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January 27, 1987

PD 87-01

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

FROM: Gail Fullerton   
President

SUBJECT: PD 87-01: PERFORMANCE EVALUATION PROCEDURES AND CRITERIA FOR EMPLOYEES IN UNIT 4 - ACADEMIC SUPPORT (OTHER THAN THOSE IN ACADEMIC-RELATED POSITIONS)

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."

#### 1. 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. These procedures 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 those 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 (January 27, 1987), 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

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The procedures elaborated below for evaluation for retention and tenure will be applied to administrative (that is, all those Unit 4 employees not classified as "academic-related") Unit 4 probationary employees and full-time temporary employees with appointments of six months or more. Temporary employees with appointments of six months or less, or with appointments that are less than full-time, 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 employees in Unit 4 - Academic Support (other than those in positions designated as Academic-Related) will be an assessment of the employee's effectiveness in his or her 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.
  - 4. Professional development

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 should 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 employee in the classes covered by this directive can be separated any time during the probationary period. Article 14.17a stipulates the amount of "notice" to be given an employee who is not being retained.

Employees covered by this directive shall be evaluated at least twice during the probationary period, which for those hired after September 16, 1983 is two years.

##### 1. First performance evaluation:

The first formal evaluation shall occur no later than the tenth month of employment following appointment to the position and shall include the supervisor's recommendation for continued employment and the supervisor's recommendation regarding granting a Merit Salary Adjustment when appropriate.

##### 2. Second Performance Evaluation:

The second formal evaluation shall take place during the employee's 22nd month of employment following appointment. This evaluation will determine whether the employee's performance merits permanent retention by the University and the granting of the employee's MSA when 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, until the employee reaches the top step of the salary range of his or her position classification.
2. Every three years following attainment of the top step of the salary range of the employee's classification.

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

#### C. Documentation, Decision, and Appeal Procedures

1. 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, a written recommendation regarding retention or permanency, and a written recommendation regarding the Merit Salary Adjustment, when appropriate. The employee shall be provided with a copy.
3. An employee has the right to file a written rebuttal to the supervisor's evaluation which will be attached to the performance evaluation and become part of the official personnel record. Such a rebuttal statement must be filed with the evaluating supervisor within ten working days of the employee's receipt of the evaluation.
4. Ten working days after the employee's receipt of the written evaluation, the supervisor shall forward the evaluation and all related materials to the Academic Vice-President, the Executive Vice-President, or Dean of Student Services, as appropriate.
5. The Academic Vice President, Executive Vice President, or Dean of Student Services, as appropriate to the reporting line of the Unit 4 employee, will make the final decision relating

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to retention, permanency, or MSA (as appropriate) and notify, in writing, the employee, the supervisor, and the Personnel Office.

6. Upon request of an employee denied an MSA, a meeting shall be arranged within seven (7) working days of the request with a representative of the President for the purpose of reviewing such denial.

7. All appeals of decisions regarding retention or permanency will be conducted in accordance with the appeal provisions described in Article 18.18-18.22 of the Unit 4 Memorandum of Understanding.

8. All personnel materials, proceedings and recommendations are confidential, with the exception of positive final decisions which may be announced by the appropriate manager (Academic Vice President, Executive Vice President, or Dean of Student Services).

GF:lvh

cc: Chancellor Reynolds  
EVP Evans  
Interim AVP Okerlund  
Dean of Student Services Martin