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September 26, 1986

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PD 86-05

TO: All SJSU Administrative Employees in Unit 4 - Academic Support
Deans, Directors, Associate Vice Presidents

FROM: Gail Fullerton
President

SUBJECT: PD 86-05: PERFORMANCE EVALUATION PROCEDURES AND CRITERIA FOR
ADMINISTRATIVE EMPLOYEES IN UNIT 4- Academic Support

This presidential directive supersedes all earlier directives from my office or others on campus dealing with performance evaluation procedures and criteria for all employees in Unit 4.- Academic Support except those specifically classified as "Academic-Related."

I. BACKGROUND

Article 18, Evaluation, of the Memorandum of Understanding with Unit 4 - Academic Support, states that: "Performance evaluation procedures shall be determined by the President." On July 18, 1984, I approved a set of performance evaluation procedures and criteria for all employees in Unit 4, which had been developed by administrators and discussed with Unit 4 representatives.

Subsequent discussions with Unit 4 employees and with the Faculty and Staff Affairs Office of the California State University system led to a decision to involve the Academic Senate of this campus in the development of procedures and criteria for employees in Unit 4 in positions classified as "Academic-Related." Such a policy was developed by the Academic Senate during the 1985-86 academic year and, after revision, was accepted by me and issued as University Policy F85-8, effective on September 15, 1986.

Effective this date (September 26, 1986), the following performance evaluation procedures and criteria will be in effect for all employees of Unit 4 - Academic Support except for those in position classifications designated "Academic-Related."

II. SCOPE AND PURPOSE

The following procedures are designed to implement Articles 14 (Probation and Permanency/Tenure) and 18 (Evaluation) of the Agreement between the Board of Trustees of the California State University and the United Professors of California, Unit 4 - Academic Support except for those members of Unit 4 who are in position classifications designated as "Academic-Related."

The procedures elaborated below for evaluation for retention and tenure will be applied to administrative (that is, all those not classified as "academic-related") employees in Unit 4, probationary and temporary with appointments of six months or more. Temporary employees with appointments of six months or less may be evaluated at the discretion of the President.

Performance evaluation of administrative employees in Unit 4 shall consist of an administrative review. In addition to documenting effectiveness in performance, other important purposes of evaluation are to identify areas of the employee's strength, to identify areas where improvement is required, and to stimulate improvement in the employee's future performance.

III. CRITERIA FOR PROBATION AND PERMANENCY/TENURE

The primary emphasis in the evaluation of administrative staff in Unit 4 - Academic Support will be an assessment of the employee's effectiveness in his or her professional assignment. The evaluations should provide written evidence attesting to the candidate's professional growth and achievement during the period for which the candidate is being evaluated. Appropriate criteria for evaluation include but are not limited to:

- A. Knowledge of Work
- B. Work judgments
- C. Planning and organizational skills
- D. Communication skills
- E. Quality of relationships with students, faculty and staff
- F. Acceptance of professional responsibilities
- G. Observance of appropriate work hours
- H. Initiative and creativity
- I. Cooperativeness and dependability
- J. Other criteria, where appropriate, such as:
 - 1. Leadership and supervisory ability
 - 2. Fellowships, honors, etc.
 - 3. Service to the University: e.g. University committees, special University projects, etc.

Additionally, the reviewers may develop specific criteria for the evaluations that are unique to the functions performed by the candidate being evaluated. Such unique criteria should be developed in discussion with the employee.

IV. PROCEDURES FOR PERFORMANCE EVALUATION

The evaluation will be conducted by the immediate non-bargaining unit supervisor or manager to whom the employee is accountable. This supervisor will inform the employee, in writing, that a performance evaluation will take place and will meet with the employee at an early date to discuss the procedures to be followed and the criteria that will be used In the evaluation.

The supervisor may solicit information about the employee's performance from appropriate segments of the campus and external sources with whom the employee and the employee's staff have dealings. If the supervisor considers it appropriate, it is permissible to involve a group or committee to assist in obtaining information about the employee's performance, but this action in no way relieves or diminishes the responsibility of the supervisor with respect to the evaluation.

A. Evaluation during the probationary period.

An administrative employee can be separated any time during the probationary period. Title 5, Section 43585, stipulates the amount of "notice" to be given an administrative employee who is not being retained.

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Administrative employees shall be evaluated at least three times during the probationary period, which is normally two years.

1. First performance evaluation:

The first formal evaluation shall occur during the sixth month of employment following appointment to the position and shall include the supervisor's recommendation for continued employment.

2. Second Performance Evaluation:

The second formal evaluation shall take place during the employee's twelfth month of employment following appointment and shall include the supervisor's recommendation for continued employment and the granting of the employee's Merit Salary Award (MSA) if appropriate.") Denial of an employee's MSA requires reconsideration of the decision in three (minimum) to twelve (maximum) months at the discretion of the supervisor.

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UPON REQUEST OF AN EMPLOYEE DENIED
AN MSA, A MEETING SHALL BE ARRANGED WITHIN
SEVEN (7) DAYS OF THE REQUEST WITH A REPRESENTATIVE
OF THE PRESIDENT FOR THE PURPOSE OF REVIEWING SUCH DENIAL.

3. Third Performance Evaluation:

The third and last formal evaluation during the probationary period shall occur during the employee's twenty-second month of employment. This evaluation will determine the employee's permanent retention by the University and the granting of the employee's NSA (if appropriate).

B. Evaluation following the Probationary Period

Following the successful completion of the probationary period and the granting of permanent status to the employee, periodic performance evaluations will be conducted as follows:

1. Annually approximately 45 days prior to the employee's salary anniversary.
2. Every three years following attainment of the top step of the salary range of the employee's classification.

C. Optional Evaluations

Nothing precludes a supervisor from conducting a performance evaluation of an administrative employee's job performance at more frequent intervals than required by this procedure.

1. Performance evaluation forms for this purpose may be requested from the Personnel Office. If such performance evaluations are made, the form(s) will be forwarded to the Personnel Office for inclusion in the employee's official personnel record.

2. All evaluations must be signed by the employee and by the supervisor.

D. Documentation, Decision, and Appeal Procedures

1. All times specified for evaluation of the employee's performance during the probationary period, as well as after the attainment of permanent status with the University are minimum standards. The University Personnel Office is responsible for requesting that an evaluation take place and for maintenance of the performance evaluation forms in the employee's official personnel record.

2. Upon completion of the evaluation, the supervisor will make a written record of the performance evaluation and a written recommendation regarding retention permanency or MSA, as appropriate. The employee shall be provided with a copy.

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