



PRINCETON UNIVERSITY: Office of Human Resources, 2 New South

TO: Office Heads and Chairs, Directors, and Managers of Academic Departments, Programs, Centers, and Institutes

FROM: Lianne Sullivan-Crowley

SUBJECT: Performance Management and the Annual Appraisal Process

DATE: January 27, 2012

At this time of year, we ask all managers to begin the annual performance appraisal process. We are providing the information below to help you plan for and conduct performance appraisals for each staff member.

Overview

Managing staff performance is a critical supervisory responsibility to help employees perform as effectively and productively as possible and to leverage their skills and competencies to achieve departmental and University-wide goals.

Supervisors are expected to provide both positive and constructive feedback to their employees on a timely basis throughout the year, conduct an annual performance appraisal discussion with every employee, and summarize the discussion with a written performance appraisal.

Time Frame

We ask that you complete your performance feedback discussions and assessments for the previous 12 months by early April. Managers in departments not able to complete the performance appraisal discussions by that date should contact their senior HR manager for guidance and/or to request an extension through June 30, 2012. Supervisors of unionized staff should consult the union contract or contact your senior HR manager to determine the specific appraisal period.

Process

Human Resources recommends that supervisors utilize the following five-step performance appraisal process:

1. Prepare data and feedback from your own observations over the past 12 months for all employees.
2. As appropriate, ask employees for the names of two or three other colleagues or customers who can offer feedback and provide additional perspectives about their work.
3. As appropriate, ask employees to provide a self-assessment of their performance prior to the appraisal discussion. Refer to the attached **Guidelines for Performance Self Assessment**.

4. Have a full discussion with employees about their performance over the past 12 months to provide both positive and developmental feedback with specific references to the employees' accomplishments and contributions.
 - a. Recognize achievements and identify areas for growth, improvement, and/or development.
 - b. Review any changes to the job responsibilities made over the past 12 months.
 - c. Set new goals and objectives for the next 12 months.
 - d. Engage employees in conversation on ways to improve or enhance their performance, which may include training, conferences, or special projects.
 - e. Provide employees with the opportunity to seek guidance and support to improve performance. Actively convey your support to help enhance motivation and success.
5. Finalize the appraisals after the discussions and in consideration of the employees' input. The employees and the supervisors should sign the appraisal form before supervisors give a copy to the office heads or chairs, who either retains them in the department or forwards them to Human Resources.

Appraisal Tools

The written appraisal form is a useful tool to set developmental and training goals, clarify job responsibilities, review performance standards and expectations, and enhance the performance appraisal discussion.

We encourage each department to choose the form or format that works best for your area, including:

1. standard forms from which to select, available on the [HR website](#);
2. a form customized for your department; or
3. a narrative memo that summarizes the discussion.

Training

Our learning curriculum offers performance management classes and performance appraisal lunchtime matinee workshops. Through the Princeton University [Employee Learning Center](#), you can register for any of the following four-hour classes and one-hour lunchtime workshops:

Performance Management Classes: 8:30 a.m.–12:30.p.m.

Tuesday, February 7

Wednesday, March 21

Wednesday, April 6

Performance Appraisal Lunchtime Matinee Workshops: Noon–1:15 p.m.

Tuesday, February 21

Friday, March 2

Tuesday, March 13

Resources

The following Human Resources staff members are available to assist and advise you throughout the appraisal process in the areas of:

1. performance management expertise to help guide you through the appraisal process;
2. customized workshops for your department;
3. customization of an appraisal form tailored to meet your needs;
4. guidance and/or feedback to write effective appraisals; and
5. best practices for delivering feedback successfully, including the option to practice the appraisal discussion.

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Merit Increase Program (MIP)

The annual Merit Increase Program (MIP) supports performance management and enables managers to encourage exceptional performance and reward individual contributions.

This year, we anticipate that the Board of Trustees, at its next meeting, will approve the FY2013 operating budget, which would fund a salary increase pool that enables us to sustain the annual Merit Increase Program (MIP). Therefore, conducting effective performance appraisals for every staff member is essential.

Links to Other Useful Resources

[Performance Appraisal Policy and Standard Forms](#)

[Compensation Programs](#)

[Learning and Development Programs](#)

[Merit Increase Program](#)

[Union Contracts](#)

If you have questions about any of the contents of this memo, please contact any HR staff member mentioned above in this memo.