Amherst College
Office of Human Resources

PERFORMANCE MANAGEMENT
PROCESS GUIDE

Revised: February 2019
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INTRODUCTION

The Performance Management Process is one of the most important interactions between supervisors and employees, and the most important measure of employee performance. It assists in establishing mutual understandings of the responsibilities and the performance expectations associated with a position. It also provides a mechanism for employees to contribute to the achievement of Amherst College’s strategic goals and mission.

This process is also an opportunity to recognize accomplishments, highlight areas requiring improvement, and establish goals and development plans for the coming year. This ongoing process ends with a written record, which provides a basis for salary decisions.

The Performance Management Process has five components:

- Performance Evaluation
- Job Description
- Performance Plan
- Salary Increase/Merit Program
- Ongoing Performance Dialogue

The success of this process depends on our mutual understanding and use of the performance management components as an opportunity to improve our job performance and to develop our full potential. A successful performance review involves ideas, questions, and open communication from all parties involved.

This guide contains descriptions of the components of the Performance Management Process, tips to prepare for the performance evaluation dialogue, and resources to support you in your continuous development. We hope you find it useful.

Please do not hesitate to contact your Office of Human Resources at 413-542-2372 or via email, hroffice@amherst.edu with any questions you may have. We are here to support you!
PREPARING FOR THE PERFORMANCE EVALUATION DIALOGUE

The performance evaluation meeting provides the opportunity for a two-way dialogue between supervisor and employee. The dialogue should focus on the employee’s strengths and contributions, areas for improvement, and development plans. We should keep in mind that the performance evaluation form is only a tool. It is designed to assure that the evaluation process is conducted in an objective and consistent manner. The form is a means to this end, and to guide the employee in achieving maximum potential.

The real value of this dialogue is the feedback and detailed performance and professional development information provided throughout the process. Preparation is key to a successful performance review. As supervisors and employees prepare for this assessment, we all can benefit from the following tips. A PMP Checklist is also included for your convenience.

For employees:

- Prepare for the performance dialogue by completing the self-assessment
- Think about special projects, tasks or additional responsibilities you assumed during the evaluation period, and the outcome of those activities
- Think about your strengths and areas of opportunity, and how you can take a more active role in your own professional development
- Think about how your performance has supported your department, the College’s goals and the community
- Prepare a list of development activities, goals or areas in which you would like to contribute
- Ask for a copy of your position description and review it before the meeting
- Ask questions and offer ideas for projects or training and learning activities

For supervisors:

- Set aside sufficient time before the review meeting to thoroughly prepare, carefully reflecting on the events during the evaluation period
- Keep documentation (notes, emails, etc.) throughout the year, both on accomplishments and needs for improvement
- Refresh your knowledge of current employee goals, initiatives and priorities, skills and competencies, department goals and objectives, and the College’s strategic goals
- Browse through job descriptions for skills and essential functions
- Inform employees of the date and time of the meeting in advance, if possible
- Allow adequate time for the meeting, approximately one hour
- Ensure that there are no interruptions; do not answer the phone or check email during the meeting
- Select an appropriate location and avoid “barriers”, such as desks, noise, excessive heat or cold environments
- Explain the overall process and purpose of the performance evaluation dialogue before going into details; be honest and specific with evaluation remarks
- Keep the focus on the performance feedback, employee development and future plans
- Ask the employee to add comments and to provide ideas for goals, projects and training or learning activities

Note: If you are only including a narrative in the Summary Comments section of the evaluation form, please make sure that the performance factors are considered in your assessment, and that you checked the box indicating the overall performance rating in the evaluation form.
PERFORMANCE MANAGEMENT PROCESS (PMP) CHECKLIST

For Employees:

☐ Review your copy of the last Self-Evaluation Form
☐ Review your copy of the last Performance Evaluation Form
☐ Gather notes from the last performance dialogue, as well as current notes, reports, etc.
☐ Think about goals and development plans for the coming evaluation period
☐ Prepare a new Self-Evaluation Form
☐ Review your job description
☐ Confirm your performance dialogue appointment and share a copy of your Self-Assessment Form with your supervisor

For Supervisors:

☐ Review your copies of the last Performance Evaluation Forms
☐ Gather notes from the last performance dialogue, as well as current notes, reports, etc.
☐ Review employees job descriptions
☐ Set aside sufficient time to complete the evaluations
☐ Review your notes, gather feedback, and think about goals and development plans for the coming evaluation period
☐ Schedule the performance dialogue appointment
☐ Inform employees of the date and time of the meeting, allowing time for them to prepare
☐ If you are only including a narrative in the Summary Comments section of the evaluation form, please make sure that the performance factors are considered in your assessment, and that you checked the box indicating the overall performance rating in the evaluation form.

*Do not hesitate to contact the Office of Human Resources with any questions you may have about the Performance Management Process.*
SELF-EVALUATION FORM

Employee’s thoughts about performance are an important part of the Performance Management Process. The Self-Evaluation Form provides a tool for you to participate in the evaluation process. The purpose of the Self-Evaluation Form is to obtain your comments regarding job strengths, developmental needs, and actions that might be taken to improve performance.

The newly formed Performance Management Working Group updated the Self-Evaluation Form in order to ensure the self-evaluation process helps staff develop and meet their intended goals and objectives, we replaced the current form with a simplified, standard, and fewer set of questions that allow staff members to highlight contributions and progress toward goals. This new component should provide the opportunity for a genuine dialogue between the supervisor and staff member as a first step towards the final evaluation.

While not a requirement this year, it is our plan that this simplified self-evaluation will become a formal part of our performance management program. Currently, the completion of the Self-Evaluation Form is voluntary.

Your supervisor may encourage you to complete the form with specific comments. Your comments should familiarize your supervisor with your thoughts, perceptions, and expectations. Your comments should also provide an opening to discuss performance development, including areas of needed improvement and resources available for improving those areas. It should also provide your supervisor with insight regarding aspects affecting your work environment, contributions you feel you have made, and your suggestions for changes and improvements.

Self-Evaluation Form
PERFORMANCE EVALUATION FORM

The performance evaluation is only a part of an important ongoing process. An effective performance management process enables supervisors to make fair and equitable assessments of each employee’s performance and create plans and opportunities for continuous improvement and development. It also aligns employee’s actions to the College’s strategic goals, provides visibility and accountability related to performance expectations, and documents individual performance to support compensation and career planning decisions.

All employees need feedback to understand the expectations of the job and to improve their own performance and personal satisfaction. The Performance Evaluation Form is a tool used to measure individual performance using defined factors and ratings, applied fairly and consistently to all employees. Please follow this link for our Performance Evaluation form:

[Performance Evaluation Form.docx](#)

Rating Scale and Criteria

The rating scale offers a high degree of structure for the evaluation of performance. Each performance factor is rated based on the individual employee’s performance towards job expectations and established goals. The criteria utilized to describe each rating in the scale explain the assignment of the overall performance rating, and provides guidance for differentiation.

EXCEPTIONAL

The employee shows extraordinary mastery of the job and substantially exceeds the requirements of the position. This level recognizes a superior level of performance and efficiency, and exceptional contributions to the department, the College and the Community. The employee’s performance ranks at the top compared to other employees. Rating requires approval from the division’s Senior Manager.

A. Works with a high degree of independence and accuracy
B. Overall performance is superior and significantly exceeds expectations, producing exceptional results and promoting a culture of collaboration
C. Extraordinary commitment to the job and contributions are widely recognized, representing the College in a manner that reflects well internally and externally
D. Undertakes additional responsibilities and achieves results above and beyond job expectations, and is able to drive change and inspire others
E. Demonstrates outstanding judgment, skills, initiative and creativity, and approaches the job with passion and enthusiasm
F. Recognized for exceptional expertise, communication skills and leadership
G. Serves as a role model for others and exemplifies the values and qualities that distinguish the College
HIGHLY EFFECTIVE

The employee has assumed responsibilities and performed at a level consistently above the requirements of the position. This level recognizes highly accomplished performance and significant contributions to the department and the College. The employee’s overall job performance and results exceed the objectives, requirements and expectations for the position.

A. Requires minimal supervision
B. Consistently surpasses job and performance expectations in many aspects of the job
C. Demonstrates commitment to the department and the College, and promotes a positive and productive work environment
D. Volunteers for extra work or responsibilities and is willing and able to help and support others
E. Effectively manages multiple priorities, tasks and projects
F. Demonstrates distinctive understanding of the aspects of the job and is able to effectively communicate and work with others
G. Follows policies and procedures and models acceptable behaviors

EFFECTIVE

The employee has a complete understanding of and demonstrated ability to fulfill all the expectations of the position. This level recognizes fully acceptable and consistent performance, and notable contributions to the department. This is the expected level of performance and recognizes competency.

A. Requires moderate supervision
B. Meets and occasionally exceeds job expectations
C. Is reliable in attaining expected results, timely and efficient
D. Applies logic and reason successfully when making decisions
E. Demonstrates appropriate judgment and initiative in responding to and solving problems
F. Maintains up-to-date knowledge and expertise
G. Adheres to policies and time and attendance rules

ACHIEVES MOST

The employee has not demonstrated the ability to fulfill all of the expectations of the position. This may be because the employee is new to the position or is handling new tasks, and mastery of all tasks has not yet been accomplished. The supervisor will be required to develop an action plan detailing expectations.

A. Requires considerable supervision
B. Performs in an unreliable or inconsistent manner
C. Needs to better anticipate or respond effectively to routine problems or changes in direction
D. Must show initiative or judgment in responding to or solving problems
E. Needs more training and close guidance/mentoring
F. Inconsistently adheres to policies and/or time and attendance rules
G. Insubordinate or unable to demonstrate acceptable behaviors

DOES NOT MEET

The employee generally failed to fulfill performance expectations. This may be because tasks
were not completed in a satisfactory manner or required extra direction by the supervisor. The supervisor must prepare a detailed performance plan, including areas in need of immediate, significant and consistent improvement and the employee will be placed in a probationary period with periodic reviews.

A. Requires substantial supervision  
B. Negligent in carrying out responsibilities  
C. Fails to anticipate, respond to or identify routine problems or changes in direction  
D. Needs constant re-training and guidance on basic functions  
E. Habitually fails to adhere to policies and/or time and attendance rules  
F. Purposefully insubordinate  
G. Misuses or damages College’s resources  

**Performance Factors**

The performance factors represent areas of individual performance that are essential to succeed in the position, and to the success of the department. Each position has specific job expectations associated with the performance factors. We have identified twelve performance factors for all employees and seven additional performance factors for supervisors.

The twelve performance factors for all employees are:

1. Quality of Work/Work Organization  
2. Productivity/Time Management  
3. Attendance and Punctuality  
4. Dependability  
5. Initiative  
6. Communication Skills  
7. Judgment  
8. Interpersonal Relations/Customer Service  
9. Collaboration  
10. Technical Expertise/Professional Development  
11. Safety/Ergonomics  
12. Inclusiveness

The seven additional performance factors for employees with supervisory responsibilities are:

1. Supervisory Skills  
2. Initiative  
3. Leadership  
4. Teamwork  
5. Administration  
6. Professional Development  
7. Diversity and Respectful Work Environment

Each performance factor provides examples of accepted performance or behavior. The list is not exhaustive, and only includes some of the most common examples.

The comments box under each performance factor is used to explain the assessment of each factor and to provide examples. Performance factors rated *Exceptional* or *Does Not Meet* requires examples and a clear explanation of the assessment.
SMART Goal Setting

SMART goal setting provides structure to the specific tasks, projects or ideas we want to accomplish. It creates a path to accomplish objectives with clear milestones and action items that can be tracked and measured. SMART goal setting also creates transparency throughout the process, making sure that both supervisor/chair and staff member are clear on expectations and ways in which success in accomplishing a goal will be assessed.

The SMART acronym stands for:

<table>
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<tr>
<th>S</th>
<th>Specific</th>
<th>What will be accomplished? What actions will you take?</th>
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<tbody>
<tr>
<td>M</td>
<td>Measurable</td>
<td>How will the goal be measured? How much? How well?</td>
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<tr>
<td>A</td>
<td>Attainable</td>
<td>Is the goal doable? Do you have the necessary skills and resources?</td>
</tr>
<tr>
<td>R</td>
<td>Relevant</td>
<td>Why is the result important?</td>
</tr>
<tr>
<td>T</td>
<td>Trackable</td>
<td>What is the time frame for accomplishing the goal?</td>
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Instructions for creating SMART goals:

1. Staff members identify goals they would like to work on, including opportunities for professional development, using the self-evaluation form.

2. The evaluation includes a required goal for all staff members: Perform job duties and responsibilities as described in the job description.

3. The supervisor/chair identifies up to four (4) individual goals for the coming evaluation period, including:
   - Contributions towards department goals
   - Areas for professional growth (for example: leadership, public speaking, communication, technology, specialized skills, etc.)
   - Activities to support areas for professional growth (e.g. training, conferences, LinkedIn Learning, workshops, certifications, participation in committees or special projects, etc.)
   - Consideration of goals identified by the staff member in the self-evaluation form

4. The supervisor/chair and staff member discuss the goals and expectations during the evaluation discussion, and set a frequency to discuss progress.

5. Goals will be developed using the SMART criteria:
   - **S** – Specific - significant, well defined (who, what, where, when, which, why and how)
   - **M** - Measurable – qualitative (can be described) or quantitative (can be quantified)
   - **A** – Attainable - achievable, acceptable
   - **R** – Relevant – realistic, reasonable
   - **T** - Time-bound, trackable
6. Examples of **SMART** goals include:

- Research best practices for orientation programming and develop a schedule of events by the end of March.
- Ensure a smooth transition to the new building by coordinating moving services and related communications for staff, faculty and students.
- Increase the number of visitor tours by 20% by the end of the academic year.
- Meet weekly with staff members to discuss the status of projects and share information.
- Attend training on creating pivot tables using Microsoft Excel by the end of March.
- Evaluate current inventory and use of supplies, and create a plan to reduce costs and minimize waste.
- Proactively prepare materials in advance of committee meetings, and make sure that the room is ready for the meeting at the designated time.

7. Tips for goals assessment and monitoring:

- Make sure goals are clear - You may find that you have more clarity after goals are outlined and discussed. Thinking about the big picture is important, especially with long-term goals. If you are not clear about a goal or specific action item, seek clarification.
- Keep track of progress - Just as it is important to put the goals in writing, it is equally important to track progress. This can be done by using a goal tracking worksheet, an outline or a checklist. The key is to regularly check-in on progress and take note of current status vs desired end result. Consider establishing a frequency, for example, weekly, monthly every three months, etc.
- Break them down – We can make goals more attainable and realistic by breaking them down. A set of five smaller actions that will get to the goal can be more manageable and less overwhelming.
- Get/provide support – Sometimes we need help to accomplish our goals. This could be training, resources or guidance. If you need help, support, or just a cheerleader, don’t be afraid to ask for help.
- Revisit and revise as needed - The mid-year check-in is the perfect time to discuss progress and consider revisions, as appropriate.
- Stay positive - Positive thinking is a great motivator for achieving our goals. Take time to celebrate every milestone, no matter how big or small. It will build confidence and commitment, and make it easier to keep pushing to reach future goals.

**Signatures and Final Approval**

The last section of the performance evaluation provides employees and department heads the opportunity to add their comments. All evaluations must be signed by the direct supervisor and the employee and, in most cases, by the department head. **Evaluations rated Exceptional or Does Not Meet must be approved by the division’s Senior Manager.**

It is important to note that the employee’s signature confirms that the evaluation was reviewed with the supervisor, but it does not necessarily imply agreement. Employees are encouraged to add their comments and to provide examples, and to write a response to the performance evaluation if they find it necessary. All these documents become part of the employee record.
Employees need to know what is expected of them and how they will be evaluated. The job description:

- provides employees with a clear picture of the job requirements and expectations;
- outlines the necessary skills, training and education needed to be successful;
- makes sure that the duties are aligned with the College's vision and goals.

Creating a job description often results in a thoughtful process that helps determine how critical the job is, how the particular job relates to others, and forms the foundation for many important processes such as job postings, recruitment, selection, setting expectations, compensation and training.

The job description also provides a framework for performance management. The discussion of the performance evaluation is a good time to review the job description and make sure that it accurately describes the employee’s essential job functions and responsibilities.

Job descriptions can also be used to determine areas in need of training and development when expectations or requirements of the position are not being met.

Often the essential functions of the job change to adapt to the needs of the department and the College. The Office of Human Resources encourages supervisors to discuss the job description during the evaluation meeting. Copies of updated job descriptions must be sent to the Office of Human Resources along with the evaluation.

Please contact the Office of Human Resources for copies of current job descriptions or guidance on how to conduct a review of the job description. If you need to create a job description, please follow this link for our job description form:

[Job Description Form.docx](Job%20Description%20Form.docx)
PERFORMANCE PLAN

Sometimes employees need support developing skills or learning certain aspects of the job. A performance plan is a tool used to identify areas requiring improvement and to define the necessary steps to accomplish the performance goals.

If an employee receives a rating of Achieves Most, the supervisor is required to develop an action plan detailing expectations. The action plan should include specific and measurable objectives, and clear indicators for acceptable performance. The supervisor and the employee should meet frequently to assess improvement.

If an employee receives a rating of Does Not Meet, the supervisor is required to develop a detailed performance plan including areas in need of immediate, significant and consistent improvement, indicators of acceptable performance, and the necessary actions to ensure successful completion. The employee will be placed in a probationary period with periodic reviews. The plan could also include training or other activities to support the employee during this period, as well as the expectations for the periodic reviews.

Supervisors must contact the Office of Human Resources to receive guidance in the development of these plans and the completion of the necessary forms.
MERIT PROGRAM

Merit pay is a compensation methodology where base pay increases are discretionary and determined by individual performance. The goal is to provide financial recognition and positive reinforcement for continuous improvement. As a result, if an employee is an outstanding performer, they may receive more than the merit pool percentage. If the employee is not a good performer, they may receive less than the merit pool percentage.

Recognizing and rewarding high performance is a priority for the College.

During the evaluation period of **April 1, 2018 to March 31, 2019**, a ‘base raise’ will be provided in an equal percentage for all employees performing at the "Effective" level and above. In addition, an extra pool of funds will be available for supervisors to distribute at their discretion, following certain parameters, to recognize and reward strong performance. The base percentage increase and percentage available for additional rewards will be decided during our budget review process in the spring, and communicated at that time.

- Such parameters include: the impact the performance has on the department’s operation, achievement of department goals, team effectiveness, productivity, etc.
- **Please note that there is no “intended distribution” or “quota” for salary increases.**

**Important deadlines and reminders:**

- Employees interested in submitting a self-evaluation must do so before **April 5, 2019**.
- All performance evaluations must be completed, discussed and electronically approved no later than **May 10, 2019**. This will provide us the necessary time to process the salary increases and letters.
- All employees, including green deans, employees on term appointments or grant funded positions, must receive an evaluation in order to be eligible for a salary increase. **Salary increases will not be processed without an approved performance evaluation.**
- Compensation changes processed after **March 31, 2019** will include the salary increase. This includes promotions, equity/market adjustments, etc.
- Employees who have completed six months of service, between **January 4 - June 28, 2019**, and who have demonstrated acceptable performance will be eligible for a salary increase.
- Supervisors must complete an evaluation with an overall rating for employees who have completed or are expected to complete their probationary periods before **June 28, 2019**. Please contact the Office of Human Resources to receive specific instructions.
RESOURCES

Please find below a list of books, articles and webpages, with information that will help you as you prepare for the Performance Management Process, and for ongoing conversations during the year.

HR Café Collection

The HR Café Collection is a joint effort by the Office of Human Resources and the Library to provide access to books, videos and other resources to promote and support professional development opportunities. The resources available in this collection cover a wide range of topics and interests, and they are available to all employees of the College. The HR Café Collection is located on the shelves around the corner to the left of the Cafe on the main level of the library.

1. Resources for writing and conducting Performance Evaluations
   https://www.amherst.edu/mm/420564

2. Recognition and Motivation
   https://www.amherst.edu/mm/416182

3. Thanks for the Feedback - Using feedback as a tool for learning and growth
   https://www.amherst.edu/mm/414692

4. Crucial Conversations - Skills and techniques to make difficult conversations more successful
   https://www.amherst.edu/mm/414692

5. Manager’s Pocket Guide to Diversity Management - Exercises to explore diversity with groups and individuals
   https://www.amherst.edu/mm/416199

6. What If? - Short stories to spark diversity dialogue
   https://www.amherst.edu/mm/416199

7. Indispensable by Monday - Describes strategies for employees to show their value and contributions
   https://www.amherst.edu/mm/416182

Please follow this link for a complete list of books available at the Library:
https://www.amherst.edu/mm/416154

Web links to articles
1. Eight “how to” steps to prepare for a review
   http://www.halogensoftware.com/learn/how-to/how-to-prepare-for-your-performance-appraisal

2. Supervisor’s role on performance appraisals

3. Steps for a productive performance conversation
   http://www.yourofficecoach.com/topics/managing_your_boss/performance_reviews/how_to_prepare_for_your_performance_review.aspx

4. How to ace your review

5. Tips for effective feedback
   http://www.halogensoftware.com/learn/how-to/giving-effective-feedback-make-sure-to-include-the-positives

6. Keys to successful performance conversations

7. Feedforward instead of feedback
   http://www.marshallgoldsmith.com/articles/try-feedforward-instead-feedback/

8. Ten secrets to an effective performance review

9. Nine ways to manage feedback
10. The importance of self-evaluations
   http://www.dummies.com/how-to/content/performance-appraisals-why-employee-selfevaluation.html

11. What employees can do in preparation for your performance review
   http://careerplanning.about.com/od/performancereview/a/reviews.htm

12. The benefits of self-reviews