

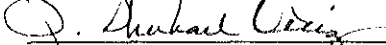


## Memorandum

**Date:** June 16, 2008

**To:** Martin Sancho-Madriz  
Chair, Academic Senate

**Copy:** Provost  
Cabinet  
Deans  
AVP's

**From:**   
J. Michael Ortiz, Ph.D.  
President

**Subject:** Revision of Appendix 18 --Review of MPP's

---

I wish to implement the revised version of Appendix 18 immediately as an interim policy of the University. I also attached a tentative schedule of MPP IV's to be reviewed under this instrument over the next few years. I hope the Academic Senate would make the call for nominations of senior, tenured faculty to serve on appropriate committees during the coming 2008-09 academic year. This would insure the prompt initiation of necessary reviews.

In the meantime, I hope the Senate will review this document and approve, including amendments or/or revisions, as appropriate and along normal procedures in the Cal Poly Pomona University Manual.

CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
MPP PERIODIC REVIEW PROCESS

June 2008

It is the policy of California State Polytechnic University, Pomona to review all employees included in the Management Personnel Plan (MPP) to (1) provide objective and specific information regarding individual and organizational performance; and to (2) provide information and suggestions for improvement and optimizing organizational performance.

#### GUIDING PRINCIPLES FOR MPP IV REVIEWS

The review process of MPP IV personnel is intended as both a developmental and performance management tool. The guiding principles for the process are enumerated below:

1. Input is gathered from all organization levels as defined by the Committee, including tenured and probationary faculty, temporary faculty, staff, students and members of the outside community.
2. CPP policies, procedures, and practice do not permit anonymous input.
3. Results are treated confidentially and in the same manner as any Performance Review.
4. A summary of results will be provided to the University community by the President or designee.

#### 1. APPLICABILITY OF THE MPP PERIODIC REVIEW

- 1.1. All Administrative Grade Level (AGL) IV Management Personnel Plan employees (MPP IV) will participate in the performance appraisal and review process. As part of these procedures, each MPP IV administrator will be reviewed periodically by a committee comprised of individuals from constituent and peer groups with whom the MPP IV administrator interacts, as described in this MPP Periodic Review Process.
- 1.2. MPP IV administrators, who have served a minimum of three years of full-time service in their MPP IV position, shall be subject to the MPP Periodic Review. For purposes of this guideline, years of service in a position is defined as the period the administrator has served in the position whether in an acting, interim, or permanent appointment. The MPP Periodic Review will be initiated during the fourth year after the initial appointment and every five years thereafter. The President can direct a special Periodic Review at other intervals.
- 1.3. The President or designee will maintain a list of all MPP IV administrators and create a five-year review schedule. The President or designee will notify the administrators to be reviewed and request a detailed listing of activities and accomplishments for the period under review.

#### 2. MPP PERIODIC REVIEW COMMITTEES

- 2.1. The President or designee will initiate requests for recommendations of people willing to serve on an MPP Periodic Review committee in the upcoming cycle. There shall be one MPP Periodic Review committee established for each division shall be comprised of at least five (5) members. The President or designee shall appoint up to three (3) full-time, permanent employees of the University, one of which shall come from outside the division or college of the administrator under review. These may be administrators, regular faculty, and/or staff. The Academic Senate shall appoint two (2) members of the regular, tenure-track faculty. In the case of a dean review, faculty appointees shall be tenured professors outside the college of the dean under review. If appropriate, the President or designee may further request one (1) student representative from the Associated Students to serve on the Committee.
- 2.2. Each committee is appointed "ad-hoc" and as such, their work is to be conducted and concluded during the fall and winter quarters of the academic year under review.

#### 3. MPP PERIODIC REVIEW PROCEDURE

- 3.1 Each committee will select a chair at the first meeting. All correspondence issued by the committee shall be submitted under the signature of the chair. The President or designee is responsible for providing support staff for each of the MPP Periodic Review committees. In addition to attending all meetings of the committees, the support staff person is expected to provide logistical support, clerical support, etc.
- 3.2 The committee shall:
  - 3.2.1 Be responsible for collecting, organizing, and analyzing data concerning the administrator's performance during the interval since the last review (or for the four year period preceding the administrator's inclusion in the review process).
  - 3.2.2 The committee shall invite individuals to meet with the committee to discuss the performance of the administrator under review. Relevant comments of such meetings shall be reduced to writing by the committee and their authorship shall be attributed to the originator of said comments;
  - 3.2.3 The committee cannot compel individuals to meet with the committee. Not all individuals requesting a meeting with the committee have the right to meet with the committee;
  - 3.2.4 Any person may submit a written statement to the committee, but such statements must be signed by the maker of the statement;
  - 3.2.5 A copy of the administrator's job description as well as the administrator's listing of work plan, a self-assessment, and list of accomplishments will be provided to the committee. The committee may invite the administrator under review, if appropriate, to discuss review process and calendar.
  - 3.2.6 Prepare a Draft Report when all data is collected and present copies to the President or designee, the administrator's direct supervisor (if appropriate), and the administrator under review. The committee may also, if appropriate, meet with the administrator under review to discuss the Draft Report.
- 3.3 The administrator has a right to examine all information and documents relating to the administrator's MPP Periodic Review. If the administrator believes that any portion of the Draft Report is not accurate, relevant, timely, or complete, the administrator under review has 10 calendar days from the receipt of the Draft Report to request in writing correction of the record or deletion of the offending portion, or both. Such request shall include a written statement by the administrator as to the corrections and deletions that the administrator believes need to be made and the reasons therefore.
- 3.4 Following any response, if any, by the administrator, the Draft Report will be finalized. Copies will be provided to the President, the administrator under review, and the administrator's supervisor. The Final Report shall become a part of the permanent personnel record maintained by the Human Resources Department.
  - 3.4.1 If the administrator believes that any portion of the Final Report is not accurate, relevant, timely, or complete, the administrator under review has ten (10) calendar days from the receipt of the Final Report to request in writing correction of the record or deletion of the offending portion, or both. Such request shall include a written statement by the administrator as to the corrections and deletions that the administrator believes need to be made and the reasons therefore. Within ten (10) calendar days of the administrator's request for correction of the record or deletion of the portion of the record objected to, or both, the President or designee shall either accede to the administrator's request or notify the administrator in writing of the President's or his/her designee's refusal to grant the request. If the President or designee refuses to grant the request, the President or designee shall state the reasons for the refusal in writing and the written statement shall become a part of the administrator's personnel file.
- 3.5 The committee shall handle, process, and maintain all MPP Periodic Review related documentation with the understanding that this MPP Periodic Review is a personnel action and that such documentation must be maintained with a high degree of confidentiality and will form a part of the administrator's personnel file. Only the President, the administrator being reviewed and the employee's direct supervisor may have access to this information. Any breach of confidentiality is a serious violation and is subject to disciplinary action. Committee members will sign an oath of confidentiality.

3.6 The committee shall, on completion of its duties, turn over all data and records to the Human Resources Department.

3.7 The attached survey will be used to measure the Performance Criteria for the MPP Periodic Review and includes, but is not limited to:

- Management and Leadership
- Communication
- Management of Resources
- Diversity/Equal Opportunity
- Effectiveness in Defining and Achieving Outcomes
- Effectiveness in Establishing a Learning-Centered Organization

3.7.1 Each division may add up to three additional Performance Criteria for review to the survey.

#### **4 SPECIAL REVIEW**

4.1 Should the need for a "special review" occur anytime during the appointment of a MPP IV, the President or designee may initiate a special review to address complaints leveled against said administrator. A special review may take any form as deemed necessary and appropriate by the President or designee.

#### **5. CONFIDENTIALITY**

5.1 University policy, state and federal laws regarding confidentiality, as well as appropriate professional ethics will be observed in obtaining information, in implementation of procedures, and in the reporting procedures.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**ADMINISTRATIVE REVIEW SCHEDULE**

Academic Year of Review

Subsequent Cycle

**2008-09**

**2013-14**

Donald O. Straney, Dean, College of Science  
Karen Hanna, Dean, College of Environmental Design  
Debra Brum, Vice President for I&IT  
Scott Warrington, Vice President for Advancement

**2009-10**

**2014-2015**

Douglas R. Freer, Vice President for Student Affairs  
Edward Hohmann, Dean College of Engineering  
Harold Schleifer, Dean, University Library  
Donald Hoyt, AVP, Graduate Programs and Sponsored Programs

**2010-11**

**2015-2016**

Ed Barnes, Vice President for Administrative Affairs  
Claudia Pinter-Lucke, AVP, Undergraduate Programs  
Pablo Arreola, AVP, Faculty Affairs  
Darwin Labordo, AVP, Finance and Administrative Services

**2011-12**

**2016-2017**

Andrew Feinstein, Dean, Collins College of Hospitality Management

**2012-2013**

**2017-2018**

**Performance Criteria Survey**

Name of Contributor \_\_\_\_\_

Unit/department \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Performance Criteria**

Criteria for the MPP Periodic Review may include, but are not limited to:

- Management and Leadership
- Diversity/Equal Opportunity
- Effectiveness in Defining and Achieving Outcomes
- Management of Resources
- Effectiveness in Establishing a Learning Centered Organization
- Communication

**Performance Criteria Instrument**

**Part A.**

**Question 1. Please indicate in what capacity you interact with this person or the basis of your observation of his/her performance**

**Question 2. Please indicate the frequency of your contact with the administrator under review over a normal work week, month.**

**Part B.**

Please comment on each of the Performance Criteria identified below.

| RESPONSIBILITY                 | PERFORMANCE EXPECTATIONS<br>(including but not limited to)  | RESULTS ACHIEVED/COMMENTS |
|--------------------------------|---|---------------------------|
| 1. Management and Leadership   | Leads in establishing goals; Exercises good judgment; Sees problems objectively; Focuses on long-term, strategic issues; Is accessible and trusted; Is accountable to constituents; Effectively represents the interests of the unit; Is an effective ambassador for both the unit and the university; Utilizes shared governance in decision making; Fosters effective collaboration within and across units and divisions; Confronts problems and challenges; Adheres to appropriate university rules and procedures. |                           |
| 2. Diversity/Equal Opportunity | Values the University's diversity/inclusion programs; Works to actively promote a diverse environment; Is embracing and respectful of diverse viewpoints and backgrounds.   |                           |

Formatted Table

Deleted: s

| Formatted Table  |  |  |
|--|--|--|
| 3. Effectiveness in Defining and Achieving Outcomes                                      | Initiates organizational goal-setting; Focuses on achieving goals in a manner consistent with CPP's mission and values; Is an innovative, effective problem solver; Demonstrates success in achieving organizational goals; Leads the unit and effectively partners with others to achieve organizational goals.           |  |
| 4. Management of Resources (including Human Capital, Budgets, Space, Partnerships, etc.) | Is cost conscious while recognizing the need to make investments (or expenditures) to sustain and enhance programs and/or activities; Manages resources effectively and equitably; Is effective in gaining an appropriate share of the University's resources; Advances development of personnel within the unit/division. |  |
| 5. Effectiveness in Establishing a Learning Centered Organization                        | <p>Supports the principles of Learning Centeredness, including:</p> <ul style="list-style-type: none"> <li>• Inclusiveness</li> <li>• Collaboration</li> <li>• Measurable Outcomes</li> <li>• Assessment</li> <li>• Continuous Improvement</li> <li>• Recognition and Celebration</li> </ul>                               |  |
| 6. Communication   | Shares relevant information within the unit/division, as well as externally; Provides constructive feedback; Is an effective advocate; Communicates effectively in a   |  |

|  |                           |  |
|--|---------------------------|--|
|  | timely and candid manner. |  |
|--|---------------------------|--|