
**From: Personnel, Evaluation and Nominations (PEN)
Committee Chair**

**Proposed Timeline for the 2007-2008 Performance Evaluation of the
Executive Director**

July 11, 2008	PEN meets to discuss performance evaluation instrument to be used and the process
July 26, 2008	Evaluation instrument presented to full Commission for approval
August 1, 2008	Survey forms sent to stakeholders
August 22, 2008	Survey forms due back
August 29, 2008	PEN meets to review surveys
September 4, 2008	PEN meets in Closed Session with the Commission and Executive Director to summarize the information it has received and receive their comments and suggestions on the evaluation
November 20, 2008	PEN makes final report to Commission in Closed Session and provides the Executive Director with the Commission's evaluation orally and in writing

**California Student Aid Commission
2007-08 Annual Plan Matrix
Updated June 6, 2007**

Tab 1.b

Goal/Strategy	Owner	Due Date	Status	Comments
Goal A: Effectively engage and communicate with Commissioners, the legislature, and Governor				
A.1 Develop a standard issue paper format for use by all Commission staff to aid in discussions and decisions by Commissioners and others	Steve	7/31/07	In progress	
A.2 Provide all new Commissioners with an educational briefing and orientation training within two months of appointment	Diana/Chiefs	N/A	On-going	
A.3 Communicate consistently and regularly with Commission Chair and Committee Chairs	Diana/Chiefs	N/A	On-going	Diana communicating on weekly basis and sometimes daily; communication with some Committee Chairs not possible because they are not appointed
Goal B: Ensure that proper structure, staffing and support systems are in place				
B.1 Identify human resource priorities for 2007-08	Chiefs			
<ul style="list-style-type: none"> • Implement a standardized process for filling vacancies 	Glenda	6/30/07		
Fill key management positions in PAS: <ul style="list-style-type: none"> • Specialized Programs • Operations • School Support • Planning & Development 	Catalina	7/2/07		
Fill key positions in ITS: <ul style="list-style-type: none"> • DPM III • New (3) budgeted positions 	John	8/31/07		
Fill key positions in Exec:	Keith	8/31/07		

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<ul style="list-style-type: none"> ▪ Legal counsel ▪ Auditor <p>Fill vacant positions in MSD/Fiscal:</p>	Janet	8/31/07		
<p>B.2 Develop and implement a comprehensive internal training program for staff</p> <ul style="list-style-type: none"> • Identify mandatory, suggested and optional training for all staff levels • Identify & communicate career paths for staff • Update training policy & distribute • Develop a training program for staff (IDP, progressive discipline, EEO, sexual harassment, information security, skills training, etc.) • Implement an orientation training program for new staff • Update Orientation Training Manual 	Jackie	9/30/07	Completed	
<p>B.2 Develop staff mentoring program</p>	HOLD		Strategy tabled until 2008	
<p>B.3 Have executive management communicate more frequently with staff at all levels</p> <ul style="list-style-type: none"> • Hold semi-annual planning meetings with all managers • Hold all-staff meetings or brown-bag lunches on a more regular and on-going basis 	Diana		On-going	
<p>B.9 Create quarterly Manager-only offsite meeting to share information and improve collaboration</p>	Bob & Linda	6/30/07		
Goal C: Improve services to schools and students				
<p>C.1 Develop, implement and monitor a comprehensive annual calendar that identifies all CSAC award deadlines and dependencies</p>	Keith	7/31	In progress	

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<ul style="list-style-type: none"> WebGrants for Students Phase II 				
C.7 Ramp up Web Oversight Workgroup (WOW) and secure executive support for WOW efforts	Steve		Completed	This function will be moved to a webmaster in the Communication Division
Goal D: Continue Outreach and Public Awareness Campaigns				
D.1 Update and evaluate the results of the Commission's existing Outreach Plan <ul style="list-style-type: none"> Evaluate the effectiveness and identify best practices for Outreach & Public Awareness Programs, OPAP Identify resources to continue to fund OPAP including seeking alternative sources of supplemental funding Submit BCP for 08-09 	Steve	9/14/07		Commission approved funding of \$2.2 m on April 19 for Public Awareness campaign; working on RFP for next year; seeking legislative & budget authority to allow use of private funding
D.2 Identify funding priorities for Cal SOAP \$8.6m	Steve			
D.3 Create cross-divisional team to provide opportunities for key staff and students to participate in outreach and public awareness campaign	Steve		Completed	
D.4 Complete and implement a Cal Grant Public Awareness RFP	Steve		Completed	
D.5 Obtain executive staff input on key elements of the Public Awareness Plan	Steve		Completed	
D.6 Develop an integrated comprehensive outreach plan for Cal SOAP; the grantees, PAC, Cash for College and other outreach efforts including consistent branding and messaging	Steve		Completed	
D.7 Explore opportunities to collaborate with other state agencies and EdFund and leverage other OPAP activities	Steve		In progress	Collaborating with COCCC on the "I Can Afford College" campaign
Goal E: Prepare CSAC for possible sale of EdFund				
E.1 Develop a transition plan <ul style="list-style-type: none"> Implement regular communications with civil service staff beginning with initial memo to all staff 				

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<ul style="list-style-type: none"> ▪ Hold all staff meetings as needed ▪ Prepare seniority list ▪ Prepare BCPs for increased staff at CSAC ▪ Plan for transition of assigned civil service staff from EdFund and related jobs at CSAC ▪ Plan for transition of CSAC functions supported by EdFund ▪ Develop re-organization plan ▪ Plan for new facilities 				
Goal F: Refine program administration processes to ensure compliance and increase efficiencies				
F.1 Conduct a process improvement analysis of standard operational processes and identify process improvement targets <ul style="list-style-type: none"> ▪ Complete Cal Grants & Specialized Programs documentation and validate ▪ Integrate continuous improvement process into all programs 	Wendy	2/07	On-going	Established BIP process; appointed manager over BIP Team and volunteers. Documented 27 Cal Grant processes. This will be an on-going effort.
F.2 Implement the Cal Grant audit recommendations and create an action plan <ul style="list-style-type: none"> ▪ Complete corrective actions on GPA ▪ Complete corrective actions on eligibility 	Catalina	2008-2009 9/7/07 6/30/08	In process	Completed corrective actions on disbursement, renewals,
F.3 Revise Institutional Participation Agreement for 08-09		9/7/07		To be brought to Commission
F.4 Evaluate and revise audit program (program compliance) <ul style="list-style-type: none"> ▪ Auditing for all eligibility requirements of Cal Grants and Budget Act language requirements 	Janet / Charles	7/1/07	In process	
F.5 Revise internal audit plan			On hold	Awaiting Commission's approval/decision on hiring Internal Auditor.
F.6 Review and revise Cal Grant manual	Bryan/Lori	10/07	On hold	Awaiting IPA release and

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				approval.
F.7 Continue to implement the Information Security requirements as outlined in the Security Risk Assessment	Justin		On-going	Security requirements included in IPA; developed policies; created enhancements for system which are in queue

Please note: Annual Plan Matrix revised by Commission staff on March 10, 2008 in response to the immediate demands imposed by the current-year budget reductions and the reductions and lay-offs required by the Governor's proposed budget.

California Student Aid Commission
Annual Plan Matrix
(Revised 03-10-08)

Tab 1.b.1

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Goal A Effectively engage and communicate with Commissioners, the Legislature, and Governor.					
A.1.	Develop a standard issue paper format for use by all Commission staff to aid in discussions and decisions by Commissioners and others	Janet	1/31/08	In progress	Format has been used for Commission meetings but needs to be reviewed and distributed to managers and analysts. It has been sent to Chiefs for review.
A.2.	Provide all new Commissioners with an educational briefing and orientation training within two months of appointment	Diana/Chiefs	2/1/08	Completed	Staff is developing a high level orientation and updating the manual.
A.3.	Communicate consistently and regularly with Commission Chair and Committee Chairs	Diana/Chiefs	2/1/08	On-going	Diana and/or Chiefs communicating on regular basis with the Chair and new Standing Committees. Staff liaisons need to be working with the committees by February.
A.4	Educate new legislation leadership and Governor's Office on Commission issues and funding support	Diana Ann			This goal was added during the Senior Management Retreat 01-08-08 to ensure that the overall goal is addressed.
Goal B Ensure that proper structure, staffing and support systems are in place.					
B.1.	Identify human resource priorities for 2007-08	Chiefs			
	Implement a standardized process for filling vacancies	Glenda	1/31/08	Completed	All vacant positions are being evaluated for potential transfer of EdFund employees.
B.1.a.	Fill key management positions in Program Administration Division:	Catalina	7/2/07	Completed	All management positions have been filled. As we get vacancies, we are filling them with EDFUND employees.
	Specialized Programs	Catalina		Hired	
	Operations	Catalina		Hired	
	School Support	Catalina		Hired	
	Planning & Development	Catalina		Hired	
B.1.b.	Fill key positions in Information Technology Services Division:	John	1/31/08	In progress	1 position on hold. 1 vacancy - May fill with EdFund staff or go out to hire; based on skill set.
	DPM III	John		Hired	
	New (3) budgeted positions	John	1/31/08	In progress	Two employees transferred from EDFUND. Remaining position has been interviewed and should be filled prior to end of January 2008.
B.1.c.	Fill key positions in Executive Office:	Keith	8/31/07	In progress	

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	Legal counsel	Keith	1/31/08	Completed	Conducted one interview in September. Re-advertising position due to lack of applicants. Hired a retired annuitant to serve as interim counsel. Conducted second round of interviews. Hired new Staff Counsel III to start on February 25, 2008.
	Chief Audit Executive	Keith		In progress	Interviews completed. May have to re-advertise vacancy.
B.1.d.	Fill key positions in Management Services Division:	Bob		On-going	Hired Budget Manager and Sr. Accounting Officer. Made offer for Assoc. Personnel Analyst. Filling positions as needed (business and accounting services analysts. May be affected by hiring freeze (depends on degree of freeze - external hires, internal promotions).
B.1.e.	Fill key position in Federal Policy and Programs Division:	Keith	11/30/07	Completed	Division Chief and Manager hired in November on a limited term basis.
B.1.f.	Fill key positions in Governmental Affairs & Research Division:	Steve	10/31/07	Completed	New Research Manager hired in October
B.2.	Develop and implement a comprehensive internal training program for staff	Jackie	9/30/07		
B.2.a.	Identify mandatory, suggested and optional training for all staff levels	Robin		Completed	A Training Manual for Managers & Supervisors was developed and distributed in September to assist them in developing training plans for their employees. *Responsibility has been transferred to Personnel.
B.2.b.	Identify & communicate career paths for staff	Robin		On hold	Awaiting possible reassignments into new positions due to EdFund transition before identifying career paths
B.2.c.	Update training policy & distribute	Jackie	7/31/07	Completed	Policy revised and distributed. Training on the policy was provided to managers/supervisors.
B.2.d.	Develop a training program for staff (IDP, progressive discipline, EEO, sexual harassment, information security, skills training, etc.)	Jackie	9/30/07	Completed	Training program in effect. Monthly on-site training on various topics began in September. External training & education opportunities made available through new Training Policy.

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	Goal/Strategy	Owner	Due Date	Status	Comments
B.2.e.	Implement an orientation training program for new staff	Jackie	1/31/08	In progress	Developing a new orientation and training program; Revising new employee training manual; updating all administrative policies for training purposes
B.2.f.	Update Orientation Training Manual	Jackie	1/31/08	Completed	Updating all sections of the manual including all administrative policies & procedures.
B.3.	Develop staff mentoring program	Diana & Chiefs		On hold	Strategy tabled until 2008
B.4.	Communicate more frequently with staff at all levels	Diana		On-going	Regular updates are provided in the Fast Blast and Keeping You Informed publications.
B.4.a.	Conduct semi-annual planning meetings with all managers	Diana		On-going	Senior Management Retreat conducted on 01-08-08 and All Management Retreat conducted 01-09-08. Date of next semi-annual meetings TBD.
B.4.b.	Schedule all-staff meetings or brown-bag lunches on a more regular and on-going basis	Diana		On-going	All staff meetings held on 08-30-07, 10-31-07, 01-17-08 and 03-05-08 to discuss state budget, EdFund sale, transition of civil service employees to CSAC.
B.5.	Create quarterly Manager-only offsite meetings to share information and improve collaboration	Bob & Linda		Canceled	This was a proposal by managers. They have decided to cancel due to number of meetings they currently have and due to workload.
Goal C <i>Improve services to schools and students.</i>					
C.1.	Develop, implement and monitor a comprehensive annual calendar that identifies all CSAC award deadlines and dependencies	Keith Kathleen*	2/29/08	In progress	Chiefs are developing calendars for their areas of responsibility. PASD has completed their draft. *Kathleen will take over monitoring of comprehensive calendar of award deadlines and dependencies. This item is related to the Dashboard.

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C.2.	Implement high priority CSAC information technology projects	John	9/30/08	In progress	Automating APLE scheduled to be completed by 6/30/08. Business requirements completed. Upfront application process ready 2/28/08. Phase II of the Real Time Database project is underway. The advisory committee has been formed and is meeting every two weeks. Web Services Security Architecture design is complete. High school graduation date project is in progress.
C.3.	Advocate for increased award amounts for Cal Grant and other specialized programs	Ann		On-going	2008-09 Guiding Principles for the Budget have been changed by the Commission; goal is to "preserve and expand."
C.4.	Distribute Customer Satisfaction Survey and compile, review, and disseminate results to staff	Catalina Bryan	7/1/08	In progress	Need to evaluate the goals and validity of a survey that was piloted and determine whether to proceed. There is a 60-page survey and managers are working on refining it. They are working with Research to refine and remove from the web. Goal is to disseminate a revised survey by 7/1/08.
C.5.	Identify new opportunities for obtaining student feedback including through webgrants and student access	Catalina/Thea	5/1/08	On-going	Made changes to WebGrants and how we are communicating with students through email. Increased electronic communications to staff.
C.5.1.	Improve/expand mechanisms for student access	Catalina/Thea		On-going	Implemented seasonal messages on the Interactive Voice Response System (IVR) which have reduced phone calls from 1250/day to 700/day; added email auto-response messages providing students with information on how to update their information using WGS. Thea is working on a questionnaire for the phone staff to ask customers to provide feedback on service and tools.

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C.5.2.	WebGrants for Students (WGS) Phase II	Catalina/Thea	6/30/08	On-going	Implemented weekly meetings with student representatives to review WGS, identify fixes and updating format to be more user friendly. Student Leave of Absence update capability added; working on online access to correct username or password. Phase II includes input from stakeholders and students for improvements.
C.6.	Implement Web Oversight process	Janet		On-going	Process in place to keep website updated.
Goal D Continue Outreach and Public Awareness Campaigns					
D.1.	Update and evaluate the results of the Commission's existing Outreach Plan	Janet			Need to work on evaluating and funding
D.1.a.	Gather and evaluate data on Commission Outreach & Public Awareness Programs (OPAP) including Cal-SOAP	Janet	1/18/08	In progress	Developing a plan to implement AB 1540 by February Commission meeting.
D.1.b.	Identify resources to continue to fund OPAP including seeking alternative sources of supplemental funding	Janet		In progress	Need to look at resources for this. Current staff may not have the expertise to secure funds.
D.1.c.	Submit BCP for 08-09	Steve	9/14/07	Completed	
D.2.	Identify funding priorities for Cal SOAP	Janet	1/31/08	In Progress	Funding for Cal SOAP was reduced by \$2 million in the budget. In the process of developing criteria for how remaining funds will be allocated. We have to have an outline by 2/29/08 Commission meeting, so this needs to be done by 1/31/08.
D.3.	Create cross-divisional team to provide opportunities for key staff and students to participate in outreach and public awareness campaign	Steve		Completed	Continue as needed.
D.4.	Complete and implement a Cal Grant Public Awareness RFP	Steve		Completed	
D.5.	Obtain executive staff input on key elements of the Public Awareness Plan	Steve		Completed	
D.6.	Develop an integrated comprehensive outreach plan for Cal SOAP; the grantees, PAC, Cash for College and other outreach efforts including consistent branding and messaging	Janet		On-going	

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D.7.	Explore opportunities to collaborate with other state agencies and EdFund and leverage other OPAP activities	Janet		In progress	Collaborating with COCCC on the "I Can Afford College" campaign. Since AB 1540 has passed, this is more of an implementation plan for AB 1540.
Goal E Prepare CSAC for Sale of EDFUND					
E.1.	Develop a transition plan	Diana/Chiefs	2/1/08	On-going	A separate transition plan will be developed. A team was created (Janet as lead) to deal with the transition.
E.1.a.	Implement regular communications with civil service staff beginning with initial memo to all staff	Diana		On-going	Communications are on-going. Held all staff meetings 8/30/07, 10/31/07, 01-17-08 and 03-05-08. Staff is being kept informed on a regular basis.
E.1.b.	Hold all staff meetings as needed	Diana		On-going	See above
E.1.c.	Prepare seniority list	Robin		On Hold	Waiting for further decision on sale.
E.1.c.	Prepare BCPs for increased staff at CSAC	Bob		Completed	Submitted to Department of Finance (DOF) in September 2007
E.1.d.	Plan for transition of assigned civil service staff from EDFUND and related jobs at CSAC	Chiefs		In progress	Working on transition plans including reassignment of employees into vacant positions that have been held open at CSAC.
E.1.e.	Plan for transition of CSAC functions supported by EDFUND	Janet		In progress	Senior staff have met to develop a list of all transition issues and risks and have begun initial planning. Evaluate all synergy projects previously completed with EdFund under C.3 to determine how the Commission will perform/obtain these services after EdFund is sold.
E.1.f.	Plan for new facilities	Janet		In progress	Impact of transition on plans for new facilities has been discussed and issues/risks identified.
E.2.	Continue EDFUND CSAC Synergy projects	John			
E.2.a.	Move letter writing from TDC to EDFUND	John			
E.2.b.	Provide access to Web Conferencing tool	John			
E.2.c.	Consolidate EDFUND/CSAC Tier 1 Help Desk support	John			
E.2.d.	EDFUND monitors CSAC GDS batch jobs 24-7	John			
E.2.e.	Imaging APLE applications and correspondence	John		Completed all of these	All major synergy projects with EDFUND have been completed. There are no new projects

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E.2.f.	Move GDS WebGrants & Database hosting from DTS to EDFUND	John		all of these projects	been completed. There are no new projects currently under consideration.
E.2.g.	Contracting/managing/hosting IVR System project	John			
E.2.h.	Setting up system to Image GPA forms	John			
E.2.i.	Automating SEARS survey with Internet Web application	John			
E.2.j.	Assist in maintaining GDS during Phase I of Real Time Database Project	John		In progress	FAMS has been folded in Phase II
Goal F Refine program administration processes to ensure compliance and increase efficiencies					
F.1.	Conduct a process improvement analysis of standard operational processes and identify process improvement targets	Joseph Lopez		On-going	Established BIP process; appointed manager over BIP Team and volunteers. Documented 27 Cal Grant processes. Documents will be updated and validated and a book of procedures developed.
F.1.a.	Complete Cal Grants & Specialized Programs documentation and validate	Catalina Renee A. Tae Kang	3/31/08	In progress	PASD desk manuals, operational procedures have been completed. Staff will keep an "as is" document and integrate all procedures into one manual. All workflow diagrams will be completed by 1/31/08. Complete consolidated manual will be completed by 3/31/08.
F.1.b.	Integrate continuous improvement process into all programs			On hold until next FY	Due to other priorities, this task will be pushed into the next FY.
F.2.	Implement the Cal Grant audit recommendations and create an action plan	Catalina	2008-2009	In progress	Completed corrective actions on disbursements & renewals
F.2.a.	Complete corrective actions regarding GPA from past audit.	Catalina	9/7/07	Completed	Reported to Commission at Sept. meeting.
F.2.b.	Complete corrective actions regarding eligibility on DOF audit	Catalina	6/30/08	In progress	Conducted exit meeting with DOF; audit report issued in December 2007.
F.3.	Revise Institutional Participation Agreement for 08-09	Catalina	9/7/07	Completed	Adopted at September Commission meeting
F.4.	Evaluate and revise audit program (program compliance)	Janet/Charles	1/31/08	In progress	
F.4.1.	Auditing for all eligibility requirements of Cal Grants and Budget Act language requirements	Janet/Charles	1/31/08	In progress	Charles has been working on this. Staff needs to have a follow up meeting with PASD.

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	Goal/Strategy	Owner	Due Date	Status	Comments
F.5.	Update and complete a risk analysis in conformance with State requirements.	Chief Audit Executive		Hold	Commission approved hiring of CSAC internal auditor at Sept. meeting who will be responsible for completing a risk analysis.
F.6.	Review and revise Cal Grant manual	Gloria/Lori	6/30/08	In progress	IPA approved and changes to be incorporated into manual. PASD has completed the first chapter of the Cal Grant Training Manual power-point. Segments will be released as appropriate.
F.7.	Continue to implement the Information Security requirements as outlined in the Security Risk Assessment	Justin	On-going	In progress	Security requirements included in IPA; developed policies; created enhancements for system which are in queue. ISO continually monitors and makes sure staff is up-to-date.
Goal G Implement Governance Policies and Structure adopted by the Commission					
G.1.	Complete specific tasks under the Assignment and Responsibilities Policies	Diana/Chiefs		Hold	Under review by the Governance and Monitoring (GM) Committee. Next meeting is 1/25/08.
G.1.a.	<u>Planning</u> : Develop a draft five-year strategic plan for Commission adoption		Late March 2008	Hold	The Commission will review/consider in late March 2008.
G.1.b.	<u>Planning</u> : Develop and implement an annual plan for use in the operations of the Commission	Keith Kathleen		On-going	An Annual Plan (matrix) has been developed and is continually monitored and updated.
G.1.c.	<u>Program Operations</u> : Provide statutorily required reports and data to the Administration and Legislature by their required due dates	Ruben	1/31/08	In-progress	Steve and his research team are working on updating the list of reports required by the Legislature and their due dates. Diana wants to see updates.
G.1.d.	<u>Loan Program</u> : Develop an oversight plan for the Commission's administration of the Loan Program	Janet	1/31/08	In progress	Final Draft of Oversight plan will be sent to DOF & JLBC for approval. The GM Committee has indicated that they are done with the AOP. Diana wants staff to double check with the Commission Chair on whether to move forward.
G.1.e.	<u>Loan Program</u> : Develop and execute the Operating Agreement and Service Level Agreement with EdFund	Janet		Completed	Operating Agreement in effect for 2007-08
G.2.	Complete specific tasks under the Monitoring and Oversight Policies				

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G.2.a.	<u>Monitoring Policy 1, Overall Compliance with Commission Policies:</u> Twice annually, present a report on compliance with the Commission Policies			In progress	GM Committee will work on timeline and reporting process.
G.2.b.	<u>Monitoring Policy 2, Ends:</u> On a quarterly basis, submit a report of programmatic accomplishments and progress as well as issue areas and solutions to address them			In progress	GM Committee will work on timeline and reporting process. Staff is to facilitate and keep on the committee's agenda.
G.2.c.	<u>Monitoring Policy 4, Assignment and Responsibility:</u> On a quarterly basis, provide the Commission with updates reviewing progress in implementing the overarching and program-specific strategic plans			In progress	GM Committee will work on timeline and reporting process.
G.2.d.	<u>Monitoring Policy 5, Strategic and Annual Planning:</u> On a quarterly basis, present a report examining CSAC's compliance with the Fiscal Operating Policies			In progress	GM Committee will work on timeline and reporting process.
G.2.e.	<u>Monitoring Policy 6, Fiscal Operations:</u> On an annual basis, provide to the Commission the following:			In progress	GM Committee will work on timeline and reporting process.
	a) Proposed Operating Budget for the grant program	Bob		Completed	In place for 2007-08. This will be revisited.
	b) A schedule of planned internal audits and reviews of the grant program	Chief Audit Executive		In progress	Schedule will be developed by new Chief Audit Executive.
	c) FISMA report	Janet	1/31/2008	Completed	The memo on the bi-annual certification was completed on 12/31/07. The report is due 1/31/08.
G.2.f.	<u>Monitoring Policy 6, Fiscal Operations:</u> On a quarterly basis, provide to the Commission a summary or dashboard report describing the grant program's current financial condition	Bob		In progress	GM Committee will work on timeline and reporting process.

California Student Aid Commission

Role of PEN Committee **(as of early September, 2007)**

The Personnel, Evaluation, and Nominations (PEN) Committee conducts regular evaluations of the Executive Director, nominates the annual slate of officers for the Commission, and recommends appointments to the Commission's advisory bodies and to the EdFund Board of Directors. This committee also develops and oversees the orientation process for new Commissioners. In addition, this committee exercises general oversight of the administrative concerns of the Commission and its staff.

The PEN Committee membership is composed of five (5) Commissioners.

General Schedule for PEN Committee

1. Officers of the Commission:
 - Terms are for one year, from July 1 to the following June 30 (CSAC fiscal year).
 - Preparation begins in spring with information to, nominations from, and expressions of interest by Commissioners.
 - PEN meets and develops potential slate of officers; Chair contacts nominated Commissioners for their assent.
 - All relevant information is provided in advance to Commissioners as part of the June agenda. Election takes place at the June meeting of the Commission.
2. Recommendations for appointment to advisory bodies/EdFund Board:
 - Recommendations to the Commission for appointment of members of advisory bodies/EdFund Board may take place at any meeting during the year when vacancies need to be filled.
 - Staff Liaison to the PEN Committee keeps track of vacancies, solicits nominations from appropriate parties, and brings materials to the PEN Committee for action.
3. Orientation and Training: In consultation with staff, the PEN Committee ensures that new Commissioners receive orientation and training to prepare them for their role as Commissioners.
4. Evaluation of the Executive Director
 - The performance evaluation process remains highly confidential at all times.
 - The annual performance evaluation process covers the same period as the CSAC fiscal year, July 1 to the following June 30.
 - For the coming year: The evaluation process begins a year in advance with the development by the Executive Director and discussion/approval by the PEN Committee and the Commission of the Executive Director's Performance Goals and Management Plans for the coming year. This process normally takes place in the late spring. The process includes PEN discussion of her/his goals and

plans with the Executive Director as needed/desired by PEN or the Executive Director. The performance goals and management plans are discussed in open or closed session, according to statutory requirements.

- For the previous year: In the late spring, the PEN Committee develops the evaluation instrument to be used to evaluate the performance of the Executive Director for the year coming to a close. The instrument should be based on the performance goals and management plans approved by the Commission the year before. This evaluation instrument should be approved by the Commission at its June meeting, with surveys sent out as soon as feasible following that meeting. Also in advance of the June Commission meeting, the PEN Committee develops the letter to participants, the deadline, and a list of recipients of the survey, after identifying the number and names of recipients they deem appropriate for a particular year. The list of recipients need not be submitted to the Commission for approval. Previous lists are kept in the PEN Chair's files. In the past, the Executive Director has been invited to submit the names of up to two legislators with whom the Executive Director has worked, for participation in the evaluation survey.
- At the request of the PEN Chair, the staff liaison person develops the random sample of CSAC employees (in addition to the Chiefs) to whom the survey will be sent. The PEN Committee determines the percentage for the random sample. The staff liaison person and staff send out the surveys with instructions developed by the PEN committee.
- Included in the survey packet are stamped envelopes marked Confidential, and addressed to the PEN Chair at his/her home or office.
- Because of confidentiality, the surveys are tabulated outside of CSAC staff.
- PEN invites the Executive Director to develop his/her self-evaluation, according to a format and guidelines identified by the PEN Chair.
- PEN meets to review and discuss the tabulated responses to the performance evaluation and the initial draft by the Chair which have been sent to PEN members in advance. PEN makes any desired changes.
- The Commission meets in closed session to discuss/revise/approve the Commission's letter to the Executive Director, which has been e-mailed in advance, along with the tabulations. Performance goals/expectations and management plans for the coming year may be revised, according to Commission wishes, as a result of the performance evaluation.
- Commission evaluation letter is sent to the Executive Director, signed by the Chair of the Commission and the Chair of PEN. If the Executive Director so wishes, discussion of the letter is available to her/him in closed session at the next Commission meeting.

NOTE: The office of the Attorney General of California has made it very clear that the FULL Commission, not one of its Committees, must make final performance evaluation decisions for the Commission's Executive Director. The AG office has also specified that there can be no discussion between/among PEN members or Commissioners of any confidential aspect of the evaluation outside of closed sessions. Even if the materials have been tabulated for ease of discussion, the PEN Committee members and the full Commission MUST have available to them the original submissions by participants.

CALIFORNIA STUDENT AID COMMISSION
Rancho Cordova, California

**SURVEY OF EMPLOYEES AND STAKEHOLDERS
REGARDING ANNUAL PERFORMANCE
EVALUATION OF CSAC'S EXECUTIVE DIRECTOR**

Executive Director: Diana Fuentes Michel
Date of Evaluation: August, 2007
Evaluation Period: Fall, 2006 – Summer, 2007
Evaluator's Name: _____
Evaluator's Title: _____

Completing the Survey

The California Student Aid Commission (CSAC) has the responsibility to evaluate annually the performance of its Executive Director, who reports directly to the Commissioners of CSAC. In order to do so most effectively, the Commission seeks the input of employees, stakeholders and other individuals who work with the Executive Director and may have important insights into her performance. Your thoughtful comments, based upon your own independent judgment, will be very much appreciated by CSAC as it fulfills its responsibility to evaluate the performance of its Executive Director. Your honesty and objectivity is needed and appreciated.

Completion of this performance evaluation survey is optional. The Commission will attempt to keep the information contained herein confidential to the maximum extent possible. Unless required by law, rule, procedure or legal process, the Commission will generally only share information with the evaluated employee in summary form. However, there may be circumstances where this evaluation, if used in whole or in part as the basis for a negative evaluation, discipline, or other action with respect to the evaluated employee, or as the Commission otherwise deems necessary, may be disclosed to the employee if the Commission believes it is necessary or if it is required by law, legal process, rule or procedure. The Commission forbids retaliation against employees for participating in a performance evaluation.

Please complete the form objectively, focusing on performance, and not on the person. The evaluation should be based upon your personal knowledge of performance as compared to the performance goals and standards. Comments are encouraged and should be related directly to job performance. If you do not have information about an area of performance, you should not evaluate that area.

We ask that surveys be completed and mailed in the enclosed, stamped envelope by Monday, August 20, 2007 at latest (earlier if possible), to

Commissioner Sally Furay
Chair, PEN Committee (Personnel, Evaluation, and Nomination)

Anyone who prefers to respond on line may do so by sending an e-mail before August 12, 2007 to _____ requesting an electronic copy of the survey form. The deadline of August 20, 2007 remains the same for on line participants.

PERFORMANCE EVALUATION

A. Evaluation of the Executive Director’s Performance On Goals which She Established for 2006-2007:

For each area, please identify which category best describes your observation and personal knowledge of the Executive Director’s performance:

- “Exceeds Expectations” indicates exceptional performance that consistently exceeds the requirements of the position.
- “Meets Expectations” indicates performance that consistently meets the requirements of the position.
- “Below Expectations” indicates performance that is below what is normally expected of an executive with this person’s level of experience in this position.
- “No Basis” is used when: a) the evaluator is unable to form a judgment on the Executive Director’s performance on this factor, or b) situations outside of the Executive Director’s control have prevented her from acting.

Space is provided for further comments, if desired, on each aspect of the Executive Director’s accomplishment of her Performance Goals.

1. Goal 1: Adequate staff and fiscal resources are in place to carry out the Commission’s mission, as judged by “reduction of vacancy rate, improved turnover rate, implementation of human resource procedures that maintain a productive work environment where work productivity and efficiency is rewarded.”

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

2. Goal 2: There is continued advocacy for state general fund support by the governor and legislature of Cal Grant entitlement/competitive programs, and for specialized programs for teacher/nursing loan assumption, for grants or scholarships for foster youth, law enforcement, and federally funded programs, and new nursing programs. This includes renewal and implementation of a communications and advocacy plan.

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

3. Goal 3: Continuation of the Commission’s grant outreach programs, including adoption of a long-term financing and development plan for leveraging strategies with other agencies.

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

4. Goal 4: Adoption and implementation of Bureau of State Audit recommendations and findings, including implementation of required program/policy changes as prescribed in the project involving Roles and Responsibilities in the relationship between CSAC and EdFund.

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

- 5. Goal 5: Continued, improved communication with Commissioners, legislature and Governor to ensure understanding and knowledge of the Commission's programs and mission, including development and execution of a comprehensive plan to educate new legislative members and Administration officials on the Commission's mission, goals, and programs.

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

- 6. Goal 6: Successful completion of Phase I of the Grant Delivery System improvements to accomplish an on-line, real time CalGrant data base for students and schools in coming years, while meeting the goals of the 2006-2007 grant delivery system and not compromising ongoing operations during system changes.

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

- 7. Goal 7: Successful implementation of the necessary programmatic changes to the Commission's administration of its grant programs to comply with internal audit findings, including recommendations from the Bureau of State Audit report, hiring of a new internal auditor, reexamination of the audit plan to ensure correct prioritization of high-risk areas, and implementation of Information Security recommendations from the risk assessment.

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

- 8. Goal 8: Improved communication with students and institutional representatives who participate in Cal Grant and other specialized programs, including working with the Commission and its advisory committees on adoption of proper policies and procedures and identification, and implementation of a specific communications plan for stakeholder groups.

Exceeds expectations Meets expectations Below expectations No basis to judge

Comments:

B. Evaluation of the Executive Director's Performance on Leadership Behavior Goals:

Response Categories for Leadership Behaviors Section

Please identify which response category best describes your perception of the Executive Director's performance for each factor, commenting as you wish on response categories, after reviewing the Key Success Indicators identified by the Commission and communicated to the Executive Director.

- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- Not enough information

Space is provided for further comments, if desired, on each aspect of the Leadership Behaviors.

1. Communications:

(Key Success Indicators: Ensuring full cooperation and consultation with stakeholders as CSAC proceeds with implementation of the new grant delivery system; continuing to identify synergies between CSAC and EdFund which cultivate and encourage savings and efficiencies; identifying and focusing on Partnerships with stakeholders and stakeholder organizations in joint efforts to assist students; working with the CSAC Executive Team immediately to develop and implement a communication plan as outlined in personal goal #8; ensuring immediate oral and direct communication with segment officials when problems or issues arise which affect campuses.)

- The Executive Director facilitates agreeable and timely solutions in situations that involve conflicting and competing demands within or between Commission staff and EdFund, and among Commission staff and Commission stakeholders.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

- The Executive Director demonstrates willingness to listen and be influenced.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

- The Executive Director demonstrates and promotes collaboration among staff, peers, and all stakeholders and their work groups.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

- The Executive Director considers the impact of the recommendations/decisions of GAC and its work groups on other stakeholders before acting.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

2. Personnel Management:

(Key Success Indicators: Meeting with Department of Personnel Administration to ensure proper job pay for job functions; ensuring adequate staffing levels to deliver timely programs to students; proactively accessing and developing employee resources, strengths, and competencies to ensure staffing levels are adequate for work load; ensuring consistent and sufficient advance preparation by the divisions for Commission and Committee meetings.)

- The Executive Director proactively staffs/manages resources to ensure consistent/timely operations of processes.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

- The Executive Director recruits talented personnel who possess appropriate skills and experience for job function.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

- The Executive Director creates and sustains a culture which promotes continuous process improvement.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

- The Executive Director acts quickly to resolve performance issues and/or problems.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

- The Executive Director delegates responsibility, authority, and accountability to the extent it is prudent.
 Strongly Agree Agree Disagree Strongly Disagree
 Not enough information

Comments:

Sample Evaluation Instruments provided by Commissioner Pat Fong Kushida

**PERFORMANCE EVALUATION
Executive Director**

Evaluator:

Date:

The following list of performance indicators are key performance elements related to the effective management of the California Student Aid Commission. These elements should be viewed in relationship to implementing the programs, achieving the Goals and Objectives, and their effective communication on behalf CSAC.

Identify an appropriate ranking on a scale of 1 to 10 (1 being unacceptable and 10 being outstanding or exceeding expectations.) If you don't know you can leave that item blank.

1. Primary Task Expertise: (The application of skills in meeting Goals and Objectives)

_____ 1 _____ 5 _____ 10 _____

2. Resource Management: (The effective development and use of time, money, and staff)

_____ 1 _____ 5 _____ 10 _____

3. Communication: (Written and oral skill applied to meeting the Goals of the organization)

_____ 1 _____ 5 _____ 10 _____

4. Initiative and Creativity: (Development and implementation of programs and tasks to achieve specific objectives)

_____ 1 _____ 5 _____ 10 _____

5. Organizational Skills: (Time, content, and management of competing demand)

_____ 1 _____ 5 _____ 10 _____

6. Interpersonal Relationships: (Effectiveness of interaction with staff, Board, clients, investors, and outside agencies)

_____ 1 _____ 5 _____ 10 _____

California Student Aid Commission 2008-2009 Dashboard

Executive Director Dashboard						
	Metric	2007-2008 Performance	Current Performance	2008-2009 Performance	Full Performance Target	Current Performance Data as of:
Quality						
Service						
Community						
Growth						
People						
Current Performance Color Key:	Below 2008-2009 Performance Threshold	At Performance Threshold But Below Full Performance Target	Met Full Performance Target			

Sample Evaluation Instrument provided by Commissioner Lynne de Bie

THE CEO EVALUATION

Organization: _____

Date: _____

By: _____

	Excellent	Good	Satisfactory	Requires Improvement	Unacceptable	N/A
Leadership: The CEO...						
Has clearly defined the basic purpose or mission of the organization.						
Has clearly defined a vision for the organization in the future.						
Has attracted a high-performing senior management team with the knowledge, skills, energy and passion to make the mission and vision a reality.						
Leads a planning process that establishes annual goals, strategies and action plans that are consistent with the vision and mission.						
Leads a performance management process that ensures accountability at all levels of the organization and makes mid-course corrections in goals and strategies as necessary.						
Consistently makes decisions and that enable the organization to achieve its goals better.						
Regularly demonstrates creativity in identifying new opportunities and solving issues that the organization is facing.						
Communicates effectively with internal and external stakeholders to build support for the mission, vision, goals and direction of the organization.						

MANAGEMENT: THE CEO...

Has established an effective organization structure, ensuring that there is management focus on key functions necessary for the organization to deliver on its mission.						
Delegates effectively to members of the senior management team and other staff.						
Clearly articulates priorities and ensures management focus and accountability around addressing priorities						
Solicits feedback from the organization's stakeholders including employees at all levels as input to the direction and operation of the organization.						
Regularly delivers a consistent message to all stakeholders regarding the vision, mission and priorities of the organization.						
Ensures the work of the organization is supported by effective processes for planning, communicating, measuring, governing, delivering quality and providing for a safe work environment.						
Ensures there are clear policies established for how the organization and its employees will operate.						

WORKING WITH THE BOARD: The CEO...

Understands the organization's requirement for governance practices and supports the Board in its governance duties by providing necessary information and access to people.						
Has a strong working relationship with the Board Chair.						
Has a strong working relationship with Board Directors.						
Updates the Board regularly on plans, performance, issues, and opportunities.						
Ensures the Board receives information destined for outside stakeholders before it is communicated to them.						
Helps educate the Board on the organization.						
Executes direction that is provided by the Board of Directors.						
Helps the Board of Directors identify the organization's assets and to ensure that these assets are protected legally and physically from outside threats.						
FINANCIAL MANAGEMENT: The CEO...						
Has a solid, up-to-date understanding of the organization's income statement, balance sheet, cash flow and other financial measures relevant to its business and financial situation.						
Is supported by a qualified and competent CFO or other finance officer who has day to day accountability for managing and monitoring the organization's finances.						
Understands the concept of value creation and makes decisions on where to allocate resources based on maximizing value to the organization.						
Ensures that the organization's financial records are accurate and up to date.						

ACCOMPLISHMENTS

List the CEO's major accomplishments over the past year, then identify the traits/skills the CEO exhibited in making them happen.

Accomplishments	Traits/Skills
1. _____ _____ _____.	_____ _____ _____.
2. _____ _____ _____.	_____ _____ _____.
3. _____ _____ _____.	_____ _____ _____.
4. _____ _____ _____.	_____ _____ _____.
5. _____ _____ _____.	_____ _____ _____.

GOALS

List the CEO's key goals for the past year and the status of achievement of each.

Goals	Status
1. _____ _____ _____.	_____ _____ _____.
2. _____ _____ _____.	_____ _____ _____.
3. _____ _____ _____.	_____ _____ _____.
4. _____ _____ _____.	_____ _____ _____.
5. _____ _____ _____.	_____ _____ _____.

OPPORTUNITIES TO INCREASE PERFORMANCE

List the areas where the CEO could improve personal performance how those areas could be developed.

Development Opportunities	Resources/Plan
1. _____ _____ _____.	_____ _____ _____.
2. _____ _____ _____.	_____ _____ _____.
3. _____ _____ _____.	_____ _____ _____.
4. _____ _____ _____.	_____ _____ _____.
5. _____ _____ _____.	_____ _____ _____.

PERFORMANCE GOALS – UPCOMING YEAR

List the CEO’s key goals for the organization in the upcoming year and an outline of how each goal will be accomplished.

Key Goals	Resources/Plan
1. _____ _____ _____.	_____ _____ _____.
2. _____ _____ _____.	_____ _____ _____.
3. _____ _____ _____.	_____ _____ _____.
4. _____ _____ _____.	_____ _____ _____.
5. _____ _____ _____.	_____ _____ _____.

CEO's Comments

2007-08 Goals and Leadership Behaviors

Goals

- Development and implementation of long-term financing and development plan for outreach, including leveraging strategies for other agencies/groups.
- Solid collaboration/participation of stakeholders in Phase II of the Grant Delivery System and completion of the comprehensive communication plan for Phase II.
- Development, in collaboration with appropriate stakeholders, of a strategic plan with respect to the future of CalSOAP, including resolution of the meetings and role of its Advisory Committee.
- Hiring of an internal legal counsel and chief internal auditor for the Commission.
- Priority attention to an internal auditing plan for high-risk areas within the Grant Program.
- Continued focus on hiring, retention and training of employees.
- More effective use of the Loan Advisory Council.
- The development of a comprehensive plan to education new legislative members and Administration officials on the Commission's mission, goals and programs.
- Development/implementation of a specific communications plan for stakeholder groups.
- Facilitation of communication with GAC by appointment (and subsequent process evaluation) of someone within the Grants division as staff liaison for arrangements with GAC, for example, timing of meetings, agendas, timely distribution of materials, etc.

Leadership Behaviors

Communications

- Approach disputed issues in a noticeable mode of listening and finding common ground for resolution/compromise.

- Signal to stakeholders interest in their issues by being available, insofar as feasible, for their conferences/meetings/personal contacts.
- Facilitate agreeable and timely solutions in situations that involve conflicting and competing demands by applying conflict resolution skills.
- Demonstrate and promote, verbally and by behavior, the desire for collaboration among staff, peers and stakeholders and their workgroups.

Personnel Management

- Continue the focus on proactively staffing/managing resources to ensure consistent/timely operations of processes.
- Identify and sustain a culture which promotes continuous quality improvement through review and evaluation of processes and procedures.
- Delegate responsibility, authority, accountability to the extent it is prudent, including action on issue of more effective use of GAC expertise.
- Expand the focus on on-going training of new staff in positions critical to the core of CSAC's mission.

**Recipients of Performance Evaluation Survey
July 2007**

1. Members of the California Student Aid Commission
2. Senior Staff of the Commission (Chief Deputy and Division Chiefs)
3. Random sample: 10 percent of CSAC civil service employees, including managers, but excluding civil service personnel who work for EdFund

4. President of EdFund

5. UC Representative
6. CSU Representative
7. CCC Representative
8. AICCU Representative
9. CAPPs Executive Director
10. K-12 Representative

11. Grant Advisory Committee Chair
12. Loan Advisory Council Chair
13. CalSOAP Advisory Committee Chair

14. CASFAA President
15. CCCSFAAA President
16. CLFE President
17. CPEC Executive Director

18. Governor's Office
19. Secretary of Education Office
20. Department of Finance
21. Legislative Analyst's Office
22. Legislators:

 Senate: Rules Committee Chair
 Subcommittee #1 on Education Chair
 Budget and Fiscal Review Committee Chair

 Assembly: Speaker
 Higher Education Committee Chair
 Budget Subcommittee Chair

23. California Superintendent of Public Instruction