

Performance Management Essentials

- CREATE COLLABORATIVE PERFORMANCE PLANS
- DELIVER PERFORMANCE FEEDBACK
- DOCUMENT PERFORMANCE
- MANAGE PERFORMANCE ISSUES



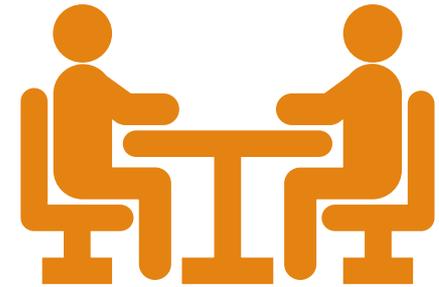
Performance Evaluation and Professional Development System

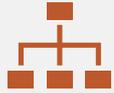
Purpose:

- Clarify job expectations
- Encourage and support professional development
- Provide quality feedback on performance

All professional employees, including those with permanent appointment, should have:

- Job Description (up to date)
- Performance Program for current or upcoming year
- Annual Performance Evaluation based on the Performance Program





Performance management can be a means of holding employees accountable for results.



Accountability stems from making expectations clear, monitoring progress, providing feedback, and following through on consequences, both positive and negative. Transparency and accountability help increase retention.



Without follow through, accountability cannot improve, even if the other elements of performance management are sound.

Performance Management and Accountability



Job Description

- Communicates scope and nature of job responsibilities
- Focuses on duties and responsibilities
- Remains fairly stable
- Starting point in developing a Performance Program
- Reviewed each year as a Performance Program is developed for the coming year and modified to reflect any major changes



Job Description

Position Summary

- Brief description

Job Functions

- Essential responsibilities (must haves)
- Percentage of time spent on each
- Consequences of actions if fail to perform duties
- Level of supervision received
- Examples of authority and decision making
- Who employee supervises



Job Description

Secondary Responsibilities

- Ancillary functions, routine tasks coincidental to essential duties

Required Knowledge, Skills, Abilities

- Specific knowledge
- Level of knowledge
- Physical and mobility requirements
- Mental abilities

Qualifications

- Degree(s)
- Years and type of experience
- Licenses, certifications





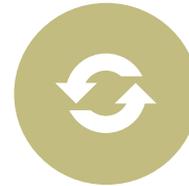
REQUIRED FOR ALL
EMPLOYEES AND
PREPARED EACH YEAR



FORMS BASIS FOR
ANNUAL PERFORMANCE
EVALUATION



SET GOALS AND CLARIFY
EXPECTATIONS FOR THE
YEAR



SHOULD BE REVISED IF
PRIORITIES CHANGE



TIE TO GOALS IN
DEPARTMENT, DIVISION,
OR COLLEGE STRATEGIC
PLAN

Performance Program



Performance Programs

Should include

- Individual goals related to department/division goals
- Professional development goals
- College Community Service Activity goals
- All important functions and responsibilities that will be evaluated and the professional obligation

Cannot be retroactive



Consultation with Employee

- Develop goals with input from employee
- Fosters buy-in, cooperation
- Helps identify obstacles, training, and resource needs
- Clarify priorities

Q. What if employee disagrees with goal you assign?

A. Supervisor has the final authority to determine the elements of the performance program.



Steps to Writing Goals

Goals shall include:

- an **accomplishment or statement of end result** (usually a verb)
- a **target area of focus** for the efforts
- a **measurement or standard** to compare progress
- an **achievement date**

Examples:

- To improve 2022-2023 residence hall retention rates by 10% from 2021-2022 by August 31, 2023
- To conduct training on new time and attendance system for all supervisors by June 30, 2022
- To improve turnaround time for processing purchase requisitions by 20% from 2021-2022 by December 31, 2022



Goal Setting

SMART goals are actionable, well-planned, and achievable:

- **Specific**
 - Defines detailed results to be accomplished
- **Measurable**
 - Defines quantity or quality metrics to determine progress
- **Attainable**
 - Is it achievable and within capabilities?
- **Relevant**
 - Supports department and college goals
- **Time Bound**
 - Specifies due date or frequency of action

Good goal setting practices work by improving focus and inspiring action and can lead to better performance when they are challenging, personally meaningful, and within the employee's control to achieve.



Performance Evaluation

Evaluation Cycle

- Tied to timeline for recommendations and notification deadlines for employees with term appointments. HR sends reminder memo to supervisor with a copy to the employee.
- Annual Evaluations required for all employees (including those with permanent appointment and multi-year term appointments).
- Review cycle is July 1 – June 30 for permanent employees (consistent with annual report cycle).

Prepared by direct supervisor



Performance Evaluation

Criteria

- Effectiveness in performance
- Mastery of specialization
- Professional ability
- Effectiveness in university service
- Continuing growth

Rate and comment on each goal

Evaluate Job Description

Overall Rating (required) and Optional Satisfactory Rating

Recommendation from supervisor





Request summary of accomplishments from employee, or self-evaluation based on goals



Draft your evaluation and share with employee



Meet with employee to discuss



Consider employee's input and make changes if appropriate



Identify areas for professional development
(see Success Factors)



Develop Performance Program for coming year

Preparing for Performance Evaluation



Giving Feedback



Should be ongoing, timely, and sincere



Routine conversations make it easier to offer guidance when corrections are needed



Let employee know where they are excelling and where improvement is needed



Avoid labels and judgments by describing rather than evaluating behavior



Define impact on you, the unit, and the College



- Situation – Describe the specific situation in which the behavior occurred.
- Behavior – Describe the actual, observable behavior(s) being discussed. Keep to the facts. Do not insert opinions or judgments.
- Impact – Describe the results of the behavior and explain the impact it had you, other employees, the unit, or College.
 - It can shed light on something the employee never knew or thought about and does not assume motivation or place blame.
 - The information can motivate the employee to continue behavior that increases their effectiveness or adopt or modify a behavior that will make them more effective or stop a behavior that reduces their impact.

Situation – Behaviors – Impact Feedback



Employees react differently to feedback on their behavior and performance. Delivery is key. With the right technique and plenty of practice, it can go more smoothly.

- Consider the specific situation
- Remember that employees process information differently
- Factor in your employee's external circumstances
- Keep in mind your employee's strengths and weaknesses

Customize Feedback to Avoid Resistance



Avoid these Mistakes in Giving Feedback

1. The feedback judges' individuals, not actions.
2. The feedback is too vague.
3. The feedback speaks for others.
4. Negative feedback gets sandwiched between positive messages.
5. The feedback is exaggerated with generalities.
6. The feedback psychoanalyzes the motives behind behavior.
7. The feedback goes on too long.
8. The feedback contains an implied threat.
9. The feedback uses inappropriate humor.
10. The feedback is a question, not a statement.



- Employee doesn't feel valued
- Loss of respect and trust for the supervisor
- Low morale
- Perceived underlying reasons
 - Retaliation
 - Discrimination
 - Doesn't like me, etc.

Results of Poorly Written Evaluation



- Gives false sense of security and accomplishment
- Makes employee feel superior to co-workers
- Limits goal setting process
- Difficult to address performance problems if they arise in future

Results of Inflated Evaluation



- Defensiveness
 - Fear-based reaction to perceived threat
- Anger
 - Reaction to hearing information you don't like or disagree with
- Embarrassment
 - Hearing information perceived as a criticism
- Dejection
 - Some employees become very upset or even cry

Common Responses to Negative Feedback



- Listen carefully. Reassure that the goal is to help the employee improve, not to criticize
- Keep conversation future-focused. Obtain examples to give context to your feedback, but the emphasis should be on the future actions the employee can take to improve.

Defensiveness



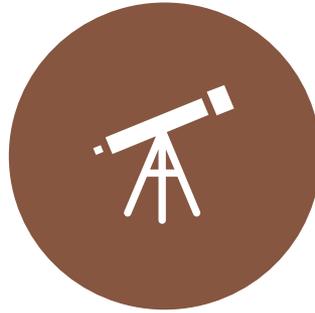
- Avoid getting into a combative frame of mind
- Remain calm. Take a deep breath and allow a moment of silence before you react or speak
- Don't lose sight of the goal of the conversation (to help the employee)
- Think through what you are saying – is it accurate and helpful from the employee's point of view?

Anger





KEEP THE FOCUS ON FUTURE
ACTIONS



OFFER PERSPECTIVE



REMINDE THE EMPLOYEE OF
THEIR STRENGTHS AND
ACCOMPLISHMENTS

Embarrassment





GIVE THEM A MOMENT TO REGAIN THEIR COMPOSURE. RELAX. DON'T RUSH THROUGH CONVERSATION.



WHEN THEY ARE READY, RESUME CONVERSATION



CONTINUE TO OFFER HELP AND SUPPORT

Dejection



Mid-Year Discussion



How to Document and Manage Performance



Learn effective ways to document performance



Learn how to appropriately address performance problems with informal or formal counseling



Understand when a disciplinary investigation by HR may be appropriate



Why Address Performance Problems?

Poor performers
probably prevent top
performers from doing
their jobs as well

Avoiding a problem
doesn't solve it



Steps to Resolve Performance Problems



Define the Performance
Discrepancy



Decide if it's worth doing
something about it



Determine the cause(s) of the
discrepancy



Take appropriate action and
follow up





It's not a one-time or rare occurrence



Negatively impacts other employees or customers



Violates a rule, policy, law, or contract that must be enforced



Endangers health or safety

Decide if it's worth doing something





Is employee aware of what was expected?



Is employee aware of their own performance?



Are there factors outside employee's control that contributed?



Does the employee have the ability or is there a need for training?



Does it seem to be due to employee's attitude?

Determine the Cause(s)



Counseling is a discussion between a supervisor and an employee about performance. It may address:

- A specific incident
- A particular aspect of performance that needs improvement
- Overall performance or behavior

Informal counseling is often appropriate first step, unless it is a serious matter

Formal counseling is summarized in a counseling memo for the employee's official personnel file

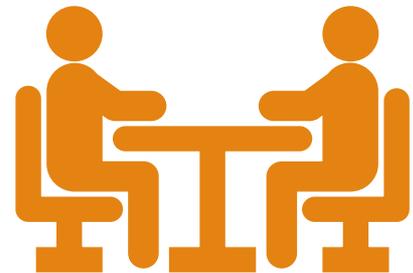
Counseling



Goals of Counseling Session

Counseling is a positive and constructive supervisory tool

- To communicate the supervisor's concerns to employee
- To determine the cause of the employee's actions
- To identify avenues for improvement and/or development
- To improve the employee's performance
- Don't avoid because it may be unpleasant, ongoing problems may get worse
- If done effectively and early on, it is easier to resolve problems in positive manner which strengthens the relationship between the supervisor and employee
- Counseling is not discipline
- Except for serious incidents, discipline comes after counseling fails





When established standards for performance and conduct are not being met – exercise judgment and discretion to determine if necessary



Carefully review the facts: i.e., severity of incident, impact on workplace, employee's work history, circumstances around the incident



Conduct counseling meeting promptly, while still fresh. Failure to act promptly sends message that you approve of the behavior

When to Counsel





Be prepared



Always conduct in private



Don't schedule when you will be rushed



Act as you usually do with employee when employee enters your office (avoid perception that is a personal conflict)



Consider setting "ground rules" i.e., please hear me out and I will listen to you and your viewpoint without interrupting. Let employee know you expect to resolve issue in a positive way.



Be direct and candid

How to Conduct Counseling Session





EXPLAIN EXACT
NATURE OF YOUR
CONCERN



WHERE EMPLOYEE
COOPERATIVE, YOUR
JOB CONFINED TO
DETERMINING
EMPLOYEE'S POINT
OF VIEW ON THE
INCIDENT



WHERE EMPLOYEE
HOSTILE: REMAIN
CALM, SPEAK IN
MEASURED VOICE



FOCUS ON BEHAVIOR,
NOT "CHARACTER" OR
"MORALITY"



BE A GOOD LISTENER



KEEP AN OPEN MIND



AFTER HEARING
EMPLOYEE'S
EXPLANATION,
DETERMINE
APPROPRIATE ACTION

Conducting Counseling (continued)



Conducting Counseling (continued)

Work	If employee indicates personal problem, not work related, offer available assistance (EAP, etc.)
Reach	Reach an understanding on corrective action and establish a definite follow-up date
Thank	At end, thank employee and let employee know you are available to assist in solving problems
Inform	If you will confirm session in writing, inform employee a copy will be placed in their personnel file. Employee may submit a written response.



Counseling Memo

Appropriate and necessary when:

- Previous counseling failed to result in improvement
- You do not have confidence that employee will correct behavior without further encouragement
- The seriousness of the situation requires documentation that a counseling session was held
- A multi-part plan for improvement was discussed during session and memo serves as written confirmation and reminder of the plan, or to document specific instructions given to employee during session.
- Tell employee if there will be a memo



Counseling Memo (continued)

Write memo to the employee

Be concise and clear

Should be a summary of meeting

- Statement of reasons, date, place, time
- Employee's response to your concerns
- Manner employee expected to improve performance and expectations for future
- Provisions for follow-up meetings
- If appropriate, may recommend EAP (if personal problem)
- Do not include matters that were not discussed in meeting



Counseling Memo (continued)



Do NOT characterize memo as discipline or a penalty



Tone should be supportive and factual. Avoid labels and conclusive language. Do not write in punitive or derogatory manner. Avoid inflammatory language.



Show on memo who will receive a copy of memo, including "Personnel File"



Do not widely distribute memo (only those who need to know – consult HR)



Inappropriately sharing confidential or protected information

Aggressive or bullying behavior

Theft

Alcohol or drug use

Insubordination

Counseling has failed to change behavior

Examples of Serious Issues: Work with HR



HR's Role in Discipline

Serves as President's Designee for Employee Relations

Responsible for conducting investigation

Ensures employee's contractual rights are honored – i.e., representation

Has authority to issue notices of suspension and discipline where appropriate



Employee Rights

Right to representation when possible target of discipline.

If employee shares something in counseling session that appears to be possible cause for discipline, end session and call HR. Do not question employee any further.



Disciplinary Process

HR conducts interviews with any witnesses, including supervisor reporting incident or ongoing behavior

HR collects any available evidence – i.e., videotapes, documents, e-mails

HR directs employee to appear to answer questions regarding the reported behavior. Advises employee of right to representation

HR conducts interrogation, and weighs evidence gathered and employee's response

HR consults with appropriate management to determine appropriate course of action – i.e., disciplinary charges, suspension, counseling



Disciplinary Process (continued)

If employee served with a Notice of Discipline with specific charges and proposed penalty:

- Employee has right to appeal to SUNY, GOER, Arbitration
- Employee may be represented by union attorney
- Proposed penalty cannot be imposed until the appeal has been fully adjudicated



Arbitration Standards

Was there rule/policy
forbidding alleged
misconduct?

Was the rule communicated
to employee?

Was the rule reasonable?

Was rule uniformly applied
to all similarly situated
employees?

Did the employer conduct
complete and objective
investigation before issuing
the charges?

Does the evidence, to extent
required under CBA,
demonstrate that the
employee committed the
acts or conduct specified in
the charges?

Is the proposed penalty
appropriate to the level of
misconduct?



Contact HR

