



## **I. OVERVIEW**

Performance management is an essential and required supervisory process to communicate expectations, identify goals, provide feedback, plan work, acknowledge contributions and plan professional development and training activities for Officers of Administration (OAs).

The performance management process also includes corrective discipline as described in procedure XXX.

## **II. DEFINITIONS**

**Performance Management:** The entire process of managing performance through the course of a year, from initial goal setting to a year-end written evaluation and face-to-face performance conversation, with on-going coaching and feedback in the interim.

**Performance Evaluation:** The written document that describes the body of work completed throughout the year and the results of the work effort. This typically includes assessment of performance, suggestions for improvement, goals and objectives for the year, and professional development goals and accomplishments.

**Senior leadership:** the senior vice-president and provost, institutional vice-presidents, senior vice provosts, and other positions as designated by the president.

## **III. ELEMENTS OF PERFORMANCE MANAGEMENT**

Performance management reflects a collaborative, on-going communication process between the supervisor and OA that provides opportunities for planning work, developing job skills and knowledge, and assessing performance. The university encourages open communication that identifies strengths and accomplishments as well as opportunities for improvement. Elements of the performance management process typically include:

- Reviewing the OA's job description or portfolio of responsibilities and revising as appropriate;
- Developing performance indicators, outcomes, or expectations;
- Setting goals collaboratively, including professional development goals;
- Providing regular coaching and feedback;
- Providing an opportunity for self-assessment, a written performance evaluation and a face-to-face performance conversation at the time of the annual written evaluation.

## IV. PERFORMANCE EVALUATIONS

### A. PERFORMANCE EVALUATION FREQUENCY & TIMING

Performance evaluations are required to be performed annually. The timing of the performance evaluation cycle may vary from unit to unit within the university, based on operational needs. Leadership in each department or division has the authority and responsibility to determine and communicate the timeline as well as to establish deadlines to allow for timely completion of the evaluations within that unit.

### B. PERFORMANCE EVALUATION RESPONSIBILITIES

The OA receiving the evaluation is responsible for:

- Setting annual work and professional development goals in collaboration with his or her supervisor, manager or department head.
- Identifying any obstacles to achieving performance goals and communicating those obstacles to the supervisor.
- Providing a self-assessment that summarizes progress towards goals and results (optional but strongly recommended).
- Providing a clarification, response or rebuttal statement to accompany the evaluation (optional).

The supervisor, manager or department head conducting the evaluation is responsible for:

- Establishing and communicating the strategic goals and operational direction of the department.
- Providing assistance to the OA in setting appropriate work and professional development goals. This could include prioritization of goals and explanation of how they will be weighted and evaluated.
- Providing ongoing feedback regarding work performance.
- Providing reasonable support and resources for completion of work and performance goals.
- Providing constructive performance evaluations that include both face to face discussion and written documentation. In collaboration with the OA, ensuring the OA's position description is up to date and accurately reflects their duties.

Senior leadership is responsible for:

- Monitoring performance management activity to ensure that the OAs in their area receive regular, consistent, and fair evaluations.
- Clearly communicating any additional required approval steps for performance management (including discipline) actions taken within their portfolios.

The Office of Human Resources (HR) is responsible for:

- Setting clear procedural guidance for performance management.
- Tracking annual performance evaluations and providing reports on completed evaluations to members of senior leadership.
- Providing tools such as performance evaluation formats.
- Providing consultation and training in performance management.

### **C. PERFORMANCE EVALUATION FORMATS**

HR will provide performance evaluation templates and guidance on its website. Units may modify evaluation forms in consultation with HR. It is expected that unit leadership will use the same format consistently among OAs with similar responsibilities. The OA and the supervisor should both sign the evaluation to indicate it has been completed. If an OA refuses to sign the performance evaluation, the supervisor will note the refusal on the completed performance evaluation.

### **D. PERFORMANCE EVALUATION REBUTTAL**

OAs are entitled to submit written responses or rebuttals to their evaluations, as well as relevant attachments, for placement in any personnel files in which the performance evaluation is placed.

## **V. COMPREHENSIVE EVALUATIONS**

A Vice President may designate positions within his/her portfolio to be subject to a comprehensive evaluation. These evaluations are normally reserved for positions at the Director/Associate Dean/Assistant Vice President level and above.

The interval for these evaluations should generally not exceed five (5) years and should be determined by the scope of the OA's internal and external responsibilities, however, an annual evaluation between the OA and supervisor regarding goals and work issues is still expected during years in which a comprehensive evaluation is not completed

These extensive and in-depth evaluations are typically conducted by a committee that prepares a final report for the supervisor of the OA. The purpose of these periodic in-depth evaluations is to gather input from a range of organizational levels and perspectives to assess the OA's performance and to identify strengths, challenges and professional development opportunities.

Guidance for these reviews shall be maintained on the HR website.

Academic Executive Administrators shall be subject to the evaluation process outlined in UO Policy 01.00.21.

## VI. ADDRESSING PERFORMANCE CONCERNS<sup>1</sup>

### A. VERBAL COACHING

A supervisor and OA should always strive for open communication that identifies issues, allows both parties to be heard, and builds a plan for resolution. It is ultimately the responsibility of the supervisor to ensure that expectations have been clearly communicated. It is strongly recommended that oral coaching sessions are followed by an informal written communication, such as an email, that summarizes the cogent points of the discussions and reiterates communicated expectations.

### B. LETTER OF CLARIFICATION

A letter of clarification is a non-disciplinary, written coaching document that outlines a supervisor's concerns and provides a framework by which an OA can improve performance or remedy deficiencies. A letter of clarification is typically preceded by a conversation that outlines a supervisor's concerns and allows the OA an opportunity for input or explanation. Supervisors wishing to issue a letter of clarification should consult with HR. Templates for letters of clarification are maintained on the HR website.

### C. PERFORMANCE IMPROVEMENT PLAN

When less formal methods of addressing performance concerns have failed, a supervisor may choose to initiate a formal Performance Improvement Plan (PIP).

A Performance Improvement Plan (PIP) is a supervisory tool to provide OAs with the opportunity to succeed while still holding them accountable for past performance. A supervisor cannot pursue termination for cause due to performance issues without first implementing a PIP.

Supervisors considering implementing a PIP must consult with HR.

The following steps will assist supervisors in establishing a PIP for OAs.

#### Step 1: Document Performance Issues

In documenting the main performance issues, the supervisor should be objective, factual and specific and provide facts and examples to further clarify the severity or pattern of performance concerns and may include the following:

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<sup>1</sup> Performance issues should be addressed through the OA Performance Management Procedure, however the OA Performance Management Procedure and OA Corrective Discipline Procedure are not mutually exclusive, which means that behavior that constitutes a performance issue and a policy violation may be addressed through both processes at the same time. The fact that behavior is being addressed through both processes does not mean that one process is impacted or delayed by the other process. Therefore, for example, if an employee engages in repeated violations of the same policy, that employee may be subjected to termination. This is true even if the employee is in the middle of a performance improvement plan.

- Employee information.
- Relevant dates.
- Description of performance discrepancy or gap.
- Description of expected performance.
- Description of actual performance.
- Description of consequences.
- Plan of action.
- Signatures of the supervisor and the OA.
- Evaluation of the plan of action and overall performance improvement plan.

PIP templates can be found on the Human Resources website at <https://hr.uoregon.edu/er>.

### **Step 2: Develop an Action Plan**

Next, the supervisor needs to establish a provisional action plan for improvement, which may be adjusted based on OA feedback in the meeting. Making the process collaborative can help in identifying areas of confusion or misunderstanding on the OA's part and can encourage ownership of the issue(s) by the OA. This action plan should include specific and measurable objectives which are relevant to the underlying issues and a timeline for expected improvement. When developing a PIP, it is important to clearly identify the performance issues and expectations. A PIP is expected to last a minimum of sixty (60) days to ensure the OA has had a sufficient amount of time to understand expectations and improve performance.

The supervisor determines if the OA needs any additional resources, time, training or coaching to meet stated objectives. The plan identifies what management will do or provide to assist the OA in achieving these goals.

This action plan will help set performance expectations and must include a statement about the consequences for not meeting those objectives. If termination of employment is a possible outcome, that possibility must be clearly communicated in the PIP document.

### **Step 3: Meet with the OA**

During this meeting, the supervisor must clearly lay out the areas for improvement and plan of action. The supervisor may need to modify the action plan after receiving the OA's input and feedback. After changes to the plan are made, the supervisor and the OA both sign the PIP form. If an OA refuses to sign the PIP, the supervisor will note the refusal on the PIP.

### **Step 4: Check Ins**

The OA and supervisor will establish regular follow-up meetings (weekly, biweekly or monthly), which should be outlined in the PIP. These meetings are intended for discussion and documentation of progress toward objectives. Ultimately, it is best when an OA is provided the opportunity in follow-up meetings to ask questions and seek guidance or clarification on

performance expectations. Supervisors should ensure that any potential roadblocks are discussed and that the OA has been provided the necessary tools and training for success.

Successful progress made toward the goal should be recognized as a means of motivating the OA to continued improvement.

**Step 5: PIP Conclusion**

If the OA has responded positively by meeting the objectives, the supervisor should formally close the PIP. This may occur prior to the deadline outlined in the PIP document. This should be a positive occasion for the OA, but the supervisor must be sure the OA understands that continued good performance is expected.

**Step 6: Follow Up**

The OA and supervisor should establish a schedule for no less than two meetings within the 12 months following the successful completion of a PIP. These meetings allow opportunities to answer any questions the OA may have, review performance, and address any concerns the supervisor may have as to continuing performance standards.

**D. TERMINATION**

If an OA is unable or refuses to improve after the performance improvement plan 60 day period, or if his or her performance actually worsens, the supervisor may elect to extend the PIP time period or pursue termination for poor performance. An OAs failure to successfully complete a PIP as provided for in this procedure shall be considered cause for termination. OAs terminated for cause pursuant to this provision are entitled to at least 30 days advance notice of termination after the completion of the PIP period. Thus, the termination of an OA for poor performance pursuant to this provision takes a minimum of 90 days (60 day PIP period and 30 day advance notice). Terminations are subject to requirements provided for in OA Corrective Discipline Procedure XXXX.

An OA who successfully completes a PIP but then exhibits poor performance in the same areas covered in the PIP within 12 months after the PIP was completed may be terminated for poor performance with 30 days advance notice and without the initiation of a new PIP.

The termination of athletic coaches for poor performance is not covered by this procedure. Notice periods for coaches will be provided for in their notices of appointment or agreement.

Supervisors must consult with HR prior to issuing the notice of separation. Deviations from this process that do not substantively impact an OA's opportunity to improve their performance shall not have an impact on the ability to sustain a termination under this section.

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## RELATED RESOURCES

**01.00.21: Review of Academic Executive Administrators**

<https://policies.uoregon.edu/content/review-academic-executive-administrators>