

Ohio University Performance Management Process Guidelines

Policy 40.005: Performance Management for Administrators requires “Supervisors shall establish and record annual performance goals and expectations with their direct reports as early as possible in the performance cycle or when directed by their department or planning unit. Before the end of the performance cycle, supervisors, including temporary or interim supervisors, shall complete a formal year-end evaluation. Excluding executive level positions, all evaluations shall be reviewed and signed by the supervisor and the second level supervisor or designee as specified in operational guidelines.”

These guidelines are designed to provide detailed information and guidance regarding the performance management cycle.

Evaluations shall be completed annually for each employee. The official form that shall be used for all staff in annual goal setting and evaluation is located at <https://www.ohio.edu/hr/hire-manage/performance-management>. Other important information such as unit specific timelines, links to training, and other resources can also be found on UHR’s Performance Management webpage.

Planning Unit and Departmental Considerations and Support:

As each planning unit and many departments are operationally unique, OHIO’s performance management system is designed to provide flexibility to meet the needs of each unit. Unit leadership should develop a plan to conduct performance management activities throughout the year. **The unit’s HR Liaison can provide consultation regarding best practices and advice on how to best tailor the program to meet the needs of the unit.**

In developing the plan, the following should be considered:

- How unit leadership will communicate overall direction and unit goals to employees
- Whether or not the unit will require or strongly encourage that supervisors and employees participate in the Performance Management training series.
- How many levels of supervisors should be involved in determining and/or approving goals for individual employees
- The appropriate frequency for coaching and feedback sessions, check-ins, or more formal mid-year reviews or assessments
- When employees should complete their end of the year self-assessments
- How the unit will conduct performance calibration sessions and who should be involved in each session
- When supervisors should review employee self-assessments and how many levels of supervisory review should be involved
- When supervisors should meet with employees to review completed annual evaluations
- Who will be responsible for collecting completed, signed evaluations and coordinating inclusion into appropriate personnel files
- Who will be holding supervisors accountable for the timely completion of reviews for all employees

In an effort to provide supervisors support in conducting effective, on-going performance management activities, UHR has developed a 3-part training series. Supervisors, including interim or temporary supervisors, shall complete the training series. Details regarding the content of these sessions are available at <https://www.ohio.edu/hr/hire-manage/performance-management>.

Recommended Steps to Follow:

The following steps are highly recommended to follow during the performance management cycle.

Goal Setting: Refer to [“Writing Performance Goals”](#) for tips and guidance on writing goals. The performance management form shall be used to record formalized goals.

- **Step 1:** Leadership shares department goals and priorities for coming year with employees, asks employees to identify ways in which they can help the department meet goals, based on their job duties.
- **Step 2:** Employees identify 3-5 individual goals that will help the department meet its goals for the coming year. Using SMART guidelines will help to ensure that goals are Specific, Measureable, Attainable, Relevant and Time-bound.
- **Step 3:** Supervisors provide input and guidance on content and structure of employee goals. The supervisor ensures that employee goals support department goals and that the employee is focused on the “right things”. It is acceptable for supervisors to prescribe goals or focus areas. All goals are to be reviewed and approved by supervisors.
- **Step 4:** Supervisors and employees should review employee job description to make sure it is consistent with the work that is required to achieve goals. Goals do not need to reflect all elements of the job description, but they do need to align with the primary nature and scope of the employee’s job.

Ongoing: Coaching and Feedback: The Tool [“Performance Check-In Discussion Planning Worksheet”](#) is an optional way to help plan and guide coaching and feedback discussions.

- Supervisors and employees monitor performance throughout the year. Employees ask questions as needed to ensure consistent understanding of expectations. Supervisors provide regular feedback on what is going well and what could be improved. Using BEST or another simple feedback model helps improve feedback quality.
- In addition to ongoing communication and feedback, supervisors and employees participate in periodic “check-in” meetings to discuss progress, recognize accomplishments, identify opportunities for improvement, provide support, and/or clarify/reassign priorities if needed. Check-in meetings are informal. Dates of check-ins can be recorded on the performance management form.

Year End Evaluation

- **Step 1:** Towards the end of the performance cycle, the employee completes a self-assessment of his or her progress against the 3-5 goals or priorities that were identified, documented and discussed throughout the performance cycle. Self-assessment comments and ratings are submitted to the employee’s supervisor for review.
- **Step 2:** Supervisors review self-assessment comments and ratings, ask for additional information from employees, clients, indirect supervisors, etc. as needed, then provide ratings and evaluations based on employee performance throughout the year. Ratings of inconsistent or unsatisfactory performance should be supported by written comments.
- **Step 4:** Upon completion of written year-end evaluations, ratings and appraisal forms are consolidated and reviewed as determined by Planning Unit Leadership prior to being discussed with employees. Planning Units and Departments conduct [Performance Calibration Discussions](#) and supervisors make any appropriate adjustments to the final evaluation.
- **Step 5:** Supervisor discusses Year-end Evaluation with employee. Employee and Supervisor acknowledge discussion by signing the evaluation form. Employees who disagree with comments or ratings can express concerns in writing.
 - Evaluations are sent to the supervisor’s supervisor or second-level reviewer designee for review and signature.

- Completed performance evaluations:
 - A signed copy should be sent to University Human Resources no later than 60 days after the unit's scheduled due date for final evaluations.

Corrective Action, Discipline and Termination Post-Probationary Period

While it is anticipated that most employees will be successful in their positions through regular goal setting, coaching, and evaluation as recommended above, it is recognized that there may be instances in which employees fail to meet expectations despite these efforts. **If a supervisor finds that an employee is failing to meet expectations after providing feedback and coaching, the supervisor should contact their HR Liaison.**

The HR Liaison will help the supervisor analyze the situation at hand and recommend appropriate actions that may be taken to help improve performance and achieve an outcome in the best interest of the university. The HR Liaison may recommend and guide the supervisor through any or all of the following activities:

- More intensive or regular 1-on-1 sessions with the employee
- More effective and clear ways to communicate and provide clarity around expectations, deficiencies, progress, and results
- Formal Performance Improvement Plans
- Disciplinary Action
- Termination

It is important to note that if an employee has directly violated a work rule, policy, or law, the unit's HR Liaison should be contacted immediately to explore the appropriate disciplinary action.