



# California State University, Stanislaus

Subject: Management Personnel Plan (MPP) Performance Appraisals (California Code of Regulations, Title 5, Article 2.2, Section 42720 & CSU HR 1992-26 technical letter)	Department Name: Human Resources	Section Number: 5936
	<input checked="" type="checkbox"/> Revision <input type="checkbox"/> New	Effective Date: Fall 1995 Revision Date: 6-28-05
		Approval: Fall 1995

## I. POLICY

It is the policy of the California State University that all employees represented under the Management Personnel Plan (MPP) be reviewed on an annual basis. The purpose of such reviews is to assess each manager's overall administrative effectiveness, achievement of planned goals and objectives, and to provide guidance on professional development and improvement of administrative responsibilities. A significant part of the review process is the setting of goals and establishing appropriate support and mutually agreed-upon objectives. This process is considered an essential part of assessing the institution's progress in achieving the area's goals and priorities, the President's and the University's Mission and Strategic Plan.

## II. ACCOUNTABILITY

The President is responsible for overseeing the implementation of the evaluation process and the review of policies and procedures for MPP personnel employed by the University. In fulfilling this accountability, the President will confer with, and be assisted by, senior administrators, appropriate faculty, and staff.

## III. APPLICABILITY

All employees represented under the Management Personnel Plan shall participate in the performance appraisal process established under this policy.

## IV. PROCESS/PROCEDURES

### A. **Frequency of Performance Reviews**

Management Personnel Plan employees shall be evaluated after the first six-months and one year of service, and subsequently at one year intervals as part of the written performance appraisal process.

### B. **Special Reviews**

At any time deemed appropriate by the President (or designee), a special performance appraisal process may be initiated for an individual employee represented under the Management Personnel Plan.

### C. **Confidentiality**

Federal and state laws guaranteeing confidentiality will be observed in obtaining information, implementing procedures and in reporting results of such appraisals.

### D. **Tools of Performance Appraisals:** The following items are important for a useful appraisal.

1. Current position description. HR 1992-26 requires a current position description for all MPP employees to be placed in the employee's official personnel file in Human Resources. The position description should be reviewed annually. Each position description should include the following:
  - Position Purpose (reason for the job)
  - Essential Duties (those duties essential to accomplish the purpose of the position)
  - Secondary Duties
  - Work Environment (work conditions where the major duties are performed)
  - Minimum Qualifications (minimum requirements that must be met to perform major job duties)
2. Established goals and objectives: a retrospective view of how previous established goals were met.
3. Sources of performance information include but may not be limited to:
  - Self-appraisal of past performance and identification of goals and objectives for next review period.

- Peer appraisal. This review typically includes individuals other than the immediate supervisor such as subordinates, colleagues within the same department or in other departments including faculty members, the community and CSU counterparts who can judge the work of the individuals. Individual managers under review may recommend names of peers from which the supervisor may select as well as augment, as needed. Peers participating in this review shall be assured of anonymity. Generally, topics which are appropriate to comment on are: Quality of working relationship, including employee's communication skills; Dependability and trustworthiness; Effectiveness; and Degree to which the individual under review effectively represents the University.
  - Supervisor's appraisal.
4. Goals for the next review period and resources required to meet goals.
  5. Written Conclusion: A synthesis and analysis by supervisor of the above information.

**E. Areas of Evaluation and Performance Criteria:**

Criteria to be used in assessing an MPP employee's job performance.

1. General Administrative Effectiveness
  - a. Effective and efficient management of resources: Human, Fiscal, and Physical
  - b. Effective planning, goal setting, and decision-making
  - c. Ability to cope with multiple and emergent demands
  - d. Consistency in meeting deadlines
  - e. Knowledge of work
  - f. Informed decision-making
  - g. Creative and innovative abilities
2. Leadership and Management Skills
  - a. Effective, reliable, purposeful, and fair evaluations of subordinates
  - b. Flexibility and creativity in problem solving
  - c. Promotion of cooperation and team building
  - d. Ability to anticipate, envision and shape future events
  - e. Willingness to go beyond the call of duty
3. Effectiveness in contributing to the Mission of the University in appropriate area
  - a. Understands the mission of the University
  - b. Advances the goals established by the President
4. Contributions toward team building, working relationships with departments across the University, with the CSU, and in the community.
  - a. Ability to communicate, listen and articulate position
  - b. Credibility with others
  - c. Acceptance of responsibility as a member of a group
  - d. Contribution to solutions
  - e. Civility in dealing with others
  - f. Demonstration of personal and professional integrity
5. Major accomplishments
  - a. Ability to meet established goals
  - b. Other key accomplishments
  - c. Importance of accomplishments to the University
6. Overall Summary of performance.
7. Plans for improvement and establishment of goals for new review period. Briefly outline improvement plans and list of specific goals for which the individual under review will assume responsibility.

**F. Process**

1. Notify employees at the beginning of the annual review process of the criteria and timeline.
2. Obtain a self-appraisal from each employee.
3. Obtain peer appraisals for each employee to be appraised. Generally, three to five peer appraisals are considered manageable and reasonable. A supervisor may contact different individuals as deemed necessary.
4. Supervisor synthesizes, analyzes, and writes appraisal.
5. Supervisor meets with employees to discuss results of performance appraisal, and develops a plan of action with the employee, including goals to be accomplished.

6. Supervisor obtains employee's signature indicating that the employee has read and discussed the appraisal.
7. Supervisor forwards performance appraisal to his or her next level manager for review.
8. Next level managers forward to Vice President for review and discussion.
9. Vice Presidents advise President of reviews, accompanied by proposed salary adjustments for MPP employees in his or her area.

**G. Annual Timelines:**

The timelines and procedures for the performance review period are outlined below. Each area Vice President may modify the specific time lines depending on operational needs. All MPP performance appraisals must be finalized and submitted to the President by September 16, 2005. This time period will allow sufficient time to complete the entire process by September 30, 2005.

**TIMELINES:**

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| June 28, 2005  | Announce the appraisal process and advise MPP employees of the policy/process.   |
| July 8, 2005   | Deadline to submit suggested peer names to supervisor.   |
| July 18, 2005  | First level managers submit self-evaluations to supervisor: First level managers are MPPs with no MPP employee(s) under their supervision.                                     |
| Aug.1, 2005    | Managers who supervise other MPP employee(s) submit self-evaluations to their immediate supervisors.   |
| Aug. 22, 2005  | All managers complete written appraisal(s) and meeting(s) with subordinate MPP employee(s). Forward completed evaluation(s) to next supervisory level up to Vice President.    |
| Sept. 2, 2005  | Vice Presidents submit written self-evaluations to President.  |
| Sept.16, 2005  | Vice Presidents complete evaluations and meetings with immediate subordinates (e.g. Deans, Assistant or Associate VP, Senior Directors). Forward evaluations to the President. |
| Sept. 30, 2005 | President completes Vice Presidents' evaluations.  |

**V. ANNUAL MERIT SALARY ADJUSTMENTS**

**A. State MPP/Confidential Merit Pool Allocation:**

1. The Chancellor's Office will notify the campus of the merit pool funding upon approval of the State Budget.
2. If campus carry-over state funds are available from the previous year, the funds will be used to supplement the current year's merit pool.
3. Non-state employees shall be funded through the appropriate non-state funding.
4. All non-state employees shall received the same salary adjustments provided to state funded employees.
5. The campus will not supplement the MERIT pool as a general practice.

**B. Funding Allocation by Area:** Allocations are based on the percentage of total salaries for MPP employees eligible for a salary adjustment in each area.

**C. Eligibility for the Annual Merit Salary Adjustment:**

1. An MPP employees must have been employed continuously for the previous academic year.
2. Employees who are promoted into an MPP position or promoted to a higher position within the MPP group are eligible for merit increase.
3. Human Resources shall establish an eligibility list. The list will identify for each position whether the source of funding is state funded or non-state funded.

**D. Annual Salary Adjustments**

1. Percentage increase is determined by the appropriate administrator based upon the employee's overall performance evaluation.
2. An employee who meets satisfactory performance is eligible for a merit salary adjustment.
3. An employee who does not meet satisfactory performance will not be awarded a merit salary adjustment.