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## 5.5 Performance Planning and Review

Saint Mary's College of California

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## 5.5 Performance Planning and Review

Saint Mary's College has established a Performance Management Process to structure a series of dialogues between employees and their supervisors on performance expectations, progress and accomplishments. The Performance Management process promotes a shared responsibility between supervisors and employees for performance planning and assessment, frequent two-way communication, and opportunities for professional development and continuous learning. The process is ongoing throughout the year.

The stages, procedures, and forms for this process are described and available on the Human Resources website under Performance Management, in materials available in the HR office, in training sessions from HR, and in email communications from HR. Key components of the process are as follows:

### 5.5.1 Initial Review

The Performance Management Process is designed to begin with the initial review for new employees or employees new to a position. It is typically completed by the supervisor and the employee after two (2) to six (6) months on the job. This review is designed to clarify the employee's responsibilities and objectives, give feedback on the employee's performance, and provide the structure for identifying the new employee's professional development plan. The Performance Review form documents this process. Using Saint Mary's online performance review system, the employee and manager complete the review form, and both of them sign the form electronically. The completed review is available to the employee, the supervisor, and Human Resources via the online system and becomes a part of the employee's personnel file. For more information on Saint Mary's College online performance review tool, please go to [Human Resources GAELPerform](#) (web-based reviews) page.

### 5.5.2 Performance Feedback

It is expected that coaching by the supervisor and mutual feedback between the supervisor and employee occur throughout the year; this can include reviewing expectations and progress, giving performance feedback, and holding discussions on professional development. Positive feedback and constructive feedback are especially important when adjustments need to be made.

Ideally, feedback is given close to the time when the instance takes place. Supervisors should seek multiple ways to recognize accomplishments, from a simple thank you to department recognition.

### **5.5.3 Mid-year Progress Review**

This mid-year review, normally done in December–January of each year, is designed to structure a dialogue between the employee and supervisor regarding expectations, progress, course correction, and mid-year feedback. Human Resources can provide guidance for these reviews. Supervisors wishing to conduct mid-year reviews using the online performance management system should contact the Human Resources Department. Some lead time is required to set up the process using the online system. As an alternative, supervisors may decide to conduct a mid-year review using the paper and pencil method. The completed form does not need to be forwarded to Human Resources. This type of Progress Review can be conducted more frequently if the supervisor, department or employee desires.

### **5.5.4 End of Year Performance Review**

All employees and their supervisors should complete the annual End of Year Performance Review in May-June of each academic year. This year-end review documents the employee's accomplishments for the year, provides ratings for qualitative areas, provides an overall rating for the past year, sets down goals (or begins this process) for the upcoming year, and specifies the professional development agreed upon for the next rating period. Areas of strength and areas for development should be specific. This review is designed to be a collaborative process between the employee and the supervisor.

Once electronically signed by the employee and her/his supervisor, the next level of management signs it, and the completed End of Year Review becomes part of the employee's personnel file. Employees, supervisors, and Human Resources can access the completed review at any time via the online performance review system. The Human Resources staff is available to provide guidance about the process and assistance in dealing with performance issues.

### **5.5.5 Development Plan**

Formal professional Development Plans can be created at any time in the year, although they are often developed in conjunction with the End of Year Review. Reasons why a Development Plan may be helpful include an employee’s taking on new assignments, changes in employee job responsibilities or when the employee is seeking to advance in his/her career. Development Plans can be created in the online performance review system.

### **5.5.6 Performance Improvement Plan (PIP)**

A Performance Improvement Plan (PIP) must be reviewed and approved in advance by Human Resources when the overall rating on the performance review is “Needs Improvement” or below. A PIP can also be created if there are areas marked “Needs Improvement” even though the overall rating may be “Achieves Expectations.” While often done at the time of the annual review, the PIP can be used any time performance is deficient. The supervisor should initiate this plan with the employee. The plan should clarify the improvement needed, actions to take, and a timeline for completion. Its goal is to help the employee meet the expectations of her/his position. Both employee and supervisor should keep a copy. Supervisors must consult with appropriate staff in Human Resources when developing a Performance Improvement Plan.

When salary increases are provided to staff employees, an employee who receives an overall rating of “Needs Improvement” will not be eligible for an increase. When the supervisor documents the employee performance rating as “Achieves Expectations” or better, the employee may be eligible for a non-retroactive increase.