



California State University
SAN MARCOS

Office of Human Resources

MPP
Performance Planning and Review Program
Handbook

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Section I: Introduction

California State University San Marcos is committed to providing access to a high quality education and preparing the leaders of tomorrow. To achieve this goal, we establish and reinforce a performance-driven culture that is challenging, motivating, and provides growth and development opportunities for every employee. Managers and their supervisors need to create a motivating and supportive climate by providing clear expectations, ongoing guidance, timely performance feedback, encouragement, and appropriate resources.

In support of these objectives, the MPP Performance Planning and Review Program for California State University San Marcos emphasizes:

- Well defined performance expectations that are linked to the strategic priorities of the institution;
- Performance that is measured on the basis of results (what is accomplished) and competencies (how the results are accomplished);
- Coaching and professional development;
- Recognition for meeting performance expectations and the achievement of results that support the university's mission.

Section II: Philosophy and Vision

The California State University San Marcos MPP Performance Planning and Review Program is designed to improve organizational performance and promote a collaborative partnership among employees, supervisors, and managers. To this end, our philosophy of performance management is based on these key points:

- The role of supervisors is as coach and facilitator, providing guidance and direction to the staff they supervise.
- Continuous improvement is a way of life.
- CSUSM fosters a high performance culture.
- Professional development of people is among our highest priorities.
- Employees need to work in an environment that is challenging and rewarding.
- It is every employee's responsibility to be and do their best.

Successful performance at CSUSM will depend on both results and competencies. Results reflect the degree of attainment of pre-determined strategic goals; competencies are the applied skills, behaviors, and knowledge that contribute to desired results. Our vision for performance management reflects this dual focus and:

- Is based on performance expectations specific to the university and the MPP position.
- Identifies opportunities for performance development.
- Includes quality feedback from relevant and reliable sources.
- Is purposeful and understood.

Section III: Process Objectives

The following objectives will be achieved through the MPP Performance Planning and Review Program.

- Will link individual/team goals to CSUSM strategic plan objectives.
- Performance is assessed on the basis of multiple appropriate inputs (such as supervisors, internal or external peers, direct reports, community members, students, and self-assessment).
- Individual development will be facilitated by a clear structure and process.

Section IV: Benefits of the Program

The MPP Performance Planning and Review Program has been designed to reflect the fact that university performance and employee performance are closely linked. Therefore, employees and CSUSM will benefit from the process in these ways:

Employees will benefit by:

- Providing input in the setting of performance goals and expectations.
- Knowing "up front" what is expected in terms of performance expectations and results.
- Increased insight into their performance based on input from multiple sources.
- Specific developmental plans designed to foster individual growth and professional development.
- A clearer understanding of how individual behavior and performance contribute to organizational performance.

California State University San Marcos will benefit by:

- The alignment of individual, team, and department/functional goals with CSUSM strategic objectives.
- A motivating culture that emphasizes results through goal setting and performance management.
- A workforce committed to continuous improvement and individual professional development.

Section V: Respective Roles

Given the collaborative intent of the Performance Planning and Review Program, it is important that mutual roles and responsibilities be clearly defined and understood. This table summarizes expectations for all CSUSM MPP employees.

ROLE	RESPONSIBILITIES
Employees	<ul style="list-style-type: none"> ✓ Learn the process ✓ Assume responsibility for professional development ✓ Conduct realistic self-appraisal ✓ Actively participate in the process in a non-defensive and receptive manner ✓ Communicate openly and honestly
Supervisors	<ul style="list-style-type: none"> ✓ Learn the process ✓ Model the process ✓ Develop the skills necessary to successfully facilitate the process ✓ Commit the time needed for each direct report ✓ Encourage a collaborative approach ✓ Ensure that the process is conducted in a timely and consistent manner ✓ Communicate openly and honestly
Senior Administrators	<ul style="list-style-type: none"> ✓ Model the process ✓ Reinforce commitment to the process ✓ Communicate openly and honestly
OHR	<ul style="list-style-type: none"> ✓ Provide training in the process ✓ Provide support to managers and employees ✓ Monitor performance of the process ✓ Track and report to VPs on the receipt of documents ✓ Communicate openly and honestly

Section VI: Process Summary

The annual performance evaluation period for MPP's is July 1 through June 30. The MPP Performance Planning and Review Program is organized around three key activities: Planning Performance, Coaching Performance, and Reviewing Performance. **Section VIII describes in detail the steps involved in each activity area.**

The following table provides a summary of the process:

Planning Performance	Timing
<ol style="list-style-type: none"> 1. Prepare for and conduct the Performance Planning Discussion <ul style="list-style-type: none"> - Review Strategic Plan - Review Department Goals and Objectives - Review Performance Expectations/Position Description - Conduct Performance Planning Meeting - Determine Third Party Inputs 	Month 1 (Within 30 days of appointment)
Mid-Term Progress Review	Timing
<ol style="list-style-type: none"> 1. Gather input and Assess Performance 	Semi-annually
<ol style="list-style-type: none"> 2. Conduct Mid-term Progress Review 	After initial 6 months of employment & month 6 of performance review cycle in subsequent years
End-of-Cycle Annual Review	Timing
<ol style="list-style-type: none"> 1. Prepare for Review Session <ul style="list-style-type: none"> - Review Performance Expectations - Employee Completes Self-Assessment - Supervisor collects and reviews input from third parties - Next Level Management Reviews 	Annually, at end of review cycle
<ol style="list-style-type: none"> 2. Conduct Annual Review and Planning Discussion 	Annually, at end of review cycle
Coaching Performance	Timing
<ol style="list-style-type: none"> 1. Observe and Assess Performance; providing continuous and appropriate feedback 	Ongoing
<ol style="list-style-type: none"> 2. Facilitate Employees Self-Assessment and Gap Analysis 	Semi-annually
<ol style="list-style-type: none"> 3. Provide Guidance, Encouragement, and Support 	Ongoing

Section VII: Description of Forms

Forms have been designed to help employees and their supervisors prepare and document performance expectations, results, and individual professional development or performance improvement plans. These forms are available on-line on the Labor and Employee Relations website at http://www.csusm.edu/lrer/performance_management/confidentials_and_mpps.html.

Annual Performance Review Form:

The Annual Performance Review form is used to record performance expectations at the beginning of a new review period. Results and examples are entered during Mid-term Progress Review and End-of-Cycle Annual Review.

Professional Development Plan:

Every employee will need to receive a Professional Development Plan or Performance Improvement Plan (*see below*). The Professional Development Plan form is used to help employees and their supervisors build specific developmental plans geared toward current job skills and future career development. It may outline training and/or project assignments either leading to mastery of the current position or to prepare for future career development.

Individual Performance Improvement Plan:

The Performance Improvement Plan form will be used to outline plans to overcome identified shortcomings in meeting performance expectations or the achievement of results. This form can be completed in lieu of a Professional Development Plan. It is used to target specific areas for immediate improvement. A Performance Improvement Plan may be used in a number of ways. It may be used to document a plan for improvement of a specific performance expectation shortfall identified during a review period (for example, at mid-term review). It may be used to document progress toward overcoming performance deficiencies. Typically it is used in those cases where an employee did not meet expectations for overall performance.

Employee Self-Evaluation Form:

The Employee Self-Evaluation form is to be completed by the employee in order to ensure they have taken the time to provide input on their performance to their supervisor and to assist in the preparation of the performance review meeting.

Third Party Input Form/Online Survey:

The Third Party Input form is used by the supervisor to solicit and gather performance input from third parties for the End- of-Cycle Performance Review. Typically, a minimum of 6 individuals will be requested to provide input, which is reviewed and considered by the supervisor, along with the employee's self-assessment.

The Third Party Input form can also be used electronically via an online survey that can be accessed through *Qualtrics* at <http://www.csusm.edu/qualtrics/>. For more information about administering the survey via *Qualtrics*, please contact Labor and Employee Relations.

Section VIII: Performance Review Process

PLANNING PERFORMANCE

Step 1: Preparing for and Conducting the Performance Planning Discussion

a. Review Strategic Plan

To prepare for an effective performance planning discussion, supervisors must become fully acquainted with the current CSUSM strategic plan objectives as well as the university's mission, vision, values, and leadership philosophy.

b. Review Department Goals Objectives

It is critical for employees to understand how their department and role fits into the context of the total organization. Supervisors should be prepared to illustrate how department goals support larger organizational objectives and how the employee's role contributes to the ultimate success of CSUSM. It should be equally clear to employees how specific performance expectations are tied to successful achievement of the overall CSUSM mission.

c. Review the Position Description

This is also the time to review the employee's position description to determine that Performance Expectation #4 (Functional Oversight/Management expectation) accurately reflects the position responsibilities. Principle job duties listed in this section, along with the sections on Leadership/Management, Strategic Planning, and University/Community Partnerships of the Position Description will be evaluated on the MPP Performance Review form. If the position duties have significantly changed, section #4 (Functional Oversight/Management) of the Position Description should be brought up to date to reflect the changes. Submit the changes through management to the Office of Human Resources for review/approval.

d. Conduct the Performance Planning Meeting

The Performance Planning Meeting is the prime opportunity for employees and their supervisors to ensure that individual and department efforts are focused on the actions and behaviors needed to satisfy the internal and external community, and achieve university objectives. It sets the tone for the performance period and should be a collaborative and positive discussion.

During the Performance Planning Meeting, performance expectations for the established review period are discussed as reflected on the current Position Description. A joint review of the Position Description will ensure mutual understanding between the supervisor and employee on the content.

e. Third Party Input

As noted previously, every employee at CSUSM is expected to be proficient in all performance expectations identified for his or her role. Proficiency will be assessed by the supervisor and will include input from multiple sources. The employee and their supervisor will work together to identify potential sources for a given review period. Typically, a minimum of 6 Third Party Input

forms/surveys, in addition to a self-assessment, is required. Some third-party input sources might be a combination of the following:

- Management Team Members
- Internal or External Peers
- Direct Reports
- Community Members
- Students

It is important that a representative cross-section of individuals be selected who have had significant opportunities to observe the employee's performance. The employee and their supervisor discuss during the planning discussion which individuals will be asked to provide input for the review period. These individuals are contacted by the supervisor and asked to provide input far enough in advance of the scheduled performance review to allow for thoughtful preparation. The Third Party Input Form/Survey is used to provide a structure for gathering such input.

MID-TERM PROGRESS REVIEWS

Step 1: Gather Input and Assess Performance

In preparation for the mid-term progress review, both the employee and their supervisor have specific responsibilities. The employee should review his/her progress on performance expectations and goals and complete a self-assessment. The supervisor should review the progress on the employee's performance expectations and goals.

Step 2: Conduct Mid-Term Progress Review Discussion

A meeting is held with the employee at the mid-point of the review period. Each performance expectation is reviewed and progress is discussed. The Annual Performance Review Form can be used to record observations as well as to note any plans for improving performance prior to the final review.

Supervisor Discussion guidelines:

- Outline the agenda and objectives for the discussion.
- Ask the employee to describe how he/she thinks his/her performance is relative to the performance expectations.
- Ask what facilitates and hinders performance.
- Describe how you view progress on performance expectations.
- Discuss areas where you and the employee agree and where there are different perceptions.
- Review the expectations and share with the employee your view of their strengths and developmental needs.

- Discuss any specific actions that need to be taken to move performance closer to targets.
- Remind the employee that you will be meeting again at the end of the performance period, or sooner if need be.
- Continue to coach and observe the employee.
- Create an Individual Performance Improvement Plan if appropriate.
- Recognize accomplishments.

END-OF-CYCLE ANNUAL REVIEW

Step 1: Complete Final Assessment and Prepare for Review Session

a. Determine results of performance expectations

While it is the supervisor's responsibility to evaluate performance relative to the performance expectations set and discussed at the beginning of the review period, input from other informed sources could be helpful in making a well-balanced final assessment. The supervisor should identify others who are in the position to provide additional insight into their employee's performance relative to the performance expectations, based on the input/discussion the supervisor and employee had at the beginning of the performance cycle/planning meeting. The supervisor might ask their employee to provide a list of names that can be considered as you determine to whom you will solicit input.

Receiving performance input from others not only provides a broader perspective but also can sometimes reveal circumstances of which you were not aware. At this point, the supervisor will also solicit a self- assessment from the employee. Once they have gathered and taken all of the input into account, the supervisor can finalize their draft assessment of the employee's performance. The supervisor needs to document observations with results and examples, just as with the Mid-Term Progress Review, determine the appropriate level of performance and mark the appropriate box for each expectation.

There are three achievement levels for each performance expectation:

Exceeds Expectations – This is an exceptional performer. This standard will be achieved by only a very few exceptional employees; employees who have achieved a consistent level of performance beyond the expected results throughout the review period and that have a notable and visible impact of achievement of strategic objectives that support the CSUSM mission.

Meets Expectations – This is a thoroughly competent, solidly performing employee, consistently achieving results that reflect favorably on CSUSM, making a positive contribution to achievement of strategic objectives that support the CSUSM mission.

Does Not Meet Expectations – This will be the employee who has not met the proficiency level expected. This level of performance does not reflect the expected standards. There is little contribution toward achievement of strategic objectives.

b. Rate Overall Level of Performance

Based on the results of all of the input received, including the employee's self-evaluation and the discussion with the employee, the supervisor selects an overall rating that best describes the employee's total performance during the review period. This will require judgment on the supervisor's part, and it will be based on the data available throughout the review period, including examples of specific behaviors and observations, and must be justifiable. Consideration is given to the significance of specific goals and expectations.

There are four levels of rating overall performance:

Exceeds Expectations – Overall this employee's performance has exhibited a level of achievement that consistently far exceeds expectations throughout the performance year. This will be a rare employee; one who has made significant contributions to achievement of the CSUSM mission and department strategic objectives.

Meets Expectations – This employee's performance is fully competent and at the level expected for a high performance culture such as CSUSM. This is a fully successful employee who is making the expected level of contribution in meeting strategic objectives in support of the CSUSM mission.

Meets Most Expectations – This is an employee who has achieved close to the expected overall level but may have one or two important developmental needs. This is a good overall employee who shows potential for responding to developmental efforts and eventually performing at the expected level. In some cases, this may be an employee new to their role who, though performing well in some areas, has not yet had the opportunity to fully assume or learn all aspects of their new role.

Does Not Meet Expectations – Overall, this employee's performance fell short of the expected level or the employee exhibited significant shortfalls in professional behavior or knowledge and skills. These shortfalls may have been addressed during the review period, but the employee has not yet exhibited the expected performance to a satisfactory degree during the review period.

The overall rating must reflect the total of all evaluation items. For example, a rating of "Exceeds Expectations" is not appropriate if there are elements of the ratings that do not consistently reflect the highest levels of achievement. An "Exceeds Expectations" rating will have the highest levels of achievement for performance expectations and will have narrative comments with examples that are supportive of this level. Anything less and the employee's performance is a "Meets Expectations" level, at best.

The supervisor completes the narrative remarks describing overall performance level. Again, the narrative must be consistent with all the previous ratings. It is essentially an opportunity to justify the rating. The supervisor should also briefly address potential in this narrative. An assessment of potential is an important link to the Professional Development Plan. If this employee has the potential to perform at even higher levels or to continue to perform at their current level (assuming it is at "Meets Expectations"), it is important to create a motivating environment.

c. Review Draft Documents with Next-Level Manager and Review by Vice President

Once the supervisor has completed their preparation and documented results, they review the draft Performance Review Form with their next-level manager. The purpose of this review is to gather additional information and ensure consistency and a uniform level of quality across departments. While next-level managers should not try to influence a supervisor to change a rating with which they do not agree, they are responsible to help ensure the overall equity of the process. They are also responsible for ensuring that there is adequate information and examples provided in the document to support the supervisor's ratings.

A supervisor's performance as a coach and assessor will certainly be the subject of supervisory performance expectations. This will also contribute materially to the next-level manager's/vice president's review of the quality of their subordinate's supervisory performance.

Once the document has been reviewed by the appropriate levels of management within the division, the document should be finalized for preparation of the performance review meeting with the employee.

Step 2: Conduct Performance Review and Planning Meeting

If all the previous steps have been covered, this meeting should contain **no surprises** and be a positive and collaborative discussion. By this time, the supervisor and their employee have had numerous conversations regarding progress towards goals and observed performance.

a. Review Performance Expectations, Goals, and Results

Similar to the Mid-term Review, the supervisor begins with a review of performance expectations and actual results. The supervisor asks the employee to complete the Employee Self-Evaluation Form. The supervisor considers their input as they draft their final assessment. The supervisor meets with the employee and describes their view of the employee's performance and discusses areas of significant difference.

The supervisor should review trends or themes in the Third Party Input Forms/Surveys. Particular attention should be paid to performance expectations rated as "Does Not Meet Expectations". Care should be taken to appropriately consider an isolated rating of "Does Not Meet Expectations" from a single input source.

The supervisor offers their employee the opportunity to provide written comments, if they choose, to be attached to the final evaluation form. If the employee chooses to provide written comments, the supervisor provides them with adequate time (typically up to five days) to respond. The supervisor attaches the employee's written comments to the completed final forms before they are routed for final signature.

CREATE A PROFESSIONAL DEVELOPMENT PLAN

Every employee receives a Professional Development Plan (or an Individual Performance Improvement Plan where appropriate). The Professional Development Plan is designed to document the employee's long-term professional growth and to chart training or development activities oriented to improving current performance. The Development Plan must be specific and clear.

The supervisor establishes a Professional Development Plan with specific goals and developmental targets based on the employee's overall achievement level. Consideration should be given to career aspirations, as well as current performance improvement opportunities for solid performers. The supervisor will be creating a plan to help prepare their employee for increased levels of performance, responsibility and to contribute to future professional growth.

Development Goal – This section of the form indicates whether the employee is working toward current role mastery or toward professional growth.

Career Aspirations – This is an opportunity for the supervisor and employee to discuss and comment on the employee's career aspirations with CSUSM. Topics may include future training or classes, position duties and requirements within other departments, skill enhancements, etc. that would provide the opportunities an employee needs to fulfill his/her career growth aspiration within CSUSM.

Development Areas – A well-constructed development plan outlines up to three specific areas for development and identifies what the employee, supervisor, and the organization will do, and how it will be done. Selected development areas should be based on competency proficiency and be relevant to organizational needs. For example, an employee may aspire to a role that requires competencies he/she has not had an opportunity to demonstrate. The plan should identify those competencies and specify what the employee, supervisor, and organization will do to assist in developing them.

Development Activities – Once the developmental areas have been identified, it is critical to consider which experiences and opportunities will best foster the employee's development. While targeted training opportunities are helpful, specific on-the-job assignments often accomplish the best results. Examples of on-the-job activities follow:

- ✓ Project team or committee participation
 - ✓ Rotational assignments
 - ✓ Cross-functional assignments
 - ✓ Consulting or trouble-shooting assignments
-
- ❖ **Establish Target Dates:** The supervisor, in discussion with the employee, establishes dates indicating when the developmental activity will take place and/or be completed.
 - ❖ **Hold Periodic Progress Reviews:** The Professional Development Plan should be reviewed periodically during the review period and its goals integrated into performance coaching.

CREATE AN INDIVIDUAL PERFORMANCE IMPROVEMENT PLAN

Those employees whose overall performance rating is at the “Does Not Meet Expectations” level will typically have an Individual Performance Improvement Plan. This plan can be created at any time during the rating period when a performance deficiency is identified. The plan is completed by carrying forward the unsatisfactory performance expectation from the Performance Review form to the Individual Performance Improvement Plan.

Performance deficiencies are identified using the measurements in the original Performance Review. If the deficiency is due to overall performance, those shortfalls are recorded in specific, objective, measurable terms. The corrective actions identified will also be specific, targeted to improving performance in the specific areas addressed in the plan.

After the draft plan is completed, the supervisor reviews it with their next-level administrator before presenting it to the employee.

- ❖ **Establish Duration and Review Dates:** The duration of an Individual Performance Improvement Plan will be designated at 30, 60, or 90 days by the supervisor in conjunction with the next-level Administrator. Though continuous observation and feedback will take place throughout the duration of the plan, plan progress reviews (meetings to discuss) with the supervisor and the employee must occur every 30 days, and the results must be documented appropriately on the plan document. Extensions beyond 90 days require the next-level Administrator and Labor and Employee Relations’ approval.

Section IV: COACHING PERFORMANCE

Step 1: Observe and Assess Performance

Performance coaching (the desired approach) can be aptly illustrated by a sports analogy. The team coach, who is responsible for guiding and developing a team, works with a player during training to provide initial instruction and observe the player's individual style. When the season begins, the coach doesn't just push the player onto the field, walk away, and return at the end of the season to assess the player's performance. Instead, the coach continually observes the player, studying his or her strengths and weaknesses, providing feedback during the game or immediately following, so the player can further develop his or her skill and make improvements. The coach's job (and the supervisor's) is based on the ability to actively observe, effectively communicate with, and continually develop the players, in addition to providing an accurate, objective assessment of their strengths and areas for development.

Step 2: Facilitate Employee Self-Assessment

The supervisor can help an employee conduct a self-assessment by asking her or him to assess their actual performance against the performance expectations. The supervisor asks the employee to consider where she/he has performed particularly well and what aspects of performance need to improve. After the employee has described his/her performance, the supervisor provides constructive and behaviorally specific feedback. The supervisor uses a coaching style of questioning to help identify what needs to be done differently and what resources, tools, or training are needed

to improve. The outcome of this self-assessment and gap analysis discussion should be a commitment to change and result in an understood action plan to achieve success.

Step 3: Provide Guidance, Encouragement, Feedback, and Support

Effective performance feedback can dramatically improve an employee's productivity and enhance his or her ability to meet expectations. People like to know how they are doing and generally appreciate timely feedback that is specific and presented in a supportive, non-threatening manner.

Performance feedback should be given continuously throughout the year either as behavior is observed or during regular individual meetings. It is particularly important to have progress meetings with an employee if the supervisor perceives performance is deteriorating. Considerations for giving periodic, effective performance feedback are illustrated in the figure below.

For feedback to positively impact performance, the employee:

Must Understand	Must Accept	Must be able to Control Performance being Measured
<ul style="list-style-type: none"> • Feedback should be specific • Feedback should be related to a recent incident • Expectations must be communicated 	<ul style="list-style-type: none"> • Feedback should be behaviorally descriptive (observable) • Feedback should be followed by discussion regarding employee's perspective • Positive feedback should be given at least as or more often than negative feedback 	<ul style="list-style-type: none"> • Focus feedback on the aspect of performance within the employee's control • Focus on a few key areas of performance rather than trying to develop every aspect of the employee's performance all at once

Questions? Contact Labor & Employee Relations at (760) 750-4416.