

October 2011

## 4.307 Performance Management

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### Recommended Citation

"4.307 Performance Management" (2011). *4.300 Staff Development (Human Resources)*. 2.  
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Type of Policy <input checked="" type="checkbox"/> <b>University</b> <input type="checkbox"/> <i>Campus</i> <input type="checkbox"/> <i>Department/Unit</i> <input type="checkbox"/> <b>Interim</b>		<b>Performance Management</b>  <b>Policy 4.307</b>	
<b>Human Resource Policies</b>		Effective date: <b>October 25, 2011</b>	
<b>Policy History:</b>	<b>Approved by:</b>	<b>Resolution #</b>	<b>Date:</b>
Approved	Chancellor	N/A	October 25, 2011
Revised			
<b>Responsible Office:</b>	<b>Responsible Administrator:</b>	<b>Contact information:</b>	<b>Applies to:</b>
Office of Human Resources	Director of University Human Resources	937-769-1375	All Employees, except Faculty and those members of a recognized collective

## I. Introduction and Purpose

Antioch University (“AU” or the “university”) is committed to fostering a collaborative and high performance work culture. To achieve this, we strive to provide each employee with clear performance objectives, ongoing coaching and feedback, professional development, and recognition for outstanding work. AU has established a system of performance review for all employees. This system of “performance management” is used for the purpose of transfer, promotion, demotion, merit increases, retention, supervisory assistance, training and development and future employment references.

Employees who are members of collective bargaining units will be reviewed in accordance with the terms of the applicable collective bargaining agreement. Faculty evaluations are conducted in accordance with the Faculty Performance Review Policy # 5.317.

## II. Performance Management Guiding Principles

An effective performance management system:

- A. Requires a shared responsibility between supervisor and employee in which the employee takes responsibility to work diligently to perform in a manner which meets or

exceeds expectations of the university, and the supervisor takes responsibility to inform the employee of those expectations and any deficiencies.

- B. Clarifies and aligns performance objectives with university, campus and departmental goals and institutional values.
- C. Includes feedback and coaching concerning job performance.
- D. Identifies training and professional development needs.
- E. Measures and documents performance.
- F. Provides context for human resource decisions (e.g. compensation, recognition, etc.).

### **III. Key Foundational Elements**

The university supports flexibility in performance management systems; however, every system must include the foundational elements listed below.

- A. **Performance planning** – Clear performance objectives should be identified and communicated at the beginning and throughout the performance cycle. These performance objectives should align with university, campus and departmental goals and institutional values.
- B. **Coaching** – Supervisors should use coaching to help employees develop and use their talents for individual and institutional success. Coaching should occur on a regular basis and include a discussion of professional development.
- C. **Feedback** – Feedback is information about observed behavior that is appreciative or constructive. It is often helpful for employees to receive feedback from more than one source. For example, other administrators, peers, and direct reports can provide important feedback to supplement the supervisor’s observations.
- D. **Performance review** – This is the culminating written communication of the performance cycle, focusing on areas of achievement, areas for improvement, and goals for the future.

Supervisors have some flexibility to customize the performance management system in consultation with the Director of the Office of Human Resources (“HR”).

### **IV. Performance Review Guidelines**

The performance review component warrants particular guidelines due to its significance in providing data for critical human resource decisions.

- A. All Supervisors must complete an initial performance review within 7 calendar days of the end of the employee’s initial review period (“IRP”), whether for an initial, transfer, or

promotional position, unless terminated during the IRP. See the Initial Review Period Policy # 4.301 for more information.

- B. All employees should receive a performance review at least annually and prior to April 30<sup>th</sup>. Supervisors may conduct additional reviews as needed.
- C. Performance reviews must be discussed and signed by the supervisor and employee. The employee should receive a copy in writing or electronically, and a copy must be retained in the employee's personnel file. Employees' signatures indicate that the performance review has been discussed with them. It does not imply agreement with the performance review.
- D. Performance reviews do not constitute terms or conditions of employment.
- E. The performance review should include the employee's self-review and a review by the employee's immediate supervisor.
- F. The performance management process also seeks to identify performance gaps (differences between expected performance and actual performance). Specific goals for performance enhancement and improvement should be outlined at review time and should also be a continual and ongoing process between review periods. Performance management seeks to develop the employee both personally and professionally. Performance management is a two-way interactive process with the supervisor assessing performance with the employee and identifying standards, expectations and performance goals. Performance management process is a critical element in identifying training and development needs.
- G. Any substandard performance review will be followed by additional reviews of performance at 3 months and 6 months intervals following the substandard review. Other scheduled evaluations can substitute for the follow-up reviews of below satisfactory performance as needed on a case-by-case basis for maximum effectiveness with an end goal of assisting employees to be successful in their roles. Supervisors may utilize a written Performance Improvement Plan (PIP) to document areas of deficiency, standards and expectations, time tables for improvement, resources for improvement and consequences for failure to meet expectations. An employee who is on PIP at the time of contract renewal, is not eligible for a successor one-year contract, and instead, shall be issued a contract for the term of the PIP. If performance improves to a satisfactory level at the conclusion of that contract and PIP, the employee will be eligible for a contract for the balance of the year.
- H. AU embraces the practice of progressive discipline as per the Corrective Action and Discipline Policy # 4.617. Unsatisfactory performance or behavior is ordinarily counseled progressively by verbal warnings, written warnings, suspension/probation, non-renewal, and termination. Some actions may be so egregious that they warrant dismissal on first offense, such as refusing to do work, insubordination or deceitful conduct. Reasonable efforts will be undertaken by appropriate authorities to assist employees in narrowing the gap between unsatisfactory performance and satisfactory performance when possible and in accordance with the Corrective Action and Discipline Policy

- I. Employees who are dissatisfied with a performance evaluation may include a rebuttal in their personnel file. However, the evaluation is not a proper subject for an employee grievance. Employees who feel they have been discriminated against in violation of the university's Affirmative Action and Equal Opportunity Policy may file a complaint under the Discrimination Complaint Policy.

### **Policy Cross References**

Affirmative Action and Equal Opportunity	Policy # 4.005
Appointments and Contracts	Policy # 4.203
Initial Review Period	Policy # 4.301
Corrective Action and Discipline	Policy # 4.617
Discrimination Complaints	Policy # 4.619
Faculty Review Policy	Policy # 5.317