

Performance Management Resource Guide

Managing Performance for Success

Note: To prepare for a transition to the new Workday system later in 2018, some changes have been made to the performance templates in an effort to simplify the form and focus attention on performance goals for the coming year. The Development Plan and Competency sections have been removed. You may still use Competency information to inform writing of goals.

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Part 1. Overview

Defining Performance Management

Performance Management is a collaborative, on-going process between a manager and an employee to plan for, develop, and evaluate an employee's work. It focuses on what employees do and how they do it and aligns individual, departmental, and University goals.

The Importance of Performance Management

The performance management process allows employees to understand:

- What their goals and/or duties are and what is expected of them;
- The criteria for success and how well they are doing;
- How their responsibilities help achieve organizational goals; and
- How they can improve job performance.

Managers benefit from the process by:

- Understanding the proficiency with which employees are achieving goals
- Having a basis for coaching for improvement;
- Fairly determining pay for performance
- Fairly recognizing and motivating high performers;
- Identifying training and development needs;
- Supporting career development opportunities.

The Performance Management Process

While the diagram above shows how the components and steps are integrated the following graphic identifies the Lead@UVA steps, available at <http://hr.virginia.edu> by selecting "Performance" in the top toolbar.



The Performance Management Calendar

Academic employees outside of Advancement and the School of Medicine follow a calendar year evaluation cycle beginning in January.

Advancement and the School of Medicine follow a fiscal year evaluation cycle beginning in July.

Part 2. Establishing Performance Goals

Goals can be developed in a number of ways. It is the manager's responsibility to provide general guidance on the nature and number of employee goals. Therefore, before an employee can enter goals, a conversation between the employee and manager is required.

Regardless of how goals are created, all employee goals must be entered and approved by the employee's manager in Lead@UVA. Employees must have, at a minimum, 3 performance goals.

The Importance of Goal Alignment

Aligned goals are those individual goals which support a manager's, department's, or organization's goals. Employee aligned goals are related, but not identical to the manager's, department's, or organization's goals. Having a clear alignment of goals allows everyone to work in support of a larger goal, and helps employees see how their day-to-day activities contribute to the success of the University.

Part 3. Feedback and On-going Coaching

Providing on-going feedback to employees about their performance is very important for maintaining productive working relationships, for accomplishing goals, and for general work performance reinforcement or redirection. Reinforcement occurs when a manager wants an employee to continue performing as they have been performing. Redirection however occurs when the employee needs to change what or how they've been performing. The "Take 10" Check-In can be used for reinforcing performance while the "2 Minute Challenge" is used for redirection.

Coaching Employees: The "Take 10" Check-In

Managers should take ten minutes a week to check-in with each employee. This check-in time will foster clear and on-going communication between the manager and employees. Managers need only to ask each employee the following three questions and document the conversation:

- How are you doing?
- How do think the team is doing?
- How can things be improved?

The purpose of the "Take 10" Check-In is to foster good communication; it is not required that each manager do this, but rather should serve as a guideline and method of achieving regular and on-going conversations with employees.

Counseling Employees: The "2 Minute Challenge"

The "2-Minute Challenge" is a way to have a brief - maybe not two minutes, but certainly short and focused - and meaningful conversation that identifies a specific problem and redirects the employee. The "2-Minute Challenge" can improve communications and perhaps mitigate any further action, including formal disciplinary action. It consists of the following steps:

1. State what you have observed – "This is what I saw..."

Example: Brad, I could not help but notice that you were late again with your monthly report.

2. Wait for response from employee
3. Agree on solution – "So we agree that..."

Example: So, beginning today, I can expect to have your report prepared and delivered on time?

4. Follow up using positive reinforcement and pay attention for signs of relapse

Example: Thanks, Brad. I appreciate your help. Your contributions are important to our team.

During this conversation, managers should remain focused on the issue they are addressing and avoid being side-tracked by unrelated items.

Also, it's important that the solution is specific and time-bound, and that the employee takes ownership of the issue and thus is responsible for changing his behavior accordingly.

Encouraging Employee Self-Evaluation

The University's performance management process is and should be focused on the employee; therefore, it is very important for employees to be engaged in the entire process. Employees begin the process by conducting a self-evaluation. This self-evaluation provides employees with an opportunity to showcase their accomplishments and have their opinions heard. All employees must be afforded the opportunity to self-assess, and managers should strongly recommend they take advantage of that opportunity.

A self-evaluation is a great opportunity for employees to honestly and objectively consider and document their performance. Having said that, employees must also know how to complete a self-evaluation and be comfortable with the process. Properly conducting a self-evaluation can make the difference between a meaningful evaluation and one that is less effective. This section is meant to enable you to conduct better self-evaluations.

What Is A Self-Evaluation?

A self-evaluation is your thoughtful and considered written review of your performance during the evaluation cycle. It involves rating established goals, competencies, and overall performance.

What Are The Benefits of a Self-Evaluation?

When you self-assess, you become an active participant in your own evaluation. Your involvement enables you to honestly assess your strengths and also areas you need to improve. You then can participate more constructively in the evaluation meeting with your manager. Self-evaluation also serves to increase commitment to goal setting/achievement, competency development, and career planning.

Part 6. Evaluating Performance

Interim reviews and annual evaluations begin with an employee's self-evaluation of performance goals. While not required (except for probationary employees), employees are strongly encouraged to complete this self-evaluation ensuring their voice is heard in the process. Following the employee's self-evaluation, the manager rates the employee on each goal and provides an overall rating. All ratings should be supported with comments providing specific examples of observed performance during the current evaluation cycle.

Seeking Input from Others

In order to arrive at a fair and accurate overall rating, managers and employees may seek additional input from people who have directly observed an employee's work during the evaluation cycle. While these 3rd party individuals do not evaluate the employee using the 5 point rating scale, they can make comprehensive comments about the employee's performance. Ultimately, however, the manager is the one who must evaluate and support each rating. Should 3rd parties be consulted, the manager can note these comments using either the attachment feature or identifying the source of the comments in the appropriate field of the LEAD@UVA evaluation form. Attachments are viewable by the employee, the manager, and anyone else in the employee's hierarchy.

Rating Scale

Definitions for each of the overall ratings are provided below.

5 = Exceptional	significantly and consistently exceeds expected performance level
4 = Highly Effective	consistently achieves and often exceeds expected performance level
3 = Effective	consistently achieves expected performance level
2 = Inconsistent	inconsistently achieves expected performance level; needs improvement
1 = Unsatisfactory	rarely achieves expected performance level; requires significant and immediate corrective action

Required Documentation

Notice of Improvement Needed Unsatisfactory Performance Form

This document is required to be completed for Classified employees who receive an overall rating of 1. It is recommended that University Staff who receive an overall rating of 1, also have a [Notice of Improvement Needed Unsatisfactory Performance Form](#) completed and submitted.

Acknowledgement of Exceptional Performance Form

Due to state reporting requirements, this document must be completed by the manager for Classified Staff who receive an overall rating of 5. This [form](#) is not required for University Staff or A&P Faculty.

The Probationary Process

All University Staff employees in Managerial & Professional (M&P) and Operational & Administrative (O&A) Staff positions, newly hired or rehired following a break in service, must serve a minimum twelve month probationary period effective from the date of hire. The probationary period allows the University department or school to evaluate the progress and skills of the newly hired employee against established performance and conduct expectations, determine appropriate assignments and monitor other aspects of the employee's performance. The probationary period also presents the employee the opportunity to gauge the appropriate fit between the employee's skills, interests and experience and the requirements of the position.

University Staff in M&P positions who were hired on an individually negotiated contract are not required to serve a probationary period, but are governed by the terms and conditions of their employment contract. University Staff in Executive positions are not required to serve a probationary period, but are governed by the terms and conditions of their employment agreement.

Planning All employees will use the Lead@UVA system to document performance goals within 30 days of their start date.

6-Month Probationary Review Managers must meet with probationary employees at six months to inform the employee of progress made toward their performance plans. A six-month evaluation is expected for all probationary new employees in Lead@UVA.

Extensions If a manager wishes to extend a probationary period, please contact performancemgmt@virginia.edu.

Evaluations for Transferring Employees

When an employee transfers during the year, the manager from whom the employee is transferring is responsible for completing an evaluation for the time the employee spent with the manager. Depending on when the employee transfers, the manager can use either the interim review, the annual evaluation, or the attachments feature to document their comments and ratings. The evaluation will consist primarily of written comments. It is appropriate to modify the due date of established performance goals to reflect the date the employee will transfer to another area or manager.

If an employee transfers just prior to or at the start of a new performance cycle, then it is appropriate to wait and let the new manager assist the employee in performance planning for the upcoming year. If a transfer evaluation is not completed the new manager should request general feedback from the previous manager and attach these to the evaluation form.

Evaluations for Employees on Leave

Employees who are on leave during the close out of the annual performance evaluation process are required to have a completed evaluation.

Managers who have employees anticipating being on leave during the close out of the evaluation cycle should work with both the employee and the reviewer in advance of the deadline to complete the evaluation.

If the evaluation is not completed in advance, the evaluation should move forward on the standard timeline. Once the manager has signed the form and made comments, the evaluation will be moved electronically into a completed status. It is not advisable to contact employees while on annual or sick leave.

When the employee returns from leave they should have a review and sign/acknowledge the evaluation. In the event that the employee requests to appeal the results of the evaluation, they should follow the procedure outlined on the [University Human Resources website](#). An employee can contact U.Va. HRCS for assistance with understanding the appeals process.

Part 7. The Evaluation Conversation

Once the Reviewer calibrates, signs and returns the evaluation to the manager, it's time to schedule the evaluation discussion. Since the evaluation is electronic, it is possible to send the signed form directly to the employee, however, managers should always meet face to face with the employee before sending the evaluation back.

Scheduling the Evaluation Discussion

The manager should set aside time with the employee to conduct the annual evaluation and notify the employee of the date, time and location. Managers should choose a quiet, preferably neutral place where no interruptions are likely to occur, and ask for the employee to complete and submit their self-evaluation prior to the scheduled evaluation.

Meet with Employee to Discuss Evaluation

On-going and clear communication is fundamental to being an effective manager. Having an outline, or conversation process, can assist managers in having effective and productive discussions with their employees. Below is the University's recommended process.

- Begin:** Begin with the purpose and importance of reviewing progress. Be sure to create a positive environment; set the employee at ease; highlight the purpose and benefits of the evaluation; provide an overview of the process, and reinforce the shared responsibility of the evaluation.
Example: "Thanks for coming in today, Sue. I appreciate your time. As you know the purpose of our meeting is to review your annual performance evaluation. This evaluation serves as a summary of your work of the course of this year. It also gives us a great opportunity to discuss both your strengths and your areas for continued development. There are three components to this process: performance goals, competency development, and learning and career development planning. Let's look at performance goals first."
- Share:** Review the employee's progress made toward the employee's goals and competencies; share your opinion of successes and concerns; identify any special circumstances that may have influenced the employee's performance.
Example: "You made excellent progress on 3 of your 5 performance goals, and for that reason your performance goals rating is a 4. Your organizational skills are evident in the way you coordinated our annual meeting this year. I am a little concerned about the lack of progress you made on your fourth goal. Can we talk about that?"
- Seek Input/
Discuss:** Describe the results of the employee's performance; ask for the employee's perspective by reviewing, again, the self-evaluation.
Example: "I see from your self-evaluation comments, that you faced several major hurdles. Can you tell me more about those hurdles and what you did to overcome them? What would you do differently in the future if the same problems occurred?"

Decide: Confirm rating, supported by data in the 'Share' step.

Example: So, we agree on the following: (summarize based on the responses to the previous questions).

Conclude: Summarize evaluation and confirm your confidence in the employee's ability to either continuing performing well or improving. Ask how the employee feels about the evaluation. Have employee electronically sign the form and end on a positive note.

Example: So, let me summarize what I think I heard you say today, regarding the work of Team X. I want to capture your ideas so I can forward them to the right people.
(Summarize accordingly) Thanks for your input. I appreciate it.

Evaluation Appeals

An employee's signature does not indicate agreement with the evaluation, but rather that the employee has read and understood the contents of the form.

If an employee disagrees with an evaluation and cannot resolve the disagreement with the manager, the employee may appeal to the reviewer for another review of the evaluation. Any appeal process must provide for the appeal to be made in writing to the reviewer within 10 workdays of the initial performance meeting.

Reviewer's Action

The reviewer should discuss an employee's appeal with the manager and employee. After discussion of the appeal, the reviewer should provide the employee with a written response within five (5) workdays of receiving the appeal. The response should indicate one of the following:

- the reviewer agrees with the evaluation;
- the manager will revise the evaluation;
- the manager will complete a new evaluation; or
- the reviewer will revise the evaluation.

Re-Evaluation

An employee who receives a rating of "Unsatisfactory" must be re-evaluated and have a performance re-evaluation plan developed and put in writing, as outlined below.

Within 10 workdays of the evaluation meeting during which the employee received the annual rating, the employee's manager must develop a performance re-evaluation plan that sets forth performance measures for the following three (3) months, and have it approved by the reviewer.

- Even if the employee is in the process of appealing his or her evaluation, the performance plan must be developed.
- The manager should develop an entire performance plan including, "Employee Development."

- If the measures of the original performance plan are appropriate, this information should be transferred to a separate evaluation form, which will be used for re-evaluation purposes. The form should clearly indicate that it is a re-evaluation.
- The manager must discuss with the employee specific recommendations for meeting the minimum performance measures contained in the re-evaluation plan during the re-evaluation period.
- The employee's reviewer, and then the employee, should review and sign the performance reevaluation plan.
- If the employee transfers to another position during the re-evaluation period, the re-evaluation process will be terminated.

NOTE: If the employee moves to another position during this re-evaluation period, the employee will not be eligible for a performance increase.

Three Month Re-Evaluation

The employee must be re-evaluated within approximately two weeks prior to the end of the three month re-evaluation period. If an employee is absent for more than 14 consecutive days during the three month re-evaluation period, the period will be extended by the total number of days of absence, including the first 14 days.

If Performance Does Not Improve

If the employee's performance during the re-evaluation period fails to meet expected performance measures, the manager may demote, reassign, or terminate the employee by the end of the three month re-evaluation period.

Demote or Reassign

An employee, whose performance during the re-evaluation period is documented as not improving, may be demoted or reassigned to another position with lower duties within the three month period if the University identifies another position that is more suitable for the employee's performance level. A demotion or reassignment to another position will end the re-evaluation period.

When an employee is moved to another position with lower duties due to unsatisfactory performance during, or at the end of the re-evaluation period, the action is considered a performance demotion, the University may reduce the employee's salary at least 5%.

Reduce Duties

As an alternative to reassignment, demotion or termination, the University may allow the employee who is unable to achieve satisfactory performance during the re-evaluation period to remain in his or her position, and reduce the employee's duties. Such a reduction should occur following and based on the re-evaluation and may be accompanied by a concurrent salary reduction of at least 5%.

Terminate

If the University determines that termination is the proper action based on the re-evaluation, the employee will be terminated at the end of the three month re-evaluation period.

Disciplinary Action

The re-evaluation process does not prevent UVA from taking disciplinary action based on the employee's poor performance or other reasons stipulated in the Standards of Conduct, or issuing additional *Notice of Improvement Needed/Unsatisfactory Performance* forms.

Employee Refusal to Sign and/or Acknowledge Evaluation

In the event an employee chooses not to sign or acknowledge the evaluation, the manager should take the following steps (these steps assume a conversation between the employee and manager has already taken place):

- The manager contacts their HR partner and informs them of the circumstances;
- If necessary, the LEAD@UVA Super User for the employee's organization will transfer the form to the local HR partner or the HRCS consultant responsible for that area;
- That individual then makes a note on the form that the employee has refused to sign the evaluation, uploads any comments the employee has made regarding the situation, signs the form (the HR person's name will appear in the signature box, not the employee's), and then sends the form forward to completion.

Appendix A. Definitions

Employee: A full or part-time Classified, University or A&P Faculty member.

Manager: Any person who is responsible for evaluating the work of one or more employees.

Performance Management: A collaborative, on-going process between a manager and an employee to plan for, develop, and evaluate an employee's work. It focuses on what employees do and how they do it; it aligns individual, departmental, and University goals; it identifies areas for employee learning; and, at U.Va. performance management includes opportunities to discuss and plan for an employee's career development.

S.M.A.R.T. Goal: A performance goal that is specific, measurable, achievable, results-focused, time bound.

Competency: A behavior that describes how a person performs a job.

Rating: A standardized system for summarizing employee performance goals and competency development against those established at the beginning of the evaluation cycle. University ratings are: (5) Exceptional; (4) Highly Effective; (3) Effective; (2) Inconsistent; and (1) Unsatisfactory.

Notice of Improvement Needed/Substandard Performance Form : A documented, specific plan for improving the performance of an individual who receives an 1 = Unsatisfactory rating.

Appendix B. Policies

HRM-018: [Performance Management for University Staff Employees](#)

DHRM Policy 1.40: [Performance Planning and Evaluation \(Classified Staff\)](#)

HRM-020: [Probationary Period for University Staff Employees](#)

Appendix C. FAQs

Who will use the performance management process in Lead@? The use of the performance management process and LEAD@UVA software is required for all Classified and University Staff, and strongly recommended for A&P Faculty. Note that some areas have mandated the use of Lead@UVA for A&P Faculty.

How is the completed evaluation used? Evaluations are used in a number of different ways, including as a consideration for promotions. They are also used as a factor in pay increases for University Staff.

When does the performance management process begin for a new employee? New employees are hired as University Staff and as such spend their first 12 months in a probationary status. A probationary evaluation form is available in Lead@. Goals should be entered and approved within 30 days of hire. The evaluation will then freeze until month 5, at which point a 6-month self- and manager-evaluation must be completed. The evaluation will again freeze until month 11, at which point the annual self- and manager-evaluation must be completed. After successful completion of probation, new employees will follow the normal evaluation cycle for their organization.

If the immediate manager leaves the job during the year, who will rate the employee's performance at the end of the year? The individual who is hired to replace the departing manager will conduct the performance evaluation. That person can, and is encouraged to, seek input from others regarding the employee's performance.

What happens if an employee changes jobs during the year? Since Lead@UVA is updated by our integrated system, all records – including reporting structures – are updated on a daily basis. Therefore, once the Oracle record has been updated, Lead@UVA will automatically transfer that employee's record to the new manager. Tasks in process by the former manager should be completed and then transferred to the new manager by a super user. Please contact performancemgmt@virginia.edu with any questions.

Can an employee receive an overall rating of 1 ("Unsatisfactory") during the annual review if he/she did not know about it during the year? In order to receive an overall rating of Unsatisfactory, the employee must be given a "Notice of Improvement Needed" and be placed on a "Performance Improvement Plan" at least 60 days prior to the end of your organization's evaluation cycle.

What happens if an employee refuses to sign the form? Employees are asked to sign the evaluation electronically and indicate that they have met and discussed the review with their manager. The employee's signature does not indicate agreement of the content of the evaluation. At a minimum, employees must check the Acknowledgement box located near the signature box on the evaluation form.

If an employee refuses to participate in the performance management process, is the evaluation for that employee still valid? Yes. Employees are required to complete an evaluation. Failure to do so does not stop or impede the process. The manager will complete the evaluation and send it forward to the Reviewer.