

# ***Building Coaches***

***Broward College***



## **Managing Performance – Part II Reviews, Documentation, Improving Performance**

Division of Human Resources and Equity

# *A G E N D A*

**Welcome, Objectives, Activity**

**Performance Reviews**

**Documentation**

**Break (15 minutes)**

**Improving Employee Performance**

# *Objectives*

**Document employee performance without bias**

**Prepare and conduct effective performance reviews**

**Recognize role supervisor plays in applying discipline fairly**

**Describe steps in addressing performance issues**

# *Documentation*

**Sometimes you observe them doing something “not so right” and you need to document.**

# *What and Why?*

What is documentation?

- process of recording **facts** /events occurring during work day

Why document?

- remember what's happened over appraisal year, including the good, the bad and the ugly
- establish credible record to base recommendations for **improvement**
- **not** to “build a file against”
- insure clear consistent **communication**

# Observation “NORMS”

**Not an  
Interpretation**

Not affected by personal biases, hunches or feelings

**Observed**

Behaviors are actually seen or heard

**Reliable**

Achieved when 85% of the people agree on what happened

**Measured**

Number is used to describe the behavior

**Specific**

Precise definition of what was observed

# *Basic Rules for Documenting Performance*

## **Fair & Consistent**

- Document performance of each employee in same way, avoiding cultural biases

## **Complete**

- Documentation should tell a complete story

## **Relevant**

- Information recorded should focus on job standards

# *Performance Reviews Should Be:*

Based on  
standardized,  
uniformly applied  
procedures

Objective rather  
than subjective

Job-related

Based on  
behaviors rather  
than traits

Within the control  
of the employee

Related to specific  
functions, not  
generalized  
assessments

Providing notice of  
performance  
deficiencies and  
opportunities to  
correct them



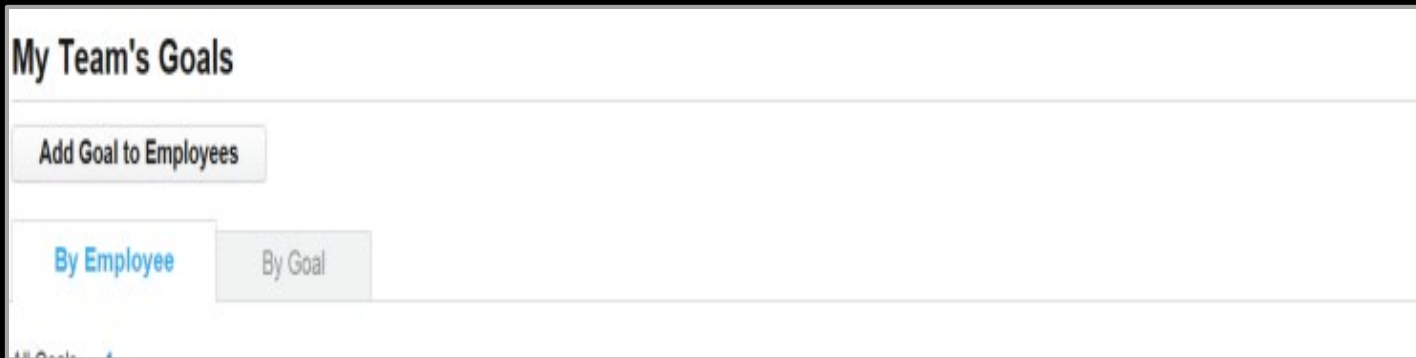
# Subjective vs. Objective

<b>Subjective</b>	<b>Objective</b>
<p><b>Job skills:</b> “Mr. V has the best job skills in the office.”</p>	<p>“Mr. V has consistently shown superior knowledge in database management and web design. He has been able to help other employees improve their skills as well.”</p>
<p><b>Dependability:</b> “Ms. Y never accepts responsibility for mistakes.”</p>	<p>“When I confront Ms. Y on errors in her work she frequently blames other co-workers for providing her with incorrect data or misinformation. She needs to take greater responsibility for her role in compiling and assessing data in her reports.”</p>

# Goal Setting



- Use Workday to create clear, job related & objective goals at anytime during the rating period.



- The supervisor can create a new goal or copy an existing goal from his or her own goals to the team.

# *Performance Review Steps - Preparation*

**For 2015, refer to goals set in the 2014 reviews and any updated goals.**

**Human Resources will “launch” the Reviews in Workday by May 15<sup>th</sup>.**

**Employees will receive a “self-evaluation” notice to complete in Work feed.**

**Supervisor will receive side by side template to complete Review..**

# *In Preparation, Ask Yourself.....*

1. Status of the employee's performance goals?

2. Status of the employee's professional development goals?

3. Contributions made? should have made?

4. Is this employee working near his/her potential?

5. Were expectations clear?

6. Employee's strengths?

7. Employee developmental needs defined?

8. How has my performance helped or hindered this employee?

# *Preparing the Workday Online Review*

Review information you have collected, check the “My Team” performance tab for information

Decide what information should and should not be included

Use the Guided or Summary editor to “open” the review and see Employee Self Review

Complete Assessment of Employee performance with rating levels and comments

# *Performance Review Steps -*

**Submit** completed Review to manager for approval.

**Schedule** Review meeting upon receipt of “To Do”

**Discuss** your review your Review of employee’s performance

**Agree** on strengths and areas for improvement

**Set/update goals** for next performance period

**Agree** on development plan

**Summarize and close** discussion have both you and the employee complete all system acknowledgements.

# *Activity - Employee Reactions to Performance Reviews*

Employee agrees/wants to improve

Employee doesn't accept responsibility/blames others

Employee doesn't agree/refuses to acknowledge

# *Activity - Performance Review Steps*

1. Maria

2. Jackson

3. Beth

4. Your own



# *Set the Stage*

Discuss the results that are needed

Set time-frame, deadlines

Explain the degree of importance

Review any constraints

Create internal reporting dates, progress reports

Discuss the selection process of the person for this particular assignment

Solicit questions from the person

# *Broward College Policies & Procedures*

Policy 3.21 –  
covers  
Administrators  
and  
Professional  
Technical Staff.

## Types of Reviews

- Probationary
- Annual by June 30th
- Special

## Procedures

- Responsibilities
- Review Process

# *Review Best Practices*

Must be meaningful, honest, objective, focus on factors relating to one's **job performance**, and make sense to those who read them

Must be continuous in order to reflect successes, failures and other performance issues as they occur

Must provide a **realistic** assessment of one's work during a specific period

Should never be used as a threat or punishment; nor should they come as a **surprise**

# *Review Best Practices*

Base the Review on first-hand knowledge, not hearsay

Allow plenty of time to prepare and properly document the assessments(s)

Be willing to update the assessment if new information becomes necessary

Consult with Human Resources especially regarding tone and content

# *Review Best Practices*

## Factors that interfere with the production of effective Reviews

- Tendency toward conflict **avoidance** with difficult employees
- Poor **preparation**
- Lack of timely implementation and follow-up
- Refusal, reluctance to seek guidance when necessary



*Activity- Personal Action Plan*



# *Improving Employee Performance*

# *Discipline Best Practices*

## When it is required

- Do not **procrastinate**
- Be clear
- Be **consistent**
- Document
- Provide for timely and meaningful **follow-up**
- **Understand the difference between legal ability vs. political will**

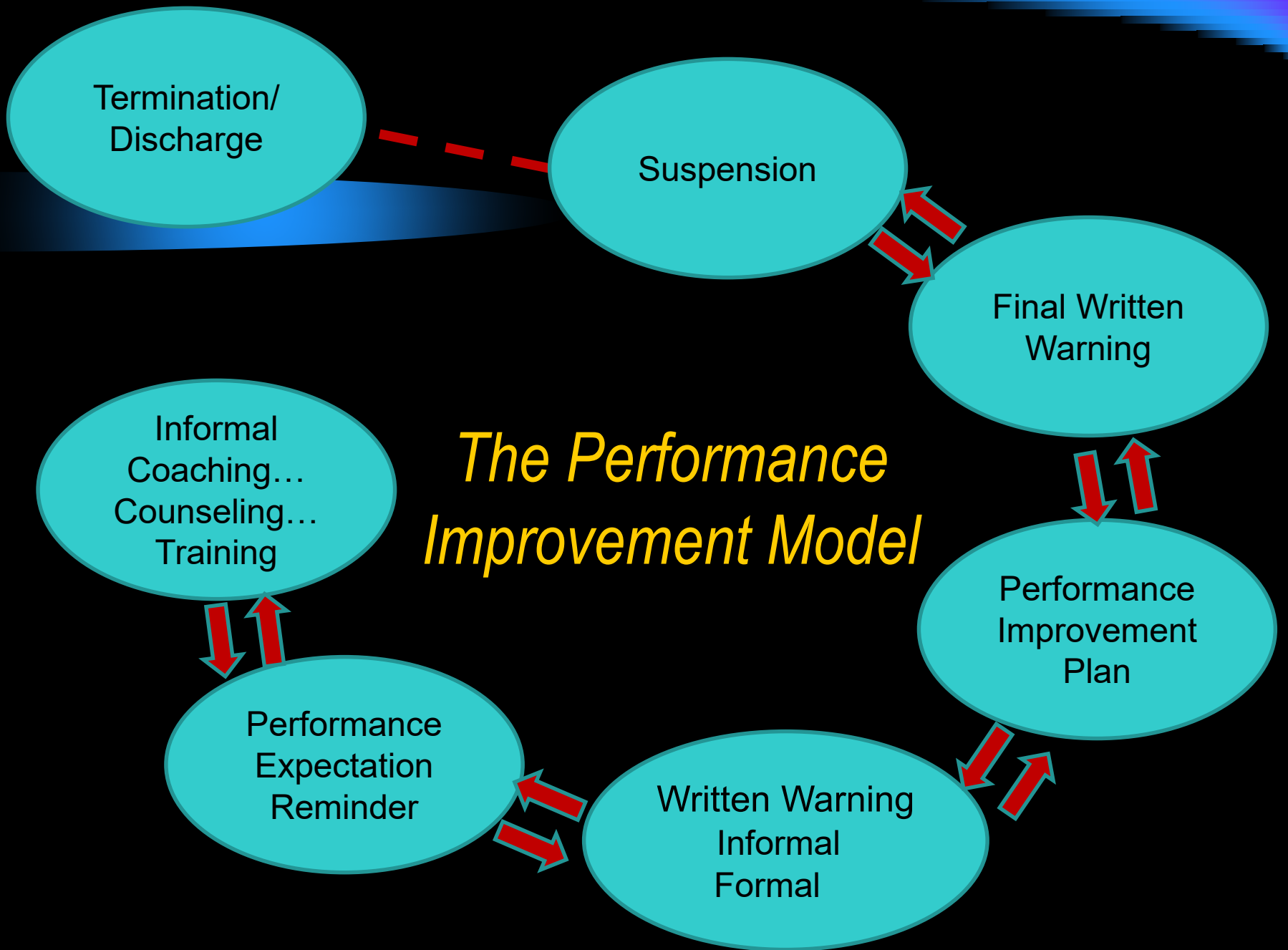


# *Levels of Employees*

**Faculty**

**Administrators**

**Professional Technical Staff**



# *Factors to Consider*

## **Consistency**

- Are you treating your employees the same?

## **Written Rules**

- Do you have written rules or procedures?

## **Awareness of Rules**

- Have all employees received/acknowledged receipt of the rules?

# *Determining Level of Action to Take*

Violation  
committed  
knowingly

Honesty  
during  
investigation

Retaliation  
against other  
persons

Deliberate  
failure to check

Degree of  
damage

Visibility of  
the employee

Criminal  
nature of  
offense

Personal gain  
to employee

Previous  
action(s)  
taken

# *Discipline Best Practices*

Always conduct the “cant” vs. “won’t” analysis:  
Is an employee not performing because he/she can’t, or because he/she won’t?

If the answer is the former, carefully consider what training, tools, resources, etc. should have been provided to adequately perform one’s duties and responsibilities

# *Discipline Best Practices*

- Mistakes to avoid
  - ◆ Inadequate/lack of documentation in personnel files
  - ◆ Lack of prior warnings
  - ◆ Failure to consider past practices
  - ◆ Inadequate/lack of investigation
  - ◆ Inconsistent application of pols-pros (DITO/DITA)
  - ◆ Poor /inappropriate communication regarding one's performance

# *Activity – Small Groups*

**Determine the factors to consider  
and the level of action to take**

**Employee taking  
supplies**

**Employee  
belligerent with  
student**

**Employee late  
twice this week**

**Employee  
doesn't know  
how to use Excel**

# *Samples*

1. John Doe – Expectation Reminder
2. Mary Ross – Written Warning
  - Pre-determination = due process



# *Performance Logs*

## Maintaining Employee Logs

**Document observations – specifically**

**Date the observations**

**Note if feedback was given to employee**

**Connect behaviors to performance Review tool**

# Preparing for Performance Discussions

## Have I...

1

- Consulted with Employee Relations?
  - Determined if investigation necessary?

2

- Reviewed all known available information with relevance?

3

- Due Process provided for due process if a discussion may result in discipline?

4

- Prejudged or jumped to conclusions, ?

5

- Examined past records to determine patterns of behavior?

# Preparing for Performance Discussions

## Have I...

6

- Considered how similar situations were handled in past?

7

- Secured private location to hold discussion?

8

- Collected or Completed any required documentation?

9

- Asked person about situation or behavior?

10

- Told employee about right to representation?

# Conducting Performance Discussions



Open discussion in professional-like manner

Tell employee exact reason for discussion

Keep conversation focused on reason stated in memo

Provide copy of any documentation or memo to employee



*Stop discussion if employee:*

**Demonstrates anger  
or aggression**

**Makes threats**

# *Performance Improvement Plans (PIP)*

**Conducted at any time at discretion of rater**

**Length of PIP no longer than 120 calendar days**

**Identify specific improvements needed**

**No improvement in 120 days - recommend termination to HR**

# *Discipline Best Practices*

If termination is being recommended

- Institutional policies and procedures must be **consistently** applied (DITO/DITA)
- Understand the test of “just cause” and “Due Process”
  - Notice of rule
  - Is rule reasonable?
  - Fair and thorough investigation
  - Adequacy of proof
  - Equal treatment
  - Fair penalty

# *Discipline Best Practices*

If termination is recommended,  
questions to ask:

- Does adequate documentation exist?
- Has Human Resources been **involved** in the process?
- Has Counsel been contacted?
- Is the termination supported at **all** levels of decisions making authority?



# *Activity*

## Group Role Play Discussion

**Supervisor**

Employee  
with  
performance  
issue

Observer  
gives  
feedback

# CHECKLIST

The following checklist is offered as a practical tool to ensure effective supervision and legal compliance, as well as a means to frame options to resolve the daily challenges supervisors and managers face.

# *Due Diligence Checklist*

How did we get here?

- Must answer this question before we identify where we can/need to go
- Provides necessary chronology
- Identifies information/action “gaps” or other potential distractions from underlying conduct at issue

# *Due Diligence Checklist*

What do I know?

- What are the relevant facts?
- What is the back story?

# *Due Diligence Checklist*

What documents do I have?

- Memos, e-mails, notes
- Policies, procedures, handbooks - notice, notice, notice
- Anything “hidden”? What has not been **disclosed**?

# *Due Diligence Checklist*

What policy has been implicated?

- Are all policies up to date and legally compliant?
- Have all policies at issue been **consistently** applied? (DITO/DITA)
- Have any hoc resolutions or past practices trumped the application of current policy?

# *Due Diligence Checklist*

With whom should I speak-  
immediately?

- HR? Legal Counsel? Others?
- Any health, safety concerns?
- Any discrimination issues, other legal risks?

# *Due Diligence Checklist*

## Options/ effective next steps?

- Short and long-term implications
- Strategic and legal conversations
- Follow-up with affected departments/divisions and supervisors



# *Due Diligence Checklist*

Can be used at all levels of supervisory responsibility

Creates a common language

Clarity in identification of issues

Collaboration regarding “next steps”

Encourages a uniform understanding of policies

# *Due Diligence Checklist*

Improves communications within/among departments

Serves as a valuable signal that inappropriate conduct will be addressed early, with clarity and consistency

Helps us identify the bases (rational or not) for the troubling behavior

# *Due Diligence Checklist*

Helps us identify and implement strategic and legal options relating to:

- Hiring
- Review
- Discipline and/or termination

# *Due Diligence Checklist*

Empowers all supervisors to better address short-term needs and long-term strategies

Lessens the inclination toward ad hoc, ineffectual responses that likely are contrary to policy and procedure, or may increase the likelihood of legal risk

# *Questions and Answers*

