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**Cascading Goals Resource Guide:  
Aligning Human Resources with  
Our Strategic Priorities  
2016 - 2017**



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## Instructions for Developing 2016-2017 Cascading Goals

It will be helpful to have the following information available when drafting cascading goals:

- The current Employee Position Description/EWP Work Description/Performance Plan
- Cascading Goals Resources Guide
- Electronic Word Document for the 2016-2017 EWP (For Classified Employees)  
<http://hr.vcu.edu/media/hr/documents/EWP.doc>
- Electronic Word Document for the 2016-2017 Cascading Goals Worksheet

Step	Action
1	Read/review: <ol style="list-style-type: none"> <li>a. The Quest Themes and Strategic Priorities found on pages 5-6 in this document.</li> <li>b. The mission/high level goal(s) for your division/school and the department of the employee. (See the Cascading Goals Examples on pages 7-8 in this document.</li> <li>c. Read the specific Core Responsibilities for the employee found in the current position description/EWP Work Description/Performance Plan.</li> </ol>
2	<ol style="list-style-type: none"> <li>a. Make adjustments to the Core Responsibilities as needed to reflect accuracy. <b>Note:</b> It may be helpful to categorize the core responsibilities into sequential tasks that achieve specific functions to help define 4 to 6 overall goals for the individual employee.</li> <li>b. As goals are developed for the employee, include 1 or 2 Professional Development goals for the 2016-2017 year. <b>Note:</b> Professional Development goals could be capacity building activities for the employee to enable them to meet/exceed expectations in their current goals or be an activity to help them build awareness/skills in other areas.</li> </ol>



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Step	Action	
3	<p><b>For Classified Employees:</b></p> <ul style="list-style-type: none"> <li>a. Select the Quest Themes and Strategic Priorities most closely aligned with the employee goals.</li> <li>b. Insert selected Quest themes/priorities, division/school and department goals into the <b>Organizational Objective</b> section of the EWP Work Description/Performance Plan for 2016-2017 <a href="http://hr.vcu.edu/media/hr/documents/EWP.doc">http://hr.vcu.edu/media/hr/documents/EWP.doc</a></li> <li>c. Insert the 4 to 6 overall goals for the employee into the <b>Purpose of Position</b> section of the EWP Work Description/Performance Plan for 2016-2017.</li> <li>d. Insert the Professional Development goals in the <b>Employee Development Plan</b> section of the EWP Work Description/Performance Plan.</li> <li>e. Insert specific steps and resources needed for the Professional Development goals in the <b>Career/Professional Development Steps/Resource Needs</b> section of the EWP Work Description/Performance Plan.</li> <li>f. Save the updates to the EWP Work Description/Performance Plan with the Employee's name included in the title.</li> </ul>	<p><b>For A &amp; P Faculty:</b></p> <ul style="list-style-type: none"> <li>a. Select the Quest Themes and Strategic Priorities most closely aligned with the employee goals.</li> <li>b. Insert selected Quest themes/priorities, into the <b>University</b> section of the Cascading Goals Worksheet 2016-2017</li> <li>c. Insert the Division and Department/Team goals into the appropriate sections of the Cascading Goals Worksheet (see page 9 of this document.)</li> <li>d. Insert the 4 to 6 overall goals for the employee into the <b>Individual</b> section of the Cascading Goals Worksheet.</li> <li>e. Save the completed Cascading Goals Worksheet with the employee's name included in the title of the document.</li> </ul>



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Step	Action	
4	Using the information in this document on pages 15 -18 prepare to discuss the 2016-2017 Cascading Goals with the employee.	
5	Following the conversation with the employee make any adjustments to the goals agreed to during the Cascading Goals conversation.	
6	<b>For Classified Employees:</b>	<b>For A &amp; P Faculty:</b>
	Send the completed electronic version of the form for each employee to the Human Resources administrator for your area for entry into eJobs. See page 14 of this document for eJobs instructions.	Retain the electronic and/or hardcopy versions of the completed Cascading Goals Worksheet 2016-2017 for the employee in the employee file in the department/unit.

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## **VCU Quest Themes & Strategic Priorities 2016/17:**

- I. **Become a leader among national research universities in providing all students with high-quality learning/living experiences focused on inquiry, discovery and innovation in a global environment**
  1. Recruit and retain talented and diverse students who will graduate at a higher rate than our current Quest peers and serve as leaders in a well-educated workforce
  2. Recruit and retain forward thinking and diverse faculty, staff and senior leadership with the skills and talents to advance quality teaching and learning, high-impact research, scholarship and creative expression.
  
- II. **Attain distinction as a fully integrated urban, public research university through contributions in human health, research, scholarship and creative expression that advance knowledge and enhance the quality of life**
  1. Leverage health system/university assets to address social determinants of health
  2. Increase interdisciplinary and transdisciplinary research and interprofessional education, scholarship and practice among arts, humanities and sciences
  3. Integrate Academic, Research, and Clinical Missions to advance human health through interprofessional education and collaborative practice
  
- III. **Become a national model for community engagement and regional impact**
  1. Expand capacity and establish steering committees to finalize design and begin implementation of community-identified, university community engagement that is focused, strategic and measurable (Preliminary focus areas: K-12 Education/Lifelong Learning and Health Literacy and Access)
  2. Leverage and align efforts of students, faculty and staff to enhance, disseminate and integrate community-engaged scholarship, student service learning opportunities and outreach
  3. Implement Strategies to partner with city/region in advancing economic development

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## **VCU Quest: Aligning Resources to Meet Strategic Goals supporting the VCU mission**

**Ensure that our resources align with and advance our Quest Goals to be a premier urban public research university and build a living-learning-work environment that supports a vibrant urban research university and its community.**

### **New:**

- Implement next phase of new budget and resource allocation model (run parallel structures)
- Design clearer requirements for resource accountability at unit and institutional level that supports VCU's collective academic and research mission
- Generate and develop new resource opportunities
- Health System Facilities Plan Implementation (Subject to BOD action)
- Athletics Facilities Plan Implementation
- Implement technical infrastructure to support efficient research space management
- Design new HR plan and policies to strategically align VCU's human capital with the University's mission, values, and priorities.

### **Continuing:**

- Redesign university budget process
- Enhance university climate resources through implementation of university-wide diversity and equity plan
- Complete next phase of comprehensive campaign implementation
- Continue implementation of the University's Master Plan



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## Cascading Organizational Goals: Example 1

**University:**

**Quest Theme I:**

**Become a leader among national research universities in providing all students with high-quality learning/living experiences focused on inquiry, discovery and innovation in a global environment.**

**Strategic Priority: Recruit and retain talented and diverse students who will graduate at a higher rate than our cur peers and serve as leaders in a well-educated workforce**

Level	Goal
Division/School: <b>EDUCATION</b>	Prepare effective, highly-skilled teachers, counselors, school administrators, higher education faculty and other education professionals, committed to making a difference in the lives of children and adults and their communities, particularly in high-need learning environments.
Department/Center: <b>Student Services Center</b>	Provides administrative, advising and technical support to students as they progress throughout their School of Education experience.
Individual: <b>Administrative Specialist III Coordinator, Clinical Placements and Licensure</b>	<ol style="list-style-type: none"> <li>1. Process applications for admission to teacher preparation programs.</li> <li>2. Process applications for clinical placements for practica, student teaching, internships, externships and state licensure.</li> <li>3. Participate in recruitment efforts by providing general and program course information to internal and external audiences.</li> </ol>



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## Cascading Organizational Goals: Example 2

### University:

**Quest Theme II: Attain distinction as a fully integrated urban, public research university through contributions in human health, research scholarship and creative expression that advance knowledge and enhance the quality of life.**

**Strategic Priority: Increase interdisciplinary and transdisciplinary research and inter-professional education, scholarship and practice among arts, humanities and sciences**

Level	Goal
Division: <b>OVPRI</b>	Partner with faculty in all Schools and departments to facilitate the acquisition of funds as they seek funding, plan studies, establish collaborations, calculate budgets, submit grant applications, negotiate industry contracts, and secure patents and licensing agreements.
Department/Team: <b>Office of Sponsored Programs (OSP)</b>	Facilitate the submission and processing of compliant research proposals and receive awards from all sources in support of the research mission of the University <ol style="list-style-type: none"> <li>1. Provide information and resources to assist faculty in submitting proposals that are in compliance with all internal and external requirements.</li> <li>2. Process all compliant proposals.</li> <li>3. Mediate the grant process.</li> <li>4. Accept awards and assure they are administered consistently with Sponsor and University policies.</li> </ol>
Individual: <b>Contract &amp; Grant Administrator</b>	<ol style="list-style-type: none"> <li>1. Provide administrative and technical guidance and support to faculty and staff seeking outside funding for research, public service and special sponsored institutional projects.</li> <li>2. Ensure accurate financial reporting and procedural compliance on all grants.</li> </ol>





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**Cascading Goals Worksheet 2016-2017**

**University**

**Quest Theme:**

**Strategic Priority:**

Level	Goals
<p><b>Division:</b></p>	
<p><b>Department/Team:</b></p>	
<p><b>Individual (position title)</b></p>	



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**\*Employee Work Profile (EWP)  
Work Description/Performance Plan  
Instructions for November, 2016**

**Work Description/Performance Plan**

These sections are developed or reviewed by the supervisor and the employee **within 30 days of hire**. The Employee Work Profile (EWP) Work Description/Performance Plan should be updated with Cascading Goals using the highlighted sections and reviewed again with the employee at the **beginning of this evaluation cycle**.

<p><b>Organizational Objective</b> (Applicable Quest Themes/University Goals; Division/Department/Team mission/goals)</p>	<p>Include University Strategic Goals (Quest Themes/Strategic Priorities) and Division/Department/Team mission/goals applicable to the individual employee's position.</p>
<p><b>Purpose of Position</b> (Cascading Goals for the individual employee)</p>	<p>These statements should link to the university goals and capture the most important service or product expected from the employee in the position. These 3 to 5 statements provide a brief and clear explanation of the expected outcomes for the employee in this position.</p>
<p><b>Knowledge, Skills, &amp; Abilities (KSAs) and/or Competencies</b></p>	<p>Describe the expertise required to successfully perform the assigned work. The information may be used in hiring new employees or to describe the competency or skill level of the incumbent.</p>
<p><b>Education, Experience, Licensure, Certification</b></p>	<p>Enter the educational background that would be required for entry into position. Also, list any occupational certifications or licenses that the employee must hold.</p>
<p><b>Sensitive or Resource Critical</b></p>	<p>Check "yes" or "no," as applicable.</p>
<p><b>Core Responsibilities</b></p>	<p>List up to five core job responsibilities in order of their importance to the whole job. Core responsibilities are essential to the work performed and are written as broad sets of major duties or functions. Core responsibilities must provide sufficient information to assign the position to the proper Role, determine exemption status for FLSA (federal Fair Labor Standards Act) and provide a basis for performance evaluation. Statements should be brief and do not have to include every detail of the position's activities. Performance Management is a required core responsibility for all supervisory employees and is pre-populated on the form in eJobs (it can be deleted from an EWP in eJobs if not applicable to the position)...</p>



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<b>Special Assignments</b>	Completion of this section is not required. Special assignments are considered brief in nature and typically are not extended beyond the performance period. Statements should be brief and do not have to include every detail of the assignment.
<b>Objectives and/or Competencies</b>	Ethical Standards and Customer Service are required competencies for all employees and are pre-populated on the form in eJobs. Additional objectives are encouraged but not required. Objectives are defined as strategic business goals set by the agency or division/department. They also may include behavioral competencies that are critical to the employee's success. Identifying objectives and/or competencies on the work plan helps to support organizational values and goals and reinforces each employee's role in meeting those goals.
<b>% of Time Spent and Essential (E) / Marginal (M) Designations</b>	Enter the approximate percentage of time spent performing the core responsibilities. Designate each core responsibility, special assignment and Objective/Competency as an essential (E) or marginal (M) job function.
<b>Measures</b>	Identify the qualitative and/or quantitative measures against which each responsibility, assignment, or objective will be assessed. Measures are included for the Performance Management core responsibility, Ethical Standards and the Customer Service objective.
<b>Position's Physical/Cognitive Requirements</b>	Document essential (E) and marginal (M) job functions of the position for use in responding to requests for modification or accommodation. Information regarding employees' medical histories are not a part of this form and must be maintained separately from the personnel file.
<b>Employee Development Plan (Career/Professional Development goals): Learning Goals</b>	List any Career/Professional Development goals identified by the employee with the supervisor.
<b>Employee Development Plan (Career/Professional Development steps/resources): Learning Steps/ Resource Needs</b>	Indicate specific steps that need to be taken and by whom and the timeframes to accomplish the Career/Professional Development goals. Action may include training, coaching or other learning methods.



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**\*Employee Work Profile**  
Work Description/Performance Plan

Position Number:		Department/Division:	
Role Title & Code:		Working Title:	
Pay Band:		Position supervises two or more FTEs: <input type="checkbox"/> Yes <input type="checkbox"/> No	
Supervisor's Position #:	Supervisor's Role or Faculty Title:	Date:	
<b>Organizational Objective (Applicable Quest Themes; Division/Department/Team mission/goals):</b>			
<b>Purpose of Position (Cascading Goals for the individual employee):</b>			
Knowledge, Skills, and Abilities (KSAs) and/or Competencies required to successfully perform the work:			
Education, Experience, Licensure, Certification required for entry into position:			
<b>Please check "Yes" or "No" to show if this position is Sensitive or Resource Critical</b>			
<input type="checkbox"/> Yes <input type="checkbox"/> No <b>Sensitive Position</b>  <small>(Positions that have direct contact with research animals, are responsible for direct patient care and are responsible for safety, such as police and security staff)</small>		<input type="checkbox"/> Yes <input type="checkbox"/> No <b>Resource Critical</b>  <small>(Positions that have access to or control over confidential information related to employees, students or patients, and have access to or control over significant institutional assets)</small>	
<b>FOR HR USE ONLY</b>			
<b>FLSA SALARY TEST</b>		<b>FLSA JOB DUTIES EXEMPTION TEST USED</b>	
<input type="checkbox"/> EMPLOYEE DOES NOT MAKE \$23,660 OR MORE (Non-Exempt)		<input type="checkbox"/> EXECUTIVE <input type="checkbox"/> PROFESSIONAL <input type="checkbox"/> ADMINISTRATIVE <input type="checkbox"/> COMPUTER <input type="checkbox"/> COMBINATION (CHECK TESTS USED)	



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FLSA STATUS (as determined by VCU Human Resources)	HR CONSULTANT	DATE
<input type="checkbox"/> NON-EXEMPT <input type="checkbox"/> EXEMPT		

This page is separate from the remainder of the Work/Description/Performance Plan because it contains confidential employee information.

<b>Employee Name:</b>	<b>Department/Division:</b>
<p><b>Employee Development Plan (Career/Professional Development Goals)</b></p> <p><b>Learning Goals:</b></p>  <p><b>Career/Professional Development Steps/Resource Needs:</b></p>	

**\*THIS SAMPLE DOES NOT REPRESENT THE ENTIRE EWP AND IS FOR TRAINING PURPOSES ONLY**



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## Requested Updates for eJobs@VCU

Section	Field Description for Oct. 2016	Requested Field Content transferred from the EWP
EWP Details	Organizational Objective (Applicable Quest Themes; Division/Department/Team mission/goals):	Include University Strategic Goals (Quest Themes/Strategic Priorities) and Division/Department/Team mission/goals applicable to the individual employee's position.
EWP Details	Description of General Responsibilities (Cascading Goals for the individual employee):	These statements should link to the university goals and capture the most important service or product expected from the employee in the position. These 3 to 5 statements provide a brief and clear explanation of the expected outcomes for the employee in this position.
Developmental Plan	Learning Goals (Career/Professional Development Goals):  Career/Professional Development steps/resources): Learning Steps/ Resource Needs	List any Career/Professional Development goals identified by the employee with the supervisor. Indicate specific steps that need to be taken and by whom and the timeframes to accomplish the Career/Professional Development goals. Action may include training, coaching or other learning methods.



## Cascading Goals Conversation Model

- Schedule
- Prepare

### **Establish the Agenda**

- Explain the purpose and format for the meeting

### **Explain Cascading Goals Concept**

- Briefly identify VCU Strategic Areas of Focus
- Make the connection between the University Goals and the Division/School/Department mission/vision/goals

### **Share Your Ideas**

- Share specific employee goals critical to success in the position
- Communicate to create career/professional development goals
- Ask for employee's reaction
- Surface obstacles and issues
- Offer information and assistance

### **Agree on Action Plans**

- Summarize key goals and action steps mutually agreed to
- Check for employee's commitment to the action plan
- Express confidence and offer support
- Ask employee to summarize understanding (if necessary)

- *Observe*
- *Measure*
- *Coach* (discuss strengths and opportunities for growth/improvement)



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## Suggested Conversation Guide

### Explaining the Concept

- Developing sound department, team and individual goals which connect to the overall University goals is critical to employee and university success.
- Each year we will work together to set and clarify goals for the upcoming year/evaluation period.
- Having clear alignment of goals allows everyone to work in support of a larger goal, and helps everyone see how their day-to-day activities contribute to the success of the University and establishes a framework for individual career growth and success.

### Asking for Input

- As you consider the goals for your work over the next year, what is missing from your perspective?
- What questions do you have regarding the specific goals I've shared and how what you do contributes to the overall success of the University?

### Building an Action Plan

- What one thing do you think it would be beneficial to work on?
- What do you think is in the way of you doing that?
- How can I help?
- What's the one thing you'll begin to do as an action step tomorrow to be more effective?
- Would you be open to listening to some ideas I have for moving forward?
- Of the suggestions I shared, which ideas sound best to you?

### Summarizing

- What I heard you say was...Was my interpretation on track?
- How do the ideas we just discussed sound to you? Does this sound like something you may be able to use? Why, why not?
- How may I be of assistance to you?
- What questions can I answer for you?

### Checking for Commitment

- How would you characterize your level of commitment to the plans we developed?
- It is important that we conclude our discussion by making certain that we have a mutual understanding of the next steps, please, recap the highlights of our conversation today?





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## Cascading Goals Conversation Planner

Conversation Model	Ideas to use during the discussion
<p style="text-align: center;"><b>Establish the Agenda</b></p> <ul style="list-style-type: none"> <li>• Explain the purpose and format for the conversation</li> </ul> <p><b>Explain the Cascading Goals Concept</b></p> <ul style="list-style-type: none"> <li>• Briefly identify VCU Strategic Areas of Focus</li> <li>• Make the connection between the University Goals and the Division/School/Department mission/vision/goals</li> </ul> <p style="text-align: center;"><b>Share Your Ideas</b></p> <ul style="list-style-type: none"> <li>• Share specific employee goals critical to success in the position</li> <li>• Communicate to create Career/Professional development goals</li> <li>• Ask for the employee’s reaction</li> <li>• Surface obstacles and issues</li> <li>• Offer information and assistance</li> </ul> <p style="text-align: center;"><b>Agree on Action Plans</b></p> <ul style="list-style-type: none"> <li>• Summarize key goals and action steps mutually agreed to</li> <li>• Check for the employee’s commitment to the action plan</li> <li>• Express confidence and offer support</li> <li>• Ask the employee to summarize understanding (if necessary)</li> </ul>	



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## Conversation Follow-Up/Action Plan

Employee Name: \_\_\_\_\_

Date: \_\_\_\_\_

Action Steps (following the Conversation):

Timeline


Manager/Coach's Role:


Summary of Coaching Discussion:
