



2019

Staff Performance Management Guide



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Table of Contents

Performance Management Philosophy and Objectives.....	3
Performance Management Steps.....	4
Performance Management Process.....	5
Setting Goals and Expectations.....	6
Criteria for SMART Goals.....	7
Review Milestones.....	8
Criteria for Capturing Performance Milestones.....	9
Preparing to Evaluating Performance.....	10
Writing the Annual Performance Evaluation & Ratings.....	11
Conducting the Annual Performance Evaluation Meeting.....	12
Performance Improvement Plan.....	14
Performance Management Policies.....	16
Performance Management Definitions.....	17
Frequently Asked Questions.....	19

Performance Management Philosophy

Harvey Mudd College (HMC) recognizes all employees as essential to the overall success of the College. This success is achieved by fostering a work environment in which employees are inspired to perform to the best of their abilities. HMC's performance management cycle and processes allow supervisors to set expectations for the year and to discuss each employee's potential contributions toward the achievement of departmental and College goals and objectives. To facilitate such an environment, the HMC is committed to a performance management program for all full-time and part-time employees that:

- Creates a positive and supportive work environment and culture that attracts and retains the highest caliber staff.
- Recognizes the accomplishments of staff in job performance that rewards employees based on their actual performance and commitment to the College.
- Affords all employees the opportunity for professional growth through skill development.
- Recognizes planning and performance is a two-way process that encourages consistent and transparent performance communication between supervisors and employees.
- Promotes accountability in performance evaluations through objective, job related criteria developed and understood in advance by both supervisor and employee.

Performance Management Objectives

HMC will strive to use its performance management program to accomplish the following objectives:

- Promote two way performance related communications between supervisors and employees that clarify expectations about the roles, goals, and behavioral accountabilities.
- Promote professional growth for employees by helping them in acquiring the desired knowledge and skills.
- Identify the barriers to effective performance and resolve those barriers through constant coaching and development support.

Performance Management Steps

There are five specific steps of the College's performance management program:

Step #1:

Employee completes self-assessment

Employees are encouraged to meet with Supervisor to share self-assessment

Step #2:

Supervisor/Manager completes performance evaluation. Next level Manager/VP reviews and approves before proceeding

Any reviews with an overall rating of "Significant Improvement Required" should be reviewed by Human Resources before proceeding

Step #3:

Supervisor conducts face-to-face performance review meeting with the Employee

If the Employee's job has changed, best practice is to review and provide an updated job description and review it with the employee

Step #4:

Supervisor signs review; Employee acknowledges and signs review

Supervisor finalizes and submits review to HR.

Step #5:

HR Reviews documents and places a copy in the Employee Personnel File

Performance Management Process

The three major components of the performance management process are as follows:

1. **Set Goals and Expectations**

In setting goals and expectations, supervisors and employees identify the performance goals and results expected during the academic year. The foundation of establishing performance expectations is a completed job description that is reviewed by both the supervisor and employee on an annual basis.

2. **Review Milestones**

To review milestones, both the supervisor and employee are expected to track achievements relative to the established performance goals and expectations. Together, the supervisor and employee identify the methods to track progress throughout the year and agree upon a frequency to discuss and review milestones. The supervisor also manages performance throughout the year through feedback and coaching.

3. **Evaluate Performance**

The supervisor is accountable for evaluating performance on an annual basis through a completed performance evaluation. Employee performance is both rated and qualitatively reviewed. Feedback is expected to be provided in a face-to-face meeting with the employee.



Setting Goals and Expectations

Setting performance goals and expectations require establishing what will be done, why it needs to be done, and how it will be accomplished. Supervisors are responsible for ensuring employees have a clear understanding of expectations, how they align to the College and/or department.

Key Steps in Setting Goals and Expectations

1. Ensure that the job description is current.

A review of the job description should be done every year. If duties in the position have changed, revisions should be made and forwarded to Human Resources. The employee should also review their job description and be prepared to provide you with feedback regarding changes.

2. Identify the essential job functions.

This refers to the duties that must be carried out by the position, basically the reason the position exists. Have the essential functions changed? Do some need to be added? These essential functions can be used as a guide to setting performance expectations.

3. Develop performance goals and expectations.

Performance expectations identify the results required for fully satisfied performance of job functions/tasks. It defines “how well” each task must be performed and provides a benchmark against which to evaluate work performance. Performance expectations should be set when an employee is hired, when responsibilities are changed or added, and when clarification of responsibilities is needed. Link individual expectations to the College and department goals and objectives.

4. Identify applicable performance factors.

The HMC paper-based evaluation form has twelve performance factors for all staff and two additional performance factors for all supervisors.

Criteria for SMART Goals

Employees and supervisors are most likely to achieve understanding, alignment and agreement when they work together to develop SMART goals which should meet the following criteria:

Specific	Defines results to be accomplished within the scope of the job.
Measurable	Defines metrics to determine progress in precise terms.
Attainable	Assesses if the goal(s) is achievable and within the employee's capabilities.
Relevant	Supports achievement of departmental or College goals.
Time Bound	Specifies due date or frequency of action.

In setting goals and expectations, there are several types of goals that may be incorporated into the performance evaluation:

1. Development goals - goals established for professional growth.
2. Improvement goals - goals established to correct performance that is below minimum expectations and requires performance improvement.
3. Innovation goals – inspiring goals established for creating a new process, function or program.
4. Stretch goals – ambitious goals established to challenge an employee to grow particular knowledge or skills.

Review Milestones

Performance management is a year-round process which means meetings should be held with employees throughout the year to discuss and reassess the employees' progress toward achieving goals and performance objectives. Listed below are some of the ways to capture performance.

1. Documentation

- Structured Notes
 - Supervisors are responsible for documenting employee performance throughout the year.
 - Document performance in behavioral terms, rather than inferential or judgmental.
 - Maintain copies of work that illustrate the performance dimensions being measured.

2. Feedback

- Employee's performing the job can be the best source of data on their performance. Consider any employee self-assessment appraisals or reports provided to you throughout the year.
- In addition to feedback from co-workers, customers, and others are of value such as:
 - Letters
 - Reports
 - Email
 - Third-Party Comments

3. Observation

It is recommended that supervisors observe their employees with the intent of documenting behaviors related to performance. Look for:

- Trends in performance
 - Is it steadily improving or declining?
 - Does the individual have “peaks and valleys” – spurts of excellent performance followed by extended periods of mediocre performance?
- Critical incidents
 - Outstanding successes
 - Performance events that stand out from typical behavior

Criteria for Capturing Performance Milestones

Effective tracking of performance milestones allows for timely information to be provided to the employee on both successful performance and any needed performance improvement. An easy way to track and provide specific feedback is to use the STAR approach:

Situation/Task	What was the task, problem, opportunity or challenge?
Action	What did the employee specifically say or do to handle the situation/task?
Result	What changed, for better or worse, because of the employee's actions and what was the impact or consequences of that result?

When you need to provide feedback for improvement, you will also need to describe an alternative action and the alternative result desired.

Situation/Task	What was the task, problem, opportunity or challenge?
Alternative Action	What did the employee specifically say or do to handle the situation/task that was less than effective? What is something the employee could have said or done differently?
Alternative Result	What changed, for better or worse, because of the employee's actions and what was the impact or consequences of that result? What is the enhanced result that the alternative action could have produced?

Remember to provide feedback on any performance events that you document. An employee should never be surprised with feedback at the end of the performance cycle.

Preparing to Evaluate Performance

Performance evaluations are most productive when they are collaborative, both people are prepared ahead of time and there have been discussions about performance throughout the year. The performance evaluation meeting should be a two-way conversation.

Once the employee completes his/her self-assessment, a meeting should take place between the supervisor and the employee to discuss the self-assessment. This helps you and the employee gain understanding, alignment, and agreement. To prepare for writing the performance evaluation, gather the following:

- Employee's self-assessment form
- Employee's job description
- Goals and objectives from previous performance evaluations
- Your documentation, feedback and observation notes

At least two weeks in advance, you should plan for the following:

- Be prepared – know the objectives and goals of the meeting.
- Confirm the date, time and location of the performance evaluation discussion with your employee.
- Maintain a positive focus. Help put the employee at ease by acknowledging that these sessions can cause anxiety, but the purpose is to improve performance and gather information on how you can help in these efforts.

All six parts of the performance evaluation sections must be completed, and the next level manager approval may be required to complete the performance evaluation.

Section	Area	Definition
Section I	Performance Levels and Factors	Evaluate each performance factor based on the employee's performance during the review period and provide an overall evaluation assessment.
Section II	Goals	Summarize the status of goals established during the last review period and describe the performance goals established for the coming review period.
Section III	Supervisor's Additional Comments	Enter additional comments about the staff member's performance and, if applicable, comments on performance factors not included and/or specific job responsibilities.
Section IV	Staff Member's Comments	Opportunity for the staff member to provide comments.
Section V	Signatures	Employee and supervisors sign and date the performance review.
Section VI	Reviewer's Comments and Signature	(If applicable) A reviewer may sign and comment either before or after the staff member signs and comments.

Writing the Annual Performance Evaluation & Ratings

For each competency, you must provide a numeric rating of the employee's performance. More than one level may be checked. The College utilizes the following 4-point rating scale:

Scale	Ratings	Definitions
4	Highly Effective	Contributions and high quality of work are widely recognized. The majority of performance outcomes routinely and consistently exceed defined expectations, producing important and impactful results for the department and/or College through planning, execution and creativity. Projects and objectives are completed in a manner that expands the scope and impact of the assignment.
3	Successful and Effective	The staff member is successful in performing the majority of job responsibilities and makes a solid, reliable and meaningful contribution to the department and/or College. Performance is competent, efficient and effective along established expectations. Initiative, resourcefulness and good judgment are consistently exercised.
2	Some Improvement Required/Some Success	While the staff member's performance is effective in some areas, there are other areas in which performance is inconsistent and/or falls below established expectations.
1	Significant Improvement Required	Performance is not acceptable in critical areas of the job and falls below minimum expectations. Significant improvement is needed. A performance development plan is recommended that defines performance objectives and strategies for achieving success.
0	N/A	Factor does not apply.

Use behavior feedback to support your ratings. Use specific examples and facts, not judgments or assumptions. It is best practice to provide quantitative feedback for each competency so employees can understand the behaviors that lead to successful job performance or that do not meet the expectations of performance.

Comments are required for all ratings of a 1, 2 or 4, so that employees will be provided information on how to strive for higher ratings, if applicable or clarity on highly effective performance to continue.

Conducting the Annual Performance Evaluation Meeting

The goal of the performance evaluation meeting is to meet both the professional and practical needs of the employee. Strive to ensure the employee is understood and involved in the discussion in order to reach a productive outcome. The following meeting structure is a best practice approach to follow:

1. **OPEN** with purpose and importance
 - State purpose of discussion is to discuss the employee's performance over the past year and the job expectations
 - Identify importance (impact on/benefits to person, team, College)
2. **CLARIFY** the meeting process
 - To review past performance and allow the employee to share ideas they have for development
 - To allow the supervisor to share their evaluation ratings and rationale
 - To reach common understanding, alignment, and agreement on performance
3. **DELIVER** the performance evaluation
 - Provide your ratings and rationale for performance goals and results
 - Provide your ratings and rationale for each competency
 - Share your recommendations on future goals
 - Provide your feedback on the employee's strengths and development targets
 - Provide any overall comments
4. **DEVELOP** expectations for future development
 - Seek and discuss ideas for developmental plans and activities that should be conducted during the next performance period
 - Explore needed resources/support
5. **AGREE** on each expectation, including tracking methods
 - Specify actions to be taken and by when
 - Confirm how to measure progress
 - If there is disagreement on expectations, discussion should continue involving the next level manager and/or a facilitated meeting with Human Resources.
6. **CLOSE** by summarizing and confirming confidence in the employee
 - Acknowledge your appreciation of the employee's efforts
 - Address any questions the employee has at that time

Upon delivery of the performance evaluation with the employee, both the supervisor and employee are required to sign the performance review. The employee is also provided the opportunity to add any comments to the review.

In addition, five process skills are effective to keep the discussion moving forward and to ensure that everyone understands the discussion:

Process Skill	Definition	Tips for Using
Maintain or Enhance Self-Esteem	Discussions about what people are expected to achieve are personal interactions that can increase or diminish people's self-worth. When discussing areas for development, focus on the facts and share specific examples; don't attack people, make generalizations, or guess at motives	<ul style="list-style-type: none"> • Express confidence in future achievements • Acknowledge preparation and participation • Encourage innovative thinking
Listen and Respond with Empathy	When you listen and respond with empathy, people are more likely to share their feelings about the expectations, helping you to understand their concerns and to recognize where they feel confident.	<ul style="list-style-type: none"> • Clarify and address concerns and issues • Listen to others' feelings
Ask for Help and Encourage Involvement	Involvement is the best way to build buy-in to expectations and commitment to achieving them. You, as the leader, need to shift the focus from directing others to energizing and guiding them toward success.	<ul style="list-style-type: none"> • Balance "telling" and "seeking" • Give people a say in the action • Encourage others to prepare
Share Thoughts, Feelings and Rationale	It is critical in discussions that everyone be open, honest, and collaborative. One way to ensure this is by sharing your thoughts, feelings, and rationale. You can use information that you have to explain the rationale for an expectation being higher than anticipated or for a behavior being more important.	<ul style="list-style-type: none"> • Make links to the bigger picture • Share feelings and concerns
Provide Support Without Removing Responsibility	People often need the supervisor's support in developing a solid plan and implementing it successfully. However, identifying and committing to expectations is the individual's responsibility. If the goals are a big stretch, offer to provide support, such as coaching, obtaining resources, increasing authority, or removing barriers.	<ul style="list-style-type: none"> • Prompt their thinking by asking questions • Make commitments you can keep

Performance Improvement Plan

Every performance improvement plan (PIP) should address certain fundamental facts. Supervisors are required to consult with the Office of Human Resources before giving a performance improvement plan to an employee.

The following items should be addressed in every performance improvement plan.

1. Describe why the plan is necessary

This is a clear summary statement that performance is not meeting the requirements or the expectations of the supervisor. It identifies the performance gaps and/or behavioral issue that is a problem and emphasizes the need for improved performance and/or corrected behavior.

2. Identify the problem to be corrected

Identify or list specific facts (i.e. names, dates, places, persons affected, etc.) that demonstrate the performance or behavioral problem. Some of the problems may already have a history of informal or formal counseling and coaching behind them. Such history should be described and enumerated. Some issues may be connected to a progressive disciplinary process that is in the works. Such information also needs to be included in the PIP.

Regardless, the PIP needs to be specific and factual (i.e. not hearsay, opinions, generalized or vague references). This is the place to talk about the importance of the work and link it to the success of the employee, the department, and the mission of the College. Talk about the importance of the issue as a part of a bigger picture and its impact on others. In other words, discuss the business impact of the problem.

3. Explain what must happen and how performance will be measured.

Establish specific, measurable objectives and timelines for making progress.

Expectations must be clearly described and communicated. This should include how the employee's performance will be measured. Performance standards should have face value, be reasonable, and attainable. This piece is the central part of the supervisor's action plan. It defines and details the supervisor's expectations and works to ensure the employee understands what is expected in order for them to meet those expectations.

4. Describe what resources are available to assist the employee

The PIP should not be limited only to the things the employee must do. It should also identify what resources, materials, training, and etc. will be made available to help the employee meet the performance expectations. This could take many forms that include things like:

- training, assigned books to read, or classes to attend
- mentoring by supervisor or other staff
- job shadowing an another employee who has good command of the skills or behaviors in question
- periodic meetings with the supervisor or staff who will train/assist the employee.

5. Identify how long the PIP will be in effect

Any employee placed on a PIP needs to understand that the PIP is time-sensitive. The PIP must explicitly identify the period of time after which some level of improvement is expected. Depending on the nature of the performance or behavior issues being addressed, the amount of time allotted may vary. Generally, a PIP will be established for 90-days. If the issue is easily remedied, the time frame can be short. Supervisors may also include a renewal clause for the PIP. This would be something that indicates if satisfactory performance is not achieved during the designated time frame, the PIP will be extended. Whatever the timeline, it should be clearly understood by the employee that changes in performance and/or behavior is expected by the specified date. Supervisors must maintain active contact with the employee throughout the duration of the PIP and document this. As such, the supervisor should schedule and conduct frequent review meetings to discuss employee progress while the PIP is in effect.

6. Describe the consequences if performance is not improved.

The employee should clearly understand what the consequences are if the standards described in the PIP are not met. Options may include extending the PIP for another specified period or moving to one of the formal steps in the disciplinary process, such as a written warning, etc.

7. Other elements to include:

- Signatures – employee, supervisor, and next level manager; includes any witnesses or third party participants to the meeting in which the PIP is discussed.
- Review date(s) – date for first review meeting to discuss progress in meeting the PIP.
- Complaint procedures – options available to employees if they believe the PIP is without merit, capricious or unfounded.
- Disposition – identify all the parties who will receive a copy of the PIP; copies of the PIP are added to an employee's personnel file.

Performance Management Policies

Introductory Reviews

A new employee's first 6 months of continuous employment or an existing employee's first 180 continuous days after assuming a new set of job responsibilities are considered the "Introductory Period." During this time, supervisors will observe the employee's performance and ability to meet job requirements. During and at the end of the introductory period, the employee performance will be evaluated and a decision made concerning regular or continuing employment.

- If performance is considered satisfactory or better, the employee will be retained and become a regular employee;
- If performance is considered unsatisfactory or borderline, at any time within the first 180 days, we may decide to end the employee's employment, or we may extend the introductory period for an additional period of time to further evaluate the employee's performance and suitability for the job.

During and after the introductory period, employment is "at-will" and does not affect eligibility for benefits. Our right to terminate employment or change the terms and conditions of employment, at any time, with or without cause, as described in the At-Will Employment policy contained in this Handbook, is not altered by this policy.

Leaves of Absence

If an employee is on an authorized Leave of Absence at the time of the performance review, or has been on leave during the previous 12-month period, contact the Human Resources to determine how the situation should be handled. Generally, the performance evaluation should be completed upon return from leave and, in most cases, any salary increase will go into effect the next pay period.

Performance Evaluations

The College encourages employees and their supervisors to discuss work performance informally on a day-to-day basis. It is the College's preferred practice that a written performance evaluation be conducted at the end of the introductory period and annually thereafter for all regular employees. The frequency of performance evaluations, however, may vary, depending on the position, past performance, changes in job duties, recurring performance problems or due to the employee being away from work on a leave of absence.

Performance evaluations are conducted by an employee's immediate supervisor and reviewed by the department leader. The purpose of the evaluation is to review the employee's current level of performance, to examine the progress made since the last evaluation, and to establish goals for the employee's next evaluation. A performance review does not guarantee an increase in rate of pay. Salary increases and promotions are solely within the discretion of the College and depend upon many factors in addition to performance.

Performance Management Definitions

360 Degree Assessment

A 360-degree feedback is a method of systematically collecting opinions about an individual's performance from a wide range of individuals. This includes peers, direct reports, the supervisor, and other key contacts inside and outside the College, such as customers or vendors. The benefit of collecting data of this kind is that the person gets to see a panorama of perceptions rather than just self-perception, which affords a more complete picture.

Behavioral Anchors

Behavioral anchors are specific, easy-to-apply examples of behaviors that demonstrate the competency and proficiency level. For example, if you want to define a high level of proficiency (say level 5) in “customer service” (a competency), the behavioral anchor may be “calls customers back within 1 hour, engages customers in open dialogue, resolves customer problems before hanging up, etc.”

Competency

Competencies are the measurable or observable knowledge, skills, abilities, and behaviors (KSABs) critical to successful job performance.

Introductory Review

A review required during a new employee's first 6 months of continuous employment or an existing employee's first 180 continuous days after assuming a new set of job responsibilities. A review will be required to be completed and delivered by the supervisor at the end of the introductory period.

Job description

It is a recognized list of functions and tasks included in a particular occupation or job describing concisely but clearly the basic components of the job, the scope of assigned responsibility, authority, and autonomy as well as identifying the essential functions of the position and describes the environment in which the work will be completed. A job description also forms the basis for an appraisal of the employee's job performance.

Mid-Cycle Review

An “optional” review that a supervisor may conduct with an employee to address performance deficiencies. It provides a documentation of expectations of desired results and an opportunity for the employee to demonstrate acceptable performance. Mid-Cycle reviews must be reviewed by the Office of Human Resources prior to issuance to the employee.

Performance Evaluation

The process by which a supervisor evaluates an employee's job performance for the prior fiscal year.

Performance Improvement Plans

Plan implemented by a manager/supervisor designed to provide employees with constructive feedback, facilitate discussions between an employee and his/her supervisor regarding performance-related issues, and outline specific areas of performance requiring improvement.

Self-Assessment

A self-assessment is an employee's opportunity to provide self-ratings and narrative descriptions of their major accomplishments related to the performance goals and expectations outlined for the year. The employee can describe their major contributions and how they accomplished or did not accomplish their performance expectations. Additionally, accomplishments may include other achievements or recognition achieved during the performance year and training and developmental needs. Note: Providing the self-assessment does not negate the supervisor's responsibility to provide a performance evaluation of an employee's accomplishments to support the end of year rating.

Frequently Asked Questions

- 1. Is the performance evaluation process required for all employees?**
Yes, all staff members are required to be evaluated annually.
- 2. Are all staff employees reviewed at the same time?**
Yes, all staff eligible to receive an annual performance evaluation must receive the evaluation by May 31, 2019, unless they are in their introductory period.
- 3. How long must an employee be on the job prior to having an annual performance evaluation?**
Employees should complete their introductory period before receiving the annual performance evaluation.
- 4. What if there is a change in supervisors during the review period? Who conducts the review?**
If an employee is new to a position but has worked in another department, both the current and the previous supervisors are required to work together to complete the performance evaluation. If the previous supervisor does not contribute, the current supervisor is ultimately responsible for completing the performance evaluation.
- 5. Can staff members in my department give input on the performance evaluation of my direct reports?**
It is appropriate to solicit input from staff that are knowledgeable of the employee's work performance. How this input is represented on the performance evaluation should be agreed upon by the employees' supervisor and next level supervisor.
- 6. Are employees required to complete the self-assessment form?**
Yes, employees are required to complete a self-assessment prior to the supervisor completing the performance evaluation. The self-assessment form allows employees to summarize major accomplishments within the review period, list any activities accomplished during the review period, state goals/objectives, and provide an opportunity to address other issues. The supervisor should not delay the performance evaluation if the self-assessment has not been completed by the specified deadline.
- 7. I have only been supervising my staff for a short time, should I still complete the performance evaluations?**
Yes. Consult with the next level supervisor in completing the appraisal or Human Resources. The current supervisor is ultimately responsible for completing the performance evaluation.
- 8. Does the employee have to sign the performance evaluation?**
The employee should sign the appraisal. The employee's signature indicates only that they are aware of the contents of the appraisal, it does indicate agreement. If an employee refuses to sign, confirm in writing the date in which the appraisal was discussed and provided to the employee.

Start by explaining to the employee that her signature indicates only that she has received the evaluation, not that it constitutes agreement. There is no requirement that an employee sign the evaluation so if the employee refuses to do so, the supervisor should note that the evaluation was presented to the employee and that he/she refused to sign, and indicate the date on which it took place. The employee may wish to add comments concerning the appraisal, which should be provided electronically.

9. **If an employee is rated “Significant Improvement Required” overall, is the performance evaluation process handled differently?**

Typically, when an employee’s performance has been appraised and rated on the performance evaluation form as “significant improvement required”, the supervisor and department head should contact the Office of Human Resources and a performance improvement plan is required.