UNIVERSITY OF HAWAI‘I AT MĀNOA

M9.101 Guidelines for Executive Evaluations

I. OBJECTIVE The objectives of this policy are to:

A. Provide a time table for the performance evaluation of Executives at Mānoa regarding:
   1. Developmental outcomes
   2. Leadership excellence
   3. Accountability
   4. Effective use of resources

B. Specify the procedures to be used in evaluating Executives.

II. APPLICABILITY/SCOPE

A. This policy affects the classification of employees who are excluded from the collective bargaining units and is charged with the responsibility for providing top-level leadership and direction for a school/college (e.g., Dean, Director, Vice Chancellor, etc.) or administrative/academic/student/service support services (e.g., Associate Dean, Assistant Dean, etc.).

III. DEFINITIONS

A. Executive: Classification of employees excluded from the collective bargaining units and is charged with responsibility for providing top-level leadership and direction for a school/college (e.g., Dean, Director, Vice Chancellor, etc.) or administrative/academic/student/service support services (e.g., Associate Dean, Assistant Dean, etc.).

B. 360 Evaluation: Web-based evaluation that surveys direct reports, constituents, and/or peers of the Executive employee being evaluated.

C. Annual Evaluation: Yearly meeting (month of May) in which each Executive employee meets with the appropriate supervising Executives to discuss:
   1. Accomplishments of the past fiscal year.
   2. Areas for improvement.
   3. EEO/AA initiatives and successes.
   4. Goals for the upcoming fiscal year.

D. Supervising Executive: Executive employee who directly supervises another Executive employee.

IV. RESPONSIBILITIES

A. The Chancellor will provide leadership and guidance to the Vice Chancellors and other Executive employees to ensure that the evaluation process is effectively initiated and completed.
B. The Vice Chancellors will initiate an evaluative review of their direct reports (e.g., Deans, Directors, Associate Vice Chancellors, etc.).

C. The Deans/Directors (in their role as supervising Executives) must evaluate their direct reports in the same manner.

V. PROCEDURES

A. On or before the first Monday in March of each year, the Chancellor shall issue a memo to each Vice Chancellor and other Executive employees, thereby initiating the evaluation process. (See Attachment 1). The evaluative process will include:

1. Self-assessment of no more than three (3) to five (5) pages that identifies performance benchmarks as agreed upon the prior year, and addresses the Performance Indicators reflected in Section B below.

2. Self-assessment must include a description of efforts in the areas of EEO/AA and diversity.

3. Narrative that describes leadership, vision, and goals relating to the UHM Strategic Plan and Budget Priorities.

4. Proposed outcomes and performance benchmarks for the upcoming fiscal year based on strategic leadership, vision, goals, and integration with budget plans.

B. Performance Categories and Performance Indicators, unless amended by the System level, are listed in Attachments 2 and 2a.

C. Based on their appointment period, Executive employees will undergo a 360 degree assessment (See Attachments 3, 3A, 3B, and 3C). As part of the assessment process, each Executive employee selected for a 360 evaluation will similarly conduct a 360 degree evaluation of his/her Executive direct reports.

D. Deadlines:

1. First Monday in April: Issuance of 360 degree evaluation for selected Executive employees.

2. After 14 days: Deadline for evaluators to complete 360.

3. After 17 days: Results issued to appropriate supervising Executives.

4. End of April: Executives submit Self-Assessment, EEO/AA efforts, Narrative on leadership, and proposed outcomes for upcoming fiscal year to appropriate supervisors.

5. Month of May: Evaluation meetings scheduled between supervising Executives and direct reports to:

   1. Discuss performance evaluations
   2. Identify developmental activities or target areas for improvement/focus.
3. Establish performance benchmarks and outcomes for the following year.

4. Discuss recommended performance rating.

6. First Monday in June: Vice Chancellors submit to the Chancellor the recommended Evaluation ratings for each Executive as well as for his/her direct reports.

7. Middle of June: Chancellor submits recommended performance evaluation ratings to the President.

VI. REFERENCES

A. The Board of Regents’ Policy, Executive Employees, Part IV, Conditions of Service, Performance Evaluation, Section 9-14; Evaluation of Board of Regents’ Appointees, Section 9-15; and

B. Executive Policy E9.203, Evaluation of Board of Regents’ Appointees sets forth the evaluative purpose of evaluating the Board of Regents’ Appointees of the University of Hawai‘i.
Executive Evaluation Timeline

First Monday in March
Memo from Chancellor initiating the evaluation process

First Monday in April
Issuance of 360 Degree Evaluation for selected Executive employees

After 14 Days
Deadline for evaluators to complete 360 degree Evaluation online

After 17 Days
Results are issued to appropriate supervising Executives

End of April
Self Assessment, EEO/AA efforts, narratives, and proposed outcomes due to supervisors

Middle of June
Chancellor submits recommended performance evaluation ratings to the President

First Monday in June
Vice Chancellors submit recommendations to Chancellor

May
Evaluation Meetings between Executives and direct reports
MEMORANDUM

TO:        Vice Chancellor Kathy Cutshaw
          Vice Chancellor Francisco Hernandez
          Vice Chancellor Gary Ostrander
          Interim Vice Chancellor Linda Johnsrud

FROM:      Virginia S. Hinshaw
          Chancellor

SUBJECT:   2007-2008 Evaluation of Executive Employees

Pursuant to Board of Regents' Policy Chapter 9-14, Executive Personnel Policies, all executive personnel shall be evaluated for performance and accomplishments annually. This evaluation should include a review of how well the duties are being performed in relation to the assigned scope of responsibilities and to the criteria listed in the Performance Indicators for Evaluation of Executives and the Performance Categories. The results of the evaluation shall be the basis for reappointment as appropriate and for consideration of salary adjustments as applicable and available.

As part of the evaluation process, please provide the following:

1. A self-assessment of no more than five pages regarding your performance based on identified performance benchmarks developed from last year. In addition, this statement should address your performance as it relates to the enclosed performance indicators.
2. A Self-assessment and description of your efforts in the areas of EEO/AA and diversity.
3. A narrative that describes your leadership, vision, and goals as they relate to the UHM Strategic Plan and budget priorities.
4. Your planned outcomes and performance benchmarks for FY 2008-2009 based on strategic leadership, vision, and goals and its integration with budget plans.

Please submit the above by Thursday, April 17, 2008. My office will contact you to schedule an evaluation meeting to discuss your self-assessment and performance benchmarks and outcomes projected for FY 2008-2009.

Please be advised that the recommended performance evaluation ratings of the executive employees who report to you (in addition to those executives who report to them) should be submitted to me by June 1, 2007.
Executive employees are responsible for providing the academic and administrative leadership of the University of Hawai‘i. It is through the expertise, initiative, and creativity of these individuals that the overall missions, visions and goals of the University are achieved. The Executive employees should be evaluated in a fair and consistent manner so that employees are recognized for making decisions that ensure the viability of the University.

To ensure an effective performance appraisal system, communication and input from the Executive employee is an essential component of the process.

I. PERFORMANCE CATEGORIES

- Less than Satisfactory Performance:
  (Consideration of non-renewal of appointment)

  Executive has not performed work which meets the performance criteria, as it relates to quality, quantity, timeliness, cost-effectiveness, interpersonal impact, and accountability of decision making.

- Fully Satisfactory Performance:

  An expectation that the Executive employee minimally meets this standard.

  Performs work as a fully competent Executive employee in the area of expertise and responsibility.

  Meets performance expectations relating to: quality, quantity, timeliness, cost-effectiveness, interpersonal impact, and accountability of decision making.

  Promotes collegiality, cooperativeness and consideration amongst coworkers, subordinates, peers and critical constituents.

- Superior Performance

  Exceeds performance expectations relating to: quality, quantity, timeliness, cost-effectiveness, interpersonal impact, and accountability of decision making.

  Promotes collegiality, cooperativeness and consideration amongst coworkers, subordinates, peers and critical constituents.

- Outstanding Performance

  Performs work that is outstanding in the accomplishment of program activities, projects, etc., relative to the quality, quantity, timeliness, cost-effectiveness, interpersonal impact, and accountability of decision making.
UNIVERSITY OF HAWAI‘I AT MĀNOA
PERFORMANCE INDICATORS
FOR THE EVALUATION OF EXECUTIVES

The following items pertain, with varying degrees of emphasis, to each Mānoa executive and shall be considered during the evaluation. Additional evaluative criteria may be identified by the Chancellor in reference to the specific individual and his/her unit.

1. **Planning.** A coherent strategy implementation plan that is consistent with the University and the UH Mānoa strategic plans. Articulated framework to implement a timely plan for the improvement of the Mānoa campus and the University system.

2. **Leadership/Communication.** Leadership and management effectiveness including how well one relates and communicates with internal and external constituents and cooperates with other units as well as quality decision-making.

3. **Fund-Raising.** Fund-raising productivity and cooperative relations with the University of Hawai‘i Foundation.

4. **Diversity, Equity and Human Resources.** Record of enhancement and improvement of gender and ethnic diversity of the faculty and students; enhancement of the curriculum and other program initiatives that address diversity issues. The focus will be on attitude, process, effort and commitment demonstrated in support of diversity and equity initiatives, rather than on percent changes of statistics.

5. **Service.** Responsive service to the community and profession/discipline(s). Additionally, executive's personal service to the Mānoa and University system community.

6. **Resource Management.** Resource management and accountability to maximize results and improve resources available (e.g., human resource management, space utilization, student semester hours [SSH] generated, faculty recruitment and retention, balancing of revenues and expenditures).

7. **Entrepreneurial Activity.** Entrepreneurial initiatives engaged in by the unit as part of the agreed to objectives.

8. **Curricula.** Innovative and relevant curricular or program initiatives including development of new curricula, improvement of existing curricula, and elimination of programs when appropriate.

9. **Teaching and Research Excellence.** Teaching excellence as determined by student evaluations and teaching excellence awards received by faculty, and other relevant measures when applicable. State-of-the-art research/scholarly work and productivity as determined by the number of quality publications, grants and contracts received, and other relevant criteria agreed-upon by the executive and the Chancellor. Additionally, personal record of strong research, scholarship, publication, and professional activity and achievement in the field.

Revised January 2006
Introduction:

The 360 degree assessment of Executive employees of the University of Hawai‘i at Mānoa is a development review process, intended to provide the Executive being reviewed with feedback and different perspectives and to identify areas in which leadership development would be beneficial. It is also an opportunity for direct reports, peers, and constituents to communicate information regarding the performance of the Executive to the supervising Executive in a confidential manner.

The results of the 360 degree assessment are not meant to be the sole evaluative instrument.

Note: Normally, an Executive who is to be assessed through the 360 will also conduct a 360 assessment of his/her executive direct reports. The method of this assessment will be left to the Executive.

Purpose:

The purpose of the 360 degree evaluation is to assess the Executive employee’s leadership in the areas of academic, administrative, student, and research arenas, obtaining input from individuals who have the opportunity to observe and interact with the Executive on a regular basis.

Methodology:

There are normally three (3) categories of evaluators: Direct Reports, Peers, and Constituents. The Direct Reports are those employees who work within the school or college led by the Executive. In some cases, Peers and Constituent categories may be merged to form one group.

Questions may be modified depending on the area of assignment. See Attachments 3a, 3b and 3c.

Frequency and Timing:

The 360 degree assessment is to be scheduled a minimum of once every 3 to 5 years, depending upon appointment dates and length of service.

Review Process:

The questions on the 360 assessment and the identification of evaluators will be coordinated between UHM HR, the supervising Executive, and the Executive employee being evaluated. Inputting of evaluator names will be performed by the school/college/institute support staff or the Office of the Vice Chancellor, as appropriate. The results will be provided to the supervising Executive and will be shared with the Executive being evaluated, as appropriate.
Faculty:

# Question

I. Leadership

Articulates and frames a shared vision for the future based on the strategic goals and missions for the college/school, UHM and the University.

Develops and fosters creative and innovative solutions to college/school problems.

Builds a consensus within the college/school.

Fosters a work environment that promotes and supports open, respectful, honest discussions that contribute to effective decision-making.

Creates a respectful environment in which individuals work in partnership and demonstrate teamwork at all levels.

Creates an atmosphere of trust.

Has been effective in strategic planning and implementation.

Makes timely decisions and recognizes when decisions are required.

Takes risks and embarks on new and innovative directions to improve the college/school.

Works effectively with private citizens, companies, foundations, etc. to enhance gifts and resource support.
II. Administration and Management

Develops and maintains budgets based on the strategic goals to be accomplished. Manages and allocates funds and makes budget decisions with responsibility and fairness.

Manages and makes good use of human, financial, and physical resources to accomplish teaching, research, and service goals for the college/school.

Applies the same (comparable) standards when making promotion and tenure recommendations.

Provides employees with frequent feedback about performance and attainment of goals. Provides coaching and identifies and supports training and development needs.

Is effective in resolving conflicts.

Creates and supports a friendly climate in offices and classes.

III. Communication

Effectively represents college/school to University Administration.

Effectively represents the college/school to various constituency groups outside the University.

Keeps faculty, staff, and administrators informed about issues important to them.

Promotes open communication and is accessible to faculty, staff, students, and administrators.
IV. Diversity/EE/AA

Demonstrates commitment and leadership in advancing and supporting equal employment opportunity and affirmative action programs.

Demonstrates effective recruitment, retention and promotion of members of historically underrepresented groups.

V. Student Learning

Fosters a positive and supportive learning environment for students in the college/school.

Supports the use of appropriate assessments to improve student learning outcomes.

Encourages faculty to integrate research into undergraduate teaching.

Encourages and promotes student research experiences.

Provides a safe and secure environment for students.

Supports and ensures high quality student advising and assistance to students to encourage and promote academic progress, retention, and graduation.

VI. Research/ Scholarship

Promotes and motivates faculty to achieve the highest quality research.

Strongly encourages ethical conduct for all members of the college/school.
# Question

Within the economic constraints in which he/she operates, provides adequate resources to support faculty instruction.

Within the economic constraints in which he/she operates, provides adequate resources to support faculty research.

Values and recognizes excellence in research and scholarly activities.

VII. Overall Evaluation
Staff:

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<td></td>
<td><strong>Needs Improvement</strong></td>
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# Question

**IV. Diversity/EE/AA**

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**VII. Overall Evaluation**
Peer / Constituent:

# Question

1 Effectively represents college/school to internal constituencies.

Effectively promotes college/school to outside constituencies and larger community.

Articulates the position of the college/school with clarity and conviction.

Ensures that students are educated and prepared to meet the needs of the workforce.

Listens and responds to the needs/concerns of other colleges and constituents.

Develops a positive image of his/her college/school.

Promotes cross-college/school educational and scholarly activities.

Supports innovative and creative endeavors when working with other colleges/schools, companies, agencies, and institutions.

Ensures college/school works well with other colleges/schools to enhance the college/school.

I. Overall Evaluation