

PMP Guidelines and Policies for MTA/PSU, Unit A

University of Massachusetts Amherst

How to Use These Guidelines

The tools and procedures outlined in these guidelines were developed by a labor management committee for the benefit of MTA/PSU, Unit A members and their supervisors. This performance evaluation system incorporates many of the best practices utilized by other institutions of higher education and involves making many changes from the previous system of performance evaluation.

The Workplace Learning and Development Unit of the Division of Human Resources is available to consult with units on their needs as related to the Performance Management Program. For information or assistance, please call 545-1787.

Performance Management Program Overview

The Performance Management Program (PMP) is designed to promote an ongoing process of communication between the supervisor and the employee, focused on issues of performance, development and achieving workplace results. This new PMP uses a collaborative and developmental approach utilizing the following cycle.

University Mission & Goals and College/Unit Mission & Goals

Provide the context for performance management so that individual performance is aligned with the organization's mission and goals.

Performance Planning

Dialogue between a supervisor and employee to establish clear, specific performance expectations at the beginning of the performance cycle

Performance Documentation, Coaching & Feedback

Summative two-way discussion and written documentation focusing on employee performance: areas of excellence, goals for improvement, and development needs

Performance Review & Development

Two-way discussions, which focus on communicating about work progress and providing feedback on performance. It also involves regularly observing, monitoring and documenting performance throughout the year.

Performance Management Program Policies and Procedures

PERFORMANCE PLANNING

Synopsis:

Performance planning is the first stage of the performance management process. During performance planning, supervisors are expected to clarify performance expectations and clearly establish agreed upon goals/work priorities with each employee he/she supervises. This is also the time for job description review with the employee, especially if any changes have occurred since last reviewed.

Procedure for Performance Planning:

1. Supervisor meets with the employee.
2. Establish 3-8, collaboratively agreed upon goals/work priorities.
3. Establish criteria for successful performance of each goal/work priority.
4. Record goals/work priorities on Performance Planning Worksheet. (Included with Performance Review Form *or at web page...*)

PMP Planning Worksheet http://www.umass.edu/humres/hr_library.htm

Policies Regarding Performance Planning:

- * If a supervisor does not initiate goal and/or work priority setting the employee may develop his/her goals/work priorities and ask the supervisor to review them. If the supervisor does not respond to either the employee's proposed goals/work priorities or the employee's request for a meeting, after 90 days, the goals/work priorities proposed by the employee become the goals/work priorities for the current evaluation period.
- * If the supervisor and the employee cannot agree upon goals/work priorities, the supervisor, after discussion with the employee, shall determine the goals/work priorities.

PERFORMANCE DOCUMENTATION, COACHING, AND FEEDBACK

Synopsis:

Regular communication about performance and coaching employees for improved performance are integral parts of performance management. These communications insure that the supervisor and the employee are working in agreed upon directions.

Procedure:

Coaching and feedback may take various forms; this includes observations, informal discussions, formal meetings and written documentation. Coaching and feedback are expected to occur on a regular basis throughout the performance management cycle. It is especially important for supervisors to provide feedback on performance issues in a timely manner and to discuss performance improvements and progress towards agreed upon goals/work priorities.

Policies Regarding Performance Documentation, Coaching and Feedback

It is expected that at least one communication (meeting, phone discussion, e-mail, written review) will occur during the performance period, preferably during the middle six months. The Interim Review Form may be used to document discussion.

PERFORMANCE REVIEW AND DEVELOPMENT

Synopsis:

The Review and Development phase consists of evaluating the employee's performance, completing a written review, and conducting a two-way conversation focusing on results achieved, areas of success and/or areas for improvement, future goals/work priorities and any developmental needs of the employee.

Procedure:

PMP Review Form

1. Obtain Performance Review Form.
2. Gather any supporting documentation for the review. http://www.umass.edu/humres/hr_library.htm
3. Ask the employee to complete the **Employee Review Comments** on the **Performance Planning Worksheets** (refer to **Section 2B: Goals and/or Work Priorities** of the **PMP Review Form**), and **Section 3: The Employee Annual Self Review**.
 - a. The supervisor may also request the employee to draft **Section 7: Goals for Next Period** (for this, the employee may need a Performance Planning Worksheet to complete for the year ahead)
4. Supervisor should complete **Supervisor End Results Comments** on Performance Planning Sheets used for the past year.
5. Supervisor completes **Sections 1, 2A, 4, 5 & 6. When completing sections 4 and 5, please refer to the rating guidelines that follow on the next page.**
 - a. Supervisor may also draft **Section 7: Next Year's Goals** using a Performance Planning Worksheet to begin planning for the year ahead.
6. Supervisor and employee meet to discuss the Performance Review.
 - * If requested, the employee will receive a copy of the review before the evaluation conference. The conference should be used to evaluate the performance of the past year, focusing on areas of achievement, areas for improvement, developmental needs and goals/work priorities.
 - * Supervisor and employee may use this meeting to begin the Performance Planning cycle for the next year.
7. Employee can make comments about the review, using **Section 9** of the form.
8. The form is then sent to the intermediate supervisor for comments (if needed). (Refer to **Section 8** of the form.)
9. Gather necessary signatures. (The intermediate supervisor is not required to review the form. If it is not sent to the intermediate supervisor for comment, it does not require his/her signature.)

10. Return the original form to Human Resources, retaining copies for departmental and employee's records.

Policies regarding Performance Review and Development

- * All professional staff should have their performance reviewed in writing and with a conference at least once per year.
- * If the employee is likely to receive an overall rating of Level 1 or 2, his/her supervisor shall, whenever practicable, inform him/her of this likelihood approximately 90 days before the Performance Review is done. At the same time, the supervisor must inform the employee what specific improvement is needed in order to receive a rating of Level 3 or above on the Performance Review.
- * The employee's signature indicates only that the form has been reviewed and discussed with him/her. It does not imply agreement with the review.

RATING GUIDELINES FOR PERFORMANCE REVIEW FORM

Performance Categories and Criteria Ratings (Section 4)

Employees are evaluated using the following rating scale, from 1 – 5, for each Performance Category.

Level Description

- 5. The employee has demonstrated consistent mastery and expertise in performance.**
- 4. The employee has demonstrated consistent proficiency and effectiveness in performance.**
- 3. The employee has demonstrated competence in performance.**
- 2. The employee has demonstrated competence in some aspects of performance, but not all.**
- 1. The employee has not demonstrated competence in performance.**

Rate and record the employee's performance on each of the six performance categories (three additional categories apply only to employees with supervisory responsibilities). Add comments, which support or clarify the rating.

Overall Performance Evaluation Ratings (Section 5)

- * Rate and record the employee's overall performance.
- * Provide narrative comments, which summarize your assessment of the overall performance during this review period.
- * Confirm that the narrative overall summary is consistent with the ratings in the performance categories and the goals/work priorities results statements.

Overall Rating Guidelines

In assigning an overall rating, supervisors will want to consider the following:

Level 5: The employee has demonstrated consistent mastery and expertise in performing her or his job functions and in achieving the goals/work priorities for the evaluation period.

Employees performing at Level 5 consistently demonstrate a very high level of performance in most or every performance category and in achieving all their goals/work priorities. If this is truly the case, then say so. You should reserve such high praise for those instances when an employee has truly demonstrated mastery in most or all, critical elements of the job and their performance contributes significantly to the success of the department or the unit. The documentation for this level of performance should provide specific examples that signify an individual has performed at this level.

Level 4: The employee has demonstrated consistent proficiency and effectiveness in performing her or his job functions and in achieving the goals/work priorities for the evaluation period. Employees performing at Level 4 perform their job functions at a high level of effectiveness in several critical performance categories and demonstrate proficiency in achieving most of their goals/work priorities. This employee's performance contributes to the success of the department or unit. The narrative should reflect that in many areas, she or he is fulfilling the full range of his or her job expectations exceedingly well.

Level 3: The employee has demonstrated competence in performing her or his job functions and in achieving the goals/work priorities for the evaluation period. An employee performing at Level 3 consistently performs his or her job functions according to the standards established for the position, and achieves several to most of their goals/work priorities. An employee performing at Level 3 may occasionally either exceed or fall below the standards for the position, but overall, the employee generally performs in a competent manner.

Level 2: The employee has demonstrated competence in performing some, but not all, of her or his job functions and/or in achieving the goals/work priorities. Employees performing at Level 2 are not performing according to the standards established for the position. This may mean he or she is not performing competently in some critical performance categories or that more than one essential and important goal/work priority is not completed as expected.

Guidelines for the Use of the Performance Management Program

For Professional Staff Members of SEIU Local 509

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Be as specific as possible about where the employee needs to improve to meet your expectations. A performance plan is required to support performance improvement.

Level 1: The employee has not demonstrated competence in performing her or his job functions and/or in achieving the goals/work priorities for the evaluation period.

Employees performing at Level 1 show significant limitations in their overall ability to perform according to standards established for the position. Little or no competence is demonstrated in many of the performance categories and few of the goals/work priorities are completed successfully. Substantial and prompt improvement is necessary. A performance plan is required to address performance deficiencies.

NOTE 1:

Specific explanations must be provided for any ratings of Level **4 or 5** and specific recommendations for improved performance must be made for any ratings of Level **1 or 2**.

NOTE 2:

The overall performance rating cannot be higher than the highest rating in any of the performance categories or lower than the lowest category rating in any of the performance categories.

NOTE 3:

In the event that an employee is likely to receive an overall rating of Level **1 or 2**, refer to the appropriate language in the SEIU contract, Annual Evaluation of Bargaining Unit Members.

For More Information about Ratings for the Performance Review and Development:

PMP Handbook <http://www.umass.edu/humres/PMPHand.pdf>