



Administrative Procedure

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Supercedes:	
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Subject: PERFORMANCE APPRAISALS FOR NONACADEMIC AND ADMINISTRATIVE EMPLOYEES

1.0. PURPOSE:

To establish the policy and procedure for conducting periodic performance appraisals for probationary and permanent nonacademic and administrative employees.

2.0. ORGANIZATIONS AFFECTED:

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

2.2. Important: This procedure, or portions thereof, may be superseded by a contract between The California State University and an exclusive employee representative.

When referring to this procedure as it relates to actions affecting represented employees, consult the contract that applies to employees within the represented unit. (See Appendix 8.1.)

3.0. REFERENCES:

3.1. California Administrative Code, Title 5, Sections 43350-43353.

3.2. Office of the Chancellor memoranda, FSA 71-84, FSA 73-81, FSA 74-39, FSA 77-22.

3.3. Cal State L.A. Administrative Procedures, "Classification and Reclassification."

4.0. POLICY:

4.1. All University employees who supervise nonacademic and administrative employees shall conduct periodic performance appraisals. Probationary nonacademic and administrative employees shall receive at least three appraisals prior to completion of their probationary period and shall continue to receive an annual appraisal once they have achieved permanent status. Temporary employees shall also be evaluated at periodic intervals.

Approved:

Date:

- 4.2. A performance appraisal formally communicates the supervisor's evaluation of a subordinate's job performance. The appraisal shall include a discussion of the employee's job description.
- 4.3. Performance appraisals should be reviewed by the second level supervisor prior to becoming a part of the employee's official personnel file.
- 4.4. Decisions such as promotion, merit salary adjustments, disciplinary actions and subsequent training should be based on the contents of the performance appraisal.

5.0. DEFINITIONS:

- 5.1. Probationary Period--With few exceptions, all new appointments, promotions, and some reclassifications require serving a probationary period. This period is the time in which the supervisor determines whether or not the employee is capable of satisfactorily performing the duties of the job.
- 5.2. Evaluation Period--The period of time on which the job observations and the performance appraisal are based.
- 5.3. Performance Appraisal--A written assessment of the employee's accomplishment of the assigned duties and responsibilities as defined in the job description. The appraisal is prepared by the immediate supervisor on Forms OPMS-603A or OPMS-605A.
- 5.4. Job Description--A detailed summary of the specific duties and responsibilities assigned to a position which the employee is expected to perform. The job description is written on Form OPS-001C.
- 5.5. Permanent Status--The right to continued employment unless dismissed for cause or laid off for lack of work or funds.
- 5.6. Supervisor—As rated on supervisory category definitions, the supervisor must be the individual who is responsible for: assigning and directing the employee's work; recommending transfer or reclassification of the employee, interviewing and selecting a new employee; conducting regular periodic appraisals of the employee's performance; conducting oral and written warnings as well as reprimands affecting the employee; authorizing pay docks, travel claims, overtime and other expenditures claimed by the employee, and other related actions.
- 5.7. Second Level Supervisor--The individual, as shown on the department organization chart, to whom the immediate supervisor reports.

- 5.8. Senior Managers--Those individuals reporting to the President or Vice Presidents.
 - 5.9. Nonacademic and Administrative Employees--Those employees identified as either nonacademic or administrative in the CSU Salary Schedule.
 - 5.10. Performance Expectations--Goals developed from the job description. They describe an objective measure of what is expected by the supervisor. They may indicate expectations of a specific duty or address desired behaviors required on the part of the employee. The employee may help develop the description of an expectation but the assignment and measurement criteria are the responsibility of the supervisor.
 - 5.11. Special Evaluation—An appraisal conducted at time periods other than the normal performance appraisal cycle. Special evaluations are used to document exceptional behavior.
 - 5.12. Specific Problems--Refers to any condition written on the annual performance appraisal form that indicates less than normal job performance.
- 6.0. RESPONSIBILITIES:
- 6.1. Nonacademic and Administrative Employees will:
 - 6.1.1. Be familiar with the duties and responsibilities of their position as defined in the job 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 or have access to a current copy of the job description.
 - 6.2. Supervisors will conduct an effective performance appraisal utilizing the following steps:
 - 6.2.1. Define the significant elements of the job at the beginning of the evaluation period. These are duties and responsibilities the employee will be responsible and accountable for performing.

Using the Job Description form (OPS-001C), document the duties and responsibilities of the position.

- 6.2.2. Assign the duties and responsibilities to the employees at the beginning of the evaluation period. Provide the employee with a copy of the job description, establish how the duties and responsibilities will be measured, and set performance expectations.
- 6.2.3. Monitor the employee's performance in carrying out the duties and responsibilities throughout the evaluation period.
- 6.2.4. Appraise, at the end of the evaluation period, how effective the employee has been in performing the assigned duties and responsibilities and meeting performance expectations.
- 6.2.5. Evaluate and update the contents of the job description in anticipation of the next evaluation period.

6.3. School or Department Administrators will:

- 6.3.1. Ensure that the appraisal process is conducted in a consistent and timely fashion.
- 6.3.2. Provide supervisors with necessary guidance in preparing appraisals. Guidance includes informing the supervisor of:
 - a. Standards for acceptable performance.
 - b. Policy on performance expectations and their measurement.
 - c. Policy on performance-related record keeping.
- 6.3.3. Review and render a prompt decision should there be a disagreement between the supervisor and the subordinate related to the performance appraisal.

6.4. Personnel Management and Services will:

- 6.4.1. Notify supervisors of the appraisal due dates based upon the employees start date.
- 6.4.2. Monitor departmental compliance in meeting appraisal due dates.
- 6.4.3. Provide assistance to supervisors who need guidance related to policy, performance, or procedures used in appraisals.
- 6.4.4. Review completed appraisals for conformity to University policy.

- 6.4.5. Periodically inform school deans and senior managers of progress in meeting appraisal program objectives.
- 6.4.6. Monitor campus compliance with meeting appraisal due dates and prepare an annual report to the executive officers stating the status of progress in meeting the appraisal program objectives.
- 6.4.7. Provide training to supervisors in conducting effective performance appraisals.

6.5. Senior Managers will:

- 6.5.1. Ensure that performance appraisals for their areas of responsibility are completed in a timely fashion.
- 6.5.2. Evaluate school or department administrators and supervisors on the following:
 - a. Timeliness in submission of appraisals.
 - b. Consistency of rating criteria.
 - c. Timeliness and appropriateness of corrective action(s).

7.0. PROCEDURES:

- 7.1. The Personnel Management and Services will notify departments when performance appraisals for nonacademic and administrative employees are due at the time of the appointment, promotion, or reclassification of the employee.
- 7.2. School or Department Administrators will:
 - 7.2.1. Provide supervisors with support such as written standards and verbal guidance in completing performance appraisals.
 - 7.2.2. Ensure that supervisors are conducting performance appraisals promptly and that the appraisals meet the department's standard of acceptability.
 - 7.2.3. Purchase Probationary and Permanent Appraisal forms OPMS-603A, 605A, and Individual Career Development Plan forms, OPS-010D from Campus Stores.

7.3. Supervisors will:

- 7.3.1. Conduct appraisals of all subordinate nonacademic and administrative employees according to the following schedule:
 - a. Nonacademic and administrative employees shall receive three (3) performance appraisals during the probationary period. For a one-year probationary period, the evaluations will be completed by the end of the 3rd, 6th, and 9th months. For a two year probationary period evaluations will be completed by the end of the 6th, 12th, and 18th months.
 - b. Nonacademic and administrative employees shall receive annual performance appraisals after achieving permanent status. Evaluations will occur during the birth month of the employee. If the birth month falls within three months of the date that the employee achieves permanent status, the initial annual appraisal may be disregarded and the occurrence of the birthdate should generate an appraisal the following year and thereafter.
- 7.3.2. Discuss policy or procedural questions, if necessary, with Personnel Management and Services or the second level supervisor prior to meeting with the employee.
- 7.3.3. Arrange a meeting with the nonacademic or administrative employee at a mutually convenient time.
 - a. Meet in privacy with as few interruptions as possible.
 - b. Provide the employee with a copy of the appraisal form.
 - c. Appraise the employee's effectiveness in performing the assigned duties and responsibilities as defined in the Job Description.
 - d. Accompany any statement of "needs training" with a plan to correct the shortcoming on the Individual Career Development Plan, OPS-010D (1/79), and discuss with the employee specific methods for accomplishing performance objectives.
 - e. Allow the employee to discuss and suggest alternate means to reconcile performance problems, and consider fairly the merits of any such suggestions.

- f. Allow the employee to express opinions regarding the supervisor's assessment of his/her performance.
 - g. Document the appraisal on the Performance Evaluation form OPMS-603A or OPMS-605A.
- 7.3.4. Should a disagreement arise with the employee during the appraisal meeting:
- a. Attempt to resolve the disagreement through discussion.
 - b. Allow the subordinate time to think through the facts presented and reschedule the meeting, if necessary.
 - c. Advise the employee of the appropriate appeal procedure, should the difference be irreconcilable.
 - d. In the event that an employee refuses to sign the appraisal form, the supervisor shall inform the employee that a signature does not imply agreement with the rating but only signifies receipt.
- 7.3.5. Route the completed appraisal to the second level supervisor for review prior to submitting the appraisal to Personnel Management and Services.
- 7.3.6. Based on the appraisal meeting, evaluate and update the contents of the job description, assign the duties and responsibilities to the employee, and determine how performance will be measured.

Refer if necessary to the Administrative Procedure on Classification and Reclassification for instructions in preparing a job description.

7.4. Nonacademic and Administrative Employees should:

- 7.4.1. At the performance appraisal meeting, fairly consider the validity of both positive and negative statements made by the supervisor.
- 7.4.2. Ask for or suggest specific steps to overcome performance deficiencies.
 - a. Be prepared to offer a realistic self-assessment of on-the-job performance.

- b. Be prepared to discuss and accept an assessment of a reasonable period of time in which corrections may be accomplished.

7.4.3. Be willing to cooperate with any reasonable supervisory direction based on the performance appraisal.

7.5. School or Department Administrators will:

7.5.1. Meet with supervisors or employees, as needed, to suggest or establish a plan of action to resolve differences of opinion regarding the performance appraisal.

7.5.2. Advise the employee of the appropriate grievance procedure should the decision be unacceptable.

7.6. Personnel Management and Services will:

7.6.1. Conduct a review of completed appraisals.

- a. All probationary evaluations indicating “needs improvement” will be reviewed by the Employee Relations Manager.
- b. All permanent employee evaluations indicating specific problems will be reviewed by the Employee Relations Manager.

7.6.2. Investigate performance problems based on the analysis of the appraisals.

8.0. APPENDICES:

8.1. Collective Bargaining Contract Cross Reference.

8.2. Probationary Performance Appraisal, OPMS-603A.

8.3. Permanent Performance Appraisal, OPMS-605A.

8.4. Individual Career Development Plan, OPS-010D.