Appendix A:
Performance Management "Blocks" and "Ideals" Identified in the June, 2015 Opportunities Conference

A useful definition of PERFORMANCE MANAGEMENT
The process of developing the capacity of individuals to grow personally and professionally in ways that provide them with increased opportunities while continually adding value to the Department at the same time they are evaluated in relation to their contributions and rewarded in a manner commensurate with their ability to achieve their agreed upon goals at the highest level possible

Top 5 Blocks – Performance Management

- No good system in place for employee development ***
- Time constraints for both supervisors and staff ***
- Lack of reward system/incentive/promo opportunities *
- Lack of resources: money/time *
- Numerous outside influences (Yours/Mine/Ours)
- Equal opportunities for development
- Personal and professional development not an organizational priority
- Lack of trust to be able to clearly communicate feedback
- Need culture of training, learning, and professional development for all
- Complexity of being part of large organization vs. Department autonomy
- Skills and process for giving/receiving feedback
- Need culture of effective and respectful communication
- Lack of clarity of goals and job expectations
- Lack of coverage for development of individuals
- Development of individuals not a clear value (i.e. recognition) at multiple levels – reception to leadership
- Lack of training at all levels – front door to top
- Lack of shared mission and vision founded on health promotion and physician education
- Cultural courage – invest in what we believe in, be Ok w/failure but work for successes for all in the Dept.
- Multiple competing priorities, supervisors, and initiatives
- Too many rings in the circus
- DFM not recognized as financially valuable to system
- Lack of 'can do' attitude
- Wellness promotion

Ideals – Performance Management

- Clear, measurable, agreed upon goals, metrics and expectations ****
- Clear and frequent, ongoing and rapid-cycle feedback as needed **
- Incentive and reward system that motivates effort**
- Safety: openness and dialogue (honest, trustworthy)**
- Dedicated time to participate in development and feedback
- Fostering fun, trusting and action-oriented environment
- Transparency. Open understanding of roles and how they fit together. No secrets!
- Understand and respect the whole person. How can supervisors help the employee succeed in what is important to him/her? Train supervisors to balance employees' needs w/that of department
- Allow reflection; encourage feedback along the way. Give tools for success; provide support beyond being task-focused. Sustain it.

- Promote trust and fidelity. Respect equal voices; demonstrate culture of respect
- Define measurable outcomes
- Goal setting and development and plan (enhancement and advancement)
- Team discussions for program/clinic improvement (to increase buy in)
- Scheduled and timely with appropriate resources
- Allocation of $, resources, and time to follow through on professional development
- Professional roadmap (identifying opportunities for long-term growth in organization)
- Promote culture of laughter and positive regard
- Allowing for personal/professional growth and innovation by providing time and money
- Value and include all team members equally
- Out of the box approach to good performance. FUN
- Provide resources on identified job performance shortfalls
- Expand supervision beyond metrics. Ex: look at professional development issues

UW MEDICAL FOUNDATION POLICIES AND PROCEDURES
Human Resources
Performance Management Guidelines

Effective Date: 07/01/2010
Supersedes Guideline Date: 07/01/2005

PURPOSE:

It is UWMF's philosophy to reward individual employees based upon an equitable and consistent performance management process. Annual increases are determined on individual performance and achievement of goals and distributed on a common review date of October 1st based on the guidelines below.

GUIDELINES:

A supervisor will observe an employee's performance and keep him or her informed of progress in mastering job responsibilities. An employee or a supervisor may initiate discussion of work performance at any time. In addition to these informal discussions, UW Medical Foundation has a formal performance management system.

Performance is formally reviewed on an annual basis. Prior to the review session, the employee will complete a self-development plan in which the employee will assess his/her own performance, assess the completion of the prior year's goals, and work to develop goals for the upcoming year. The employee's supervisor will provide his/her assessment of the employee's performance, assist the employee in the development of future goals, and assign a merit increase. The employee and the supervisor will meet to discuss both assessments.

Eligibility
All employees are eligible for merit, based on their performance, given they also meet the guidelines below.

New Hires
Employees hired between July 1st and September 30th will be eligible for an increase on October 1st **of the following year**. This will result in an increase based on 13-15 months. The actual effective date of the increase may change year to year based on the first day of the pay period surrounding the October 1st date.

Supervisors should share the employee's job description with them at the time of their hire, and are encouraged to meet with them after the training period to develop goals for future growth.

Transfers
A transfer is a move to a different department/location in the same position, or a move to a different position that is within the same pay grade.

Employees who transfer should receive a summary of their performance from the departing supervisor. We encourage a conversation regarding the employee's performance to take place between the two supervisors. The new supervisor, when doing the performance assessment, should incorporate the summary from the prior supervisor, and assess a merit increase to cover the entire year. At the time of transfer, there will not be a change in the employee's rate of pay or eligibility for next merit increase.

Promotions & Reassignments
A promotion is a move to a position in a higher pay grade. A reassignment is a move to a position in a lower pay grade.

Employees who promote/reassign will have his/her pay reviewed for appropriate placement into the new pay grade. Typically these changes will result in a change in the employee's rate of pay, effective on the date of promotion/reassignment.

Employees promoted/reassigned between July 1st and September 30th will be eligible for a prorated increase on October 1st **of the following year**. This will result in an increase based on 13-15 months.

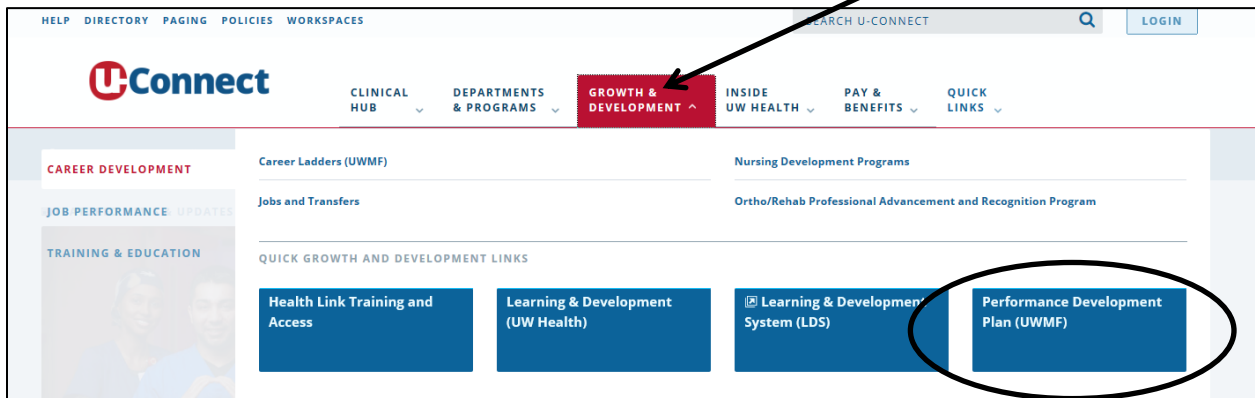# Performance Development Plan Quick Guide
For Managers
2015

NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES

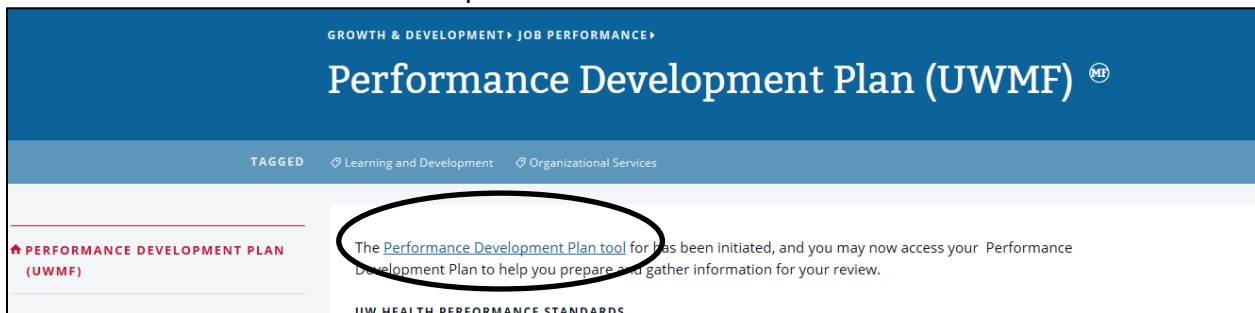## ACCESSING THE PERFORMANCE DEVELOPMENT PLAN (PDP) TOOL

The UW Medical Foundation PDP tool for staff is accessed and completed online.
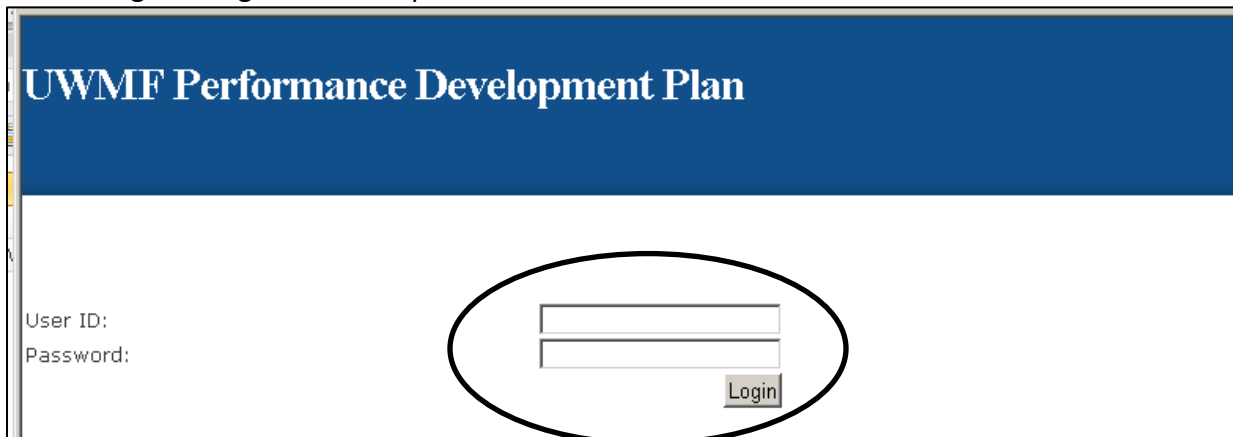
Location

- Access from uconnect
  - "Growth & Development"
  - "Performance Development Plan (UWMF)"

- Select "Performance Development Plan Tool"

- Log in using UserID and password

PERFORMANCE DEVELOPMENT PLAN (PDP) TOOL OVERVIEW

Helpful Info to Know

- "SAVE" often
- Do not use the back arrow (at top of screen)
    - Use the 'tabs'; ie. "Dashboard"
- An employee's current PDP cannot be seen by the Manager until the employee completes their self-appraisal and they **submit** it to the manager
- Once a Self-Appraisal has been submitted to the manager, it cannot be updated by the Employee unless the manager returns it back to the employee
- Once the PDP has been sent to the manager, the employee cannot see their self-appraisal until it's acknowledged'.
- History on past PDPs is available
- Employee Status meanings:
    - "Not Started" = Employee has not gone into the tool
    - "In Progress" = Employee has started self-appraisal

1. Dashboard

    - If you are a UWMF employee, this will be the screen from which you access **your** current year and previous years, Performance Development Plan (PDP)
    - Click on "Start" or "Continue" in the current year to complete your PDP

"Quick Notes" entered on this screen are about you as an employee, not your direct report.

PERFORMANCE DEVELOPMENT PLAN (PDP) TOOL OVERVIEW cont.

2. Click on "My Staff" to view the PDPs for your direct reports.

"Assigned to Manager"	Employee has completed self-assessment, now manager needs to complete
"Not Started"	Employee has not initiated their self-appraisal
"Assigned to Employee"	Employee has gone into system and started self-appraisal, not yet been submitted to manager
"Off Cycle"	Employee who has a hire date of July 1 of current year or later
"Start"	Manager has not yet started PDP
"Continue	Manager has gone into that PDP

PERFORMANCE DEVELOPMENT PLAN (PDP) TOOL OVERVIEW cont.

3. Select an employee to complete their PDP, and select "Start" or "Continue".
   a. Go through each tab along the top
   b. Write to each of "Competed", "Strengths", "Improvements", "Excellence", "Innovation", "Compassion", "Integrity", "Respect", "Accountability", "Goals" and "Additional"

Type in manager appraisal comments in this section, for each topic area

Employee self-assessment comments will appear in this box, visible as you are writing the manager appraisal.

4. On the "Preview page" can view in final form.
   a. If finished, click "Save and Exit"
   b. You are able to print from this screen, if desired

For each section – the left column will be the employee comments

For each section – the right column will be the manager comments.

5. Feedback Tool
   - If you wish to submit a feedback request to a manager on a direct report click on "Feedback"
   - "Received Requests" is a listing of the Feedback requests that you have received to complete

   To submit a Feedback Request for a direct report:
   a. Click on "Send New Request"

   b. From the dropdown, select which employee you are sending a request for
   c. From the dropdown, select the name of the employee you are requesting the feedback from.
   d. You may edit the message, if desired
   e. Submit feedback request

6. Employee Signoff – Once you have completed the performance discussion with your direct report:
   a. Log in into the PDP tool as yourself (Manager)
   b. Go to the employee's PDP
   c. Make any updates needed (ie. Goals/Development plans – did any change based on discussion and need to be updated)
   d. Click on Employee Sign-off"
   e. Employee will then need to log in with their ID and password to acknowledge the PDP has been discussed with them.
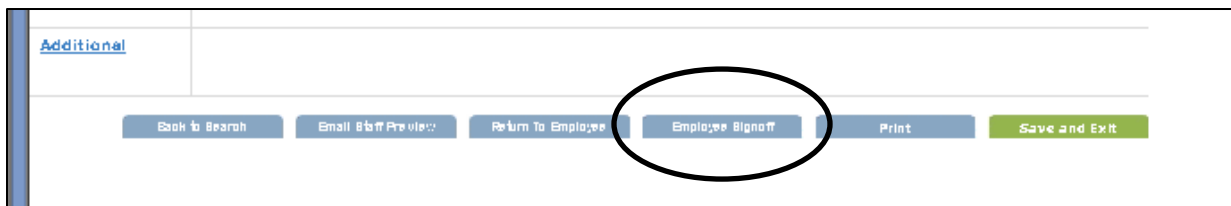
7. Entering "Notes" throughout the year

- As a manager, you are able to go into the PDP for each of your direct reports and enter notes for each section of the PDP.

UW HEALTH PERFORMANCE STANDARDS

In 2010, as part of the UW Health Strategic Plan, all three UW Health partners adopted a common set of values.   The standards correspond to these shared <u>UW Health values</u> -- integrity, innovation, compassion, accountability, respect and excellence (IICARE), which are the ideals that guide our actions and the expression in action of our organizational mission and vision.

Based on the UW Health values outlined in the strategic plan, the standards apply equally to all UW Health faculty and staff.

To support these values, the UW Health Performance Standards serve as the basis for the UW Medical Foundation Performance Development Plan. Within the tool, you may click on the standard to review the expanded definition, and will provide feedback on each.

Demonstrated behaviors provide descriptions of what the performance standards look like when they are embodied in the actions of employees. They provide general examples of the types of behaviors that are consistent with the standards. Individual units, departments and work teams may find it useful to come up with additional demonstrated behaviors that are specific to their particular roles and responsibilities.

The performance standards are general and apply to all settings and all types of roles and positions within UW Health. Your position description spells out your specific job duties and the skills and abilities needed to be successful in your role. If you have questions, don't hesitate to talk with your manager about how the standards apply to your position description and your specific responsibilities.

Excellence: Working together, we strive to be the best, and we work continuously to improve our performance and exceed expectations.

- Actively supports UW Health's mission, vision, values and strategic goals
- Consistently achieves superior results and delivers the highest quality care and/or service while inspiring others to do the same
- Consistently and actively participates in unit and department-level activities
- Improves performance by actively seeking feedback, coaching and mentoring
- Seeks and shares expertise on best practices
- Promotes continuous learning for all

UW HEALTH PERFORMANCE STANDARDS cont.

Innovation: We pride ourselves on finding new and better ways to enhance quality of care and all aspects of our work.

- Appropriately searches for and implements new ideas and methods to improve care, service, safety, and cost effectiveness
- Takes the initiative for completing work assignments more effectively and efficiently by using new ideas and methods when appropriate
- Continuously monitors results for further process improvements
- Willingly and effectively adapts to change

Compassion: We treat patients, families, learners and each other with kindness and empathy. We connect with patients and families individually
and personally and engage them as partners in decisions about their care.

- Anticipates the needs of colleagues, patients and family members in all situations
- Displays cultural sensitivity, empathy and genuine concern for the feelings and opinions of others
- Projects a positive, friendly, caring image of self, team and UW Health
- Demonstrates recognition that each person's job is vital to patient- and family-centered care and to the success of UW Health

Integrity: In all our decisions, we are guided by doing the right things at the right time and in the right place. We focus on the best interests of patients. We are always honest with each other, learners and our patients.

- Accepts responsibility for one's actions, honors commitments and communicates truthfully in all interactions
- Protects the confidentiality of UW Health, colleagues, patients and families
- Models and encourages high ethical standards
- Represents UW Health in a positive and professional manner both within and outside the organization

Respect: We honor patients' right to privacy and confidentiality. We value differences among individuals and groups; and we actively listen, encourage feedback and choose the best way to deliver timely and meaningful information in all situations, especially in the high stress situations inherent in this complex and demanding patient care environment.

- Acknowledges, honors and values diverse backgrounds, perspectives and cultural differences
- Values and uses the unique talents and viewpoints of others
- Leverages the unique talents and viewpoints of others
- Seeks common ground to resolve conflicts

UW HEALTH PERFORMANCE STANDARDS cont.

- Gives constructive feedback in a respectful manner in every situation
- Maintains professional boundaries
- Is courteous, honest and respectful in all interactions
- Accepts, acknowledges and values the different roles within UW Health and how they contribute

Accountability: We hold ourselves individually and collectively responsible for the work we do and for the experience and outcomes of every patient, every learner, every day.

- Completely understands job requirements
- Completes work on time, in accordance with expectations and in an excellent manner
- Takes personal responsibility for decisions, actions and results and learns from successes and failures
- Seeks or accepts guidance when needed
- Follows and supports organizational and departmental policies

Additional Responsibilities for UW Health Leaders

For Executives

- Demonstrates the highest business and professional ethics
- Visibly leads UW Health's mission of advancing health through, service, scholarship, science and social responsibility
- Demonstrates mastery of current policies, practices, politics, trends, technology and information affecting the healthcare environment and develops and executes plans to advance the well-being of the people of Wisconsin and beyond
- Has an awareness and understanding of potential changes that could affect the healthcare environment
- Supports UW Health's vision to ensure UW Health is a recognized health care leader at the regional and national level
- Leads the development of UW Health's culture of safety and continuous process improvement through performance measurement, system redesign and quality improvement while maintaining regulatory compliance
- Effectively establishes collaborative relationships and alliances throughout UW Health as well as externally
- Coaches and develops others through reinforcement, openness, constructive feedback and respect

UW HEALTH PERFORMANCE STANDARDS cont.

For Directors and Managers

- Demonstrates the highest business and professional ethics
- Visibly leads UW Health's mission of advancing health through, service, scholarship, science and social responsibility
- Successfully integrates tactical and operational planning and ensures fiscal responsibility. Fully supports strategic decision-making as appropriate
- Creates a highly engaged workforce that is focused on patient- and family-centered care, in either a direct or supporting role, and embraces cultural competence
- Promotes cooperation among staff and peers to communicate and share ideas, problems/concerns, successes and resources of mutual or common interest
- Supports and builds UW Health's culture of safety and continuous process improvement through performance measurement, system redesign and quality improvement while maintaining regulatory compliance
- Coaches and develops others through reinforcement, openness, constructive feedback and respect

For Faculty

- Demonstrates the highest business and professional ethics
- Visibly leads UW Health's mission of advancing health through, service, scholarship, science and social responsibility
- Serves the best interests of patients and families with treatments and programs that ensure the best possible care
- Uses appropriate assessment and treatment techniques in a competent manner following professional standards of practice
- Demonstrates knowledge of various learning styles and sensitivity to cultural differences
- Demonstrates creative application of new technologies within the academic discipline
- Leads the development of UW Health's culture of safety and continuous process improvement through performance measurement, system redesign and quality improvement while maintaining regulatory compliance and cost effectiveness
- Supports the academic mission of UW Health, including research and teaching, consistent with faculty role

ACTION WORDS

A— Accomplish, Account, Accumulate, Acquire, Activate, Adhere, Administer, Advertise, Advise, Allocate, Analyze, Appraise, Approve, Arbitrated, Arrange, Assembled, Assign, Assist, Assume, Assure, Audit, Augment, Authorize, Automate, Award

B— Brought, Budget, Built

C— Calculate, Catalog, Charted, Change, Checking, Code, Collect, Communicate, Compare, Compile, Complete, Compose, Compound, Compute, Conceive, Concentrate, Conduct, Configure, Conserved, Consider, Consolidated, Construct, Consult, Continue, Contract, Contribute, Control, Cooperate, Coordinate, Correct, Correlate, Corresponded, Create, Credit

D— Decrease, Define, Delegate, Delete, Deliver, Design, Detailing, Detected, Determine, Develop, Devised, Diagnosed, Direct, Discovered, Disperse, Dispensed, Display, Distribute, Diverted, Document. Drive

E— Edit, Educate, Eliminated, Emphasize, Employ, Enforcing, Engage, Engineer, Enhance, Enlarge, Ensure, Establish, Examine, Execute, Exercise, Expand, Expedite, Extend, Evaluate

F— Fix, Flowchart, Forecast, Formulated, Founded, Function as, Furnish

G— Gathered, Generate, Grant, Graph, Guarantee, Guided

H— Handled, Having responsibility, Head, Help, Hire

I— Identify, Implement, Improve, Include, Increase, Inform, Initialize, Initiate, Inspect, Install, Instruct, Integrate, Interfere, Interpret, Interview, Invent, Investigate, Involve, Issue

J— Join, Judge, Justify

L— Leading, Lease, Lectured, Lessen, Leverage, Load

M— Maintain, Manage, Manipulating, Market, Master, Measure, Mediating, Meet, Mentored, Modify, Monitor, Motivate

N— Navigated, Negotiate, Network, Neutralize, Normalize, Notify

O— Observe, Obtain, Open, Operate, Orchestrate, Order, Organize, Originated, Oversaw

P— Participate, Perform, Persuade, Plan, Post, Prepare, Prescribed, Present, Problem-solving, Process, Procure, Produce, Program, Project, Promote, Propose, Protect, Provide, Publicize, Purchase

ACTION WORDS cont.

Q— Qualify, Quantify, Questioning

R— Realized, Researched, Reclaim, Recommend, Reconstruct, Recorded, Recruit, Reduce, Refer, Release, Rendered, Report, Represent, Request, Require, Requisition, Research, Reshape, Responsible for, Restore, Retain, Retrieve, Review, Revise, Reward

S— Selling, Selected, Schedule, Screen, Secure, Select, Sell, Serve, Set Objectives, Set Up, Solid, Solve, Sort, Specify, Staff, Standardize, Stimulate, Strategized, Strengthen, Structure, Study, Subcontract, Submit, Succeed, Summarize, Supervise, Supply, Support, Synthesize, Systematize

T— Taking instructions, Teach, Team-building, Test, Trace, Track, Train, Transcribing, Transfer, Translate

U— Unified, Update, Upgrade, Undertaking, Underscore, Utilize

V— Validate, Verbalizing, Verify, Visualize

W— Weighing, Working, Write

Rating Scale

As part of the Performance Development Plan (PDP) process, managers have the option to rate performance using a 5-point scale in each of the Performance Standard sections.

The intent of these ratings is to give an employee an understanding of where performance stands in relation to expectations.   Something important to remember, the rating is for the overall section and includes demonstration of all of the behavioral expectations listed. For UWMF managers, it is optional whether you wish to use the rating scale, or allow the wording you use in the PDP to speak for itself.

Rating	Rating Description	Definition
1	Does not meet expectations	An employee who consistently fails to meet expectations. The employee is either unwilling and/or unable to successfully perform the assigned duties of the job. Corrective action is required.
2	Inconsistently meets expectations	An employee who does not always meet expectations. The employee may be unable to successfully perform assigned duties and may require additional training or corrective action.
3	Meets expectations	An employee who fully meets the expectations for the position.
4	Goes above expectations	An employee who consistently meets and often goes above and beyond expectations without prompting.
5	Outstanding	An employee who consistently produces results that greatly exceed expectations. A role model for UW Health.

Example:
Innovation: We pride ourselves on finding new and better ways to enhance quality of care and all aspects of our work.

- Appropriately searches for and implements new ideas and methods to improve care, service, safety, and cost effectiveness
- Takes the initiative for completing work assignments more effectively and efficiently by using new ideas and methods when appropriate
- Continuously monitors results for further process improvements
- Willingly and effectively adapts to change

An employee who receives a 'Meets Expectations' rating has demonstrated <u>each</u> of the behaviorals associated with a Performance Standard on a consistent basis, and may even occasionally go above and beyond.   If there are situations in which there may be one or more areas in which the employee has not consistently demonstrated the above (ex. not continuously looking for process improvements, or has demonstrated resistance to change), consider whether 'Inconsistently meets expectations' or 'Does not meet expectations' may be

more appropriate.   The Performance Standards and behaviorals associates with each describe the minimum expectations for each employee, every day.

Some managers have found it helpful when writing the PDP to copy and paste the behavioral expectations (definition and bulleted items) into the text space when completing the manager appraisal, and then following it up with specific examples of how each was demonstrated. This puts the reaffirmation of what the minimum performance expectations are for a 'Meets Expectations' rating.

Regardless of rating, it's important to focus on what can be done to continuously improve in demonstrating the performance expectations. As a manager, you may wish to tie in goals/development plans to specific items that should be a focus area for your employee in the upcoming year.

Examples Manager Feedback for Staff Self Development Plan

<u>Completed</u>
- Janelle did a great job meeting her goals for this year (listed below). She did a particularly good job on xxx and on xxx.
- I agree with Jose's completed goals from last year, and he has demonstrated his ability to xxx and xxxx.
- Jackson successfully completed his goals from last year. He will continue to be involved in the xxxx initiatives that he has been integral in starting this year. Nice job on all of the work in this area.
- Janelle did not attend the xxx class, but was able to attend the xxx Training. She is doing okay with xxx, but will improve over time. I feel she has a good understanding of the xx. She will need to continue to work on xxx. Continue to xxxx.

<u>Strengths</u>
- Janelle is excellent on project work. She has tackled large projects requested by her Supervisor and masters the end result. Over the past year, Janelle was asked to xxx. Nancy xxx,xxx, and xxx. She was successful in finding a solution that xxx. This result xxxxx.
- Jose is also very strong in finding ways to xxxx. In the past year, xxxx.
- Jackson works very hard to ensure everything is completed on time and correctly. His attention to detail is excellent and her information is very accurate.

<u>Improvements (Development Areas)</u>
- Janelle has taken on the challenge of xxx. I agree that Janelle should work on her relationships with staff, the continuation of team building and realizing strengths and weaknesses within the department. All of the staff are not equal but through coaching, realigning work duties and leadership, Janelle will bring the best out of each team member and the department. Nancy should work on time management. She continues to complete all tasks and assignments so quickly, she struggles to have balance at work.
- Jackson has been less reactionary when unexpected problems or events occur. While he still tends to get frustrated at some things beyond his control, he has learned to channel that to either ignore it because it's not of great consequence or directly approach the situation and try to affect changes that way. A couple examples of this are xxxx and xxxx.

Examples Manager Feedback for Staff Self Development Plan cont.

Excellence
- Janelle supports and promotes an atmosphere that embodies the UW Health mission, vision, values and strategic goals. She works with her staff to provide excellence in all they do. Janelle encourages her staff to be actively engaged in the clinic and suggests great classes that she feels would benefit them through our learning resource department. Janelle is always willing to share her clinics best practices with other managers, such as xxx and xxxx. She is also very willing to learn what other managers are doing that has been successful – examples include xxxx, xxx x and xxxxx.
- Janelle has been great at developing professional relationships with people who benefit the company and contribute to our organization's growth. Her behavior with fellow employees and vendors is very professional which also reflects in her attitude toward her work. Janelle participates in all department activities and has volunteered to xxxx this year. Janelle accepts feedback from her Supervisor and actively seeks coaching and mentoring as a learning exercise.   I would like Janelle to continue to work with her team so that they share agreed upon goals and expectations.

Innovation
- Janelle is innovative and exceptional in saving the company money through xxx and xxxx. She also improves processes, creates work flows and the documentation to ensure new processes are followed and communicated to end users. She adapts to change.
- I always expect Jackson to think of easier work flows or think of enhancement requests. He has come up with many great ideas in the past which resulted in implementing his ideas. He thought of creating the xxx so the xxxx. We've now incorporated using the xxxx. This has been a huge time saver. He is proactive in many area's as he described in his comments. He is always watching and xxx. In the past couple of weeks he has taken the initiative of xxxxx.

Compassion
- Janelle evokes kindness and compassion consistently. She is empathetic to patients, families and her staff. Janelle connects with staff on a personal level and engages them to achieve the strategic goals that they are working on. Janelle is challenged at times by employees that may not feel as passionately about their work as she does She re-directs them and offers out classes they can take to try and re-fuel their compassion tanks
- Jackson sets the gold standard for compassion. Although he indicates that he cannot fully relate to every situation, he makes the patient feel that he can by being a good listener and by using a caring tone of voice. He helps address what the caller is asking for and then listens to what else might be going on in that caller's situation. Jackson's tone while on the phone never varies from being kind and patient. He has a true conversation with each person, making them feel like they are the most important thing that he is working on.

Examples Manager Feedback for Staff Self Development Plan cont.

<u>Integrity</u>
- Janelle has a high-level of integrity when is comes to her actions. She takes a great deal of responsibility for her commitments and has holds herself to a high-level at all times. Janelle's performance is always in line with high ethical standards and true professionalism. I noticed her level of integrity through our recent <xxxx> process. Janelle was a great advocate for UW Health and xxx when helping to promote our organization as a great place to work. I truly appreciated her approach and professionalism in this instance.
- Janelle believes in doing the right thing everyday even if it involves some conflict. She wants to ensure that the clinics talk across the system and communicate effectively so that patients receive the best possible care. Janelle focuses on the best interests of patients, their families, staff and providers. An example of this was xxxx. Finding a way to balance all of the needs requires her to be creative, but her integrity keeps her focus on providing patients with the best possible care. Janelle takes confidentiality very seriously and ensures that the HIPAA guidelines are followed. Janelle takes responsibility for her actions. If she has an interaction that she isn't happy with she is very open to suggestions or guidance as to what could have been done differently. An example was when xxxxx.   Janelle is a role model for employees to be both positive and professional when they are representing UW Health.

<u>Respect</u>
- Jackson is very respectful of our patients, staff and providers. He is very conscious of being professional yet friendly. Patients are appreciative of his attention and feel comfortable with his care. This was exemplified by xxxxx.
- Dynamics in a close knit work family are always going to be present.   Valuing the differences among individuals and recognizing that each person brings something special to the table is important for our team's success. Janelle has gotten much better at leveraging the unique talents and viewpoints of others, and will be point person for our new hire for training and inclusion into the team.
- Janelle has demonstrated, over and over, respect for her team members. This has been a critical time and she has been the go to and informal leader of the team. She has handled this well, without coming across as a know it all. She has sought input of others, encouraged them to share their perspective during meetings and checking her understanding of their needs.

Examples Manager Feedback for Staff Self Development Plan cont.

Accountability

- Janelle is a very accountable person. She completes all tasks on time and in an excellent manner.   My only suggestion is that Janelle needs to be realistic in time management and find ways to work on expectations of herself and others. Janelle places a lot of pressure on herself which is the reason why she is so successful but also needs to be realistic in workload.

- Jackson completes his job requirements as a xxx, and completes work on time, in accordance with expectations and in an excellent manner. I can trust I can assign him a task and he will not only complete it to the best of his ability, but in a very timely manner. He has remained open in his communication with me to improve his communication style and I recently witnessed him respectfully remove himself from a situation that felt uncomfortable for him, which I know was hard to do because he was passionate about the discussion. Removing himself allowed him to collect his thoughts, and we were able to later continue the discussion. Jackson is very reliable and thorough. Jackson is very accountable in all aspects of xxxxx.

- Jackson takes pride in the work he does and it shows by the amount of effort he puts into it. Jackson will take the time to come back and xxxxx, to make sure that his work is done right and correctly. Jackson knows how to prioritize his work load and follows through to make sure everything gets done in a timely manner. Jackson has improved on keeping me updated with the day to day items that he is working on and any problems he may come across.

SETTING GOALS & DEVELOPMENT PLANS

Development planning focuses on enhancing current skills and abilities, or developing skills and abilities for the future, and is an important part of managing your performance.

As part of the PDP process, you'll identify three to five professional goals/development plans you want to set for the next year. You may wish to refer to the "Improvements" section to create development plans that correspond with your improvement areas, as applicable.

When a goal is Specific, Measurable, Attainable, Relevant and Time Specific, it's more likely to be achieved. When writing your goals/development plans, work on incorporate these factors into each one.

3-5 SMART goals/development plans
- Specific (what is expected)
- Measurable (know when goal has been achieved)
- Attainable (challenging, but still achievable, realistic)
- Relevant (either to current role/skills or attaining skills for new role)
- Time Specific (identify timeline for completion)

Possible Developmental Ideas
On the Job Assignments
- Job rotations and cross-training
- Swap jobs for a period of time
- Discussion group to learn additional skills/knowledge
- Staff meetings: have employee prepare, conduct and facilitate

Temporary reassignments or projects
- Start up something new
- Follow-up on a take-away from a meeting
- Improve a process/procedure
- Interview counterparts about best practices and summarize learning

Job enrichment/restructuring
- Reorganize job content within dept to provide employees with growth experiences
- Coach someone else who is weak in an area that employee is strong

Stretch tasks
- Leverage work situations to practice development need

Leverage Relationships
- Coaching, Mentoring, Networking
  - Mentor or mentee relationships
- Shadowing and Observing Others

Education and Training
- Training workshops, seminars
- Reading books, showing implementation

SETTING GOALS & DEVELOPMENT PLANS cont.

Examples from Employee Self-Assessments

- Complete the process of becoming a Super user by xx/xx/xxxx.
- Share one significant "finding" with staff from attending and participating in each of the xxxx meetings so that others may also learn.
- Continue working on developing your communication skills with staff and patients to develop active listening skills; constructive, not destructive, communication techniques and professionalism with our actions and words.
- Meet with my Supervisor weekly to review and check in; Become fluent in hospital discharge planning ; Becoming fluent with the social service work standard; Help improve phone stats individually and for the department.
- I plan to seek out training opportunities for Epic software whether internally or externally, depending on costs/resource availability by Q3 2015 to increase my familiarity with the software behind all of our initiatives
- Sign up every physical for My Chart. Attend xx% of staff meetings. Attend one outside learning opportunity in the next year on xxxx.
- Observe each staff member facilitate a meeting at least twice and provide feedback.
- Standardize at least 3 internal processes.
- Read something related to health care, health care improvement on a weekly basis.
- Train new personnel and stay current with system upgrades and provider changes.
- Learn to efficiently and thoroughly make OR pre op interview phone calls.
- Continue to work with <name> to get her comfortable and competent as a member of the team by <doing these specific steps>.
- Improve knowledge of template, working with Doctor's Schedules. I do know basics but I know there is room for improvement. I will do this by schedule 1:1 time with my co-worker four times in the next month to cover more in-depth details of the templates and schedules.
- I am going to assist with duties such as surgery scheduling and pre-op appointments so that I can become more efficient. I would like to at least schedule 2 surgeries and do 2 pre-op appointments every month. I would also like to shadow a pre-op visit with the RN so that I make sure I am giving patients all the needed information.
- Pass the test for starting intravenous procedures in the next two months.
- Become more familiar with company policies and procedures, so that I can answer questions better when the front desk calls back to our department in the next two months. I will do this by xxxx (list examples, such as scheduling 1:1 sessions with team members shadowing, reviewing procedural documents, etc).
- Learn how to navigate EPIC more efficiently, so that I can pull up needed patient information more quickly in the next month.
- Complete my <specific certification> within the next year.

SETTING GOALS & DEVELOPMENT PLANS cont.

Examples from Manager Self-Assessments
- Janelle continues to become more familiar with activities within the department. I would like Janelle to gain greater understanding of the department's relationship to the overall mission and function of UWMF. Continuing participation in the Mission/Vision group activities will assist her in achieving this goal. Janelle has taken the basic Outlook class, and should continue to learn more advanced options through taking the additional Outlook class by January 2015. I would like to see Janelle's documentation become more concise while continuing to be thorough; Janelle should setup monthly 1:1 discussions with myself to discuss examples for the past month and ways to improve.
- An additional goal I would like to add is for Janelle to participate in the monthly "XXXX" teleconferences to ensure xxx is well represented and able to participate in the decision making regarding the xxxx. In addition, I would like Janelle to concentrate on this coming year is xxxx. She should look into having xxxx spend some time xxx and xxxx. This should be completed by xxxxx, with a follow-up with the manager to discuss status.
- Maintain certification as a HL superuser, attend at least 2 meetings per year, and bring information back to coworkers.
- Update the xxxx policies and procedures by January 2014.
- Participate in the hand hygiene campaign by completing monthly observations each month and obtaining compliance goal of 80%.
- Identify at least one process to change or improve work flow. We will again need to look at the policy development process as it continues to evolve. Complete by 4/1/2014
- Assist with the coordination of the xxx and the xxx. Identify all the issues that need to be addressed such as xx, xxx, xxx, xxx, etc. Complete by 5/1/2014.
- Choose and register for at least one training seminar regarding xxxx through the HR department prior to 12/31/14. Attend the seminar prior to 6/30/15. Present at least 5 main ideas learned at your training seminar to the team.
- I would like you to set up our xxx. I think you have a lot of knowledge that you would like to share with others and I think this would be a good place to start. I will work with you to set this up. I would like to meet with you on 2 other occasions before than to discuss the setup. I am leaving those meetings in your hands to set up with me.
- I would like to see you reach out and find one group/event that you would you like to be a part of by the end of 2014. We have different workgroups that pop up on different subjects throughout the year. This will help give you exposure to other people in the clinic on different teams and may help you learn more about the clinic. Plus, it will help you share all your great ideas in a constructive way in a place where you can use them to grow.
- Learn to xxx, complete this once each week to be reviewed with Supervisor on a monthly basis for feedback.
- Research if other opportunities exist for our xxx. This would include review of current method and process, as well as possible innovations in the industry. Present findings to manager by xx/xx/xxxx.

PDP MANAGER & EMPLOYEE RESPONSIBILITIES

Manager Responsibilities
- Conduct the performance discussion
- Actively promote the use of PDP and completion of goals throughout the year
- Exemplify the Performance Standards
- Clearly communicate realistic and challenging objectives
- Support targeted development plan/goals
- Provide realistic, yet challenging work
- Develop the entire team
- Provide regular and constructive feedback
- Manage rewards and ensure fair compensation
- Coach and support employee career development

Employee Responsibilities
- Be proactive in the PDP process
- Exhibit the behaviors/performance expected in the Performance Standards
- Do a self assessment
- Provide input in setting annual development plans/goals
- Communicate concerns or difficulties
- Implement the development plans!
- Provide status updates on assigned objectives/goals
- Propose suggestions on personal professional development
- Proactively manage development activities

UWMF RECOGNITION PROGRAMS

Hi-5
A simple, informal way to recognize a colleague. From the Directory home page, select the *Send a Hi-5* button and follow the prompts.
- Step 1 – Go to directory and find person
- Step 2 – Click on "Send HI-5"
- Step 3 – Log into directory
- Step 4 – Select greeting
- Step 5 – Enter details and submit

Thanks For Caring
A program (for managers only) to help you provide on-the-spot recognition to employees who exemplify "best of the best" behaviors.
- On-the-spot recognition; Can be submitted by UW Health Managers
- Acknowledges employees who exemplify "best of the best" behaviors guided by one or more of our UW Health values
- 3 Levels
    - Bronze – Hi-5 or Thank you Card
    - Silver - $5 gift card or gift
    - Gold - $10 gift card, Framed motivational prints, other gifts
- Access: Manager Toolkit
    - A to Z
    - 'Thanks for Caring

Service Anniversary
At the time of your anniversary (5, 10, 15, etc.), you will be given the opportunity to select a gift recognizing your years of service with UWMF.

Shining Star Award
Recognition for those that exemplify of the UWMF values (UW Health Performance Standards)
- Looking for individuals that have gone above and beyond for **Performance Standards**
- Provide specific examples (the more info the better)
- Nominations reviewed by Exec team members and final award recipients selected
- 3 award recipients selected
    - Presented during location Appreciation Lunch in June;
    - Jacket, Crystal award, Ad in paper
    - Other nominees not selected presented with alternate award

Other Examples/Options
Include: Employee Appreciation Week, Physician Excellence, APP Excellence Awards, and Community Service Award

REMEMBER – S.A.I.L. Recognition
- **S**ituation
- **A**ction
- **I**mpact
- **L**ink to UW Health Values

TOTAL REWARDS PHILOSOPHY

- Emphasize the big picture
- Include both monetary and non-monetary pieces
    - Pay is important, but so is culture, environment, benefits, education/training, development opportunities, profit sharing, work/life balance and so much more!

Balance of Work & Life
- Flexible work arrangements
- Assistance programs (EAP)

Environment
- The job
- The place
- The company

Development
- Learning opportunities (training and development team, tuition reimbursement)
- Coaching/mentoring
- Job opportunities (job posting)
- Employee involvement

Culture
- Leadership
- Communications style
- Mission/values/vision
- Degree of:
    Cultural sensitivity
    Diversity
    Formality
    Innovation
    Trust

Work Experience

Acknowledgement/ Recognition
- Types: formal/Informal; cash/non-cash; peer-to-peer; managerial
- UWMF programs: Bravo, length of service

Total Rewards

Variable
- Discretionary year end bonus
- Non-physician referral bonus

Compensation

Benefits

Pay for Time Not Worked
- At work (orientation, meetings, training, breaks/lunch < 30 min)
- Not at work (earned time, holiday pay, reserve time)

Fixed

Base
- Salary (exempt)
- Hourly (non-exempt)

Differential
- Shift
- Holiday
- Float
- CPR
- Others (Team leader)

Protection Programs

Non-mandatory
- Medical/health (vision, prescription, mental health)
- Dental
- Life
- Disability
- Retirement Plan
- Flexible Spending Accounts

Mandatory
- Unemployment
- Workers' Compensatio
- Social Security

Total Rewards Diagram
All the tools available to an employer that may be used to attract, retain, and motivate employees

NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES

Performance Development Plan Quick Guide
For Employees
Understanding your PDP and Total Rewards
2015

University of Wisconsin Medical Foundation
Human Resources

NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES

STEPS FOR A SOLID SELF-APPRAISAL

The self-appraisal (also known as a self-evaluation or a self-assessment) is your opportunity to reflect on the things you did well, and the things you didn't do so well — but *learned* from this past year.

The self-appraisal allows your manager to view performance from your perspective; it also helps your manager understand what you see as your strengths and weaknesses. Self-appraisals are a crucial component to providing a "complete picture" of performance.

In addition, it's difficult for any one person to remember all of the successes and challenges during the year. While managers work to remember all the great accomplishments and successes you had throughout the year (and recognize challenges, too), we are each also accountable for reporting on these successes and challenges.

- Share your brilliant successes
    - Look at previous feedback received, projects you've completed and initiatives you've launched – all excellent self-appraisal fodder
- Share what you've learned
    - What have you learned in the past year? Identify the ways in which you've been able to enhance your skills; describe the new skills you've mastered and how they have helped you in your career development
    - Describe how you have applied these new skills to your job and how they support the goals of your department and UW Health
- Share your challenges
    - Be candid about your challenges in the year. Describe how you overcame them or the steps you will take in the year ahead to address them.
- Be honest
    - Don't embellish your accomplishments. Be prepared to provide examples.
- Take time to do the self-appraisal well
    - Take the time needed to do it justice (schedule time for it in your calendar!). After all, your self-appraisal is all about you, and you're worth it! Use all the space/features provided in the self-appraisal form to tell your story.

**Adapted from "How to Write a Great Self-Appraisal in Six-Steps" by Dominque Jones
http://www.halogensoftware.com/blog/how-to-write-a-great-self-appraisal-in-six-steps

ACCESSING THE PERFORMANCE DEVELOPMENT PLAN (PDP) TOOL

The UW Medical Foundation PDP tool for staff is accessed and completed online.

Location

- Access from uconnect
  - Go to "Growth & Development" and then "Performance Development"
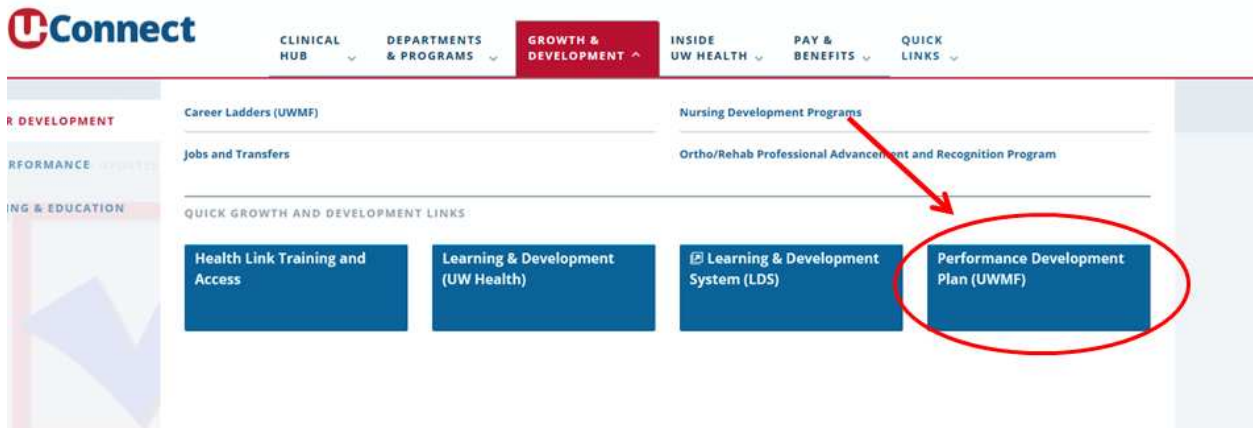
- Then click on the "Performance Development Plan Tool" link
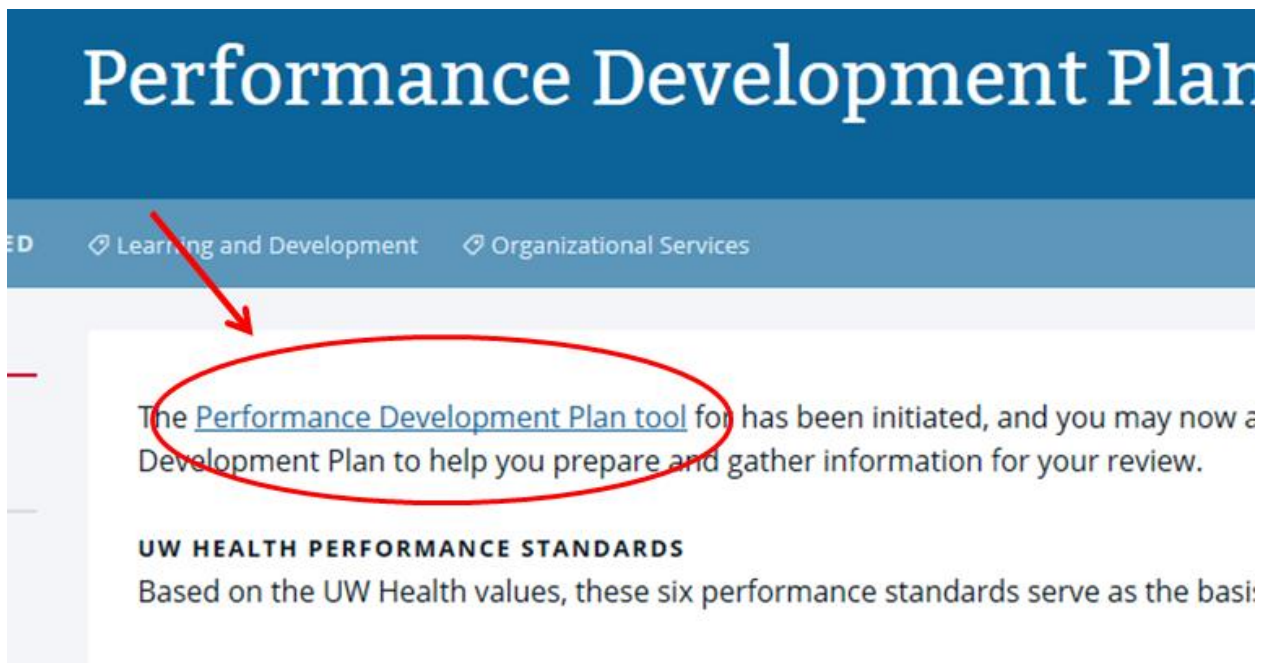
- Log in to the tool using your UserID and password

PERFORMANCE DEVELOPMENT PLAN (PDP) TOOL OVERVIEW

Helpful Info to Know
- "SAVE" often
- Do not use the back arrow (at top of screen)
  - Use the 'tabs'; ie. "Dashboard"
- An employee's current PDP cannot be seen by the Manager until the employee completes their self-appraisal and they **submits** it to the manager
- Be aware that the system will time-out after in-activity; save your information before walking away from the computer
- Once a Self-Appraisal has been submitted to the manager, it cannot be updated by the Employee unless the manager returns it back to the employee
- History on past PDPs is available

Once logged into the Performance Development Plan tool, follow these steps to navigate through the tool:

1. Dashboard

- Access your current year and previous years, Performance Development Plan (PDP)
- Click on "Start" or "Continue" in the current year to complete your PDP

Version D

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PERFORMANCE DEVELOPMENT PLAN (PDP) TOOL OVERVIEW cont.

2. Performance Development Plan
   - Go through each tab along the top
   - Write to each of "Competed", "Strengths", "Improvements", "Excellence", "Innovation", "Compassion", "Integrity", "Respect", "Accountability", "Goals" and "Additional"

3. Submit Once Completed
   - Once completed, from the "Preview" tab, click on "Send to Manager" to submit to your Supervisor/Manager.
   - Once submitted, updates cannot be made unless the manager returns it back to you

UW HEALTH PERFORMANCE STANDARDS

In 2010, as part of the UW Health Strategic Plan, all three UW Health partners adopted a common set of values.   The standards correspond to these shared UW Health values -- integrity, innovation, compassion, accountability, respect and excellence (IICARE), which are the ideals that guide our actions and the expression in action of our organizational mission and vision.

Based on the UW Health values outlined in the strategic plan, the standards apply equally to all UW Health faculty and staff.

To support these values, the UW Health Performance Standards serve as the basis for the UW Medical Foundation Performance Development Plan. Within the tool, you may click on the standard to review the expanded definition, and will provide feedback on each.

Demonstrated behaviors provide descriptions of what the performance standards look like when they are embodied in the actions of employees. They provide general examples of the types of behaviors that are consistent with the standards. Individual units, departments and work teams may find it useful to come up with additional demonstrated behaviors that are specific to their particular roles and responsibilities.

The performance standards are general and apply to all settings and all types of roles and positions within UW Health. Your position description spells out your specific job duties and the skills and abilities needed to be successful in your role. If you have questions, don't hesitate to talk with your manager about how the standards apply to your position description and your specific responsibilities.

Performance Standard Definitions and Demonstrated Behaviors

Innovation: We pride ourselves on finding new and better ways to enhance quality of care and all aspects of our work.

- Appropriately searches for and implements new ideas and methods to improve care, service, safety, and cost effectiveness
- Takes the initiative for completing work assignments more effectively and efficiently by using new ideas and methods when appropriate
- Continuously monitors results for further process improvements
- Willingly and effectively adapts to change

UW HEALTH PERFORMANCE STANDARDS cont.

Integrity: In all our decisions, we are guided by doing the right things at the right time and in the right place. We focus on the best interests of patients. We are always honest with each other, learners and our patients.

- Accepts responsibility for one's actions, honors commitments and communicates truthfully in all interactions
- Protects the confidentiality of UW Health, colleagues, patients and families
- Models and encourages high ethical standards
- Represents UW Health in a positive and professional manner both within and outside the organization

Compassion: We treat patients, families, learners and each other with kindness and empathy. We connect with patients and families individually
and personally and engage them as partners in decisions about their care.

- Anticipates the needs of colleagues, patients and family members in all situations
- Displays cultural sensitivity, empathy and genuine concern for the feelings and opinions of others
- Projects a positive, friendly, caring image of self, team and UW Health
- Demonstrates recognition that each person's job is vital to patient- and family-centered care and to the success of UW Health

Accountability: We hold ourselves individually and collectively responsible for the work we do and for the experience and outcomes of every patient, every
learner, every day.

- Completely understands job requirements
- Completes work on time, in accordance with expectations and in an excellent manner
- Takes personal responsibility for decisions, actions and results and learns from successes and failures
- Seeks or accepts guidance when needed
- Follows and supports organizational and departmental policies

UW HEALTH PERFORMANCE STANDARDS cont.

Respect: We honor patients' right to privacy and confidentiality. We value differences among individuals and groups; and we actively listen, encourage feedback and choose the best way to deliver timely and meaningful information in all situations, especially in the high stress situations inherent in this complex and demanding patient care environment.

- Acknowledges, honors and values diverse backgrounds, perspectives and cultural differences

- Values and uses the unique talents and viewpoints of others
- Leverages the unique talents and viewpoints of others
- Seeks common ground to resolve conflicts
- Gives constructive feedback in a respectful manner in every situation
- Maintains professional boundaries
- Is courteous, honest and respectful in all interactions
- Accepts, acknowledges and values the different roles within UW Health and how they contribute

Excellence: Working together, we strive to be the best, and we work continuously to improve our performance and exceed expectations.

- Actively supports UW Health's mission, vision, values and strategic goals
- Consistently achieves superior results and delivers the highest quality care and/or service while inspiring others to do the same
- Consistently and actively participates in unit and department-level activities
- Improves performance by actively seeking feedback, coaching and mentoring
- Seeks and shares expertise on best practices
- Promotes continuous learning for all

Additional Responsibilities for UW Health Leaders

For Executives

- Demonstrates the highest business and professional ethics
- Visibly leads UW Health's mission of advancing health through, service, scholarship, science and social responsibility
- Demonstrates mastery of current policies, practices, politics, trends, technology and information affecting the healthcare environment and develops and executes plans to advance the well-being of the people of Wisconsin and beyond
- Has an awareness and understanding of potential changes that could affect the healthcare environment
- Supports UW Health's vision to ensure UW Health is a recognized health care leader at the regional and national level
- Leads the development of UW Health's culture of safety and continuous process improvement through performance measurement, system redesign and quality improvement while maintaining regulatory compliance
- Effectively establishes collaborative relationships and alliances throughout UW Health as well as externally
- Coaches and develops others through reinforcement, openness, constructive feedback and respect

UW HEALTH PERFORMANCE STANDARDS cont.

For Directors and Managers

- Demonstrates the highest business and professional ethics
- Visibly leads UW Health's mission of advancing health through, service, scholarship, science and social responsibility
- Successfully integrates tactical and operational planning and ensures fiscal responsibility. Fully supports strategic decision-making as appropriate
- Creates a highly engaged workforce that is focused on patient- and family-centered care, in either a direct or supporting role, and embraces cultural competence
- Promotes cooperation among staff and peers to communicate and share ideas, problems/concerns, successes and resources of mutual or common interest
- Supports and builds UW Health's culture of safety and continuous process improvement through performance measurement, system redesign and quality improvement while maintaining regulatory compliance
- Coaches and develops others through reinforcement, openness, constructive feedback and respect

For Faculty

- Demonstrates the highest business and professional ethics
- Visibly leads UW Health's mission of advancing health through, service, scholarship, science and social responsibility
- Serves the best interests of patients and families with treatments and programs that ensure the best possible care
- Uses appropriate assessment and treatment techniques in a competent manner following professional standards of practice
- Demonstrates knowledge of various learning styles and sensitivity to cultural differences
- Demonstrates creative application of new technologies within the academic discipline
- Leads the development of UW Health's culture of safety and continuous process improvement through performance measurement, system redesign and quality improvement while maintaining regulatory compliance and cost effectiveness
- Supports the academic mission of UW Health, including research and teaching, consistent with faculty role

ACTION WORDS

When writing your performance development plan, look to use 'action' words when describing specific examples of how you demonstrated a performance standard.

A— Accomplish, Account, Accumulate, Acquire, Activate, Adhere, Administer, Advertise, Advise, Allocate, Analyze, Appraise, Approve, Arbitrated, Arrange, Assembled, Assign, Assist, Assume, Assure, Audit, Augment, Authorize, Automate, Award

B— Brought, Budget, Built

C— Calculate, Catalog, Charted, Change, Checking, Code, Collect, Communicate, Compare, Compile, Complete, Compose, Compound, Compute, Conceive, Concentrate, Conduct, Configure, Conserved, Consider, Consolidated, Construct, Consult, Continue, Contract, Contribute, Control, Cooperate, Coordinate, Correct, Correlate, Corresponded, Create, Credit

D— Decrease, Define, Delegate, Delete, Deliver, Design, Detailing, Detected, Determine, Develop, Devised, Diagnosed, Direct, Discovered, Disperse, Dispensed, Display, Distribute, Diverted, Document. Drive

E— Edit, Educate, Eliminated, Emphasize, Employ, Enforcing, Engage, Engineer, Enhance, Enlarge, Ensure, Establish, Examine, Execute, Exercise, Expand, Expedite, Extend, Evaluate

F— Fix, Flowchart, Forecast, Formulated, Founded, Function as, Furnish

G— Gathered, Generate, Grant, Graph, Guarantee, Guided

H— Handled, Having responsibility, Head, Help, Hire

I— Identify, Implement, Improve, Include, Increase, Inform, Initialize, Initiate, Inspect, Install, Instruct, Integrate, Interfere, Interpret, Interview, Invent, Investigate, Involve, Issue

J— Join, Judge, Justify

L— Leading, Lease, Lectured, Lessen, Leverage, Load

M— Maintain, Manage, Manipulating, Market, Master, Measure, Mediating, Meet, Mentored, Modify, Monitor, Motivate

N— Navigated, Negotiate, Network, Neutralize, Normalize, Notify

O— Observe, Obtain, Open, Operate, Orchestrate, Order, Organize, Originated, Oversaw

ACTION WORDS cont.

P— Participate, Perform, Persuade, Plan, Post, Prepare, Prescribed, Present, Problem-solving, Process, Procure, Produce, Program, Project, Promote, Propose, Protect, Provide, Publicize, Purchase

Q— Qualify, Quantify, Questioning

R— Realized, Researched, Reclaim, Recommend, Reconstruct, Recorded, Recruit, Reduce, Refer, Release, Rendered, Report, Represent, Request, Require, Requisition, Research, Reshape, Responsible for, Restore, Retain, Retrieve, Review, Revise, Reward

S— Selling, Selected, Schedule, Screen, Secure, Select, Sell, Serve, Set Objectives, Set Up, Solid, Solve, Sort, Specify, Staff, Standardize, Stimulate, Strategized, Strengthen, Structure, Study, Subcontract, Submit, Succeed, Summarize, Supervise, Supply, Support, Synthesize, Systematize

T— Taking instructions, Teach, Team-building, Test, Trace, Track, Train, Transcribing, Transfer, Translate

U— Unified, Update, Upgrade, Undertaking, Underscore, Utilize

V— Validate, Verbalizing, Verify, Visualize

W— Weighing, Working, Write

Rating Scale

As part of the Performance Development Plan (PDP) process, managers have the option to rate performance using a 5-point scale to rate the overall performance in each of the Performance Standard sections.

The intent of these ratings is to give an employee an understanding of where performance stands in relation to expectations.   Something important to remember, the rating is for the overall section and includes all of the behavioral expectations listed.

Rating	Rating Description	Definition
1	Does not meet expectations	An employee who consistently fails to meet expectations. The employee is either unwilling and/or unable to successfully perform the assigned duties of the job. Corrective action is required.
2	Inconsistently meets expectations	An employee who does not always meet expectations. The employee may be unable to successfully perform assigned duties and may require additional training or corrective action.
3	Meets expectations	An employee who fully meets the expectations for the position.
4	Goes above expectations	An employee who consistently meets and often goes above and beyond expectations without prompting.
5	Outstanding	An employee who consistently produces results that greatly exceed expectations. A role model for UW Health.

Example:
Innovation: We pride ourselves on finding new and better ways to enhance quality of care and all aspects of our work.

- Appropriately searches for and implements new ideas and methods to improve care, service, safety, and cost effectiveness
- Takes the initiative for completing work assignments more effectively and efficiently by using new ideas and methods when appropriate
- Continuously monitors results for further process improvements
- Willingly and effectively adapts to change

An employee who receives a 'Meets Expectations' rating has demonstrated each of the above on a consistent basis, and may even occasionally go above and beyond.   If there are situations in which there are one or more areas in which the employee has not consistently demonstrated the above (ex. not continuously looking for process improvements, or has demonstrated resistance to change), then an 'Inconsistently meets expectations' or 'Does not meet expectations' may be more appropriate. Regardless of rating, it's important to focus on what can be done to continuously improve, and how we demonstrate the performance expectations. Goals/development plans can be tied into these behaviors, and become focus areas for the upcoming year.

EXAMPLES OF STAFF DEVELOPMENT PLAN COMMENTS – PERFORMANCE STANDARDS

The below examples are intended to illustrate examples of how others have approached each of the areas on the Performance Development Plan.

Completed
- I feel I have completed my goals that I set for myself from last year. One of the goals I had written was to continue mentoring Medical Assistant students. We had an MA student complete their externship with us and I was able to have that person shadow me. I enjoy working with students and I feel I can help with their learning to help them work to the best of their abilities when they get into the workforce. I feel comfortable with numerous things that last year I still felt I needed improvement with. I am now able to set up the treatment room for any procedure that is going to be done, last year I still had to ask what was needed for some of the procedures. I feel comfortable with what I do on a daily basis and feel I have learned a lot in the years I've been at this location
- Working more on my non-verbal cues and active listening. Took Respectful Workplace, Professionalism and DISC 2. Some specific examples of where I have applied learnings from these classes are xxxx, xxxx and xxxx.
- I have not completed all of the goals I outlined last year, such as xxx and xxx. This was because xxxx. I have improved on my assertive communication with my fellow staff members; <examples>. I have continued to work and develop a professional working relationship with the xxxx staff by xxxxxxx.

Strengths
- I think that some of my strengths are organization and time management. I take care of several side jobs outside of the normal job expectations. I do not get time away from my desk or other responsibilities to do these tasks. I manage my time wisely to make sure I can do these things while performing my other duties. I also feel that I have strong communication skills. I take thorough written notes and always verify phone numbers, etc.
- One of my greatest strengths I feel has to be the communication that I have with my patients. I greet them in a warm, friendly manner. I can recognize when a patient is not at ease with a blood draw. I am able to make conversation with a patient, and while being able to do that my patient has forgotten about the blood being drawn. Many times afterward the response I get is "you're done already." <specific patient example and that patient feedback to employee>

Improvements (Development Areas)
- I feel I could improve my skills in the in-basket. There are times I have to ask one of the nurses questions as to what I should do in different situations. I also feel like there are still things I could improve my skills with, for example, I could improve my skills while assisting xx while doing caths on patients as I have not had much practice with this.

EXAMPLES OF STAFF DEVELOPMENT PLAN COMMENTS – PERFORMANCE STANDARDS cont.

- I am stronger in identifying protocols and selecting the best option for the presenting problem. I feel this helps to improve my response time to patients.
- Improving oral presentation skills. I do not present often in my position but when I do I try to speak clearly and with confidence. This is an area that I am working to improve, public speaking has been a challenge for me and I would like to look for more opportunities in the next year to present during meetings so I can continue to gain confidence and experience presenting.
- I enjoy working with all staff members and am happy to be a resource for staff and physicians that I work with, but I also recognize that I need to establish clear boundaries within my role and learn when to say no. I find it easy to help out whenever and wherever I am needed but also realize that I need to help empower individuals to learn and use other resources at times. It can be easy for me to continue taking on new tasks and responsibilities but it is important for me to recognize instances where I can redirect individuals so I can continue to be successful and not overwhelmed in my role.

Excellence
- I've also helped out <<enter department/function/role>> in the short-term with <<enter tasks>>. I have worked to carve time to specifically handle those responsibilities. I see change as a potential to improve upon current practices.
- We have a patient that needs a high level of care and understanding. Seeing that a co-worker, who met the person for the first time was struggling with handling some of the high-level needs, I pulled her aside in private, let her know I had worked with the patient numerous times, and was there anything I could help with. She talked through some immediate struggles she was having, I gave her feedback to get through that appointment, and then we talked afterwards on things I had found to work well. A few months later she happened to be involved in another visit with this patient, and expressed her thanks to me as it went so well because of the information I had shared.
- I have displayed the ability to seek understanding, and then utilize the gained knowledge to strategically improve processes. Having never worked in healthcare before, in the first year of my employment with UWMF I gained a solid understanding of not only the industry, but also the UWHealth system and our organization. This knowledge was critical to all aspects of my position, and further developing my understanding will assist me in the future. List specific projects.
- Continuous improvement is a priority for me. Some examples of improvements I have implemented are <<examples>>. Developing new skills through various projects and seminars keeps me focused and challenged. I have attended training offerings to enhance awareness, such as <<example>>.   I maintain autonomy in my daily responsibilities when appropriate. I consistently meet my quarterly and annual goals.

EXAMPLES OF STAFF DEVELOPMENT PLAN COMMENTS – PERFORMANCE STANDARDS cont.

- Several of the projects that I've worked on have involved others in the department. The project work, in addition to participation in meetings, committees, and workgroups, have allowed me to build relationships with my teammates in my first year here. I have learned the roles and responsibilities within the department, built new relationships, and used the knowledge of the team to work more effectively. Specific projects that I participated in that required a strong team effort were list specific projects.
- I have made a conscious effort to go above and beyond what my internal customers and supervisor expects of me. I voluntarily took on several areas in which I identified a need without being asked. I would like to work to improve my "investigation" skills in asking the right questions to provide better customer service, versus solving the problem at face value.

Innovation
- Most of the projects that I've worked on have been solutions to a "problem" or need. List specific projects.
- Continuous improvement is a priority for me. Some examples of improvements I have implemented are <<examples>>. Developing new skills through various projects and seminars keeps me focused and challenged.
- As changes occur frequently in the workflow, specifically now with scanning, I've maintained my own reference materials to help assure I'm doing the job properly. I've also shared these documents with my Supervisor and co-workers to assist in developing a best practice document.

Compassion
- Each conversation I have is adapted to the individual caller. Each concern is addressed completely, until the solution is satisfactory to the caller and me. List specific examples.
- I am calm and respectful under stressful situations. I feel that my service standard is at a high level based on the compliments I receive every day from patience on the friendly but professional way that I treat them. List specific examples.

Integrity
- As I work in a community where I also live, I have had many times that friends and acquaintances approach me and ask a question based on who they may have seen in the clinic. As confidentiality is an absolute must, I have gotten very proficient in politely deflecting their comments and questions and reminding them I cannot discuss it.
- I am to do quality work every day. However, there are times when I make a mistake, I own up and explain what happened. An example was when <<insert example>>.

EXAMPLES OF STAFF DEVELOPMENT PLAN COMMENTS – PERFORMANCE STANDARDS cont.

Respect
- Out clinic serves a wide variety of patients. Co-workers comment how patient I am with everyone. I truly believe that everyone deserves the same level of service. One time a woman came in and we had a hard time understanding her. I slowed down my pace, spoke very clearly, and listed to everything she said, and in the end was able to help her with her question.
- I work with a variety of patients, and personality types. During a meeting, a co-worker made a comment and I immediately starting thinking it wouldn't work. I recognized what I was doing, and forced myself to look at it from his way of thinking, and realized there were other ways to complete the task. I also made suggestions to <<enter details>>, and in the end we made a process change that worked better for everyone.

Accountability
- I meet with my manager once a month to talk through current projects/tasks <<specifics?>> that I am working on. I come prepared with an agenda of previous and new topics. I take pride in hitting deadlines and have been able to meet or exceed my deadlines. In completing <<name the project>>, it was completed 2 weeks prior to the desired date. I worked very hard on this project to keep open communication, and schedule follow-up meetings during the project. The one project that did not go as planned was <<enter project/task>>. I believe this was due to <<reason>>, and I can do <<details>> to try and help this in the future.
- There have been times where I have asked for feedback on where the priorities lie when being given a task knowing that I have numerous other tasks to do to better align with what needs to be done. An example is <<enter example details>>.
- While trying to focus on <<enter tasks/areas>>, there are at times items that will get put aside and not necessarily completed within the desired timeframe. When I initially started I found that I was able to hit (and be early) on many of my deadlines. As I have taken on other responsibilities and tasks, I recognize the need to continually adapt to the change in priorities and improve in this area <<enter examples>>. I also need to recognize when I'm over committing. While I may get it done eventually, it at times comes at a delay.

SETTING GOALS & DEVELOPMENT PLANS

Development planning focuses on enhancing current skills and abilities, or developing skills and abilities for the future, and is an important part of managing your performance.

As part of the PDP process, you'll identify three to five professional goals/development plans you want to set for the next year. You may wish to refer to the "Improvements" section to create development plans that correspond with your improvement areas, as applicable.

When a goal is Specific, Measurable, Attainable, Relevant and Time Specific, it's more likely to be achieved. When writing your goals/development plans, work on incorporate these factors into each one.

"SMART"
- Specific (what is expected)
- Measurable (know when goal has been achieved)
- Attainable (challenging, but still achievable, realistic)
- Relevant (either to current role/skills or attaining skills for new role)
- Time Specific (identify timeline for completion)

Possible Developmental Ideas
On the Job Assignments
- Job rotations and cross-training
- Swap jobs for a period of time
- Discussion group to learn additional skills/knowledge
- Staff meetings: have employee prepare, conduct and facilitate
Temporary reassignments or projects
- Start up something new
- Follow-up on a take-away from a meeting
- Improve a process/procedure
- Interview counterparts about best practices and summarize learning
Job enrichment/restructuring
- Reorganize job content within the department to provide employees with growth experiences
- Coach someone else who is weak in an area that employee is strong
Stretch tasks
- Leverage work situations to practice development need
Leverage Relationships
- Coaching, Mentoring, Networking
  - Mentor or mentee relationships
- Shadowing and Observing Others
Education and Training
- Training workshops, seminars
- Reading books, showing implementation

SETTING GOALS & DEVELOPMENT PLANS cont.

Goal/Development Plan Examples:

- Complete the process of becoming a Super user by xx/xx/xxxx.
- Share one significant "finding" with staff from attending and participating in each of the xxxx meetings so that others may also learn.
- Continue working on developing your communication skills with staff and patients to develop active listening skills; constructive, not destructive, communication techniques and professionalism with our actions and words.
- Meet with my Supervisor weekly to review and check in; become fluent in hospital discharge planning; becoming fluent with the social service work standard; help improve phone stats individually and for the department.
- I plan to seek out training opportunities for Epic software whether internally or externally, depending on costs/resource availability by Q3 2015 to increase my familiarity with the software behind all of our initiatives
- Sign up every physical for My Chart. Attend xx% of staff meetings. Attend one outside learning opportunity in the next year on xxxx.
- Observe each staff member facilitate a meeting at least twice and provide feedback.
- Standardize at least 3 internal processes by xx/xx/xxxx.
- Read something related to health care, health care improvement on a weekly basis.
- Train new personnel and stay current with system upgrades and provider changes.
- Learn to efficiently and thoroughly make OR pre op interview phone calls by xx/xx/xxxx.
- Continue to work with <name> to get her comfortable and competent as a member of the team by <doing these specific steps>.
- Improve knowledge of template, working with Doctor's Schedules. I do know basics but I know there is room for improvement. I will do this by schedule 1:1 time with my co-worker four times in the next month to cover more in-depth details of the templates and schedules.
- I am going to assist with duties such as surgery scheduling and pre-op appointments so that I can become more efficient. I would like to at least schedule 2 surgeries and do 2 pre-op appointments every month. I would also like to shadow a pre-op visit with the RN so that I make sure I am giving patients all the needed information.
- Pass the test for starting intravenous procedures in the next two months.
- Become more familiar with company policies and procedures, so that I can answer questions better when the front desk calls back to our department in the next two months. I will do this by xxxx (list examples, such as scheduling 1:1 sessions with team members shadowing, reviewing procedural documents, etc).
- Learn how to navigate EPIC more efficiently, so that I can pull up needed patient information more quickly in the next month.
- Complete my <specific certification> within the next year.

NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES * NOTES* NOTES * NOTES

Appendix D:

UW DFMCH Faculty Performance Evaluation Tools   **2015 Faculty Portfolios for Annual Reviews**

Administration	
Indicator	**Source**
Projects and Programs (QI, Education, etc.)	Self-assessment
Compliance	(e.g. Open Chart Report, COI, UWHC appts, license and DEA, flu shot)
Administrative and Leadership Roles	Self-assessment
360	Supervisor, staff, colleagues

Clinical	
Indicator	**Source**
An appointment was available when needed	Visibility board-Avatar
My doctor explained my illness or treatment in a way I could understand	Visibility board-Avatar
Diabetes All-or-None Outcome Measure	Visibility board-Avatar
Controlling High Blood Pressure	Visibility board-WCHQ
Childhood immunizations	Visibility board-WCHQ
Hours: Actual to Expected	Wen-Jan Tuan
Panel size: Actual to Expected	Michelle Riley
Template fill rate	Infoview

Research & Scholarship	
Indicator	**Source**
Grants	Self-assessment
Publications	Self-assessment
Presentations (conferences, CME)	Self-assessment
Mentoring (medical students, residents, fellows, junior faculty)	Self-assessment

Education	
Indicator	**Source**
Undergraduate and Medical School education (OMSE)	Evaluations: Courses, PDS (preceptor, small group leader), PCC (preceptor, Dr/Pt communication, problem-based learning), Electives
Residency education	Evaluations: Lecture, attending/call, annual, and rotations
Fellows	Evaluations: Lectures

Faculty Assessment

Person:
Year:

- Certifications – please add the date of your last certification or recertification
  - ABFM (or DO equivalent)
  - ALSO
  - BLS
  - ACLS
  - NALS
  - Other

- Licenses(s)

- Privileges
  - Hospitals – please list all the hospitals with which you have privileges and the type

- Faculty status and date for promotion / tenure

- Teaching
  - *quantity*
    - fellows / graduate students supervision or lectures
    - resident lectures
    - medical student lectures / small group teaching
    - GPP student supervision
    - Other
  - *quality (please send reviews)*
    - resident evaluations
    - Medical student evaluations
    - Other
- Mentoring – list residents, faculty, and medical & graduate students' names

- Research / academics
  - presentations
  - publications
  - grants
  - other

- Service
  - DFM admin roles and specific accomplishments
  - Committee / task force or working group membership – please indicate if you had chair responsibilities
    - DFM
    - Hospital

- UWMF / UW Health
- SMPH
- National / State professional organizations
- Other
  - o Community / volunteer service

- Faculty development
  - o List any CME / professional development undertaken since last review
  - o List any CME / professional development planned for 2015

- Awards or acknowledgements received

- Any other accomplishments or information pertinent to the past year?

Summary
- Areas for improvement or anticipated change

- How can DFM assist you with improvement/ change

- Goals for 2014

- List any barriers encountered in reaching goals for 2014

- Goals for 2015

UW DFM ANNUAL REVIEW SUMMARY SHEET

Name of person being reviewed:
Date of Review:
Clinic:
Name of Reviewer/s:

Overall Summary of Performance

Clinical

.

Education

Scholarship/Research

Administrative

Community

Other

Citizenship

Goals from 2014

Goals for 2015

_____   _____
Supervisor Signature   Date

The Clinician may respond in writing to any review document placed in the personnel file.   This response will also be placed in the personnel file.

This evaluation has been discussed with me and I have had the opportunity to respond.

_____   _____
Clinician Signature   Date
Revised 12/4/14

Appendix E:
UW DFMCH Academic Staff Performance Evaluation Tool

<u>UW-Madison, School of Medicine and Public Health</u>

<u>Department of Family Medicine</u>

Performance Evaluation Cover Sheet

Employee Name:_____

Employee Empl ID:_____

Employee Title:_____

Employee type: _____ Unclassified/Academic _____Classified

UDDS: _____

Type of performance evaluation: ____Annual _____ (period of review)

____Other _____ (period of review)

_____Position Description was reviewed and determined to be accurate.

_____Position Description update was developed and signed by both employee and supervisor on
_____. Attached is the revised position description.

_____   _____
Employee Signature   Date

My supervisor has discussed this performance evaluation with me, and I have had an opportunity to respond. The employee's signature does not indicate agreement, but attests that the employee has had an opportunity to read and discuss this review.

_____
Supervisor Name (Typed or Printed)

_____   _____
Supervisor Signature   Date

_____
Department of Family Medicine HR Name (Typed or Printed)

_____   _____
Department of Family Medicine HR Signature   Date

_____
SMPH Name (Typed or Printed)

_____   _____
SMPH HR Signature   Date

Please provide the employee a copy of this form and all attachments. Retain one copy for your files. Send the original document to the DFM Human Resource Services Office.

Academic Staff Performance Review

▓▓▓▓▓▓▓▓▓▓▓▓

2013-2014 Academic Staff Performance Review

- Review the job description to determine if it is an accurate description of the assigned duties and responsibilities or if an updated description needs to be developed.

- The staff member completes each section of this form first. Type as much as necessary to complete each section. The supervisor will have an opportunity to review each section and comment on your text, plus add insights of his/her own. The employee and supervisor will meet to discuss the review.

List your accomplishments and professional activities during the review period. Include UW, SMPH, and DFM committees.

Response:

Supervisor Comments:

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Address job productivity and quality of work. (Consider: Are you focused, realistic, and systematic in your pursuit of job objectives? Are you in control of the situation and able to prioritize objectives? Are you accurate and thorough? Do you exhibit innovation and initiative? Do you hold yourself to a high standard of performance?)

Response:

Supervisor Comments:

```

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Address job-related knowledge/skills in this section. (Consider: Do you have the necessary knowledge, training and resources for this job? Do you possess effective job-related skills

and exercise those skills with independence and sound judgment? Do you regularly assess/pursue learning new methods, technologies or procedures to improve the accomplishment of job goals?)

Response:

Supervisor Comments:

Address communication.
(Consider: Do you work well with superiors, peers and subordinates? Do you represent a work group and/or the department effectively in a positive manner? Do you keep others appropriately informed?)

Response:

Supervisor Comments:

Goals: Have last year's goals been met? List goals for next year and include types of support/resources needed to meet goals.

Response:

Supervisor Comments:

List any challenges or barriers to meeting current and future goals. (List training/resources, etc.)

Response:

Supervisor Comments:

Supplemental information may be attached. Please list document(s) that are attached (if any):

Response:

None

UW-Madison, School of Medicine and Public Health

Department of Family Medicine

Performance Evaluation Cover Sheet

Employee Name:_____

Employee Empl ID:_____

Employee Title:_____

Employee type: _____ Unclassified/Academic _____Classified

UDDS: _____

Type of performance evaluation: ____Annual _____ (period of review)

____Other _____ (period of review)

_____Position Description was reviewed and determined to be accurate.

_____Position Description update was developed and signed by both employee and supervisor on _____. Attached is the revised position description.

_____ _____
Employee Signature Date

_____
Supervisor Name (Typed or Printed)

_____ _____
Supervisor Signature Date

_____
Department of Family Medicine HR Name (Typed or Printed)

_____ _____
Department of Family Medicine HR Signature Date

_____
SMPH Name (Typed or Printed)

_____ _____
SMPH HR Signature Date

Please provide the employee a copy of this form and all attachments. Retain one copy for your files.
Send the original document to the DFM Human Resource Services Office.

OBJECTIVE/JOB RESPONSIBILITY:

Expected results:

Actual results:

OBJECTIVE/JOB RESPONSIBILITY:

Expected results:

Actual results:

OBJECTIVE/JOB RESPONSIBILITY:

Expected results:

Actual results:

OBJECTIVE/JOB RESPONSIBILITY:

Expected results:

Actual results:

(Add additional Objectives/Responsibilities as needed)

_____

JOB-RELATED DEVELOPMENTAL GOALS:

EMPLOYEE CAREER GOALS AND COMMENTS:

Performance Management
for Managers and Supervisors

<table>
<tr><td>

UW-Madison Campus-wide Administrative Policy
Policy #
Performance Management for Managers and Supervisors

</td><td>

Effective Date: July 1, 2015
Last Updated: February 5, 2015
Last Reviewed: February 5, 2015
Next Review:

</td></tr>
</table>

Functional Owner	Assistant Vice Chancellor for Human Resources, Robert Lavigna
Executive Sponsor	Vice Chancellor for Finance and Administration, Darrell Bazzell
Policy Contact	TBD

Policy Summary

The University of Wisconsin-Madison is committed to supporting all employees to meet their career and professional goals, as well as supporting the university's need to maintain a high-performing workforce. Performance management is comprised of frequent informal conversations consisting of coaching, feedback and support to employees about their work, needs, and accomplishments related to the duties and expectations of their positions. These activities will result in supervisors conducting annual performance evaluations documenting those conversations. Effective performance management strategies position the university to provide employees with developmental opportunities, better recognize performance that exceeds expectations, and support employees who need to improve performance. Documenting outstanding performance will support employee recognition such as promotions, awards and merit-based compensation.

The Office of Human Resources (OHR) supports the campus in the implementation of this policy through a variety of approaches, including providing professional development and supporting tools and resources.

The performance management policy is closely linked to the following UW-Madison policies: recruitment, assessment and selection, employee onboarding, compensation, and employee engagement.

Who This Policy Applies To

This policy applies to full- or part-time Academic and University Staff employees with a defined or anticipated appointment greater than one year, Limited Appointees, and Faculty members who supervise other employees.

This policy will be followed by managers and supervisors of these employment groups. It is the responsibility of the dean's or director's office of each division (including schools and colleges) to ensure that this policy is followed. Although the performance management policy is not required for all employee categories, these activities are best practices and are therefore encouraged for every employee, regardless of category.

Note: This policy does not govern probationary employment, or the terms of an initial evaluation period at the university. Probationary and initial evaluation periods are governed by ASPP 2.04 ("Periods of Evaluation"); and ASPP 2.08 ("Probationary Appointments"): http://acstaff.wisc.edu/wp-content/uploads/2014/11/ASPP-Chapter-2.pdf. This policy does not cover the evaluation of faculty. The processes for reviews of probationary faculty and for post-tenure reviews are addressed by FPP 7.32: http://www.secfac.wisc.edu/governance/FPP/Chapter_7.htm#732 and II-106 Policy on Review of Tenured Faculty: https://www.secfac.wisc.edu/governance/legislation/Pages100-299.htm#106.

Performance Management
for Managers and Supervisors

Rationale

Research has shown that effective performance management drives employee behaviors that align with organizational goals and objectives. By clarifying expectations, recognizing high performers, addressing performance issues, and identifying developmental needs, performance management systems can drive improved employee performance.[1] The university is best served when it supports employees to meet their career and professional goals while at the same time maintaining a high-performing workforce. Employees are best served when they receive ongoing feedback on their performance and career growth.

Policy Detail

I. Performance Management Programs

a. Each division is required to develop, implement, monitor, and maintain a performance management program for the employee groups listed above ("Who This Policy Applies To"). Subject to OHR approval, each division has the flexibility to develop a program or multiple programs that best meet the needs of its particular environment, within the parameters of this policy. At a minimum, each program needs to include the following:

    i. Expectations and goal-setting. Managers/supervisors should have initial expectation and goal-setting conversations with each employee who reports directly to them within 30 days of when a new employee begins work, and annually thereafter, at the beginning of the performance period. These discussions should cover the major duties of each position, work priorities, how successful performance will be evaluated, developmental needs, and strategies to meet these needs. The date of the conversation and the goals and expectations identified in this meeting must be documented and the goals/expectations provided to the employee.

    ii. Informal conversations. Managers/supervisors should conduct regular informal conversations with all employees who report directly to them. These meetings should consist of coaching, feedback, and support to employees about their work, needs, and accomplishments related to the duties and expectations of their positions. Informal conversations do not need to be documented.

    iii. Mid-point conversation. Approximately midway through each performance year, mid-point feedback must be documented and identify whether the employee's performance is meeting expectations. (e.g., a check box indicating that performance is meeting expectations).

    iv. Summary evaluation. All managers/supervisors should conduct summary performance evaluation conversations with each employee who reports directly to them at the conclusion of each new employee's probationary/initial evaluation period and the

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[1] Martinez, Veronica. "What Is the Value of Using Performance Management Systems?" Cranfield University, 8 Nov. 2005.

Performance Management
for Managers and Supervisors

conclusion of each performance year thereafter. This conversation should, at a minimum, include a discussion of the following:

1. Whether the employee's performance met expectations
2. Whether the employee achieved annual goals
3. Professional development needs and opportunities
4. Options to develop additional skills and knowledge to foster career growth.

b. The expectations and goal-setting, mid-point, and summary conversations must be documented. However, there is no prescribed format for this documentation. The documentation can range from a simple checklist, signed by the supervisor and employee that ensures the discussion covers all of the necessary elements of a performance evaluation, to a comprehensive written evaluation.

c. The summary performance evaluation should address the performance/development topics covered in the earlier discussions. It is important to emphasize that supervisors should provide regular feedback throughout the performance period, not just at the designated mid-year and year-end discussions. This will ensure that there are no surprises in the summary evaluation.

II. Performance Management Workflow

a. Each division will develop workflows and approval requirements for the performance management process and documentation. At minimum, divisions must meet the following standards and document retention procedures:

    i. After the supervisor discusses performance with the employee, the evaluation should be signed and dated by both the supervisor and employee. Electronic signatures are acceptable. An employee's signature confirms that the document has been reviewed and discussed with him or her. The signature does not imply agreement with the document.

    ii. Within 30 days of receiving a performance evaluation, an employee may submit a written response to the division human resources office, to be attached to the annual performance evaluation. The division HR office is responsible for ensuring that a copy of an employee's response is placed in the employee's personnel file.

    iii. The supervisor shall provide each employee with a copy of the performance evaluation after the evaluation has been reviewed with, and signed by, the employee.

b. The original performance management documents shall be retained in the employee's personnel file.

c. Divisions must retain all performance management documents in accordance with state law and university record-retention policies.

d. All performance management documents should be treated as confidential and shared only if required by policy, law, or business need.

Performance Management
for Managers and Supervisors

Consequences for Non-Compliance

In order to be eligible for general wage adjustment (GWA)/ pay plan or performance pay increases for the fiscal year, supervisors and managers must complete all required performance management activities for those employees whom they supervise, in accordance with the requirements of this policy.

Supporting Tools

OHR maintains an online handbook to support the campus community in developing, implementing and continuing to support the performance management process. The handbook includes sample communications, performance tools, process checklists, professional development and instructional tools, and other information.

OHR also provides centralized instruction and education programs on the performance management process. All Limited Appointees, University Staff, Academic Staff, and Faculty supervisors are expected to participate in training on the performance management process. Information on these opportunities is available on the OHR home page.

Policy Assessment

OHR will evaluate the effectiveness of the policy, training, and support tools after each of the first two years the policy is in effect.

Responsibilities

Office of Human Resources (OHR)	- Maintains this policy and collaborates with deans and directors to ensure this policy is complied with across campus - Serves as campus expert on performance management program design and implementation, consulting with divisions as needed - Develops best-practice performance-management tools and support for the campus - Ensures that divisions comply with this policy by approving performance-management tools, processes, and support elements for division use - Develops and delivers professional development on best-practice performance-management techniques to division HR practitioners and other employees with supervisory responsibilities
Deans and Directors	Ensure policy is followed
College/School/Divisional HR	- Develops, implements, monitors, and maintains a performance management system that complies with this policy and supports employee and organizational needs - Oversees performance management document workflow and retention programs in its division - Consults with OHR as needed - Ensures that division supervisors and employees are trained in the performance management program

Performance Management
for Managers and Supervisors

Supervisor	▪ Completes all elements of the performance management program in compliance with this and any applicable division policies in a timely manner ▪ Conducts frequent meaningful conversations with employees on their performance, goals, and growth ▪ Seeks assistance from division HR when necessary
Employee	▪ Understands the performance management program and process ▪ Fully participates in the performance management program in a timely and constructive manner

Link to Policy

Link to Related Policies

Academic Staff Policies and Procedures (ASPP) Chapter 10

DEPARTMENT OF
**Family Medicine and
Community Health**
UNIVERSITY OF WISCONSIN
SCHOOL OF MEDICINE AND PUBLIC HEALTH

Expectations, Goal Setting and Professional Development

Employee Name:		Employee ID:	
Employee Title:		**UDDS:**	
Employee Type:	☐ Academic Staff ☐University Staff	**Evaluation Period:**	

Please list expectations and goals for this position. Expectations and goals include duties of the position, work priorities, developmental needs and strategies to meet these needs. When creating the goals, please keep the SMART goals in mind:

1. What is the **Specific** goal?
2. How will the goal be **Measured**?
3. How is the goal **Attainable**? Can it realistically be accomplished?
4. Explain how the goal is **Relevant** or meaningful to the employee.
5. Set a **Time** when the goal should be completed.

Example Goal: In order to save time and ensure accuracy on the annual report, keep track of report on Excel spreadsheet by updating it weekly throughout the year.

Goal #1:

Goal #2:

Goal #3:

Additional goals and expectations should be written on the back of this form or on a separate sheet.

UW-Madison, School of Medicine and Public Health

Department of Family Medicine and Community Health

Performance Management: Mid-Point Conversation

Employee Name:_____ Employee Empl ID:_____

Employee Title:_____ UDDS: _____

Employee Type: ☐ Academic Staff ☐ University Staff

Review of Goals and Expectations:

Performance management is an ongoing process to plan and review an employee's work expectations, goals, and professional development. The most important element of performance management is communication between a supervisor and an employee throughout the year. This mid-point conversation is an opportunity to review the goals and expectations of a position that have been previously established with an employee. Please take some time to discuss the employee's performance related to those goals and expectations and optionally document the results for each goal.

Performance Expectations, Goals and Professional Development:
Goal #1:   ☐ More than satisfactory ☐ Satisfactory ☐ Need improvement ☐ Not satisfactory   **Outcome:**
Goal #2:   ☐ More than satisfactory ☐ Satisfactory ☐ Need improvement ☐ Not satisfactory   **Outcome:**
Goal #3:   ☐ More than satisfactory ☐ Satisfactory ☐ Need improvement ☐ Not satisfactory

Outcome:

Additional goals should be written on a separate sheet.

Is the employee's overall job performance meeting expectations as set forth in the job description and the most recent review?

☐ Exceeds expectations   ☐ Meets expectations   ☐ Improvement needed

Supervisor Comments:

☐ We have discussed the employee's progress towards the goals established at the time of hire or during the most recent performance review.

It is best practice for the supervisor to complete the performance expectations, goals and professional development sections of this form; however, it is not mandatory to complete these sections.

A feedback and coaching conversation is required. Completion of page 2 of this form is required to comply with the UW-Madison performance management policy.

Please give the employee a copy of this form and all attachments. Retain one copy for your files. Send the original document to the DFMCH Human Resource Services Office.

By signing below, I am acknowledging that the above information was shared with the employee by the supervisor. An employee may submit information to supplement this documented conversation within 30 days following the signature date.

_____   _____
Employee Signature   Date

_____
Supervisor Name (Typed or Printed)

_____   _____
Supervisor Signature   Date

_____
Department HR Signature (Typed or Printed)

_____   _____
Department HR Signature   Date

UW-Madison, School of Medicine and Public Health

Department of Family Medicine and Community Health

Performance Management: Summary Evaluation

Employee Name:_____ Employee Empl ID:_____

Employee Title:_____ UDDS: _____

Employee Type: _____ Academic Staff   _____University Staff

Type of performance evaluation: ____Annual _____ (period of review)

                                 ____Mid-Probation _____ (period of review)

                                 ____End of Probation _____ (period of review)

_____Position Description was reviewed and determined to be accurate.

_____Position Description update was developed and signed by both employee and supervisor on _____. Attached is the revised position description.

_____   _____
Employee Signature   Date

My supervisor has discussed this performance evaluation with me, and I have had an opportunity to respond. The employee's signature does not indicate agreement, but attests that the employee has had an opportunity to read and discuss this review. An employee may submit information to supplement this documented conversation within 30 days following the signature date.

_____
Supervisor Name (Typed or Printed)

_____   _____
Supervisor Signature   Date

_____
Department HR Name (Typed or Printed)

_____   _____
Department HR Signature   Date

_____
SMPH Name (Typed or Printed)

_____   _____
SMPH HR Signature   Date

Please provide the employee a copy of this form and all attachments. Retain one copy for your files. Send the original document to the DFMCH Human Resource Services Office.

Academic Staff and University Staff Performance Review

2015-2016 Academic Staff and University Staff Performance Review
- Review the job description to determine if it is in an accurate description of the assigned duties and responsibilities or if an updated description needs to be developed.
- The staff member completes each section of the form first. Type as much as necessary to complete each section. The supervisor will have an opportunity to review each section and commend on your text, plus add insights of his/her own. The employee and supervisor will meet to discuss the review.

List your accomplishments and professional activities during the review period. Include UW, SMPH, and DFMCH committees.

Response:

Supervisor Comments:

Address job productivity and quality of work.
(Consider: Are you focused, realistic, and systematic in your pursuit of job objectives? Are you in control of the situation and able to prioritize objectives? Are you accurate and thorough? Do you exhibit innovation and initiative? Do you hold yourself to a high standard of performance? Do you hold yourself responsible for the work you do?)

Response:

Supervisor Comments:

Address job-related knowledge/skills in this section.
(Consider: Do you have the necessary knowledge, training and resources for this job? Do you possess effective job-related skills and exercise those skills with independence and sound judgment? Do you regularly assess/pursue learning new methods, technologies or procedures to improve the accomplishment of job goals?)

Response:

Supervisor Comments:

Address communication.
(Consider: Do you work well with superiors, peers and subordinates? Do you treat others with kindness, empathy and respect? Do you represent a work group and/or the department effectively in a positive manner? Do you keep others appropriately informed?)

Response:

Supervisor Comments:

Performance Expectations, Goals and Professional Development Review

Please list the goals that were established prior to this review and address the employee's progress towards their completion.

Performance Expectations, Goals and Professional Development:
Goal #1: ○ More than satisfactory   ○ Satisfactory   ○ Need improvement   ○ Not satisfactory **Outcome:**
Goal #2: ○ More than satisfactory   ○ Satisfactory   ○ Need improvement   ○ Not satisfactory **Outcome:**
Goal #3: ○ More than satisfactory   ○ Satisfactory   ○ Need improvement   ○ Not satisfactory **Outcome:**

Additional goals should be written on a separate sheet.

Professional Development

(Consider: What are your long-term career goals? What are the future needs for this job? What are options to develop additional skills and knowledge to foster career growth?)

Employee Response:
Supervisor Comments:
Is the employee's overall job performance meeting expectations as set forth in the job description and the most recent review? ○ Exceeds expectations   ○ Meets expectations   ○ Improvement needed

Also discuss the major duties of the position, work priorities, how performance will be evaluated, and developmental needs including strategies to meet the needs.

Professional Development:

Please give the employee a copy of this form and all attachments. Retain one copy for your files. Send the original document to the DFMCH Human Resource Services Office.

_____   _____
Employee Signature   Date

_____
Supervisor Name (Typed or Printed)

_____   _____
Supervisor Signature   Date

_____
Department HR Name (Typed or Printed)

_____   _____
Department HR Signature   Date

Appendix I:

Task Force Interview Questions

<u>Performance Development Task Force Interview Questions</u>

Introduction: I am a member of the DFMCH Performance Development task force. I wondered if you could give me 10-15 minutes to answer a couple questions about your experience as a DFMCH supervisor/employee and performance management and professional development at the Department?

<u>Performance Management</u>

Our definition of performance management – Individuals receive coaching and feedback and are evaluated relative to the level in which they have contributed to the Department and achieved agreed upon goals.

1. What has your experience with evaluations/performance management been like?

2. What guidance have you received on how to complete your portion of evaluations?

3. **EMPLOYEE:** Do you feel that you and your supervisor have effectively communicated your professional goals? **SUPERVISOR:** Do you feel that you and your employees have effectively communicated the employee's professional goals?

4. **EMPLOYEE:** In what ways can we improve the performance management process? (Are there obstacles? Do you receive accurate and timely feedback?); **SUPERVISOR:** In what ways can we improve the performance management process? (Are there obstacles? Do you provide accurate and timely feedback to your employee?)

<u>Professional Development</u>

Our definition of professional development – The process of fostering individuals' personal and professional growth in order to provide increased opportunities and added value to the Department.

1. Are you aware of the opportunities available for personal and professional development (i.e. classes, events, groups)?
   a. **EMPLOYEE:** If yes, how did you learn about these opportunities? ; **SUPERVISOR:** If yes, how do you present these opportunities to your employees?

   b. **EMPLOYEE:** If no, what do you think the best way to present these opportunities would be? **SUPERVISOR:** If no, what do you think the best way to present these opportunities to your employees would be?

2. What would you like to see happen in the Department to enhance professional development?

3. **EMPLOYEE:** Are there any obstacles you face in your own professional development?; **SUPERVISOR:** Are there any obstacles you face in providing professional development opportunities for your employees?

4. **EMPLOYEE:** What could be done to improve professional development opportunities for you?; **SUPERVISOR:** What could be done to improve professional development opportunities for your employees?

Themes from Performance Development Interviews

Performance Management:

1. What has your experience with evaluations/performance management been like?

UWMF
- Repetitive and redundant within the tool and throughout the course of their career (same thing year after year).
- Too long, not enough time to complete since they're all due at once.
- Employees do not find them meaningful.
- Some supervisors don't work closely with the employee and don't necessarily know what the employee does—hard to evaluate performance.
- Informal conversations are more meaningful than the annual reviews.

Faculty
- Overall positive.
- 360's are good and provide useful feedback.

UW
- Supervisor expectations are not clear; not enough feedback.
- Academic Staff like the PIMS tool
- Most do not like the University Staff form
- Informal conversations are more meaningful than the annual reviews.
- Laborious

2. What guidance have you received on how to complete your portion of evaluations?

UWMF
- Some attended 1 hour class, though it was not required so many did not attend.
- Most people know about the trainings but it is not a priority.
- Most employees have enough instruction but would like more coaching from managers.
- Employees want more examples
- Might be helpful to have more trainings for supervisors on how to provide feedback.

Faculty
- Not much instruction.
- Many find it self-explanatory.

UW
- No training.

3. Do you feel you and your supervisor (or you and your employees) have effectively communicated the employee's professional goals?

UWMF
- Mostly positive.
- Goals weren't always mutual. Sometimes the organizational goals and personal goals do not always line-up.
- No follow-through with goals.

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- Would find it more meaningful if there was more feedback throughout the year.
- Suggestion: Separate the organizational goals from the development plan

<u>Faculty</u>
- Goals are mostly organizational.

<u>UW</u>
- No follow-through with goals.
- Some feel that goals don't apply to their position, or goals are not important to them.

4. In what ways can we improve the performance management process?

<u>UWMF</u>
- More time.
- Supervisors find it overwhelming to complete all evaluations at one time.
- Employees want more feedback throughout the year.
- Make the evaluation shorter and more meaningful.
- More supervisor training on feedback.

<u>Faculty</u>
- Follow-up on feedback.
- Want feedback from clinical staff, not just academic and patient feedback.
- Physician leaders need more training on how to support/evaluate staff.

<u>UW</u>
- More supervisor training on feedback.
- Need training for employees.

Professional Development:

1. Are you aware of the opportunities available for personal and professional development?

<u>UWMF</u>
- Most employees are aware of the trainings, but there is not enough time or coverage to be able to attend.
- Most supervisors are aware of the trainings.
- Would like trainings to be more available (i.e. at clinics, online learning).

<u>Faculty</u>
- Yes, there are lots of resources out there for physicians and they have a clearly defined professional development policy.

<u>UW</u>
- Most are aware of the trainings but they are not always sure if the trainings pertain to them.
    - o Suggestion: Put header at the top of the emails who the trainings are specifically geared towards.

2. What would you like to see happen in the Department to enhance professional development?
<u>All</u>
- Time
- Money
- Encouragement
- Availability (i.e. on-site trainings, Lunch and Learns, online learning)

3. Are there any obstacles you face in your own professional development? (Employee)
Are there any obstacles you face in providing professional development opportunities for your employees? (Supervisor)

<u>All</u>
- Time
- Money
- Availability
- Support
- Not sure where to find resources

4. What could be done to improve professional development opportunities for you? (Employee)
What could be done to improve professional development opportunities for your employees? (Supervisor)

<u>All</u>
- Bring it to the people—Lunch and Learns, trainings at clinics, online learning.
- Provide more support and encouragement

Appendix K:
DFMCH Professional Development Policy

DEPARTMENT OF **Family Medicine** UNIVERSITY OF WISCONSIN SCHOOL OF MEDICINE AND PUBLIC HEALTH	
Policy Name: **Professional Development Policy**	Effective: July 1, 2015
Updated by: Barb Stransky, CFO	Date updated: July 2, 2015
Approved by: Leadership Council	Date approved: 7/1/15

Scope:
Faculty, fellows,* non-faculty academic staff, nurse practitioners and physician assistants with a DFM appointment of .50 FTE or more are eligible for professional development benefits. This includes family medicine physicians, nurse practitioners and physician assistants working in the regional primary care clinics as well as those working in all other clinics and programs that are included in the DFM financials.

Fellows for purposes of this policy do not include research fellows since their expenses are covered by grants.

Purpose:
- To promote and provide funding for professional and educational development for faculty, fellows, NPs, PAs, and academic staff.
- To align professional development with the mission and strategy of the Department.
- To outline the processes for accessing professional development funds.

Guidelines:
I. General Guidelines:
   a. Unless specifically noted in the Clinician Business Expense policy or in sections III and IV of the Professional Development policy, reimbursement requests for conferences, dues, memberships, etc., will be charged to the clinician's Professional Development Fund balance if they meet the requirements for reimbursement under the Professional Development Policy.
   b. All Professional Development reimbursement requests will be paid by UWMF, and as such, must comply with the "UW Department of Family Medicine UWMF Reimbursement Policy" and any reimbursement guidelines or policies issued by UWMF.
   c. DFM will not pay for Professional Development expenses that have been incurred prior to the start of employment with DFM unless required to start employment and specifically pre-approved. Documentation and justification for the pre-approval must be submitted in order for payment to be made.
   d. DFM will not pay for expenses that will benefit an employee after they leave DFM employment unless the expense covers a time period in which the employee is an employee of DFM and cannot be broken down to cover only the time period in which they are an employee.

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e. Once an employee covered under this policy has given notice or been given notice of their termination of employment, no additional professional development requests will be approved. However, if an employee gives more than 90 days' notice of their voluntary termination, additional professional development may be approved on a case-by-case basis by the employee's supervisor first and then the Department Administrator. This includes all types of professional development covered under this policy.

f. Conference travel and attendance preference will be given to those giving professional presentations, receiving awards or otherwise representing the Department.

II. Professional Time Away:

a. Up to ten days per fiscal year are available for 1.0 FTE faculty, fellows, and academic staff and up to five days per fiscal year are available for 1.0 FTE NP/PA's for professional development. Professional time away will be prorated the nearest half day for those working for the DFM part of the year or if their FTE changes during the year. Examples of uses of professional time away are conference attendance, presentations, course attendance or other pre-approved activities. This time away is paid as part of the regular salary, and no benefit time needs to be used.

- For faculty and fellows, time away must be approved in advance by the faculty member's or fellow's Medical Director or designee; for faculty/fellows not working in a clinic and for Medical Directors, time away must be approved by his/her direct supervisor.
- For academic staff, nurse practitioners and physician assistants, time away must be approved in advance by the direct supervisor.

b. For professional time away, faculty must arrange for any replacement coverage for call, attending, and teaching responsibilities. Fellows, NP's and PA's and academic staff must arrange for any coverage needed for his/her responsibilities.

III. Professional Memberships:

a. For faculty and fellows, the Department pays annual dues for the following memberships:

- American Academy of Family Physicians (AAFP). The DFM budget unit will pay up to the cost of an AAFP membership if another professional membership is chosen.
- Society of Teachers of Family Medicine (STFM). All Faculty are encouraged to join; however, they may choose a professional membership, with approval of their supervisor, to replace STFM if another is more aligned with their professional work.
- DFM will pay for up to the combined cost of the AAFP and STFM dues should another membership(s) be substituted for one or both of these memberships.
- DFM will pay for other position-specific memberships that are required by DFM on a case-by-case basis.

b. For academic staff, nurse practitioners and physician assistants, the Department will pay for one of the following options each fiscal year for professional memberships and/or journals up to the total cost of the current AAFP plus STFM membership dues:

- Annual dues for two professional memberships related to the staff member's position, or
- One-year subscription rate for two professional journals related to the staff member's position, or
- Annual dues for one professional membership and a one-year subscription for one professional journal related to the staff member's position

c. To receive reimbursement for the above professional memberships or journals, either forward

the membership or subscription invoice, or "UWMF DFM Request for Reimbursement" form with the original receipt attached, to your Medical Director (or his/her designee) or direct supervisor for signature, and then to the DFM Accounts Payable at 1100 Delaplaine Court, Madison, WI 53715. The DFM CFO may sign in the absence of the Medical Director or direct supervisor signature for these types of expenses.

IV. **Maternity Care Course:**
   a. Registration fees for one maternity care course every 5 years are paid by the Department for faculty and fellows who do obstetrics. Attending an ALSO course offered locally or within Wisconsin is strongly encouraged as the maternity care course. If travel should be necessary, food, mileage and lodging may be covered with Professional Development Funds as described below. To receive reimbursement for registration fees for a maternity care course every 5 years, forward the "UWMF DFM Request for Reimbursement" form with the original receipt and course brochure attached to your Medical Director (or his/her designee) for signature, and then to the DFM Accounts Payable at 1100 Delaplaine Court, Madison, WI 53715. The DFM CFO may sign in the absence of the Medical Director signature for these types of expenses.
   b. ALSO instructor course fees plus travel-related expenses for faculty will be paid by the Department if approved by the respective Medical Director of their clinic and will be charged to that clinic's budget.

V. **Additional Professional Development – Professional Development Funds (aka CME):**
   a. Dependent upon the availability of Department funds, funding may be provided for faculty, fellows, nurse practitioners and physician assistants, and academic staff for professional development in addition to the items outlined above. Professional development funds are to be used for professional development that is mutually beneficial to the individual and the Department.
   b. Grant and other funding sources must be explored before use of these funds.
   c. Professional Development funds must be used in full before Chair Discretionary Funds (see section IX below) or any budget unit of the department can be charged, unless a conference or training is requested by the Chair, Vice-Chair, Department Administrator or CFO based on the required job duties of the faculty, fellows, nurse practitioners and physician assistants, or academic staff. If approved as a Department expense in these circumstances, then the Chair, Vice Chair, Department Administrator or CFO must sign the reimbursement request.
   d. Faculty, fellows, nurse practitioners and physician assistants, and academic staff that use any Professional Development Funds may be asked to provide a presentation or report for others in the Department.
   e. Amounts for individual employees: Each fiscal year, up to $2,100 will be available for faculty working 1.0 FTE in the DFM, up to $2,000 will be available for NP/PAs working 1.0 FTE in the DFM, and up to $4,000 will be available for fellows working 1.0 FTE in the DFM. For PA program faculty, $2,000 will be available for a 1.0 total DFM appointment even though a percent of their clinical FTE or CME may be funded outside the DFM. For DFM fellows, $4,000 will be available for a 1.0 total appointment even though all or part of that appointment may be outside DFM.
      ▪ This amount will be prorated for those working less than 1.0 FTE in the DFM. This amount will be prorated for the portion of the year that faculty, fellows and staff are not employed by DFM (to the nearest half month).
      ▪ Unused dollars are not carried over to subsequent years. Unused dollars are not

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available for payout to the employee upon termination.

- ▪ There will be a negotiated Professional Development allowance dollar amount for the Department Chair and any DFM faculty serving in a Dean position at the UW School of Medicine and Public Health.
- ▪ Faculty, fellows, nurse practitioners and physician assistants, and academic staff may not use next year's Professional Development funds in the current fiscal year.

f. Amounts for CME pools: Non-faculty or provider academic staff will be assigned to CME pools based on who their supervisor is. The pools will be administered by the budget unit manager. The amounts per pool will vary and are subject to budgetary constraints. The amount in each pool will be reviewed annually. The pool dollars will be recommended by the Department Administrator and the CFO and approved by the finance committee.   The following CME pools will be established effective 7/1/15: Department Administration, Clinic Operations, IT, PA program, Educational Services, Research and Eau Claire.   It is the responsibility of the manager of each pool to manage the funds in their pool based on the strategic priorities of their area, any required professional development for employees in their pool and other appropriate factors. At the discretion of the budget unit manager, some of the money in their pool may be used for professional development of University staff (formerly classified staff) as well.

g. Approval: To ensure reimbursement, advance approval is strongly recommended:

- For faculty in Eau Claire and Augusta, from your Campus Director;
- For faculty and NPs/PAs in Madison residency clinics, from your Medical Director;
- For PA faculty in the PA program, from the Director or Administrator of the PA program;
- For faculty in UWMF managed or Regional Primary Care clinics, from your area Medical Director;
- For Madison/Dane County area Medical Directors, and upstate Campus Directors, from the Chair of the Department or his/her designee;
- For nurse practitioners and physician assistants in UWMF-managed or Regional Primary Care clinics, from your direct supervisor;
- For research staff, from your supervisor;
- For fellows, from your respective fellowship director.;
- For non-faculty academic staff, all usage of professional development funds over $500.00 must be pre-approved. If all projected expenses for attendance at a conference or other items purchased all at the same time will exceed $500, then pre-approval is required using the "Request Form for Travel or Employee Development Authorization". No reimbursement will be available from professional development funds for expenses over $500.00 that has not been pre-approved by your direct supervisor and your CME pool manager. All requests will be reviewed in light of budgetary constraints and business necessity.

VI. **Program/Clinic Funds:**

Program Directors and Associate Chairs may also have budgeted funds to support required professional development or specifically as needed/required for that program or clinic. To ensure reimbursement, advance approval is required from the respective DFM leader.

VII. **Examples of appropriate uses for professional development funding described above include:**

a. Conferences for professional and educational development that mutually benefit the individual and the Department

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b. Conferences when presenting a talk or poster
c. Non-degree program courses and conferences for maintaining professional licenses and certifications (including ACLS, Life Support classes, Neonatal resuscitation (NRP), International Board of Holistic Medicine (IBHM), and AWHONN online certification for Electronic Fetal Monitoring),or courses or conferences at a college or university that are work-related, but are not part of the employee obtaining a degree.
d. Work-related journals and subscriptions
e. Work-related books
f. Work-related medical software and educational programs for computers and mobile technology devices. All software purchases must comply with DFM Acceptable Use Policy to be loaded on DFM-owned computers.
g. Professional memberships outside of those provided in this policy or the Clinician Business Expense policy that mutually benefit the individual and the Department
h. Work-related international travel approved in advance by the Department (must be recommended by the International Travel Advisory committee and approved by the DFM Chair, and adhere to the DFM's International Travel Policies and Procedures.)
i. Additionally for faculty:
    - Travel and lodging expenses for maternity care courses
    - Board exam expenses for sub-specialty areas of Family Medicine (i.e.: lactation consultant boards, holistic medicine, etc.)
    - Cost of Haiku or Canto licenses for mobile technology device
    - Cost of DMMR (*Dragon Medical Mobile Recorder from Nuance)* licenses for mobile technology device
j. Based on business need, the cost of a computer (laptop or desktop) or mobile computing device such as an iPad or similar tablet, including costs for a case, one charger (if not included in the price of the device), and memory card once every other fiscal year. Warranties, repairs or other service plans are not covered. Note: if a computer or other mobile technology device that is within DFM IS standards is purchased, then DFM IS staff will provide support for these items, provided that the majority of the use is DFM work-related. If there is personal software on the device, DFM IS department may not support it or may ask that the personal software be removed prior to supporting it. Reimbursement is limited to once every other fiscal year for either a computer or mobile technology device.
k. Subject to Department approval, cost of a license for the DFM Airwatch Mobile Device Management (MDM) system to enable receiving email and calendar information on a mobile technology device.
l. An iPod, cell phone, smart phone or other mobile communication device. Costs for a case, car charger, warranty, or services are not covered.
    i. For faculty: only once every year
    ii. For fellows, NP's, PA's and academic staff: Up to $100 once every year if approved by their supervisor
m. Personal Stethoscopes for clinical use
n. Professional memberships such as AMA, WMS, WAOPS, and AOA.

VIII. **Examples of inappropriate uses of professional development funds include:**
a. Printers, scanners, LCDs, networking equipment, voice communication devices (except as described above), other electronic and technical equipment, and warranties for such equipment.
b. Cell/smart phone service bill, car chargers, warranties, or cases.
c. Home phone, internet or other home-based data plan services

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d. Any other expenses related to everyday personal communications
e. Furniture, décor, or other items for office
f. Gifts
g. Expenses for personal travel, or expenses to extend business time away with personal time
h. Travel expenses for family or others who may accompany on a work-related trip
i. Expenses for work-related parties or meals
j. Upgrades to business or first class airfare except for international travel
k. Fees for airline ticket changes, travel club or red carpet dues
l. Movies in hotel rooms when traveling
m. Hotel rates over $300/night (exceptions will be allowed up to the single rate at the conference site hotel)
n. Self-help and motivational conferences, books and products; exercise classes
o. Mileage and parking for hospital, call, or other clinical, research, or academic work
p. Medical equipment (excluding personal stethoscopes), special glasses, shoes, and other items not of an educational nature
q. Course work towards a degree (Tuition reimbursement may be available. Contact the DFM Human Resources department for specific instructions.)
r. Expenses for penalties, late fees or fines.
s. Reimbursement for DEA license fees paid in error by UW employed faculty or staff

IX. Chair Discretionary Funds
   a. The availability of any additional funding above the allocation for each faculty under Chair Discretionary Funds is limited and will be dependent on the Department's budget.
   i. Even if a faculty member has a paper accepted for presentation or another significant professional opportunity, full DFM support for associated expenses cannot be assumed. It is required that requests for Chair Discretionary funding be submitted using the "DFM UWMF Reimbursement Form" as soon as the information required below is available to allow ample time for the request to be reviewed and a decision made as to funding.
   ii. If Professional Development funds are spent on computers, cell phones or other electronic items as allowed in section VII above, any overage in their CME allocation will be reduced by the amount spent on electronic devices and associated expenses, and the remaining amount will be the amount considered for funding under Chair Discretionary Funds.
   1. Example 1: Original professional development:

Computer	$1,300
Conference	$ 900
Total	$2,200
Reimbursed	$2,000
Overage	$ 200
Chair Discr.	$ -0- since more than $200 was spent on electronics.

   2. Example 2: Original professional development:

Computer	$ 300
Conference	$2,400
Total	$2,700
Reimbursed	$2,000
Overage	$ 700
Computer	($ 300)

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<div align="center">Chair Discr. $ 400</div>

b. Supplemental funding from Chair's Discretionary Funds may be provided to allow faculty, fellows, NP/PAs and academic staff to attend additional meetings/ conferences or other professional development expenses in the following situations:
1.   If the activity is requested by the Department, -- either to represent the DFM or to bring back to the department specific skills or information.
2.   If a faculty or staff member, in conjunction with her/his supervisor, mentor committee or site leaders, has a clearly defined academic development plan that would be substantially facilitated by attendance and/or presentation at specific professional forums for which the costs will not be entirely covered by the base allocation. Whenever possible, such a need for supplemental resources should be determined and requested within the annual performance review process.
3.   If a faculty or staff member has already used his/her allotted professional development-funds and is invited to give a presentation at an academic meeting.
4.   If the faculty or staff member, due to his/her position, receives approval from the Chair to attend certain conferences or meetings. At the Chair's discretion, this approval may be only for the current fiscal year, may continue on indefinitely, or may be for a certain time period.
5.   Other circumstances as deemed appropriate by the Chair.

c. In each of these circumstances the faculty or staff member must apply to the Chair's Office for funding. Priority will be given to activities that have high likelihood to lead to publications and/or sharing of important innovations related to the missions of the DFM. Decisions will be based on the following considerations:
1.   *Resource Availability* – this may vary depending on budgetary constraints
2.   *Value* – impact on DFM missions and initiatives
3.   *Consistency* – alignment with individual academic plan as outlined with mentor committee and/or site leaders. The use of the primary available funding should be a part of this plan.
4.   *History* – past success in developing publications from presentations, communicating knowledge gained from external activities to colleagues, and implementing strategies learned within the DFM.
5.   *Equity* – frequency of requests for supplemental resources in comparison to colleagues.
6.   *Timeliness* – early notice about supplemental needs is preferred.

d.   Applications for Chair Discretionary funding should be submitted to the Chair's office with inclusion of the following information:

1. Faculty, fellow, NP/PA. or staff member name
2. Conference or meeting –date, location
3. Approval from medical director or supervisor regarding time away, as appropriate
4. Support from mentor committee or other leadership, as appropriate (can be copy of mentor committee report, annual performance review plan, etc.)
5. Nature of activity: presentation (including topic and copy of request to present or acceptance of submission), panel participation, participation in learning activity, etc.
6. Relationship of activity to professional development goals
7. Prior use of the base allocation of professional development funds ($2000) in the academic year
8. Previous requests for supplemental funding over the past 5 years
9. Plans for subsequent dissemination of presentation materials, such as publication, or of information within the DFM

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10. List of anticipated expenses
11. Date by which decision about supplemental funding is needed
12. Other factors as are relevant (e.g., matching funds from other sources, coordination with other activities, etc.).

Applications for funding to cover overages in Professional Development funds for the fiscal year are due to the Chair's office no later than June 30 of the year in which the overage occurred. The Executive Team will review all requests for funding for overages during one of their regular meetings in July or August of the next fiscal year. Recipients will be notified upon approval.

X. Use of all Professional Development Funds should be reported in aggregate on an annual basis and reviewed by the DFM Finance Committee. The amount and use of funds should be recommended on an annual basis as part of the budget planning process. The DFM Chief Financial Officer or his/her designee will initiate this review and recommendation process on an annual basis.