LEAD@UVA

Managing Performance for Success

A Resource Guide to Performance Management

LEAD@UVA

Managing Performance for Success

Table of Contents

Part 1. Introduction and Overview

Defining Performance Management

Performance Management is a collaborative, on-going process between a supervisor 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.

The Importance of Performance Management

Performance Management supports the University's commitment to recruit, develop, and competitively compensate an outstanding workforce and to better prepare us to meet the future needs of the University. It facilitates on-going conversations between employees and their supervisors that benefit all. Performance management drives consistency and openness across the institution in how we define and evaluate work. It allows employees to enrich their knowledge in their current jobs and gain skills for future positions. And, performance management helps employees succeed, which helps supervisors succeed.

Effective communication between employees and supervisors is the key to successful performance management. Regular feedback helps employees focus their work activities so the employees, the department, and the University can achieve their goals. It builds accountability, since employees and supervisors participate in developing goals, identifying competencies, and discussing career development.

All University and Classified Staff will participate in this new performance management process. A&P Faculty are strongly encouraged to use the process as well, in fact some schools and units have mandated this practice.

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.

Supervisors benefit from the process also by:

- Understanding the proficiency with which employees are achieving goals and/or carrying out duties;
- Having a basis for coaching for improvement;
- Fairly determining pay for performance (University Staff only);
- Fairly recognizing and motivating high performers;
- Identifying training and development needs; and,
- Supporting career development opportunities.

The performance management process complements the University's mission and leadership characteristics by:

- Making explicit the relationship between individual, unit and University goals which allows employees to be effective and enjoy a sense of shared purpose;
- Requiring that employees be evaluated based on clear and agreed upon goals, competencies, and development plans;
- Giving employees specific expectations that they understand, and helping them to achieve high performance; and,
- For University Staff, relating pay to performance by rewarding significant achievement.

Performance Management Responsibilities of Employees and Supervisors

Persons who supervise one or more employees are responsible for:

- Helping employees develop individual goals and identify competencies;
- Providing employees with clear expectations, consistent measures, and achievable standards of performance;
- Supporting and providing resources for employees to meet performance goals and competency proficiency;
- Holding conversations to discuss employees' development;
- Engaging in on-going feedback;
- Conducting interim (formally or informally) and annual evaluations;
- Identifying performance deficiencies and providing assistance and support for correction;
- Assisting employees in identifying and participating in career development and training opportunities; and,
- Recognizing outstanding performance on a regular and on-going basis.

Employees are responsible for:

- Providing input to their supervisors in the performance planning process which contributes to departmental goals and the University's mission;

- Providing their supervisors with a self-evaluation including a list of accomplishments;
- Discussing concerns and questions about any part of their job or the performance management process; and,
- Identifying and participating in career development and training opportunities.

The Role of a Supervisor

Simply put, a supervisor is someone who is responsible for the performance of others. The role of a supervisor is to provide direction to employees, set priorities, assign work, ensure quality and resolve complex problems. This role includes not only front line supervisors, but also managers, directors, faculty, and senior academic/administrative leaders of the University. In addition, those in a supervisory role act as representatives of the University, taking action or making commitments on behalf of U.Va.

At U.Va., a successful supervisor is expected to be people focused and have an interest in leadership and progressive supervisory experience. The supervisor mentors others, builds collaborative relationships, is resourceful and action oriented. Additionally, the successful supervisor has a clear understanding of the University's vision and culture, and works directly in support of that vision. These abilities are described further in the University Leadership Characteristics.

At a minimum, to be designated a supervisor, individuals must demonstrate a willingness and an ability to perform the following supervisory functions:

- participating in the hiring process by developing position descriptions, interviewing and selecting new hires;
- discussing and setting employee performance plans;
- ensuring that employee work is completed successfully;
- providing support for employee learning and development;
- discussing and assisting in employee career planning;
- providing ongoing training, coaching, mentoring and performance feedback;
- conducting interim and annual performance evaluations;
- participating in the salary increase and rewards process;
- taking disciplinary action, when necessary;
- approving time and leave;
- reviewing and approving travel and purchases, as needed;
- providing financial and administrative oversight as required for effective internal controls; and,
- adhering to U.Va. policies and procedures and applicable state and federal law.

U.Va employee surveys clearly show that an employee's relationship with their supervisor is the most important factor in their decision to build a career at U.Va. Highly effective supervisors, therefore, are a key to our goal of having a talented workforce to meet the needs of the University.

Many of the tools for performing essential supervisory functions have been moved online and will be accessed through the Integrated System. The supervisor designation is used by multiple systems, including:

- **Human Resources Management System (HRMS)**;
- **Manager Self-Service;**
- **Self Service Time and Leave (SSTL)** (approval of time & leave);
- **iExpense** (for expense report approval);
- **Finance** (to identify manager/supervisor for key project/award members);
- JOBS@UVA; and,
- LEAD@UVA (conduct performance planning & evaluation, career development, and participate in the compensation management process).

In some cases, authority to perform certain transactions may be delegated to others; however, accountability for compliance cannot be delegated. It continues to be the responsibility of the designated supervisor to ensure that the transactions are performed in accordance with University policies and procedures. Supervisors are accountable for the functions described above.

Other Considerations When Designating Supervisors

Fair Labor Standards Act (FLSA) guidelines state that a supervisor is someone who is held accountable for the performance of other employees, and exercises independent judgment on matters other than routine or clerical tasks. A supervisor also spends at least 15% of their time performing the majority of the supervisory functions listed above.

In reality, effective supervision of employees typically involves much more than 15% and may constitute the majority of a supervisor's time. Supervisors should be interested in management, and in acquiring the necessary supervisory skills to do the job well. Supervisors must be familiar with their employees' work. In all cases the supervisor should be in a position to effectively evaluate performance, and provide meaningful development and coaching, even if the supervisor and employee are in different locations.

Typically, supervisors should have no more than 7 – 10 direct reports; however, the actual number of direct reports for a supervisor should be determined by their ability to effectively perform the functions listed. For example:

- If a supervisor oversees a diverse group of functions, then the number of direct reports should be limited. Having many direct reports would most likely exceed the supervisor's span of knowledge or control.

- If a supervisor has a group of the same or similar functions, then it is reasonable to have more direct reports, because the reports' work is similar. The number should still be limited by the supervisor's ability to provide employees with effective supervision, performance, development and career management.

Employees who function as "leads" in their area and who help direct the day to day activities of co-workers may not be considered supervisors because they do not perform the majority of the work listed above. Schools and units have an opportunity to identify employees in these positions who have an interest and aptitude for management, and begin developing their supervisory skills to prepare them for formal supervisory roles.

Supervisor designations may be updated in the Integrated System by HR representatives within the schools/units, or by contacting Human Resources Consulting Services.
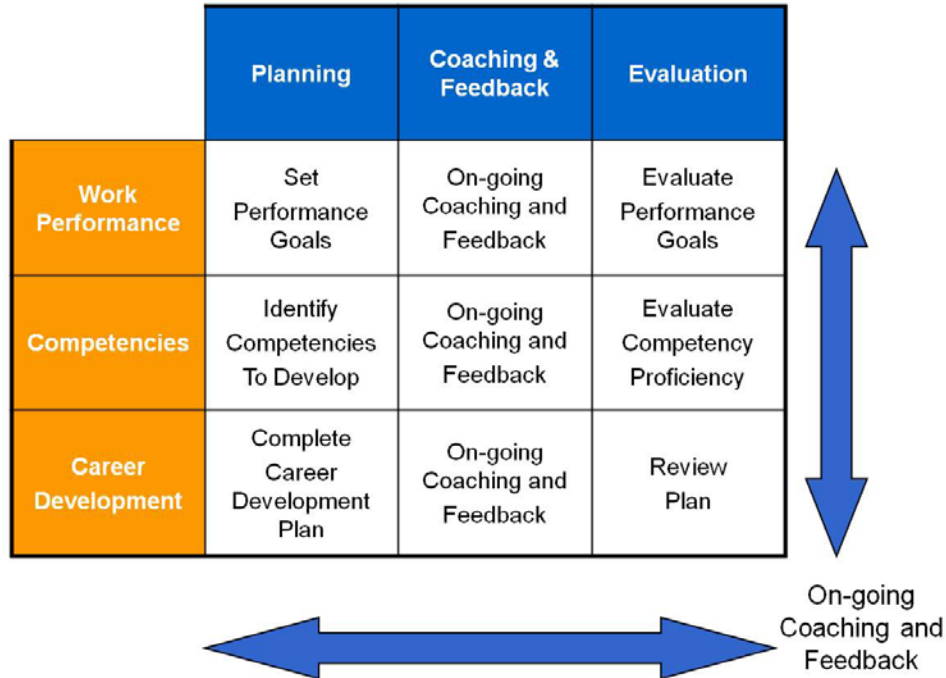
The Human Resource Partner

Very often schools and departments have a staff member dedicated to the Human Resource (HR) function – often an HR Exchange member or administrative person - who helps with personnel-related issues. These individuals serve as a valuable resource for both supervisors and employees and should be the first point of contact for any performance management questions that arise. Often this individual also has administrative rights within LEAD@UVA and can take action as necessary to facilitate the performance process. The second point of contact is the Human Resources Service Center at 434-982-0123 or AskHR@Virginia.edu.

The Steps and Components of Performance Management

Performance Management consists of three components and three steps. Each is outlined below.

Component One focuses on performance goals, or *what* an employee does. Component Two focuses on competency development, or *how* an employee performs job tasks. The third and final component is the Career Development Plan, through which supervisors and employees identify learning opportunities that support the accomplishment of both the employee's performance goals and competency development. Additionally, the Career Development Plan should document the employee's career direction and plans.

Performance Management also consists of three steps – planning, coaching and feedback which is on-going and not an isolated event, and evaluation. The diagram below shows how the components and steps integrate to form a cohesive process.

The diagram shows a matrix with columns Planning, Coaching & Feedback, Evaluation and rows Work Performance, Competencies, Career Development:

	Planning	Coaching & Feedback	Evaluation
Work Performance	Set Performance Goals	On-going Coaching and Feedback	Evaluate Performance Goals
Competencies	Identify Competencies To Develop	On-going Coaching and Feedback	Evaluate Competency Proficiency
Career Development	Complete Career Development Plan	On-going Coaching and Feedback	Review Plan

On-going Coaching and Feedback

The Performance Management Process Flow

While the diagram above shows how the components and steps are integrated the following graphic identifies the LEAD@UVA workflow steps.

Goal Setting		Interim Review		Annual Evaluation		Signatures		
Step 1	Step 2	Step 3	Step 4	Step 5	Step 6	Step 7	Step 8	Step 9
Employee Drafts Goals and Identifies Competencies	Supervisor Reviews and Approves Goals	Employee Completes an Interim Self Evaluation	Supervisor Conducts an Interim Evaluation	Employee Completes an Annual Self Evaluation	Supervisor Conducts an Annual Evaluation	After Calibration, Reviewer Approves and Signs the Annual Evaluation	Supervisor Approves and Signs the Annual Evaluation	Employee Reviews and Signs the Annual Evaluation

The Performance Management Period

The University has established a flexible cycle to allow individual schools and departments to establish their own start and end dates. All cycles will begin sometime between June 1 and September 30 and end 12 months later. Interim evaluations occur in the mid-point of each cycle. Probationary employees are reviewed 6 months from their date of hire. For additional information regarding probationary employees, refer to that specific section in this guide.

The Performance Management Process and The LEAD@UVA Software

U.Va.'s performance management process drives the use of LEAD@UVA, which is a software tool that integrates performance management, career development, and compensation. In addition to this Resource Guide, there are computer simulations on how to use the software. The screen captures in this guide serve as a point of reference only, and are not intended to serve as a technical training tool. To view the training simulations go to http://www.hr.virginia.edu/online/LEADSuperUser/toc0.html.

LEAD@UVA uses a single-user sign-in feature that runs through NetBadge. You can access the link to the software from the UHR web page, or at http://netbadge.virginia.edu/app/perf/login.cgi. Enter your NetBadge User ID and password. The initial screen that appears looks similar to the one below. LEAD@UVA runs using an Internet Explorer (IE) 7.0 setting; if you're using IE 8, you will need to run it in the compatibility mode. If you are unable to run Internet Explorer LEAD@UVA can be launched using Mozilla Firefox.

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 supervisors 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 supervisor. Self-evaluation also serves to increase commitment to goal setting/achievement, competency development, and career planning.

What Do You Need To Do In Order to Complete Your Self-Evaluation?

Time.   Allow about an hour to complete the self-evaluation. That hour includes time you may need to review documentation that you've kept throughout the year relating to your goals and competencies.

Quiet.   Conduct the self-evaluation in a quiet place without interruptions so you can devote your full attention and reflection to the process.

Relax.   Try to relax and reflect upon individual goals, experiences, and incidents. No one is perfect, and it is very likely that you will recall both good and bad experiences. The purpose of the evaluation process is to highlight strengths, correct performance weaknesses, and develop unused skills and abilities. In order to do this, you must be willing to recognize areas that need improvement or development.

Highlight the highlights. Don't be shy about letting your supervisor know where you shone during the year. The self-evaluation is the place to boast with grace and diplomacy and, naturally, without putting any of your colleagues down. Don't be modest; state your accomplishments objectively and accurately.

Don't forget about achievements made early on in the evaluation period. Your supervisor cannot possibly remember all of your projects and your participation throughout the year. Go back over documents and e-mails to help you remember your earlier accomplishments.

Don't be stuffy. One of the benefits of a self-evaluation is its tendency to lead to constructive dialogue between you and your supervisor. Therefore, try to write in a conversational style, one that is as natural as the verbal back-and-forth that occurs throughout the year.

Solicit feedback from coworkers. Consider asking your colleagues what they think of your performance. Be careful, of course, to avoid platitudes, overly critical comments, and any other remarks that could take away rather than enhance your self-evaluation.

Be objective. It's awfully tempting to give yourself high marks across the board, but it's a little unlikely that you've done everything right. Instead of evaluating yourself based on how you wished you'd performed, offer the results and quantify them as much as possible by using facts, figures, and specific dates. The more you can point to the tangible benefits you offer the University, the more invaluable you will be. Ask yourself some specific questions: What difference did my efforts make to U.Va.? What did I do to contribute to my school/units goals and success? Did my efforts further the University's mission? Did I take a leadership role when the opportunity arose?

Don't use the self-review as a bargaining chip. This is the time to show not tell. So, it's not the time to talk about your compensation. Be clear about your accomplishments and save salary discussions for later.

Use appropriate language. Choose words that demonstrate some objectivity and distance. Yes, you're writing about yourself, but you can still stand back and offer a little perspective. For example, instead of mentioning your sparkling personality, document specific behaviors like your ability to get along well with others. Rather than say how much you like your job, include the ways that you have grown and improved during the evaluation period.

Suggest specific improvements. The self-evaluation is a good opportunity to identify specific ways to improve your performance. Don't be afraid to mention ways that you can do your job more effectively. Making suggestions like this is not the same as holding something up as a weakness. Indeed, it is a mark of strength and professional maturity for employees to identify ways to grow and improve.

Complete the Career Development Plan.   Choose, complete, and apply knowledge you gain from development activities to support your performance goals, your competency development and your career direction.

Write more than one draft. The self-evaluation is part of your employment record so you'll want to "get it right". Make certain you are thorough and professional in your approach and language.   And, that you write, review, and revise your self-evaluation to ensure you "Send Forward" your best work.

Part 2. Establishing Performance Plans

Goals comprise 50% of each employee's evaluation; competencies make up the other 50%.

Goals can be developed in a number of ways. They can be drafted by the employee, written by the supervisor, written jointly, cascaded or aligned. It is the supervisor'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 supervisor is required. During this conversation, the supervisor broadly outlines the goals for th year and may then ask the employee to develop and enter more specific goals on the 'Performance Goals' tab.

As mentioned above, goals can also be cascaded. Cascaded goals are those goals that are forwarded to everyone in a specific department and the goal is identical for everyone. **Regardless of how goals are created, all employee goals must be approved by the employee's supervisor and then entered into LEAD@UVA on a screen similar to the one below.** Employees must have, at a minimum, 3 performance goals.

The Importance of Goal Alignment

Aligned goals are those individual goals which support a supervisor's, department's, or organization's goals. Employee aligned goals are related, but not identical to the supervisor'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.

Guide to Writing S.M.A.R.T. Goals

Developing sound goals is critical to managing employees' performance. Each year supervisors will ask employees to set goals for the upcoming year/evaluation period. Goals should be S.M.A.R.T - specific, measurable, achievable, results-focused, and time-bound. Below is a definition of each of the S.M.A.R.T. goal criteria.

Specific:	Goals should be simplistically written and clearly define what will be accomplished.

Specific is the What, Why, and How of the S.M.A.R.T. model.

Example:	By August 1, implement a new performance management system for Classified Staff, A&P Faculty, and University Staff using clearly defined processes and guidelines so employees and supervisors can more competently evaluate performance and develop their careers.

Explanation of Example:

"Implement a new performance management system for Classified Staff, A&P Faculty, and University Staff" = what

"using clearly defined processes and guidelines" = how

"so employees and supervisors can competently evaluate performance and develop their careers = why

Measurable:	Goals should be measurable so employees have tangible evidence that they have accomplished the goal. Usually, the entire goal statement is a measure for the project, but there are usually several short-term or smaller measurements built into the goal.

Example:	By August 1, implement a new performance management system for Classified Staff, A&P Faculty, and University Staff using clearly defined processes and guidelines so employees and supervisors can more competently evaluate performance and develop their careers.

Explanation of Example:

The essential metric is whether or not the system is operational by August 1st.

Achievable:	Goals should be achievable; they should stretch the employee slightly so they feel challenged, but defined well enough so they can achieve them. Employees must possess the appropriate knowledge, skills, and abilities needed to achieve the goal.

Employees can meet most any goal when the goal is thoughtfully planned and a timeframe is established that allows the employee to carry out those steps. As the employee carries out the steps, they can achieve goals that may have seemed impossible when they started. On the other hand, if a goal is impossible to achieve, the employee may not even try to accomplish it. Achievable goals motivate employees. Impossible goals de-motivate them.

Example: By August 1, implement a new performance management system for Classified Staff, A&P Faculty, and University Staff using clearly defined processes and guidelines so employees and supervisors can more competently evaluate performance and develop their careers.

Explanation of Example:

In order for an employee to reach this goal, they must have a skill set, in this case in the area of performance management, that allows them to understand the nature of the goal, and the goal must present a large enough challenge for the employee to remain interested in and committed to accomplishing it.

Results-focused: Goals should measure outcomes, not activities.

Example: By August 1, implement a new performance management system for Classified Staff, A&P Faculty, and University Staff using clearly defined processes and guidelines so employees and supervisors can more competently evaluate performance and develop their careers.

Explanation of Example:

The result of this goal is a process that allows employees and supervisors to more competently evaluate performance and develop their careers, not the individual activities and actions that occur in order to make the goal a reality.

Time-bound: Goals should be linked to a timeframe that creates a practical sense of urgency, or results in tension between the current status of the goal and the vision of the goal. Without such tension, the goal is unlikely to produce a relevant outcome.

Example: By August 1, implement a new performance management system for Classified Staff, A&P Faculty, and University Staff using clearly defined processes and guidelines so employees and supervisors can more competently evaluate performance and develop their careers.

Explanation of Example:

August 1 provides the employee with a time-bound deadline.

The concept of writing S.M.A.R.T. goals is very important for accomplishing individual goals, which in turn are linked to department, division, and University goals. It is also critical for ensuring good communication between employees and supervisors so there are no surprises during annual performance evaluations.

The S.M.A.R.T. Goal Questionnaire that follows assists employees in creating S.M.A.R.T. goals. Employees should begin by writing their goal as clearly and concisely as possible. Then they should answer the related questions and conclude by revising their goal, in the space allotted.

Performance Management Resource Guide

S.M.A.R.T. Goal Questionnaire

Goal: _____

_____

1. **S**pecific. What will the goal accomplish? How and why will it be accomplished?

_____

2. **M**easurable. How will you measure the goal (list at least two indicators)?

_____

3. **A**chievable. Is it possible? Have others done it successfully? Do you have the necessary knowledge, skills, abilities, and resources to accomplish the goal? Will meeting the goal challenge you without defeating you?

_____

4. **R**esults-focused. What is the reason, purpose, or benefit of accomplishing the goal? What is the result (not activities leading up to the result) of the goal?

_____

5. **T**ime-bound. What is the established completion date and does that completion date create a practical sense of urgency?

_____

Revised Goal: _____

_____

S.M.A.R.T. Goal Checklist

- ☐ (S) Does the goal focus on a specific area?

- ☐ (S) Is the goal written using concrete language?

- ☐ (S) Does the goal begin with an action verb? (to + verb)

- ☐ (M) Can progress be measured for the goal? Is the progress:
    - o Numeric or descriptive?
    - o Quantitative?
    - o Qualitative?
    - o Financial?
    - o Constrained by time?

- ☐ (A) Is the goal a "stretch", yet still within my control?

- ☐ (A) Is the goal sufficiently and reasonably limited in scope?

- ☐ (R) Does the goal measure actual outputs or results, not activities?

- ☐ (R) Do the results include products, deliverables, or accomplishments?

- ☐ (T) Has a reasonable timeframe been identified?

- ☐ (T) Is it necessary to identify interim steps or have a plan to monitor progress?

- ☐ (R) Is the goal supportive of and directly relevant to the University and the department/school's mission and goals?

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 supervisor 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

Supervisors 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 supervisor and employees. Supervisors 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 supervisor 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. Remind employee of goal – "This is what I need to see…"

    Example: We spoke before about the importance of getting those reports to me on time so I can include them in my department summary. I expect you to have it to me on time in the future.

4. Ask for a specific solution – "What can we do to make sure this happens?"

    Example: What can you do to assure me that you will turn your report in on time?

5. Agree on solution – "So we agree that…"

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

6. 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, supervisors 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.

Counseling Employees: The Role of a Good Supervisor

Counseling has boundaries that must be respected. Counseling is not:

- An opportunity for you to practice psychiatric therapy.

- A one-shot activity.
- An off-the-cuff discussion.
- Punitive.
- Solely concerned with personal problems.
- Human Resources' business.
- An opportunity to review an individual's whole life.
- A one-way mini-lecture by the counselor/coach.
- A brief, hurried activity.
- Intended to solve all of the individual's problems.

A good counselor:

- Is easy to talk to.
- Listens well.
- Helps people solve problems but does not over-control.
- Shows empathy when discussing problems.
- Is receptive to feelings.
- Can keep a confidence.
- Is perceptive in recognizing when help is needed.
- Wants people to do well.
- Builds self-esteem and confidence.
- Is interested in what the other has to say, not just what he or she wants to hear.
- Takes the other seriously.
- Is willing to spend time.
- Is receptive to the ideas of others.
- Gives the other his or her full attention.
- Encourages another try.

Taken from *A Passion for Excellence* By Tom Peters and Nancy Austin

Part 4. The Competency Model and Behaviors

The University's competency model reflects the voice and thoughts of its employees. During 2008, multiple task forces were created across grounds to identify critical behaviors required in16 separate career clusters. These task forces identified over 2, 200 competencies, many of which overlapped or were similar. University Human Resources distilled those competencies and then mapped them to the

University Leadership Characteristics. The end result is our U.Va. Competencies and Behaviors document.

Our competency model consists of thirty competencies; 4 of the 30 are threshold characteristics and 7 are key competencies. The four threshold competencies are those behaviors individuals should possess upon hire. The seven key competencies are behaviors that are demonstrated by successful U.Va. employees. The remaining 19 competencies are those behaviors required across the different career clusters and paths. Each employee must identify 3-5 competencies to develop throughout the year. These 3-5 competencies should be identified by both the employee and the supervisor; however, the supervisor has the final say on which 3-5 will be chosen. Competencies total 50% of the employee's annual evaluation. Performance goals comprise the other 50%.

Part 5. The Career Development Plan

The Career Development Plan serves two purposes. First, it allows employees to identify and document learning associated with performance goals and competency development. Secondly, it encourages employees to think about and plan for their career development and related activities. The plan is not evaluated, just revised as necessary. A minimum of one development activity must be identified. Development activities relating to competencies are listed in the U.Va. Competencies Mapped to Development Activities guide.

The image below is an example of what the Development tab looks like.

Understanding and Using Career Clusters and Paths

The University has many career cluster and path combinations. Supervisors and employees will jointly identify the employee's current career path using a drop down menu like the one shown below.

Going forward, employees will use their career path to identify development areas that will help them realize their career goals. Eventually career paths will have competencies mapped to them that have been verified by content area experts. Additionally, there will be parallel technical and management paths that each have 4 distinct stages. For University employees, compensation will be based on the individual career cluster, path, and stage, and the fair market value of the position.

A description of the current career clusters and paths can be found on the Career Development Services web page.

Part 6. Evaluating Performance and Competencies

Interim reviews and annual evaluations begin with an employee's self-evaluation of performance goals and competencies. While not required, employees are encouraged to complete this self-evaluation ensuring their voice is heard in the process. Following the employee's self-evaluation, the supervisor rates the employee separately on both goals and competencies (refer to Performance Goals and Competencies Rating Scales below) and provide 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, supervisors 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 supervisor is the one who must evaluate and support each rating. Should 3rd parties be consulted, the supervisor 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 supervisor, and anyone else in the employee's hierarchy.

Performance Goals and Competencies Rating Scales

The language of the rating scales for performance goals and competencies is unique, in order to distinguish between the two. Note that the title of the numeric label is the same.

5 = Exceptional

Performance: significantly and consistently exceeds goals

Competency: consistently demonstrates exceptional behaviors; serves as a role model and mentor

4 = Highly Effective

Performance: consistently achieves and often exceeds goals

Competency: consistently demonstrates effective behaviors and often demonstrates exceptional behaviors

3 = Effective

Performance: consistently achieves goals

Competency: consistently demonstrates effective behaviors

2 = Inconsistent

Performance: achieves some, but not all goals; needs improvement

Competency: demonstrates some behaviors but not others, or uses behaviors inconsistently; may be appropriate for employees in new or more challenging positions, or for those who need development

1 = Unsatisfactory

Performance: rarely achieves established goals; requires significant and immediate improvement

Competency: rarely demonstrates competency behaviors; requires significant development

Determining The Overall Rating

The overall rating is based on both the performance goals and competencies – each weighed at 50%. All ratings should be justified with examples and comments. The overall rating that is determined by the supervisor must be entered on the Ratings Summary tab of the evaluation form.

Overall 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

Avoiding Common Rating Errors

Validity is the extent to which an employee's rating corresponds to actual performance and competency levels. Unfortunately, personal biases and prejudices often cause an employee's evaluation to be distorted through rater biases. Therefore, it is important that supervisors understand not only the University's rating scale, but also these potential rating biases. The following list outlines some of the most common errors.

Attribution: tendency to attribute performance to external causes.

Central: majority of individuals rated in the middle. Supervisors who display central tendency tend to ignore or suppress differences. This tendency, which produces rating that do not distinguish between employees, damages morale and makes decisions for pay for performance, promotions, or training difficult to justify. Avoid this tendency by:

- Documenting observable behavior over the entire evaluation cycle;
- Ask yourself if you are seeing the person's behavior objectively. Seek behavioral examples from others.

Comparison: tendency to rate people in comparison to other individuals instead of documenting performance goals and competencies. This tendency can be particularly unjust when comparing a person to someone else who is a super-star. Avoid this tendency by:

- Establishing clear, S.M.A.R.T. performance goals at the start of each evaluation cycle, and
- Evaluate performance against those goals.

Halo/Horn: high (or low) rating given to an individual based on a single performance goal or competency. This effect is also demonstrated if you let an overall global impression of the employee influence the ratings. It often occurs with employees who are friendly or unfriendly toward the supervisor or who are especially strong or weak in one skill. Avoid the Halo/Horn effect by:

- Establishing clear and specific standards;
- Keeping good documentation of employee performance over the review period;
- Keeping things in perspective in terms of frequency, significance in the overall picture, and representation of the person's overall performance;
- Identifying specific behavioral examples which support your ratings; and,
- Asking yourself if you have overemphasized aspects of the person's performance you find particularly admirable or irritating.

Leniency: majority of individuals rated at the high end of the scale. In order to avoid this bias, measure performance against established standards and expectations which are reasonable and attainable. Compare your ratings with peers. Are your ratings significantly higher than the ratings of others?

Primacy: ratings reflect only initial observation of behavior. It is often hard to overcome our first impressions of someone's behavior and we must challenge ourselves to notice behaviors that support other impressions. Avoid this tendency by:

- Documenting observable behavior over the entire evaluation period and giving it balanced consideration; and,
- Checking to see if anything you have documented presents a view different from your initial impression. If not, ask yourself if you are seeing the person's behavior objectively. Seek behavioral examples from others.

Recency: ratings reflect only the most recent observations of performance or behavior. Recent observations tend to be more in the forefront of the supervisor's mind and therefore more "memorable". Avoid this tendency by:

- Documenting observable behavior over the entire evaluation cycle and giving it balanced consideration; and,
- Asking others for their observations of the employee over the course of the year to see if they have different views than you.

Similar-to-Me Effect:

tendency to rate people who have qualities that you perceive in yourself. There is a common tendency for supervisors to rate those who are different from them lower than those are similar to themselves. Avoid the Similar-to-me-Effect by:

- Becoming aware of your own biases and challenge them;
- Having clearly defined and agreed upon goals and competencies identified;
- Regularly collecting documentation of observable performance covering the entire review period;
- Checking to see if your ratings are significantly different across groups, e.g., different for men and women, different across racial lines.

Stereotyping: tendency to generalize across groups and ignore individual differences.

Strictness: opposite of leniency; ratings at low end of the scale. Ask yourself if your ratings distribution compares to that of your peers. Are your ratings significantly lower than the ratings of the others?

General guidelines for avoiding bias and evaluating employee performance objectively include:

- Working with each employee at the beginning of the evaluation cycle to develop S.M.A.R.T. performance goals and appropriate competencies to develop.
- Throughout the evaluation period, focusing on observable behaviors related to goals and competencies; document our observations and provide feedback and coaching to the employee;

- Comparing observed behaviors to the established goal or competency, not to other people or the employee's past performance.
- Considering factors which may have changed the nature or scope of the job, including circumstances beyond the employee's control and your own role in the employee's performance;
- Focusing on the employee's work and not on personal matters that are tangential unless those personal matters affect the work of the employee; and,
- Checking your perceptions for accuracy, fairness, balance, reasonableness, and consistency.

Required Documentation

The documents mentioned below can be found in a variety of places, including on a link within the LEAD@UVA system on the 'Ratings Summary' tab, or by visiting the University Human Resources form repository.

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 supervisor for Classified Staff who receive an overall rating of 5. This form is not required for University Staff or A&P Faculty.

Probationary Progress Review Extension and Completion Form
Supervisors must complete this form , or use the interim LEAD@UVA evaluation, at the end of the probationary employee's 6th month of employment. This form must be received in University Human Resources, Consulting Services within two weeks of the 6th month date. For additional information, refer to the section below.

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 expectations within 30 days of their start date.

6-Month Probationary Review Supervisors must meet with probationary employees at six months to inform the employee of progress made toward their performance plans. A written six-month evaluation, documented on this form, is expected for all probationary employees. Once this form has been completed and reviewed with the employee, the document should be attached to the employee's current LEAD@UVA performance record.

Extensions All extensions of the probationary period must be documented on this form, submitted to UHR, **communicated in writing to the employee**, and attached to the employee's current LEAD@UVA performance record.

Completion of Probationary Period Successful completion of an employee's probationary period must be documented on this form, provided to the employee and UHR, and attached to the employee's current LEAD@UVA performance record.

For additional questions relating to the probationary period, refer to the Probationary Period for University Staff policy.

Evaluations for Transferring Employees

When an employee transfers during the year, the supervisor from whom the employee is transferring is responsible for completing an evaluation for the time the employee spent with the supervisor. Depending on when the employee transfers, the supervisor 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 supervisor.

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 supervisor assist the employee in performance planning for the upcoming year. If a transfer evaluation is not completed the new supervisor should request general feedback from the previous supervisor 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.

Supervisors 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 supervisor 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 web site.   An employee can contact U.Va. HRCS for assistance with understanding the appeals process.

The Calibration Process

What is calibration? Calibration is a two step process that includes supervisors who are responsible for conducting performance evaluations, the reviewers who examine the employee evaluations, and the executive to whom these individuals report. The calibration process provides a forum for discussion of employees' performance with the goal of making sure supervisors apply similar standards for all employees and eliminate biases to the greatest extent possible. Calibration relies on an honest and confidential dialogue among supervisors, reviewers and the responsible executive.

What are the benefits of calibrating performance ratings? Calibration:

- ensures supervisors are well versed in the definitions and application of the rating scale;
- helps supervisors have well thought through reasons as to why they gave a particular rating to an employee;
- helps prepare supervisors to have better performance discussions with their employees;
- provides supervisors with more confidence in their ratings after discussing the rating in a calibration meeting;
- ensures a more consistent and fair evaluation of an employee's performance by identifying potential supervisor and reviewer biases; and,

- aids the University Staff pay for performance process by allowing us to be confident in our differentiation of performance levels.

When does calibration occur? Calibration occurs after a supervisor has sent an employee's completed evaluation to the reviewer and BEFORE the reviewer signs and returns the evaluation to the supervisor. In all cases, calibration occurs before signed performance evaluations have been shared with employees.

The Calibration Process. Calibration occurs in two steps. Each is described below.

Step 1. Upon completion of employee evaluations, and prior to the supervisor's signature, the evaluations are sent electronically to a reviewer. The reviewer is usually the supervisor's manager, but that may vary in certain schools and departments.

The reviewer reads each evaluation, looking in particular for constructive supervisory comments and ensuring evaluations are thorough and logical. If the reviewer decides a supervisor should alter a particular evaluation, the reviewer sends the evaluation back and waits for revision.

Once all employee evaluations have been examined and agreed upon by the reviewer – and any necessary changes are made, then a meeting is scheduled between all school/department reviewers and the school/department's responsible executive.

Step 2. The LEAD@UVA Super User runs ratings distribution reports. The executive calls a meeting with all the reviewers, and the Super User who brings (or may pass out in advance of) the reports to the meeting. In this meeting, the participants look at ratings distribution for the entire school/department and ensure the ratings are being consistently and fairly applied to all employees, and that no single supervisor is giving all employees the same numeric rating.

The group may ask questions about specific ratings and may suggest adjustments based on their experience with the employee. Following the discussion, reviewers send any evaluations requiring revision, back to the supervisor. After the supervisor makes the revisions, the evaluation is sent again to the reviewer for signature.

The reviewer signs the evaluation electronically and sends it forward to the supervisor who also electronically signs the evaluation, meets with the employee to discuss the evaluation, and then sends it forward to the employee for their electronic signature. The annual process is then complete.

Tips for a Successful Calibration Process

- **Communicate School/Department Goals.** Goals for each area should be communicated in advance and as thoroughly as possible so employees understand how their daily work contributes to the success of the school/department, and so that employees understand the measures on which they will be evaluated.
- **Include your HR Super User.** Having a neutral third party adds balance to the meeting and provides an important objective perspective which can lead to the identification and possible elimination of biases.
- **Educate supervisors.** They need to understand what calibration is, why it is necessary, how it works, and what their roles are.
- **Don't hide the process from employees.** It could de-motivate employees, if the calibration process is seen as secretive. Be open about the process, but maintain confidentiality outside of the calibration meeting.
- **Don't expect perfection.** The calibration process is imperfect because the people using it are imperfect.   Each calibration meeting should have checks and balances built in so leaders are held accountable for their evaluation decisions.
- **Get the right people involved.** Make sure that the reviewer can adequately represent the employees being discussed by articulating what that employee has accomplished and can respond appropriately to questions or challenges from the group. If questions arise, make sure the supervisor is available to clarify them.
- **Set appropriate ground rules for meetings**. Participants must feel open to challenge and debate.   They must also feel comfortable asking their peers for advice if they need help in determining or communicating a rating.
- **Leverage the information gathered during the process.** The power of calibration goes beyond performance ratings. These discussions yield important insight into the University's talent pipeline and overall development needs.

LEAD@UVA's Reporting Function

There are a number of standard reports associated with LEAD@UVA. In some cases, the Super User or another authorized person may be required to generate the reports. The standard list of reports includes: (NOTE – this section/list is not comprehensive.)

- Performance Employee Rating Report
- Performance Rating Distribution (Admin)
- Performance Rating Distribution (Manager)
- Team Completion Report
- Workflow Step Report
- Organization Goal Alignment by Employee Report

Performance Management Resource Guide

Part 7. The Evaluation Conversation

Once the Reviewer calibrates, signs and returns the evaluation to the supervisor, 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, supervisors should always meet face to face with the employee before sending the evaluation back.

Scheduling the Evaluation Discussion

The supervisor should set aside time with the employee to conduct the annual evaluation and notify the employee of the date, time and location.   Supervisors should chose 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 and Get Signature

Talking with Employees: The Conversation Process

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

Performance Management Resource Guide
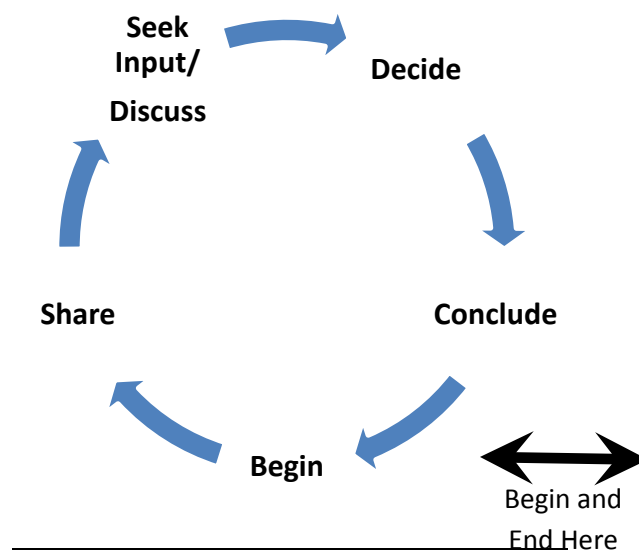
Begin: Begin with the purpose and importance of reviewing progress. Be sure to create a positive environment; set the employee at ease; highlight the purpose and benefits of the evaluation; provide an overview of the process, and reinforce the shared responsibility of the evaluation.

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.

Review Career Development Plan

Developing Employees: Questions to Ask During Career Conversations

Developing employees is critical to the University's future. Each employee serves as a leader within the organization and represents not just an individual school or department, but also the larger University community as well. Therefore, U.Va. expects supervisors to support employees in their career development, even if it means that the employee will move to another job or team. The Career Development Plan is used to document learning associated with performance goals, competencies, and the individual's career direction. A minimum of 1 development activity must be entered in LEAD@UVA.

U.Va. defines career development as a series of planned actions taken by employees:

- with the active support of management;
- using a variety of tools and resources provided by the University;
- to productively meet the demands of their current jobs, prepare for future work opportunities and challenges;
- to experience satisfying and successful work experiences and future career choices.

To help facilitate career development conversations, supervisors can follow the "Talking with Employees, The Conversation Process" outlined previously and choose a few of the following questions on which to focus their career conversation.

Current job

1. What do you like most about your current job?
2. What would you like to do more of?
3. What do you like the least about your current job?
4. What would you like to do less of?
5. What skills does my current job require? What is your current skill level in these areas?

Professional Growth Goals

1. Two or three years from now, where would you like to be professionally?

2. What would you need to achieve now to accomplish this?

3. What new responsibilities or challenges would move you ahead?

Untapped Abilities

1. Is there something more that you could do that would make a greater contribution to your organization?

2. Is there a new task or role you could take on that would make better use of your talents?

3. What additional value could you provide? What would it take to "release" this?

4. What are you not "allowed" to do that you could do and would like to do?

5. What challenges would you like to face that might help you grow?

Job Satisfaction

1. What would help you obtain more satisfaction from your work?

2. What changes could you make in your performance that would satisfy you more?

New Skills and Capabilities

1. What new jobs, roles and so forth, would you like to be better at?

2. What training, certifications, etc. would you like to obtain?

adapted from the University of Washington U-Plan:Workforce and Career Development Planning Guide, February 2007

Source: Strategic Employee Development Guide,

Robert Brinkerhoff and Rhonda Messinger

Each career discussion should be documented so employees are clear on the next steps. These next steps may include learning by experience, from others, or through additional education.

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 supervisor, 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 supervisor 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 supervisor will revise the evaluation;
- the supervisor will complete a new evaluation;
- the reviewer will revise the evaluation; or,
- the reviewer will complete a new 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 supervisor 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 supervisor 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 supervisor 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 re-evaluation 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 receives a re-evaluation rating of "Unsatisfactory," the supervisor will 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 U.Va. 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 supervisor should take the following steps (these steps assume a conversation between the employee and supervisor has already taken place):

- The supervisor 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.

Appendices

Appendix A. Definitions

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

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

Performance Management: A collaborative, on-going process between a supervisor 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.

Career Development Plan: A tab in the LEAD@UVA system that documents learning to support performance goals and competency development, as well as to plan for career development opportunities. This plan is not evaluated and is used for development purposes only.

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.

Overall Rating: The final rating given to an employee by a supervisor for a specific evaluation cycle. This rating may or may not be the same as the calculated rating which is automatically generated by LEAD@UVA. Performance goals and competencies are both weighted equally at 50%.

University Leadership Characteristics: The individual behavioral characteristics that determine an individual's success at the University.

Evaluation Cycle: All cycles will begin sometime between June 1 and September 30 and end 12 months later. Interim evaluations occur in the mid-point of each cycle. Probationary employees are reviewed 6 months from their date of hire. For additional information regarding probationary employees, refer to that specific section in this guide.

Pay for Performance: A portion of funds allocated by the state and/or the Board of Visitors each year for pay increases that are awarded for performance. The overall rating of the evaluation is one factor used to determine pay for performance, or merit pay.

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 and Procedures

A number of different policies relate to performance management. The entire repository of policies and procedures can be found at http://www.hr.virginia.edu/hr-for-you/university-staff/university-staff-policies-and-procedures.

Appendix C. FAQ's

Who will use the performance management process? 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. Upon successful completion of the probationary period, the employee will begin using LEAD@UVA.

What if goals change or need updating during the year? Employees or their supervisors can update goals up to the time when the employees complete their annual self-evaluation. After this step, the content of the form is locked.

If the immediate supervisor 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 supervisor 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 supervisor. Tasks in process by the former supervisor should be completed and then transferred to the new supervisor by a super user.

If an employee changes jobs in the University, how does that affect the performance evaluation? The new supervisor of the employee will receive and rate the performance of that person for the year. They may, of course, seek input from the employee's previous supervisor.

What if I have never set goals? The University realizes that setting goals, and especially S.M.A.R.T. goals, may be new for some employees. If you need help, call your local HR partner, the Human Resources Service Center, or consult the online tools listed at the performance management section of the University Human Resources web site.

What happens if a supervisor doesn't turn in an evaluation? All evaluations that have not been started will be sent forward by the HR partner on a date determined by each school/unit. The supervisor's failure to complete an evaluation will not penalize the employee.

Can an employee receive an overall rating of 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 prior written notice and be on a prescribed improvement plan.

What happens if an employee refuses to sign the form? Employees are asked to sign the evaluation form electronically and indicate that they have met and discussed the review with their supervisor. 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 supervisor will complete the evaluation and send it forward to the Reviewer.

My supervisor does not have time to give us all performance reviews. What do I do?   All supervisors are required to complete the performance management process for their employees. If a supervisor has an abundant number of direct reports, then the department should consider a redistribution of responsibilities so employees receive an accurate and fair evaluation.

What if employees are supervised by faculty members who are not familiar with the performance management system and state they do not have time to take the training? All individuals who supervise employees are required to be familiar with and follow the process using LEAD@UVA.

How are difficult discussions conducted? Difficult conversations should be thoughtfully planned and carried out. Supervisors have several resources to help them conduct conversations in general and difficult ones in particular. Some of these resources are found on the [performance management web page.](#)

Will the result of the performance evaluation affect salary? Yes, but for University Staff only. Classified Staff and A&P Faculty will continue to follow the same salary increase procedure as in the past.

Can supervisors give merit pay to employees when a performance evaluation was not conducted? No. In order to receive a pay increase, an employee must have a completed evaluation. Completing the evaluation is ultimately the supervisor's responsibility.

What happens in a year when there is no money for salary increases? Do we still do a performance evaluation? Yes. The purpose of performance management is to reflect on a person's work and provide feedback that helps them improve and grow. Regardless of budget considerations, evaluations must be conducted annually.