policies, practices, or procedures; takes the effect on other University units into account when reaching solutions/decisions; normally resolves problems, controversial issues or complaints without referral to a higher source. Does this person consistently reach sound decisions for solutions to problems?

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

7. Professional Development

Seeks personal and professional growth and development through training and membership in professional organizations; adjusts to changes and manages stress. Assesses own knowledge and skills and seeks supervision when necessary to improve own performance. Demonstrates willingness to work with the campus community in support of campus programs. Is this person motivated toward responsible and mature managerial/professional behavior?

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

8. Policies, Practices and Procedures

Gains and maintains up-to-date knowledge of procedures and policies; adheres to union contracts and contract implementation policy in relations with united employees; develops and revises written procedures governing internal program operations.

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
- Critical

Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

Special or Additional Assignments/Tasks/Responsibilities

Describe activities/goals:

Evidence of Performance/Comment:

Value to Job

- Not Applicable
- 0
- 1
- 2
- 3
- 4
- 5
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Level of Performance:

- Unsatisfactory
- Marginal
- Satisfactory
- Commendable
- Outstanding

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Evidence of Performance/Comment:

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