



June 10, 2003

EXECUTIVE MEMORANDUM

03-10

From: Manuel A. Esteban *Manuel A. Esteban*
President

Subject: Executive Memorandum 03-10, Executive Management Evaluation and Development; Supersedes Executive Memorandum 95-10, Administrative Personnel Policies and Procedures

I. Preamble

CSU policy and the principles of sound organizational management hold that employees should be subject to formal periodic performance appraisal. While such appraisal necessarily has an evaluative component, it also needs to be appropriately supportive and developmental. This is an important evaluative and developmental process.

It is in the nature of universities that faculty, staff, and students take on a co-governance responsibility with the administration. This participative relationship extends to the selection, placement, and appraisal of key managerial personnel. The purpose of this document is to specify the policy by which faculty – along with the appropriate participation and input of other important university constituents – contribute to the evaluation and development process of the campus' executive management.

Not only does this process need to be fair, balanced, rigorous, and based on each manager's designated job responsibilities, but it also must hold these individuals accountable for the services and activities provided by their areas of oversight. Part of each executive's job is to develop and guide the managers who report to him/her.

Furthermore, it is recognized that confidentiality is an important component to this whole endeavor. At all times, confidentiality within the committee is to be maintained. The anonymity of those providing input to the reviews will be maintained to the full extent to which the law allows.

The executive management evaluation process needs to include a breadth and variety of data commensurate with the position under review. The outcome of the process detailed below needs to be a summation and interpretation of these data that will provide the university's chief executives, the President and Provost, with a solid foundation on which to base evaluative and developmental actions with regard to each manager reviewed.

The Executive Management Evaluation and Development Committee (EMEDC) that is created by this document is a committee of the Academic Senate, but serves to directly assist and inform the President on issues relating to the evaluation and development of key managerial personnel.

II. Executive management evaluations will be performed by the Executive Management Evaluation and Development Committee (EMEDC), whose purpose is to

- A. Provide reports to the president as to the performance of executive officers;
- B. Provide reports to the president and provost as to the performance of academic deans;
- C. Provide the subjects of each evaluation with developmental feedback;

- D. As requested by subjects of evaluation, provide input regarding unit goals stemming from data gathered in the evaluation;
- E. As requested by the president, evaluate additional managerial personnel.

III. Positions to be evaluated by the structures and processes herein described

- A. Provost, Vice Presidents, and Vice Provosts.
- B. College Deans.
- C. Other Academic Deans (Regional and Continuing Education, Graduate & International Programs, Undergraduate Education)
- D. Other senior managerial positions with significant impact on the academic program as authorized by the president in consultation with the Academic Senate executive committee

IV. The Executive Management Evaluation and Development Committee (EMEDC)

- A. Membership
 - 1. Four full-time faculty
 - 2. One permanent staff member
 - 3. One presidential appointee
 - 4. One dean, not slated for review that cycle
- B. Selection
 - 1. Faculty members shall submit nominations to the Academic Senate Office in the same manner as with other universitywide committees. Members shall be appointed by the Academic Senate Executive Committee.
 - 2. The staff member shall be appointed by the Staff Council.
 - 3. The president or his/her designee shall appoint one member.
 - 4. The provost shall appoint the dean representative; he/she will be a dean not slated for review during that year's cycle.
- C. Terms
 - 1. Faculty members shall be appointed to two-year, staggered terms. Likewise, the staff member and president's designee shall be appointed to two-year, staggered terms.
- D. Chair
 - 1. The members of the committee shall elect the chair each year for a term of one year. The chair shall be one of the returning faculty members.

V. Calendar and Schedule of Reviews

- A. The first meeting of EMEDC shall be called by the fourth week of the beginning of the academic year by the Academic Senate chair, who will request the president to develop a list of reviews to be conducted by the committee. The list will be presented at its first meeting.
- B. The president will determine the individuals to be reviewed prior to the start of the academic year and will jointly present his/her plan to the committee along with the Senate chair at the first meeting of the EMEDC.
- C. The committee will formulate a schedule for the reviews.
- D. At the end of each year, the EMEDC shall provide the Academic Senate a summary of its activities for the year.

VI. Process for Provost, Vice Presidents, Vice Provosts, and Other Academic Deans

- A. Review Committee Membership
 - 1. The chair of the EMEDC, who will chair the review committee
 - 2. Two other faculty members from the EMEDC, ideally including one experienced and one less experienced member
 - 3. The staff member of the EMEDC
 - 4. Two presidential appointees. One of these appointees may be the presidential appointee member of the EMEDC. The other appointee shall be a dean not currently under review.
- B. Scope and Process
 - 1. For reviewing vice presidents, the president is the appropriate administrator. For reviewing vice provosts and other academic deans, the provost is the appropriate administrator.
 - 2. In consultation with the appropriate administrator determine the appropriate set of constituents from whom to collect data.
 - 3. In consultation with the appropriate administrator determine any unique goals or questions for each review.
 - 4. In consultation with the evaluation subject, determine any unique goals or questions for evaluation, development, and/or input on possible unit goals.
 - 5. The committee will gather data from the evaluation subject's peers, faculty, staff, students, subordinates, on-campus customers/clients, other interdependent campus parties, off-campus customers/clients, and other relevant extra-campus parties as determined in consultation with the appropriate administrator.
 - 6. The committee will integrate and summarize the findings into a report to the appropriate administrator including positive suggestions for development.
 - 7. The committee will present the factual content of its report to the subject of the review and provide the opportunity to

- clarify the factual content.
- 8. The committee will meet with the appropriate administrator(s) to deliver, summarize, and highlight its report.
- 9. The appropriate administrator will provide evaluative and developmental feedback to the evaluation subject.
- C. Data Gathering
 - 1. The committee will consult with the appropriate administrator(s) and each evaluation subject regarding the collection of additional information for purposes of the review.
 - 2. The committee will develop quantitative and qualitative surveys, conduct interviews, hold focus groups, and use other appropriate means as determined in consultation with the Vice Provost for Human Resources.
 - 3. Upon completion of each review, all data shall be archived by the Vice Provost for Human Resources for a period of three years.
- D. Confidentiality
 - 1. Confidentiality and anonymity of respondents' input will be maintained to the extent that the law allows.
 - 2. The committees' reports are to be kept confidential and will be given only to the president (and provost, as provided for elsewhere in this document), who will be responsible for the final disposition of each report.

VII. Process for College Deans

- A. Review Committee Membership
 - 1. One faculty member of the EMEDC, determined by the committee
 - 2. Two full-time faculty members from the college, elected by the faculty of the college, one of whom shall be elected by the review committee to serve as its chair
 - 3. Two department chairs (or equivalent) from the college, elected by the chairs of that college
 - 4. One permanent staff member from the college elected by the staff of the college in accordance with procedures established and conducted by the Staff Council
 - 5. One college dean elected by the college deans
 - 6. One provost appointee
 - 7. The EMEDC will execute the required elections needed to constitute the committee.
- B. Scope and Process
 - 1. The faculty representative from the EMEDC shall convene the first meeting and serve as liaison with the EMEDC.
 - 2. In consultation with the provost the committee will determine the appropriate set of constituents from whom to collect data.
 - 3. In consultation with the provost the committee will determine any unique goals or questions for each review.
 - 4. In consultation with the evaluation subject determine any unique goals or questions for evaluation, development, and/or input on possible unit goals.
 - 5. The committee will gather data from the evaluation subject's peers, faculty, staff, students, interdependent campus parties, college advisory boards, and other relevant extra-campus parties as determined in consultation with the provost.
- C. The committee will integrate and summarize its findings into a report to the provost, including positive suggestions for development.
 - 1. The committee will present the evaluation subject with a summary of the factual content of the review and offer the opportunity to clarify content.
 - 2. The committee will meet with the provost to deliver, summarize, and highlight the report.
 - 3. The provost will provide evaluative and developmental feedback to the evaluation subject.
- D. Data Gathering
 - 1. The committee will consult with the president, provost, and each evaluation subject regarding any particular additional information of interest to be gathered.
 - 2. The committee will develop quantitative and qualitative surveys, conduct interviews, hold focus groups, and use other appropriate means as determined in consultation with the Vice Provost for Human Resources.
 - 3. Upon completion of each review, all data shall be archived by the Vice Provost for Human Resources for a period of three years.
- E. Confidentiality and anonymity will be maintained to the extent that the law allows.