# *Georgetown University's*

# Performance Review Process

## The Philosophy

Performance evaluation is integral to effective performance management, employee development, and good human resources management. The performance review process serves as the architecture that allows managers and employees to discuss employees' contributions toward the achievement of departmental and University goals and objectives. Through effective performance review, employees are provided constructive feedback that will help them grow and develop as professionals and individuals.

The current performance review process features self-evaluations, annual goals, and the opportunity to engage in productive discussions regarding performance. The objective of this performance review process is that supervisors and employees have meaningful and constructive reflection and dialog to provide employees with relevant, specific, and timely information about performance strengths and opportunities for improvement.

Evaluations are a powerful tool for employee development. The employee self-evaluation helps the supervisor understand what employees value in their jobs, what motivates them to do better, and how the job fits into their career goals. With that information, supervisors can engage employees in a discussion on how to achieve high performance in the position and realize career goals, whether in this position or a different position.

## How The Review System Works

The review process is designed to ensure that supervisors and employees exchange information and insight about annual performance. The feedback cycle begins with regular and on-going discussions during the ordinary course of employment between the supervisor and employee about performance. Formal evaluation points in the cycle include the:

- End of the employee probationary period (usually 3 months for non-exempt hourly positions, 6 months for exempt salaried positions and one year for AAP positions),
- Annual review (during April, May, and June for most employees), and
- Interim review (6 months following the annual review).

**The Probationary Review**

Probationary employees are reviewed towards the end of the probationary period. During the probationary period supervisors will engage in on-going discussions with the employee to set expectations and evaluate performance. If performance is not satisfactory, the employee should be counseled and the counseling documented (a copy goes to the employee and a copy stays in the employee's departmental file). If the employee exhibits conduct that merits formal discipline, the employee may be terminated – in this latter case supervisors must consult with the Human Resources Generalist.

The probationary review will result in one of three outcomes:

- *Successful completion of the probationary period.* The employee is no longer a probationary employee. This is also the outcome if the department does not complete a probationary review.

- *The probationary period is extended.* An extension is appropriate if the employee has not performed up to expectations but may be able to if given additional time, if the supervisor has not had sufficient time to assess performance, the employee has not had sufficient time to demonstrate abilities, or if the employee has performed up to expectations but needs additional time to acquire a required license or certification. Please consult with the Human Resources Generalist when extending probation. Departments can extend a probationary period by 3 months, with notice to the employee. Extensions beyond 3 months are subject to special approvals and must be requested through the Human Resources Generalist.

    Please note that special probationary rules may apply to employees who work in foreign countries or in US locations other than DC, MD or VA. In such cases please consult with your Human Resources Generalist.

- *Termination.* The employee's performance is not meeting expectations. As with any termination, supervisors must get permission from the HR Generalist before terminating a probationary employee.

**The Annual Review**

Regular and  term, non-probationary employees , are to be evaluated annually   The annual review period for staff and Academic and Administrative Professionals (AAPs) is from April 1 through March 31 of the calendar year. The annual review process is during the months of April, May, and June.   The evaluation process includes a self evaluation by each employee and a review summary completed by the employee's supervisor.

The process to conduct the annual review is as follows:

- Employee completes the Employee Annual Review Self-Evaluation form.

- Employee and supervisor meet to discuss the employee's self-evaluation, to review the status of the employee's accomplishment of goals, to exchange information regarding barriers to success and identify adjustments if necessary, and to establish goals for the following year.

- Supervisor completes the Performance Review Summary, rating performance in achievement of the prior year's goals (Exceeds, Met or Not Met), confirming goals for the upcoming year and describing areas for professional development.

- Supervisor and employee meet and discuss the performance review, performance rating and goals for next year. Supervisor modifies if needed based on conversation with employee. Supervisor does **not** discuss merit increase at this time with the employee.

- Supervisor makes recommendations for merit increases based on employee performance ratings to their Department Head, Chair, Vice President, campus budget officer or designee. (See Annual Merit Increases below.)

- Following approval of merit increases by the designated campus leader, supervisor informs employee of the merit increase.

- Department forwards completed review summaries and the employee self-evaluations to the appropriate human resources department for inclusion in the employee's permanent record.

- Throughout the upcoming performance review year, supervisors and employees meet periodically to discuss progress towards performance goals.

**Annual Merit Increases**

Merit increases for eligible employees are based on the outcome of the employee's annual performance review.  Merit Increases are effective at the beginning of the new fiscal year which starts on July 1.  Each university department receives directions from their campus budget officer or Vice President about the timeline and process for submitting merit increase recommendations.  As mentioned previously, supervisors do not discuss merit increases with individual employees until the supervisor is informed that recommended increases have been approved by the appropriate Vice President or designee.

Regular and term staff and AAPs are eligible for merit increases with the following exceptions:

  ➤ Employees hired, promoted, transferred, or demoted **prior to April 1** of a given year and still on probation at the time that annual reviews are completed are eligible to be considered for a merit increase.  However, a probationary employee must satisfactorily complete his/her probationary period before any increase is effective (i.e., there will be no retroactive payment).  The merit increase must be processed by submitting a Personnel Transaction Form (PTF) if processed outside the "normal" merit increase cycle.

    Please note that if an employee hired, promoted, transferred, or demoted prior to April 1 of a given year, and still on probation at the time that annual reviews are completed, is granted a merit increase on the regular cycle (around July 1), the employee will be considered to have successfully completed probation.  Such an action must be approved by Human Resources and should be discussed with your Human Resources Generalist.

  ➤ Employees hired, promoted, transferred or demoted **on or after April 1** of a given year are not eligible for a merit increase.  These employees will be evaluated at the end of their probationary period but will not receive a merit increase at that time.  Starting salaries for employees hired April 1 and after should take into consideration that the employee will not be eligible for a merit increase until July of the following calendar year.  Likewise, the new salaries for employees promoted, transferred or demoted on or after April 1 should take in to account that the employee will not be eligible for a merit increase until July of the following calendar year.

  ➤ Salary increases for employees represented by Allied International Union and SEIU1199 United Healthcare Workers East are negotiated with their respective Unions and these employees are not eligible for merit increases (timing of the

completion of annual reviews for union-represented employees can vary – please consult the HR Generalist for the area).

## The Interim Review

Interim reviews are conducted 6 months after the annual review, during the months of October and November. Managers meet with employees to discuss their progress toward their annual performance goals. The Interim Review process gives reviewers the opportunity to provide mid-year feedback about an employee's progress toward annual goals. Additional interim reviews may be conducted and they are strongly encouraged for employees who are failing to meet expectations.

The following is the process to be followed for interim reviews:

- Employee completes the Interim Employee Self-Evaluation Form – similar to the Annual Review Employee Self-Evaluation Form – to identify their progress towards the goals established in the prior performance review.

- Employee and supervisor meet to discuss the self-evaluation, exchange information regarding barriers to success, and identify adjustments if necessary.

- Supervisor provides a brief and concise report (a couple of paragraphs) to document the discussion and records any adjustments to the original plan, and provides a copy to the employee only. All interim reviews should be retained within departmental files. They will not be included in the employee's personnel file in the human resources department.

- Reviewer should *not* attach ratings to the interim reviews. These are developmental reviews designed to provide constructive feedback about progress toward goals, not a rating of performance.

If you have any questions or concerns about performance management, or the performance review process, please contact your Human Resources Generalist, or The Office of Training and Organizational Development.

The Office of Training and Organizational development presents several training sessions for new and current employees and managers on the Performance Review Process. (See Performance Review Training.)

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# *Georgetown University*
Performance Review

# *Q & A*

The following information will help supervisors and employees prepare for the performance review process.  Please review this information thoughtfully.

1. **As a *supervisor*, how can I prepare myself to conduct a review?**
   All supervisors should attend training in how to conduct an effective performance review. The training gives you the opportunity to understand how to evaluate performance against departmental goals and provide constructive feedback. The training also helps supervisors understand how to translate ratings into merit award recommendations.

2. **As an *employee*, what should I do to prepare to participate in my review?**
   All employees are strongly encouraged to attend training sessions on how to participate in the review process. These sessions provide much of the same information that the supervisors will learn, and also give employees an understanding of how to document and record their contributions and accomplishments.

3. **How will the highest performing employees be rewarded?**
   Employees who have contributed to the department's goals and who have met or exceeded their own goals are eligible for a merit increase.  Employees who have contributed the most and who have exceeded their own goals will receive the highest merit awards. Employees whose performance has not clearly exceeded expectations should not expect to receive the highest merit award. The merit awards should reflect the employees' performance and managers may not simply divide the merit pool equally among employees.

4. **What if I don't know my department's goals?**
   You should ask your manager.   Your individual goals are established at the time of your annual review.

5. **I'm a new manager, and I'm not sure how to handle the goals that were established by my predecessor**?
   Begin by reviewing the performance reviews completed in the previous year by your predecessor. Next read the self-evaluations your employees submit to understand their perceptions of their successes and barriers. If you have questions about how to proceed with the evaluation after reviewing these documents, please contact your Human Resources Generalist.

Be fair and be honest. Be sure that you establish specific, measurable, achievable, relevant, and time-based goals for the coming year, and that your new employees have a clear understanding of what it means to meet your expectations.

6. **Should goals be the same every year?**
Not necessarily. Some goals may change every year in accordance with the challenges faced by the University, but there also will be times when other goals are on-going or span a couple of years. Goals should reflect how an individual contributes to the success of the work unit, office, department, school, and/or the University. In addition, goals may be used to identify ways for employees to develop professionally (training and certification), acquire new skills (on-the-job learning or training), and demonstrate competencies (participation in University groups, conference attendance, or work on special projects).

7. **How is the merit pool established?**
The money available for merit increases is based on external market conditions and the financial condition of the University and its academic and administrative divisions. In recent years Georgetown University, like most other institutions, has faced financial challenges that have stretched our budgets and this year is no different.

8. **Who will approve the merit increases? What are we doing to ensure that the merit rewards actually go to the people who have contributed the most to their departments?**
The senior leaders of each department in the University review merit recommendations and discuss them with their Executive Vice President, Senior Vice President, Vice President or campus designee before final decisions are reached. The self-evaluation process provides all employees the opportunity to document their contributions and accomplishments.

9. **Will there be additional changes to the performance evaluation process in the future?**
Yes, the Human Resources Department will continue to hone the merit-based performance review system as needed. Future changes will be announced in a timely manner to provide everyone with the information they need to participate effectively in the review process.

10. **What should I do if I disagree with my merit increase or review?**
First, you should speak with your supervisor to try to resolve the issues. If necessary, you may then speak with the senior leader in the Department, who has the final say. You may also attach a written statement to your review that will become a part of your personnel record.  Your Human Resources Generalist is available to help you try to resolve issues.

11. **How can I actively 'manage' my career at Georgetown University?**
Georgetown University offers you a variety of professional development opportunities including:

- *The Professional Manager Certificate Program* (www.georgetown.edu/hr/utd)
- *Professional Development* courses such as *Career Anchors* and *The Seven Habits of Highly Effective People*
- *Tuition assistance* for university education or certificate through Georgetown University's *Center for Professional Development* (www.cpd.georgetown.edu)
- *Career counseling* and advice through the Office of Training and Organizational Development
- *Technical courses* through University Information Services (www.georgetown.edu/uis/onlinehelp/links_training.htm)

We encourage all employees to take advantage of one or more of these programs to develop new skills and competencies, create career plans, and discover how to explore career growth and development within Georgetown. The Director of the Office of Training and Organizational Development is available to advise employees and supervisors in the creation of an employee professional development plan.

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# Performance Review Training
## *Georgetown University*

The Office of Training and Organizational Development, in concert with the Office of Employment Services, conducts training for the evaluators and employees of Georgetown University in effective performance review methods and techniques. Training sessions are approximately 3 hours long, and provide evaluators and employees with the information and skills required to conduct reviews in keeping with our current philosophy and goals.

The training sessions prepare evaluators and employees to meet the objectives for reviews. The goals of the training sessions are to:

- Identify and discuss the University's performance review process and methods.
- Discuss the University's policy on providing rewards and recognition,
- Identify specific review methods such as:
  Goal setting and evaluation,
  Effective communication skills to create a supportive environment and provide constructive feedback,
  Performance planning,
  Performance documentation.

During the sessions, evaluators have the opportunity to discuss how to use the employee self-evaluation information to identify the relative contributions of their employees; conversely, employees learn how to document their contributions to the department's goals and objectives. All the training sessions provide ample opportunity for discussion and questions to ensure that evaluators and employees are well-prepared to participate in merit-based reviews.

Also, the Office of Training and Organizational Development offers courses in coaching, counseling, and setting performance standards.  Employees can register for scheduled workshops on the Training and Organizational Development site, part of the Human Resources Department web site.  Refresher performance training sessions can be scheduled with a department's Human Resources Generalist.

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# *Interim* Performance Review
# Employee Self-Evaluation Form

**Employee Name:**_____ **Date:**_____

Reflect on your own performance and contributions over the past six months, and respond to the following questions by providing concrete and specific examples for each. Give a copy of this questionnaire to your manager at least two weeks prior to your performance review session, and be prepared to discuss these issues during your review.

1. How does my performance contribute to my department's achievement of our strategic goals?

2. What is the impact of my performance on the challenges faced by my department and the University?

3. What progress have I made toward the accomplishment of goals that were set during my last review?

4. Did I complete the Promoting a Respectful Campus Community on-line training program? If not, please explain.

5. What actions or factors inhibited my performance during this rating period?

6. The new skills I developed and demonstrated are:

7. How do these skills add value to my department or the University?

8. How can my supervisor facilitate my contribution to the achievement of our goals?

9. In order to achieve my goals for this rating period I need to:

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# *Interim* Performance Review
# Supervisor Review Form

Review your employee's performance and contributions over the past six months and the employee's written Interim Self-Evaluation. Be prepared to respond to the following questions and to provide concrete and specific examples for each during your review. Subsequent to the discussion with your employee, provide the employee a brief and concise summary that will be retained within the departmental files.

1.  How does this employee's performance contribute to the department's achievement of our strategic goals?

2.  What is the impact of the employee's performance on the challenges faced by my department and the University?

3.  What progress has the employee made toward the accomplishment of goals that were set during the last review?

4.  Did the employee complete the Promoting a Respectful Campus Community on-line training program?

5.  What actions or factors inhibited this employee's performance?

6.  The new skills this employee has developed and demonstrated are:

7.  How do these skills add value to our department or the University?

8.  I can facilitate this employee's contribution to the achievement of our goals by:

9.  In order to meet performance goals this employee needs to:

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# *Annual* Performance Review
# Employee Self-Evaluation Form

**Employee Name:**_____ **Date:**_____

**Department Name:**_____

Reflect on your own performance and contributions over the past rating year, and respond to the following questions by providing concrete and specific examples for each. Give a copy of this questionnaire to your manager at least two weeks prior to your performance review session, and be prepared to discuss these issues during your review.

1. How did my performance contribute to my department's achievement of our strategic goals?

2. What was the impact of my performance on the challenges faced by my department and the University?

3. Did I accomplish goals that were set for me during my last performance review? (Please be specific.)

4. What were the actions or factors that inhibited my performance?

5. The new skills I developed and demonstrated are:

6. How did these skills add value to my department or the University?

7. How can my supervisor facilitate my contribution to the achievement of our goals?

8. My goals for next year are:

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# Annual Performance Review Summary
## *Georgetown University*

**Name:** _____

**Job Title:**_____     **Class Code:** _____     **Grade:** _____

**Department:**_____     **Home  Department # :**_____

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## *Departmental Goals*

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## Job Summary Statement

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## Levels of Performance

**Exceeds**
Represents achievement above established standards; consistently exceeds performance measures; consistently demonstrates strong performance toward goals; and makes significant individual contributions to the work of the department or the University for goals that are beyond expectations of fully competent performance.

**Met**
Represents achievement of established standards; consistently and effectively meets performance measures; consistently demonstrates acceptable performance in goals; and makes individual contributions to the work of the department or the University for the goals, as expected.

**Not Met**
Represents performance that is consistently below established standards; may occasionally meet performance measures, but improved performance is necessary.

# Annual Goals

**(Job accountabilities may be identified as one of the annual goals.)**

**Goal One:**


*Performance Measures*


a)
b)
c)

Exceeds_____          Met_____          Not Met_____

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**Goal Two:**


*Performance Measures*


a)
b)
c)

Exceeds_____          Met_____          Not Met_____

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**Goal Three:**


*Performance Measures*


a)
b)
c)

Exceeds_____          Met_____          Not Met_____

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**Goal Four:**

*Performance Measures*


a)
b)
c)

Exceeds_____          Met_____          Not Met_____

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*Comments on overall performance*

Include comments, if any, on objectives that were set during the last performance evaluation. Identify the actions that are required for the employee to meet performance standards for each of the above areas identified as "Not Met" and the time frame for accomplishment.

_____

## Overall Performance      1     2     3     4     5

1 -  Has **not** met some or all of the annual goals.
2 -  Has met most of the annual goals, but has not met one or more significant goals.
3 -  Fully met all annual goals.
4 -  Exceeded one or more significant goals and met all others.
5 -  Exceeded all the annual goals.

**Note:** Ratings of 1 or 5 require specific explanation supporting the rating.

_____
### Specific Goals for the Coming Year

_____

**Areas For Professional Development**

_____

I have provided this Review to the employee for his or her review, and I have discussed this Review with the employee.


Supervisor's Signature: _____  Date _____

*I have reviewed this Review with my supervisor. My signature reflects that I have reviewed this Review, but does not reflect my agreement or disagreement with this Review. I offer the following comments (if any):*




Employee's Signature: _____  Date _____

**Department Head's Comments**




Department Head's Signature: _____  Date _____


Salary Increase: _____


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